

Bulletin 2019-12

July 19, 2019

Assessment of specified penalties for self-reported contraventions

On January 1, 2019, Rule 032: *Specified Penalties* came into effect. Rule 032 established specified penalties for contraventions of select provisions of AUC rules related to customer care and billing issues and, in June 2019, the Alberta Utilities Commission began issuing specified penalties pursuant to this rule.

The Commission received some stakeholder feedback following the issuance of the June 2019 specified penalties and, having considered that feedback, on a go-forward basis, the Commission will consider multiple occurrences of a contravention specified in the [AUC Rule 032](#) penalty table as one contravention, provided those contraventions:

1. Are self-reported.
2. Relate to the same customer name and site ID number.
3. Occurred in consecutive months or billing periods.
4. Were carried out by the same distinct legal entity.

The amended evaluation process, effective as of today, is intended to provide an increased incentive for utilities to self-report contraventions while also providing additional certainty regarding how specified penalties for self-reported contraventions will be assessed.

Background

The authority to issue specified penalties was provided to the Commission when the *Alberta Utilities Commission Act* was amended effective as of August 1, 2018. The Commission issued [Bulletin 2018-20](#) on December 20, 2018, outlining amendments to Rule 003: *Service Standards for Energy Service Providers*; Rule 021: *Settlement System Code Rules*; and Rule 028: *Natural Gas Settlement System Code Rules* and announcing the issuance of Rule 032: *Specified Penalties*.

Questions regarding this bulletin may be directed to Greg Andrews at 403-592-4529 or by email at greg.andrews@auc.ab.ca.

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