



# External User Guide

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## **AUC eFiling System External User Guide**

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# 1 Introduction

This guide describes how to use the electronic filing system (eFiling System) to apply to the Alberta Utilities Commission (AUC) for the necessary regulation and rate approvals for electric, gas and water utilities; approvals for the construction and/or alteration and operation of power plants, substations and transmission lines; and approval of market rules and standards proposed by the Alberta Electric System Operator (AESO). All applicable acts, regulations and rules referenced in this guide are available on the [AUC website](#).

Using the eFiling System, applicants can file applications and submit supporting documentation; interested parties can observe or participate in a proceeding by registering and providing associated filings.

All users must agree to the AUC [privacy policy](#) that is available on the AUC website.

All applications registered with the AUC, related public documents, and disposition documents dating back to 1974 are publicly available.

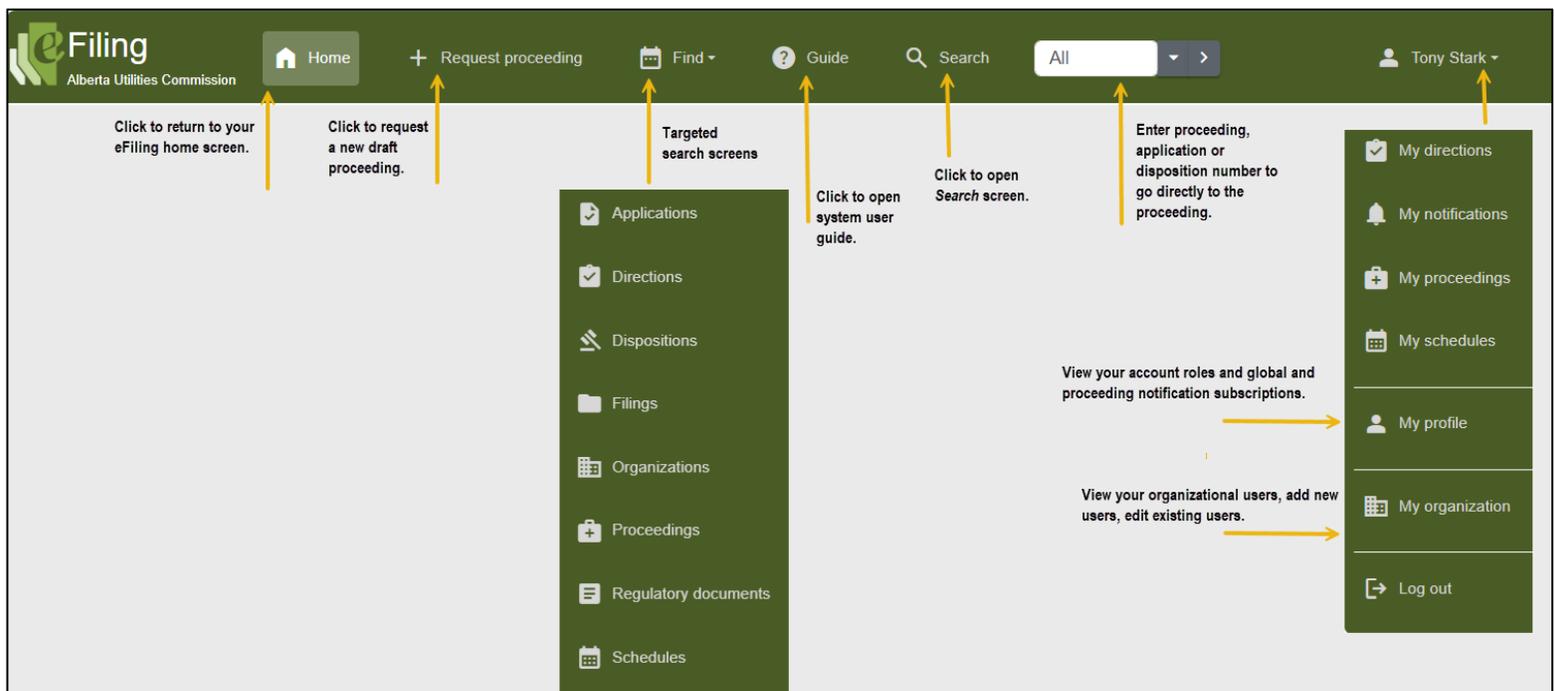
Questions about the eFiling System should be sent to [info@auc.ab.ca](mailto:info@auc.ab.ca) or call 310-4AUC.

## 2 System at a glance

The home page is shown when you first log in to the eFiling System. It displays the main navigation bar and gives a snapshot of recent activity, notifications, priority directions and upcoming schedule items for proceedings you are registered for.

### 2.1 eFiling navigation menu

The main toolbar and the functions on it are always available in the eFiling System.



## 2.2 eFiling home screen

The screenshot shows the eFiling home screen with the following sections:

- Navigation:** Home, Request proceeding, Find, Guide, Search, All, Tony Stark.
- Go to...:** Search bar with links to My proceedings, My schedules, My notifications, My directions, Regulatory documents, and Reporting.
- Quick tips:** File an application, Register to participate, Make a filing, More...
- Recent notifications:**
  - Proceeding tab: Table with columns: Proceeding, Created, Subject, Type.
  - Global tab: Table with columns: Disposition, Proceeding, Earliest due date.
- Schedule summary:**
  - Hearings and meetings: Table with columns: Title, Proceeding, Schedule type, Start date, Closing date.
  - Process: Table with columns: Disposition, Proceeding, Earliest due date.
- Priority directions:**
  - Outstanding: Table with columns: Disposition, Proceeding, Earliest due date.
  - Overdue: Table with columns: Disposition, Proceeding, Earliest due date.

|                                    |  |
|------------------------------------|--|
| <p><b>Quick tips</b></p>           | <p>Provides links to view and open quick tip documentation for the following activities:</p> <ul style="list-style-type: none"> <li>Confidential proceedings for disclosing parties</li> <li>eFiling System User Guide</li> <li>File an application</li> <li>Make a filing</li> <li>Register to participate</li> <li>Respond to a direction</li> <li>Review a document</li> <li>Upload additional application documents</li> </ul> |
| <p><b>Recent notifications</b></p> | <p><i>Proceeding</i> tab lists 10 most recent proceeding notifications for proceedings you are registered to, based on the notification’s created date.</p> <p><i>Global</i> tab lists 10 most recent filing announcements, notices of application and issued dispositions. Users do not have to be registered to the proceeding to see the notification.</p>  |
| <p><b>Schedule summary</b></p>     | <p>Lists 10 most imminent scheduled hearings and meetings, and scheduled process items based on the item’s start date.</p>   |
| <p><b>Priority directions</b></p>  | <p><i>Outstanding</i> tab lists 10 dispositions where a response to the associated direction is outstanding and the due date has not passed.</p> <p><i>Overdue</i> tab lists 10 dispositions where a response to the associated direction has not been filed, and the response due date has passed.</p>  |

## 2.3 Go to... section

Enter a proceeding, application or disposition number to go directly to the proceeding.

Access quick links to go to **My** screens, **Regulatory documents**, or **Reporting**.

|                             |   |
|-----------------------------|---|
| <b>Go to...</b>             | Enter a proceeding ID, application or disposition number to move to the respective details screen.  |
| <b>My proceedings</b>       | Lists your draft (as applicant) and active (as registered party) proceedings.   |
| <b>My schedules</b>         | Lists hearings, meetings and scheduled items for all active proceedings where you are a registered party (including as observer).   |
| <b>My notifications</b>     | Under the <i>Proceeding</i> tab, lists notifications for all active proceedings where you are a registered party. Under the <i>Global</i> tab, lists all global notifications (filing announcements, notices of application and issued dispositions). Global notifications do not require the user to be registered for or subscribed to the proceeding to be listed. |
| <b>My directions</b>        | Lists the directions assigned to you as the responsible party.  |
| <b>Regulatory documents</b> | Provides multiple options for viewing public dispositions, notices and ruling filings. Facility disposition documents can be viewed by various decision index categories for power plants (including wind, hydro and solar), transmission lines, gas utility pipelines and other facilities.  |
| <b>Reporting</b>            | Used to submit special reports to the AUC, for example, those required for Rule 002 and Rule 005.   |

## 2.4 Proceeding home screen

The Proceeding home page shows applications, schedule process steps and recent activity including filings, registrations, documents and notifications.

**Proceeding 29876**

Status: **Active** Registered: 2025/02/06

**Description:** Stark Industries 2025-2026 general rate application

**Related proceedings:** [View](#)

**Contacts:**

| Name                    | Phone | Email                             | Contact type             |
|-------------------------|-------|-----------------------------------|--------------------------|
| TST-eFiling LAO_1_Rates |       | tst-efiling.lao_1_rates@auc.ab.ca | Lead application officer |
| TST-eFiling LAO_1_Law   |       | tst-efiling.lao_1_law@auc.ab.ca   | Legal counsel            |

**Application(s)**

Lists all applications filed in the proceeding and their current status. Select the application number to move to the application's details screen.

| Application | Status     | Category         | Type                               | Location | Electric facility ID | Registered | Applicant reference |
|-------------|------------|------------------|------------------------------------|----------|----------------------|------------|---------------------|
| 29876-A001  | Registered | Gas distribution | General rate application - phase 1 |          |                      | 2025/02/06 | Stark 25-26 GRA     |
| 29876-A002  | Decided    | Gas transmission | Miscellaneous                      |          |                      | 2025/02/06 | Swift Asset Swap    |

**Schedule**

Lists up to five in-progress and pending schedule items for each schedule category (Hearings & meetings, and Process items)

**Hearings and meetings**

| Title                                       | Type                          | Status      | Start date          | Closing date        | Location                   |
|---|-------------------------------|-------------|---------------------|---------------------|----------------------------|
| Public information session                  | Meeting - information session | In progress | 2025/02/10 08:00 AM | 2025/02/10 02:00 PM | Hampton's Community Centre |
| Stakeholder discussion - preliminary issues | Meeting - technical           | Not started | 2025/02/12 08:00 AM | 2025/02/12 04:00 PM | AUC Calgary hearing room   |
| GRA Hearing, Phase 1                        | Hearing                       | Not started | 2025/05/12 08:00 AM | 2025/05/16 02:00 PM | Virtual platform           |

**Process**

| Title                      | Type                       | Status      | Start date          | Closing date        |
|----------------------------|----------------------------|-------------|---------------------|---------------------|
| Participation closing date | Participation closing date | In progress | 2025/02/06 10:15 AM | 2025/02/21 02:00 PM |
| Evidence submissions       | Evidence                   | Not started | 2025/04/07 08:00 AM | 2025/04/10 02:00 PM |
| Argument submissions       | Argument                   | Not started | 2025/05/19 08:00 AM | 2025/05/22 02:00 PM |

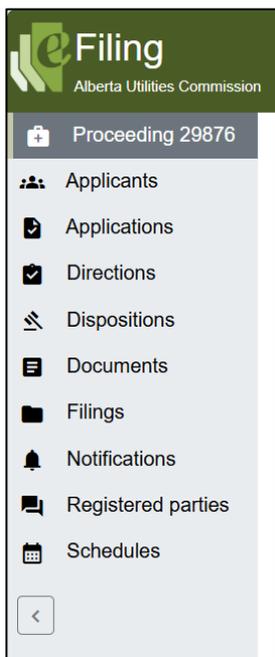
**Recent activity**

Select a tab to see up to 10 most recent submissions, registrations, proceeding activities, and issued dispositions.

- Documents
- Filings
- Registered parties
- Notifications
- Issued dispositions

## 2.5 Proceeding navigation menu

Use the proceeding navigation menu to visit screens to view, create, edit and publish proceeding information.



| Screen             | Description   |
|--------------------|---|
| Proceeding         | Proceeding's home screen. Provides an overview of proceeding information, including proceeding status, AUC primary contacts, applications, schedule items, and recent activity.   |
| Applicants         | Lists all primary and co-applicants for each application registered.  |
| Applications       | Provides a link to each application's details screen. Details screen lists documents, filings, and issued dispositions associated to the application.   |
| Directions         | Lists AUC issued directions originating from dispositions on the respective proceeding.   |
| Dispositions       | Lists public and confidential dispositions, including closure and withdrawal letters.   |
| Documents          | Lists the public and confidential records for the proceeding.   |
| Filings            | Create new filings to publish documents to the public or confidential record.   |
| Notifications      | Short system-generated synopsis describing filing, participant registration, scheduling and disposition activities that have occurred on a proceeding. Users can subscribe to receive email messages listing notifications from within this screen. |
| Registered parties | Lists registered parties, including representatives and observers.  |
| Schedule           | View schedule items required for hearings, external facing meetings, and process items.   |

## 3 Create and manage user accounts

There are two types of accounts that can be set up with the AUC to access the eFiling System: organizational accounts and single-user accounts.

### 3.1 Create organizational accounts

Organizational accounts are set up in the AUC's eFiling System for associations, companies, organizations, Indigenous groups, municipalities and interveners where there are multiple users. Organizational user accounts are set up and maintained by the organization's eFiling System organizational administrator. Individual users of the organizational account have the right to update their own account profile.

#### 3.1.1 Organizational administrator

As an eFiling organizational administrator, you manage the eFiling System account for your organization. This includes adding and suspending user accounts and updating user account profiles including general information, passwords and notification options.

When an organization requests an organizational account for the eFiling System, the AUC creates the organizational profile, sets up the initial settings and sends the information to the email addresses given for the organizational administrator and confidential administrator.

### 3.1.2 Confidential administrator

An organization’s confidential administrator is responsible for determining which individuals in your organization, as well as any representatives, should have access to your confidential documents for each confidential proceeding. The confidential administrator is also the gatekeeper for access to your confidential material for other individuals participating in the proceeding that have submitted a confidentiality undertaking. The AUC creates the initial confidential administrator in an organization. The initial confidential administrator can add and delete other confidential administrators for an organization.

### 3.1.3 System functions by role

| eFiling System Functions   | Organizational administrator | Confidential administrator | Organizational User |
|--|------------------------------|----------------------------|---------------------|
| Modify their user profile  | ✓                            | ✓                          | ✓                   |
| Create an application  | ✓                            | ✓                          | ✓                   |
| Participate in a proceeding  | ✓                            | ✓                          | ✓                   |
| Create a filing  | ✓                            | ✓                          | ✓                   |
| Participate in a discussion community  | ✓                            | ✓                          | ✓                   |
| Change their own password  | ✓                            | ✓                          | ✓                   |
| Modify general organizational information  | ✓                            |                            |                     |
| Add organizational users   | ✓                            |                            |                     |
| Reset user password for their organization’s users   | ✓                            |                            |                     |
| Add other eFiling System administrators for their organization   | ✓                            |                            |                     |
| Modify general information for all their organization’s users  | ✓                            |                            |                     |
| Suspend/reactivates their organization’s users   | ✓                            |                            |                     |
| Request the organization be removed from the eFiling System  | ✓                            |                            |                     |
| Add other confidential administrators in your organization. The first one must be set up by the AUC.   |                              | ✓                          |                     |
| View confidential motion documents from your organization  |                              | ✓                          |                     |
| View confidential applications and filing documents from your organization.  |                              | ✓                          |                     |
| Allow other users in your organization and representatives to have access to your organization’s confidential material.                      |                              | ✓                          |                     |
| Approve other proceeding participants that have submitted a confidentiality undertaking to access your organization’s confidential material. |                              | ✓                          |                     |

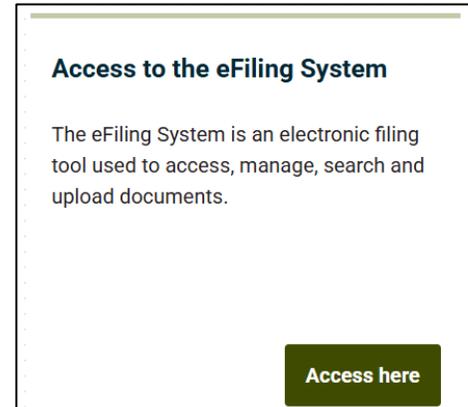
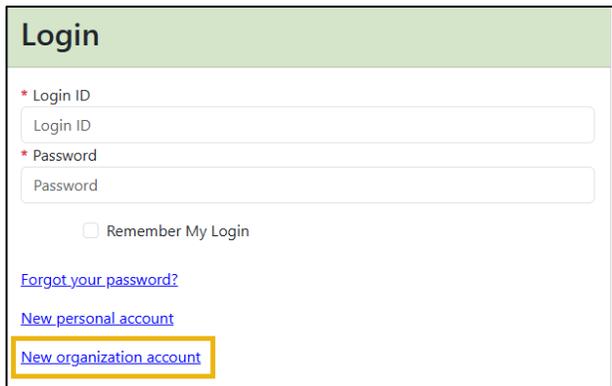
### 3.1.4 Create an organizational account

An organization can request to be set up in the eFiling System by submitting a completed **New organizational account form** together with a letter on organizational letterhead stating the approval of the information set out in the new organizational account form. The accompanying letter must be signed by an officer of the organization. The AUC will not create your organizational account if the letter is not provided.

From the AUC's website homepage, select *Access here*.

On the eFiling System welcome screen, select *Continue to login*.

Select *New organizational account*.



Complete the contact information for your organization's *Organizational administrator*. The *Organizational administrator* is the person responsible for managing the eFiling System for your organization, including creating and removing new users. Select *Next*.

Enter contact information for your organization's *Confidential administrator*. The *Organizational administrator* is the person responsible for managing confidential documents for the organization.

- Select **Yes** if the confidential administrator is the same as the organizational administrator, or
- Select **No** to reveal contact fields for a different confidential administrator, or
- Skip this step if no confidential administrator is being identified at this time.

In the File upload section, click to add or drag and drop the accompanying approval letter. Select *Submit*.

A member of the AUC Assistance and Information Services team will contact the organizational administrator listed in the form.

### 3.1.5 View organizational profile

Login with your ID and password assigned by the AUC.

Select your user name in the top right corner to reveal a drop-down menu. Select **My organization**.

The **Organizational details** screen lists all organizational users and their organizational and confidential administrator status. The screen also displays users' contact information, the organization's succession history and any closure details.

**Organization details**

**Name** Stark Industries Ltd.      **Status** Active      **Participant code** 100ENC  
**Phone** (456) 985-6985      **City** Calgary      **Province** Alberta  
**Mailing address** 100 Stark Way SE      **Created date** 1/24/2025 1:27:53 PM      **Closed date**

**Organizational users**    **Succession history**    **Closure details**

Status: Active

| Name         | Login ID   | Phone number   | Email            | Organization administrator | Confidential administrator | Status |
|--------------|------------|----------------|------------------|----------------------------|----------------------------|--------|
| Happy Hogan  | Hhogan123  | (256) 256-2365 | Hhogan@stark.ca  | No                         | No                         | Active |
| James Rhodes | Jrhodes123 | (236) 569-4785 | Jrhodes@stark.ca | No                         | No                         | Active |
| Pepper Potts | PPotts123  | (256) 256-2365 | Ppotts@stark.ca  | Yes                        | Yes                        | Active |
| Tony Stark   | TStark123  | (256) 326-5895 | Tstark@stark.ca  | Yes                        | Yes                        | Active |

### 3.1.6 Add/edit organizational users

Organizational users with *Organization administrator* status can add and edit organizational users.

To add a new user, from the **Organizational details** screen select *Add new user*.

**Organization details**

**Edit**    **+ Add new user**    **Request to close organization**

**Name** Stark Industries Ltd.  
**Phone** (456) 985-6985  
**Mailing address** 100 Stark Way SE

**Organizational users**    **Succession history**    **Closure details**

Enter the following information into the form:

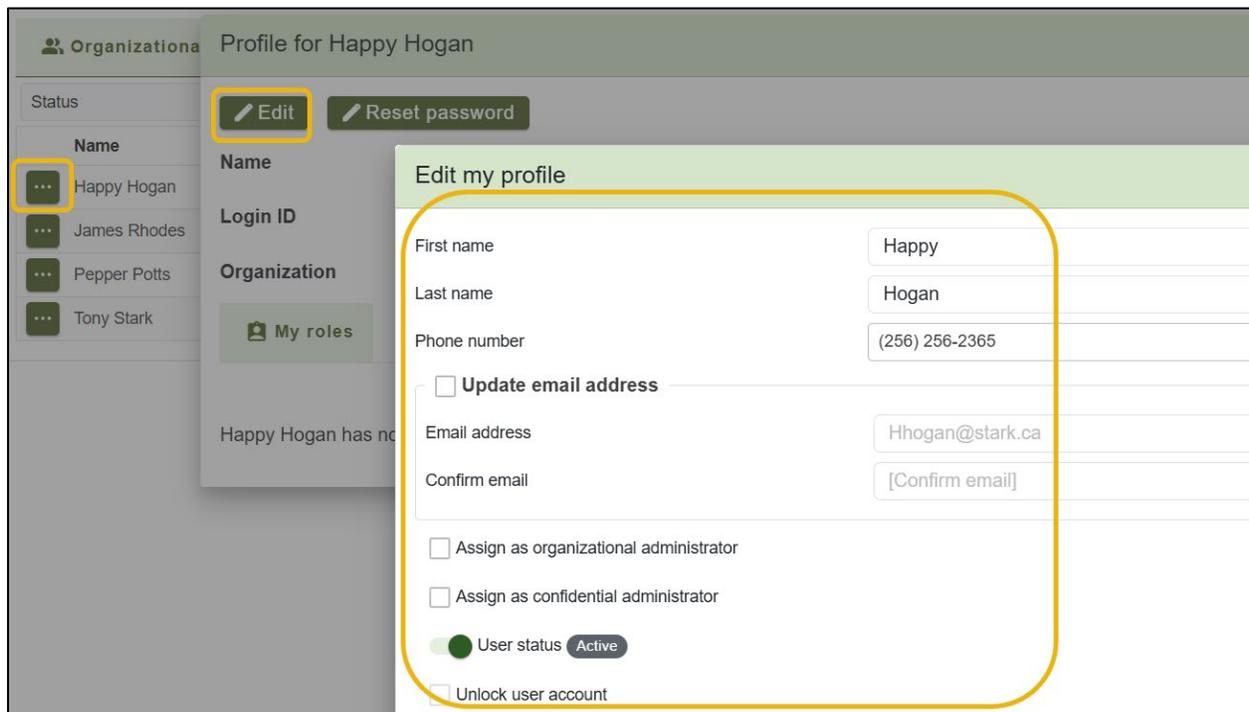
- First name (**required**)
- Last name (**required**)
- Phone number (**optional**)
- Login ID (**required**)
- Email address (**required**)
- Confirm email address (**required and must be the exact duplicate of the email address**)
- Check to assign organizational administrator status for the new user (**optional**)
- Check to assign confidential administrator status for the new user (**optional**). The initial confidential administrator must be set up by the AUC.

Click *Save*. The new user will receive a system-generated email with a temporary password.

To edit an existing user, select document actions [...] located to the left of the name. Select *View profile*. Select *Edit* to edit the user's name and email address, organizational and confidential administrator status, or to deactivate the user.

**Note:** If you are the only organizational administrator for your organization, your status cannot be deactivated.

Use *Unlock user account* if users have requested their account to be reopened after three unsuccessful login attempts.



To reset a user’s password, select document actions [...] to the left of the name, and select *Reset password*. The user will receive a system-generated email with a temporary password.

Users can reset their own password using [Forgot password](#).

### 3.2 Edit organization information

Users with *Organization administrator* status can edit their organization’s name and contact information.

From the top right of the screen, select your name. From the drop-down menu select **My Organization**. In the **Organization details** screen select *Edit*. Edit fields to update information as needed. The *Participant code* field is not editable.

When an organization is amalgamated with another organization, a *Request to close organization* must be submitted to the AUC. See [section 3.3](#) for details.

### 3.3 Close/amalgamate organization account

To remove your organization from the eFiling System, from the **Organization details** screen select *Request to close organization*.

Select the type of closure (terminated or amalgamated) and enter a reason for the closure.

If the closure is due to an amalgamation, select the name of the succeeding organization and enter the date the amalgamation is effective. The succeeding organization must already be registered in the eFiling System.

Select *Save* to show a message stating that the request to the AUC to close the organization’s account and all users’ accounts within this organization was submitted. A “*Request to terminate organization profile for <organization name>*” email confirmation is also sent to the eFiling System administrator.

Request to close my organization

Submitting this request will send a message to the AUC to close the organization account along with all organizational user accounts within this organization.

Closure type  Terminated  Amalgamated

Provide the succeeding organization's information

Succeeding organization Avengers Inc.

Effective date 2025/02/14

Closure reason Avengers and Stark Industries are coming together!

Save Cancel

### 3.4 Single-user accounts

A single-user account is set up for the use of one individual and provides access to proceedings and related documents and gives you the right to edit, modify and terminate your own account profile.

As a single-user account holder, you are assumed by the system to be a *Confidential administrator*.

#### 3.4.1 Create a single-user account

Access the eFiling System website and select **New personal account**.

Login

\* Login ID  
Login ID

\* Password  
Password

Show Password  
 Remember My Login

[Forgot your password?](#)

[New personal account](#)

[New organization account](#)

Login Cancel

If you are part of an organization, your organization’s eFiling System administrator will create an account profile on your behalf.

All users must agree to the AUC [privacy policy](#) available on the AUC website.

## Registration disclaimer

You are about to submit your personal information or the personal information of person(s) you are representing to the AUC. Any personal information submitted will be accessible to other members of the public who create AUC eFiling System user accounts.

- Members of the public wanting to participate in a proceeding or observe proceeding documents electronically must open an eFiling System user account.
- Account-holder name, phone number, and email address or mailing address are required to open an account.
- In order to efficiently manage applications and proceedings, account information is available to other eFiling System account holders.
- Questions regarding privacy of eFiling System account information can be sent by email to [foip@auc.ab.ca](mailto:foip@auc.ab.ca) or by telephone at **310-4282** (in Alberta) or **1-833-511-4282** (outside Alberta).

The eFiling System accounts are deactivated upon request. Requests can be made by email to [info@auc.ab.ca](mailto:info@auc.ab.ca) or by telephone at **310-4282**.

You must acknowledge and agree to the *AUC privacy policy* outlined above on behalf of either yourself or the person(s) you are representing before submitting personal information to the AUC.

✓ Agree

✗ Disagree

Complete the fields in the **Register a new user account** form. Required fields are marked with a red asterisk.

Select *Register*.

An email is sent to the email address entered in the form with a system generated password ([change this password](#) at any time in your user profile).

## 3.5 Manage your account

### 3.5.1 Change general account information

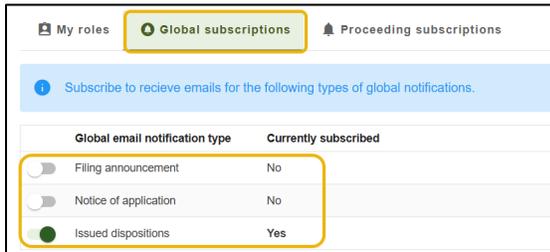
Log into the eFiling System. Select your name from the top right corner of any eFiling screen. From the drop-down menu select *My profile*. In the **My eFiling profile** screen, select *Edit* to change name, email address, organizational or confidential administrator statuses. The account can also be deactivated. Select *Change password* to create a new password.

The login ID cannot be edited.

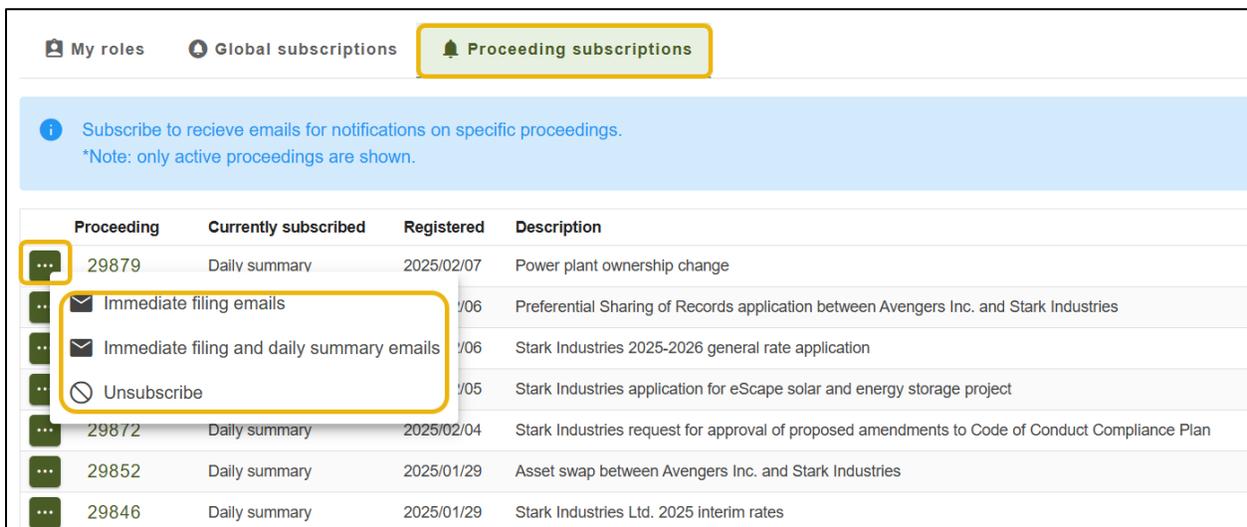
The screenshot shows the 'My eFiling profile' page. On the left, there is a sidebar with a list of organizational roles. The main content area has two buttons: 'Edit' (highlighted with a yellow box) and 'Change password'. Below these buttons is a form titled 'Edit profile for Tony Stark'. The form contains the following fields and options:

- First name: Tony
- Last name: Stark
- Phone number: (256) 326-5895
- Update email address
- Email address: Tstark@stark.ca
- Confirm email: [Confirm email]
- Assign as organizational administrator
- Assign as confidential administrator
- User status: Active (indicated by a green circle)
- Unlock user account

Select the [global notification settings](#) tab to subscribe or unsubscribe to receive an email summarizing registered applications (filing announcements), notices of application or issuance of dispositions for all eFiling System proceedings.



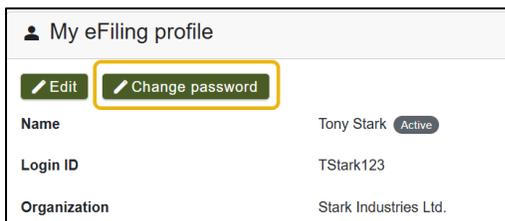
Select the *Proceeding subscription* tab to see a list of active proceedings. Use document actions [...] located to the left of the proceeding number to subscribe or unsubscribe to receive emails for notifications generated for the proceedings you are subscribed to.



### 3.5.2 Change password

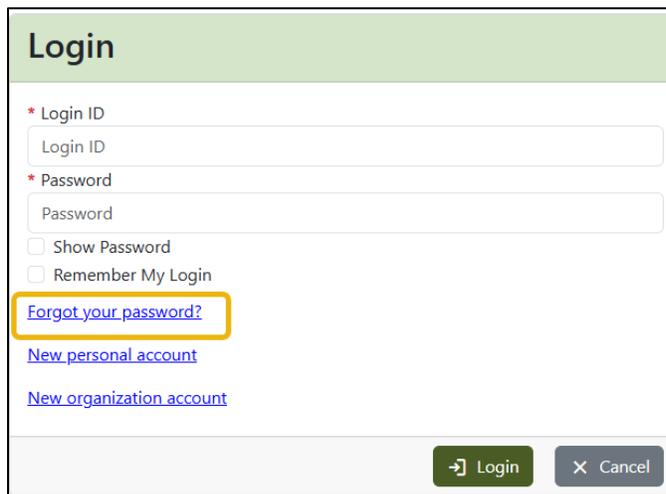
Log into the eFiling System. Select your name from the top right corner of any eFiling screen. From the drop-down menu select *My profile*. In the **My eFiling profile** screen select *Change password*.

The password must be at least eight characters. It may contain alphabetic characters, numbers and symbols.



### 3.5.3 Forgot password

If you forget your password, from the arrival and login screen, click **Forgot your password**, enter your login ID and select *Request reset*.



The screenshot shows a login form titled "Login" with a light green header. It contains two required input fields: "Login ID" and "Password". Below these are two checkboxes: "Show Password" and "Remember My Login". A link labeled "Forgot your password?" is highlighted with a yellow box. Below this link are two more links: "New personal account" and "New organization account". At the bottom right, there are two buttons: a green "Login" button with a right arrow icon and a grey "Cancel" button with an X icon.

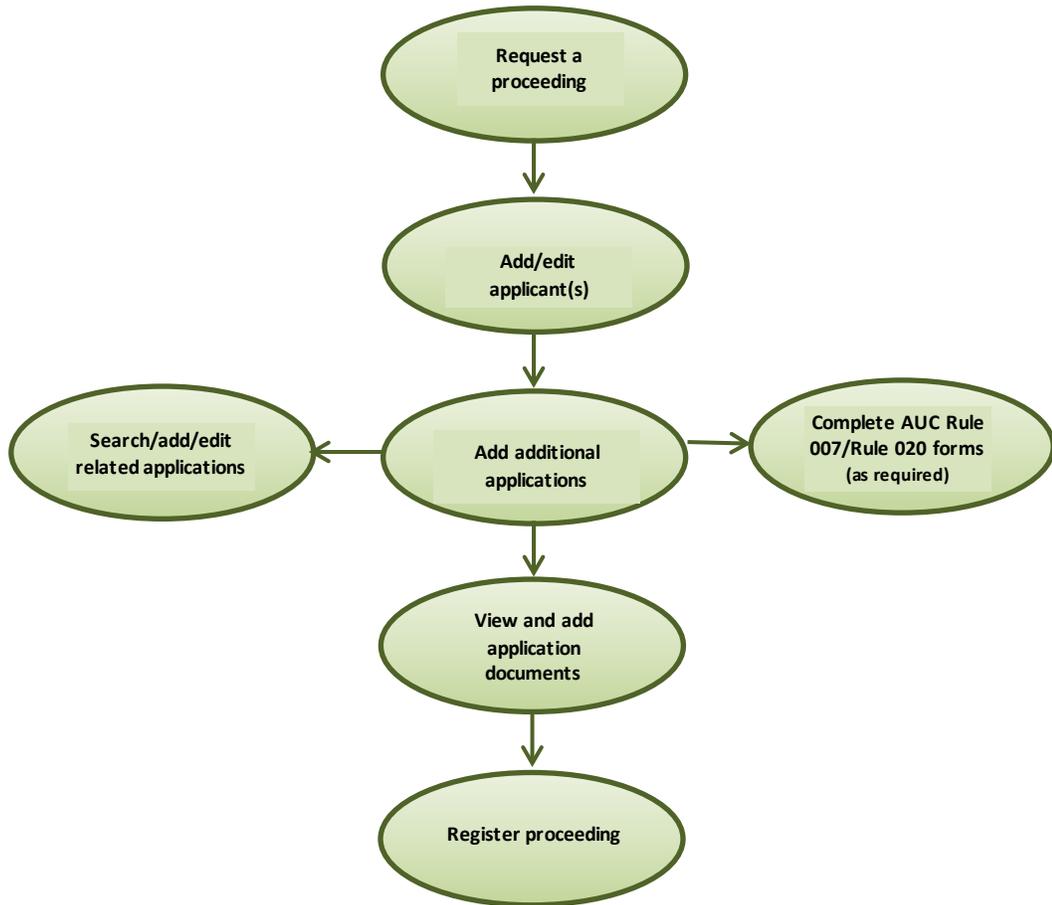
If you've forgotten your login ID, you can enter your email address. If you've forgotten your email address, you need to contact your organization's eFiling System administrator or the AUC at [info@auc.ab.ca](mailto:info@auc.ab.ca).

## 4 Proceedings

Applications are filed as part of a proceeding. Within a proceeding you will find:

- applications
- applicants
- application, filing and disposition documents
- directions
- notifications
- registered parties
- schedules
- filings
- related proceedings

This is the overall flow to follow when creating a proceeding



## 4.1 Request a new proceeding

To request a proceeding:

1. Click *Request proceeding* on the main menu bar available from any eFiling screen.
2. Enter a description for the proceeding.
3. Select the contacts for your organization.
4. Select whether you are the primary applicant or you are a representative of the applicant.
5. If you select that you are representing the applicant, you will need to provide the organization name of the primary applicant and contacts for the primary applicant.
6. Click *Request*.

Request a new proceeding for Bendini Lambert & Locke

**How to:**  
To submit a new application please first answer the following information. Once finished please hit the 'Request' button. This will create a draft proceeding which you can add application(s), application documents and change the applicants. The draft proceeding will only become public once it has been registered.

Proceeding description: Stark Industries and Avengers Inc. joint eScape solar project

My Contact(s): Mitch McDeere Oliver Lambert

What is your role?:  
 I am the primary applicant  
 I am representing the primary applicant, submitting information on their behalf

Applicant: Avengers Inc.

Applicant Contact(s): Steve Rogers Bruce Banner

**Request** **Cancel**

Ensure your proceeding description that will stand the test of time.  
This description can be updated at any time before being registered in the eFiling System.

## 5 Applicants

All proceeding applicants must have an active eFilingSystem user account. You may register in a proceeding as a primary applicant, a co-applicant or as an official representative of an applicant.

You can then add co-applicants and representatives. You can also assign another applicant as the primary applicant and make yourself a co-applicant if required. One primary applicant must be entered; co-applicants and representatives are optional.

The applicant list created for a proceeding applies to all applications until the proceeding is registered. Any changes made to the applicant list while the proceeding is in draft form apply to all applications in the proceeding. Only the AUC can change the applicants for specific applications after the proceeding is registered.

## 5.1 Add an applicant

To add an applicant, from the **Applicants** screen click *Add*.

| Applicant name          | Applicant type    | Primary contact | Secondary contact |
|-------------------------|-------------------|-----------------|-------------------|
| Stark Industries Ltd.   | Primary applicant | Tony Stark      | Pepper Potts      |
| Bendini Lambert & Locke | Representative    | Mitch McDeere   | Avery Tolar       |

### Step 1: Pick the applicant

In the **Add applicant** window, click to open the **Select an applicant** window.

Step 1: Select the applicant

Applicant: [Select the applicant]

Step 2: Select the applicant type

Applicant type: Primary applicant

Save Cancel

In the **Select an applicant** window, in the filter field, enter the name (or any letters in the name) of the applicant or organization and click to select that party.

Filter for this text in any of the fields Avengers

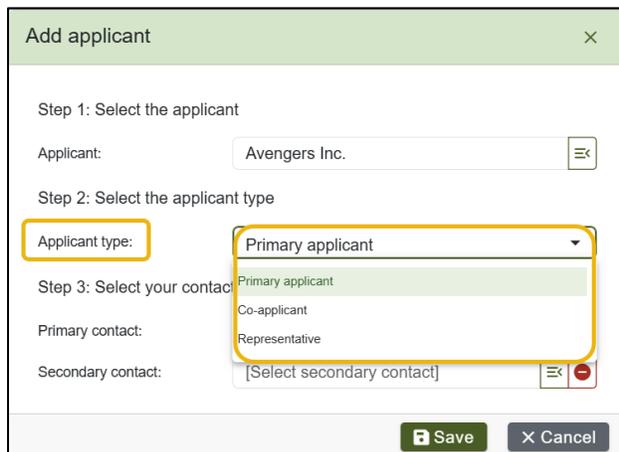
Page 1 of 1 (total 1 profiles) 100 profiles per page

| Name          | Phone          | Address       | Code   | Type         |
|---------------|----------------|---------------|--------|--------------|
| Avengers Inc. | (256) 987-4523 | 78 Shield Ave | 100ENI | Organization |

Cancel

## Step 2: Pick the applicant type

From the *Applicant type* drop-down list, select if this party is to be the primary applicant, co-applicant or a representative. Only one primary applicant can be assigned. If you need to change a primary applicant, either set the original primary applicant type to co-applicant and assign a new primary applicant or add another applicant as primary and both will be changed to co-applicant.



As a representative of an applicant, you can add additional co-applicants. If an applicant does not exist in the eFiling System, a new [organizational account](#) or a new [single user account](#) must be created first.

A representative has access to the proceeding and related documents but does not have permission to edit the account profile. As a representative, you are legally responsible for the accuracy and completeness of this filing and all supporting technical information.

## Step 3: Pick your contacts

A primary contact is required for both organizational and single user applicants. A primary contact, and an optional secondary contact, must be assigned for an organization. As a single user you are the primary contact.

## 5.2 View, edit and delete applicants

Before the proceeding is registered, it is in draft form. In draft form the applicant, co-applicant or representative can change the applicant and contact information. All applicants are connected to all applications, and any changes to applicant information automatically apply to all applications in the proceeding.

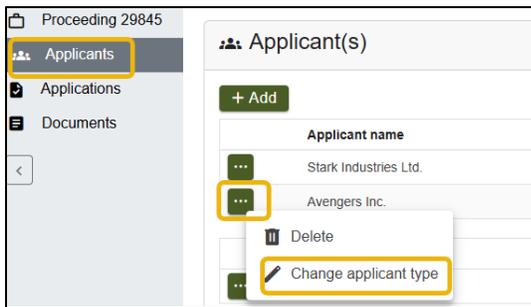
After a proceeding is registered in the eFiling System, only AUC staff assigned to the proceeding can change applicant information. This includes adding, changing or suspending the applicant and contact information. Any change to the applicant information affects only the selected application.

## 5.3 View applicants

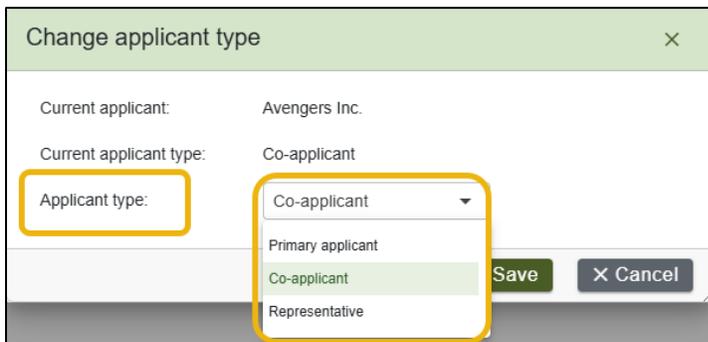
To view a list of all applicants and their type (primary, co-applicant, or representative), from the left navigation pane select the proceeding's **Applicants** screen.

## 5.4 Edit applicant type

From the proceeding's **Applicants** screen, select document actions [...] to the left of the applicant's name. Select *Change applicant type*.



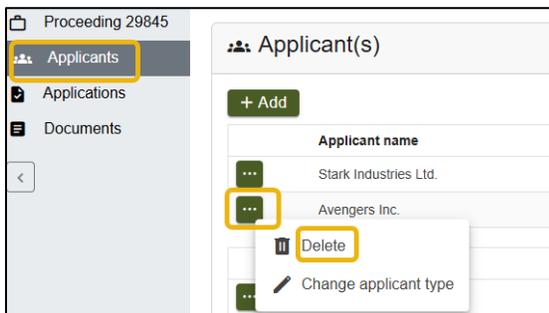
In the **Change applicant type** window, select the *Applicant type* field drop-down menu and select the desired type for the party. Select *Save*.



When changing a co-applicant to the primary applicant type, the existing primary applicant will automatically change to a co-applicant type.

## 5.5 Delete a co-applicant

To delete a co-applicant, from the proceeding's **Applicants** screen, select document actions [...] to the left of the applicant's name. Select *Delete*.



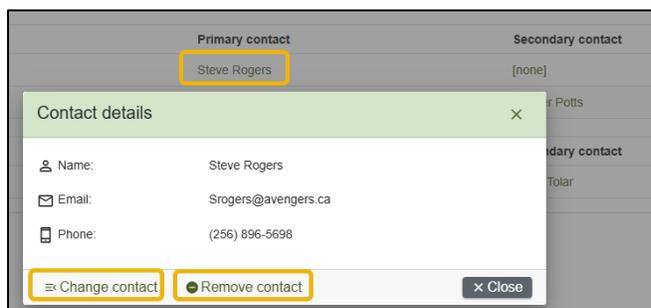
## 5.6 Change or delete applicant contact information

While a proceeding is in draft form the applicant, co-applicant or representative can change all applicant contact information. Once the proceeding is registered, the editing permissions are removed and each applicant must make their own contact changes.

From the proceeding's **Applicants** screen click the name of the contact to be changed.

Select *Change contact* to open the **Select a contact** window and see a list of available contacts for the respective party. Use the left most arrow in the window to select the desired contact. For organizations with numerous contacts, use the filter field at the top of the window to search for a name by keyword.

Select *Remove contact* to remove the contact and leave the contact field blank.



## 6 Applications

An application can be created either as a new proceeding or as part of an existing draft proceeding. A proceeding can include one or as many as 999 applications.

Each application must be created separately. As applicant, for each application you need to provide:

- The type of application (**required**).
- A description of the application (**required**).
- The applicable legislation and/or AUC rule.
- Additional information requested for Rule 007 applications for electric facilities and for gas utility pipelines.

Information can be copied between applications in a proceeding (see [Clone an application](#)). This is useful if multiple applications or a series of applications with similar information are submitted as part of a single proceeding.

A proceeding cannot contain both restricted and non-restricted application types (see [Restricted proceedings](#)).

### 6.1 Application types

The following application types are organized by application functional group and then by application category.

#### 6.1.1 AUC rule

##### 6.1.1.1 AUC Rule 005

| Type                  | Description  |
|-----------------------|--|
| Filing date extension | Applications requesting approval for an extension to the required date of filing pursuant to Section 6 of <a href="#">Rule 005: Annual Reporting Requirements of Financial and Operational Results</a> . |

## 6.1.2 Codes of conduct

### 6.1.2.1 Code of conduct

| Type                                      | Description   |
|---|---|
| New compliance plan                       | Applications for a new compliance plan under Section 30 of the <i>Code of Conduct Regulation</i> .  |
| Varied compliance plan                    | Applications for a varied compliance plan for a distributor with less than 5,000 customers under Section 3 of Rule 030: Compliance with the <i>Code of Conduct Regulation</i> .                                       |
| Compliance plan variance request          | Applications for a varied compliance plan for a regulated rate supplier of an affiliated provider under Section 3(2) of Rule 030: <i>Compliance with the Code of Conduct Regulation</i> .                             |
| Change to a compliance plan - minor       | Applications for a change to a compliance plan under Section 32 of the <i>Code of Conduct Regulation</i> that includes only minor revisions of an administrative nature that will not impact the public or customers. |
| Change to a compliance plan - substantive | Applications for a change to a compliance plan under Section 32 of the <i>Code of Conduct Regulation</i> that includes substantive changes.   |
| Section 17 application                    | Application requesting the opinion of the Commission under Section 17 of the <i>Code of Conduct Regulation</i> .  |

### 6.1.2.2 Inter-affiliate code

| Type  | Description   |
|---|---|
| Compliance plan amendment - minor                 | Application requesting approval to amend a compliance plan under the inter-affiliate code of conduct that includes only minor revisions of an administrative nature that will not impact the public or customers. |
| Compliance plan amendment - substantive           | Application requesting approval to amend a compliance plan under the inter-affiliate code of conduct that includes substantive changes.   |
| Inter-affiliate code of conduct exemption request | Applications requesting approval for an exemption from any provision of the inter-affiliate code of conduct.  |

## 6.1.3 Cost recovery

### 6.1.3.1 Cost claims

| Type                                    | Description  |
|---|--|
| Facility local intervenor costs         | Cost claims for facility application proceedings pursuant to Rule 009: <i>Rules on Local Intervenor Costs</i> .  |
| Market Surveillance Administrator costs | Cost claims by the Market Surveillance Administrator (MSA) pursuant to Rule 015: <i>Rules on Costs of Investigations, Hearings, or Other Proceedings Related to Contraventions</i> .                           |
| Need proceeding costs                   | Cost claims for needs identification document application proceedings pursuant to Rule 009: <i>Rules on Local Intervenor Costs</i> or Rule 022: <i>Rules on Intervenor Costs in Utility Rate Proceedings</i> . |
| Utility rate proceeding costs           | Cost claims for rate application proceedings pursuant to Rule 022: <i>Rules on Intervenor Costs in Utility Rate Proceedings</i> .  |
| Energy price setting plan costs         | Cost claims for energy price setting plan applications pursuant to Rule 022: <i>Rules on Intervenor Costs in Utility Rate Proceedings</i> .  |

## 6.1.4 Decision reviews

### 6.1.4.1 Review and variance

| Type  | Description  |
|---|--|
| Cost decision review - stage 1                            | Applications for a review relating to a costs decision made under Section 21 or Section 22 of the <i>Alberta Utilities Commission Act</i> .  |
| Cost decision review - stage 2                            | Reviews that have been granted by the Commission through a stage 1 application relating to a costs decision made under Section 21 or Section 22 of the <i>Alberta Utilities Commission Act</i> . |
| Electric utility tariff decision review - stage 1         | Applications for review of a decision approving a tariff under the <i>Electric Utilities Act</i> by a person affected by the decision.   |
| Electric utility tariff decision review - stage 2         | Reviews that have been granted by the Commission through a stage 1 application of a decision approving a tariff under the <i>Electric Utilities Act</i> by a person affected by the decision.    |
| Facility decision review - stage 1                        | Applications for review of a decision relating to a hydro development, power plant, transmission line or gas utility pipeline.   |
| Facility decision review - stage 2                        | Hearing to consider whether to vary a decision of the Commission relating to a hydro development, power plant, transmission line or gas utility pipeline.  |
| Gas utility rates decision review - stage 1               | Applications for review of a decision fixing rates, tolls or charges for a gas utility, under Section 36 of the <i>Gas Utilities Act</i> .   |
| Gas utility rates decision review - stage 2               | Hearing to consider whether to vary a decision of the Commission relating to fixing rates, tolls or charges for a gas utility, under Section 36 of the <i>Gas Utilities Act</i> .                |
| Independent system operator decision review - stage 1     | Applications for review of a decision relating to the independent system operator  |
| Independent system operator decision review - stage 2     | Hearing to consider whether to vary a decision of the Commission relating to the independent system operator.  |
| MSA decision review - stage 1                             | Applications for review of a decision relating to the MSA.   |
| MSA decision review - stage 2                             | Hearing to consider whether to vary a decision of the Commission relating to the MSA.  |
| Needs decision review - stage 1                           | Applications for review of a decision on a needs identification document.  |
| Needs decision review - stage 2                           | Hearing to consider whether to vary a decision of the Commission relating to a needs identification document.  |
| Preferential sharing of records decision review - stage 1 | Applications for review of a decision relating to preferential sharing of records.   |
| Preferential sharing of records decision review - stage 2 | Hearing to consider whether to vary a decision of the Commission relating to preferential sharing of records.  |
| Reliability standards decision review - stage 1           | Applications for review of a decision relating to reliability standards.   |
| Reliability standards decision review - stage 2           | Hearing to consider whether to vary a decision of the Commission relating to reliability standards.  |

| Type  | Description  |
|---|--|
| Water utility rates decision review - stage 1 | Applications for review of a decision fixing rates, tolls or charges for a water utility, under the <i>Public Utilities Act</i> by a person affected by the decision.  |
| Water utility rates decision review - stage 2 | Hearing to consider whether to vary a decision of the Commission relating to fixing rates, tolls or charges for a water utility, under the <i>Public Utilities Act</i> by a person affected by the decision. |
| Generic - stage 1                             | Applications for review of a decision of the Commission respecting a generic proceeding.   |
| Generic - stage 2                             | Hearing to consider whether to vary a decision of the Commission respecting a generic proceeding.  |
| Miscellaneous - stage 1                       | Applications for review of a decision respecting a miscellaneous issue.  |
| Miscellaneous - stage 2                       | Hearing to consider whether to vary a decision of the Commission respecting a miscellaneous issue.   |

## 6.1.5 Designated public utilities

### 6.1.5.1 Financing

| Type                    | Description   |
|-------------------------|---|
| Equity or debt issuance | Applications requesting approval to issue shares, stock or bonds, or other evidences of indebtedness under Section 101(2)(a) of the <i>Public Utilities Act</i> or Section 26(2)(a) of the <i>Gas Utilities Act</i> . |

### 6.1.5.2 Property franchises

| Type                           | Description  |
|--------------------------------|--|
| Disposition encumbrance merger | Applications requesting approval of matters under Section 101(2)(d) of the <i>Public Utilities Act</i> or Section 26(2)(d) of the <i>Gas Utilities Act</i> . |

## 6.1.6 Emergency management

### 6.1.6.1 Emergency response

| Type   | Description  |
|--|--|
| Utility payment deferral rate rider – electric | Electric utility payment deferral rate rider applications pursuant to the Utility Payment Deferral Program Act and Regulation. |
| Utility payment deferral rate rider – gas      | Gas utility payment deferral rate rider applications pursuant to the Utility Payment Deferral Program Act and Regulation.      |

## 6.1.7 Electric and gas distribution

### 6.1.7.1 Electric distribution

| Type   | Description   |
|--|---|
| Franchise agreement and franchise fee rate rider | Applications seeking approval of an agreement (new, amended or renewed) that grants a right to provide a utility service in a municipality and the initial franchise fee associated with the agreement. |
| Franchise fee rate rider                         | Applications seeking approval of rate riders used by a public utility to collect franchise fees pursuant to agreements with municipalities to provide utility services in the municipality.             |

| Type  | Description  |
|---|--|
| General tariff application - phase 1                  | Requests for approval of a revenue requirement under rate-of-return regulation (phase 1). Could include interim rate requests, rate riders, terms and conditions if applicant prefers to include here rather than separate. Includes compliance applications.                    |
| General tariff application - phase 2                  | Requests for approval of cost allocations and rates to recover revenue requirements (phase 2). Could include interim rate requests, rate riders, terms and conditions if applicant prefers to include here rather than separate. Includes compliance applications.               |
| Interim rates   | Applications requesting approval of interim rates prior to final rates being approved. This application type also includes any compliance applications filed in response to the foregoing matters.   |
| Miscellaneous   | Applications on any other matter not covered under one of the other application types in the electric distribution application category.   |
| Negotiation request                                   | Applications requesting approval to commence negotiations pursuant to Rule 018: <i>Rules on Negotiated Settlements</i> .   |
| Performance-based regulation - annual rate adjustment | Annual applications requesting approval of proposed rate adjustments to be effective on January 1 of the upcoming year.  |
| Performance-based regulation - K factor               | Applications requesting approval to fund certain capital-related costs through a capital factor. This application type also includes any compliance applications filed in response to the foregoing matter.  |
| Performance-based regulation - miscellaneous          | Applications on any performance-based regulation matter not covered under one of the other performance-based regulation application types in the electric distribution application category.   |
| Performance-based regulation - Y factor               | Applications requesting approval to collect certain costs through a Y factor. This application type also includes any compliance applications filed in response to the foregoing matter.   |
| Performance-based regulation - Z factor               | Applications requesting approval of an exogenous event to be treated as a Z factor. This application type also includes any compliance applications filed in response to the foregoing matter.   |
| Performance-based regulation plans                    | Applications requesting approval of performance-based regulation plans. This application type also includes any compliance applications filed in response to the foregoing matters.  |
| Rate riders   | Applications requesting approval of a rate rider including balancing pool rider, transmission charge deferral account rider or any other special riders.   |
| Tariff for information                                | Applications pursuant to Section 6 of the <i>Distribution Tariff Regulation</i> whereby an owner of an electric distribution system must provide a copy of its distribution tariff to the Commission for information if the Commission is not the relevant regulatory authority. |
| Terms and conditions of service                       | Applications requesting approval of terms and conditions of service. This application type also includes any compliance applications filed in response to the foregoing matters.   |

### 6.1.7.2 Gas distribution

| Type   | Description   |
|--|---|
| Franchise agreement and franchise fee rate rider | Applications seeking approval of an agreement (new, amended or renewed) that grants a right to provide a utility service in a municipality and the initial franchise fee associated with the agreement. |

| Type  | Description   |
|---|---|
| Franchise fee rate rider                              | Applications seeking approval of rate riders used by a public utility to collect franchise fees pursuant to agreements with municipalities to provide utility services in the municipality.   |
| General rate application - phase 1                    | Requests for approval of a revenue requirement under rate-of-return regulation (phase 1). Could include interim rate requests, rate riders and terms and conditions if applicant prefers to include here rather than separate. Includes compliance applications.      |
| General rate application - phase 2                    | Requests for approval of cost allocations and rates to recover revenue requirements (phase 2). Could include interim rate requests, rate riders and terms and conditions if applicant prefers to include here rather than separate. Includes compliance applications. |
| Interim rates   | Applications requesting approval of interim rates prior to final rates being approved. This application type also includes any compliance applications filed in response to the foregoing matters.  |
| Miscellaneous   | Applications on any other matter not covered under one of the other application types in the gas distribution application category.   |
| Negotiation request                                   | Applications requesting approval to commence negotiations pursuant to Rule 018: <i>Rules on Negotiated Settlements</i> .  |
| Performance-based regulation - annual rate adjustment | Annual applications requesting approval of proposed rate adjustments to be effective on January 1 of the upcoming year.   |
| Performance-based regulation - K factor               | Applications requesting approval to fund certain capital-related costs through a capital factor. This application type also includes any compliance applications filed in response to the foregoing matter.   |
| Performance-based regulation - miscellaneous          | Applications on any performance-based regulation matter not covered under one of the other performance-based regulation application types in the gas distribution application category.   |
| Performance-based regulation - Y factor               | Applications requesting approval to collect certain costs through a Y factor. This application type also includes any compliance applications filed in response to the foregoing matter.  |
| Performance-based regulation - Z factor               | Applications requesting approval of an exogenous event to be treated as a Z factor. This application type also includes any compliance applications filed in response to the foregoing matter.  |
| Performance-based regulation plans                    | Applications requesting approval of performance-based regulation plans. This application type also includes any compliance applications filed in response to the foregoing matters.   |
| Rate riders   | Applications requesting approval of a rate rider including load balance deferral account riders, transmission service charge riders, weather deferral account riders or other special rate riders. This application type also includes any compliance applications.   |
| Tariff for information                                | Applications to submit a schedule of rates, tolls and charges for rural gas co-operative associations or municipal gas utilities under Section 30 of the <i>Gas Distribution Act</i> .  |
| Terms and conditions of service                       | Applications requesting approval of terms and conditions of service. This application type also includes any compliance applications filed in response to the foregoing matters.  |

## 6.1.8 Electric and gas transmission

### 6.1.8.1 Electric transmission

| Type  | Description  |
|---|--|
| General tariff application  | Requests by a transmission facility owner or the Alberta Electric System Operator for revenue requirement approval (phase 1) or cost allocations\rates (phase 2). Could include interim rates, rate riders and terms and conditions if applicant prefers to include here rather than separate. Includes compliance applications. |
| Interim rates   | Applications requesting approval of interim rates prior to final rates being approved. This application type also includes any compliance applications filed in response to the foregoing matters.   |
| Miscellaneous   | Applications from transmission facility owners or the Alberta Electric System Operator on any other matter not covered under one of the other application types in the electric transmission application category.   |
| Negotiation request   | Applications requesting approval to commence negotiations under Rule 018: <i>Rules on Negotiated Settlements</i> .   |
| Performance based regulation plans                                      | Applications requesting approval of performance-based regulation plans. This application type also includes any compliance applications filed in response to the foregoing matters.  |
| Rate riders   | Applications requesting approval of a rate rider.  |
| Terms and conditions of service by transmission facility owners         | Applications requesting approval of terms and conditions of service by transmission facility owners.   |
| Terms and conditions of service by the Alberta Electric System Operator | Applications requesting approval of terms and conditions of service by the Alberta Electric System Operator.   |

### 6.1.8.2 Gas transmission

| Type                               | Description   |
|------------------------------------|---|
| General rate application - phase 1 | Requests for approval of a revenue requirement under rate-of-return regulation (phase 1). Could include interim rate requests, rate riders and terms and conditions if applicant prefers to include here rather than separate. Includes compliance applications.      |
| General rate application - phase 2 | Requests for approval of cost allocations and rates to recover revenue requirements (phase 2). Could include interim rate requests, rate riders and terms and conditions if applicant prefers to include here rather than separate. Includes compliance applications. |
| Interim rates                      | Applications requesting approval of interim rates prior to final rates being approved. This application type also includes any compliance applications filed in response to the foregoing matters.  |
| Miscellaneous                      | Applications on any other matter not covered under one of the other application types in the gas transmission application category.   |
| Negotiation                        | Applications requesting approval to commence negotiations pursuant to Rule 018: <i>Rules on Negotiated Settlements</i> .  |
| Performance-based regulation plans | Applications requesting approval of performance-based regulation plans. This application type also includes any compliance applications filed in response to the foregoing matters.   |
| Rate riders                        | Applications requesting approval of a rate rider. Includes any compliance applications.   |

## 6.1.9 Electric facilities

### 6.1.9.1 Complaints

| Type                        | Description                                |
|-----------------------------|--|
| Electric facility complaint | Complaints related to electric facilities. |

### 6.1.9.2 Distribution facilities, areas and boundaries

| Type                              | Description   |
|-----------------------------------|---|
| Distribution enquiry proposal     | Proposals for minor alterations to existing electric distribution facilities.   |
| Rural electrification association | Applications for changes to the rural electrification association boundaries, amalgamations and sale and transfer to utilities. |
| Service area                      | Applications for the area in which an electric distribution system may distribute electric energy.                              |

### 6.1.9.3 Energy storage facility

| Type                                     | Description   |
|--|---|
| Energy storage facility                  | Applications for the construction, operation or alteration of an energy storage facility.   |
| Energy storage facility enquiry proposal | Proposals for minor alterations to an energy storage facility.  |
| Energy storage facility interconnection  | Applications by owners or operators of an energy storage facility for the connection of its works with other works or proposed works.   |
| Energy storage facility ownership change | Applications for approval to sell, transfer or otherwise change the ownership of energy storage facility assets.  |
| Energy storage facility stipulation      | A request for approval of a time extension for the construction, alteration or connection of an energy storage facility, under Section 19 of the Hydro and Electric Energy Act. |

### 6.1.9.4 Industrial system designations

| Type   | Description  |
|--|--|
| Industrial system designation                  | Applications for designation of the whole or any part of an electric system as an industrial system (where the system is primarily intended to serve one or more industrial operations and meets criteria outlined in Section 4 of the <i>Hydro &amp; Electric Energy Act</i> ). |
| Industrial system designation interconnection  | Applications by owners/holders of an industrial system designation for the connection of its works with other works or proposed works.   |
| Industrial system designation ownership change | Applications for approval to sell, transfer or otherwise change the ownership of assets designated to be part of an industrial system.   |

### 6.1.9.5 Micro-generation

| Type                | Description   |
|---------------------|---|
| Cost disputes       | Applications to the AUC to rule on the applicability of additional utility costs to serve a micro-generation site under the <i>Micro-Generation Regulation</i> and Rule 024: <i>Rules Respecting Micro-Generation</i> . |
| Definition disputes | Applications to the AUC to rule on the definition of a micro-generation customer.   |
| Meter disputes      | Applications to the AUC to rule on the designation of the meter type to be provided under the <i>Micro-Generation Regulation</i> .  |
| Other disputes      | Applications submitted to make a decision about disputes not outlined within the <i>Micro-Generation Regulation</i> .   |

### 6.1.9.6 Need identification

| Type                          | Description   |
|-------------------------------|---|
| Needs identification document | Applications by the Alberta Electric System Operator for the approval of a needs identification document.   |
| Needs stipulation             | A request for a time extension for the needs identification document approval where the construction, alteration, or connection of a transmission project, by a transmission facility owner, is not expected to be completed by the previously approved date. |

### 6.1.9.7 Power generation

| Type                          | Description  |
|-------------------------------|--|
| Hydro development             | Applications to construct and/or operate a hydro development under the <i>Hydro and Electric Energy Act</i> .  |
| Power plant                   | Applications for the construction, operation or alteration of power generation and associated facilities from any energy source including wind or solar.                   |
| Power plant enquiry proposal  | Proposals for minor alterations to existing electric power plant facilities.   |
| Power plant exemption         | Applications for exemption from Section 11 of the <i>Hydro and Electric Energy Act</i> .   |
| Power plant interconnection   | Applications by owners or operators of a power plant for the connection of its works with other works or proposed works.   |
| Power plant ownership changes | Applications for approval to sell, transfer or otherwise change the ownership of power plant assets.   |
| Power plant stipulation       | A request for approval of a time extension for the construction, alteration or connection of a power plant, under Section 19 of the <i>Hydro and Electric Energy Act</i> . |

### 6.1.9.8 Transmission lines and substations

| Type                          | Description   |
|-------------------------------|---|
| Substation                    | Applications for a part of a transmission line that is not a transmission circuit and includes equipment for transforming, compensating, switching, rectifying or inverting electric energy flowing to, over or from the transmission line. |
| Transmission enquiry proposal | Proposals for minor alterations to existing electric transmission facilities.   |
| Transmission Interconnection  | Applications by owners or operators of a transmission line or substation for the connection of its works with other works or proposed works.  |

| Type                           | Description  |
|--------------------------------|--|
| Transmission line              | Applications for a system of lines of wire or other conductors whereby electric energy is transmitted in bulk (transmission circuits, insulating and supporting structures, operational and control devices and all property). |
| Transmission ownership changes | Applications for approval to transfer or change the ownership of electric transmission assets pursuant to Section 19 of the <a href="#">Hydro and Electric Energy Act</a> .  |
| Transmission stipulation       | A request for approval of a time extension for the completion of construction, alteration or connection of an electric transmission line or substation under Section 19 of the <i>Hydro and Electric Energy Act</i> .          |

## 6.1.10 Enforcement

### 6.1.10.1 Enforcement

| Type                     | Description   |
|--------------------------|---|
| Enforcement – Facilities | Facility applications requesting a hearing or other proceeding respecting failure to comply with any legislation under the Commission's jurisdiction or a Commission decision, order or rule. |
| Enforcement – Rates      | Facility applications requesting a hearing or other proceeding respecting failure to comply with any legislation under the Commission's jurisdiction or a Commission decision, order or rule. |

### 6.1.10.2 Notices of dispute

| Type   | Description  |
|--|--|
| Notice of dispute of AUC notice of specified penalty | Notice by a person named in an AUC notice of specified penalty disputing the issuance of the specified penalty, pursuant to Section 63.1(2)(b) of the <i>Alberta Utilities Commission Act</i> .          |
| Notice of dispute of MSA notice of specified penalty | Notice by the MSA that a person named in a MSA notice of specified penalty disputes the issuance of the specified penalty, pursuant to Section 52(2)(b) of the <i>Alberta Utilities Commission Act</i> . |

## 6.1.11 Gas facilities

### 6.1.11.1 Complaints

| Type                   | Description                           |
|------------------------|---------------------------------------|
| Gas facility complaint | Complaints related to gas facilities. |

### 6.1.11.2 Pipelines

| Type                              | Description   |
|-----------------------------------|---|
| Pipeline - amendment              | Applications for amendments and additions to existing gas utility pipeline licences, under the <i>Gas Utilities Act</i> and the <i>Pipeline Act</i> .                                     |
| Pipeline - installation amendment | Applications for amendments and additions of installations (i.e. compressors) on existing gas utility pipeline licences, under the <i>Gas Utilities Act</i> and the <i>Pipeline Act</i> . |
| Pipeline installation - new       | Applications for new installations on new gas utility pipeline licences (i.e. compressors), under the <i>Gas Utilities Act</i> and the <i>Pipeline Act</i> .                              |

| Type                   | Description   |
|------------------------|---|
| Pipeline - new         | Applications for new gas utility pipeline licence under the <i>Gas Utilities Act</i> and the <i>Pipeline Act</i> .                            |
| Pipeline - test medium | Applications for approval to test a pipeline using test medium other than fresh water, under sections 35 or 36 of the <i>Pipeline Rules</i> . |
| Pipeline - transfer    | Applications for name changes, amalgamations and transfers of gas utility pipelines.  |

## 6.1.12 Market oversight

### 6.1.12.1 Electricity and gas markets

| Type                         | Description   |
|------------------------------|---|
| Electricity market           | Other miscellaneous applications related to electricity market matters. |
| Wholesale natural gas market | Applications related to the wholesale natural gas markets.              |

### 6.1.12.2 Independent System Operator

| Type                                  | Description   |
|---------------------------------------|---|
| Independent system operator complaint | Written complaints pursuant to Section 26(1) of the <i>Electric Utilities Act</i> about the conduct of the independent system operator. |

### 6.1.12.3 Independent System Operator rules

| Type  | Description   |
|---|---|
| Expedited independent system operator rule – non-urgent     | Filings pursuant to Section 20.6(2)(b) of the <i>Electric Utilities Act</i> and Rule 017: <i>Procedures and Process for Developing Independent System Operator Rules</i> for expedited new, expedited amendments or expedited removal of independent system operator rules for purposes that do not affect the reliable supply of electricity or the safe and reliable operation of the interconnected electric system. |
| Expedited independent system operator rule – urgent         | Filings pursuant to Section 20.6(2)(a) of the <i>Electric Utilities Act</i> and Rule 017: <i>Procedures and Process for Developing Independent System Operator Rules</i> for expedited new, expedited amendments or expedited removal of independent system operator rules that are urgent and affects the reliable supply of electricity or the safe and reliable operation of the interconnected electric system.     |
| Independent system operator rule – administrative amendment | Filings pursuant to Subsection 20.6(1) of the <i>Electric Utilities Act</i> , and Section 12 of Rule 017: <i>Procedures and Process Development of ISO Rules and Filing of ISO Rules with the Alberta Utilities Commission</i> for an administrative amendment to an ISO rule.  |
| Independent system operator rule complaint                  | Pursuant to Section 25 of the <i>Electric Utilities Act</i> , written complaints by market participants about an independent system operator rule that is in effect or an independent system operator fee.  |
| Provisional independent system operator rule                | Filings pursuant to Section 20.2, Section 20.22, and Section 41.42 of the <i>Electric Utilities Act</i> and Rule 017: <i>Procedures and Process for Developing Independent System Operator Rules</i> for independent system operator rules considered essential to establish and for operation of the capacity market.  |

| Type  | Description   |
|---|---|
| Standard independent system operator rule amendment | Filings pursuant to Section 20.2 of the <i>Electric Utilities Act</i> and Rule 017: <i>Procedures and Process for Developing Independent System Operator Rules</i> with the Alberta Utilities Commission for amendments to independent system operator rules. |
| Standard independent system operator rule new       | Filings pursuant to Section 20.2 of the <i>Electric Utilities Act</i> and Rule 017: <i>Procedures and Process for Developing Independent System Operator Rules</i> for new independent system operator rules.   |
| Standard independent system operator rule removal   | Filings pursuant to Section 20.2 of the <i>Electric Utilities Act</i> and Rule 017: <i>Procedures and Process for Developing Independent System Operator Rules</i> for removal of independent system operator rules.  |
| Rule compliance                                     | Filings required by the AUC, for directed changes to an independent system operator rule, or the provision of it, under Section 20.21(1)(b) or Section 25(6)(e) of the <i>Electric Utilities Act</i> .  |

#### 6.1.12.4 Market Surveillance Administrator

| Type                     | Description   |
|--------------------------|---|
| Administrative notice    | A notice filed by the MSA pursuant to Section 51 of the <i>Alberta Utilities Commission Act</i> requesting a hearing or proceeding respecting a contravention.  |
| MSA complaint            | Written complaints pursuant to Section 58 of the <i>Alberta Utilities Commission Act</i> about the conduct of the MSA.  |
| Specified penalty notice | A notice filed by the MSA pursuant to Section 52 of the <i>Alberta Utilities Commission Act</i> requesting a hearing or proceeding for a contravention of an independent system operator rule for which a penalty has been specified. |

#### 6.1.12.5 Record disclosures

| Type   | Description   |
|--|---|
| Application under Section 6 of the <i>Market Surveillance Regulation</i> | Application by the Market Surveillance Administrator under Section 6 of the <i>Market Surveillance Regulation</i> to make public a record that identifies a market participant by name. |

#### 6.1.13 Records sharing

| Type                            | Description  |
|---------------------------------|--|
| Preferential sharing of records | Preferential sharing of records applications pursuant to Section 3 of the <i>Fair, Efficient and Open Competition Regulation</i> . |

#### 6.1.13.1 Reliability standards

| Type                     | Description  |
|--------------------------|--|
| Amendments for approval  | Filings pursuant to Section 19(4) of the <i>Transmission Regulation</i> to amend, supplement or replace reliability standards, agreements, criteria or directives with the independent system operator's recommendation that the Commission approve. |
| Amendments for rejection | Filings pursuant to Section 19(4) of the <i>Transmission Regulation</i> to amend, supplement or replace reliability standards, agreements, criteria or directives with the independent system operator's recommendation that the Commission reject.  |

| Type   | Description  |
|--|--|
| New reliability standards for approval         | Filings pursuant to Section 19(4) of the <i>Transmission Regulation</i> for new reliability standards, agreements, criteria or directives with the independent system operator's recommendation that the Commission approve.                 |
| New reliability standards for rejection        | Filings pursuant to Section 19(4) of the <i>Transmission Regulation</i> for new reliability standards, agreements, criteria or directives with the independent system operator's recommendation that the Commission reject.                  |
| Objections to amendments                       | Filings by market participants pursuant to Section 19(6) of the <i>Transmission Regulation</i> objecting to amendments, supplements or replacement of existing reliability standards, agreements, criteria or directives.                    |
| Objections to new reliability standards        | Filings by market participants pursuant to Section 19(6) of the <i>Transmission Regulation</i> objecting to new reliability standards, agreements, criteria or directives.   |
| Objections to removal of reliability standards | Filings by market participants pursuant to Section 19(6) of the <i>Transmission Regulation</i> objecting to the removal of reliability standards, agreements, criteria or directives.  |
| Reliability standard compliance                | Filings pursuant to an order of the Commission directing changes to a reliability standard or a provision of a reliability standard.   |
| Removal of reliability standards for approval  | Filings pursuant to Section 19(4) of the <i>Transmission Regulation</i> for removal of existing reliability standards, agreements, criteria or directives with the independent system operator's recommendation that the Commission approve. |
| Removal of reliability standards for rejection | Filings pursuant to Section 19(4) of the <i>Transmission Regulation</i> for removal of existing reliability standards, agreements, criteria or directives with the independent system operator's recommendation that the Commission reject.  |

## 6.1.14 Retail Energy

### 6.1.14.1 Complaints

| Type                   | Description   |
|------------------------|---|
| Complaints and appeals | Complaints or appeals filed under the <i>Municipal Government Act</i> , <i>Distribution Tariff Regulation</i> , <i>Gas Distribution Act</i> or <i>Natural Gas Billing Regulation</i> . This also includes any other complaints which are not related to market oversight. |

### 6.1.14.2 Electric retail

| Type                | Description  |
|---------------------|--|
| Energy charges      | Applications with respect to monthly electricity charges.  |
| Interim rates       | Applications requesting approval of interim rates prior to final rates being approved. This application type also includes any compliance applications filed in response to the foregoing matters. |
| Miscellaneous       | Applications on any other matter not covered under one of the other application types in the electric retail application category.   |
| Negotiation request | Applications requesting approval to commence negotiations pursuant to Rule 018: <i>Rules on Negotiated Settlements</i> .   |
| Other rates         | Applications seeking approval of non-energy related costs and associated rates. This application type also includes any compliance applications filed in response to the foregoing matters.        |
| Rate riders         | Applications requesting approval of a special rate rider. This application type also includes any compliance applications filed in response to the foregoing matters.                              |

| Type                            | Description  |
|---------------------------------|--|
| Terms and conditions of service | Applications requesting approval of terms and conditions of service. This application type also includes any compliance applications filed in response to the foregoing matters. |

### 6.1.14.3 Gas retail

| Type                            | Description  |
|---------------------------------|--|
| Energy charges                  | Applications with respect to monthly gas charges.  |
| Interim rates                   | Applications requesting approval of interim rates prior to final rates being approved. This application type also includes any compliance applications filed in response to the foregoing matters. |
| Miscellaneous                   | Applications on any other matter not covered under one of the other application types in the gas retail application category.  |
| Negotiation request             | Applications requesting approval to commence negotiations pursuant to Rule 018: <i>Rules on Negotiated Settlements</i> .   |
| Other rates                     | Applications seeking approval of non-energy related costs and associated rates. This application type also includes any compliance applications filed in response to the foregoing matters.        |
| Rate riders                     | Applications requesting approval of a special rate rider. This application type also includes any compliance applications filed in response to the foregoing matters.                              |
| Terms and conditions of service | Applications requesting approval of terms and conditions of service. This application type also includes any compliance applications filed in response to the foregoing matters.                   |

### 6.1.15 Share transfer

#### 6.1.15.1 Prohibited share transaction

| Type                              | Description  |
|-----------------------------------|--|
| Sell or transfer of capital stock | Applications requesting approval to sell or transfer capital stock to a corporation under Section 102 of the <i>Public Utilities Act</i> or Section 27 of the <i>Gas Utilities Act</i> . |

### 6.1.16 Utility supply agreements

#### 6.1.16.1 Municipal Government Act

| Type             | Description  |
|------------------|--|
| Supply agreement | Applications seeking approval of proposed agreements for the supply of: water, steam or fuel by a council to a public utility; or electric power by a council or a municipal public utility, under Section 30 of the <i>Municipal Government Act</i> . |

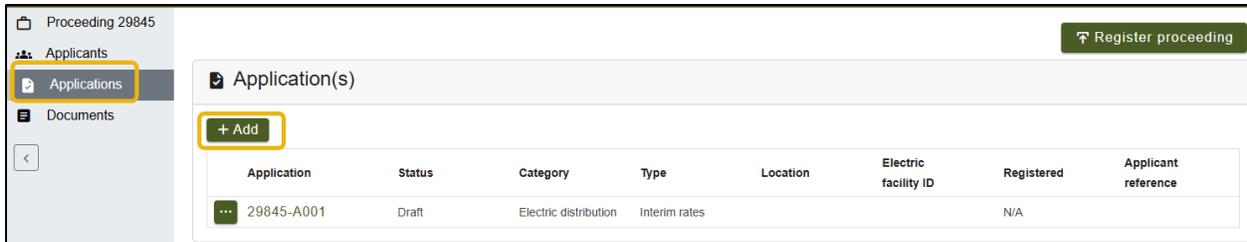
#### 6.1.16.2 Water

| Type                     | Description  |
|--------------------------|--|
| General rate application | Requests for revenue requirement approval (phase 1) or cost allocations (rates phase 2). Could include interim rates, rate riders, terms and conditions of service if applicant prefers to include here rather than separate. Includes compliance applications. Excludes Rule 011: <i>Rate Application Process for Water Utilities</i> . |
| Miscellaneous            | Applications associated with interim rate requests, rate riders, terms and conditions, requests to negotiate or any other matter related to water utilities that is not covered under one of the other application types in the water application category.  |

| Type   | Description  |
|--|--|
| Rule 011: Rate Application Process for Water Utilities | Applications by small investor-owned water utilities to establish rates as outlined in Rule 011: <i>Rate Application Process for Water Utilities</i> . |

## 6.2 Add an application

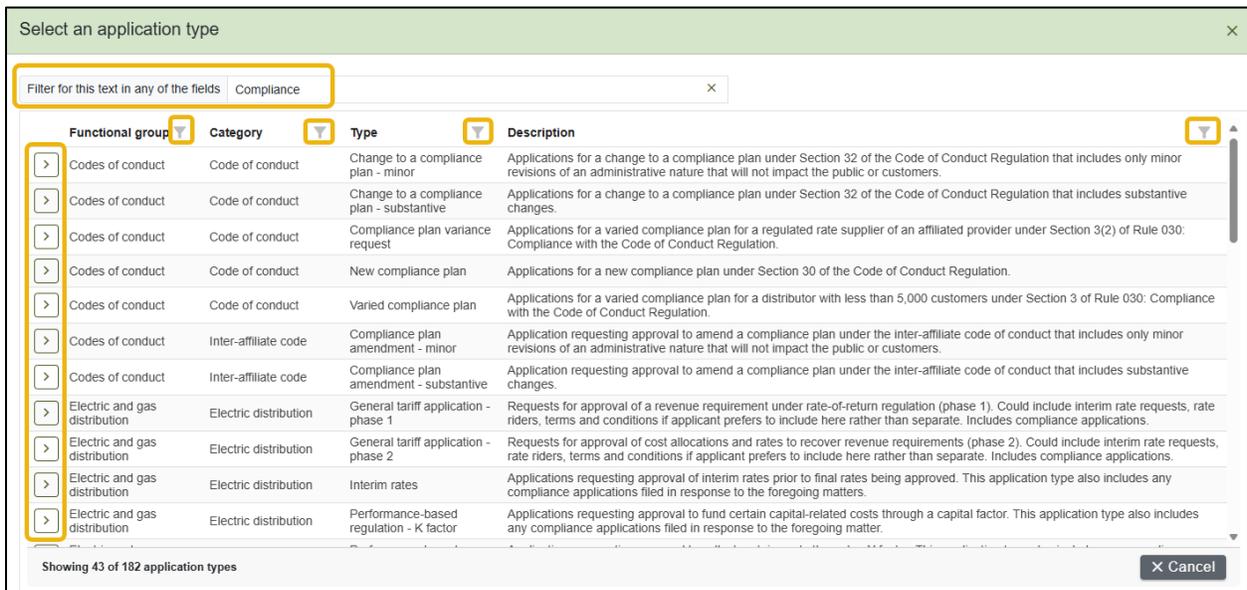
To add an application to a proceeding, select **Applications** in the left navigation menu and click **Add** on the **Application(s)** screen. The **Select an application type** window will launch.



### 6.2.1 Choose the application type

In the **Select an application type** window use the left most arrow to select the desired application type and open the associated application form.

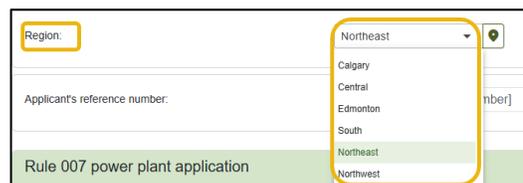
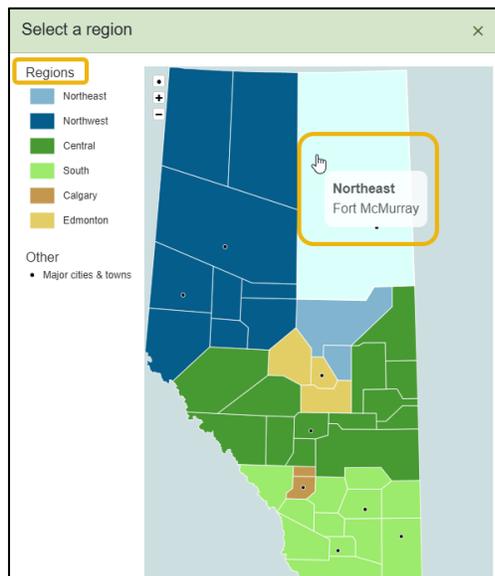
Use the filter box at the top of the window to search and filter for applications by keywords, or use the advanced filter tool available for each column in the window.



### 6.2.2 Add general application information

Complete the application form that is system generated for the selected application type.

| Field                                 | Description   |
|---------------------------------------|---|
| Application description (required)    | Enter a description of what the application is for. An example is: <i>“Transmission line 7L123 upgrade project to provide service to an industrial complex – Application A or Interim TFO Tariff for May 2014.”</i> (100-character length maximum).   |
| Description for notice of application | This is a required field depending on the application type selected.  |
| Application type details              | System populated information for the application’s associated functional group, category, type and a description of the application type.   |
| Contact information                   | If required, enter the applicant contact information for the individual that will be referred to in the AUC notice of application.  |
| Applicable legislation                | Select [+] to open the <b>Select a legislation</b> window. Select the legislation that you are applying under. This will be used in the filing announcement. Select <i>View</i> to be redirected to the King’s Printer to view the legislation.<br><br>Repeat to add additional legislation references.   |
| Applicable rule(s)                    | Select [+] to open the <b>Select an AUC rule</b> window. Select the AUC rule that you are applying under. This will be used in the filing announcement. Select <i>View</i> to be redirected to the AUC website to view the legislation.<br><br>Repeat to add additional rules.  |
| Applicable regions(s)                 | Select [+] to open the <b>Select a region</b> window. A regional color-coded map is displayed for the province of Alberta. Hover over sections of the map to display a tool tip with the region’s name. Click the region on the map that the application falls into.<br><br>Once a region is selected, a drop-down menu in the application form becomes available to change the selected region if needed.<br><br>Repeat to add additional regions. |



| Field                        | Description   |
|------------------------------|---|
| Applicant's reference number | Enter your own file reference number (32-character length). |

### 6.2.3 Error checking

Application forms must be correctly completed. If errors are found, a validation message is shown at the top of the form and at the field. The field name font changes from black to red.

The screenshot shows a 'New application' form with a yellow error message box at the top containing the following list:

- General info: An application description is required.
- Question 2: the energy source of the power plant is required.
- Question 3: The type of generator is required.
- Question 4: The total power plant capability (MW) is required.
- Question 5: The expected in-service date is required (yyyy/mm/dd).
- Question 6: At least one generating unit legal description for a location is required.
- Question 7: Please specify if the energy produced is used solely by the power plant owner.
- Question 8: Please specify if the power plant will be connected to the Alberta Interconnected Electric System.

Below the list, the 'Application description:' field is highlighted in red. A tooltip below it displays the error message: 'General info: An application description is required. ×'.

All errors must be resolved before a user can save the application.

A temporary confirmation message will display confirming that your application has been saved. This is not confirmation that your draft proceeding has been registered.

The application is created and assigned an application number by the system. Visit the proceeding's **Applications** screen to view and edit the draft application.

You can now upload documents for your application (see [Add application documents](#)).

### 6.2.4 Expedited applications

The AUC has adopted a trusted traveller approach for specific application types. These applications are eligible for an expedited approval based on input by the applicant into a standard application form. A disposition is automatically created that can be efficiently approved. Processing times for expedited applications are significantly reduced.

Expedited applications include:

- Electric distribution, franchise fee and franchise rate rider.
- Gas distribution, franchise fee and franchise rate rider.
- Independent system operator rules, Independent system operator rule administrative amendment.

A message on the application form will indicate if the input has qualified the application for an expedited process.



Based on your input, this application may qualify for an expedited process.

### 6.3 View and edit applications

As an applicant, co-applicant or representative for an applicant, you can update applications at any time while the proceeding is in draft form before it is registered in the eFiling System.

This includes:

- Changing the document category and type.
- Modifying the document description.
- Removing or adding an association to an application.
- Updating or deleting supporting documents.

Before an application is registered, only the proceeding applicants and their representatives can view and update proceeding and application information.

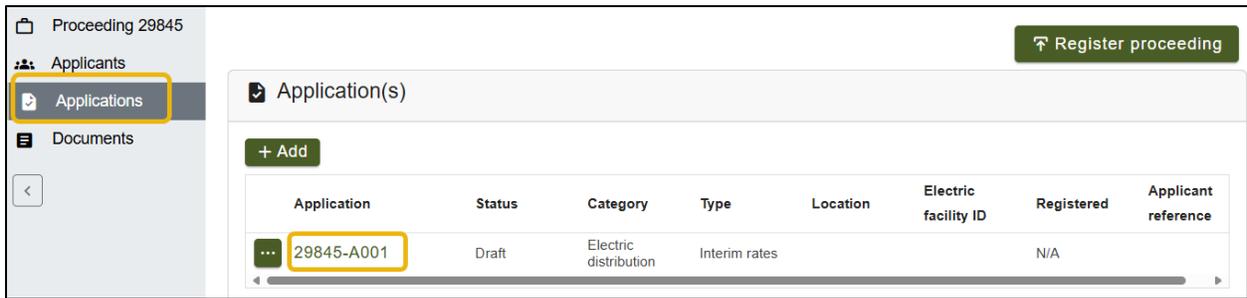
Once an application is registered as part of a proceeding:

- The application can no longer be edited but new supporting documents can be added.
- Revisions to registered application or filing documents may be submitted.
- Proceeding information and supporting documents can be searched and viewed by all users with an eFiling System account.
- The proceeding is open to the registration of interested parties who can then make [filings](#).

After an application is registered and before a final decision is issued, only AUC staff assigned to the proceeding can update the correct misclassified documents or update document descriptions that may be insufficient or require correction.

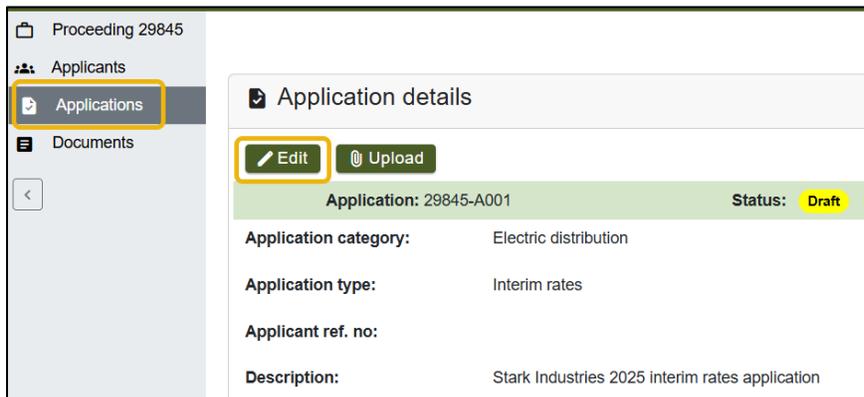
Applications can be accessed on the **Proceeding home** or the **Applications** screens.

| Application | Status | Category              | Type          | Location | Electric facility ID |
|-------------|--------|-----------------------|---------------|----------|----------------------|
| 29845-A001  | Draft  | Electric distribution | Interim rates |          |                      |



To edit an application, From the **Applications** screen select the application to open the **Application details** screen.

Select *Edit*.

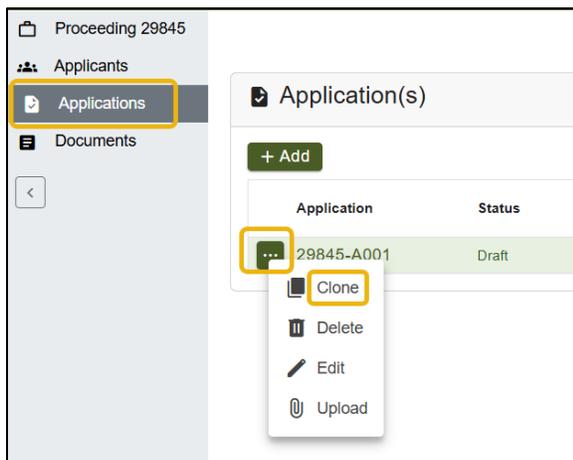


Make changes and click *Save*.

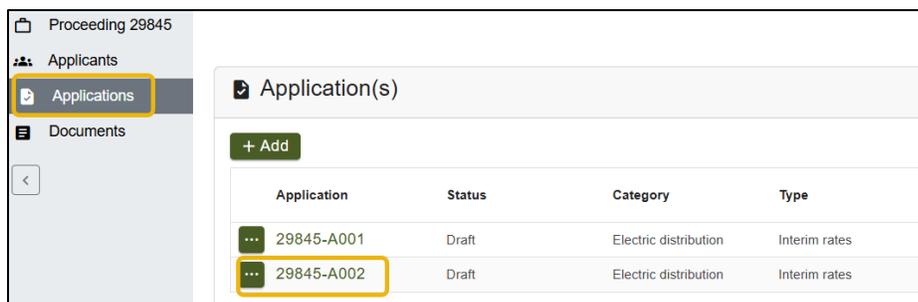
## 6.4 Clone an application

It is useful to clone an application when a series of applications with similar information are to be submitted to the AUC under one proceeding.

To clone an application, from the **Applications** screen click document actions [...] available to the left of the draft application. Select *Clone* from action menu.



A new completed application form is created. Make required changes and click *Save*. A new application number is assigned to the clone.



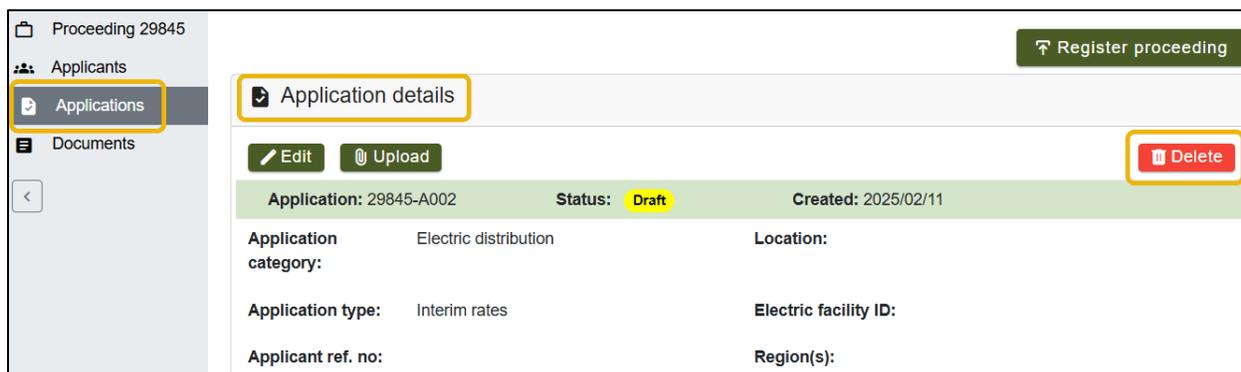
## 6.5 Delete an application

While a proceeding is in draft form applicants, co-applicants or representatives can delete an application. Once an application for a proceeding is registered, it cannot be deleted.

All application information is deleted including:

- applicant information
- documents unique to the application
- any relationship to other supporting documents
- Rule 007 forms (if applicable)

To delete an application, from the **Applications** screen, select the application to be deleted. In the **Application details** screen select *Delete application* in the top right corner.



## 7 Application documents

Documents can be uploaded at any time by an applicant, co-applicant or representative:

- While the proceeding is in draft form (before it is registered).
- After it is registered and before the final decision is issued.

Documents can be associated to one or many applications in the same proceeding.

All application documents must be one of the following document format types:

- Adobe: .pdf (It is important that .pdf files be in searchable format \*)
- Microsoft Office: .docx, .xlsx, .pptx, .vsdx, .msg
- Images: .jpg, .jpeg, .png and .gif
- .zip and .csv (pipeline applications only)

The maximum file size is 50 MB per file or 100 MB for revisions.

\* It is important that scanned documents be in a searchable form; a scanned page is an image and cannot be searched for specific words. Optical character recognition (OCR) converts the contents of a file to a searchable format to provide accurate output in the eFiling System search results.

Most printers have a simple scanning option to run OCR on scanned documents. If the OCR option is not available on your printer you should use the Scan & OCR tool available within your PDF software to scan and convert the document to a searchable format.

## 7.1 Application document types

### 7.1.1 Application and support

| Document type                                       | Description   |
|---|---|
| Affiliates list                                     | A list of the applicant's affiliates who are pool participants, the agent and agent's affiliates who are pool participants.   |
| Appendix  | Supplementary material in support of the application usually of an explanatory, statistical or bibliographic nature.  |
| Application   | Information required by an AUC rule for an application (or if no rule exists, a description of the approval, order or relief applied for, grounds on which the application is made, and references to the statutory provision under which the application is made). |
| Application form                                    | Applicant general information form and other forms related to AUC rules.  |
| Comparison of independent system operator documents | A comparison of the Alberta reliability standard to the North American Electric Reliability Corporation reliability standard.   |
| Complaint   | Written complaints about the conduct of the independent system operator or MSA or other letters of discontent expressing resentment or fault-finding pertaining to utilities.   |
| Correspondence                                      | Letters or other records of communication between parties.  |
| Curriculum vitae                                    | A synopsis of one's education, experience and professional qualifications.  |
| Draft independent system operator rule              | A copy of the draft independent system operator rule for proposed new rules, amendments to existing rules or removal of existing independent system operator rules.   |
| Draft standard                                      | A copy of the draft reliability standard for proposed new standards, amendments to existing standards or removal of existing standards.   |
| Graph   | A line chart, plot, chart or diagram depicting the relationship between two or more variables.  |
| Initiative document                                 | Documentation describing a proceeding, inquiry or some other sort of initiative started by the AUC.   |
| Notice of dispute                                   | Pursuant to Section 2(2) of the <i>Micro-generation Regulation</i> , a notice of dispute over costs.  |
| Schedule  | A written statement of details often classified in tabular form that is an explanatory addition to another document. A schedule is usually submitted to support financial information contained in an application.  |
| Study   | Reports containing research or detailed examination of a subject. Examples include depreciation studies or cost of service studies.   |
| Summary   | A document that contains previously stated facts or statements in a comprehensive yet brief and concise manner. Examples include cost summaries, independent system operator rule summaries, issue summaries and comment summaries.                                 |

## 7.1.2 Authorization

| Document type                                | Description  |
|--|--|
| Independent system operator direction letter | Letter by the independent system operator directing a transmission facility owner to submit an application to the AUC to meet an identified need.  |
| Agreement                                    | Documents signed by two or more persons containing terms which will govern the signatories. Examples include franchise agreements, crossing agreements, rural electrification association agreements or sharing of records agreements. |
| Alberta Infrastructure consent               | Ministerial consent from Alberta Infrastructure for activities by the applicant that cause a surface disturbance in the Calgary and Edmonton transportation and utility corridors.   |
| Alberta Transportation approval              | An approval issued by Alberta Transportation for structures located within close proximity of a numbered highway or intersection.  |
| Building permit                              | A permit issued by the municipality for approval of construction plans.  |
| Connection consent                           | A written statement from the distribution facility owner indicating that it is willing to connect.   |
| Contract                                     | A binding agreement that is initialed or signed between two or more parties for the action specified in the contract.  |
| Development permit                           | Confirmation that the applicant has applied for a development permit from the appropriate municipal district or county.  |
| Municipal by-law                             | A municipal bylaw pursuant to the <i>Municipal Government Act</i> with respect to an agreement between a utility and municipality.   |
| Navigation Canada evaluation                 | Copy of evaluation(s) from Navigation Canada for wind turbine blades.  |
| Transport Canada approval                    | Copy of approval(s) issued by Transport Canada for wind turbines.  |

## 7.1.3 Consultation

| Document type              | Description  |
|----------------------------|--|
| Mailing list               | A list of addresses for all owners, occupants and residents on lands within the project area as well as other interested parties contacted as a result of a participant involvement program.   |
| Non-objection confirmation | Documents confirming: (a) no objections to a proposed gas utility pipeline development such as free-hold lease agreements or crown dispositions; (b) non-objections to proposed standards or draft rules; and (c) resolution of concerns or objections to facility applications. |
| Notice                     | A document that notifies potentially affected parties about the filing of an application, outlines the nature of the application and solicits objections or support for the application from interested parties.   |
| Notification program       | Details of participant involvement programs or a statement that the applicant has conducted the public notification and involvement program as detailed in AUC rules and that there are no public objections and/or concerns.  |
| Objection                  | A record and explanation of any concerns or objections received and documentation confirming the resolution of any concerns or objections.   |
| Open house documentation   | Notices, announcements, media communications, invitations, event details, attendees and reports respecting open houses.  |

### 7.1.4 Design

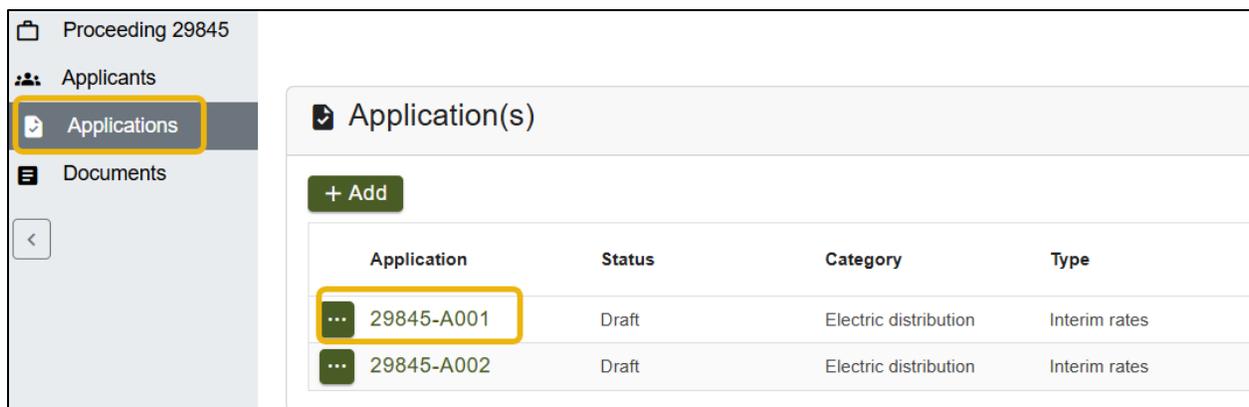
| Document type     | Description  |
|-------------------|--|
| Air photo mosaics | An aerial representation of a proposed transmission line route(s) showing the residences, landowner names, and major land-use and resource features.   |
| Diagram           | A figure usually consisting of a line drawing that outlines and explains the parts or operations of a facility. Examples include electric single line diagrams, interconnection point diagrams or process flow diagrams. |
| Drawing           | A graphical representation in the form of a sketch, plan or design. Examples include construction drawings of pipeline routes or plant site drawings.  |
| Map               | A symbolic visual representation of the features of an area. Examples include base plan maps, project area boundary maps, distribution area maps, franchise maps and route maps.   |
| Plan              | A drawing made to scale to represent the top view of a structure or area. Examples include a plot plan or site plan.   |

### 7.1.5 Technical

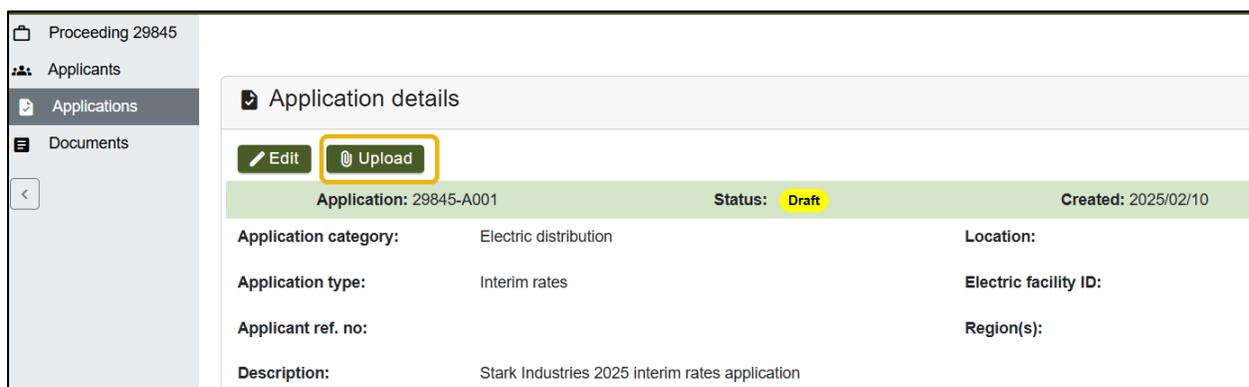
| Document type               | Description   |
|-----------------------------|---|
| Digital spatial data        | A digital representation of pipeline location data (as start and end points) in a GIS ESRI-based shapefile format. This shapefile vector storage format will contain the shape and attributes of geographic features stored as files (i.e. .shp, .shx, .dbf, and .prj files), all of which will be contained in a single .zip file. |
| Environmental               | Documents for assessment of the possible effects that a proposed project may have on the environment. Examples include environmental impact assessments, studies, conservation and reclamation plans and air emissions modeling.  |
| Functional specification    | Documents that describe the essential technical requirements for materials or services including procedures provided by the independent system operator.  |
| Pipeline other              | Supporting documents for a gas utility pipeline application. Examples include corrosion mitigation and monitoring plans and leak detection procedures.  |
| Pipeline specification data | The pipeline data file in .csv format (comma-separated values). The fields of data in each row of the file should be delimited (separated) by a comma and individual rows separated by a new line (character used to represent the end of a line of text).  |
| Noise                       | Documents for assessment of the possible noise effects of a facility on its environment. Examples include noise impact assessments and forms (as per the requirements set out in Rule 012: <i>Noise Control</i> ).  |
| Short circuit calculations  | Short circuit levels at substations near the proposed power plant connection.   |
| Supply transmission service | Amount of supply transmission service that the applicant would contract for with the independent system operator for the proposed generator.  |
| System performance studies  | Documents detailing results of studies on system performance such as load flow, stability, reactive and dynamic studies.  |

## 7.2 Add application documents

Application documents are uploaded on the **Applications details** screen. From the **Applications** screen select the application to upload application documents to.



On the **Application details** screen select *Upload*. This button is only shown if you are the applicant, co-applicant or representative with permission to add documents to the proceeding.

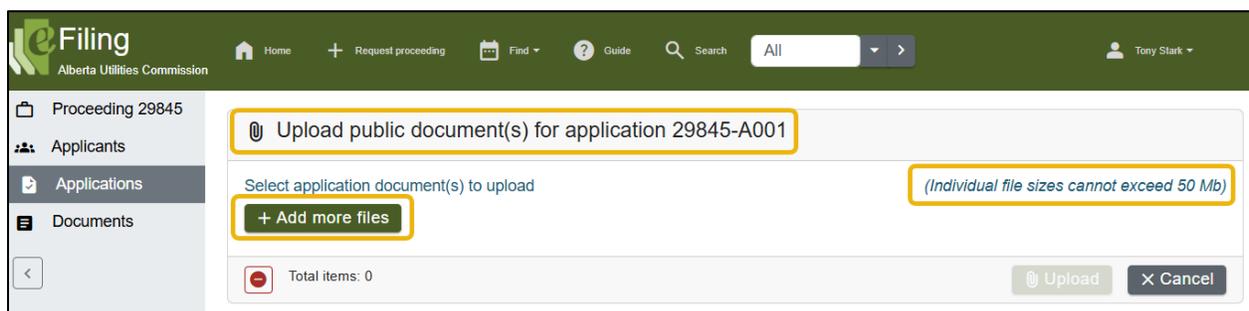


When uploading public files, the user is prompted to acknowledge and agree to the AUC privacy policy.

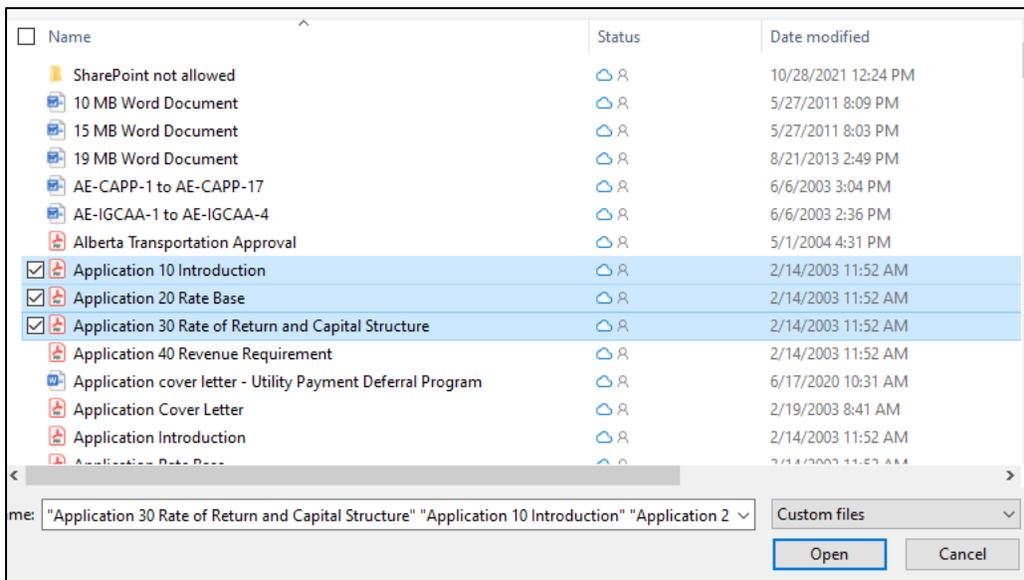
Before you can upload any files you must first agree to the AUC [privacy policy](#).

Uploading documents for the proceeding is a two-step procedure.

In the uploader screen select *+ Add more files* to open File explorer. Individual file sizes cannot exceed 50 MB.



Navigate to the file directory. Depending on the browser version you are using you will either click on the file name (use the Ctrl key to select multiple files) or hover over the file name and click the checkbox that appears to the left of the file name. Select the *Open* button.

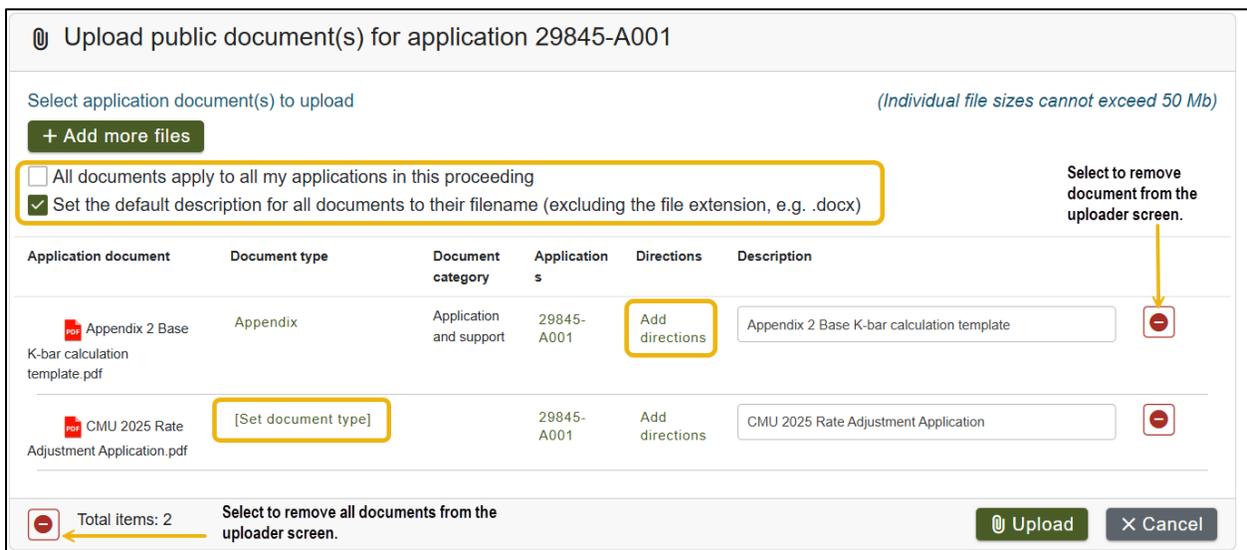


Select the checkbox to apply all documents to all applications created in the proceeding. If the uploaded documents do not apply to all applications in the proceeding, leave the box unchecked.

Select the optional checkbox to default the filename as the document description or enter a description of your choice.

For each document being uploaded, click *[Set document type]* to view a defined list of application document types. Select the appropriate application document type for each document.

If the application is being registered in response to a direction issued by the Commission, select *Add directions* to view and select from a list of directions issued to you or your organization. Select the direction the application is responding to.



Select *Upload*.

## 7.3 View and edit application documents

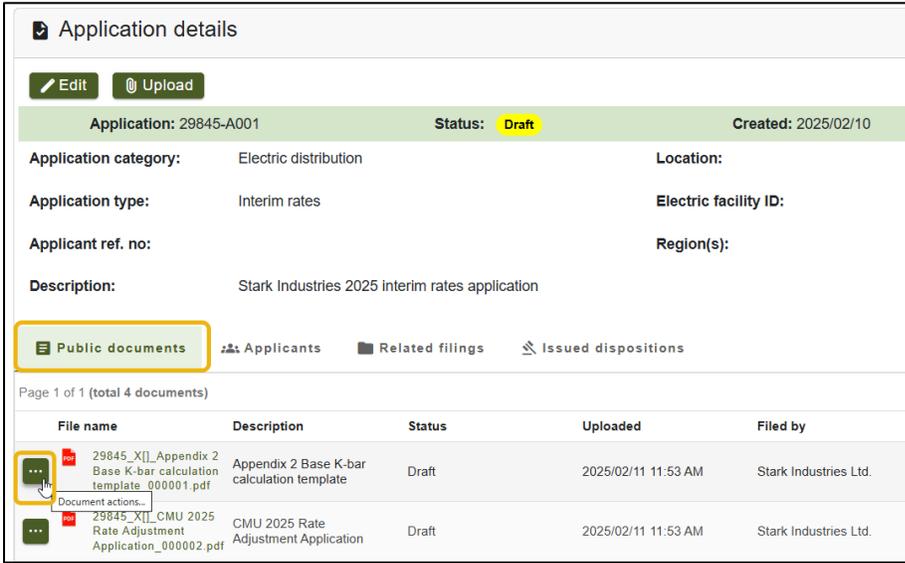
Prior to registration, as an applicant you can add additional documents, delete a document, change the application that a document is associated to and, change the document type and description.

To make changes, select the **Applications** screen from the left navigation pane.

Select the application to make document changes to.

In the **Application details** screen ensure the *public documents* tab is selected.

Select document actions [...] available to the left of the document receiving changes.



The screenshot shows the 'Application details' interface. At the top, there are 'Edit' and 'Upload' buttons. Below that, application information is displayed: Application: 29845-A001, Status: Draft, Created: 2025/02/10. Fields include Application category (Electric distribution), Application type (Interim rates), Applicant ref. no., Location, Electric facility ID, and Region(s). The Description is 'Stark Industries 2025 interim rates application'. A 'Public documents' tab is highlighted, showing a list of documents. The first document is '29845\_X[ ]\_Appendix 2 Base K-bar calculation template\_000001.pdf' with a status of 'Draft', uploaded on 2025/02/11 at 11:53 AM, and filed by Stark Industries Ltd. An action menu is open for this document, listing options like 'Associate to direction', 'Change application association', 'Change description', 'Change document type', and 'Delete'.

| File name  | Description                                | Status | Uploaded            | Filed by              |
|--|--|--------|---------------------|-----------------------|
| 29845_X[ ]_Appendix 2 Base K-bar calculation template_000001.pdf | Appendix 2 Base K-bar calculation template | Draft  | 2025/02/11 11:53 AM | Stark Industries Ltd. |
| 29845_X[ ]_CMU 2025 Rate Adjustment Application_000002.pdf       | CMU 2025 Rate Adjustment Application       | Draft  | 2025/02/11 11:53 AM | Stark Industries Ltd. |

Select an action from the document's action menu.

- Associate to direction
- Change application association
- Change description
- Change document type
- Delete

### 7.3.1 Associate to direction

Select *Associate to direction* from the document actions menu to associate the document to one or more directions issued by the Commission to you or your organization. In the **Select directions that will be associated to the document** window, check the box of the direction(s) the document is being filed in response to. If there are numerous directions listed, click *Find directions – Filter criteria* to expand the filter section and refine the results.

Select directions that will be associated to the document

Find directions - Filter criteria

Page 1 of 26 (total 2552 directions) 100 directions per page

| <input type="checkbox"/> | Direction           | Proceeding | Disposition    | Description                | Responsible party     | Status      | Due date   |
|--------------------------|---------------------|------------|----------------|----------------------------|-----------------------|-------------|------------|
| <input type="checkbox"/> | 29876-D01-2025-0001 | 29876      | 29876-D01-2025 | Benchmarking Study         | Stark Industries Ltd. | Outstanding | 2025/02/14 |
| <input type="checkbox"/> | 29876-D01-2025-0002 | 29876      | 29876-D01-2025 | Depreciation Study         | Stark Industries Ltd. | Outstanding | 2025/02/14 |
| <input type="checkbox"/> | 29833-D01-2025-0004 | 29833      | 29833-D01-2025 | Stark direction response 1 | Stark Industries Ltd. | Outstanding | 2025/02/21 |
| <input type="checkbox"/> | 29852-D01-2025-0001 | 29852      | 29852-D01-2025 | Report                     | Avengers Inc.         | Pending     | 2025/02/14 |
| <input type="checkbox"/> | 29852-D01-2025-0002 | 29852      | 29852-D01-2025 | Report                     | Stark Industries Ltd. | Outstanding | 2025/02/14 |

### 7.3.2 Change application association

Select *Change application association* from the document actions menu to associate the document to different application(s) in the proceeding. In the **Select application(s)** window check the desired applications you want the document associated to. Click *Select*.

Select application(s)

| <input type="checkbox"/>            | Application | Status | Category              | Type          | Description   | Location | Electric facility ID |
|-------------------------------------|-------------|--------|-----------------------|---------------|---|----------|----------------------|
| <input checked="" type="checkbox"/> | 29845-A001  | Draft  | Electric distribution | Interim rates | Stark Industries 2025 interim rates application         |          |                      |
| <input type="checkbox"/>            | 29845-A002  | Draft  | Electric distribution | Interim rates | Stark Industries 2025 interim rates application, cloned |          |                      |

Select Cancel

### 7.3.3 Change description

Select *Change description* from the document actions menu to edit the document's description through the **Change document description** window. Select *Save*.

### 7.3.4 Change document type

Select *Change document type* from the document actions menu to associate the document to a different application document type. In the **Select a document type** window, filter by document category or keyword to filter the list. Use the left most arrow to select the document type to associate to the application document.

Select a document type

Filter document types

Document category: Technical

Filter for this text in any of the fields

Reset

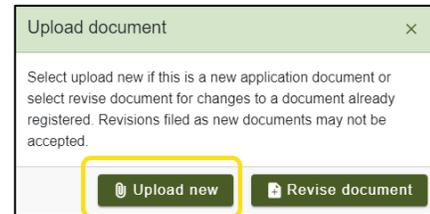
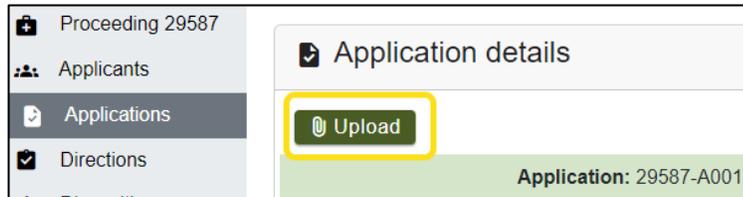
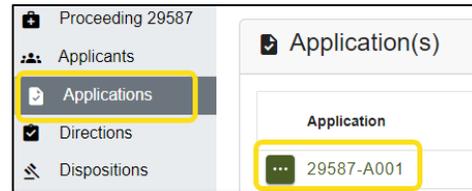
| <input type="checkbox"/>            | Document type            | Document category | Description   |
|-------------------------------------|--------------------------|-------------------|---|
| <input type="checkbox"/>            | Digital spatial data     | Technical         | A digital representation of pipeline location data (as start and end points) in a GIS ESRI-based shapefile format. This shapefile vector storage format will contain the shape and attributes of geographic features stored as files (i.e. .shp, .shx, .dbf, and .prj files), all of which will be contained in a single .zip file. |
| <input type="checkbox"/>            | Environmental            | Technical         | Documents for assessment of the possible effects that a proposed project may have on the environment. Examples include environmental impact assessments, studies, conservation and reclamation plans, and air emissions modeling.   |
| <input type="checkbox"/>            | Functional specification | Technical         | Documents that describe the essential technical requirements for materials or services including procedures provided by the independent system operator.  |
| <input checked="" type="checkbox"/> | Noise                    | Technical         | Documents for assessment of the possible noise effects of a facility on its environment. Examples include noise impact assessments and forms (as per the requirements set out in Rule 012: Noise Control).  |
| <input type="checkbox"/>            | Pipeline other           | Technical         | Supporting documents for a gas utility pipeline application. Examples include corrosion mitigation and monitoring plans and leak detection procedures.  |

## 7.4 Add or remove documents

After a proceeding is registered an applicant, co-applicant or representative can [upload new documents](#) and attach them to an application.

To attach additional application documents, select **Applications** from the left navigation menu and click the application in the right **Application(s)** screen.

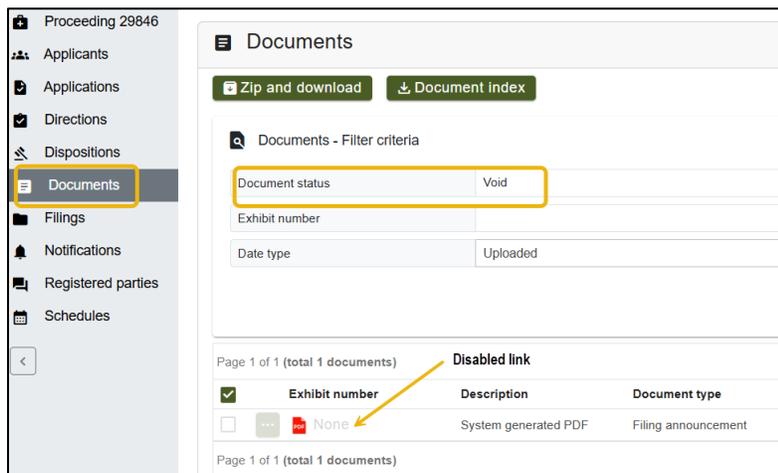
In the **Application details** screen select *Upload*. In the **Upload document** window, select *Upload new*.



Click *+ Add more files* to browse and select wanted application documents. Select the optional checkbox to default the filename as the document description. Click *Set document type* for each document to view and select the associated document type. Click Upload (documents are immediately registered).

To remove (void or withdraw) a document or replace a document for applications or filings, contact the proceeding's lead application officer. Contact information for the lead application officer is available from the proceeding's home screen.

When documents are voided or withdrawn by the AUC, the information about the document is still visible by using the document status filter but the link to open the document is disabled.



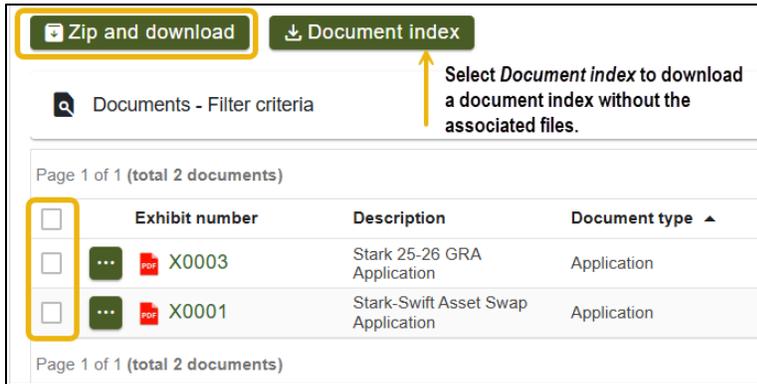
## 7.5 Download documents

As an applicant, co-applicant or representative, you can compress documents using a .zip file format and download them to a folder on your computer. You can then work with this information when you are not connected to the eFiling System. Applicants can download files both while a proceeding is in draft form and any participant can download files after an application is registered.

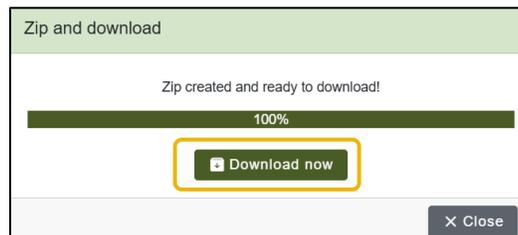
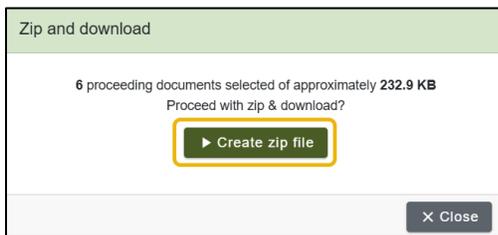
Documents for a restricted proceeding are only available for download by those registered parties that have been granted access. Please submit a request to the AUC at [info@auc.ab.ca](mailto:info@auc.ab.ca) for access to any restricted documents.

## To download documents

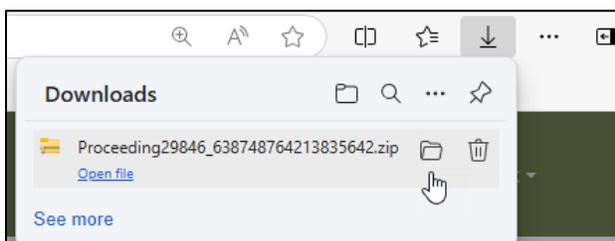
On the **Documents** screen, select the files you would like to download by checking the box to the left of the file name or check the first box to select all documents. Select the *Zip and download* button.



In the **Zip and download** window select *Create zip file*. Once the zip file is created, select *Download now*.



The zip file is available from your downloads. Select *Open file* to open the zip file or select the folder icon to access the zip file from your File Explorer downloads folder.



The .zip file lists the documents that have been compressed and downloaded plus an index.html file. The .zip file name is the proceeding number and date/time the .zip file was created in the format of #####\_YYYYMMDD\_HHMM a.m./p.m.

When documents are downloaded through the zip and download functionality, the exhibit number has been added to precede the file name. This change will facilitate the quick display of exhibits during a hearing when multiple documents are open and when the windows are minimized. The convention is now as follows:

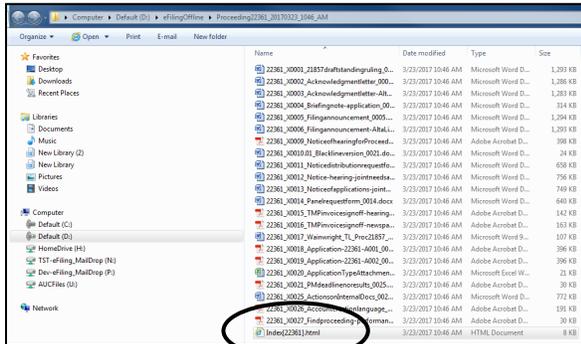
Proceeding ID\_Exhibit number\_File name\_Document ID.file format

**Example with an exhibit number:** 22361\_X0010\_Acknowledgementletter\_0017.docx

**Example without an exhibit number:** 22361\_[ ]\_NoticeofApplication\_0125.pdf

Open the zip file. Select where you want to unzip the files to.

Double click the index file to open up a table that provides links to each document with information such as exhibit number, registered party and document description for each file.



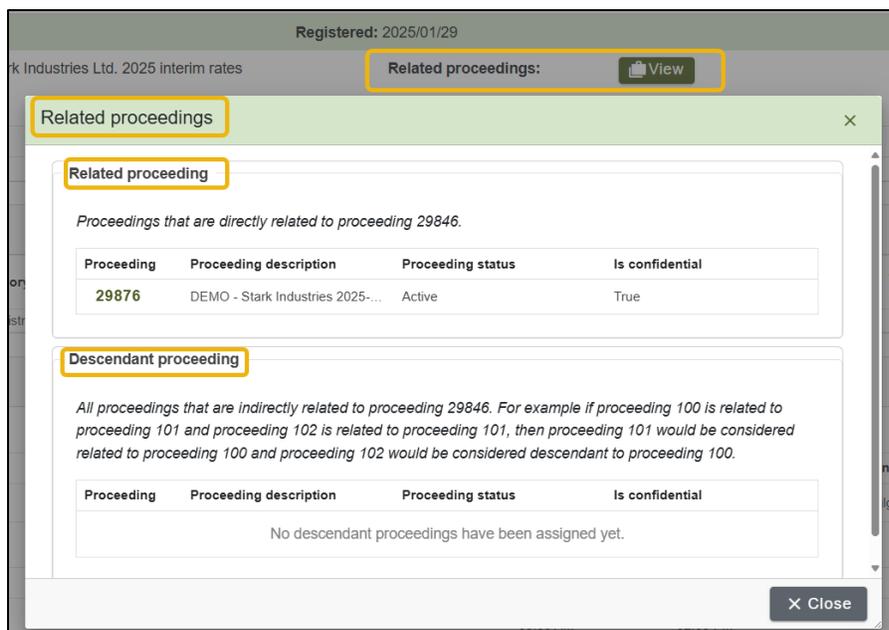
ProceedingID: 22361  
Description: Proceeding for demonstration of how to download files

| File name  | Exhibit number | Document description                        | Document type                                       | Registered party         | Uploaded            | Reference number(s)   |
|--|----------------|---|---|--------------------------|---------------------|-----------------------|
| <a href="#">22361_X0001_21857draftstandingruling_0001.docx</a>                 | 22361-X0001    | Application - part 1                        | Application   | AltaLink Management Ltd. | 2017/03/20 02:58 PM | 22361-A001;22361-A002 |
| <a href="#">22361_X0002_Acknowledgmentletter_0002.docx</a>                     | 22361-X0002    | ISO comparison figures                      | Comparison of independent system operator documents | AltaLink Management Ltd. | 2017/03/20 02:58 PM | 22361-A001;22361-A002 |
| <a href="#">22361_X0003_Acknowledgmentletter-Altalink_0003.docx</a>            | 22361-X0003    | Acknowledgmentletter-Altalink               | Correspondence                                      | AltaLink Management Ltd. | 2017/03/20 02:58 PM | 22361-A001;22361-A002 |
| <a href="#">22361_X0004_Briefingnote-application_0004.docx</a>                 | 22361-X0004    | Draft of standard                           | Draft standard                                      | AltaLink Management Ltd. | 2017/03/20 02:58 PM | 22361-A001;22361-A002 |
| <a href="#">22361_X0005_Filingannouncement_0005.docx</a>                       | 22361-X0005    | Landowner mailing list                      | Mailing list  | AltaLink Management Ltd. | 2017/03/20 02:58 PM | 22361-A001;22361-A002 |
| <a href="#">22361_X0006_Filingannouncement-Altalink_0006.docx</a>              | 22361-X0006    | Filingannouncement-Altalink                 | Functional specification                            | AltaLink Management Ltd. | 2017/03/20 02:58 PM | 22361-A001;22361-A002 |
| <a href="#">22361_X0009_Noticeofhearingforproceeding21857_0009.pdf</a>         | 22361-X0009    | Schedule of charts                          | Schedule  | AltaLink Management Ltd. | 2017/03/20 02:58 PM | 22361-A001;22361-A002 |
| <a href="#">22361_X0010.01_Blacklineversion_0021.docx</a>                      | 22361-X0010.01 | Environmental impact assessment             | Environmental                                       | AltaLink Management Ltd. | 2017/03/20 03:21 PM | 22361-A001;22361-A002 |
| <a href="#">22361_X0011_Noticedistributionrequestform-hearing_0011.docx</a>    | 22361-X0011    | Landowner outside of perimeter mailing list | Mailing list  | AltaLink Management Ltd. | 2017/03/20 02:58 PM | 22361-A001;22361-A002 |
| <a href="#">22361_X0012_Notice-hearing-jointneedsandfacility_0012.docx</a>     | 22361-X0012    | Complaint listing                           | Complaint   | AltaLink Management Ltd. | 2017/03/20 02:58 PM | 22361-A001;22361-A002 |
| <a href="#">22361_X0013_Noticeofapplications-jointNIDandfacility_0013.docx</a> | 22361-X0013    | Noticeofapplications-jointNIDandfacility    | Draft standard                                      | AltaLink Management Ltd. | 2017/03/20 02:58 PM | 22361-A001;22361-A002 |
| <a href="#">22361_X0014_Panelrequestform_0014.docx</a>                         | 22361-X0014    | Graph of electric circuits                  | Graph   | AltaLink Management Ltd. | 2017/03/20 02:58 PM | 22361-A001;22361-A002 |
| <a href="#">22361_X0015_TMPinvoicesignoff-hearingnewspaperad_0015.pdf</a>      | 22361-X0015    | Electric single line diagram                | Diagram   | AltaLink Management Ltd. | 2017/03/20 02:59 PM | 22361-A001;22361-A002 |

## 8 Related proceedings

Related proceedings are those that have a relationship to the current proceeding; for example, between development phase 1, phase 2 and phase 3 of a transmission line project. The relationship provides a link between the proceedings, but each proceeding's information is independent. Proceedings that are directly related to the current proceeding can be accessed from the proceeding's home screen.

Select *Related proceedings* to open the **Related proceedings** window. Proceedings that are linked to related proceedings of the current proceedings are shown in the *Descendant proceeding* section.



As an applicant, co-applicant or representative, you can relate proceedings while your proceeding is in a draft state. Once a proceeding is registered, requests to have proceedings related must be directed to the lead application officer of the proceeding.

Contact information for the lead application officer is available from the proceeding's home screen.

## 9 Register a proceeding

The following required information is validated before a proceeding can be registered in the eFiling System:

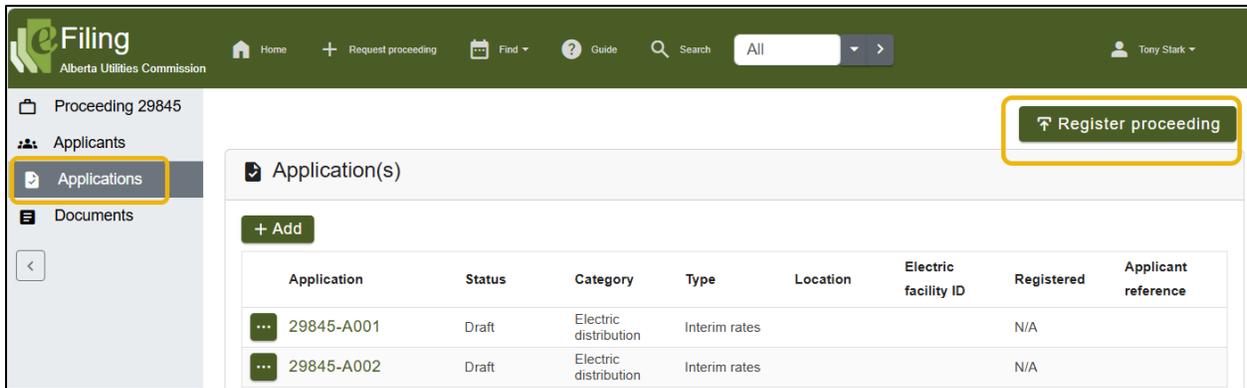
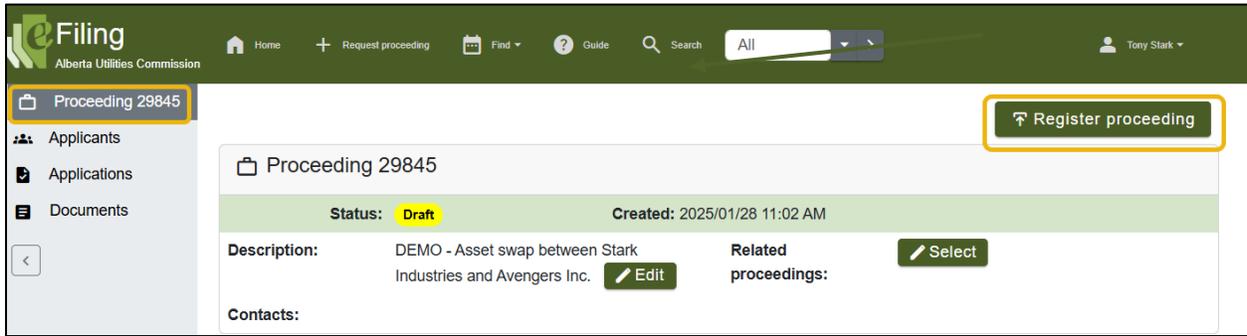
- proceeding and application description
- primary applicant name
- primary contact
- application description
- application category and type
- Rule 007/Rule 020 forms (if required)

The proceeding number is generated when the proceeding is first requested. All applications for multi-application proceedings are registered at the same time.

Until a proceeding is registered, only the applicants, co-applicants and their representatives can view the draft information. Once applications are registered, all the eFiling System users can search and view the proceeding and its applications.

### 9.1.1 To register a proceeding

On the **Proceeding home** or **Applications** screen, select *Register proceeding* from the top right corner.

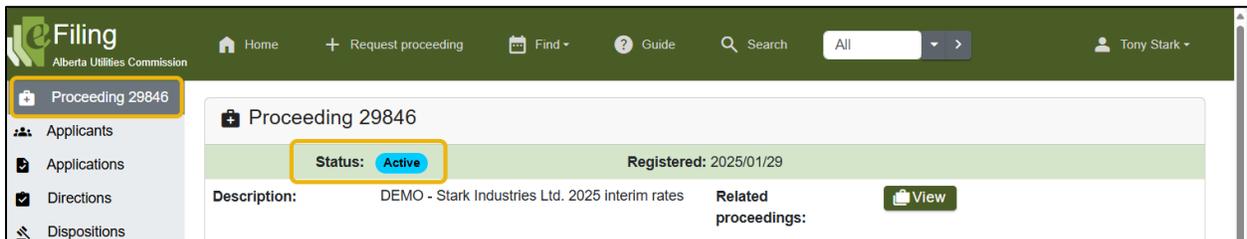


You are prompted to confirm the registration.



When a proceeding is registered:

- The proceeding status is set to *Active*.



- The application status changes from *Draft* to *Registered*.

The screenshot shows the 'Applications' page for proceeding 29846. The 'Applications' menu item is highlighted. A table lists the application details:

| Application | Status     | Category         | Type          | Location | Electric facility ID | Registered | Applicant reference |
|-------------|------------|------------------|---------------|----------|----------------------|------------|---------------------|
| 29846-A001  | Registered | Gas distribution | Interim rates |          |                      | 2025/01/29 |                     |

- Applicants are assigned to each application in the proceeding,

The screenshot shows the 'Applicants' page for proceeding 29873. The 'Applicants' menu item is highlighted. A table lists the applicant details:

| Applicant name        | Applications | Applicant type    | Primary contact | Secondary contact | Status |
|-----------------------|--------------|-------------------|-----------------|-------------------|--------|
| Stark Industries Ltd. | 29873-A001   | Primary applicant | Tony Stark      | Pepper Potts      | Active |
| Stark Industries Ltd. | 29873-A002   | Primary applicant | Tony Stark      | Pepper Potts      | Active |

- Exhibit numbers are assigned to the application documents.

The screenshot shows the 'Documents' page for proceeding 29873. The 'Documents' menu item is highlighted. A table lists the document details:

| Exhibit number | Description                                   | Document type | Registered party      | Uploaded            | Reference | Directions |
|----------------|---|---------------|-----------------------|---------------------|-----------|------------|
| X0001          | eScape solar project application - Substation | Application   | Stark Industries Ltd. | 2025/02/05 08:13 AM | A002      |            |
| X0004          | eScape solar project application              | Application   | Stark Industries Ltd. | 2025/02/05 08:06 AM | A001      |            |

- The application form(s) are converted into .pdf format.

The screenshot shows the 'Documents' page for proceeding 29873. The 'Documents' menu item is highlighted. A table lists the document details:

| Exhibit number | Description          | Document type    | Registered party      | Uploaded            | Reference | Directions |
|----------------|----------------------|------------------|-----------------------|---------------------|-----------|------------|
| X0007          | System generated PDF | Application form | Stark Industries Ltd. | 2025/02/05 08:15 AM | A001      |            |
| X0008          | System generated PDF | Application form | Stark Industries Ltd. | 2025/02/05 08:15 AM | A002      |            |

- A Filing announcement filing is automatically generated in .pdf format and registered on the proceeding.

**Primary Applicant**

| Primary Applicant     | Application | Category                           | Application Type |
|-----------------------|-------------|------------------------------------|------------------|
| Stark Industries Ltd. | 29873-A001  | Power generation                   | Power plant      |
| Stark Industries Ltd. | 29873-A002  | Transmission lines and substations | Substation       |

Issued on February 05, 2025.  
Alberta Utilities Commission

## 10 Participate in a proceeding

**Participants** are directly involved in the proceeding and make filings. A statement of intent to participate (SIP) is required.

The types of participants include:

- **Representative** - the agent or solicitor representing one or more corporate or individual parties in a proceeding. A representative can act on behalf of an applicant or intervener.
- **Intervener** - A person, group, association or company, other than the applicant, participating in a proceeding that has a material interest in the AUC's decision (could be a customer or a group representing customers and may include an AUC-sponsored expert or AUC staff panel). Interventions can be in support of or opposed to the application(s).
- **Market participant objector** – A market participant objecting to an independent system operator rule. The onus is on the market participant to defend their objection.

Other types of registered parties include:

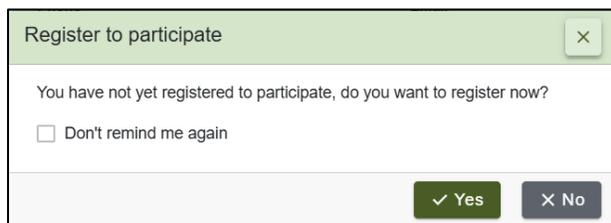
- **Court Reporter** - the court reporting company hired to provide a verbatim transcript record of a hearing (a statement of intent to participate is not required and there are limited associated filing types).
- **Observer** – a person or organization that monitors a proceeding in order to receive [Notifications](#) about updates to the proceeding (observers do not submit proceeding documents).

The AUC supports the forming of groups during the hearing process. Those with similar concerns are encouraged to consolidate and make filings collectively. A representative of the group adds and removes members and makes filings on its behalf.

Applicants and the Commission are automatically considered participants. Only those on the potential participants list can register for a restricted proceeding (see [participate in a restricted proceeding](#)).

Registration to participate on a proceeding opens when the proceeding is registered.

When you first view a proceeding where you are not the applicant, you are asked if you want to register to participate. Selecting Yes will automatically navigate you to the **Registered parties** screen of the proceeding selected.



Register to participate

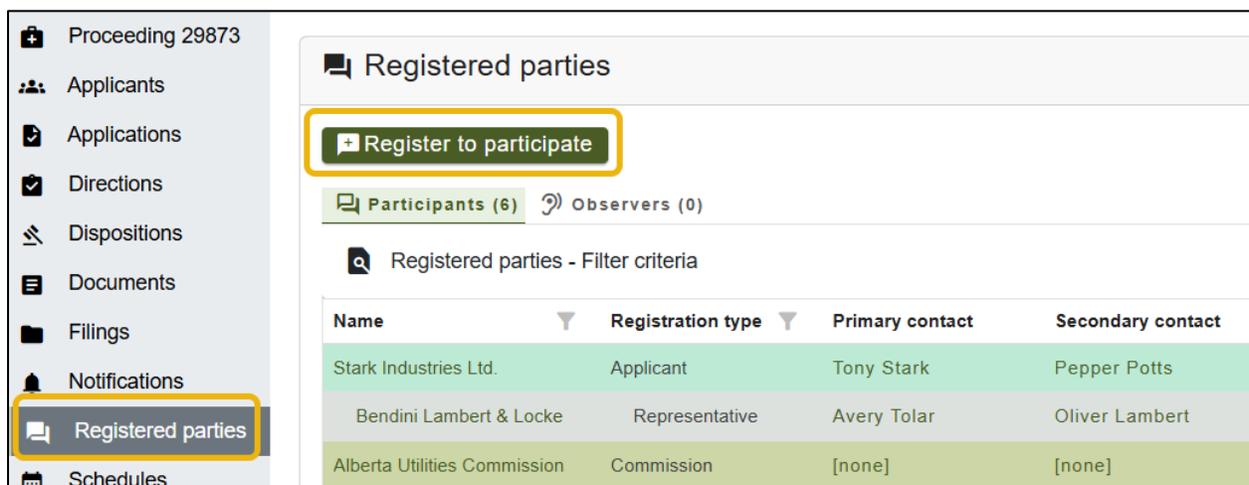
You have not yet registered to participate, do you want to register now?

Don't remind me again

✓ Yes    ✕ No

## 10.1 To participate in a proceeding

From the **Registered parties** screen click *Register to participate*. All users must acknowledge and agree to the AUC [privacy policy](#) available on the AUC website.



The screenshot shows the 'Registered parties' interface. On the left is a navigation menu with items: Proceeding 29873, Applicants, Applications, Directions, Dispositions, Documents, Filings, Notifications, Registered parties (highlighted), and Schedules. The main content area is titled 'Registered parties' and features a 'Register to participate' button (highlighted with a yellow box). Below this are tabs for 'Participants (6)' and 'Observers (0)'. A search bar is labeled 'Registered parties - Filter criteria'. A table lists the registered parties:

| Name                         | Registration type | Primary contact | Secondary contact |
|------------------------------|-------------------|-----------------|-------------------|
| Stark Industries Ltd.        | Applicant         | Tony Stark      | Pepper Potts      |
| Bendini Lambert & Locke      | Representative    | Avery Tolar     | Oliver Lambert    |
| Alberta Utilities Commission | Commission        | [none]          | [none]            |

### Step 1: Registration Type

In the **Participant registration** form, click *Select registration type*. In the **Select registration type** window, select the arrow to the left of your registration type.

Select registration type

| Registration type               | Description   |
|---------------------------------|---|
| > Court reporter                | You are the official court reporter for one or more of the hearings.                                |
| > Intervener                    | You intend to submit a filing with the Commission with respect to the application(s).               |
| > Market participant objector   | You object to an independent system operator rule.  |
| > Observer                      | You would like to receive notifications about this proceeding, but will not be submitting a filing. |
| > Representative of a new group | You are an agent or solicitor for a new group.  |
| > Representative of a party     | You are an agent or solicitor for a participant.  |

Cancel

## Step 2: Contacts

Primary contact information is automatically entered for single users. Organizations must select a primary contact (and optionally a secondary contact).

## Step 3: Representation

Depending on the registration type you selected you may have to complete a step about representation of another party.

### Representatives of a party

Representatives must select the party to represent from:

- A list of already registered parties (*Already registered parties* tab)
- Parties not registered (*Non registered parties* tab), or
- Click *Create single user* to create a new user account for the party that they are representing (see [Create a single-user account](#)).

Participant registration

Registration type

I am registering as: Representative of a party

Registration type description: You are an agent or solicitor for a participant.

Contacts

My primary contact is: Sam Elliot

Representation

I am representing: Select party to represent

Select a party to register

Already registered parties Non registered parties

Filter for this text in any of the fields

| Name                           | Registration type |
|--------------------------------|-------------------|
| > Stark Industries Ltd.        | Applicant         |
| > Alberta Utilities Commission | Commission        |
| > Ray McDeere                  | Intervener        |
| > Beckham Solar Ltd.           | Intervener        |
| > Rachel Patton                | Intervener        |
| > John Dutton                  | Intervener        |

+ Create single user Cancel

If a primary applicant with a representative is replaced with a new primary applicant, it is assumed that the original representative does not apply to the new applicant and would need to be added as a representative of the new applicant.

### Representatives of a new group

Groups are formed with group members and representatives. All groups must have a unique group name for the proceeding. Enter the name of the group and identify if you are representing a group of applicants only or a group of non-applicants.

**Note:** Any subsequent representative must be added by the representative that first created the group.

### Step 4: Complete the statement of intent to participate

The statement of intent to participate form must be completed by interveners, market participant objectors, representatives of parties not already registered, and representatives of new groups.

### Register to participate

When complete, click *Save* to register to participate. A system-generated PDF copy of the statement of intent to participate form is created and registered on the proceeding.

A notification is generated for all new participant registrations.

## 10.2 Change or remove participant role

Only registered observers can change their registration type. As a registered observer, register to participate under a different registration type (e.g., court reporter, intervener, market participant objector, or representative of a new group or party). Upon registration of your new type, the system inactivates your observer status. As a registered party, the observer registration type is no longer available to you.

Observers and registered parties wanting to be removed from the proceeding, must submit a request to the proceeding's Lead Application Officer. The contact information is available on the **Proceeding home** screen.

## 10.3 Participation notification

**Notifications** of new participants and changes to existing ones are listed on the **Notifications** screen.

| Created    | Subject  | Type              |
|------------|--|-------------------|
| 2025/02/05 | Applicant: Stark Industries Ltd.: represented by: Bendini Lambert & Locke registered to participate. | Participant added |
| 2025/02/05 | Intervener: John Dutton: represented by: Frost Law LLP registered to participate.                    | Participant added |
| 2025/02/05 | Intervener: Rachel Patton registered to participate.   | Participant added |
| 2025/02/05 | Intervener: Beckham Solar Ltd. registered to participate.  | Participant added |
| 2025/02/05 | Intervener: Ray McDeere registered to participate.   | Participant added |

Upon registration to participate, the contact listed for the registered party is automatically subscribed to receive a daily email summarizing the proceeding's **Notifications**. Other eFiling System users for that registered party can subscribe to receive the daily summary email. To manage the email subscription and frequency see section: [Daily Notification summary email](#).

---

An option is provided on the form to upload additional documentation. If you need to upload additional documentation to your submission, navigate to the **Filings** screen and create a statement of intent to participate filing type after registering to participate.

## 11 Schedules

AUC staff assigned to a proceeding creates and manages a schedule that enables users to make filings and register to participate in the proceeding. This includes schedule items such as information requests and responses, meetings, evidence and undertakings. Select a schedule status to see if the schedule item is not started, in progress, not completed (not started and in progress), and completed.

From the proceeding's left navigation pane select the **Schedules** screen to a list of all schedules and their status.

| Schedules                                   |                               |             |                     |                     |                            |
|---|-------------------------------|-------------|---------------------|---------------------|----------------------------|
| Schedule status: All                        |                               |             |                     |                     |                            |
| <b>Hearings and meetings</b>                |                               |             |                     |                     |                            |
| Title                                       | Type                          | Status      | Start date          | Closing date        | Location                   |
| Public information session                  | Meeting - information session | Completed   | 2025/02/10 08:00 AM | 2025/02/10 02:00 PM | Hampton's Community Centre |
| Stakeholder discussion - preliminary issues | Meeting - technical           | Not started | 2025/02/12 08:00 AM | 2025/02/12 04:00 PM | AUC Calgary hearing room   |
| GRA Hearing, Phase 1                        | Hearing                       | Not started | 2025/05/12 08:00 AM | 2025/05/16 02:00 PM | Virtual platform           |
| <b>Process</b>                              |                               |             |                     |                     |                            |
| Title                                       | Type                          | Status      | Start date          | Closing date        |                            |
| Participation closing date                  | Participation closing date    | In progress | 2025/02/06 10:15 AM | 2025/02/21 02:00 PM |                            |
| Evidence submissions                        | Evidence                      | Not started | 2025/04/07 08:00 AM | 2025/04/10 02:00 PM |                            |
| Argument submissions                        | Argument                      | Not started | 2025/05/19 08:00 AM | 2025/05/22 02:00 PM |                            |

Select a schedule's title to view detailed information.

### 11.1 Schedule types

| Type                        | Description   |
|-----------------------------|---|
| Application response letter | A letter to the applicant from the AUC outlining the anticipated procedural schedule for the application.   |
| Argument                    | Deadline date and time for submission of documentation that summarizes the evidence for a party's case, highlights the important aspects of the issues, states what the AUC's decision should be, and gives supporting reasons. |
| Argument - reply            | Deadline date and time for submission of documentation to reply to the parties' final argument.   |
| Cost budget                 | The deadline date and time for submission of a detailed budget outlining the reasonable fees and disbursements the party anticipates will be incurred in association with a proceeding.   |
| Cost budget - reply         | The deadline date for submission of a party's revised budget that outlines the reasonable fees and disbursements the participant anticipates will be incurred in association with a proceeding.                                 |
| Cost budget - response      | The deadline date and time for submission of a party's comments on the cost budgets.  |
| Evidence                    | Deadline date and time for submission of documentary evidence by involved parties detailing facts to support or refute an application.  |
| Evidence - rebuttal         | Deadline date and time for submission of written evidence given in response to new issues raised in evidence.   |
| Evidence - sur-rebuttal     | Deadline date and time for submission of written evidence in response to issues raised in rebuttal evidence.  |
| Hearing                     | Commencement date and end date of the oral hearing session. See the Hearing announcement for full details.  |

| Type                              | Description   |
|-----------------------------------|---|
| Information request               | The deadline date and time for registered parties to submit information requests to other registered parties.   |
| Information response              | The deadline date and time for registered parties to submit information responses to other registered parties.  |
| Meeting - pre-hearing             | Date, time and location for discussion of the procedural matters for the hearing including scheduling, issues, positions, costs, use of third-party consultants, or other matters to ensure the hearing is efficient. See Process announcement for meeting details. |
| Meeting - information session     | Date, time and location of information session about public participation in the hearing process to be given by AUC staff. See Process announcement for full details.   |
| Meeting - settlement              | Date, time and location of a meeting between parties to discuss a negotiated settlement.  |
| Meeting - technical               | The date set for a meeting to allow the applicant to explain and discuss its application in an informal and collaborative setting prior to a litigated hearing.   |
| Participation closing date        | The deadline date and time for a party to register to participate in a proceeding and submit a statement of intent to participate.  |
| Post-disposition documentation    | The timeline required to allow any follow-up documentation to be filed by registered parties on a proceeding that has been completed.   |
| Procedural submissions - motion   | The deadline date and time for submissions of documents pertaining to a particular issue or matter.   |
| Procedural submissions - reply    | The deadline date and time for submissions in reply to a procedural submission - response.  |
| Procedural submissions - response | The deadline date and time for submissions in response to a procedural submission.  |
| Reply to AUC correspondence       | The deadline for external parties to respond to AUC correspondence.   |
| Undertakings - request            | The deadline date and time for registered parties to submit undertaking requests to other registered parties.   |
| Undertakings - response           | The deadline date and time for registered parties to submit undertaking responses to other registered parties.  |

## 12 Filings

Registered participants in a proceeding can register a filing to the proceeding. They can create, edit and delete draft filings before registration. Filings can be made more than one time: perhaps once as an intervener and another as a representative of a group.

Single users and any staff for an organization that is a registered participant in a proceeding can create filings. Observers and inactive registered participants for a proceeding cannot create filings.

Only the creator of the filing can view their draft filing; once the filing is registered, AUC staff assigned to the proceeding can update the filing information (not the content) and remove (void or withdraw) the filing if required. Revisions can be made to filing documents after registration. Once a proceeding is complete, only post-disposition document filings that are associated to applicable post-disposition schedules can be made.

An observer to a proceeding is not considered a registered participant and can only view and receive notifications about registered filings available to the public. This includes the filing announcement, notice of application, and decision.

If a proceeding is restricted, only registered parties and assigned AUC staff resources can view and manage the filings.

## 12.1 Filing types

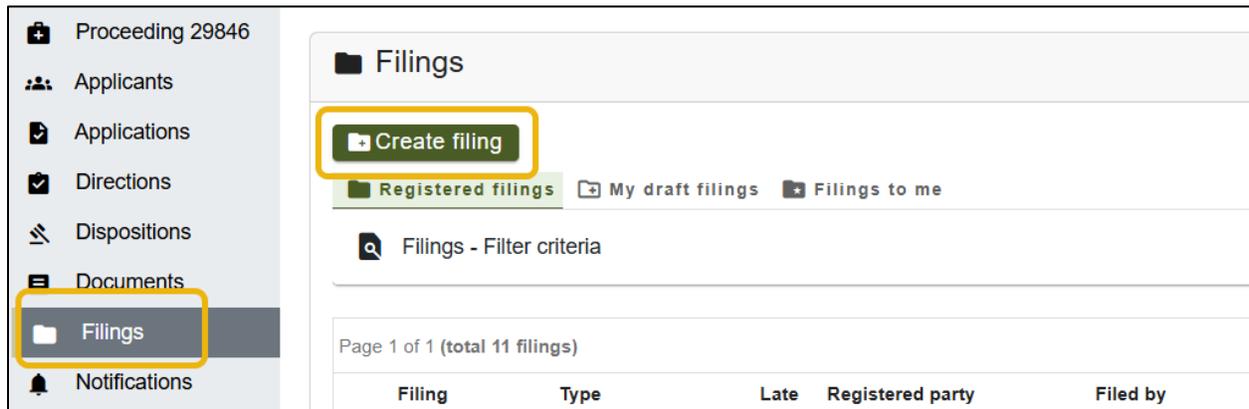
| Filing type                     | Description  |
|---------------------------------|--|
| Application complete letter     | A Commission letter that advises, in writing, when it has deemed an application to be complete, such that the application is technically sound, not deficient of information and can continue to be processed.   |
| Application response letter     | A letter to the applicant from the AUC outlining the anticipated procedural schedule for the application.  |
| Argument                        | Written submissions that summarize the evidence for a party's case, highlights the important aspects of the issues, states what the AUC's decision should be and gives supporting reasons.   |
| Argument - reply                | Documentation submitted by parties to reply to the final argument.   |
| Compliance letter               | Correspondence written by the AUC that indicates that a disposition direction(s) has been adequately met.  |
| Confidentiality undertaking     | Pursuant to Rule 001: <i>Rules of Practice</i> , a required form (RP5) submitted by a party wishing to be granted access on the eFiling System to the confidential information for the purposes of participating in a proceeding. The undertaking describes the specific protocol and procedures for the handling of the confidential information. |
| Confidentiality ruling          | A document issued by the Commission that grants or denies a motion for confidentiality, outlines the specifics of what information is to remain confidential, and details any parties to be excluded from submitting a confidentiality undertaking.  |
| Correspondence - AUC to parties | Letters and other correspondence written by the AUC that are directed to the applicant or other parties.   |
| Correspondence - external       | Letters, emails and other miscellaneous correspondence written by involved parties regarding the proceeding (if you are requesting an action from the Commission use document type: procedural submission - motion).   |
| Cost budget                     | The detailed projection of associated reasonable costs and disbursements expected by registered party participating in a proceeding.   |
| Cost budget - reply             | Documents submitted in reply to a cost budget - response.  |
| Cost budget - response          | A document that provides comments on the participant and applicant cost budgets.   |
| Direction response              | Correspondence written by a responsible party to fulfill a direction of the Commission.  |
| Evidence                        | Documentary evidence submitted by parties detailing facts to support or refute an application. Evidence must be accompanied by a statement setting out qualifications of the person who prepared the evidence or under whose direction the evidence was prepared.  |
| Evidence – AUC-sponsored        | Evidence provided by an expert sponsored by the AUC.   |
| Evidence - rebuttal             | Written evidence given in response to new issues raised in evidence.   |
| Evidence - sur-rebuttal         | Written evidence from registered parties in response to issues raised in rebuttal evidence.  |
| Filing announcement             | Notification of registration of a proceeding with the AUC.   |
| Hearing exhibit                 | Documents that are introduced into evidence in the hearing and have been accepted as evidence on the record (not pre-filed evidence).  |
| Information request             | Specific questions for clarification about a party's evidence, documents or other material that is in the possession of the party and relevant to the proceeding.  |
| Information response            | Response to each question posed in an information request.   |

| <b>Filing type</b>                               | <b>Description</b>  |
|--|---|
| Motion for confidentiality                       | Documents submitted by a party requesting a Commission determination to keep a document, a portion of a document, or multiple documents confidential and off the public record. The motion describes the specific information that should remain confidential and must include either a public, redacted version of each confidential document, or where the request applies to an entire document, a non-confidential description or summary of that document. Although filed separately on the confidential record, the motion also requires all unredacted confidential documents for consideration by the Commission. |
| Non-compliance letter                            | Correspondence written by the AUC that indicates the reasons why a disposition direction(s) has not been adequately met.  |
| Notice for publication                           | Concise version of the notices specifically for advertising in newspapers. May include proof of publication.  |
| Notice of amendment                              | This notice briefly outlines the revisions made to the application(s) and may indicate a new filing deadline for responses from interested parties.   |
| Notice of application                            | This notice briefly outlines the nature of the application(s) and solicits responses from interested parties by a specified date.   |
| Notice of hearing                                | Correspondence from the AUC outlining details regarding a hearing or pre-hearing.   |
| Opening statement                                | Opening remarks by registered parties upon commencement of the oral hearing.  |
| Post-disposition documentation                   | Follow-up documentation required to be filed by a specific registered party on a proceeding that has been completed. Examples include progress and post-construction reports.   |
| Pre-hearing documentation                        | Correspondence regarding the pre-hearing stage, including participant positions, costs, need for third-party consultants, hearing procedures, time allotment for parties, negotiated settlements, appropriate dispute resolution, technical meetings or information sessions.   |
| Procedural filing - motion                       | Documents submitted by a party requesting a Commission determination on a procedural matter or issue.   |
| Procedural filing -reply                         | Documents submitted in reply to a response on a motion.   |
| Procedural filing - response                     | Documents submitted in response to a motion.  |
| Process announcement                             | Correspondence from the AUC outlining any aspect of the regulatory process for the proceeding. The announcement can include details regarding a written process or information session.   |
| Public correspondence in a restricted proceeding | Publicly available correspondence in a restricted proceeding such as letters, emails and other miscellaneous correspondence written by participating parties. This filing type does not receive confidential status.  |
| Reference material                               | Documents that provide factual and contextual reference for potential use in the preparation of the background and descriptive sections of a Commission report.   |
| Reply to AUC correspondence                      | The deadline for external parties to respond to AUC correspondence.   |
| Ruling   | Determination of the Commission in response to a motion.  |
| Statement of intent to participate               | The nature of the party's interest in the proceeding; how the party will be directly or adversely affected by the AUC's decision; the reasons why the AUC should decide in the manner that the party advocates; and business interest rule eligibility.   |
| Statutory declaration                            | An AUC Statutory declaration of recipient form pursuant to Rule 001: <i>Rules of Practice</i> required to be submitted by users that have executed a Confidentiality undertaking.   |
| Transcript                                       | Documents containing a verbatim record of an oral hearing.  |
| Undertaking                                      | Evidence submitted to comply with an undertaking to provide an answer to a question asked during an oral hearing.   |

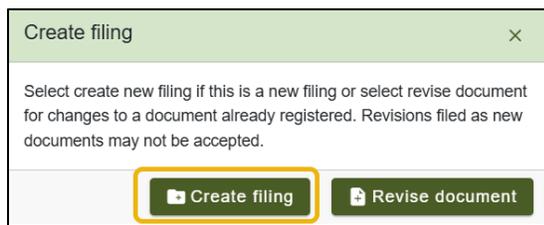
| Filing type            | Description  |
|------------------------|--|
| Undertaking – request  | A question arising from an undertaking.                |
| Undertaking – response | The response to a question asked about an undertaking. |

## 12.2 Create a filing

To create a filing, select **Filings** in the left navigation menu and then select *Create filing*.



In the **Create filing** window select *Create filing* to generate a new filing form.



### Select the registered party for the filing

Registered participants in a proceeding create, edit and delete draft filings for a proceeding. Participants include:

- applicants
- interveners
- market participant objectors
- representatives
- court reporters

This field is automatically populated with your name and participant type entered when you [registered to participant in the proceeding](#).

If you are a representative acting for more than one group or registered party, you are required to select who you are making the filing on behalf of.

## Select the schedule item

If there are no active schedule items at the time of creating the filing, the *Schedule* field will display: *There are no available schedule items at this time*, and the user can proceed to selecting the filing type.

The screenshot shows the 'Create a filing' form. Under the 'Registered party' section, 'Registered party' is 'Avengers Inc.' and 'Participant type' is 'Applicant'. In the 'Related schedule' section, the 'Schedule' field contains the text 'There are no available schedule items at this time.' Below this, the 'Filing type' section has a dropdown menu labeled 'Select a filing type'. A red error message at the bottom states 'Please select a filing type.' The 'Save' and 'Cancel' buttons are at the bottom right.

If there are active schedule items at the time of creating the filing, the user must open the **Select a schedule** window. Select the associated schedule item for the new filing type or select *No schedule item is required for my filing type*.

The screenshot shows the 'Create a filing' form. Under the 'Registered party' section, 'Registered party' is 'Avengers Inc.' and 'Participant type' is 'Intervener'. In the 'Related schedule' section, the 'Schedule' field has a dropdown menu labeled 'Select a schedule item'. A red error message at the bottom states 'Please select a schedule.' The 'Save' and 'Cancel' buttons are at the bottom right.

The screenshot shows the 'Select a schedule' window. At the top, there is a green bar with the text 'No schedule item is required for my filing type' highlighted in yellow. Below this is a table with the following data:

|   | Title of the schedule item           | Type                 | Status      | Start date          | Closing date        |
|---|--------------------------------------|----------------------|-------------|---------------------|---------------------|
| > | Intervener cost budget submissions   | Cost budget          | In progress | 2025/01/30 08:00 AM | 2025/02/14 02:00 PM |
| > | Avengers IR response to AUC, round 1 | Information response | In progress | 2025/01/30 08:00 AM | 2025/02/28 02:00 PM |

The 'Cancel' button is at the bottom right.

If selecting *No schedule item is required for my filing type*, the form's *Schedule* field will populate that description and the user can proceed to selecting the filing type.

If selecting a schedule item, the filing form will auto-populate the schedule title, closing date, whether the filing is late (being registered after the schedule closing date) and the system description. The form also auto-populates the *Filing type* section with the filing type and system defined description. The user can proceed to completing the filing description.

## Select the filing type

If no schedule items are required for the filing type, the user is required to select a filing type.

From the *Filing type* field, open the **Select a filing type** window.

**Create a filing**

**Registered party**

Registered party: Stark Industries Ltd.

Participant type: Applicant

**Related schedule**

Schedule: There are no available schedule items at this time.

**Filing type**

Filing type: Select a filing type

• Please select a filing type.

Only filing types authorized for the user to register will be listed. Available filing types are based on the user's participant type (intervener, court reporter, representative). For example, an intervener will not see the filingtype: transcripts.

**Select a filing type**

| Filing type                   | Description   |
|-------------------------------|---|
| > Confidentiality undertaking | Pursuant to Rule 001: Rules of Practice, a required form (RP5) submitted by a party wishing to be granted access on the eFiling System to the confidential information for the purposes of participating in a proceeding. The undertaking describes the specific protocol and procedures for the handling of the confidential information.  |
| > Correspondence - external   | Letters, emails and other miscellaneous correspondence written by involved parties regarding the proceeding (if you are requesting an action from the Commission use filing type: procedural filing - motion).  |
| > Direction response          | Correspondence written by a responsible party to fulfill a direction of the Commission.   |
| > Hearing exhibit             | Documents that are introduced into evidence and accepted as evidence on the record at the oral hearing (not pre-filed evidence).  |
| > Motion for confidentiality  | Documents submitted by a party requesting a Commission determination to keep a document, a portion of a document, or multiple documents confidential and off the public record. The motion describes the specific information that should remain confidential and must include either a public, redacted version of each confidential document, or where the request applies to an entire document, a non-confidential description or summary of that document. Although filed separately on the confidential record, the motion also requires all unredacted confidential documents for consideration by the Commission. |
| > Opening statement           | Opening remarks by registered parties upon commencement of the oral hearing.  |
| > Pre-hearing documentation   | Correspondence regarding the pre-hearing stage including participant positions, costs, need for third-party consultants, hearing procedures, time allotment for parties, negotiated settlements, appropriate dispute resolution, technical meetings or information sessions.  |

Cancel

## Complete the filing description

Complete the *Filing description* field with a description that is unique to the registered party making the filing and which will stand the test of time.

**■ Create a filing**

**Registered party**  
Registered party: Avengers Inc.  
Participant type: Intervener

**Related schedule**  
Schedule: Cost budget  
Title: Intervener cost budget submissions  
Closing date: 2025/02/14 02:00 PM  
Late: No  
Description: The deadline for filing a detailed budget outlining the reasonable fees and disbursements the party anticipates will be incurred in association with a proceeding.

**Filing type**  
Filing type: Cost budget  
Description: The detailed projection of associated reasonable costs and disbursements expected by a registered party participating in a proceeding.

**Cost budget details**  
Filing description:

### Select related applications

If a proceeding contains more than one application, users can select the *Related applications* field and select specific applications the filing is related to. If no selection is made, by default the system will associate the filing to all applications registered in the proceeding.

Filing description:

Related applications:

*Note: This filing will be related to all applications on the proceeding if none are specified.*

• Please enter a description.

### Confidential material

As the creator of a new filing, if you have been granted confidentiality the filing form will display the option to select uploading files to the public record or to the confidential record. To upload files to the confidential record, see [Upload confidential documents](#).

**Confidential material:**

I am uploading public files for the public record.

I am uploading confidential files for the confidential record and redacted versions for the public record.

## Information and Undertaking requests and responses

Filing types *Information request*, *Information response*, *Undertaking request* and *Undertaking response* require an in-progress schedule item to be created by the AUC before a filing can be created and registered.

If the selected filing type is *Information request* or *Undertaking request*, the responders to the request must be selected. Click *Select responder(s)* to open a listing of authorized responders. Select one or more parties who are expected to respond to the request being filed. Select *Save*.

Once the filing is registered the corresponding Information response or Undertaking response schedule item will become available to the selected responder(s).

### Undertaking - request details

Filing description:

*Note: It is strongly suggested to include the number of IRs in the description.*

Related applications:

*Note: This filing will be related to all applications on the proceeding if none are specified.*

Responders: **Select responder(s)**

### Select responder(s)

| <input type="checkbox"/>            | Name              | Participant code | Registration type             |
|-------------------------------------|-------------------|------------------|-------------------------------|
| <input checked="" type="checkbox"/> | Avengers Inc.     | 100ENI           | Intervener                    |
| <input type="checkbox"/>            | Swift Energy Inc. | 100END           | Intervener                    |
| <input type="checkbox"/>            | Yellowstone group | 100ENJ           | Representative of a new group |

**Save** **Cancel**

If the selected filing type is *Information response* or *Undertaking response*, the *Corresponding request* section must be completed by clicking *Select a corresponding request*. In the **Select a request** window, select the request the filing is responding to. If available, both information and undertaking requests will be listed.

### Undertaking - response details

Filing description:

*Note: It is strongly suggested to include the number of IRs in the description.*

Related applications:

*Note: This filing will be related to all applications on the proceeding if none are specified.*

Corresponding request: **Select a corresponding request**

| Select a request |      |                              |                              |                   |   |   |
|------------------|------|------------------------------|------------------------------|-------------------|---|---|
| Filing number    | Late | Filed by                     | Registered party             | Registration date | Description                             |   |
| 29846-F0011      | No   | Alberta Utilities Commission | Alberta Utilities Commission | 2025/01/30        | AUC IRs to Avengers, round 1            | > |
| 29846-F0025      | No   | Stark Industries Ltd.        | Stark Industries Ltd.        | 2025/02/13        | Stark Industries undertaking request... | > |

X Cancel

## Save the filing

Select *Save*. A new draft filing is created. If the filing is not registered immediately, the owner of the filing can come back to the **Filings** screen and select the *My draft filings* tab. Select the filing number to return to the draft filing's **Public filing details** screen.

While a filing is in draft form, you can:

- [edit filing information](#)
- [upload filing document\(s\)](#)
- [register the filing](#)
- [delete the filing](#)

## 12.3 Edit filing information

A filing can be edited while it is in a draft state.

The **Filings** screen provides the following tabs.

- **Registered filings** – lists filings registered onto the public or confidential record.
- **My draft filings** – lists draft filings the logged in user has created but not yet registered.
- **Filings to me** - lists registered information and undertaking request filings where the logged in user is the responder.

To edit a draft filing, from the **Filings** screen, select the *My draft filings* tab. Select the filing number to be edited to open the filing's details screen.

On the filing details screen select *Edit info*.

You can edit the following details:

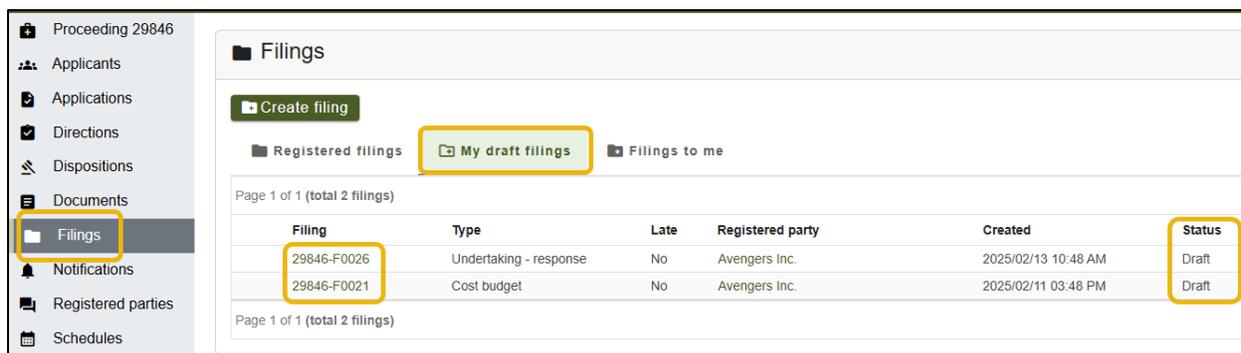
- Filing description
- Related applications
- For information or undertaking requests, the responder(s)
- For information or undertaking responses, the corresponding request.

To change the filing type or relate the filing to a schedule item, you must delete the existing draft filing and create a new one.

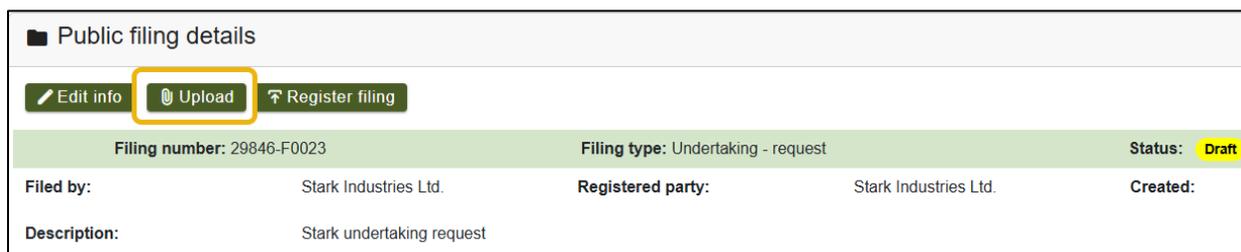
## 12.4 Upload filing document(s)

Documents can be uploaded to draft filings only.

From the **Filings** screen, select the *My draft filings* tab. Select the filing number to open the filing’s details screen.



In the filing's details screen select *Upload*.

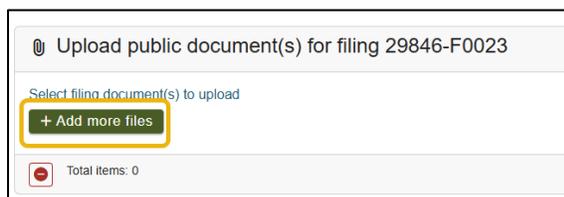


Before you can upload any files you must first acknowledge and agree to the AUC [privacy policy](#).

It is important that scanned documents be in a searchable form; a scanned page is an image and cannot be searched for specific words. Optical character recognition (OCR) converts the contents of a file to a searchable format to provide accurate output in the eFiling System search results.

Most printers have a simple scanning option to run OCR on documents. If the OCR option is not available on your printer you should use the Scan & OCR feature available within your PDF software to scan and convert the document to a searchable format.

From the uploader screen, select *+Add more files* to browse for documents through File Explorer.



Navigate to the file directory. Depending on the browser version you are using you will either click on the file name (use the Ctrl key to select multiple files) or hover over the file name and click the checkbox that appears to the left of the file name. Select the file(s) and choose the **Open** button.

Once documents are selected for upload, use the checkbox to set the default description to the document filename.

If the filing is in response to a Commission direction, click *Add directions* to open a list of directions available to be associated to the document(s). For each uploaded document, select one or more outstanding, pending or non-compliant direction to associate the document to and click *Select*.

Upload public document(s) for filing 29846-F0023

Select filing document(s) to upload (Individual file sizes cannot exceed 50 Mb)

[+ Add more files](#)

Set the default description for all documents to their filename (excluding the file extension, e.g. .docx)

| Filing document                            | Directions     | Description                            |
|--|----------------|--|
| Stark undertaking request - Appendix A.pdf | Add directions | Stark undertaking request - Appendix A |
| Stark undertaking request - Appendix B.pdf | Add directions | Stark undertaking request - Appendix B |
| Stark undertaking request.pdf              | Add directions | Stark undertaking request              |

Total items: 3 [Upload](#) [Cancel](#)

Select directions that will be associated to the document

Find directions - Filter criteria ← Click Filter criteria to expand the filter section and search for specific directions.

Page 1 of 1 (total 4 directions) 100 directions per page

| <input type="checkbox"/>            | Direction           | Proceeding | Disposition    | Description                | Responsible party     | Status      | Due date   |
|-------------------------------------|---------------------|------------|----------------|----------------------------|-----------------------|-------------|------------|
| <input type="checkbox"/>            | 29876-D01-2025-0001 | 29876      | 29876-D01-2025 | Benchmarking Study         | Stark Industries Ltd. | Outstanding | 2025/02/14 |
| <input checked="" type="checkbox"/> | 29876-D01-2025-0002 | 29876      | 29876-D01-2025 | Depreciation Study         | Stark Industries Ltd. | Pending     | 2025/02/14 |
| <input type="checkbox"/>            | 29833-D01-2025-0004 | 29833      | 29833-D01-2025 | Stark direction response 1 | Stark Industries Ltd. | Pending     | 2025/02/21 |
| <input type="checkbox"/>            | 29852-D01-2025-0002 | 29852      | 29852-D01-2025 | Report                     | Stark Industries Ltd. | Outstanding | 2025/02/14 |

[Select](#) [Cancel](#)

Individual or all documents can be removed from the uploader screen.

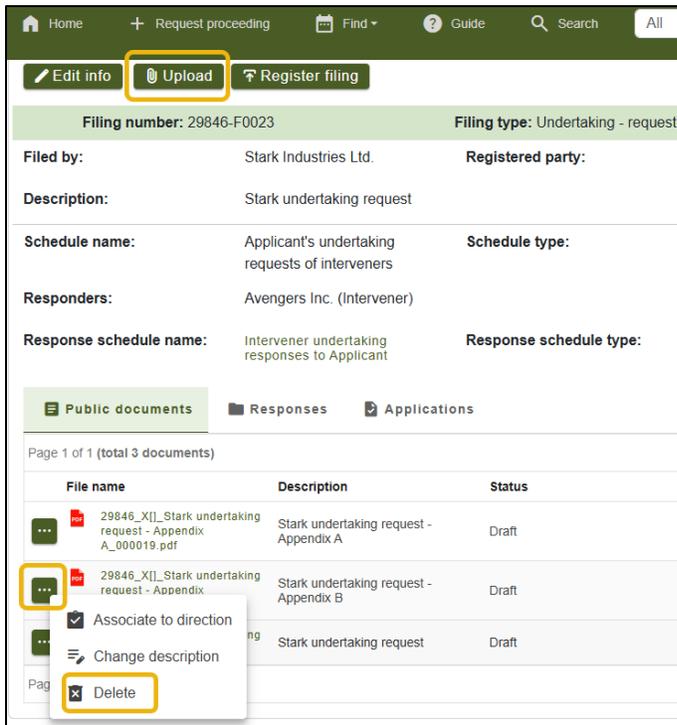
| Filing document                            | Directions     | Description                            |
|--|----------------|--|
| Stark undertaking request - Appendix A.pdf | Add directions | Stark undertaking request - Appendix A |
| Stark undertaking request - Appendix B.pdf | Add directions | Stark undertaking request - Appendix B |
| Stark undertaking request.pdf              | Add directions | Stark undertaking request              |

Total items: 3 **Select to remove all documents from the uploader screen.** **Select to remove individual documents from the uploader screen.**

Documents can be added and deleted at any time while a filing is in draft form.

To remove an uploaded document, from the filing's details screen select the document's action menu [...] available to the left of the document. From the action menu select *Delete*.

To upload additional documents, select *Upload*.



Once a filing is registered the filing documents are part of the record and cannot be removed; you must make a request to the proceeding’s lead application officer or counsel to add or remove (void or withdraw) a document on a registered filing.

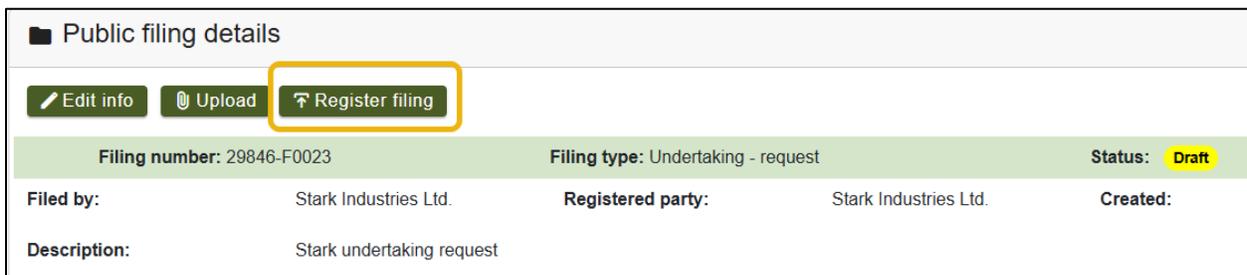
## 12.5 Information/undertaking requests and responses

Parties can submit and respond to information requests where one party requests another party to provide further information to clarify filed evidence, to simplify issues in dispute, to allow a clearer understanding of the matters to be considered by the AUC, or to expedite the proceeding. AUC Rule 001: *Rules of Practice* outlines the procedures for making an information request. Information requests must be in writing, dated, contain specific questions that clearly specify the information sought, and be filed in accordance with the rules of practice.

Information requests and information responses can be submitted after the start of an oral hearing session date if required.

## 12.6 Register filing

From the proceeding’s **Filings** screen, select the *My draft filings* tab. Select the draft filing number to be registered. In the draft filing’s details screen select *Register filing*.



Confirm the registration.



When a filing is registered:

- the registered date is set to the current date and time
- exhibit numbers are assigned to the filing documents
- all registered parties are notified

Filings and documents associated with a schedule item are marked as late if they are registered after the schedule closing date.

## 12.7 Delete filing

A filing can be deleted at any time before it is registered in the eFiling System. All associated documents are also deleted.

To delete a filing, from the proceeding's **Filings** screen, select the *My draft filings* tab. Select the draft filing number to be deleted. In the draft filing's details screen select *Delete* from the top right corner.



Filings cannot be deleted once they have been registered. If changes to the filing are required after registration contact the proceeding's lead application officer. Contact information is displayed on the proceeding's home screen.

## 13 Revising a document

As outlined in AUC Rule 001: *Rules of Practice* revisions to already registered documents should be filed with a blacklined version and a clean version of the revised document.

Revisions may only be filed by the registered party that submitted the document, their representative or the AUC. Only documents with an exhibit number are eligible for revision. Revisions may not be filed on system-generated forms such as the Application form or the Statement of intent to participate form.

| Revision type | Description  |
|---------------|--|
| Original      | The original incorrect document that has been revised (example: 52011-X0004).  |
| Blackline     | A blacklined version of the revised document that tracks each of the differences between the latest version and the original version. The system will generate the same exhibit number as the original document with a two-digit suffix incremented for each revision (example: 52011-X0004.01 for first revision and 52011-X0004.02 for second revision). |

| Revision type | Description   |
|---------------|---|
| Clean         | The complete revised document in its entirety without any tracked changes. The clean version is populated with the same two-digit suffix as the blacklined version. |

Up to 99 revisions can be filed on a single document. The revision status located in the *Document revision history* shows which is the latest version on record.

| Revision type | Description  |
|---------------|--|
| Latest        | This is the most up-to-date version of the document and is to be considered the master. The latest blacklined version is always available on the <b>Documents</b> page.  |
| Replaced      | Used when an initial revision is applied to the original document or subsequent revisions are applied to the latest blackline version. The original and all previous versions will have a replaced status.           |
| Removed       | Revisions that have been removed by a LAO or records manager and are no longer relevant. The system reverts the master to the previous blackline version. Removed revisions are not accessible on the external site. |

### 13.1 Revision document upload

To revise a document, the revision document uploader screen must be completed with the revision details and attaching the blackline and clean version of the document being revised. There are three options to access the revision document uploader screen.

|                            |   |
|----------------------------|---|
| <b>Documents</b> screen    | <p>Locate the document being revised.</p> <p>Select document actions [...] available to the left of the document. In the action menu select <i>Revise document</i>.</p> <p>Review and accept the AUC privacy policy disclaimers.</p>  |
| <b>Filings</b> screen      | <p>Select <i>Create filing</i>.</p> <p>In the <b>Create filing</b> window select <i>Revise document</i>.</p> <p>In the <b>Select the exhibit you would like to revise</b> window, all registered exhibits the user is authorized to revise are listed, including application and filing documents. Select the exhibit for revision using the arrow to the left of the exhibit.</p> <p>Review and accept the AUC privacy policy disclaimers.</p>   |
| <b>Applications</b> screen | <p>Select the application number that contains the document to be revised.</p> <p>In the <b>Application details</b> screen select <i>Upload</i>.</p> <p>In the <b>Upload document</b> window select <i>Revise document</i>.</p> <p>In the <b>Select the exhibit you would like to revise</b> window, all registered exhibits the user is authorized to revise are listed, including application and filing documents. Select the document for revision using the arrow to the left of the exhibit.</p> <p>Review and accept the AUC privacy policy disclaimers.</p> |

In the revision uploader screen, enter a detailed description explaining the location of the revisions in the document, including the page and paragraph number.

For a revised Excel document list the cell number for each revised cell and underline the revisions made. Revised cells do not include cells where the formulas are unchanged but the values are updated because of changes to other cells referenced in the formulas.

Enter the reason for the revisions.

Upload public document(s) for revision 29846-X0014

Exhibit: 29846-X0014 Document type: Undertaking - request Registered party: Stark Industries Ltd.

Description: Stark undertaking request of Avengers Inc.

Location of revision(s):

Reason for revision(s):

Please specify the page and paragraph number of all revisions made to the document. For a revised Excel document, please list the cell number for each revised cell and underline the revisions made. Revised cells do not include cells where the formulas are unchanged but the values are updated because of changes to other cells referenced in the formulas.

Select *+Add more files* to upload a blackline version that shows any tracked changes from the original document, and a clean version showing all of the track changes accepted.

For each document, identify the *Revision type* as either blackline or clean.

Select *Upload*. The revised documents are immediately uploaded and available on the public or confidential record.

Select two files to upload for the blackline version and the clean version of the revised document. As outlined in *Rule 001: Rules of Practice*, each revised document must be filed with a blackline version of the revised document that clearly tracks the changes from the original.

(Individual file sizes cannot exceed 100 Mb)

+ Add more files

| Revision document                           | Revision type | Revision type description   |
|---|---------------|---|
| Depreciation Study - Clean Version.docx     | Clean         | The complete revised document in its entirety without any tracked changes. The system will generate the same exhibit number as the original document with a two digit suffix incremented.   |
| Depreciation Study - Blackline Version.docx | Blackline     | A blackline version of the revised document that tracks each of the differences between the latest version and the original version. The system will generate the same number as the original document with a two digit suffix incremented. |

Note that filenames for all documents will be changed once they are uploaded to fit a standardized naming scheme. The original name will be preserved.

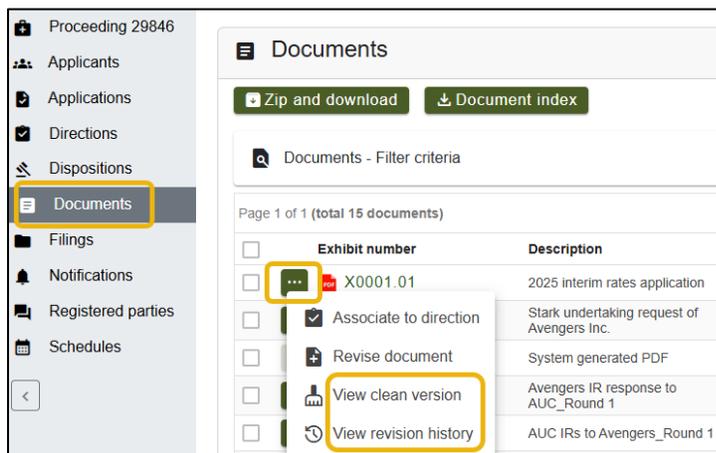
Total items: 2

Upload Cancel

## 13.2 Revision document display

The latest blacklined version will be visible on the **Documents** screen with a .01 appended to the exhibit number (incremented for each subsequent revision).

To see all previous versions of the document or the clean version, select document actions [...] available to the left of the revised document.



From the action menu select *View revision history* to open the **Document revision history** window. Both the blacklined and clean versions of the latest, removed, and replaced versions; and the original version are listed.

All versions except a removed version can be opened by clicking on the exhibit number. Links to removed revisions are deactivated.

| Document revision history |                | Hyperlink to open a removed revision document is disabled. |                       |                         |                 | ✕ |
|---------------------------|----------------|--|-----------------------|-------------------------|-----------------|---|
| Blackline version         | Clean version  | Revision date  | Location of revisions | Reason for revisions    | Revision status |   |
| 29846-X0015.03            | 29846-X0015.03 | 2025/02/13 02:11 PM  | page 45, paragraph 25 | Hyperlink correction    | Removed         |   |
| 29846-X0015.02            | 29846-X0015.02 | 2025/02/13 02:10 PM  | Appendix 1, Table 3   | Calculation corrections | Latest          |   |
| 29846-X0015.01            | 29846-X0015.01 | 2025/02/13 02:08 PM  | Title page            | Date correction         | Replaced        |   |
|                           | 29846-X0015    | 2025/02/13 02:07 PM  |                       |                         | Replaced        |   |

From the action menu select *View clean version* to download the clean version document.

## 13.3 Remove a revision

Only the AUC can remove a revision. Contact the proceeding's lead application officer if you require a revision to be removed. Contact information is displayed on the proceeding's home screen.

## 13.4 Notification of revisions

When a revision is either added or removed, the system will generate a notification in the proceeding's **Notifications** screen indicating which exhibit number has been revised or removed.

**Notifications**

For this proceeding you are currently **subscribed** for **daily notification** summary emails. [Edit subscription](#)

My notifications - Filter criteria

Notification type: All | Notification subject: [ ]

[Export](#) [Reset](#)

Page 1 of 1 (total 45 Proceeding notifications) | Proceeding notifications per page: 100

| Created    | Subject  | Type                  |
|------------|--|-----------------------|
| 2025/02/13 | Revision of exhibit 29846-X0015.03 has been removed  | Revision removed      |
| 2025/02/13 | Exhibit 29846-X0015.02 has been revised  | Revision filed        |
| 2025/02/13 | Exhibit 29846-X0015.01 has been revised  | Revision filed        |
| 2025/02/13 | Exhibit 29846-X0015 has been revised   | Revision filed        |
| 2025/02/13 | 29846-F0027: Evidence.   | Filing registration   |
| 2025/02/13 | Evidence schedule added (Evidence submissions) Start date: 2/6/2025 8:00:00 AM Closing date: 2/28/2025 2:00:00 PM. | Schedule item created |

Revisions are included in the **Other proceeding activity** on the daily proceeding summary email.

**Proceeding 52011:** [Go to proceeding](#)

Utility Company XXX General Tariff Application for 2017 **Registered**  
2016/10/19 09:53 AM

**Applicant(s)**  
Utility Company XXX

**Registered filings**

| Exhibit(s)  | Type                               | Registered party                           | Registered          |
|---|------------------------------------|--|---------------------|
| S2011-X0006   | Statement of intent to participate | Commercial and Industrial Rate Interveners | 2016/10/19 10:08 AM |
| S2011-X0008,S2011-X0007                                     | Information request                | Commercial and Industrial Rate Interveners | 2016/10/19 10:16 AM |
| S2011-X0013,S2011-X0012,S2011-X0011,S2011-X0010,S2011-X0009 | Evidence                           | Commercial and Industrial Rate Interveners | 2016/10/19 10:19 AM |
| S2011-X0014   | Statement of intent to participate | Keep Rates Low Group                       | 2016/10/19 10:22 AM |
| S2011-X0015   | Correspondence - external          | Keep Rates Low Group                       | 2016/10/19 10:24 AM |
| S2011-X0017,S2011-X0016                                     | Information request                | Keep Rates Low Group                       | 2016/10/19 10:27 AM |

**Application document activity**

Intervener: Commercial and Industrial Rate Interveners: represented by: Law firm XYZ registered to participate. 2016/10/19 10:08 AM

Group Keep Rates Low Group: represented by: Legal Beagle registered to participate. 2016/10/19 10:22 AM

**Other proceeding activity** ←

Information Request & Information Response schedule items added (IRs to the applicant) Start date: 10/19/2016 8:00:00 AM Closing date: 10/26/2016 2:00:00 PM. 2016/10/19 10:12 AM

Evidence schedule added (Intervener evidence) Start date: 10/19/2016 8:00:00 AM Closing date: 12/1/2016 2:00:00 PM. 2016/10/19 10:13 AM

Exhibit S2011-X0004 has been revised 2016/10/19 11:52 AM

Please login to the Alberta Utilities Commission's [eFiling System](#) for further information.

## 13.5 Searching for revised documents

When searching for documents that have been revised, it is important to check the revision status on the results set to ensure you are viewing the latest version. The original and all replaced versions remain available in the search results. The revision type is also included in the search results so a user can distinguish between the blackline and clean version.

Schedule  
Appendix  
SHOW MORE

28939\_X0013.01\_DERS 2024-2026 DRT RRT Non-Energy Application CLEAN\_000091.pdf  
[https://tst-spwfe-ext-efiling20.auc.ab.ca/sites/P002/PublicDocs\\_28939/28939\\_X0013.01\\_DERS%202024-2026%20DRT%20RRT%20Non-Energy%20Application%20CLEAN\\_000091.pdf](https://tst-spwfe-ext-efiling20.auc.ab.ca/sites/P002/PublicDocs_28939/28939_X0013.01_DERS%202024-2026%20DRT%20RRT%20Non-Energy%20Application%20CLEAN_000091.pdf)

Last Modified Date  
Earlier than One Year...  
One Year Ago - One ...  
One Month Ago - On...

Exhibit number: 28939-X0013.01 | Document type: Application | Application | Proceeding | Registered party: Direct Energy Marketing Limited | Filed by: Direct Energy Marketing Limited | Document description: DERS 2024-2026 DRT RRT Non-Energy Application | Document status: Active | Uploaded: 2025/1/23 | Revision status: Latest | Revision type: Clean

Show more...

Library  
Public

28939\_X0013.01\_DERS 2024-2026 DRT RRT Non-Energy Application Red-lined\_000092.pdf  
[https://tst-spwfe-ext-efiling20.auc.ab.ca/sites/P002/PublicDocs\\_28939/28939\\_X0013.01\\_DERS%202024-2026%20DRT%20RRT%20Non-Energy%20Application%20Red-lined\\_000092.pdf](https://tst-spwfe-ext-efiling20.auc.ab.ca/sites/P002/PublicDocs_28939/28939_X0013.01_DERS%202024-2026%20DRT%20RRT%20Non-Energy%20Application%20Red-lined_000092.pdf)

Exhibit number: 28939-X0013.01 | Document type: Application | Application | Proceeding | Registered party: Direct Energy Marketing Limited | Filed by: Direct Energy Marketing Limited | Document description: DERS 2024-2026 DRT RRT Non-Energy Application | Document status: Active | Uploaded: 2025/1/23 | Revision status: Latest | Revision type: Blackline

Show more...

Revision Status  
All  
Latest

Revision Type  
Blackline  
Clean

Search results can be further refined by Revision status and Revision type.

28369\_X0088.02\_28369-X0088.02 ATCO Pipelines IR Responses to CAL Blackline\_000161.pdf

## 14 Exhibit numbers

When a proceeding is registered in the eFiling System, all documents filed with the application or filing are assigned a unique identifying number. This exhibit number is used to refer to documents, especially at oral hearings where proceeding documents are called for display to all participants. The eFiling System auto-generates exhibit numbers for all documents submitted prior to the commencement of a hearing or pre-hearing session. Filings identified and presented as exhibits during a hearing are assigned exhibit numbers manually by AUC staff.

### 14.1 Exhibit number format

Exhibit numbers are unique within a proceeding; a number cannot be assigned to more than one document in the same proceeding.

Exhibit numbers start with the proceeding number followed by “-X”, followed by 4 digits; for example, 111232-X0001). The first application form in a proceeding is assigned a 0001 exhibit number; all following application documents are assigned a sequential number (111232-X0002, 111232-X0003...).

### 14.2 View and search exhibits

Exhibit numbers are listed next to the documents in the eFiling System.

Quick access to a particular exhibit is often required especially in hearings. To quickly search for an exhibit number in a proceeding, select the proceeding’s **Documents** screen.

By default the filter section is collapsed. Click on the section name to expand the filters.

In the *Exhibit number* field enter a full or partial exhibit number and enter. The results will automatically filter.

Proceeding 29846

- Applicants
- Applications
- Directions
- Dispositions
- Documents**
- Filings
- Notifications
- Registered parties
- Schedules

### Documents

Zip and download | Document index

Documents - Filter criteria Click on section name to expand filters.

Document status: Active | Document type: All

Exhibit number: 4 | Registered party: All

Date type: Uploaded | Date from: | Date to: | Reset

Page 1 of 1 (total 2 documents) | 100 documents per page

| Exhibit number | Description   | Document type             | Registered party      | Uploaded            | Reference | Directions |
|----------------|---|---------------------------|-----------------------|---------------------|-----------|------------|
| X0004          | Stark Industries llr re expert witness availability | Correspondence - external | Stark Industries Ltd. | 2025/01/29 12:35 PM | F0002     |            |
| X0014          | Stark undertaking request of Avengers Inc.          | Undertaking - request     | Stark Industries Ltd. | 2025/02/13 08:17 AM | F0025     |            |

Page 1 of 1 (total 2 documents) | 100 documents per page

**Note:** Enter the attachment number to search for exhibit numbers generated in the previous electronic filing system.

If you do not know the proceeding number, from the **Search** screen enter as much of the exhibit number that is known preceded by X (for exhibit) in the *Search string* box. The results will return all applications, filings and dispositions containing the key word.

### Search

Add search term | Add a term to search | Add | Add search property | Add a property to search | Add

*No search terms or properties have been added. Choose a search term or a search property and click [Add] to begin.*

Search string

X0014

Search

In the results screen, property refiners are available depending on the properties of the results returned. For example, if your result set includes the *Document type: Undertaking* you can further refine the results to show just documents of that type.

The screenshot shows a search interface with the following elements:

- File Type:** Filter set to 'X0014'. A search icon is visible to the right.
- Document Type:** Filter set to 'Relevance'.
- Last Modified Date:** Filter options include 'Earlier than One Year...', 'One Year Ago - One ...', 'One Month Ago - On...', and 'One Week Ago - Today'.
- Library:** Filter options include 'Confidential' and 'Public'.
- Search Results:**
  - Text: "About 671 results"
  - Text: "Results display only files you are authorized to view."
  - Text: "Preference for results in English ▾"
  - Document 1:
    - File: 28978\_X0014\_FilingAnnouncement-28978-F0001\_000014.pdf
    - Description: Filing announcement Proceeding 28978 A proceeding has been registered with the Alberta Utilities Commission The proceeding is descri...
    - URL: [https://tst-spwfe-ext-efiling20.auc.ab.ca/sites/P002/PublicDocs\\_28978/28978\\_X0014\\_FilingAnnouncement-28978-F0001\\_000014.pdf](https://tst-spwfe-ext-efiling20.auc.ab.ca/sites/P002/PublicDocs_28978/28978_X0014_FilingAnnouncement-28978-F0001_000014.pdf)
    - Metadata: Exhibit number: 28978-X0014 | Document type: Filing announcement | Filing | Filing: 28978-F0001 | Proceeding | Registered party: ... | Document description: System generated PDF Document status: Active | Uploaded: 2025/1/23 |
  - Document 2:
    - File: 28844\_X0014\_FilingAnnouncement-28844-F0001\_000024.pdf
    - Description: Filing announcement Proceeding 28844 A proceeding has been registered with the Alberta Utilities Commission The proceeding is descri...
    - URL: [https://tst-spwfe-ext-efiling20.auc.ab.ca/sites/P002/PublicDocs\\_28844/28844\\_X0014\\_FilingAnnouncement-28844-F0001\\_000024.pdf](https://tst-spwfe-ext-efiling20.auc.ab.ca/sites/P002/PublicDocs_28844/28844_X0014_FilingAnnouncement-28844-F0001_000024.pdf)
    - Metadata: Exhibit number: 28844-X0014 | Document type: Filing announcement | Filing | Filing: 28844-F0001 | Proceeding | Registered party: ... | Document description: System generated PDF Document status: Active | Uploaded: 2025/1/22 |

## 15 Directions

The AUC writes conditions and directions as requirements that must be addressed as part of the decision approvals. The directions are included in a variety of disposition types (decisions, approvals, permits, etc.). These directions range from simple instructions that must be satisfied with a direction response filing to complex guidance that may be satisfied with a full compliance application. A single disposition can have many directions. Each direction is assigned to a responsible party.

### 15.1 Direction properties

| Property name           | Description   |
|-------------------------|---|
| Direction               | A direction number is system-generated to give the direction a unique identifier. The format of the direction number is <i>proceeding number-Disposition number-Year of disposition issuance-000X</i> . Example, 20103-D01-2016-0001 or for pipeline licences the format is 20103-989-0002. |
| Title                   | An optional short title for the direction that is entered by the AUC.   |
| Description             | A statement that describes what the Commission is directing the responsible party to do.  |
| Originating proceeding  | The number of the proceeding that contains the disposition which outlines the directions to one or more responsible parties.  |
| Originating disposition | The number of the disposition document that contains the directions to one or more responsible parties.   |

| Property name                    | Description   |
|----------------------------------|---|
| Responsible party                | The external party that the direction is assigned to. A single direction may only be directed to a single registered party upon creation. A responsible party may not be an Observer, Commission or Court Reporter.   |
| Due date                         | The date in YYYY/MM/DD format that the responsible party is expected to file a response to a direction.   |
| Reminder date                    | The date in YYYY/MM/DD format that the system will notify the LAO and responsible party that the direction is coming close to being due.  |
| Non-compliance response due date | The date in YYYY/MM/DD format that the LAO enters when the original due date has passed. The system will notify the LAO and responsible party that the direction is non-compliant. A response is expected when the non-compliance response due date has passed. |
| Proceeding satisfying direction  | The proceeding that contains the application or filing document from the responsible party in response to a direction.  |
| Disposition satisfying direction | The number of the disposition that satisfies the direction. A direction is satisfied when the status changes from <i>Pending</i> to <i>Compliant</i> . A single disposition may satisfy one to many directions.   |
| Paragraph number                 | The optional paragraph number in the disposition where the direction is written.  |
| Condition number                 | The optional condition number in the disposition where the direction is written.  |
| Electric facility ID             | The facility number that is entered by the administrative assistant when the direction is created.  |
| Direction documents              | Application or filing documents uploaded by the AUC or by the responsible party that are associated to the direction.   |
| Rescinded by                     | The disposition number or direction number that is superseding the rescinded direction.   |

## 15.2 Viewing directions

Select **Directions** from the proceeding left navigation menu to see a listing of all directions originating from dispositions on the proceeding.

The screenshot shows the 'Directions' screen for proceeding 23150. The left navigation menu has 'Directions' highlighted. The main content area shows a table of directions with the following data:

| Direction           | Disposition    | Description                                     | Responsible party   | Status      | Due date   |
|---------------------|----------------|---|---------------------|-------------|------------|
| 23150-D01-2018-0001 | 23150-D01-2018 | Construction alteration completion notification | XYZ Utility Company | Rescinded   | 2018/11/19 |
| 23150-D01-2018-0002 | 23150-D01-2018 | Construction alteration completion              | XYZ Utility Company | Cancelled   | 2018/10/31 |
| 23150-D01-2018-0003 | 23150-D01-2018 | Environmental Impact Assessment 1               | XYZ Utility Company | Outstanding | 2018/03/06 |
| 23150-D01-2018-0004 | 23150-D01-2018 | Environmental Impact Assessment 2               | XYZ Utility Company | Outstanding | 2018/03/06 |
| 23150-D01-2018-0005 | 23150-D01-2018 | Environmental Impact Assessment 3               | XYZ Utility Company | Outstanding | 2018/03/06 |
| 23150-D01-2018-0006 | 23150-D01-2018 | Environmental Impact Assessment 4               | XYZ Utility Company | Outstanding | 2018/03/06 |

Select the direction number to view the detail screen.

To view directions related to a specific disposition, select **Dispositions** on the left navigation, select the disposition number to view the **Disposition details** screen and navigate to the **Directions issued** tab.

The screenshot shows the 'Dispositions' screen for proceeding 23150. The left navigation menu has 'Dispositions' highlighted. The main content area shows a table of dispositions with the following data:

| Disposition number | Title                                      | Disposition type | Disposition status | Release date        | Applications | Expiry date |
|--------------------|--|------------------|--------------------|---------------------|--------------|-------------|
| 23150-D01-2018     | Decision report example for the user guide | Decision report  | Issued             | 2018/02/26 09:48 AM | 23150-A001   |             |

Disposition details

Disposition: 23150-D01-2018    Type: Decision report    Status: Issued

Title: Decision report example for the user guide

Expiry date: N/A    Expiry reason:

Release date: 2018/02/26 09:48 AM    Status reason:

Issued documents    Disposition applications    **Directions issued**

| Direction           | Description                                     | Responsible party   | Status      | Due date   | Paragraph | Condition |
|---------------------|---|---------------------|-------------|------------|-----------|-----------|
| 23150-D01-2018-0001 | Construction alteration completion notification | XYZ Utility Company | Rescinded   | 2018/11/19 |           | 3         |
| 23150-D01-2018-0002 | Construction alteration completion              | XYZ Utility Company | Cancelled   | 2018/10/31 |           | 3         |
| 23150-D01-2018-0003 | Environmental Impact Assessment 1               | XYZ Utility Company | Outstanding | 2018/03/06 | 45        | 67        |
| 23150-D01-2018-0004 | Environmental Impact Assessment 2               | XYZ Utility Company | Outstanding | 2018/03/06 | 45        | 67        |
| 23150-D01-2018-0005 | Environmental Impact Assessment 3               | XYZ Utility Company | Outstanding | 2018/03/06 | 45        | 67        |
| 23150-D01-2018-0006 | Environmental Impact Assessment 4               | XYZ Utility Company | Outstanding | 2018/03/06 | 45        | 67        |

### 15.3 Direction details

By selecting the hyperlink on the direction number, a user is navigated to the **Direction details** screen.

Direction details

Direction: 23150-D01-2018-0003    Status: Outstanding    Responsible party: XYZ Utility Company

Title: Environmental Impact Assessment 1

Electric facility ID: ES546

Due date: 2018/03/06    Reminder date: 2018/03/05    Non-compliance response due date:

Description: The Commission directs XYZ Utility Company to file an Environmental Impact Assessment report part 1.

Originating proceeding

Proceeding: 23150  
Disposition: 23150-D01-2018  
Paragraph number: 45  
Condition number: 67

Proceeding satisfying direction

Proceeding: To be determined  
Disposition: N/A

Documents

| File name  | Actions | Document type | Document status | Uploaded |
|--|---------|---------------|-----------------|----------|
| There are no direction document records available. |         |               |                 |          |

### 15.4 Direction statuses

| Status                 | Description  |
|------------------------|--|
| Outstanding            | The direction has been created by the AUC and assigned to a responsible party.   |
| Pending                | The responsible party has filed a response to an <i>Outstanding</i> , <i>Pending</i> , <i>Under review</i> or <i>Non-compliant</i> direction. Registered parties and team members from the proceeding through which the document was uploaded are notified that the direction has been responded to. |
| Under review           | The AUC is reviewing the response to the direction.  |
| Compliant              | The direction has been satisfied and is complete.  |
| Non-compliant          | The direction is past-due or has an incomplete response.   |
| Forbearance            | The AUC is abstaining from enforcement of the direction.   |
| Alternative resolution | The AUC has engaged in a collaborative process as a means for parties to resolve a direction.  |
| Rescinded              | The direction was associated to a disposition that has been superseded by the issuance of another disposition or the direction has been replaced by another direction.   |
| Cancelled              | The direction is no longer valid. Hyperlinks to direction documents are disabled for cancelled directions.   |

## 15.5 Direction monitoring and notifications

The system monitors the dates of directions with a status of outstanding or non-compliant and provides a daily directions summary by email to the responsible party's primary and secondary contacts upon the reminder, due date and non-compliance response due dates passing.

**Direction details**

**Direction:** 23150-D01-2018-0003      **Status:** Outstanding      **Responsible party:** XYZ Utility Company

**Title:** Environmental Impact Assessment 1

**Electric facility ID:** E5546

**Due date:** 2018/03/06      **Reminder date:** 2018/03/05      **Non-compliance response due date:** 2018/03/16

**Description:** The Commission directs XYZ Utility Company to file an Environmental Impact Assessment Report part 1.

**Originating proceeding**

**Proceeding:** 23150

**Disposition:** 23150-D01-2018

**Paragraph number:** 45

**Condition number:** 67

**Documents**

File name

There are no direction document records available.

**Proceeding satisfying direction**

**Proceeding:** To be determined

**Disposition:** N/A

**Document status**      Uploaded

When the reminder, due date or non-compliance response due date passes, a daily directions summary notification email is sent to the responsible party's primary and secondary contacts indicating that the direction has passed its reminder, due date or non-compliance response due date.

## 15.6 Responding to directions

An outstanding, pending or non-compliant direction may be responded to with a direction response filing or an application document. In most cases, the document should be filed through the originating proceeding regardless of whether the proceeding is active or completed. However, in the case of a compliance application that satisfies a direction, a direction may be responded to with an application document through another proceeding.

**Proceeding 22367**

**Directions**

Disposition: All      Status: All

| Direction           | Disposition    | Description                            | Responsible party   | Status      | Due date   |
|---------------------|----------------|--|---------------------|-------------|------------|
| 22367-D01-2018-0001 | 22367-D01-2018 | Environmental impact assessment        | XYZ Utility Company | Outstanding | 2018/12/15 |
| 22367-D01-2018-0002 | 22367-D01-2018 | Noise impact assessment                | XYZ Utility Company | Outstanding | 2019/01/19 |
| 22367-D01-2018-0003 | 22367-D01-2018 | Construction commencement notification | XYZ Utility Company | Outstanding | 2018/09/05 |
| 22367-D01-2018-0004 | 22367-D01-2018 | Construction completion notification   | XYZ Utility Company | Outstanding | 2018/12/15 |

Results per page (of 4 total): 4      Go      Show all

Results per page (of 4 total): 4      Go      Show all

## 15.7 Responding to a direction with a filing

From the left navigation pane, select **Filings** and then **Create filing**.

**Proceeding 22367**

**Filings**

Create filing

Registered filings      My draft filings      Filings to me

Filter criteria

Filing:      Type: All      Filed by: All      Registered party: All      Status: Registered      Filter filings      Reset

Results per page (of 37 total): 37      Go      Show all

Select **No schedule item** is required for my filing type.

No schedule item is required for my filing type

Schedule

Process

There are no items to show in this view.

Select the **Direction response** filing type.

Select filing type

| Select | Filing type        | Description   |
|--------|--------------------|---|
| Select | Direction response | Correspondence written by a responsible party to fulfill a direction of the Commission. |

Enter a description for the **Direction response** filing.

Filing

**Step 1**

Prepare filing for registered party: XYZ Utility Company

Registration type: Applicant

**Step 2 - Select the schedule item**

Type - selected: No schedule item is required for my filing type

**Step 3 - Select filing type**

Type: Direction response

Description: Correspondence written by a responsible party to fulfill a direction of the Commission.

**Step 4 - Enter filing description**

Enter a description for this filing:

XYZ Utility company response to directions

**Step 5 - Identify application(s) this filing applies to**

Select application(s)

Filing will apply to all applications related to this proceeding if specific applications are not identified.

Application(s) selected: 22367-A001

Save Cancel

Select **Upload filing document(s)**.

Filing details

[Edit info](#)
[Upload filing document\(s\)](#)
[Register filing](#)
[Delete filing](#)

**Filing number:** 22367-F0041    **Filing type:** Direction response    **Status:** Draft    **Late:** No

**Schedule name:**    **Schedule type:**    **Schedule closing date:**

**Filed by:** XYZ Utility Company    **Registered party:** XYZ Utility Company    **Created:** 2018/02/26 04:01 PM

**Description:** XYZ Utility company response to directions

[Applications](#)    [Summary of documents](#)

| Application | Application status | Application category        | Application type                      | Location | Electric facility ID | Created    | Applicant ref. no |
|-------------|--------------------|-----------------------------|---------------------------------------|----------|----------------------|------------|-------------------|
| 22367-A001  | Decided            | Independent system operator | Independent system operator complaint | No       |                      | 2017/01/25 |                   |

Acknowledge and agree to the AUC privacy policy.

Upload public document disclaimer

You are about to submit information directly to the public record of an Alberta Utilities Commission (AUC) proceeding, which will be accessible to the public through a variety of means, including our eFiling System available on the AUC's website. We require you to acknowledge and agree to the AUC privacy policy, a portion of which is reproduced below, before uploading your material.

**Public availability of personal information in AUC hearings or proceedings**

The Commission's policy is that its hearings and proceedings should be open and transparent. The Commission therefore places all material it receives in the course of a proceeding on the public record so that all affected parties can have access to it. Filings, however, are not generally accessible through Internet search engines. If you submit comments or any other material, in any format (for example, email, fax or regular mail), related to an AUC proceeding, either written or oral, such as a facility hearing or a rate hearing, those comments will be filed in the relevant proceeding and will be available to the public through the AUC's eFiling System available on our publicly accessible website. Due to the nature of AUC proceedings your filing may contain personal information. Personal information may include your name, email address, financial information or health information, for example, or any other personal information you choose to provide. If you do not want your personal information on the public record, you may contact us to determine how the personal information contained in your filing may be treated in confidence. No formal application under our confidentiality rules is required in relation to such personal information. Requests for confidentiality can be made by emailing [foip@auc.ab.ca](mailto:foip@auc.ab.ca) or by calling **403-592-4376**. Where practicable, we will facilitate your participation by redacting any such personal information from your filing prior to placing it on the public record. However, the Commission will require a confidential, un-redacted, version of your filing for its use and/or the use of others registered in the proceeding to prepare their cases. You should also be aware that parties to an AUC proceeding are able to challenge requests for confidentiality. Oral public hearings of the AUC are open to the public and any information filed by you as part of the record, including personal information, may be presented, discussed or challenged in public. This information may also be disclosed by those in attendance to other parties or used by the media. The audio component of most AUC hearings is broadcast live on the AUC public website and this audio record is subsequently publicly available for a certain period of time. In certain circumstances a written transcript of the proceeding may also be publicly available. Additionally, following a hearing or other proceeding the Commission may publish a decision which refers to any evidence on the public record, or to the parties themselves.

I acknowledge and agree to the AUC privacy policy.

I do not agree to the AUC privacy policy.

Select **Add more files** to browse and choose files to upload and then select **Continue to step 2**.

Upload filing document(s)

Step 1 - Select the file(s) to upload.

**Files for upload**

[Add more files](#)

Noise impact assessment...   
 Environmental impact as...   
 Construction start.pdf   
 Construction end.pdf

[Add more files](#)

Total files: 4

[Continue on to step 2](#)

Select the **Add directions** link next to each uploaded file to associate each document to one or more directions.

Upload filing document(s)

Step 2 - Set descriptions for each file

\*Please note that mandatory fields are identified with a red asterisk  
 Set the default descriptions for all of these files to their filename (excluding the file extension, e.g. .docx)

| File Name                           | Description                     | Directions                       | Remove                 |
|-------------------------------------|---------------------------------|----------------------------------|------------------------|
| Noise impact assessment (2).pdf     | Noise impact assessment (2)     | * <a href="#">Add directions</a> | <a href="#">Remove</a> |
| Environmental impact assessment.pdf | Environmental impact assessment | * <a href="#">Add directions</a> | <a href="#">Remove</a> |
| Construction start.pdf              | Construction start              | * <a href="#">Add directions</a> | <a href="#">Remove</a> |
| Construction end.pdf                | Construction end                | * <a href="#">Add directions</a> | <a href="#">Remove</a> |

Note that filenames for documents will be changed when they are uploaded to fit the standardized naming scheme. The original name will be preserved.

[Return to step 1 - Add more files](#)

[Upload document\(s\)](#) [Cancel](#)

Select one or more outstanding, pending or non-compliant directions to associate your document to and select **Save**.

Select direction(s)

Filter criteria

Direction:  Status:  Proceeding satisfying direction:   
 Description:  Originating proceeding:  Disposition satisfying direction:   
 Paragraph:  Originating disposition:  Direction create date: Start date:  End date:   
 Condition:  Direction due date: Start date:  End date:   
 Electric facility ID:

[Filter directions](#) [Export to excel](#) [Reset](#)

Total records found: 6

|                                     | Direction           | Proceeding | Disposition    | Description                                     | Responsible party   | Status      | Due date   |
|-------------------------------------|---------------------|------------|----------------|---|---------------------|-------------|------------|
| <input type="checkbox"/>            | 22367-D01-2018-0001 | 23150      | 23150-D01-2018 | Construction alteration completion notification | XYZ Utility Company | Outstanding | 2018/11/19 |
| <input type="checkbox"/>            | 23150-D01-2018-0002 | 23150      | 23150-D01-2018 | Construction alteration completion              | XYZ Utility Company | Outstanding | 2018/10/31 |
| <input type="checkbox"/>            | 22367-D01-2018-0001 | 22367      | 22367-D01-2018 | Environmental impact assessment                 | XYZ Utility Company | Outstanding | 2018/12/15 |
| <input checked="" type="checkbox"/> | 22367-D01-2018-0002 | 22367      | 22367-D01-2018 | Noise impact assessment                         | XYZ Utility Company | Outstanding | 2019/01/19 |
| <input type="checkbox"/>            | 22367-D01-2018-0003 | 22367      | 22367-D01-2018 | Construction commencement notification          | XYZ Utility Company | Outstanding | 2018/09/05 |
| <input type="checkbox"/>            | 22367-D01-2018-0004 | 22367      | 22367-D01-2018 | Construction completion notification            | XYZ Utility Company | Outstanding | 2018/12/15 |

[Save](#) [Cancel](#)

Once all documents have been associated to the directions, select **Upload document(s)**.

Upload filing document(s)

Step 2 - Set descriptions for each file

\*Please note that mandatory fields are identified with a red asterisk  
 Set the default descriptions for all of these files to their filename (excluding the file extension, e.g. .docx)

| File Name                           | Description                     | Directions                            | Remove                 |
|-------------------------------------|---------------------------------|---------------------------------------|------------------------|
| Noise impact assessment (2).pdf     | Noise impact assessment (2)     | * <a href="#">22367-D01-2018-0002</a> | <a href="#">Remove</a> |
| Environmental impact assessment.pdf | Environmental impact assessment | * <a href="#">22367-D01-2018-0001</a> | <a href="#">Remove</a> |
| Construction start.pdf              | Construction start              | * <a href="#">22367-D01-2018-0003</a> | <a href="#">Remove</a> |
| Construction end.pdf                | Construction end                | * <a href="#">22367-D01-2018-0004</a> | <a href="#">Remove</a> |

Note that filenames for documents will be changed when they are uploaded to fit the standardized naming scheme. The original name will be preserved.

[Return to step 1 - Add more files](#)

[Upload document\(s\)](#) [Cancel](#)

The direction number(s) is listed next to the uploaded documents indicating which directions are associated to each document.

Select **Register filing**.

Filing details

[Edit info](#)
[Upload filing document\(s\)](#)
[Register filing](#)
[Delete filing](#)

**Filing number:** 22367-F0041    **Filing type:** Direction response    **Status:** **Draft**    **Late:** No

**Schedule name:**    **Schedule type:**    **Schedule closing date:**

**Filed by:** XYZ Utility Company    **Registered party:** XYZ Utility Company    **Created:** 2018/02/26 04:01 PM

**Description:** XYZ Utility company response to directions

[Applications](#)    [Summary of documents](#)

| Application | Application status | Application category        | Application type                      | Location | Electric facility ID | Created    | Applicant ref. no |
|-------------|--------------------|-----------------------------|---------------------------------------|----------|----------------------|------------|-------------------|
| 22367-A001  | Decided            | Independent system operator | Independent system operator complaint | No       |                      | 2017/01/25 |                   |

Direction response filing type has a status of **Registered**.

FILING SYSTEM  
Alberta Utilities Commission

Home    Request proceeding    Find    How do I...?    Go to proceeding, appl    Go    Jane Doe's profile    My organizational profile    Sign out

Proceeding 22367

[Create filing](#)

[Registered filings](#)    [My draft filings](#)    [Filings to me](#)

Filter criteria

Filing:     Type:     Filed by:     Registered party:     Status:

[Filter filings](#)    [Reset](#)

Results per page (of 38 total):  [Go](#) [Show all](#)

| Filing      | Type               | Late | Registered party    | Filed by            | Registered          | Description                                | Status     | Responder | Requestor |
|-------------|--------------------|------|---------------------|---------------------|---------------------|--|------------|-----------|-----------|
| 22367-F0041 | Direction response | No   | XYZ Utility Company | XYZ Utility Company | 2018/02/26 04:08 PM | XYZ Utility company response to directions | Registered |           |           |

Directions that have been responded to will have a status of **Pending**.

Directions

Disposition:     Status:

Results per page (of 4 total):  [Go](#) [Show all](#)

| Direction           | Disposition    | Description                            | Responsible party   | Status  | Due date   |
|---------------------|----------------|--|---------------------|---------|------------|
| 22367-D01-2018-0001 | 22367-D01-2018 | Environmental impact assessment        | XYZ Utility Company | Pending | 2019/04/15 |
| 22367-D01-2018-0002 | 22367-D01-2018 | Noise impact assessment                | XYZ Utility Company | Pending | 2019/01/19 |
| 22367-D01-2018-0003 | 22367-D01-2018 | Construction commencement notification | XYZ Utility Company | Pending | 2018/09/05 |
| 22367-D01-2018-0004 | 22367-D01-2018 | Construction completion notification   | XYZ Utility Company | Pending | 2018/12/15 |

Results per page (of 4 total):  [Go](#) [Show all](#)

Direction details

**Direction:** 22367-D01-2018-0001    **Status:** **Pending**    **Responsible party:** XYZ Utility Company

**Title:** Environmental impact assessment

**Electric facility ID:** ED634

**Due date:** 2018/12/15    **Reminder date:** 2018/12/01    **Non-compliance response due date:**

**Description:** The Commission directs XYZ Utility Company to file an environmental impact assessment by December 15, 2018.

**Originating proceeding**

**Proceeding:** 22367  
**Disposition:** 22367-D01-2018  
**Paragraph number:** 34  
**Condition number:** 2

**Proceeding satisfying direction**

**Proceeding:** 22367  
**Disposition:** N/A

The Proceeding satisfying direction indicates which proceeding the response was filed through.

**Documents**

| File name   | Actions           | Document type      | Document status | Uploaded            |
|---|-------------------|--------------------|-----------------|---------------------|
| 22367_X[1]_EnvironmentalImpactassessment_0117.pdf<br>Description: Environmental impact assessment | <a href="#">i</a> | Direction response | Active          | 2018/02/26 04:07 PM |

The document is available on the Direction details document tab.

The document is also available on the **Documents** screen on the proceeding through which the filing was uploaded. The direction number is displayed next to the document.

Registered parties are notified that a response was filed through the originating proceeding.

## 15.8 Responding to a direction with an application document

Request a proceeding as you normally would to file a new application and select to **Continue**.

**Request proceeding**

Add a description that will stand the test of time for the new proceeding and click the continue button:  
*Hint: An example would be: Company XYZ's Electric General Rate proceeding for 2015.*

Proceeding description: \*

*Note: You will need to create an application and have at least 1 applicant to register the proceeding.*

Select **Add application**.

Select the appropriate application type(s) and complete any required application forms and select **Save**.

Select application type

Filter criteria

Application functional group:

Application category:

Filter for this text in any of the fields:

Total application types found: 33

| Select                                | Functional group              | Application category  | Application type                                 | Application description  |
|---------------------------------------|-------------------------------|-----------------------|--|--|
| <input type="button" value="Select"/> | Electric and gas distribution | AUC initiated         | Rates miscellaneous                              | Applications initiated by the Alberta Utilities Commission that could deal with various distribution matters.  |
| <input type="button" value="Select"/> | Electric and gas distribution | Electric distribution | Franchise agreement and franchise fee rate rider | Applications seeking approval of an agreement (new, amended or renewed) that grants a right to provide a utility service in a municipality and the initial franchise fee associated with the agreement.  |
| <input type="button" value="Select"/> | Electric and gas distribution | Electric distribution | Franchise fee rate rider                         | Applications seeking approval of rate riders used by a public utility to collect franchise fees pursuant to agreements with municipalities to provide utility services in the municipality.  |
| <input type="button" value="Select"/> | Electric and gas distribution | Electric distribution | General tariff application - phase 1             | Requests for approval of a revenue requirement under rate-of-return regulation (phase 1). Could include interim rate requests, rate riders, terms and conditions if applicant prefers to include here rather than separate. Includes compliance applications.      |
| <input type="button" value="Select"/> | Electric and gas distribution | Electric distribution | General tariff application - phase 2             | Requests for approval of cost allocations and rates to recover revenue requirements (phase 2). Could include interim rate requests, rate riders, terms and conditions if applicant prefers to include here rather than separate. Includes compliance applications. |
| <input type="button" value="Select"/> | Electric and gas distribution | Electric distribution | Interim rates                                    | Applications requesting approval of interim rates prior to final rates being approved. This application type also includes any compliance applications filed in response to the foregoing matters.   |
| <input type="button" value="Select"/> | Electric and gas distribution | Electric distribution | Miscellaneous                                    | Applications on any other matter not covered under one of the other application types in the electric distribution application category.   |
| <input type="button" value="Select"/> | Electric and gas distribution | Electric distribution | Negotiation request                              | Applications requesting approval to commence negotiations pursuant to Rule 018: Rules on Negotiated Settlements.   |

Compliance applications are described in the application type description.

New application

General information

Created: March 05, 2018      Status: Draft      Application:

Functional group:

Application category:

Application type:

Application type description: Requests for approval of a revenue requirement under rate-of-return regulation (phase 1). Could include interim rate requests, rate riders, terms and conditions if applicant prefers to include here rather than separate. Includes compliance applications.

Application description:

Description for notice of application:

Add legislation

Add rule

Applicant reference number:

Select the application number link.

Applications

| Application                | Action                              | Application status | Application category  | Application type                     | Location | Electric facility ID | Created | Applicant ref. no |
|----------------------------|-------------------------------------|--------------------|-----------------------|--------------------------------------|----------|----------------------|---------|-------------------|
| <a href="#">23185-A001</a> | <input type="button" value="Info"/> | Draft              | Electric distribution | General tariff application - phase 1 |          |                      |         | 454-059           |

Select **Upload document** and then acknowledge and agree with the AUC privacy policy.

Application details

Application: [23185-A001](#)      Status: **Draft**      Created: 2018/03/05

Application category: Electric distribution      Location:

Application type: General tariff application - phase 1      Electric facility ID:

Applicant ref. no: 454-059

Description: Compliance application

Applicants    Application documents    Related filings    Issued dispositions

| Applicant name      | Applicant type    | Primary contact | Secondary contact |
|---------------------|-------------------|-----------------|-------------------|
| XYZ Utility Company | Primary applicant | Jane Doe        | None              |

Select **Add more files** to browse to upload compliance application files and select **Continue to step 2**.

Upload application document(s)  
Step 1 - Select the file(s) to upload.

Files for upload  
[Add more files](#)

Compliance application.pdf

Total files: 1

Set the document type, application and description and select the **Add directions** link.

Upload application document(s)

Step 2 - Set document type, application and description for each file

\*Please note that mandatory fields are identified with a red asterisk, descriptions have a limit of 50 characters

All documents apply to all my applications in this proceeding

Set the default description for all of these files to their filename (excluding the file extension, e.g., .docx)

| File name                  | Document type               | Document category       | Applications               | Description   | Directions                     | Remove                 |
|----------------------------|-----------------------------|-------------------------|----------------------------|---|--------------------------------|------------------------|
| Compliance application.pdf | <a href="#">Application</a> | Application and support | <a href="#">23185-A001</a> | <input type="text" value="Compliance application"/> | <a href="#">Add directions</a> | <a href="#">Remove</a> |

Note that filenames for documents will be changed when they are uploaded to fit the standardized naming scheme. The original name will be preserved.

Select the direction(s) to associate your application document to and then select **Save**.

Select direction(s)

Filter criteria

Direction:   
Description:   
Paragraph:   
Condition:   
Electric facility ID:

Status:   
Originating proceeding:   
Originating disposition:   
Direction due date:

Proceeding satisfying direction:   
Disposition satisfying direction:   
Direction create date: Start date:  End date:

Total records found: 8

|                                     | Direction           | Proceeding | Disposition    | Description                       | Responsibility      | Status      | Due date   |
|-------------------------------------|---------------------|------------|----------------|-----------------------------------|---------------------|-------------|------------|
| <input type="checkbox"/>            | 23150-D01-2018-0003 | 23150      | 23150-D01-2018 | Environmental Impact Assessment 1 | XYZ Utility Company | Outstanding | 2018/03/06 |
| <input type="checkbox"/>            | 23150-D01-2018-0004 | 23150      | 23150-D01-2018 | Environmental Impact Assessment 2 | XYZ Utility Company | Outstanding | 2018/03/06 |
| <input checked="" type="checkbox"/> | 23150-D01-2018-0005 | 23150      | 23150-D01-2018 | Environmental Impact Assessment 3 | XYZ Utility Company | Outstanding | 2018/03/06 |
| <input checked="" type="checkbox"/> | 23150-D01-2018-0006 | 23150      | 23150-D01-2018 | Environmental Impact Assessment 4 | XYZ Utility Company | Outstanding | 2018/03/06 |
| <input type="checkbox"/>            | 22367-D01-2018-0001 | 22367      | 22367-D01-2018 | Environmental impact assessment   | XYZ Utility Company | Pending     | 2018/12/15 |
| <input type="checkbox"/>            | 23159-D01-2018-0002 | 23159      | 23159-D01-2018 | This is a title for a direction2  | XYZ Utility Company | Pending     | 2018/03/02 |
| <input type="checkbox"/>            | 23159-D01-2018-0003 | 23159      | 23159-D01-2018 | This is a title for a direction3  | XYZ Utility Company | Pending     | 2018/03/02 |
| <input type="checkbox"/>            | 23159-D01-2018-0010 | 23159      | 23159-D01-2018 | Direction test for notification   | XYZ Utility Company | Pending     | 2018/03/02 |

Results per page (of 8 total):

Results per page (of 8 total):

Select to **Upload documents**.

Upload application document(s)

Step 2 - Set document type, application and description for each file

\*Please note that mandatory fields are identified with a red asterisk, descriptions have a limit of 50 characters

All documents apply to all my applications in this proceeding

Set the default description for all of these files to their filename (excluding the file extension, e.g. .docx)

| File name                  | Document type | Document category       | Applications | Description              | Directions                                  | Remove |
|----------------------------|---------------|-------------------------|--------------|--------------------------|---|--------|
| Compliance application.pdf | Application   | Application and support | 23185-A001   | Compliance application * | 23150-D01-2018-0005;<br>23150-D01-2018-0006 | Remove |

Note that filenames for documents will be changed when they are uploaded to fit the standardized naming scheme. The original name will be preserved.

Return to step 1 - Add more files

Upload document(s) Cancel

Associated directions are listed here.

## Select Register proceeding.

Application details

Edit application form Upload document Register proceeding Delete application

Application: 23185-A001 Status: Draft Created: 2018/03/05

Application category: Electric distribution Location:

Application type: General tariff application - phase 1 Electric facility ID:

Applicant ref. no: 454-059

Description: Compliance application

Applicants Application documents Related filings Issued dispositions

| Applicant name      | Applicant type    | Primary contact | Secondary contact |
|---------------------|-------------------|-----------------|-------------------|
| XYZ Utility Company | Primary applicant | Jane Doe        | None              |

Associated directions on the originating proceeding have a status of **Pending** and the document is available on the Direction details documents tab that was filed through the new compliance application.

Direction details

Direction: 23150-D01-2018-0005 Status: Pending Responsible party: XYZ Utility Company

Title: Environmental Impact Assessment 3

Electric facility ID: ES546

Due date: 2018/03/06 Reminder date: 2018/03/05 Non-compliance response due date:

Description: The Commission directs XYZ Utility Company to file an Environmental Impact Assessment report part 3

Originating proceeding

Proceeding: 23150

Disposition: 23150-D01-2018

Paragraph number: 45

Condition number: 67

Proceeding satisfying direction

Proceeding: 23185

Disposition: N/A

New proceeding is listed as the proceeding satisfying direction.

Documents

| File name   | Actions | Document type | Document status | Uploaded            |
|---|---------|---------------|-----------------|---------------------|
| 23185_X0001_Complianceapplication_0001.pdf<br>Description: Compliance application | 🔍       | Application   | Active          | 2018/03/05 03:31 PM |

Parties are notified through the proceeding satisfying the direction(s).

Proceeding 23185

My notifications

You are currently **subscribed** for the daily notification summary email for this proceeding. Edit subscription

Filter criteria

Notification type: All

Notification subject:

Filter notifications Export to excel Reset Total records found: 2

Results per page (of 2 total): Go Show all

| Created    | Subject   | Type              |
|------------|---|-------------------|
| 2018/03/05 | A response has been filed by XYZ Utility Company on direction: 23150-D01-2018-0006. | Direction Pending |
| 2018/03/05 | A response has been filed by XYZ Utility Company on direction: 23150-D01-2018-0005. | Direction Pending |

## 16 Restricted (private) proceedings

As legislated in the [Fair, Efficient and Open Competition Regulation](#) and the [Market Surveillance Regulation](#) the Commission must hold a private proceeding for certain commercially sensitive applications made by market participants and the Market Surveillance Administrator. The AUC has four application types that are registered as restricted proceedings.

| Application type   | Description  |
|--|--|
| Preferential sharing records   | Preferential sharing of records applications pursuant to Section 3 of the Fair, Efficient and Open Competition Regulation.   |
| Preferential sharing of records decision review – stage 1                | Applications for review of a decision relating to preferential sharing of records.   |
| Preferential sharing of records decision review – stage 2                | Hearing to consider whether to vary a decision of the Commission relating to preferential sharing of records.  |
| Application under Section 6 of the <i>Market Surveillance Regulation</i> | Application by the Market Surveillance Administrator under Section 6 of the Market Surveillance Regulation to make public a record that identifies a market participant by name. |

A proceeding cannot contain both restricted and non-restricted application types.

### 16.1 Create a restricted proceeding

From the eFiling top navigation bar, select *Request proceeding*. Enter a proceeding description ensuring that no confidential information is provided as the proceeding description is public.

Select your organization's primary and secondary contacts for the proceeding.

Select whether you are the primary applicant or registering the proceeding on behalf of the applicant as their representative. If registering the proceeding as a representative, select the primary applicant and the applicant's primary and secondary contacts.

**Request proceeding**

Add a description that will stand the test of time for the new proceeding and click the continue button:

*Hint: An example would be: Company XYZ's Electric General Rate proceeding for 2015.*

**Proceeding description:**

**My Contact(s):** [Tony Stark](#) [Pepper Potts](#)

**What is your role?**

I am the primary applicant

I am representing the primary applicant, submitting information on their behalf

**Primary applicant:** [Select applicant](#) \*

**Applicant contact(s):** [Select primary contact](#) \* [Select secondary contact](#)

You will need to create an application before registering the proceeding. You can also change the applicant(s), contact(s) and representative(s) from the applicants screen before registering the proceeding.

Select *Continue*.

A draft proceeding with a Proceeding ID is created by the system.

## 16.2 Add a restricted application type

From the newly created proceeding's left side navigation pane, select the **Applications** screen. Select *Add application*. In the **Select application type** window, filter for the text *Record*. Select the desired application from the four application types available for restricted proceedings.

| Select | Functional group | Application category | Application type  | Application description  |
|--------|------------------|----------------------|---|--|
| Select | Decision reviews | Review and variance  | Preferential sharing of records decision review - stage 1         | Applications for review of a decision relating to preferential sharing of records.   |
| Select | Decision reviews | Review and variance  | Preferential sharing of records decision review - stage 2         | Hearing to consider whether to vary a decision of the Commission relating to preferential sharing of records.  |
| Select | Market oversight | Record disclosures   | Application under Section 6 of the Market Surveillance Regulation | Application by the Market Surveillance Administrator under Section 6 of the Market Surveillance Regulation to make public a record that identifies a market participant by name. |
| Select | Market oversight | Records sharing      | Preferential sharing of records                                   | Preferential sharing of records applications pursuant to Section 3 of the Fair, Efficient and Open Competition Regulation.   |

A **New application** form is generated for the selected application type. Complete the form fields ensuring that no confidential information is disclosed in the required *Application description* field and the optional *Description for notice of application* field. This information is disclosed in the publicly available system generated application form and filing announcement.

Select *Save*.

## 16.3 Add restricted application documents

From the **Applications** screen, select the newly created application number to navigate to the **Application details** screen. Select *Upload document*. Review and acknowledge the two restricted document disclaimers to continue.

Select *Add more files* to launch file explorer. Select the desired application document(s). Once all application documents are added, select *Continue on to step 2*.

For each application document, select *Set document type* to associate a document type to the document. Enter a document description or select *Set the default description for all documents to their filename*.

Select *upload*.

## 16.4 Register a restricted proceeding

To register the draft proceeding select *Register proceeding* from the **Applications** or **Application details** screen. In the **Confirm register proceeding** window, select *Confirm* to proceed with the registration.

## 16.5 Accessing restricted proceeding documents

Most documents registered in a restricted proceeding are automatically set to a confidential status. This includes all application documents and most Filing types. Confidential documents are only visible and available to the Commission and registered participants. There are five documents that are automatically set to a public status.

1. System-generated application form
2. System-generated filing announcement
3. AUC filing type: Notice of application
4. AUC and external party filing type: Public correspondence in a restricted proceeding
5. Disposition documents

## 16.6 Participate in a restricted proceeding

The AUC manages which potential parties are authorized to participate in a restricted proceeding.

The default parties authorized to participate in preferential sharing of records proceedings are the applicant and the applicant's representative where the representative is registering the proceeding, the Market Surveillance Administrator, and the AUC.

The default parties authorized to participate in applications made under Section 6 of the *Market Surveillance Regulation* are the applicant (Market Surveillance Administrator) and the MSA's representative where the representative is registering the proceeding, and the AUC.

All other parties wanting to register to participate must be manually authorized in the system by the proceeding's Lead Application Officer.

The list of registered participants and their registration type are public information that can be viewed in the proceeding's **Registered parties** screen by any eFiling user.

The eFiling System users not authorized to participate can register as an observer, subscribing to receive notifications of the following public information about a restricted proceeding:

- Filing announcement
- Notice of application
- Public correspondence filed in a restricted proceeding
- Disposition documents

## 17 Confidential proceedings

In accordance with AUC Rule 001: *Rules of Practice*, a party may request that information within a document, an entire document or multiple documents be treated confidentially and redacted from the public record. A proceeding is considered confidential when a disclosing party (owner of the confidential material) files a **Motion for confidentiality** filing and the motion is granted by the AUC in a **Confidentiality ruling**.

### 17.1 Requesting information to remain confidential and off the public record

Requesting confidential treatment of a record(s) is a three-step process.

Step 1: the disclosing party or their representative creates a **Motion for confidentiality** filing.

Step 2: the disclosing party or their representative uploads and registers to the public record the motion document, which must include the reasons and specific harm that would result if the document was placed on the public record, and either a redacted version of each of the confidential documents, or where the request applies to an entire document, a non-confidential description or summary of the information.

Step 3: the disclosing party or their representative uploads the unredacted confidential documents on the confidential record for consideration by the Commission.

#### Step 1: Create the filing

From the **Filings** screen, create a new **Motion for confidentiality** filing type. There is no **Related schedule** item required for this filing type. Upon saving the filing, the user is directed to the **Filing details** screen, **Public documents** tab to upload the motion and related public files.

**Create new filing**

**Registered Party**

Registered party: XYZ Utility Company  
Participant type: Applicant

**Related schedule**

Schedule: [No schedule item is required for my filing type](#) ←

**Filing type**

Filing type: [Motion for confidentiality](#)

Description: Documents submitted by a party requesting a Commission determination to keep a document, a portion of a document, or multiple documents confidential and off the public record. The motion describes the specific information that should remain confidential and must include either a public, redacted version of each confidential document, or where the request applies to an entire document, a non-confidential description or summary of that document. Although filed separately on the confidential record, the motion also requires all unredacted confidential documents for consideration by the Commission.

**Motion for confidentiality details**

Filing description: XYZ Utility Company's request to keep a portion of the application documentation off the public record due to proprietary technology.

Related applications: 27084-A001  
*Note: This filing will be related to all applications on the proceeding if none are specified.*

Upon saving this Motion for confidentiality filing, you will be directed to the Filing details screen, Public documents tab to select and upload your motion and redacted document(s) or summary description for the public record. Upon registration of your motion and public documents, you will be directed to the Documents screen, Confidential motion tab to select and upload your confidential documents for the Commission's consideration.

→ Save Cancel

## Step 2: Select the public files to upload to the public record

From the **Filing details** screen, **Public documents** tab, select **Upload filing documents(s)**. Upload the motion and either a redacted version of each of the confidential documents, or where the request applies to an entire document, a non-confidential description or summary of the information. Do not include the confidential documents at this step. Select **Register** filing. When the filing is registered, the system assigns exhibit numbers to the documents and the filing becomes part of the public record.

Upon registration of the **Motion for confidentiality** filing, the user will be directed to the **Documents** screen, **Confidential motion** tab. Only confidential administrators of the disclosing party's organization can upload the confidential documents that the user would like the Commission to consider as part of its motion.

**Upload public document(s) for filing 26855-F0015** Select **Add more files** to add motion and related redacted or summary documents for the public record. *(Individual file sizes cannot exceed 50 Mb)*

Step 1 - Select filing document(s) to upload

[Add more files](#) ←

 Motion Re SAGD Tech.docx
  Redacted SAGD Equip..d...
  Redacted SAGD Specs.d...

**Filing details**

[Edit info](#) | [Upload filing document\(s\)](#) | [Register filing](#) | [Delete filing](#)

**Filing number:** 26855-F0015 | **Filing type:** Motion for confidentiality | **Status:** Draft | **Later:** No

**Filed by:** XYZ Utility Company | **Registered party:** XYZ Utility Company | **Created:** 2022/06/28 08:09 AM

**Description:** Motion for confidentiality Re SAGD technology

**Ruling:** N/A | **Motion status:** Awaiting ruling

[Public documents](#) | [Applications](#)

Do not upload confidential files at this step.

| Filename   | Actions           | Document Status | Uploaded            | Directions |
|--|-------------------|-----------------|---------------------|------------|
| 26855_XII_Redacted SAGD Specs_000047.docx<br>Description: Redacted SAGD Specs  | <a href="#">ⓘ</a> | Draft           | 2022/06/28 08:24 AM |            |
| 26855_XII_Redacted SAGD Equip_000046.docx<br>Description: Redacted SAGD Equip. | <a href="#">ⓘ</a> | Draft           | 2022/06/28 08:24 AM |            |
| 26855_XII_Motion Re SAGD Tech_000045.docx<br>Description: Motion Re SAGD Tech  | <a href="#">ⓘ</a> | Draft           | 2022/06/28 08:24 AM |            |

Results per page (of 3 total)  [Go](#) [Show all](#)

### Step 3: Select the confidential files to upload to the confidential record

From the **Documents** screen, **Confidential motion** tab select **Upload confidential motion files** and select the unredacted confidential documents related to the motion for the Commission’s consideration. The confidential administrator can continue to upload confidential motion documents when the motion status is **Awaiting confidential motion files**.

**Proceeding 26855**

[Proceeding home](#) | [Applicants](#) | [Applications](#) | [Directions](#) | [Dispositions](#) | **[Documents](#)** | [Filings](#) | [Notifications](#) | [Registered parties](#) | [Schedule](#)

**Documents**

[Public](#) | [Confidential](#) | **[Confidential motion](#)** | [Disclosing party access](#) | [\\*Undertaking access \(1\)](#)

Use this screen to upload confidential motion documents for Commission consideration. Please click the Finalize button to notify the AUC proceeding team when all files have been uploaded to the selected motion. The AUC will not review the documents until the motion has been finalized.

[Upload confidential motion files](#) | [Finalize](#)

**Motion for confidentiality:** 26855-F0015 | **Disclosing party:** XYZ Utility Company | **Motion status:** **Awaiting confidential motion files** | **Ruling status:** Awaiting ruling

**Motion description:** Motion for confidentiality Re SAGD technology

| Motion filing                    | Document description | Actions | Filename | Uploaded |
|----------------------------------|----------------------|---------|----------|----------|
| There are no documents available |                      |         |          |          |

**Upload confidential document(s) for motion 26855-F0015**

Step 1 - Select confidential motion document(s) to upload (Individual file sizes cannot exceed 50 Mb)

[Add more files](#)

Confidential SAGD Equip... | Confidential SAGD Specs... | [Add more files](#)

Select **Add more files** to add the confidential motion documents for the Commission's consideration.

Once all confidential motion documents are uploaded, select the **Finalize** button to inform the AUC that the confidential motion documents are ready for Commission consideration. The motion status will change to **Finalized** and the upload function becomes disabled.

Confidential motion documents are not assigned exhibit numbers by the system and are not placed on the public record.

**Documents**

Public Confidential **Confidential motion** Disclosing party access \*Undertaking access (1)

Use this screen to upload confidential motion documents for Commission consideration. Please click the Finalize button to notify the AUC proceeding team when all files have been uploaded to the selected motion. The AUC will not review the documents until the motion has been finalized.

Upload confidential motion files Finalize

Motion for confidentiality: 26855-F0015 Disclosing party: XYZ Utility Company Motion status: **Awaiting confidential motion files** Ruling status: Awaiting ruling

Motion description: Motion for confidentiality Re SAGD technology

Results per page (of 2 total):  Go Show all

| Motion filing | Document description     | Actions | Filename                            | Uploaded   |
|---------------|--------------------------|---------|-------------------------------------|------------|
| 26855-F0015   | Confidential SAGD Specs. | ①       | Confidential SAGD Specs_000004.docx | 2022/06/28 |
| 26855-F0015   | Confidential SAGD Equip. | ①       | Confidential SAGD Equip_000003.docx | 2022/06/28 |

Results per page (of 2 total):  Go Show all

**Documents**

Public Confidential **Confidential motion** Disclosing party access \*Undertaking access (1)

Use this screen to upload confidential motion documents for Commission consideration. Please click the Finalize button to notify the AUC proceeding team when all files have been uploaded to the selected motion. The AUC will not review the documents until the motion has been finalized.

Upload confidential motion files Finalize

Upload function is disabled after the motion is **Finalized**.

Motion for confidentiality: 26855-F0015 Disclosing party: XYZ Utility Company Motion status: **Motion finalized** Ruling status: Awaiting ruling

Motion description: Motion for confidentiality Re SAGD technology

Results per page (of 2 total):  Go Show all

| Motion filing | Document description     | Actions | Filename                            | Uploaded   |
|---------------|--------------------------|---------|-------------------------------------|------------|
| 26855-F0015   | Confidential SAGD Specs. | ①       | Confidential SAGD Specs_000004.docx | 2022/06/28 |
| 26855-F0015   | Confidential SAGD Equip. | ①       | Confidential SAGD Equip_000003.docx | 2022/06/28 |

Results per page (of 2 total):  Go Show all

The Commission will grant or deny the **Motion for confidentiality** through a **Confidentiality ruling** filing. Once a **Confidentiality ruling** has been issued on an associated motion, all confidential motion files will be deleted automatically from the system in 60 days or at proceeding completion (whichever date comes first). The disclosing party is required to re-submit all granted confidential information.

### 17.1.1 Access to the confidential motion documents

The confidential motion documents are accessible to the following users:

- Commission panel members and Commission staff for the purposes of the Commission issuing a confidentiality ruling on the request.
- Any confidential administrators in your organization.
- Organizational users that you have designated on the disclosing party access screen for a particular proceeding.
- Users from any organization that represents you that you have designated on the disclosing party access screen for a particular proceeding.

## 17.2 Disclosing party access

An organization's confidential administrator allows other users in their organization and representative organizations to view and download confidential motion documents and confidential documents submitted by their organization for each confidential proceeding.

Confidential administrators for the disclosing party’s organization are automatically added by the system to the disclosing party access screen.

Select **Manage user access** to add other users from your organization or representative organizations.

Documents

Public Confidential motion Disclosing party access

Use this screen to view or manage access for both organizational users and/or users of one or more representative parties to view your organization's confidential documents.

Manage user access

| User name                                   | Role      | Organization name   | Disclosing party    |
|---|-----------|---------------------|---------------------|
| Dustin Hoffman [Confidential administrator] | Applicant | ABC Utility Company | ABC Utility Company |
| Glenn Close [Confidential administrator]    | Applicant | ABC Utility Company | ABC Utility Company |
| Johnny Depp [Confidential administrator]    | Applicant | ABC Utility Company | ABC Utility Company |

Results per page (of 3 total):  Go Show all

Results per page (of 3 total):  Go Show all

Select users to grant confidential access:

Select users that will be granted access to manage the selected organization's confidential information for this proceeding.

Select disclosing party: ABC Utility Company

Select organization: ABC Utility Company, XYZ Law Firm

Select users:

- All
- Anthony Hopkins
- Bill Murray
- Bruce Willis
- Sean Penn

Save Cancel

## 17.3 Re-submitting confidential documents

Once the AUC issues a **Confidentiality ruling** and has granted the associated **Motion for Confidentiality**, the disclosing party is required to re-submit the confidential documents that are specified in the **Confidentiality ruling**. For each confidential application or filing document that is re-submitted, the disclosing party is required to provide a redacted version of the confidential document or select a system-generated summary document for the public record.

Where the **Confidentiality ruling** denies the request in full or in part, the disclosing party must contact the proceeding’s Lead Application Officer and request the public documents previously submitted with the motion be voided from the public record.

Confidential filings or application documents can also be filed by other parties that have submitted a **Confidentiality undertaking** and have been granted access by the discloser of the confidential information.

### 17.3.1 Upload confidential application documents

From the **Application details** screen, select **Upload document**.

Application details

Application: 25173-A001 Status: **Registered** Registered: 2020/01/09

Application category: Electric transmission Location:

Application type: General tariff application Electric facility ID:

Applicant ref. no:

Description: ABC Utility Company GTA

Public documents Applicants Related filings Issued dispositions

Results per page (of 6 total):

| Public filename   | Actions | Exhibit number | Document type    | Uploaded ↓          | Filed by     | Applications | Directions |
|---|---------|----------------|------------------|---------------------|--------------|--------------|------------|
| 25173_X0006_Application-25173-A001_000006.pdf<br>Description: System generated PDF                        |         | 25173-X0006    | Application form | 2020/01/09 03:05 PM | XYZ Law Firm | 25173-A001   |            |
| 25173_X0005_ApplicationCoverLetter_000005.pdf<br>Description: Application Cover Letter                    |         | 25173-X0005    | Correspondence   | 2020/01/09 03:04 PM | XYZ Law Firm | 25173-A001   |            |
| 25173_X0004_Application40RevenueRequirement_000004.pdf<br>Description: Application 40 Revenue Requirement |         | 25173-X0004    | Application      | 2020/01/09 03:04 PM | XYZ Law Firm | 25173-A001   |            |

Select that you are uploading confidential files for the confidential record and redacted versions for the public record.

What kind of files are you uploading?

The AUC's eFiling system manages both the public record and confidential record for a proceeding. As outlined in [Rule 001: Rules of Practice](#), for each confidential record uploaded, a public, redacted version or a public summary document must be provided.

Please make a selection below to indicate the types of files that you will be uploading:

I am uploading non-confidential files to the public record

I am uploading confidential files for the confidential record, and redacted versions for the public record.

Review the confidential document disclaimer that describes who the confidential documents will be accessible to and select to acknowledge and agree.

Upload confidential document disclaimer

You are about to submit confidential information directly to the confidential record of an Alberta Utilities Commission (AUC) proceeding.

If you are filing confidential motion documents, the information in these documents will be accessible to you and the following users:

- Commission panel members and Commission staff for the purposes of the Commission issuing a confidentiality ruling on the request;
- any confidential administrators in your organization;
- organizational users that you have designated on the disclosing party access screen for a particular proceeding; and
- users from any organization that represents you that you have designated on the disclosing party access screen for a particular proceeding.

If the Commission grants a request for confidentiality in a confidentiality ruling, and you are filing confidential information that is subject to the directions in that ruling, the confidential information will be accessible to you and the following users:

- Commission panel members and Commission staff;
- if you are the disclosing party (i.e., the owner of the confidential information),
  - any confidential administrators in your organization;
  - organizational users that you have designated on the disclosing party access screen for a particular proceeding; and
  - users from any organization that represents you that you have designated on the disclosing party access screen for a particular proceeding; and
- any registered party that files a confidentiality undertaking and that has been granted access by the disclosing party for a particular proceeding.

I acknowledge and agree that I am filing confidential information according to the directions outlined in [Rule 001: Rules of Practice](#).

I will not be submitting confidential information.

Upload the confidential application documents and continue to step 2.

Upload confidential document(s) for application 25173-A001

Step 1 - Select confidential application document(s) to upload

[Add more files](#)

Confidential appendix do...
 Confidential application ...
 Confidential contract.docx

Total files: 3

Set the document type, application, description and associated public version for each confidential document.

Upload confidential document(s) for application 25173-A001

Please address the following:

- A corresponding public version is required for each confidential document.

Step 2 - Set the document type, application(s), description and associated public version for each document

As outlined in Rule 001: Rules of Practice, for each confidential document, a public redacted version or summary document must be provided for the public record.

All documents apply to all my applications in this proceeding  
 Set the default description for all documents to their filename (excluding the file extension, e.g. .docx)

| Confidential document                  | Document type | Document category       | Applications | Description  | Public version *                      | Action                 |
|--|---------------|-------------------------|--------------|--|---------------------------------------|------------------------|
| Confidential appendix document.docx    | Appendix      | Application and support | 25173-A001   | <input type="text" value="Confidential appendix document"/>    | <a href="#">Select public version</a> | <a href="#">Remove</a> |
| Confidential application document.docx | Application   | Application and support | 25173-A001   | <input type="text" value="Confidential application document"/> | <a href="#">Select public version</a> | <a href="#">Remove</a> |
| Confidential contract.docx             | Contract      | Authorization           | 25173-A001   | <input type="text" value="Confidential contract"/>             | <a href="#">Select public version</a> | <a href="#">Remove</a> |

Note that filenames for all documents will be changed once they are uploaded to fit a standardized naming scheme. The original name will be preserved.

When selecting the public version for each document, you will have two options.

Select public version

**Confidential document from step 2:**

Confidential appendix document.docx

Upload the public version of the confidential document uploaded in Step 2. Use this option for files that can be partially redacted.

Have the system generate a public summary version of the confidential document uploaded in Step 2. Use this option when the entire file is confidential.

Ensure that every confidential document has a corresponding public, redacted version or generated summary and then select to **Upload**.

**Upload confidential document(s) for application 25173-A001**

**Step 2 - Set the document type, application(s), description and associated public version for each document**

As outlined in Rule 001: Rules of Practice, for each confidential document, a public redacted version or summary document must be provided for the public record.

All documents apply to all my applications in this proceeding  
 Set the default description for all documents to their filename (excluding the file extension, e.g., .docx)

| Confidential document                  | Document type | Document category       | Applications | Description                       | Public version                | Action |
|--|---------------|-------------------------|--------------|-----------------------------------|-------------------------------|--------|
| Confidential appendix document.docx    | Appendix      | Application and support | 25173-A001   | Confidential appendix document    | Public appendix document.docx | Remove |
| Confidential application document.docx | Application   | Application and support | 25173-A001   | Confidential application document | Public application doc 1.docx | Remove |
| Confidential contract.docx             | Contract      | Authorization           | 25173-A001   | Confidential contract             | Generate summary              | Remove |

Note that filenames for all documents will be changed once they are uploaded to fit a standardized naming scheme. The original name will be preserved.

[Return to step 1 - Add more documents](#) [Upload](#) [Cancel](#)

All confidential application documents are available on the **Confidential documents** tab on the **Application details** screen. All corresponding public versions are available on the **Public documents** tab.

**Application details**

[Upload document](#)

**Application:** 25173-A001 **Status:** Registered **Registered:** 2020/01/09

**Application category:** Electric transmission **Location:**

**Application type:** General tariff application **Electric facility ID:**

**Applicant ref. no.:**

**Description:** ABC Utility Company GTA

[Public documents](#) **[Confidential documents](#)** [Applicants](#) [Related filings](#) [Issued dispositions](#)

Results per page (of 3 total):  [Go](#) [Show all](#)

| Confidential filename   | Actions | Exhibit number | Document type | Uploaded ↓          | Filed by            | Applications | Directions |
|---|---------|----------------|---------------|---------------------|---------------------|--------------|------------|
| 25173_X0011_C_Confidentialcontract_000003.docx<br>Description: Confidential contract                        |         | 25173-X0011-C  | Contract      | 2020/01/09 04:55 PM | ABC Utility Company | 25173-A001   |            |
| 25173_X0010_C_Confidentialapplicationdocument_000002.docx<br>Description: Confidential application document |         | 25173-X0010-C  | Application   | 2020/01/09 04:55 PM | ABC Utility Company | 25173-A001   |            |
| 25173_X0009_C_Confidentialappendixdocument_000001.docx<br>Description: Confidential appendix document       |         | 25173-X0009-C  | Appendix      | 2020/01/09 04:55 PM | ABC Utility Company | 25173-A001   |            |

The public and confidential documents are also available on the **Documents** screen to authorized users.

**Proceeding 25173**

**Documents**

[Public](#) **[Confidential](#)** [Confidential motion](#) [Disclosing party access](#) [Undertaking access](#)

To submit documents, please go to the Filings page to create, upload and then register your filing. Application documents can be uploaded and registered from the details page for an application.

[Zip and download](#) [Document index](#)

**Filter criteria**

Document status:  Document type:  Registered party:  Exhibit number:

Uploaded date  Modified date Start date:  End date:  [Filter documents](#) [Reset](#)

Results per page (of 3 total):  [Go](#) [Show all](#)

| <input type="checkbox"/> | Exhibit number ↑ | Document description              | Actions | Document type | Registered party    | Uploaded   | Reference   | Directions |
|--------------------------|------------------|-----------------------------------|---------|---------------|---------------------|------------|-------------|------------|
| <input type="checkbox"/> | 25173-X0009-C    | Confidential appendix document    |         | Appendix      | ABC Utility Company | 2020/01/09 | Application |            |
| <input type="checkbox"/> | 25173-X0010-C    | Confidential application document |         | Application   | ABC Utility Company | 2020/01/09 | Application |            |
| <input type="checkbox"/> | 25173-X0011-C    | Confidential contract             |         | Contract      | ABC Utility Company | 2020/01/09 | Application |            |

Results per page (of 3 total):  [Go](#) [Show all](#)

### 17.3.2 Upload confidential filing documents

Create a new filing and select the corresponding schedule and filing type and enter a description. Confidential documents can be filed on all available filing types on confidential proceedings.

Proceeding 25173

Proceeding home  
Applicants  
Applications  
Directions  
Dispositions  
Documents  
**Filings**  
Notifications  
Registered parties  
Schedule

Filings  
Create filing

Registered filings My draft filings Filings to me

Filter criteria

Filing: Type: Filed by: Registered party: Status  
All All All Registered Registered

Filter filings Reset

Results per page (of 2 total): Go Show all

| Filing      | Type                       | Late | Registered party             | Filed by                     | Created             | Description   | Status     | Responder | Requestor |
|-------------|----------------------------|------|------------------------------|------------------------------|---------------------|---|------------|-----------|-----------|
| 25173-F0002 | Confidentiality ruling     | No   | Alberta Utilities Commission | Alberta Utilities Commission | 2020/01/09 04:33 PM | Ruling on ABC Utility Company request for confidentiality   | Registered |           |           |
| 25173-F0001 | Motion for confidentiality | No   | ABC Utility Company          | XYZ Law Firm                 | 2020/01/09 03:24 PM | ABC Utility Company's request to keep a portion of the application documentation off the public ... | Registered |           |           |

On the filing indicate that you are uploading confidential files for the confidential record and redacted versions for the public record.

Select the disclosing party (owner of the confidential material) and save the filing.

Create new filing

**Registered Party**

Registered party: ABC Utility Company

Participant type: Applicant

**Related schedule**

Schedule: [No schedule item is required for my filing type](#)

**Filing type**

Filing type: [Correspondence - external](#)

Description: Letters, emails and other miscellaneous correspondence written by involved parties regarding the proceeding (if you are requesting an action from the Commission use filing type: procedural filing - motion).

**Correspondence - external details**

Filing description: Confidential letter regarding ABC Utility company.

Related applications: [Select application\(s\)](#)  
*Note: This filing will be related to all applications on the proceeding if none are specified.*

Confidential material:  I am uploading public files for the public record.  
 I am uploading confidential files for the confidential record and redacted versions for the public record.

Confidentiality owner: [Select disclosing party](#) \*

Please address the following:

- Please select a disclosing party for confidentiality ownership.

Save Cancel

Select to **Upload filing documents** and then select **I am uploading confidential files for the confidential record, and redacted versions for the public record.**

**What kind of files are you uploading?**

The AUC's eFiling system manages both the public record and confidential record for a proceeding. As outlined in [Rule 001: Rules of Practice](#), for each confidential record uploaded, a public, redacted version or a public summary document must be provided.

Please make a selection below to indicate the types of files that you will be uploading:

I am uploading non-confidential files to the **public** record

I am uploading confidential files for the **confidential** record, and redacted versions for the public record.

Acknowledge and agree that you are filing the confidential information according to Rule 001: *Rules of Practice*.

**Upload confidential document disclaimer**

You are about to submit confidential information directly to the **confidential** record of an Alberta Utilities Commission (AUC) proceeding.

If you are filing confidential motion documents, the information in these documents will be accessible to you and the following users:

- Commission panel members and Commission staff for the purposes of the Commission issuing a confidentiality ruling on the request;
- any confidential administrators in your organization;
- organizational users that you have designated on the disclosing party access screen for a particular proceeding; and
- users from any organization that represents you that you have designated on the disclosing party access screen for a particular proceeding.

If the Commission grants a request for confidentiality in a confidentiality ruling, and you are filing confidential information that is subject to the directions in that ruling, the confidential information will be accessible to you and the following users:

- Commission panel members and Commission staff;
- if you are the disclosing party (i.e., the owner of the confidential information),
  - any confidential administrators in your organization;
  - organizational users that you have designated on the disclosing party access screen for a particular proceeding; and
  - users from any organization that represents you that you have designated on the disclosing party access screen for a particular proceeding; and
- any registered party that files a confidentiality undertaking and that has been granted access by the disclosing party for a particular proceeding.

I acknowledge and agree that I am filing confidential information according to the directions outlined in [Rule 001: Rules of Practice](#).

I will not be submitting confidential information.

Upload the confidential versions of your documents first and enter a description.

**Upload confidential document(s) for filing 25173-F0003**

**Please address the following:**

- A corresponding public version is required for each confidential document.

**Step 2 - Set the description and associated public version for each document**

As outlined in Rule 001: Rules of Practice, for each confidential document, a public redacted version or summary document must be provided for the public record.

Set the default description for all documents to their filename (excluding the file extension, e.g., .docx)

| Confidential document      | Description  | Public version *                      | Action                 |
|----------------------------|--|---------------------------------------|------------------------|
| Confidential filing 1.docx | <input type="text" value="Confidential filing 1"/> | <a href="#">Select public version</a> | <a href="#">Remove</a> |
| Confidential filing 2.docx | <input type="text" value="Confidential filing 2"/> | <a href="#">Select public version</a> | <a href="#">Remove</a> |
| Confidential filing 3.docx | <input type="text" value="Confidential filing 3"/> | <a href="#">Select public version</a> | <a href="#">Remove</a> |

Note that filenames for all documents will be changed once they are uploaded to fit a standardized naming scheme. The original name will be preserved.

For each confidential document uploaded, you are required to submit a public redacted version or select to generate a public summary document. The generated summary document is created after the filing is registered.

### Select public version

**Confidential document from step 2:**

 Confidential filing 1.docx

**Select** Upload the public version of the confidential document uploaded in Step 2. Use this option for files that can be partially redacted.

**Select** Have the system generate a public summary version of the confidential document uploaded in Step 2. Use this option when the entire file is confidential.

**Cancel**

Once every document has a corresponding public version select the **Upload** button.

### Upload confidential document(s) for filing 25173-F0003

**Step 2 - Set the description and associated public version for each document**

As outlined in Rule 001: Rules of Practice, for each confidential document, a public redacted version or summary document must be provided for the public record.

Set the default description for all documents to their filename (excluding the file extension, e.g. .docx)

| Confidential document  | Description  | Public version                        | Action        |
|--|--|---------------------------------------|---------------|
|  Confidential filing 1.docx | <input type="text" value="Confidential filing 1"/> | Filing 1 public redacted version.docx | <b>Remove</b> |
|  Confidential filing 2.docx | <input type="text" value="Confidential filing 2"/> | Filing 2 Public redacted version.docx | <b>Remove</b> |
|  Confidential filing 3.docx | <input type="text" value="Confidential filing 3"/> | Generate summary                      | <b>Remove</b> |

Note that filenames for all documents will be changed once they are uploaded to fit a standardized naming scheme. The original name will be preserved.

**Return to step 1 - Add more documents** **Upload** **Cancel**

Confirm the upload and then register the filing.

### Filing details

**Edit info** **Upload filing document(s)** **Register filing** **Delete filing**

**Filing number:** 25173-F0003 **Filing type:** Correspondence - external **Status:** **Draft** **Late:** No

**Filed by:** ABC Utility Company **Registered party:** ABC Utility Company **Created:** 2020/01/13 03:37 PM

**Description:** Confidential letter regarding ABC Utility company.

**Confidential:** Yes **Confidential user:** Dustin Hoffman **Disclosing party:** ABC Utility Company

**Public documents** **Confidential documents** **Applications**

Results per page (of 3 total):  **Go** **Show all**

| Filename  | Actions   | Document Status | Uploaded ↓          | Directions |
|---|---|-----------------|---------------------|------------|
| Generated public summary<br>Description: Confidential filing 3                          |  | Draft           | 2020/01/13 04:11 PM |            |
| 25173_XI_Filing2Publicredactedversion_000013.docx<br>Description: Confidential filing 2 |  | Draft           | 2020/01/13 04:11 PM |            |
| 25173_XI_Filing1publicredactedversion_000012.docx<br>Description: Confidential filing 1 |  | Draft           | 2020/01/13 04:11 PM |            |

The confidential filing documents are available on the **Confidential documents** tab on the **Filing details** screen along with the associated public version. The public versions are available on the **Public documents** tab.

**Filing details**

**Filing number:** 25173-F0003    **Filing type:** Correspondence - external    **Status:** **Registered**    **Late:** No

**Filed by:** ABC Utility Company    **Registered party:** ABC Utility Company    **Registered:** 2020/01/13 04:16 PM

**Description:** Confidential letter regarding ABC Utility company.

**Confidential:** Yes    **Confidential user:** Dustin Hoffman    **Disclosing party:** ABC Utility Company

Public documents    **Confidential documents**    Applications

Results per page (of 3 total):  Go Show all

| Confidential filename   | Public redacted filename                             | Actions | Exhibit number | Document Status | Uploaded            | Directions |
|---|--|---------|----------------|-----------------|---------------------|------------|
| 25173_X0012_C_Confidentialfiling3_000006.docx<br>Description: Confidential filing 3 | 25173_X0012_Systemgeneratedpublicsummary_000014.pdf  | 🔒       | 25173-X0012-C  | Active          | 2020/01/13 04:11 PM |            |
| 25173_X0013_C_Confidentialfiling2_000005.docx<br>Description: Confidential filing 2 | 25173_X0013_Filing2Publicredactedversion_000013.docx | 🔒       | 25173-X0013-C  | Active          | 2020/01/13 04:11 PM |            |
| 25173_X0014_C_Confidentialfiling1_000004.docx<br>Description: Confidential filing 1 | 25173_X0014_Filing1Publicredactedversion_000012.docx | 🔒       | 25173-X0014-C  | Active          | 2020/01/13 04:11 PM |            |

The public and confidential versions of the documents are also available on the **Documents** screen under the **Public** and **Confidential** tabs. The confidential documents will be symbolized with a lock and key.

**Documents**

Public    **Confidential**    Confidential motion    Disclosing party access    Undertaking access

To submit documents, please go to the Filings page to create, upload and then register your filing. Application documents can be uploaded and registered from the details page for an application.

Zip and download    Document index

**Filter criteria**

Document status: Active  Document type: Select options Registered party: Select options Exhibit number:

Uploaded date     Modified date    Start date:  End date:

Filter documents    Reset

Results per page (of 6 total):  Go Show all

|                          | Exhibit number | Document description              | Actions | Document type             | Registered party    | Uploaded   | Reference   | Directions |
|--------------------------|----------------|-----------------------------------|---------|---------------------------|---------------------|------------|-------------|------------|
| <input type="checkbox"/> | 25173-X0009-C  | Confidential appendix document    | 🔒       | Appendix                  | ABC Utility Company | 2020/01/09 | Application |            |
| <input type="checkbox"/> | 25173-X0010-C  | Confidential application document | 🔒       | Application               | ABC Utility Company | 2020/01/09 | Application |            |
| <input type="checkbox"/> | 25173-X0011-C  | Confidential contract             | 🔒       | Contract                  | ABC Utility Company | 2020/01/09 | Application |            |
| <input type="checkbox"/> | 25173-X0012-C  | Confidential filing 3             | 🔒       | Correspondence - external | ABC Utility Company | 2020/01/13 | Filing      |            |
| <input type="checkbox"/> | 25173-X0013-C  | Confidential filing 2             | 🔒       | Correspondence - external | ABC Utility Company | 2020/01/13 | Filing      |            |
| <input type="checkbox"/> | 25173-X0014-C  | Confidential filing 1             | 🔒       | Correspondence - external | ABC Utility Company | 2020/01/13 | Filing      |            |

### 17.3.3 Access to confidential documents

Access to confidential documents is limited to the following:

- Commission panel members and Commission staff.
- Any registered party that files a confidentiality undertaking and that has been granted access by the disclosing party for a particular proceeding.

In addition, if you are the disclosing party, then the information that you share will also be accessible to the following:

- Any confidential administrators in the disclosing party's organization.
- Organizational users that you have designated on the disclosing party access screen for a particular proceeding.

- Users from any organization that represents you that you have designated on the disclosing party access screen for a particular proceeding.

## 17.4 Exhibit numbers for confidential documents

The confidential version of the document gets the same exhibit number as the public version but will have a -C appended to the end of the exhibit number.

| Confidential filename   | Public redacted filename                             | Actions | Exhibit number | Document Status | Uploaded            |
|---|--|---------|----------------|-----------------|---------------------|
| 25173_X0012_C_Confidentialfiling3_000006.docx<br>Description: Confidential filing 3 | 25173_X0012_Systemgeneratedpublicsummary_000014.pdf  |         | 25173-X0012-C  | Active          | 2020/01/13 04:11 PM |
| 25173_X0013_C_Confidentialfiling2_000005.docx<br>Description: Confidential filing 2 | 25173_X0013_Filing2Publicredactedversion_000013.docx |         | 25173-X0013-C  | Active          | 2020/01/13 04:11 PM |
| 25173_X0014_C_Confidentialfiling1_000004.docx<br>Description: Confidential filing 1 | 25173_X0014_Filing1publicredactedversion_000012.docx |         | 25173-X0014-C  | Active          | 2020/01/13 04:11 PM |

Select the confidential exhibit number on the **Documents** screen to access the confidential version of the document if you have been authorized by the disclosing party.

|                          | Exhibit number ↑ | Document description              |
|--------------------------|------------------|-----------------------------------|
| <input type="checkbox"/> | 25173-X0009-C    | Confidential appendix document    |
| <input type="checkbox"/> | 25173-X0010-C    | Confidential application document |
| <input type="checkbox"/> | 25173-X0011-C    | Confidential contract             |
| <input type="checkbox"/> | 25173-X0012-C    | Confidential filing 3             |
| <input type="checkbox"/> | 25173-X0013-C    | Confidential filing 2             |
| <input type="checkbox"/> | 25173-X0014-C    | Confidential filing 1             |

## 17.5 Revisions to confidential documents

Revisions can be made to confidential documents or their paired public version by authorized users. A blackline and clean version must be provided for the file being revised. Select the action icon next to the document on the **Documents** screen and select to **Revise document**.

Because the exhibit number is shared by the confidential and public version, this can lead to differences in the revision number on each document. For each revision applied to either the public version or the confidential version, the exhibit number extension will get the next sequential number applied only to the specific version being revised. Each document history will show only the revisions that were applied to the particular document.

See the Revising a document section in this user guide for complete instructions.

**Documents**

Public Confidential Confidential motion Disclosing party access Undertaking access

To submit documents, please go to the Filings page to create, upload and then register your filing. Application documents can be uploaded and registered from the details page for an application.

Zip and download Document index

**Filter criteria**

Document status: Active  
 Document type: Select options  
 Registered party: Select options  
 Exhibit number: [text box]  
 Uploaded date  Modified date  
 Start date: [text box] End date: [text box]  
 Filter documents Reset

Results per page (0)

| <input type="checkbox"/> | Exhibit number ↑ | Document description              | Actions | Document type | Registered party    | Date       |
|--------------------------|------------------|-----------------------------------|---------|---------------|---------------------|------------|
| <input type="checkbox"/> | 25173-X0009-C    | Confidential appendix document    |         | Appendix      | ABC Utility Company | 2020/01/09 |
| <input type="checkbox"/> | 25173-X0010-C    | Confidential application document |         | Application   | ABC Utility Company | 2020/01/09 |
| <input type="checkbox"/> | 25173-X0011-C    | Confidential contract             |         | Contract      | ABC Utility Company | 2020/01/09 |

*Note: A green arrow points from the 'Actions' column of the second row to a tooltip that says 'Please click an action' with options 'REVISE DOCUMENT' and 'VIEW PUBLIC VERSION'.*

## 17.6 Replacing a public generated summary document with a redacted version

As system-generated documents are not eligible for revision, a party may choose to replace the public generated summary document with a redacted version. This action is available on a generated summary document. A replacement does not require a blackline and clean version and exhibit number extensions do not apply to replacement documents.

**AUC**  
Alberta Utilities Commission

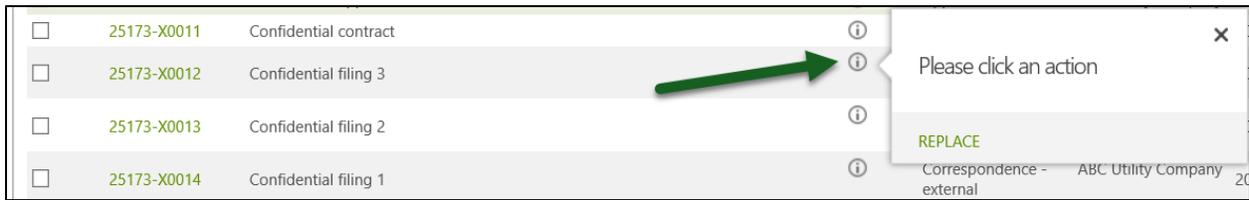
**Public summary of confidential document**

This document is a system-generated summary for the public record to indicate that there is a confidential version of this document on the confidential record for authorized individuals.

|              |                     |
|--------------|---------------------|
| Proceeding   | 25173               |
| Applications | 25173-A001          |
| Applicants   | ABC Utility Company |

**Confidential document information**

|                      |  |
|----------------------|--|
| Participant          | ABC Utility Company                                |
| Filing               | 25173-F0003  |
| Filing               | Confidential letter regarding ABC Utility company. |
| Document type        | Correspondence - external                          |
| Document description | Confidential filing 3                              |



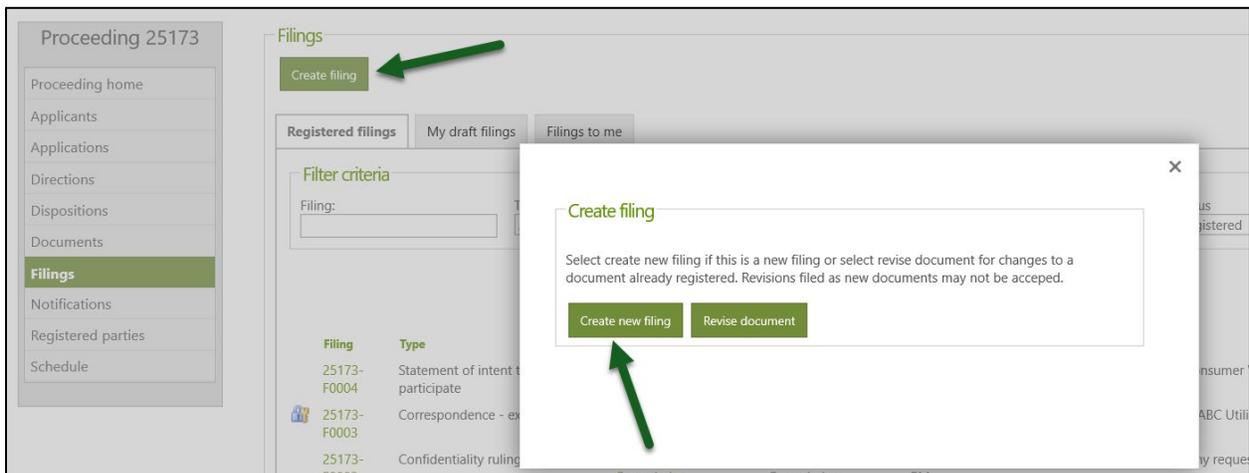
## 17.7 Requesting access to the confidential documents

As described in Rule 001: *Rules of Practice*, if an individual wishes to be granted access to the confidential information for the purposes of participating in a proceeding, they are required to submit a Confidentiality undertaking form (RP5 form available on the AUC website). Everyone in an organization needing access is required to file a **Confidentiality undertaking** filing. The party registers the public confidentiality undertaking filing with the RP5 form attached. The confidentiality undertaking for the individual is required to be granted or denied access by the confidential administrator of the disclosing party. The submitter of the confidentiality undertaking is required to select the party that owns the confidential information as well as identify the user that the confidentiality undertaking is for.

### 17.7.1 Filing a confidentiality undertaking

In order to file a confidentiality undertaking to request access to access confidential information, you must first be a registered party on the proceeding.

Create a new filing from the Filings screen. You must be a registered party on the proceeding to be able to create a filing.



Select **No scheduled item is required for my filing type** and select the filing type of **Confidentiality undertaking**. Enter a filing description. Select the user from your organization that requires access to the confidential information and select the owner of the confidential information. Select **Save**.

**Create new filing**

**Registered Party**

**Registered party:** Consumer Watchers

**Participant type:** Intervener

**Related schedule**

**Schedule:** [No schedule item is required for my filing type](#)

**Filing type**

**Filing type:** [Confidentiality undertaking](#)

**Description:** Pursuant to Rule 001: Rules of Practice, a required form (RP5) submitted by a party wishing to be granted access on the eFiling System to the confidential information for the purposes of participating in a proceeding. The undertaking describes the specific protocol and procedures for the handling of the confidential information.

**Confidentiality undertaking details**

**Filing description:**

**Related applications:** [Select application\(s\)](#)  
*Note: This filing will be related to all applications on the proceeding if none are specified.*

**Confidential user:** [Angelina Jolie](#)

**Confidentiality owner:** [ABC Utility Company](#)

[Save](#) [Cancel](#)

Select to **Upload filing document** and attach a completed RP5 form available on the AUC website with Rule 001: *Rules of Practice*. Select the **Upload** button.

**Upload public document(s) for filing 25173-F0005**

**Step 2 - Set the description for each document**

Set the default description for all documents to their filename (excluding the file extension, e.g. .docx)

| Public document                                     | Description  | Action                 |
|---|--|------------------------|
| Rule001_RP5ConfidentialityUndertakingSection28.docx | <input type="text" value="RP5 form for Angelina Jolie"/> | <a href="#">Remove</a> |

Note that filenames for all documents will be changed once they are uploaded to fit a standardized naming scheme. The original name will be preserved.

[Return to step 1 - Add more documents](#) [Upload](#) [Cancel](#)

Select the **Register filing** button.

**Filing details**

[Edit info](#) [Upload filing document\(s\)](#) [Register filing](#) [Delete filing](#)

**Filing number:** 25173-F0005 **Filing type:** Confidentiality undertaking **Status:** **Draft** **Late:** No

**Filed by:** Consumer Watchers **Registered party:** Consumer Watchers **Created:** 2020/01/15 03:33 PM

**Description:** Confidentiality undertaking and RP5 form for Angelina Jolie

**Confidential:** **Confidential user:** Angelina Jolie **Disclosing party:** ABC Utility Company

[Public documents](#) [Applications](#)

Results per page (of 1 total):  [Go](#) [Show all](#)

| Filename   | Actions | Document Status | Uploaded ↓          | Directions |
|--|---------|-----------------|---------------------|------------|
| 25173_XII_Rule001_RP5ConfidentialityUndertakingSection28_000016.docx<br>Description: RP5 form for Angelina Jolie |         | Draft           | 2020/01/15 03:39 PM |            |

Upon registration of the **Confidentiality undertaking** filing, an email message is sent to the confidential administrator(s) of the disclosing party to indicate that a request for access has been made.

Automatic.Notification@auc.ab.ca | 0

**AUC Proceeding 25173 - Request for access**

**Proceeding 25173:** [Go to proceeding](#)

ABC Utility Company general tariff application for 2020-2021 **Registered**  
2020/01/09 03:05 PM

**Request for access:**  
Confidentiality undertaking [[25173-F0005](#)] [Confidentiality undertaking and RP5 form for Angelina Jolie] has been filed by [Consumer Watchers] requesting access to your confidential information. Please go to the [[confidential access request screen](#)] and select the current status link to grant or deny access.  
Please login to the Alberta Utilities Commission's [eFiling System](#) for further information.

Confidentiality undertakings are not required to be filed more than once by individuals seeking access on proceedings where multiple rulings have been applied to a single disclosing party. Once an individual is granted access by a disclosing party, access is granted to that disclosing party’s confidential information granted through subsequent confidentiality rulings throughout the duration of the proceeding.

## 17.8 Disclosing party grants or denies access requests

The confidential administrators for the disclosing party may grant or deny access to their confidential information as directed in the AUC’s confidentiality ruling to individuals that have submitted a confidentiality undertaking.

From the **Documents** screen, select the **Undertaking access** tab. The number of requests awaiting response are listed on the tab.

Proceeding 25173

Documents

Public Confidential Confidential motion Disclosing party access **\*Undertaking access (1)**

Use this screen to view or manage access for individuals who have submitted Confidential undertaking filings to view a disclosing party's confidential documents.

| User requesting access | User's registered party | Access status     | Confidentiality ruling | Confidentiality undertaking | Undertaking date    | Statutory declaration | Disclosing party    |
|------------------------|-------------------------|-------------------|------------------------|-----------------------------|---------------------|-----------------------|---------------------|
| Angelina Jolie         | Consumer Watchers       | Awaiting response | 25173-F0002            | 25173-F0005                 | 2020/01/15 03:42 PM | Not required          | ABC Utility Company |

Documents

Public Confidential Confidential motion Disclosing party access **\*Undertaking access (1)**

Use this screen to view or manage access for individuals who have submitted Confidential undertaking filings to view a disclosing party's confidential documents.

| User requesting access | User's registered party | Access status     |
|------------------------|-------------------------|-------------------|
| Angelina Jolie         | Consumer Watchers       | Awaiting response |

Set access for: Angelina Jolie

- Granted
- Denied

## 17.8.1 Access request statuses

- **Awaiting response** – the individual identified in the confidentiality undertaking is awaiting a decision from the disclosing party’s confidential administrator to grant or deny access to the confidential documents. Access to the confidential documents is not allowed until a decision has been made.
- **Granted** – the disclosing party’s confidential administrator has allowed access to the confidential documents to the individual identified in the confidentiality undertaking.
- **Denied** – the disclosing party’s confidential administrator has refused access to the individual identified in the confidentiality undertaking.
- **Statutory declaration filed** – the individual identified in the confidentiality undertaking has filed a statutory declaration filing declaring that access to the confidential documents can be removed and all downloaded copies have been expunged.

## 17.9 Proceedings related to confidential proceedings

When the AUC issues a **Confidentiality ruling** on an originating proceeding, it is often specified in the document that the ruling applies to any related compliance, costs or review and variance proceedings. When a proceeding gets related to a confidential proceeding and the AUC links the confidential permissions, the system ports the permissions to access the confidential documents to the related proceeding for individuals authorized by the disclosing party on the originating proceeding.

| Related proceedings  |   |                   |                 |        |
|--|---|-------------------|-----------------|--------|
| <i>Proceedings that are directly related to proceeding 25173.</i>  |   |                   |                 |        |
| Proceeding   | Proceeding description                    | Proceeding status | Is confidential | Remove |
| 25161  | General Tariff application for 2020-2021  | Active            | True            |        |
| Descendant proceedings   |   |                   |                 |        |
| <i>All proceedings that are indirectly related to proceeding 25173. For example if proceeding 100 is related to proceeding 101 and proceeding 102 is related to proceeding 101, then proceeding 101 would be considered related to proceeding 100 and proceeding 102 would be considered descendant to proceeding 100.</i> |   |                   |                 |        |
| Proceeding   | Proceeding description                    | Proceeding status | Is confidential |        |
| 25160  | General tariff 2nd compliance application | Active            | True            |        |

### 17.9.1 New confidentiality undertakings on related proceedings

When a new **Confidentiality undertaking** is filed on a proceeding that is related to an originating, confidential proceeding, the individual identified in the filing will gain access to the confidential files on the originating, confidential proceeding when access has been granted by the disclosing party.

## 17.10 Statutory declaration

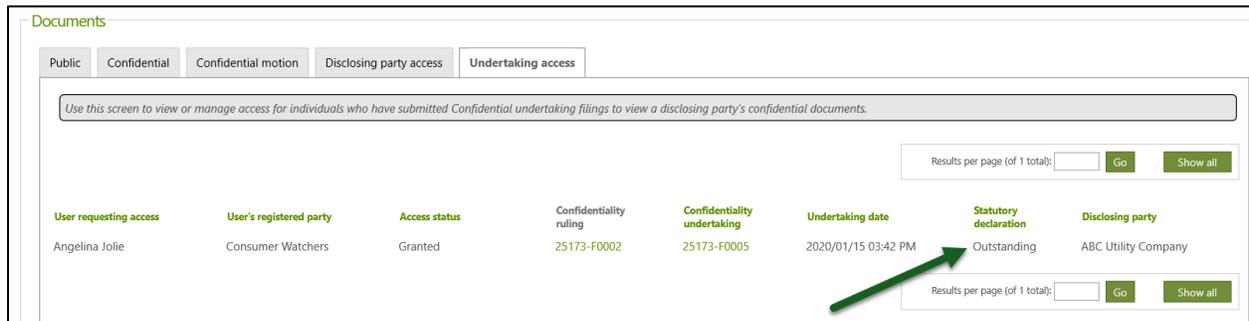
Pursuant to Rule 001: *Rules of Practice*, users that have executed a **Confidentiality undertaking** are required to file a *Statutory declaration of recipient* form that indicates that they had access to the confidential information and will not disclose the material in any manner and that all electronic copies in their possession have been expunged. The *Statutory declaration of recipient form* is available on the AUC website with the Rule 001: *Rules of practice*.

Statutory declarations are expected to be filed within 60 days of a disposition being issued, unless the disposition is related to a further compliance application, review and variance application or appeal. The filing of a statutory declaration can be delayed if there is a compliance filing or review and variance applications.

Statutory declarations are required to be filed for each disclosing party that has granted you access.

## 17.10.1 Statutory declaration statuses

Statutory declaration statuses are displayed on the **Undertaking access** tab of the **Documents** screen.



Documents

Public Confidential Confidential motion Disclosing party access **Undertaking access**

Use this screen to view or manage access for individuals who have submitted Confidential undertaking filings to view a disclosing party's confidential documents.

Results per page (of 1 total):  Go Show all

| User requesting access | User's registered party | Access status | Confidentiality ruling | Confidentiality undertaking | Undertaking date    | Statutory declaration | Disclosing party    |
|------------------------|-------------------------|---------------|------------------------|-----------------------------|---------------------|-----------------------|---------------------|
| Angelina Jolie         | Consumer Watchers       | Granted       | 25173-F0002            | 25173-F0005                 | 2020/01/15 03:42 PM | Outstanding           | ABC Utility Company |

Results per page (of 1 total):  Go Show all

The statuses are as follows:

- Filed - a statutory declaration filing type has been filed by the individual selected on the confidentiality undertaking.
- Outstanding – a statutory declaration is required to be filed for the individual that has been granted access, at any point, by the disclosing party through the confidentiality undertaking access request.
- Not required – a statutory declaration is not required to be filed for the individual selected on the confidentiality undertaking because their access was denied by the disclosing party.

Once a statutory declaration filing is registered for an individual, access to confidential material on the confidential proceeding, and any related proceedings, is removed by the system.

## 17.10.2 Create a statutory declaration filing

Create a new filing, **select no schedule item is required for my filing type** and select the **Statutory declaration** filing type. Enter a filing description. Select the user that submitted the **Confidentiality undertaking** and select the disclosing party.

**Create new filing**

**Registered Party**

**Registered party:** Consumer Watchers

**Participant type:** Intervener

**Related schedule**

**Schedule:** [No schedule item is required for my filing type](#)

**Filing type**

**Filing type:** [Statutory declaration](#)

**Description:** An AUC Statutory declaration of recipient form pursuant to Rule 001: Rules of Practice required to be submitted by users that have executed a Confidentiality undertaking.

**Statutory declaration details**

**Filing description:**

**Related applications:** [Select application\(s\)](#)  
*Note: This filing will be related to all applications on the proceeding if none are specified.*

**Confidential user:** [Angelina Jolie](#)

**Confidentiality owner:** [ABC Utility Company](#)

**Select filing type**

| Select                                | Filing type                 | Description   |
|---------------------------------------|-----------------------------|---|
| <input type="button" value="Select"/> | Confidentiality undertaking | Pursuant to Rule 001: Rules of Practice, a required form (RP5) submitted by a party wishing to be granted access on the eFiling System to the confidential information for the purposes of participating in a proceeding. The undertaking describes the specific protocol and procedures for the handling of the confidential information.  |
| <input type="button" value="Select"/> | Correspondence - external   | Letters, emails and other miscellaneous correspondence written by involved parties regarding the proceeding (if you are requesting an action from the Commission use filing type: procedural filing - motion).  |
| <input type="button" value="Select"/> | Direction response          | Correspondence written by a responsible party to fulfill a direction of the Commission.   |
| <input type="button" value="Select"/> | Hearing exhibit             | Documents that are introduced into evidence and accepted as evidence on the record at the oral hearing (not pre-filed evidence).  |
| <input type="button" value="Select"/> | Motion for confidentiality  | Documents submitted by a party requesting a Commission determination to keep a document, a portion of a document, or multiple documents confidential and off the public record. The motion describes the specific information that should remain confidential and must include either a public, redacted version of each confidential document, or where the request applies to an entire document, a non-confidential description or summary of that document. Although filed separately on the confidential record, the motion also requires all unredacted confidential documents for consideration by the Commission. |
| <input type="button" value="Select"/> | Opening statement           | Opening remarks by registered parties upon commencement of the oral hearing.  |
| <input type="button" value="Select"/> | Pre-hearing documentation   | Correspondence regarding the pre-hearing stage including participant positions, costs, need for third-party consultants, hearing procedures, time allotment for parties, negotiated settlements, appropriate dispute resolution, technical meetings or information sessions.  |
| <input type="button" value="Select"/> | Procedural filing - motion  | Documents submitted by a party requesting a Commission determination on a procedural matter or issue.   |
| <input type="button" value="Select"/> | Statutory declaration       | An AUC Statutory declaration of recipient form pursuant to Rule 001: Rules of Practice required to be submitted by users that have executed a Confidentiality undertaking.  |
| <input type="button" value="Select"/> | Undertaking                 | Evidence submitted to comply with an undertaking to provide an answer to a question asked during an oral hearing.   |



Agree to the public document disclaimer and attach a completed *Statutory declaration of recipient form*.

Upload public document(s) for filing 25173-F0006

Step 1 - Select filing document(s) to upload

[Add more files](#)

Statutory declaration.docx

Total files: 1

Enter a file description and select to upload.

Upload public document(s) for filing 25173-F0006

Step 2 - Set the description for each document

Set the default description for all documents to their filename (excluding the file extension, e.g. .docx)

| Public document            | Description   | Action                                |
|----------------------------|---|---------------------------------------|
| Statutory declaration.docx | <input type="text" value="Statutory declaration of recipient form for Angelina Jolie"/> | <input type="button" value="Remove"/> |

Note that filenames for all documents will be changed once they are uploaded to fit a standardized naming scheme. The original name will be preserved.

Register the filing.

Filing details

**Filing number:** 25173-F0006 **Filing type:** Statutory declaration **Status:** **Draft** **Late:** No

**Filed by:** Consumer Watchers **Registered party:** Consumer Watchers **Created:** 2020/01/16 10:52 AM

**Description:** Statutory declaration of recipient form for Angelina Jolie

**Confidential:** **Confidential user:** Angelina Jolie **Disclosing party:** ABC Utility Company

| Filename   | Actions | Document Status | Uploaded            | Directions |
|--|---------|-----------------|---------------------|------------|
| 25173_XI_Statutorydeclaration_000017.docx<br>Description: Statutory declaration of recipient form for Angelina Jolie |         | Draft           | 2020/01/16 10:58 AM |            |

Results per page (of 1 total):

The statutory declaration registered status will change from Outstanding to Filed and access to confidential documents will be removed for the user.

Documents

Use this screen to view or manage access for individuals who have submitted Confidential undertaking filings to view a disclosing party's confidential documents.

Results per page (of 1 total):

| User requesting access | User's registered party | Access status               | Confidentiality ruling | Confidentiality undertaking | Undertaking date    | Statutory declaration | Disclosing party    |
|------------------------|-------------------------|-----------------------------|------------------------|-----------------------------|---------------------|-----------------------|---------------------|
| Angelina Jolie         | Consumer Watchers       | Statutory declaration filed | 25173-F0002            | 25173-F0005                 | 2020/01/15 03:42 PM | Filed                 | ABC Utility Company |

Results per page (of 1 total):

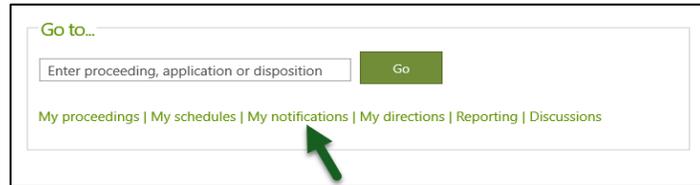
# 18 System communication

## 18.1 Notifications

Proceeding **Notifications** are available from within the eFiling System; they are not emails. **Notifications** are a short synopsis describing filing, participant registration, scheduling and disposition activities that have occurred on a proceeding. Only registered parties and those users whose organization is a registered party to the proceeding can view a proceeding's **Notifications**.

**Notifications** are displayed from the eFiling Home screen under **My notifications** and **Recent notifications**, and from a proceeding's **Notifications** screen.

From the Home screen, **My notifications** lists all notifications for all proceedings the user is a registered party to. There is an option to filter notifications by type, keyword or proceeding ID. Results can be exported to Excel.



The image shows the "My notifications" page. It has a "Filter criteria" section with a "Notification type:" dropdown menu. The dropdown menu is open, showing options: "All", "Filing registration", "Participant added", "Filing announcement", "Application Document Uploaded", "Disposition issued", "Schedule item created", "Notice of application", "Revision filed", "Direction Pending", "Schedule item updated", "ComplianceLetter", "Group member or representative added", "Motion for confidentiality", "Motion for confidentiality.", "Representative of a party: ABC Landowners: represented by: Harper & Harper registered to participate.", and "F0014: Confidentiality undertaking.". There are also "Filter notifications" and "Export to" buttons. To the right, there is a "Notification subject:" search box with the text "Search notifications by keyword or proceeding ID.".

| Created    | Proceeding | Subject  |
|------------|------------|--|
| 2023/02/02 | 27654      | 27654-1  |
| 2023/02/02 | 26389      | 26389  |
| 2023/01/31 | 27694      | 27694-F0005: Statement of intent to participate. |
| 2023/01/31 | 27694      | 27694-F0018: Motion for confidentiality.         |
| 2023/01/31 | 27694      | 27694-F0016: Pre-hearing documentation.          |
| 2023/01/31 | 24953      | F0014: Confidentiality undertaking.              |

From the Home screen, **Recent notifications** lists the 10 most recent notifications from all proceedings the user is a registered party to.

The image shows the "Recent notifications" section on the Home screen. It has a "Go to..." search bar and a "Quick tips" section. Below is a table of recent notifications.

| Created    | Proceeding | Subject  | Type                |
|------------|------------|--|---------------------|
| 2023/02/07 | 27654      | Intervener: Sam Lewis registered to participate. | Participant added   |
| 2023/02/07 | 27654      | 27654-F0005: Statement of intent to participate. | Filing registration |
| 2023/02/02 | 53964      | 53964-F0004: Information request                 | Filing registration |
| 2023/02/02 | 27694      | 27694-F0018: Motion for confidentiality.         | Filing registration |
| 2023/01/31 | 27694      | 27694-F0016: Pre-hearing documentation.          | Filing registration |

From the proceeding's **Notifications** menu, **My notifications** screen lists all of the proceeding's **Notifications**. There is an option to filter notifications by type, keyword or proceeding ID. Results can be exported to Excel.

Organizational users and single users registering to participate in or observe a proceeding are automatically subscribed to receive a daily email summarizing the proceeding's **Notifications**. To manage the email subscription and frequency, see section: [Daily notification summary email](#).

**Proceeding 27654**

Proceeding home  
Applicants  
Applications  
Directions  
Dispositions  
Documents  
Filings  
**Notifications**  
Registered parties  
Schedule

**My notifications**

For this proceeding you are currently **subscribed** for **daily notification** summary emails. [Edit subscription](#)

**Filter criteria**

Notification type: **All** (dropdown menu open showing: All, Filing registration, Revision filed, Application Document Uploaded, Disposition issued, Filing announcement)

Notification subject:

Search notifications by keyword or proceeding ID.

Select a heading to apply the sort function. **Type** (dropdown menu open showing: Filing registration, Revision filed, Application Document Uploaded, Filing registration, Disposition issued, Filing registration, Filing announcement)

| Created    | Subject  | Type                          |
|------------|--|-------------------------------|
| 2023/02/02 | 27654-F0004: Motion for confidentiality.             | Filing registration           |
| 2022/11/29 | Exhibit 27654-X0006 has been revised                 | Revision filed                |
| 2022/11/29 | 27654-A001: Application document added - Application | Application Document Uploaded |
| 2022/11/28 | 27654-F0003: Notice of amendment.                    | Filing registration           |
| 2022/11/16 | 27654-D01-2022: decision report                      | Disposition issued            |
| 2022/11/16 | 27654-F0002: Notice of hearing.                      | Filing registration           |
| 2022/11/16 | 27654-F0001: Filing announcement.                    | Filing announcement           |

## 18.2 Daily notification summary email

A daily email summarizing a proceeding's **Notifications** (activities) is system-generated every 24 hours at approximately 1 am, subject to proceeding activity having taken place within that 24-hour period.

Single users and observers registering for a proceeding are automatically subscribed to receive the proceeding's daily summary email.

Organizational users and observers that register their organization for a proceeding, and the selected primary and secondary contacts, are automatically subscribed to receive the proceeding's daily summary email. Other eFiling users of the organization have the option to subscribe to receive the daily email. The system automatically subscribes and unsubscribes primary and secondary contacts when they are changed, added or removed.

Automatic.Notification@auc.ab.ca | 0

**AUC proceeding 25173, daily summary**

Click here to download pictures. To help protect your privacy, Outlook prevented automatic download of some pictures in this message.

**Proceeding 25173: [Go to proceeding](#)**

ABC Utility Company general tariff application for 2020-2021 **Registered**  
2020/01/09 03:05 PM

**Applicant(s)**  
ABC Utility Company

**Registered filings**

| Exhibit(s)  | Type                               | Registered party  | Registered          |
|-------------|------------------------------------|-------------------|---------------------|
| 25173-X0015 | Statement of intent to participate | Consumer Watchers | 2020/01/15 03:26 PM |
| 25173-X0016 | Confidentiality undertaking        | Consumer Watchers | 2020/01/15 03:42 PM |

**Application document activity**  
Intervener: Consumer Watchers registered to participate. 2020/01/15 03:26 PM

The email frequency can be set to one of three options:

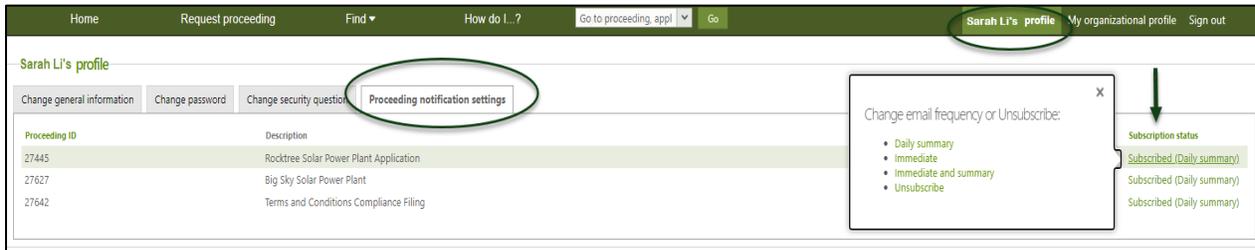
**Daily summary** – one daily email summarizing all **Notifications**.

**Immediate** – an immediate email notifying the user of AUC registered filings only.

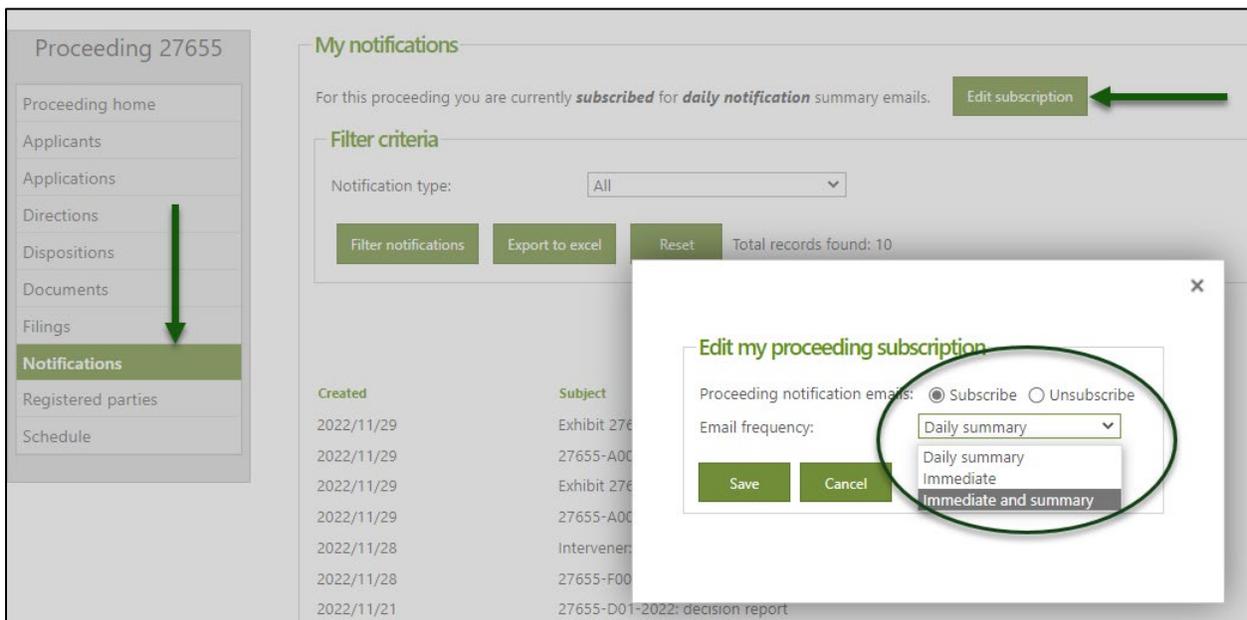
**Immediate and summary** – both an immediate (AUC registered filings only) and daily summary email.

A user can view and change their subscription status and frequency from one of two screens.

**Option 1:** Select your personal profile on the upper right menu bar. Select the **Proceeding notification settings** tab to see a list of proceedings you are registered to and your corresponding subscription status. To change the status, click the subscription status to open the selection menu and click on the preferred status.



**Option 2:** From a proceeding's navigation pane select **Notifications** and select **Edit subscription**. In the **Edit my proceeding subscription** window, check the preferred subscription status and select the preferred email frequency. Select **Save**.



## 18.3 Email Messages

Email messages are immediately sent for the specific conditions listed in the following table.

| Condition                                     | Email message sent to   |
|---|---|
| Proceeding registered                         | <ul style="list-style-type: none"><li>• applicant(s) primary and secondary contacts</li><li>• primary applicant organization's eFiling System administrator</li></ul>   |
| Filing announcement registered                | <ul style="list-style-type: none"><li>• all users who have selected to receive <a href="#">Filing announcement globally</a>.</li></ul>  |
| Statement of intent to participate registered | Individual(s) who registered the statement of intent to participate and, if different, the registered party for whom the statement of intent to participate was registered.   |
| Dispositions issued                           | Registered parties.   |
| Notice of application filed                   | All users who have selected to receive <a href="#">Notice of application globally</a> .   |
| User account created                          | User receives a system-generated password.  |
| Password reset                                | User receives a system-generated password.  |
| Removal notice                                | Applicant has a draft proceeding that is approaching 180 days in draft form and will be deleted from the system.  |
| Request for access                            | The disclosing party's confidential administrator(s) will receive an email to grant or deny access to their organization's confidential material when a confidentiality undertaking is registered on a confidential proceeding. |
| Request for access decided                    | To an individual that has submitted a Confidentiality undertaking when a confidential administrator has granted or denied access  |

## 18.4 Daily directions summary

When the reminder, due date or non-compliance response due date passes, a daily directions summary email is sent to the responsible party's primary and secondary contacts indicating that the direction has passed its reminder, due date or non-compliance response due date.

## 18.5 Global notifications

eFiling users can subscribe to receive one or more global notifications issued by email.

- Filing announcement – a daily email listing all applications registered within the last 24-hour period.
- Notice of application - a daily email listing all notices registered within the last 24-hour period.
- Issued dispositions – a daily email listing all dispositions issued within the last 24-hour period.

To receive one or more global notifications, select your profile on the upper right menu bar. From the **Change general information** tab, under **Global notification settings**, check the preferred global notifications. Uncheck the notification to unsubscribe.

**Change general information** | Change password | Change security question

**Personal information**

First name \*   
 Last name \*

**Contact information**

Email address \*   
 Confirm email address \*   
 Phone number

**Login information**

Login ID   
 Organization administrator   
 Confidential administrator

**Global notification settings**

Filing announcement   
 Notice of application   
 Issued dispositions

## 19 Dispositions

Select Dispositions from the proceeding menu to view dispositions related to a specific proceeding. Each issued or rescinded disposition will be listed with a link to the disposition details screen on the disposition number. From the Disposition details screen, a user can select the **None** link under the exhibit number column on the Issued documents tab to view the public disposition document. Information about the disposition such as the release date and time, disposition type and status are included on the Disposition details screen. For dispositions from confidential proceedings, the confidential version of the disposition will be available on the Issued confidential documents tab.

| Disposition number | Title                                    | Disposition type | Disposition status | Release date        | Applications | Expiry date |
|--------------------|--|------------------|--------------------|---------------------|--------------|-------------|
| 25163-D01-2020     | ATCO Electric Transmission Test Decision | Decision report  | Issued             | 2020/01/09 12:21 PM | 25163-A001   |             |

**Disposition details**

Disposition: 24662-D01-2019 | Type: Decision report | Status: Issued

Title: EDTI 2020 Customer Specific DAS Rate Update for an Existing Customer (CS42)  
 Expiry date: N/A | Expiry reason:

**Issued public documents** | Disposition applications | Directions issued | History

| Exhibit number | Document description   | Document type   | Document status | Uploaded & | Directions |
|----------------|--|-----------------|-----------------|------------|------------|
| None           | Decision 24662-D01-2019 EDTI 2020 Customer Specific DAS Rate Update for an | Decision report | Active          | 2019/10/04 |            |

### 19.1 Rescinded or varied dispositions

When a disposition has been replaced or varied by another disposition, the rescinded or varied status will be shown on the disposition details screen. A user can select the **History** tab to view a link to be directed to the replacement disposition or if the current disposition has rescinded or varied another disposition.

Disposition details

Disposition: 26855-D02-2021    Type: Decision report    Status: **Varied** 

Title: Decision title

Expiry date: N/A    Expiry reason:

Issued public documents    Disposition applications    History

**Rescinded or varied dispositions:**

| Disposition    | Proceeding | Release date | Type      | Decision document   |
|----------------|------------|--------------|-----------|---|
| 25181-D01-2020 | 25181      | 2020/08/11   | Rescinded | <a href="#">Public: 25181_X[1]_25181_X[1]_Decision 25181-D01-2020 - Rycroft 730S Substation Expansion Project_000087_000090.pdf</a> |

**Rescinded or varied by:**

| Disposition    | Proceeding | Date       | Type   |
|----------------|------------|------------|--------|
| 26709-D01-2021 | 26709      | 2021/08/05 | Varied |

## 20 Reporting

Use the Reporting option in the eFiling System to submit reports to the AUC that are not associated to a proceeding. All the eFiling System users can submit, view and [search](#) these reports.

The reports include, for example, *the annual and quarterly* compliance reports for service quality and reliability performance metrics for owners of electric distribution required by [Rule 002: Service Quality and Reliability Performance Monitoring and Reporting for Owners of Electric Distribution Systems and for Gas Distributors](#); and the annual report of applications in response to Rule 005 required by [Rule 005: Annual Reporting Requirements of Financial and Operational Results](#).

### 20.1 Submit a report

Select **Reporting** in **Go to...** on the Home page.

Go to...

Enter proceeding, application or disposition    **Go** 

[My proceedings](#) | [My schedules](#) | [My notifications](#) | [My directions](#) | **[Reporting](#)** | [Discussions](#)

List of submitted reporting

[Create & submit reporting](#)

| Title   | Reporting type   | Submitted Date | Submitter       | Reporting period | Reporting year |
|---|--|----------------|-----------------|------------------|----------------|
| <a href="#">Oak Test Org-First quarter-2014/11/06</a>   | Service Quality and Reliability Performance Monitoring and Reporting | 2014/11/06     | Oak Test Org    | First quarter    | 2013           |
| <a href="#">Oak Test Org-Second quarter-2014/11/06</a>  | Service Quality and Reliability Performance Monitoring and Reporting | 2014/11/06     | Oak Test Org    | Second quarter   | 2013           |
| <a href="#">Oak Test Org-Third quarter-2014/11/06</a>   | Service Quality and Reliability Performance Monitoring and Reporting | 2014/11/06     | Oak Test Org    | Third quarter    | 2013           |
| <a href="#">Oak Test Org-Annual-2014/11/06</a>          | RRT/DRT Provider reporting   | 2014/11/06     | Oak Test Org    | Annual           | 2013           |
| <a href="#">Pine Test Org-First quarter-2014/11/06</a>  | Service Quality and Reliability Performance Monitoring and Reporting | 2014/11/06     | Pine Test Org   | First quarter    | 2013           |
| <a href="#">Pine Test Org-Second quarter-2014/11/06</a> | Service Quality and Reliability Performance Monitoring and Reporting | 2014/11/06     | Pine Test Org   | Second quarter   | 2013           |
| <a href="#">Pine Test Org-Annual-2014/11/06</a>         | RRT/DRT Provider reporting   | 2014/11/06     | Pine Test Org   | Annual           | 2013           |
| <a href="#">Spruce Test Org-Annual-2014/11/06</a>       | RRT/DRT Provider reporting   | 2014/11/06     | Spruce Test Org | Annual           | 2013           |
| <a href="#">Maple Test Org-First quarter-2014/11/06</a> | Service Quality and Reliability Performance Monitoring and Reporting | 2014/11/06     | Maple Test Org  | First quarter    | 2013           |
| <a href="#">Elm Test Org-Annual-2014/11/06</a>          | RRT/DRT Provider reporting   | 2014/11/06     | Elm Test Org    | Annual           | 2013           |

In the List of submitted reporting page, click **Submit new report**.

All users must first agree to the AUC [privacy policy](#).

**Step 1:** The name of your organization is automatically assigned.

**Step 2:** Select the reporting type you are submitting.

The AUC defines the reporting types. Contact the AUC at [info@auc.ab.ca](mailto:info@auc.ab.ca) to request a new reporting type.

Step 1  
Submitter: "Oak Test Org"

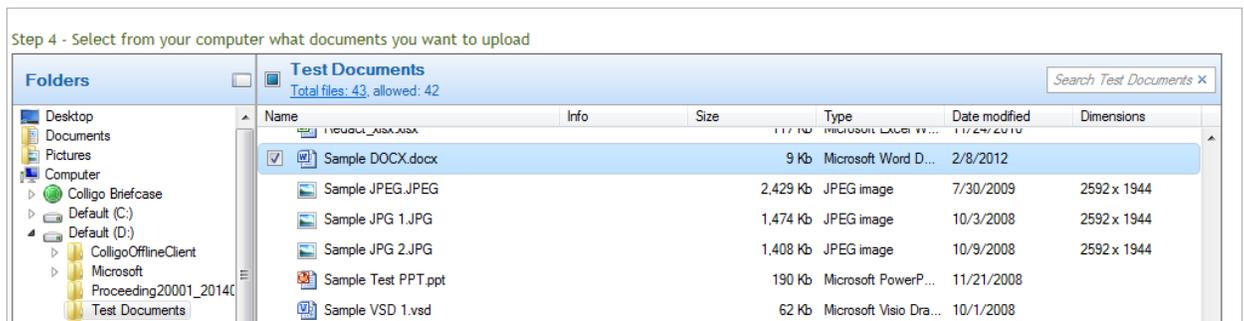
Step 2 - Select reporting type

| Select                | Reporting type name   | Rule           | Description  |
|-----------------------|---|----------------|--|
| <input type="radio"/> | Financial and operational results - transmission                      | Rule 005       | A report that provides the financial and operating results for a specific calendar year - transmission.                              |
| <input type="radio"/> | Financial and operational results - distribution                      | Rule 005       | A report that provides the financial and operating results for a specific calendar year - distribution.                              |
| <input type="radio"/> | Financial and operational results - retail energy                     | Rule 005       | A report that provides the financial and operating results for a specific calendar year - retail energy.                             |
| <input type="radio"/> | Financing Notices   | Not applicable | A report that provides notice of some form of financial undertaking such as a dividend declaration or debenture issue.               |
| <input type="radio"/> | Service quality and reliability performance report – owners           | Rule 002       | A report that monitors service quality and reliability performance for owners of electric distribution systems and gas distributors. |
| <input type="radio"/> | Service quality and reliability performance report - providers        | Rule 003       | A report that monitors service quality and reliability performance for regulated rate and default supply providers.                  |
| <input type="radio"/> | Code of conduct regulation - self reporting                           | Rule 030       | A report that must be filed if there is an instance of non-compliance with the code of conduct regulation or compliance plan         |
| <input type="radio"/> | Code of conduct regulation - annual compliance report                 | Not applicable | A report that must be filed in accordance with the requirements of section 33 of the Code of Conduct Regulation                      |
| <input type="radio"/> | Inter-affiliate code of conduct - quarterly exception report          | Not applicable | A report that outlines instances of non-compliance with an inter-affiliate code of conduct or compliance plan.                       |
| <input type="radio"/> | Inter-affiliate code of conduct -annual compliance report             | Not applicable | A report that must be filed in accordance with section 7.6 of the inter-affiliate codes of conduct.                                  |
| <input type="radio"/> | Code of Conduct Transition documents 2016 - sections 45 (5) and 46(4) | Not applicable | Code of Conduct plans and exemptions previously approved by the MSA or AUC   |

**Step 3:** Select the reporting period and the reporting year from the drop-down lists.

Step 3 - Select reporting period  Select reporting year

**Step 4:** Select the reporting file(s) to upload.



See [Add application documents](#) for upload instructions.

**Step 5:** Enter the report file description and click **Upload document(s) & submit reporting**.

**Step 5 - Set descriptions for each file**  
Please note that mandatory fields are identified with a red asterisk

Set the default descriptions for all of these files to their filename (excluding the file extension, e.g. .docx)

| File Name        | Description   | Remove                     |
|------------------|---|----------------------------|
| Sample pdf 9.pdf | <input type="text" value="Spruce_org reporting for Qtr 1 of 2014"/> | x * <a href="#">Remove</a> |

Note that filenames for documents will be changed when they are uploaded to fit the standardized naming scheme. The original name will be preserved.

[Upload document\(s\) & submit reporting](#) [Cancel](#)

The applicant organization’s primary and secondary contacts are emailed that the report was successfully received by the AUC and published on the website.

The report title consists of the [User Name]-[Reporting Period]-[Date-Submitted]; for example, Elm Test Org-Annual-2014/11/06.

List of submitted reporting

[Create & submit reporting](#)

| Title   | Reporting type   | Submitted Date | Submitter       | Reporting period | Reporting year |
|---|--|----------------|-----------------|------------------|----------------|
| <a href="#">Oak Test Org-First quarter-2014/11/06</a>   | Service Quality and Reliability Performance Monitoring and Reporting | 2014/11/06     | Oak Test Org    | First quarter    | 2013           |
| <a href="#">Oak Test Org-Second quarter-2014/11/06</a>  | Service Quality and Reliability Performance Monitoring and Reporting | 2014/11/06     | Oak Test Org    | Second quarter   | 2013           |
| <a href="#">Oak Test Org-Third quarter-2014/11/06</a>   | Service Quality and Reliability Performance Monitoring and Reporting | 2014/11/06     | Oak Test Org    | Third quarter    | 2013           |
| <a href="#">Oak Test Org-Annual-2014/11/06</a>          | RRT/DRT Provider reporting   | 2014/11/06     | Oak Test Org    | Annual           | 2013           |
| <a href="#">Pine Test Org-First quarter-2014/11/06</a>  | Service Quality and Reliability Performance Monitoring and Reporting | 2014/11/06     | Pine Test Org   | First quarter    | 2013           |
| <a href="#">Pine Test Org-Second quarter-2014/11/06</a> | Service Quality and Reliability Performance Monitoring and Reporting | 2014/11/06     | Pine Test Org   | Second quarter   | 2013           |
| <a href="#">Pine Test Org-Annual-2014/11/06</a>         | RRT/DRT Provider reporting   | 2014/11/06     | Pine Test Org   | Annual           | 2013           |
| <a href="#">Spruce Test Org-Annual-2014/11/06</a>       | RRT/DRT Provider reporting   | 2014/11/06     | Spruce Test Org | Annual           | 2013           |
| <a href="#">Maple Test Org-First quarter-2014/11/06</a> | Service Quality and Reliability Performance Monitoring and Reporting | 2014/11/06     | Maple Test Org  | First quarter    | 2013           |
| <a href="#">Elm Test Org-Annual-2014/11/06</a>          | RRT/DRT Provider reporting   | 2014/11/06     | Elm Test Org    | Annual           | 2013           |

If a report requires AUC review before being published on the website, the following message is shown.

**Submitted reporting info**

The submitted reporting and the documents associated to the reporting will not be available until they have been released by the AUC

[Ok](#)

The AUC report custodian will review the report content before publishing it on the eFiling System.

## 20.2 View a report

Select **Reporting** in **Go to...** on the Home page.

**Go to...**

[Go](#)

[My proceedings](#) | [My schedules](#) | [My notifications](#) | [Reporting](#) | [Discussions](#)

List of submitted reporting

Create & submit reporting

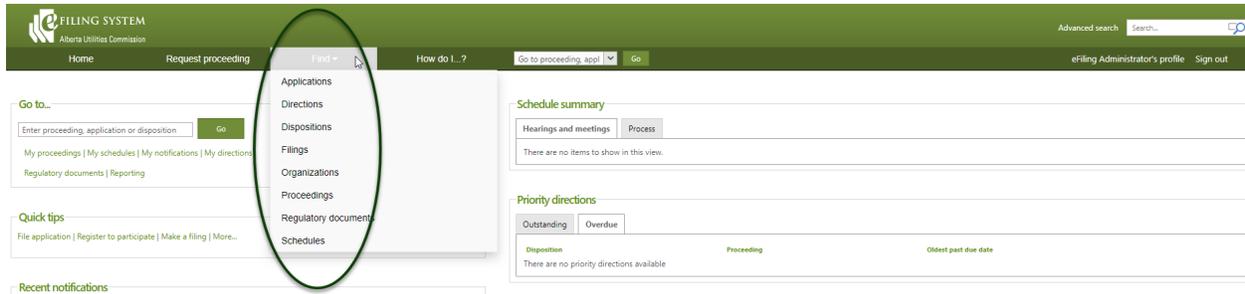
| Title   | Reporting type   | Submitted Date | Submitter       | Reporting period | Reporting year |
|---|--|----------------|-----------------|------------------|----------------|
| <a href="#">Oak Test Org-First quarter-2014/11/06</a>   | Service Quality and Reliability Performance Monitoring and Reporting | 2014/11/06     | Oak Test Org    | First quarter    | 2013           |
| <a href="#">Oak Test Org-Second quarter-2014/11/06</a>  | Service Quality and Reliability Performance Monitoring and Reporting | 2014/11/06     | Oak Test Org    | Second quarter   | 2013           |
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| <a href="#">Pine Test Org-First quarter-2014/11/06</a>  | Service Quality and Reliability Performance Monitoring and Reporting | 2014/11/06     | Pine Test Org   | First quarter    | 2013           |
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| <a href="#">Pine Test Org-Annual-2014/11/06</a>         | RRT/DRT Provider reporting   | 2014/11/06     | Pine Test Org   | Annual           | 2013           |
| <a href="#">Spruce Test Org-Annual-2014/11/06</a>       | RRT/DRT Provider reporting   | 2014/11/06     | Spruce Test Org | Annual           | 2013           |
| <a href="#">Maple Test Org-First quarter-2014/11/06</a> | Service Quality and Reliability Performance Monitoring and Reporting | 2014/11/06     | Maple Test Org  | First quarter    | 2013           |
| <a href="#">Elm Test Org-Annual-2014/11/06</a>          | RRT/DRT Provider reporting   | 2014/11/06     | Elm Test Org    | Annual           | 2013           |

Click on title of the report within the list on the List of submitted reporting page. Then select the specific file name to view from the list of files on the Submitted reporting documents pop-up box.

## 21 Find

Use **Find** on the top toolbar to locate current and historic applications, directions, dispositions, filings, organizations, proceedings and schedules.

Find gives you a quick way to target specific files based on a variety of criteria such as status, applicant, registration and disposition dates, and a simple way to export the data to an Excel spreadsheet.



Enter filter criteria and click **Find** to list the results in the lower part of the page (**Reset** clears current filter criteria).

Find applications:

Find applications

Filter criteria

Application description:

Division:  All

Applicant:  Select applicant  Include historical name

Application category:  Select application categories

Application types:  Select application types

Application status:  All

Electric facility ID:

Alternate reference:

Application date range:  Registered  Decided

Start date:  12/1/2017  End date:  3/6/2018

Total records found: 20

Results per page (of 20 total)

| Application | Proceeding | Application category | Application type | Primary applicant        | Primary LAO                   | Registration date | Electric facility ID | Application status | Alternate reference | Division   |
|-------------|------------|----------------------|------------------|--------------------------|-------------------------------|-------------------|----------------------|--------------------|---------------------|------------|
| 23181-A005  | 23181      | Power generation     | Power plant      | Encana Corporation       |                               | 2018/03/05        |                      | Registered         | 11122               | Facilities |
| 23178-A005  | 23178      | Power generation     | Power plant      | AltaLink Management Ltd. |                               | 2018/03/05        |                      | Registered         | AF86                | Facilities |
| 23178-A004  | 23178      | Power generation     | Power plant      | AltaLink Management Ltd. |                               | 2018/03/05        |                      | Registered         | AF86                | Facilities |
| 23181-A002  | 23181      | Power generation     | Power plant      | Encana Corporation       |                               | 2018/03/05        |                      | Registered         | 11122               | Facilities |
| 23181-A001  | 23181      | Power generation     | Power plant      | Encana Corporation       |                               | 2018/03/05        |                      | Registered         | 11122               | Facilities |
| 23175-A002  | 23175      | Power generation     | Power plant      | Focus Energy Group Inc.  | TTST-eFiling LAO_1_Facilities | 2018/03/01        |                      | Registered         |                     | Facilities |
| 23174-A004  | 23174      | Power generation     | Power plant      | XYZ Utility Company      |                               | 2018/03/01        |                      | Registered         |                     | Facilities |
| 23172-A001  | 23172      | Power generation     | Power plant      | XYZ Utility Company      |                               | 2018/03/01        |                      | Registered         |                     | Facilities |
| 23162-A001  | 23162      | Power generation     | Power plant      | AltaLink Management Ltd. | Stephen Bruce                 | 2018/03/01        |                      | Registered         | 22                  | Facilities |
| 23150-A001  | 23150      | Power generation     | Power plant      | XYZ Utility Company      | TTST-eFiling LAO_1_Facilities | 2018/02/22        |                      | Decided            | 3456                | Facilities |
| 23145-A003  | 23145      | Power generation     | Power plant      | PowerGen Ltd             | PowerGen Ltd                  | 2018/03/01        |                      | Decided            |                     | Facilities |

**Note:** The Organization function requires a minimum of two characters in the organization name.

Text criteria fields are case sensitive.

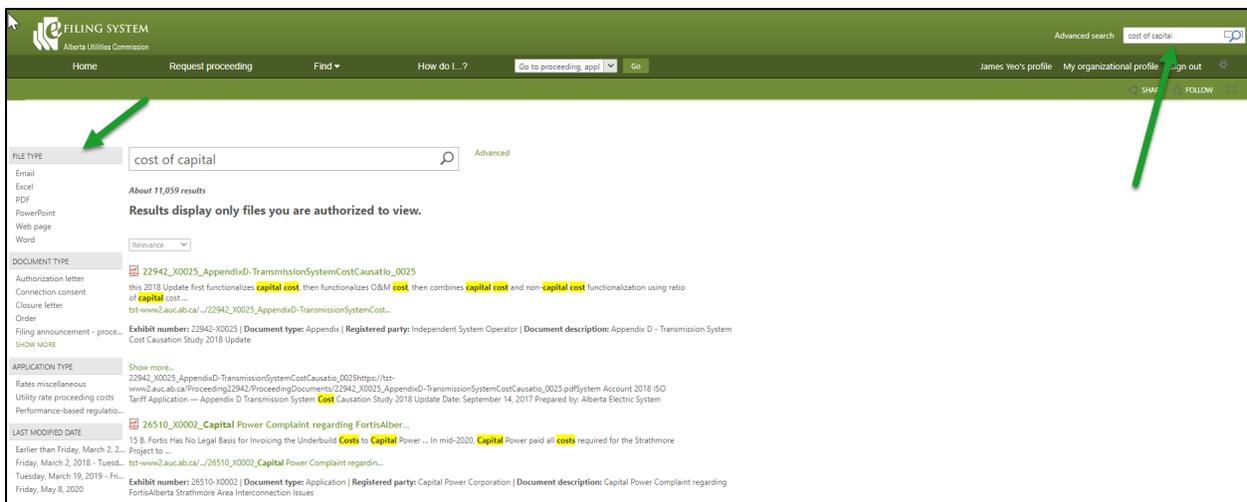
**Export to excel** exports the results list as comma-separated values (.csv) file to Excel.



## 22 Search

Use **Search** to enter a text and character string to locate all occurrences of the string in the content of files on the eFiling System. You can search the content for all files or search only within specific applications, filings and dispositions sites. This search uses wildcard or Boolean operators, and you can also search by file properties or phrases.

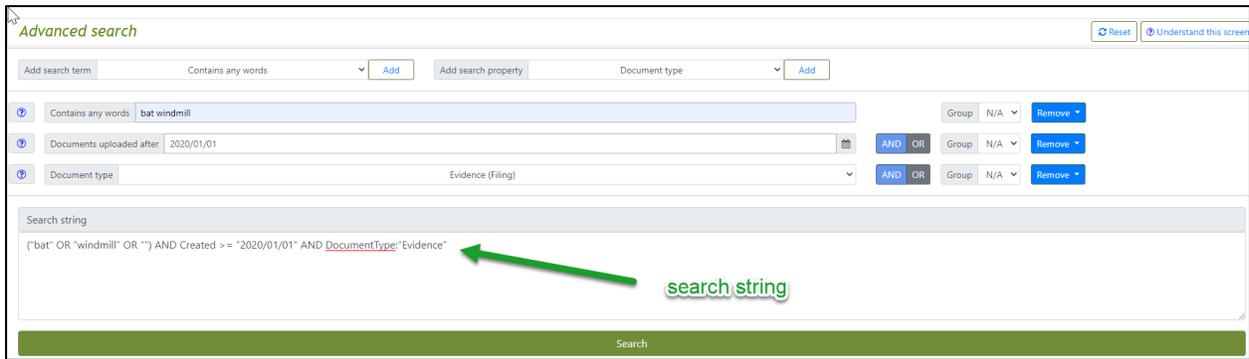
Search results: Refine by site



## 23 Advanced Search

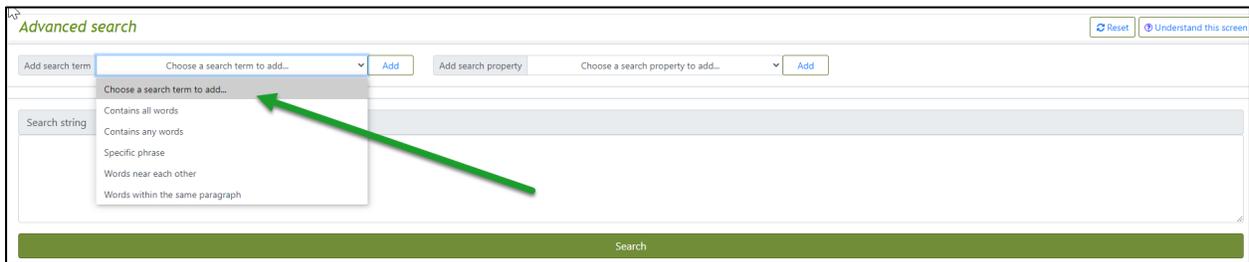


The advanced search functionality in eFiling allows a user to construct complex search queries with ease. The advanced search automatically inserts operators and property restrictions into the search string so the user does not need to understand complex search syntax. The search string may be edited by the user.

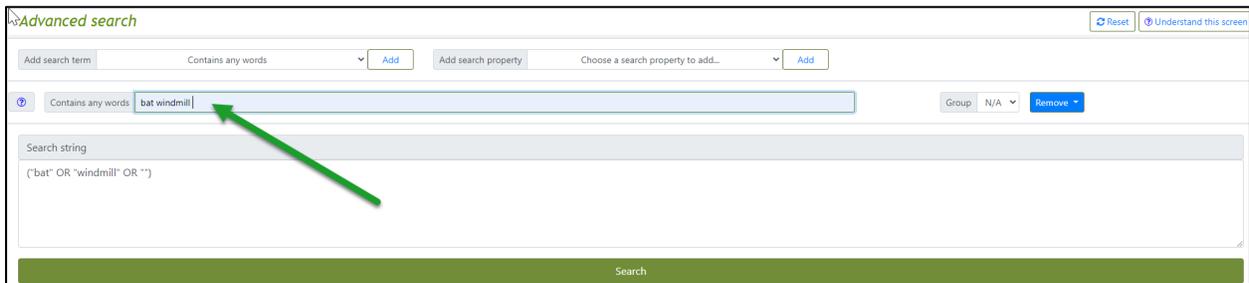


## 23.1 Add search terms

Search operators are commands for search engines to refine search results. Select from the search terms to use some common operators and then select the **Add** button:



Enter the text you want to search for into the search term box and then click in the search string box to populate the search string and then select the **Search** button.



Choose from the following search terms to have the system automatically add the operators into the search string:

| Search term        | Operator | Description  |
|--------------------|----------|--|
| Contains all words | AND      | Returns search results that include all words in the search string. Example: ("bat" AND "windmill"). |

**Advanced search** Reset Understand this screen

Add search term   Add search property

Group N/A

Search string  
("bat" AND "windmill")

---

FILE TYPE   Advanced

PDF

DOCUMENT TYPE **About 18 results**

Application  
Information response  
Statement of intent to partici...  
Environmental  
Evidence  
SHOW MORE

LAST MODIFIED DATE

Earlier than Saturday, April 21...  
Saturday, April 21, 2018 - Tue...  
Tuesday, September 11, 2018...  
Wednesday, June 24, 2020

**Results display only files you are authorized to view.**

[25018\\_X0028\\_GechterSIPIletter\\_0029.pdf](#)  
by a fungal disease and the Alberta Community **Bat** Program is raisIng concerns over their ... will have on the wildlife before rubber stamping all who applies to have a **Windmill** Farm ...  
tst-www2.auc.ab.ca/.../25018\_X0028\_GechterSIPIletter\_0029.pdf

**Exhibit number:** 25018-X0028 | **Document type:** Statement of intent to participate | **Registered party:** Dwayne & Eleanor Gechter | **Document description:** DE Gechter SIP letter

Show more...  
25018\_X0028\_GechterSIPIletter\_0029.pdfhttps://tst-www2.auc.ab.ca/Proceeding25018/ProceedingDocuments/25018\_X0028\_GechterSIPIletter\_0029.pdfSystem AccountT DIME bRECEIVED ON , FAX RECEIVED SUCCESSFULLY ~,1, ecem er 5, 2019 . 01/15/2 at 3,4914 PM MST REMOTE CSID 013 00: 40 4038322157 4038322157 ~' 1 ' IN BOUND NOTIFICATI

[25018\\_X0060\\_BHEC-RC-GP\\_Rattlesnake-Ridge-WPP\\_Gechter\\_IR\\_Resp...](#)  
To assess the level of fall **bat** activity within the Project Study Area, seven SM3BAT® **bat** detector units were deployed in the Project ...  
tst-www2.auc.ab.ca/.../25018\_X0060\_BHEC-RC-GP\_Rattlesnake-Ridge-WPP...

**Exhibit number:** 25018-X0060 | **Document type:** Information response | **Filing:** 25018-F0036 | **Registered party:** BHE Canada Rattlesnake G.P. Inc. | **Document description:** BHEC Responses to Dwayne and Eleanor Gechter Information Request of February 13, 2020

|                    |    |  |
|--------------------|----|--|
| Contains any words | OR | Returns search results that include one or more of the specified words. Example: ("bat" OR "windmill" OR "turbine" OR "blades"). |
|--------------------|----|--|

**Advanced search** Reset Understand this screen

Add search term   Add search property

Group N/A

Search string  
("bat" OR "windmill" OR "turbine")

|                       |         |   |
|-----------------------|---------|---|
| Words near each other | NEAR(8) | Matches results where a term is within close proximity to another term. Example: ("wildlife" NEAR(8) "migration"). The number in brackets after NEAR can be changed to another value by the user. |
|-----------------------|---------|---|

**Advanced search** [Reset](#) [Understand this screen](#)

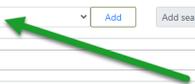
Add search term  Words near each other   Add search property  Choose a search property to add...

Words near each other   N/A

Search string  
("wildlife" NEAR(8) "migration")

|                 |               |   |
|-----------------|---------------|---|
| Specific phrase | "text string" | Matches results where documents contain the exact text string entered. Example: "the most commonly observed species". |
|-----------------|---------------|---|

**Advanced search** [Reset](#) [Understand this screen](#)

Add search term  Specific phrase   Add search property  Choose a search property to add...

Specific phrase   N/A

Search string  
"the most commonly observed species"

|                                  |           |   |
|----------------------------------|-----------|---|
| Words within the same paragraph. | NEAR(200) | Matches results where a term is within close proximity to another term. Example: ("wildlife" NEAR(200) "migration"). The number in brackets after NEAR can be changed to another value by the user. |
|----------------------------------|-----------|---|

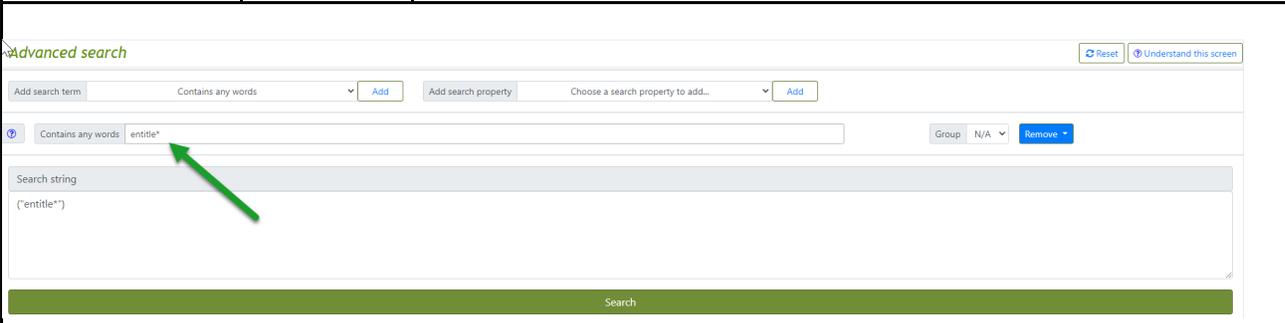
**Advanced search** [Reset](#) [Understand this screen](#)

Add search term  Words within the same paragraph   Add search property  Choose a search property to add...

Words within the same paragraph   N/A

Search string  
("wildlife" NEAR(200) "migration")

|   |          |  |
|---|----------|--|
| * | Wildcard | Allows a user to specify part of a word from the beginning of a word, followed by the asterisk character to return results that include the beginning of the word with other endings. Use the <i>Contains any words</i> search term. Example: ("entitle*") will return entitle, entitled, entitlement. |
|---|----------|--|

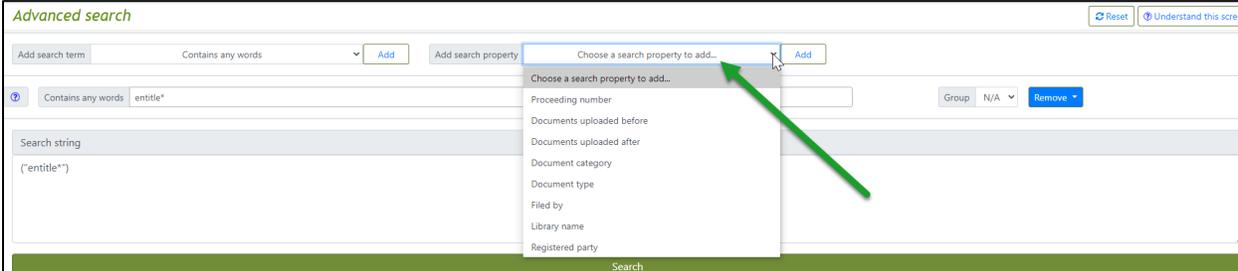
  


## 23.2 Add search property

Properties are attributes or characteristics of a document, sometimes referred to as metadata. Properties are used by search engines to help organize documents and allow a user to find relevant information. They can be used to restrict search results to specific properties. Some examples of document properties are document type, format, proceeding number, registered party, etc.



The following search restriction properties can be added to your searches to narrow your search results set.



Select the search property and then select the **Add** button. Enter the text string into the property box.

Advanced search

Add search term Contains any words Add Add search property Proceeding number Add

Contains any words bat windmill Group N/A Remove

Proceeding number 26855 AND OR Group N/A Remove

Search string

("bat" OR "windmill" OR "") AND (ProceedingID:"26855" OR "Proceeding" NEAR(8) "26855" OR "Proceeding 26855")

Search

Alternatively, you can select the magnifying glass to use the look-up tool to select the property directly from eFiling data.

Advanced search

Add search term Contains any words Add Add search property Proceeding number Add

Contains any words bat windmill Group N/A Remove

Proceeding number 26855 Magnifying glass icon AND OR Group N/A Remove

| Search property           | Description  |
|---------------------------|--|
| Proceeding number         | Restricts the results to proceeding site page or documents that are part of the proceeding number entered. Example: user enters 26372 and the system enters into the search string (ProceedingID:"26372" OR "Proceeding" NEAR "26372" OR "Proceeding 26372").  |
| Documents uploaded before | Restricts documents in the result set to those that were uploaded to the location prior to the date chosen. This does not include documents uploaded on the date chosen. Example: user selects date of April 12, 2021 and the system enters Created < "2021/04/12" into the search string.                     |
| Documents uploaded after  | Restricts documents in the result set to those that were uploaded to the location after the date chosen. This does include documents uploaded on the date chosen. Example: user selects date of April 12, 2021 and the system enters Created >= "2021/04/12" into the search string.                           |
| Document category         | Restricts documents in the result set to the chosen category of applications, filings, dispositions or all in eFiling. Example: the user selects Application from the drop-down list and the system populates EntityType:"Application" into the search string.   |
| Document type             | Restricts documents in the result set to the chosen document type from a list of document types in eFiling. Example: the user selects Ruling from the drop-down list and the system populates DocumentType:"Ruling" into the search string.  |
| Filed by                  | Restricts documents in the result set to the party that filed the document. This can be different from the registered party if filed by a representative. Example: the user selects Bennett Jones LLP from the party look-up tool and the system populates FiledBy:"Bennett Jones LLP" into the search string. |
| Registered party          | Restricts documents in the result set to the party that the application or filing document is made on behalf of.   |

## 23.3 Searches with multiple search terms or properties

Multiple search terms and properties can be added to facilitate more complex searches usually producing smaller results sets:

Example: Find me a recent precedent ruling on confidential treatment of proprietary information.

The screenshot shows the 'Advanced search' interface. At the top right, there are 'Reset' and 'Understand this screen' links. Below the header, there are two input fields: 'Add search term' with a dropdown for 'Specific phrase' and an 'Add' button, and 'Add search property' with a dropdown for 'Documents uploaded after' and an 'Add' button. The search criteria are listed below:

- Document type: Confidentiality ruling (Filing) [Group: N/A] [Remove]
- Specific phrase: proprietary information [AND/OR] [Group: N/A] [Remove]
- Documents uploaded after: 2020/01/01 [AND/OR] [Group: N/A] [Remove]

The search string is displayed in a text area: `DocumentType:"Confidentiality ruling" AND "proprietary information" AND Created >= "2020/01/01"`. A green 'Search' button is at the bottom.

The screenshot shows the search results page. At the top, there is a search bar with the query: `DocumentType:"Confidentiality ruling" AND "prop"`. The page is titled 'Advanced' and shows '7 results'. A message states: 'Results display only files you are authorized to view.' The results are sorted by 'Relevance'.

The first result is a PDF document titled '26856\_X0008\_AMLSunnybrook510SUpgrade-AppendixHEnviro\_0193\_00...' with a description: 'copy in SharePoint. AltaLink's environment documents contain **proprietary information**. i ... The information provided herein is confidential and is provided strictly for the sole use ...' The document details are: Exhibit number: 26856-X0008 | Document type: Confidentiality ruling | Filing: 26856-F0004 | Registered party: Alberta Utilities Commission | Document description: a...

The second result is a PDF document titled '24964\_X0484\_2020-09-16 AUC letter - Ruling on Calgary mot...' with a description: '10. As the Utility Subsector report is **proprietary information**, the conditions on its use likely ...' The document details are: Exhibit number: 24964-X0484 | Document type: Confidentiality ruling | Filing: 24964-F0168 | Registered party: Alberta Utilities Commission | Document description: AUC letter - Ruling on Calgary motion for confidential treatment of information and cost...

Example: Was honour of the Crown raised on the record of proceeding 22612?

The screenshot shows the 'Advanced search' interface. At the top right, there are 'Reset' and 'Understand this screen' links. Below the header, there are two input fields: 'Add search term' with a dropdown for 'Specific phrase' and an 'Add' button, and 'Add search property' with a dropdown for 'Proceeding number' and an 'Add' button. The search criteria are listed below:

- Specific phrase: honour of the crown [AND/OR] [Group: N/A] [Remove]
- Proceeding number: 22612 [AND/OR] [Group: N/A] [Remove]

The search string is displayed in a text area: `"honour of the crown" AND (ProceedingID:"22612" OR "Proceeding" NEAR(8) "22612" OR "Proceeding 22612")`. A green 'Search' button is at the bottom.

FILE TYPE: PDF

DOCUMENT TYPE: Information response

LAST MODIFIED DATE: Any value

Search: "honour of the crown" AND (ProceedingID:"22612"  Advanced

1 result 

**Results display only files you are authorized to view.**

 **22612\_X0098\_AMLIRResponsestoAUCRound21-9\_0099**  
 2017-2018 General Tariff Applications **Proceeding 22612** Applications **22612**-A001 to **22612**-A004 Round 2 Information Requests 001-009 Please ...  
 tst-www2.auc.ab.ca/.../22612\_X0098\_AMLIRResponsestoAUCRound21-9\_009...

**Exhibit number:** 22612-X0098 | **Document type:** Information response | **Filing:** 22612-F0038 | **Registered party:** AltaLink Management Ltd. | **Document description:** AML IR Responses to AUC Round 2 (1-9)

Show more...  
**22612\_X0098\_AMLIRResponsestoAUCRound21-9\_0099**https://tst-www2.auc.ab.ca/Proceeding22612/ProceedingDocuments/22612\_X0098\_AMLIRResponsestoAUCRound21-9\_0099.pdfwolfingSystem Account2611 3rd AVE SE, CALGARY, ALBERTA, T2A 7W7 WWW.ALTALINK.CA June 20, 2018 Filed on eFiling Alberta Utilities Commission Eau Claire Tower 1400, 600 Third

Example: What were AML's comments on the CCA cost claims on proceeding 25973?

Advanced search  

Add search term: Contains any words  Add

Add search property: Proceeding number  Add

Contains any words: CCA cost claim  Group: N/A

Registered party: AltaLink Management Ltd.   AND OR Group: N/A

Proceeding number: 25973   AND OR Group: N/A

Search string  
 ("CCA" OR "cost" OR "claim") AND RegisteredParty:"AltaLink Management Ltd." AND (ProceedingID:"25973" OR "Proceeding" NEAR(8) "25973" OR "Proceeding 25973")

FILE TYPE: PDF

DOCUMENT TYPE: Application

LAST MODIFIED DATE: Any value

Search: ("CCA" OR "cost" OR "claim") AND RegisteredPart  Advanced

4 results

**Results display only files you are authorized to view.**

 **25973\_X0015\_AML Letter to AUC - Comments on CCA Cost...**  
**Proceeding 25973** ... AltaLink understands that the **CCA's cost claim** will be assessed by the Alberta Utilities ... 7 Exhibit **25973**-X0008, **CCA Cost Claim**, para 25, pdf 10 ...  
 tst-www2.auc.ab.ca/.../25973\_X0015\_AML Letter to AUC - Comments on ...

**Exhibit number:** 25973-X0015 | **Document type:** Procedural filing - reply | **Filing:** 25973-F0008 | **Registered party:** AltaLink Management Ltd. | **Document description:** AML Letter to AUC - Comments on CCA Cost Claim

Show more...  
**25973\_X0015\_AML Letter to AUC - Comments on CCA Cost Claim\_000023**https://tst-www2.auc.ab.ca/Proceeding25973/ProceedingDocuments/25973\_X0015\_AML Letter to AUC - Comments on **CCA Cost Claim\_000023**.pdfSystem Account1 2611 3rd AVE SE, CALGARY, ALBERTA, T2A 7W7 WWW.ALTALINK.CA November 3, 2020 Filed on eFiling Alberta Utilities Commission Eau Claire Tower 1400,

 **25973\_X[]\_AML Letter to the AUC - Allocation of Costs wit...**  
**Proceeding 25973** ... that it is paying the Enoch Cree Nation's **cost claim** in the amount of \$24,821.04, as well as the remaining \$105,819.03 of the **CCA's cost** award ...  
 tst-www2.auc.ab.ca/.../25973\_X[]\_AML Letter to the AUC - Allocation...

**Document type:** Post-disposition documentation | **Filing:** 25973-F0011 | **Registered party:** AltaLink Management Ltd. | **Document description:** AML Letter to the AUC - Allocation of Costs with TransAlta

## 23.4 Groups

When searching using multiple search terms or properties, it is beneficial to use the group functionality. The system will automatically add the parenthesis in the search string to ensure the order of operations

is set by the group numbers. The system will automatically group search terms that are identical with the same group number and insert the OR operator.

In the example below, the order of operations is as follows:

The proceeding ID 25973 is the first qualifier, secondly by any of the words CCA OR cost OR claim, and thirdly by either Altalink Management Ltd. OR Enoch Cree Nation OR TransAlta Corporation.

The results set will include results where:

- Altalink Management Ltd. commented on the cost claims by the CCA on proceeding 25973.
- Enoch Cree Nation commented on the cost claims by the CCA on proceeding 25973.
- TransAlta commented on the cost claims by the CCA on proceeding 25973.

The screenshot displays the 'Advanced search' interface. At the top, there are input fields for 'Add search term' (with a dropdown for 'Contains any words') and 'Add search property' (with a dropdown for 'Registered party'). Below these are five search criteria rows, each with a search icon, a text input, and a search icon. The criteria are: 'Proceeding number' with value '25973', 'Contains any words' with value 'CCA cost claim', 'Registered party' with value 'TransAlta Corporation', 'Registered party' with value 'Enoch Cree Nation', and 'Registered party' with value 'Altalink Management Ltd.'. To the right of each row are 'AND OR' buttons, a 'Group' dropdown, and a 'Remove' button. The 'Group' dropdowns are set to 1, 2, 3, 3, and 3 respectively. A green arrow points to the 'AND OR' buttons, with text: 'Use the AND or OR between search terms. Black colour is enabled.' Below the criteria is a 'Search string' field containing the following query: `((ProceedingID:"25973" OR "Proceeding" NEAR(8) "25973" OR "Proceeding 25973")) AND (("CCA" OR "cost" OR "claim") OR (RegisteredParty:"TransAlta Corporation" OR RegisteredParty:"Enoch Cree Nation" AND RegisteredParty:"Altalink Management Ltd."))`. A green arrow points to the 'AND OR' buttons in the last row, with text: 'Use the group number to choose the order of operations. The same group number with the OR operator will be automatically applied to identical search terms.' At the bottom of the interface is a green 'Search' button.

## 23.5 Refiners

A set of results can be further refined by using the refiners at the left side of the results set. Refiners will appear based on the results being returned.

FILE TYPE

Excel  
Image  
PDF  
PowerPoint  
Word

DOCUMENT TYPE

Undertaking  
Correspondence - AUC to par...  
Drawing  
Filing announcement  
Process announcement  
SHOW MORE

APPLICATION TYPE

Power plant ownership change  
General tariff application  
Transmission enquiry proposal  
Preferential sharing of records  
Power plant enquiry proposal  
SHOW MORE

LAST MODIFIED DATE

Earlier than Tuesday, Februar...  
Tuesday, February 28, 2017 - ...  
Thursday, September 26, 201...  
Friday, July 31, 2020

Advanced

((ProceedingID:"25973" OR "Proceeding" NEAR(8))

About 2,398 results

Results display only files you are authorized to view.

Relevance

25973\_X0015\_AML Letter to AUC - Comments on CCA Cost...

Proceeding 25973 ... AltaLink understands that the CCA's cost claim will be assessed by the Alberta Utilities ... 7 Exhibit 25973-X0008, CCA Cost Claim, para 25, pdf 10 ...

tst-www2.auc.ab.ca/.../25973\_X0015\_AML Letter to AUC - Comments on ...

Exhibit number: 25973-X0015 | Document type: Procedural filing - reply | Filing: 25973-F0008 | Registered party: AltaLink Management Ltd. | Document description: AML Letter to AUC - Comments on CCA Cost Claim

Show more...

25973\_X0015\_AML Letter to AUC - Comments on CCA Cost Claim\_000023https://tst-www2.auc.ab.ca/Proceeding25973/ProceedingDocuments/25973\_X0015\_AML Letter to AUC - Comments on CCA Cost Claim\_000023.pdfSystem Account1 2611 3rd AVE SE, CALGARY, ALBERTA, T2A 7W7 WWW.ALTA LINK.CA November 3, 2020 Filed on eFiling Alberta Utilities Commission Eau Claire Tower 1400.

25973\_X0014\_TAC Letter to AUC - Comments on CCA Cost Clai...

AML 2016-2018 DACDA Edmonton Region Cost Claim Application Proceeding 25973 Comments on the Cost Claim filed by Consumers' Coalition of Alberta ...

tst-www2.auc.ab.ca/.../25973\_X0014\_TAC Letter to AUC - Comments on ...

Exhibit number: 25973-X0014 | Document type: Correspondence - external | Filing: 25973-F0007 | Registered party: Transalta Corporation | Document description: TAC Letter to AUC - Comments on CCA Cost Claim, November 3, 2020

Show more...

25973\_X0014\_TAC Letter to AUC - Comments on CCA Cost Claim November 3, 2020\_000022https://tst-www2.auc.ab.ca/Proceeding25973/ProceedingDocuments/25973\_X0014\_TAC Letter to AUC - Comments on CCA Cost Claim November 3, 2020\_000022.pdfSystem AccountNorton Rose Fulbright Canada LLP is a limited liability partnership established in Canada. Norton Rose Fulbright Canada

Below is a list of refiners that will appear if qualified in your search results:

| Refiner           | Example  |
|-------------------|--|
| File type         | PDF, Word, Excel, PowerPoint                             |
| Modified date     | Earlier than one year ago, One year ago to one month ago |
| Application type  | Substation, Transmission line                            |
| Document type     | Ruling, argument, decision report                        |
| Revision type     | Blackline, clean, original                               |
| Library           | Public, confidential, team, restricted                   |
| Document category | Application, filing, disposition                         |

