External User Guide

December 2025

AUC eFiling System External User Guide

Alberta Utilities Commission
Eau Claire Tower
1400, 600 Third Avenue SW
Calgary, Alberta T2P 0G5
Phone: 310-4AUC
Email: info@auc.ab.ca
www.auc.ab.ca

Contents

1 Introduction 1

2 System at a glance 1

2.1 eFiling navigation menu 1
2.2 eFiling home screen 2
2.3 Go to… section 3
2.4 Proceeding home screen 4
2.5 Proceeding navigation menu 5
2.6 Supported file types 5

3 Create and manage user accounts 5

3.1 Create organizational accounts 5
3.1.1 Organizational administrator 6
3.1.2 Confidential administrator 6
3.1.3 System functions by role 6
3.1.4 Create an organizational account 7
3.1.5 View organizational profile 8
3.1.6 Add/edit organizational users 8
3.2 Edit organization information 9
3.3 Close/amalgamate organization account 9
3.4 Single-user accounts 10
3.4.1 Create a single-user account 10
3.5 Manage your account 11
3.5.1 Change general account information 11
3.5.2 Change password 13
3.5.3 Forgot password 13
3.5.4 Forgot Login ID 13

4 Proceedings 14

4.1 Request a new proceeding 15

5 Applicants 15

5.1 Add an applicant 16
5.2 View, edit and delete applicants 17
5.3 View applicants 17
5.4 Edit applicant type 18
5.5 Delete a co-applicant 18
5.6 Change or delete applicant contact information 19

6 Applications 19

6.1 Application types 19
6.1.1 AUC rule 19
6.1.2 Codes of conduct 20
6.1.3 Cost recovery 20
6.1.4 Decision reviews 21
6.1.5 Designated public utilities 22
6.1.6 Emergency management 22
6.1.7 Electric and gas distribution 22
6.1.8 Electric and gas transmission 25
6.1.9 Electric facilities 26

6.1.10 Enforcement ... 28
6.1.11 Gas facilities ... 28
6.1.12 Market oversight ... 29
6.1.13 Records sharing ... 30
6.1.14 Retail Energy ... 31
6.1.15 Share transfer ... 32
6.1.16 Utility supply agreements ... 32
6.2 Add an application ... 33
6.2.1 Choose the application type ... 33
6.2.2 Add general application information ... 33
6.2.3 Error checking ... 35
6.2.4 Expedited applications ... 35
6.3 View and edit applications ... 36
6.4 Clone an application ... 37
6.5 Delete an application ... 38

7 Application documents ... 38

7.1 Application document types ... 39
7.1.1 Application and support ... 39
7.1.2 Authorization ... 39
7.1.3 Consultation ... 40
7.1.4 Design ... 40
7.1.5 Technical ... 41
7.2 Add application documents ... 41
7.3 View and edit application documents ... 44
7.3.1 Associate to direction ... 45
7.3.2 Change application association ... 45
7.3.3 Change description ... 45
7.3.4 Change document type ... 45
7.4 Add or remove documents ... 46

8 Related proceedings ... 47

9 Register a proceeding ... 48

9.1 To register a proceeding ... 48

10 Participate in a proceeding ... 51

10.1 To participate in a proceeding ... 52
10.2 Change or remove participant role ... 54
10.3 Participation notification ... 54

11 Schedules ... 55

11.1 Schedule types ... 55

12 Filings ... 56

12.1 Filing types ... 58
12.2 Create a filing ... 60
12.3 Edit filing information ... 65
12.4 Upload filing document(s) ... 66
12.5 Information/undertaking requests and responses ... 69
12.6 Register filing ... 69
12.7 Delete filing ... 70

13 Revising a document **70**

13.1 Revision document upload **71**
13.2 Revision document display **73**
13.3 Remove a revision **74**
13.4 Notification of revisions **74**
13.5 Searching for revised documents **75**

14 Exhibit numbers **75**

14.1 Exhibit number format **76**
14.2 View and search exhibits **76**

15 Directions **77**

15.1 Direction properties **78**
15.2 Viewing directions **78**
15.3 Direction details **80**
15.4 Direction statuses **80**
15.5 Direction monitoring and notifications **81**
15.6 Responding to directions **81**
15.7 Responding to a direction with a filing **81**
15.8 Responding to a direction with an application document **86**

16 Restricted (private) proceedings **90**

16.1 Create a restricted proceeding **90**
16.2 Add a restricted application type **91**
16.3 Add restricted application documents **92**
16.4 Register a restricted proceeding **92**
16.5 Accessing restricted proceeding documents **92**
16.6 Participate in a restricted proceeding **92**

17 Confidential proceedings **93**

17.1 Requesting information to remain confidential and off the public record **93**
17.1.1 Access to the confidential motion documents 99
17.2 Disclosing party access **99**
17.3 Re-submitting confidential documents **100**
17.3.1 Upload confidential application documents 100
17.3.2 Upload confidential filing documents 104
17.3.3 Access to confidential documents 106
17.4 Exhibit numbers for confidential documents **107**
17.5 Revisions to confidential documents **107**
17.6 Replace a public summary document with a redacted version **108**
17.7 Requesting access to the confidential documents **109**
17.7.1 Filing a confidentiality undertaking 109
17.8 Disclosing party grants or denies access requests **111**
17.8.1 Access request statuses 112
17.9 Proceedings related to confidential proceedings **112**
17.9.1 New confidentiality undertakings on related proceedings 112
17.10 Statutory declaration **113**
17.10.1 File a statutory declaration 113
17.10.2 Statutory declaration statuses 114

18 Document downloads and index **114**

18.1 Individual document download **114**
18.2 Multi-document download (*Zip and download*) **115**

18.3 Document index 118

19 System communication 120

19.1 Notifications 120
19.2 Daily notification summary email 121
19.3 Email Messages 123
19.4 Daily directions summary 123
19.5 Global notifications 124

20 Dispositions 124

20.1 Rescinded or varied dispositions 125

21 Reporting 126

21.1 Submit a report 126
21.2 View a report 129
21.3 Replace a report 129

22 Find 130

23 Search 131

23.1 Accessing the Search screen 131
23.2 Add search terms 131
23.3 Add search property 133
23.4 Using multiple search terms and properties 135
23.5 Groups 136
23.6 Refiners 138

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.

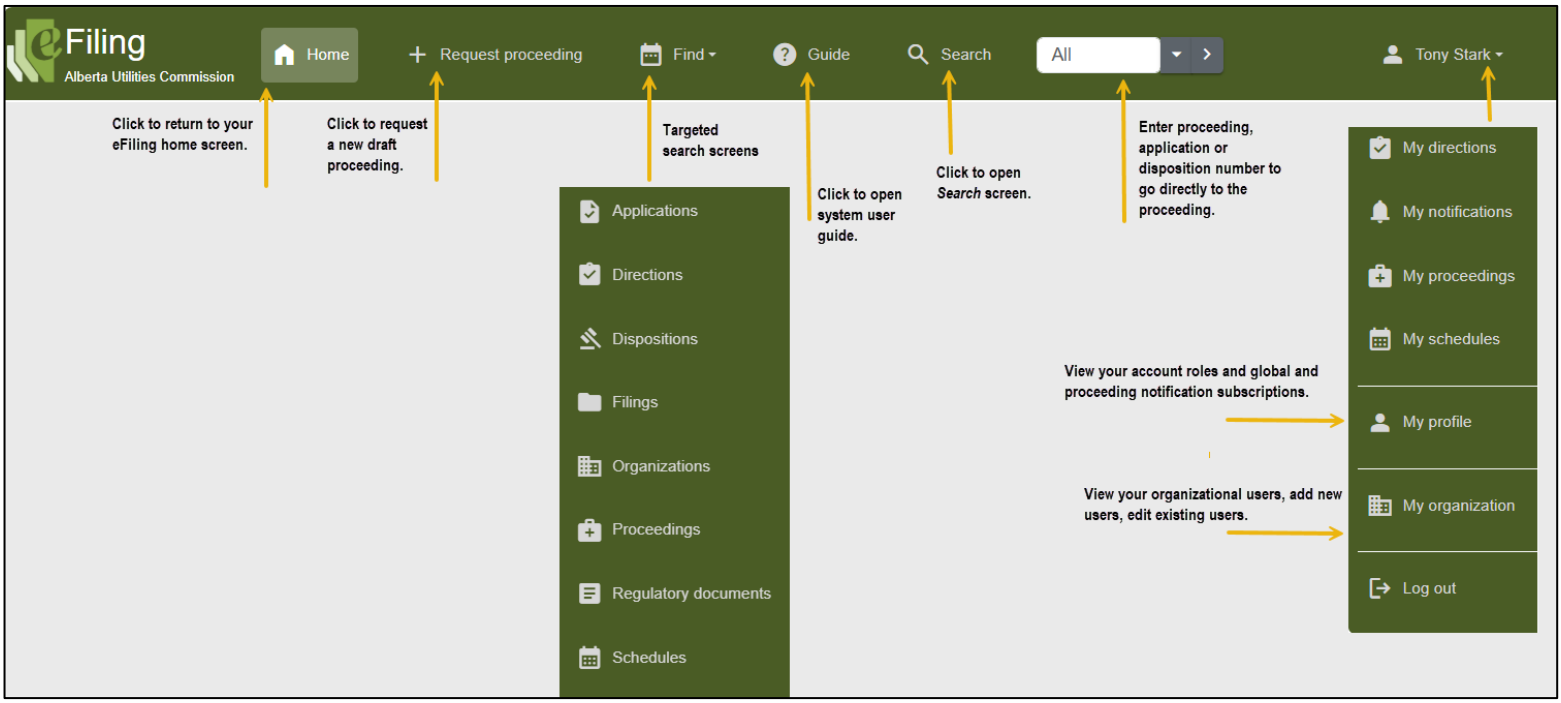
Questions about the eFiling System should be sent to info@auc.ab.ca or call 310-4AUC.

2 System at a glance

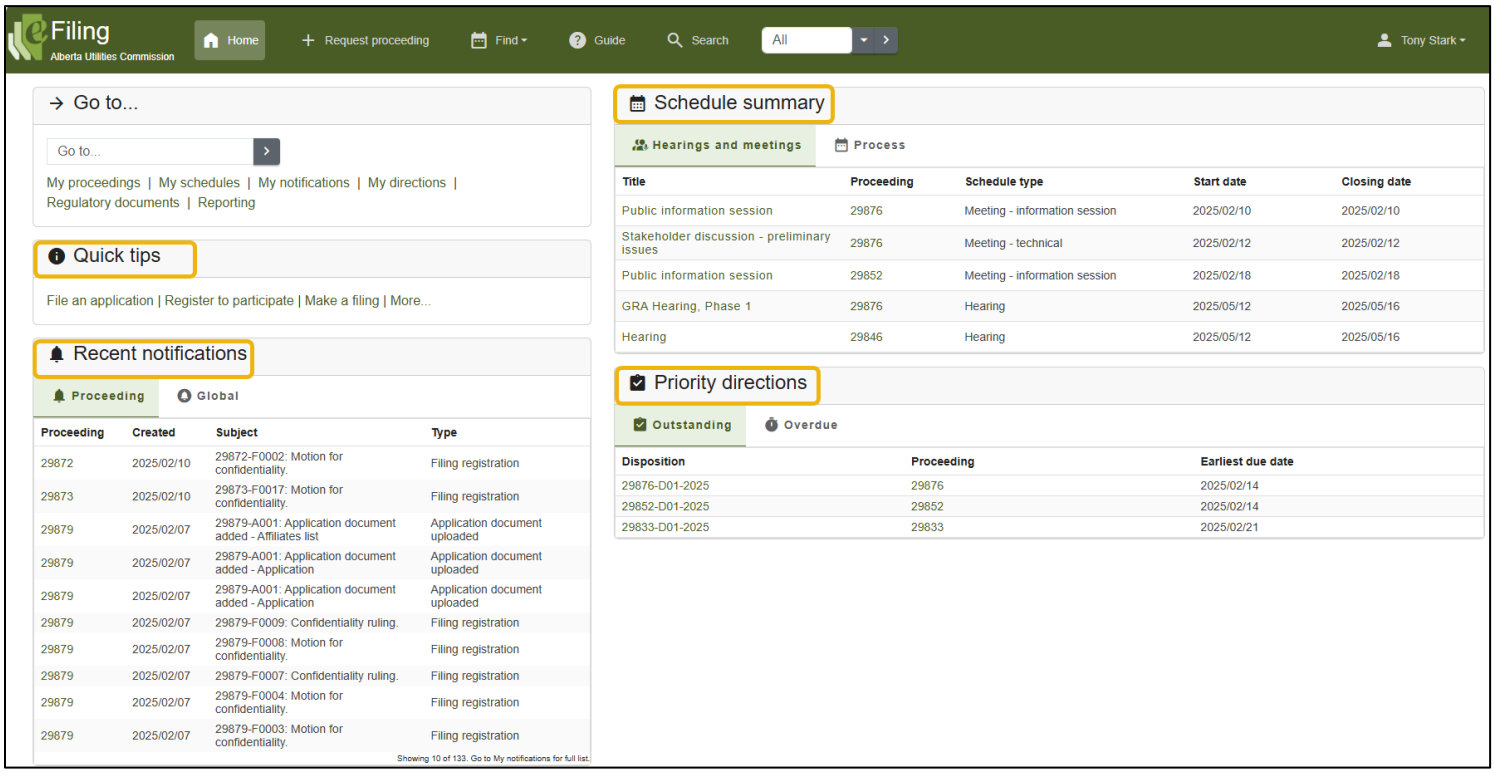
The home page is shown when you first log in to the eFiling System. It displays the main navigation bar and gives a snapshot of recent activity, notifications, priority directions and upcoming schedule items for proceedings you are registered for.

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

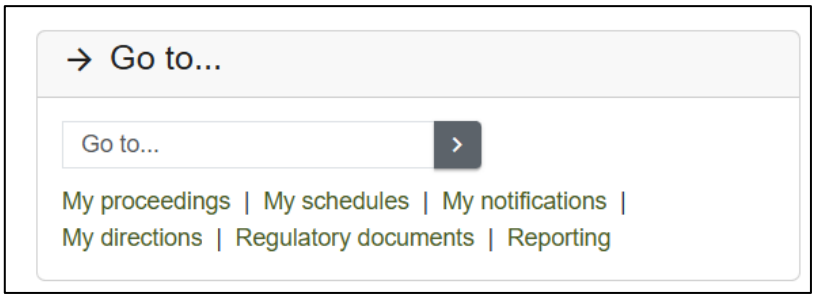


Quick tips	Provides links to view and open quick tip documentation for the following activities: • Confidential proceedings for disclosing parties • eFiling System User Guide • File an application • Make a filing • Register to participate • Respond to a direction • Review a document • Upload additional application documents
Recent notifications	*Proceeding* tab lists 10 most recent proceeding notifications for proceedings you are registered to, based on the notification's created date. *Global* 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.
Schedule summary	Lists 10 most imminent scheduled hearings and meetings, and scheduled process items based on the item's start date.
Priority directions	*Outstanding* tab lists 10 dispositions where a response to the associated direction is outstanding and the due date has not passed. *Overdue* tab lists 10 dispositions where a response to the associated direction has not been filed, and the response due date has passed.

2.3 Go to… section

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

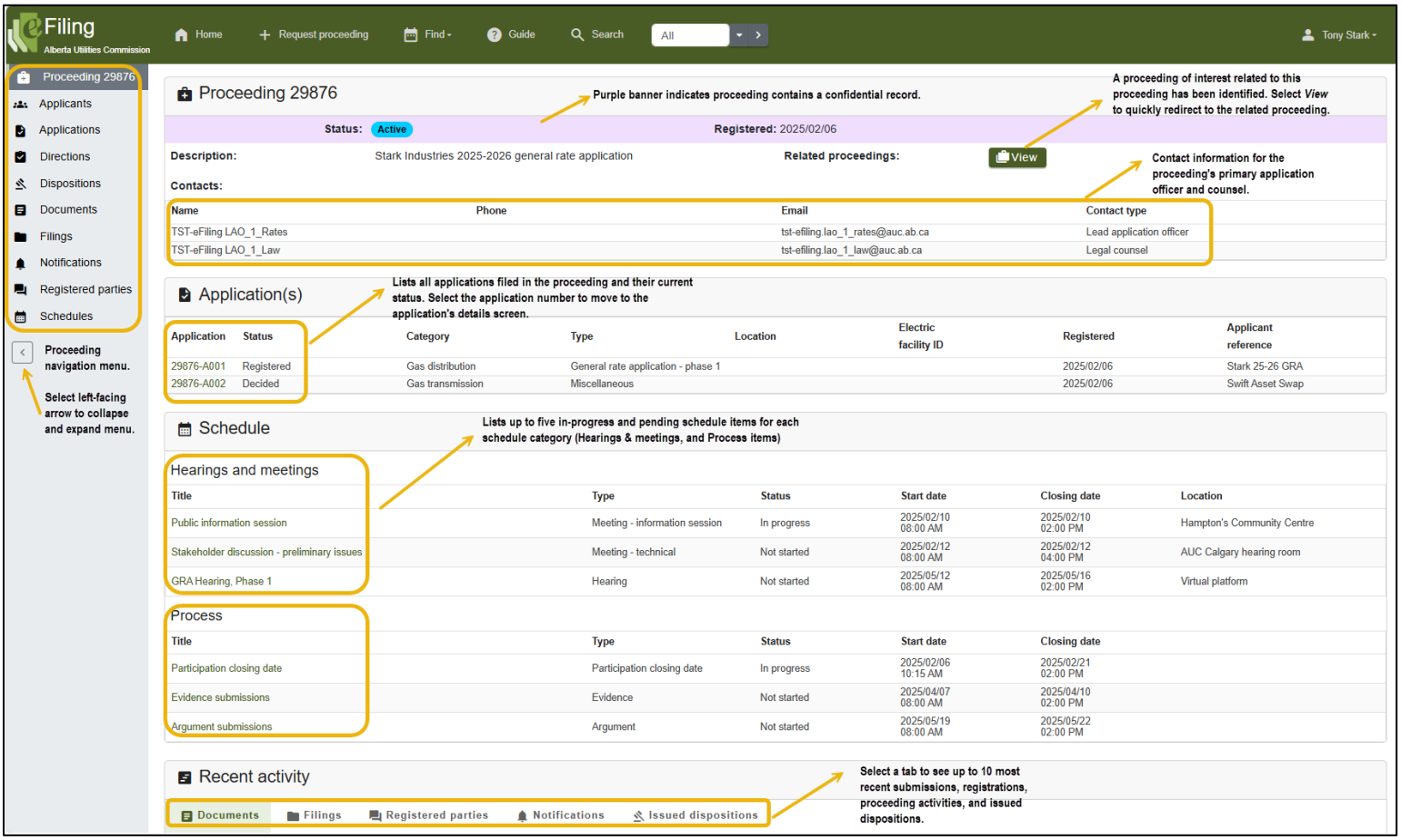
Access quick links to go to **My** screens, **Regulatory documents**, or **Reporting**.



Go to…	Enter a proceeding ID, application or disposition number to move to the respective details screen.
My proceedings	Lists your draft (as applicant) and active (as registered party) proceedings.
My schedules	Lists hearings, meetings and scheduled items for all active proceedings where you are a registered party (including as observer).
My notifications	Under the *Proceeding* tab, lists notifications for all active proceedings where you are a registered party. Under the *Global* 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.
My directions	Lists the directions assigned to you as the responsible party.
Regulatory documents	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.
Reporting	Used to submit special reports to the AUC, for example, those required for Rule 002 and Rule 005.

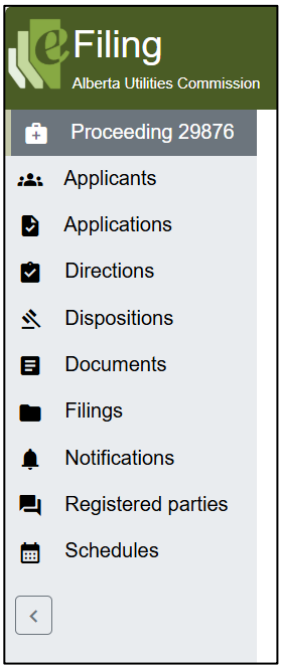
2.4 Proceeding home screen

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



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.

2.6 Supported file types

The eFiling System supports the following file types:

.doc; .docx; .gif; .msg; .jpeg; .jpg; .kml; .kmz; .pdf; .png; .ppt; .pptx; .vsd; .vsdx; .xls; .xlsx

File types .zip and .csv are supported for pipeline applications only.

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

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

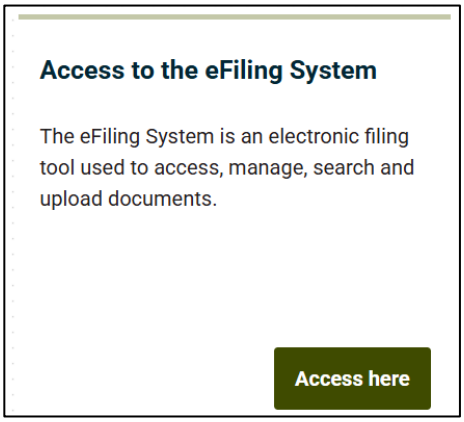
eFiling System Functions	Organizational administrator	Confidential administrator	Organizational User
Modify their user profile	✓	✓	✓
Create an application	✓	✓	✓
Participate in a proceeding	✓	✓	✓
Create a filing	✓	✓	✓
Participate in a discussion community	✓	✓	✓
Change their own password	✓	✓	✓
Modify general 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.		✓	

eFiling System Functions	Organizational administrator	Confidential administrator	Organizational User
Approve other proceeding participants that have submitted a confidentiality undertaking to access your organization's confidential material.		✓	

3.1.4 Create an organizational account

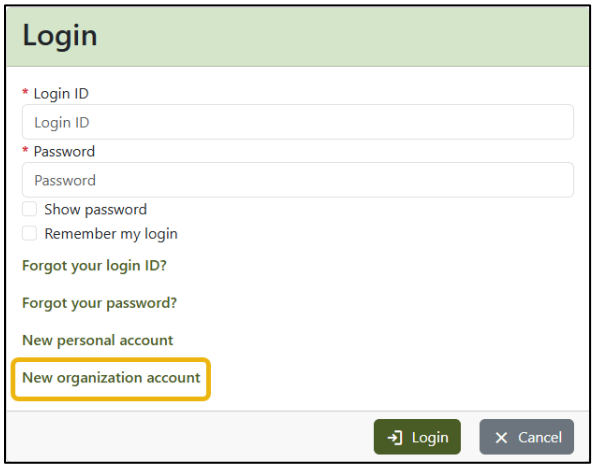
An organization can request to be set up in the eFiling System by submitting a completed **New organizational account form** together with a letter on organizational letterhead stating the approval of the information set out in the new organizational account form. The accompanying letter must be signed 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 adminstrator* 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*.

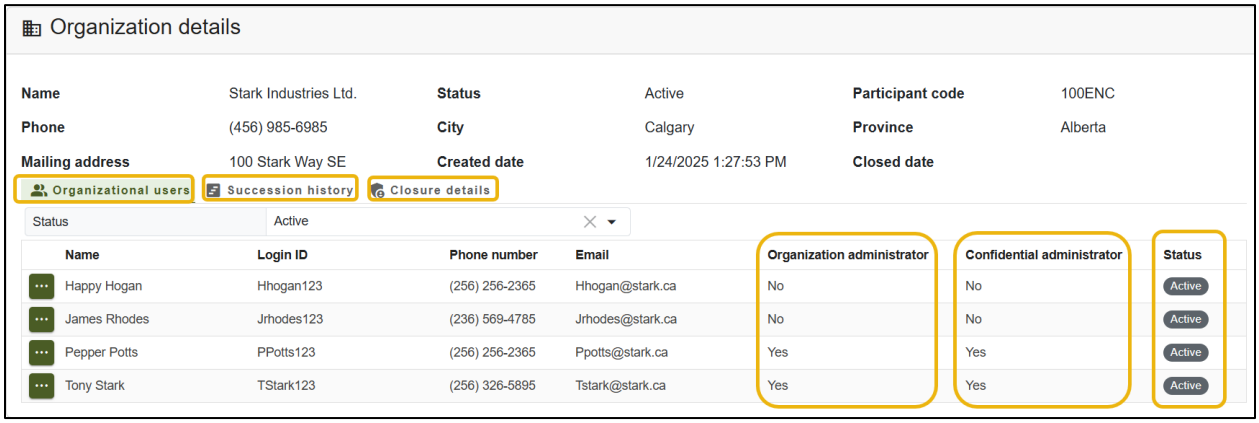
A member of the AUC Assistance and Information Services team will contact the organizational administrator listed in the form.

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.**

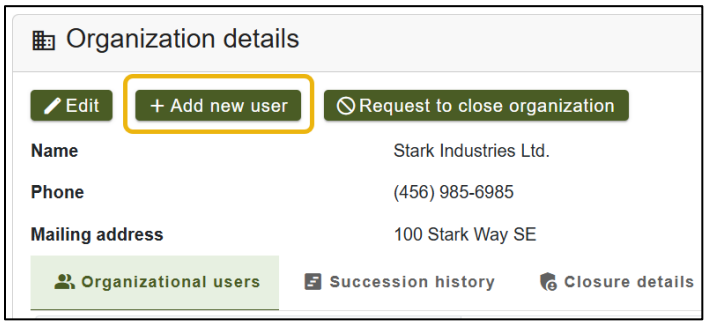
The **Organizational details** screen lists all organizational users and their organizational and confidential administrator status. The screen also displays users' contact information, the organization's succession history and any closure details.



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 **Organization details** screen select *Add new user*.



Enter the following information into the form:

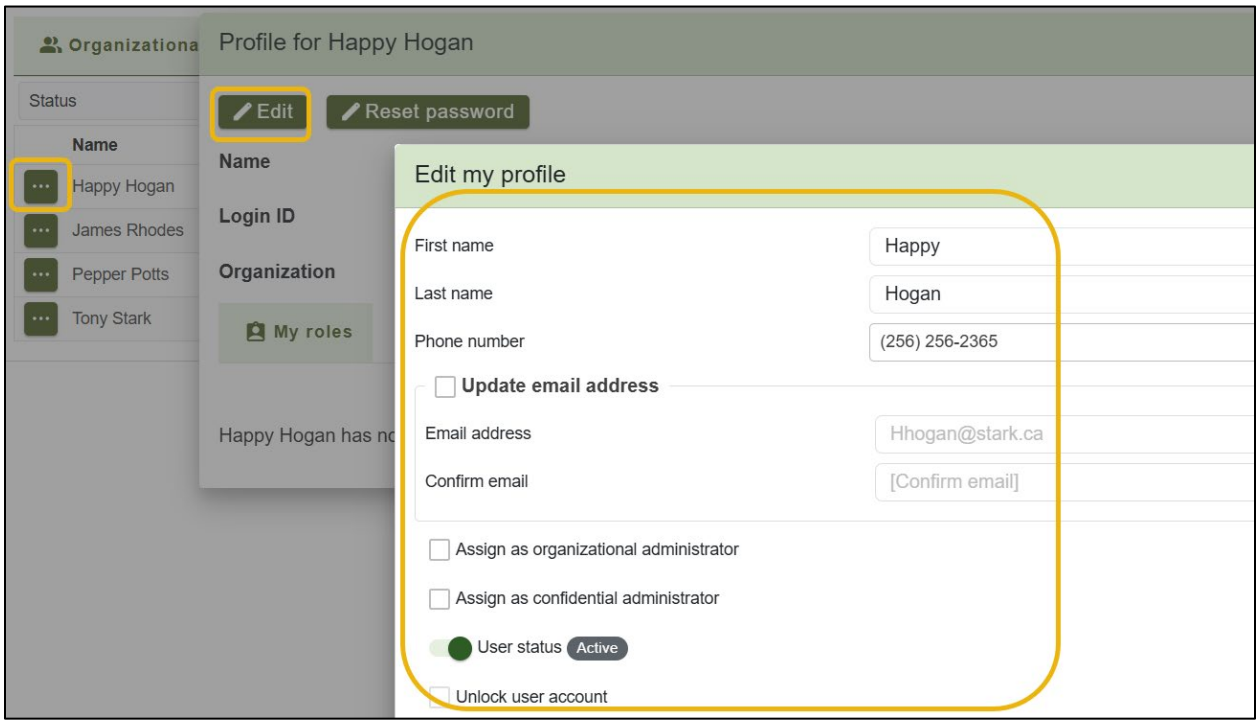
- First name (**required**)
- Last name (**required**)
- Phone number (**optional)**
- Login ID (**required**)
- Email address (**required**)
- Confirm email address (**required and must be the exact duplicate of the email address**)
- Check to assign organizational administrator status for the new user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

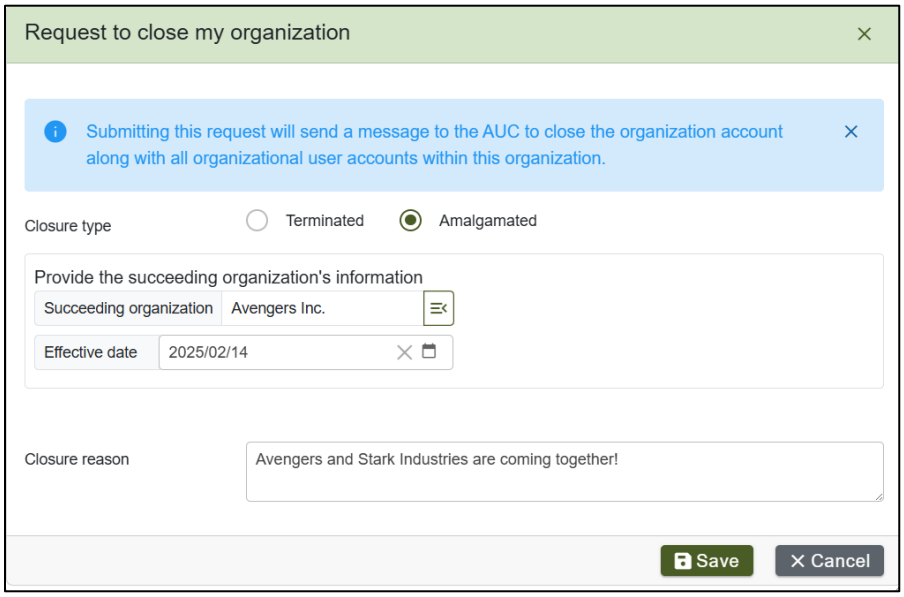
3.3 Close/amalgamate organization account

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.



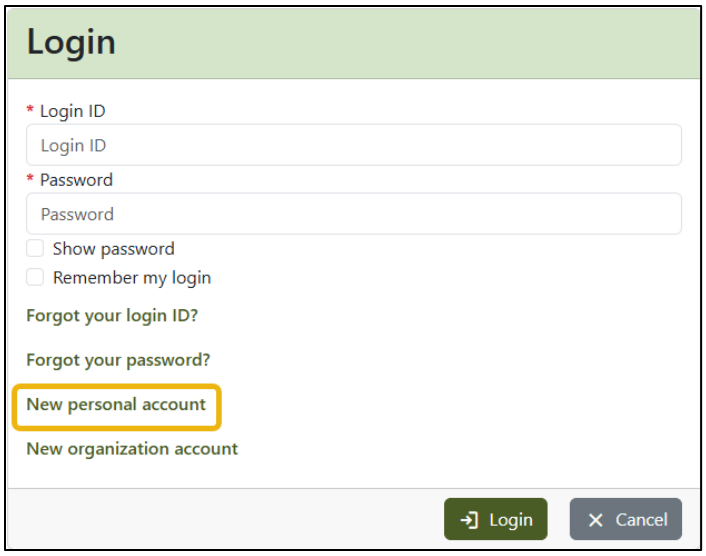
3.4 Single-user accounts

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*.

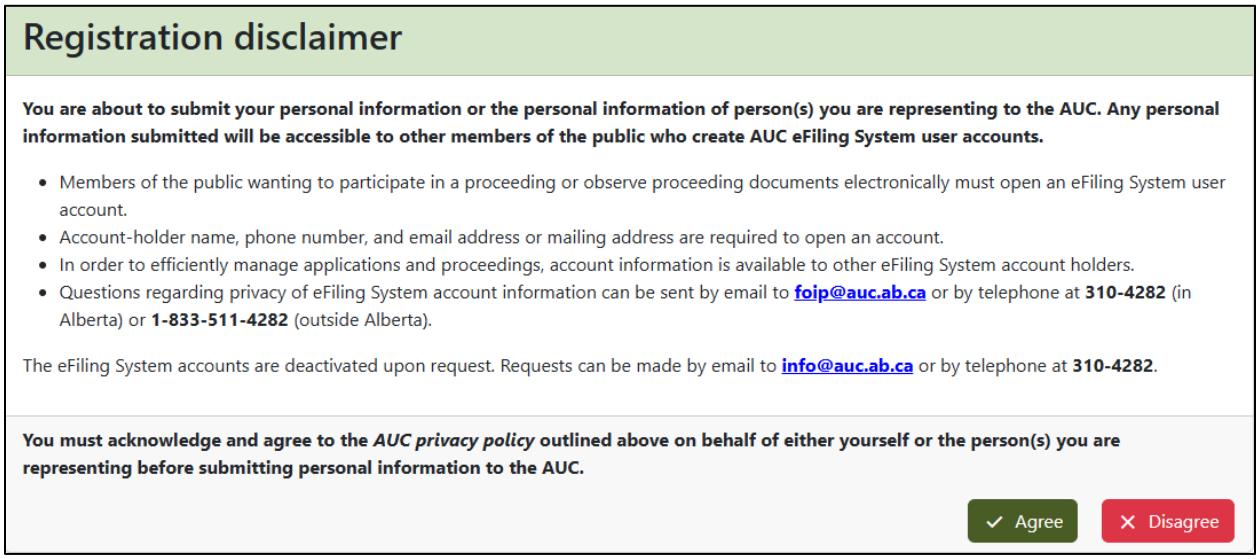
3.4.1 Create a single-user account

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



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.



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

Select *Register*.

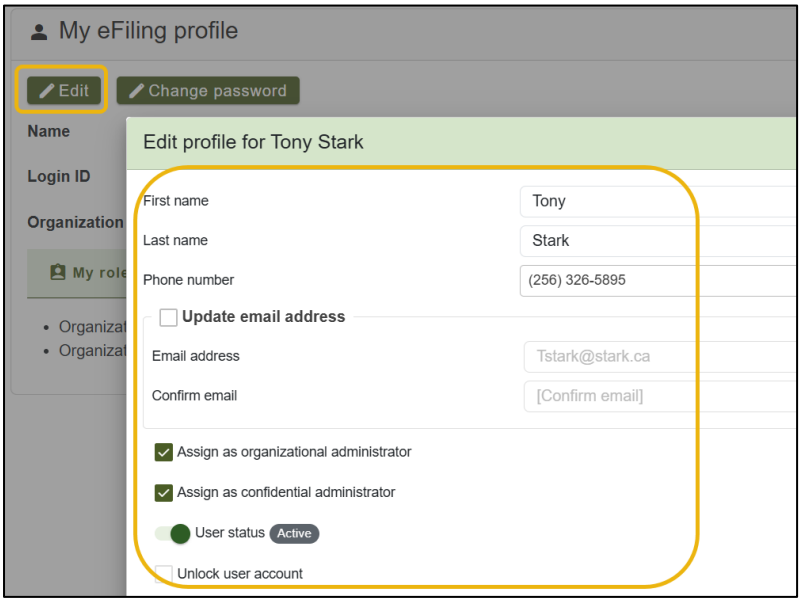
An email is sent to the email address entered in the form with a system generated password (change this password at any time in your user profile).

3.5 Manage your account

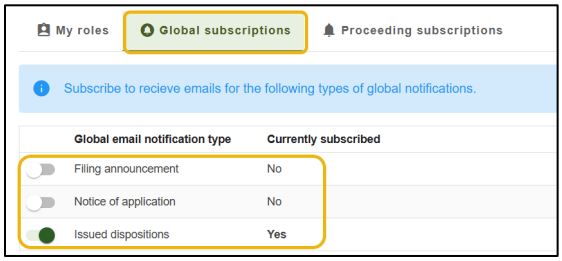
3.5.1 Change general account information

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.

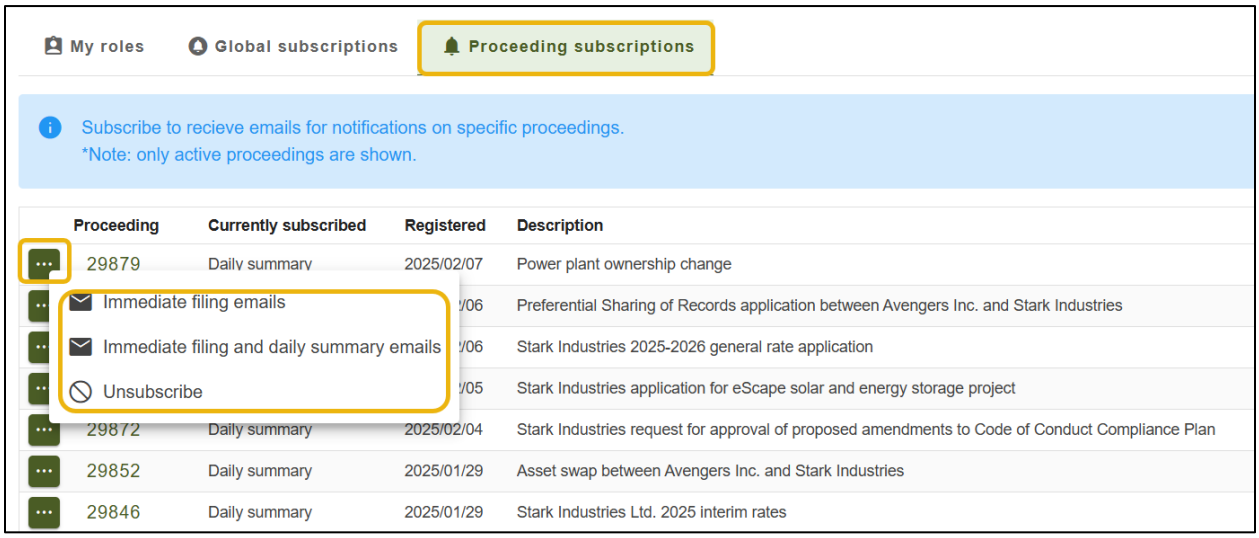
The login ID cannot be edited.



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.



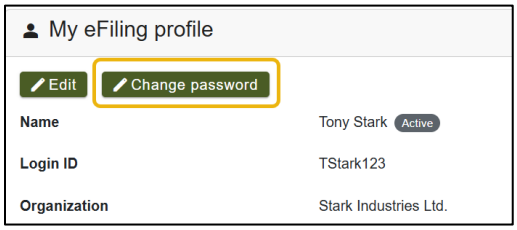
Select the *Proceeding subscription* tab to see a list of active proceedings. Use document actions […] located to the left of the proceeding number to subscribe or unsubscribe to receive emails for notifications generated for the proceedings you are subscribed to.



3.5.2 Change password

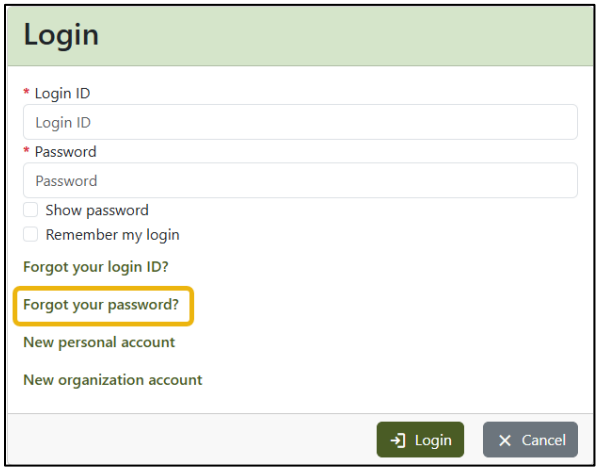
Log into the eFiling System. Select your name from the top right corner of any eFiling screen. From the drop-down menu select *My profile*. In the **My eFiling profile** screen select *Change password*.

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



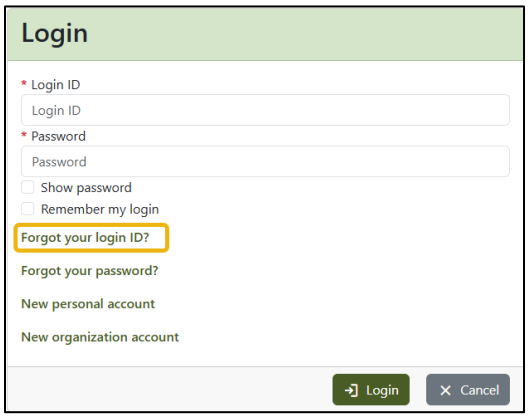
3.5.3 Forgot password

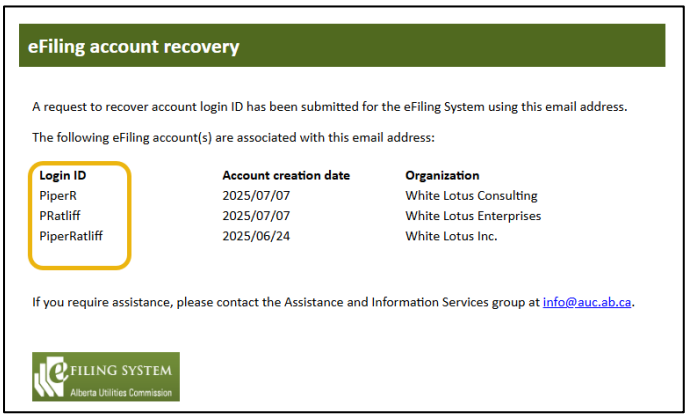
If you forget your password, from the arrival and login screen, click *Forgot your password*, enter your login ID and select *Request reset*. You will receive a system-generated email within three minutes with a link to reset your password.



3.5.4 Forgot Login ID

If you forget your login ID, from the arrival and login screen, click *Forgot your login ID*. Enter your email address associated with your eFiling account. Select *Recover account*. You will receive a system-generated email within three minutes listing all of the eFiling accounts and login IDs associated with the email address provided.



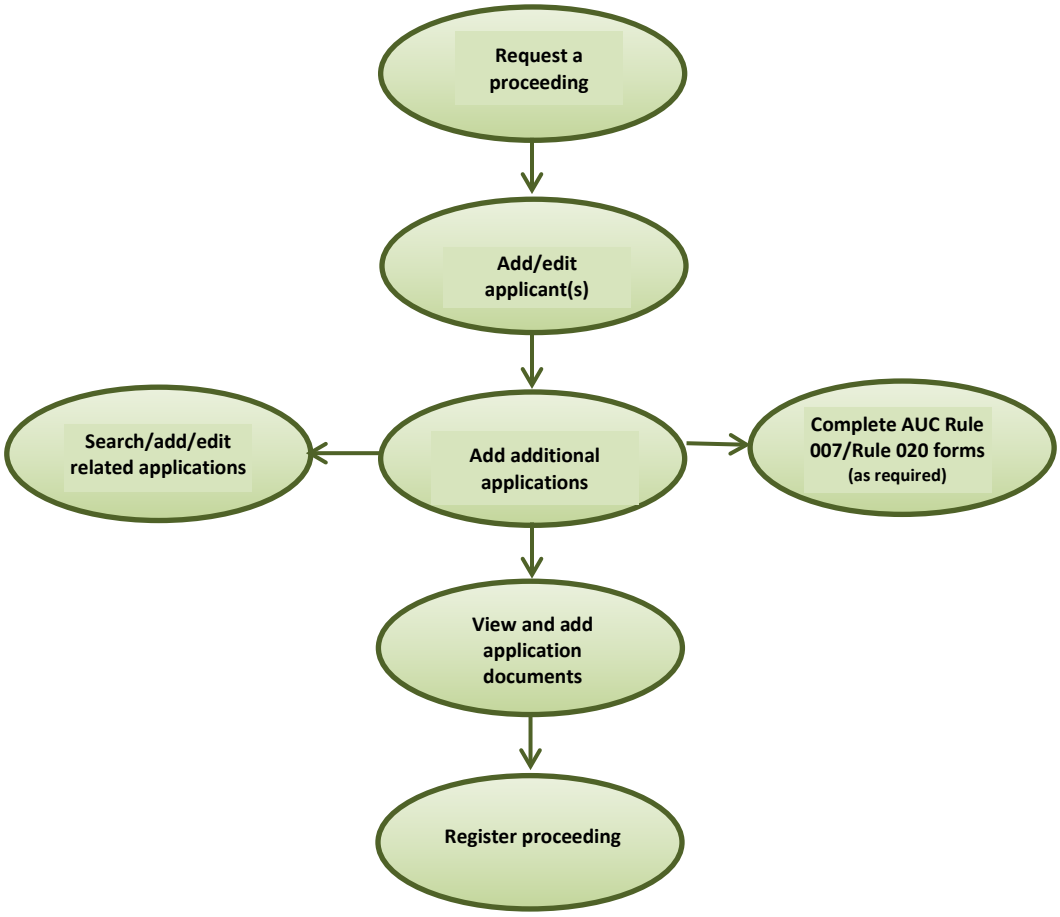


4 Proceedings

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

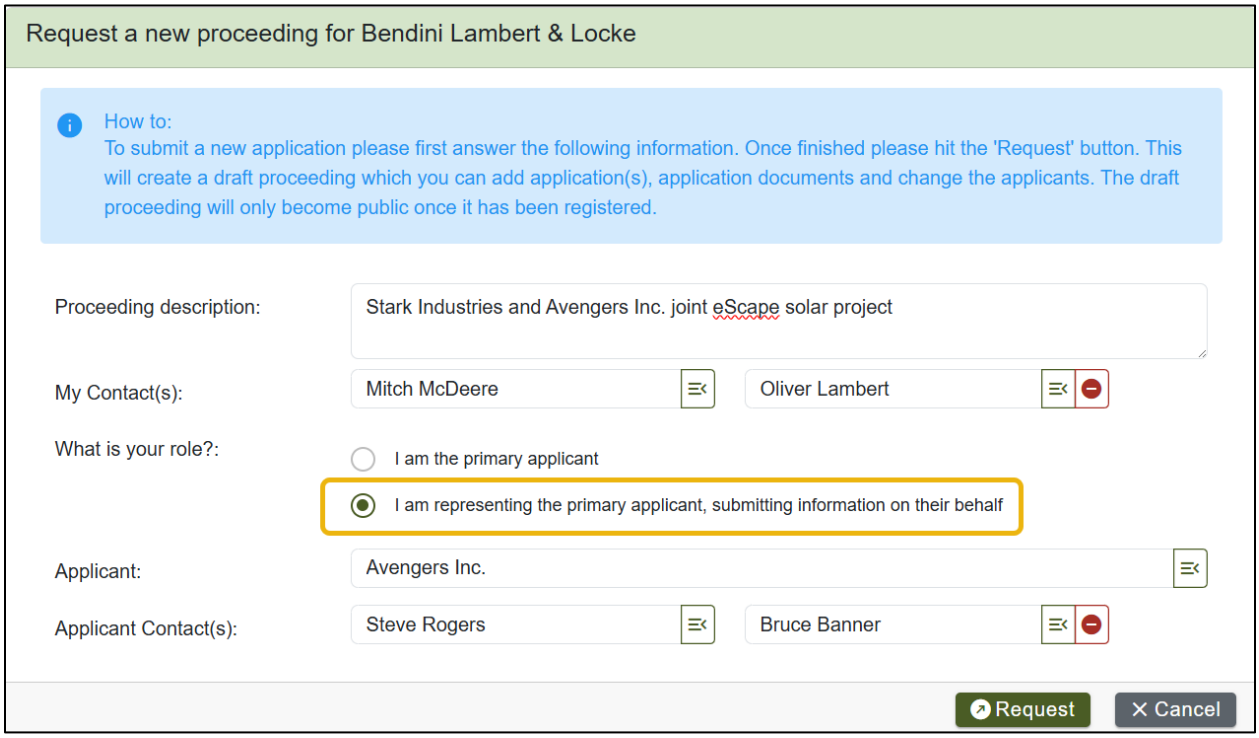
This is the overall flow to follow when creating a proceeding



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*.



> 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

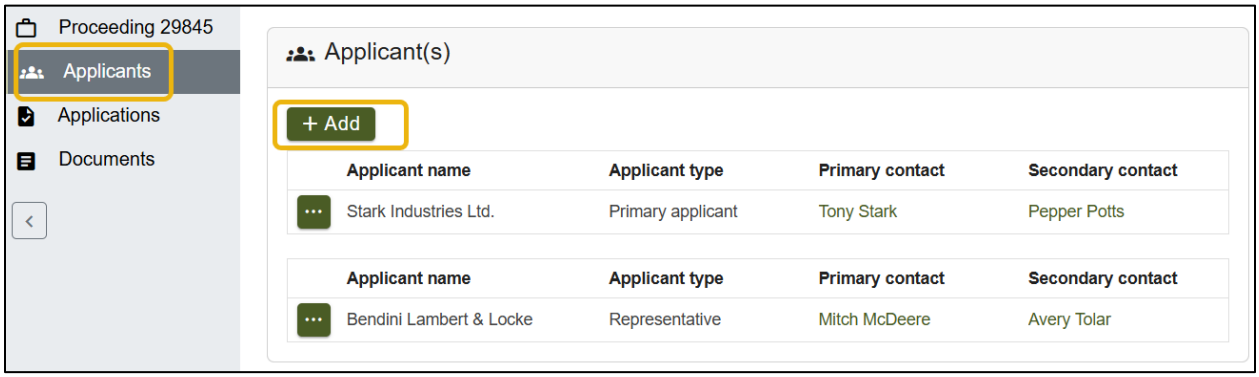
All proceeding applicants must have an active eFiling System user account. You may register in a proceeding as a primary applicant, a co-applicant or as an official representative of an applicant.

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.

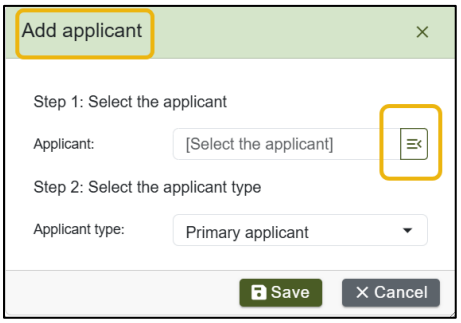
5.1 Add an applicant

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

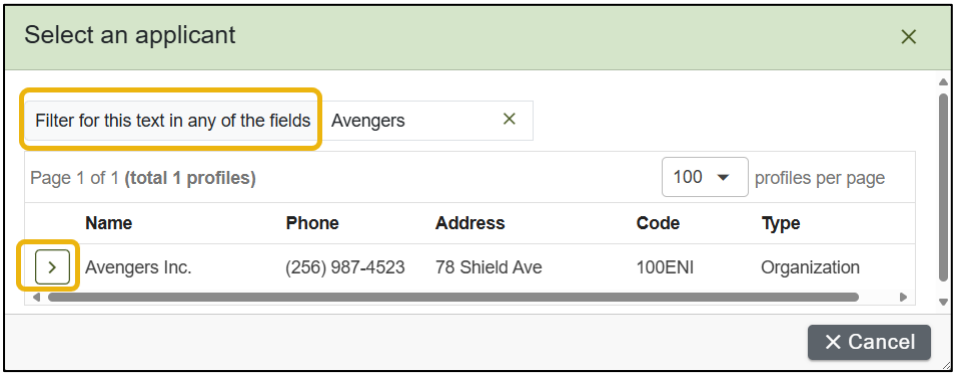


Step 1: Pick the applicant

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

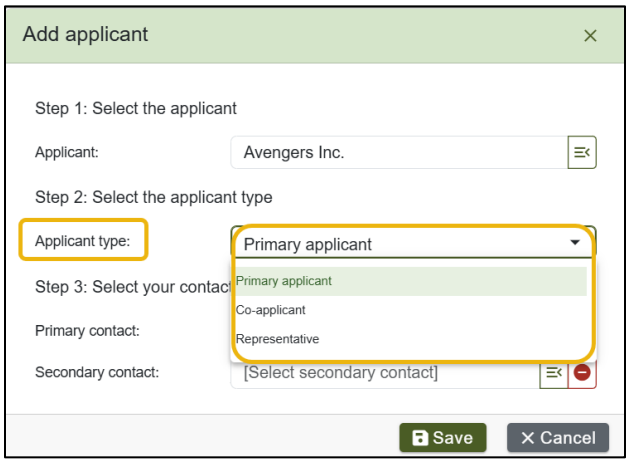


In the **Select an applicant** window, in the filter field, enter the name (or any letters in the name) of the applicant or organization and click to select that party.



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.

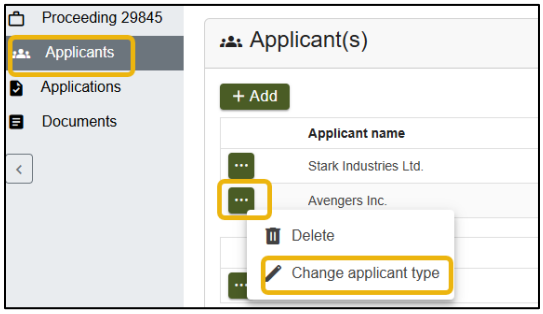
After a proceeding is registered in the eFiling System, only AUC staff assigned to the proceeding can change applicant information. This includes adding, changing or suspending the applicant and contact information. Any change to the applicant information affects only the selected application.

5.3 View applicants

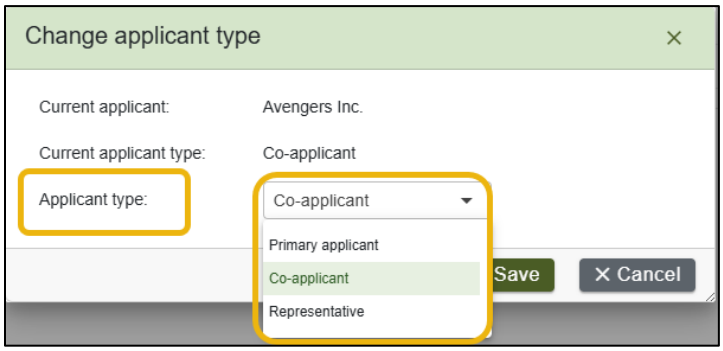
To view a list of all applicants and their type (primary, co-applicant, or representative), from the left navigation pane select the proceeding's **Applicants** screen.

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*.



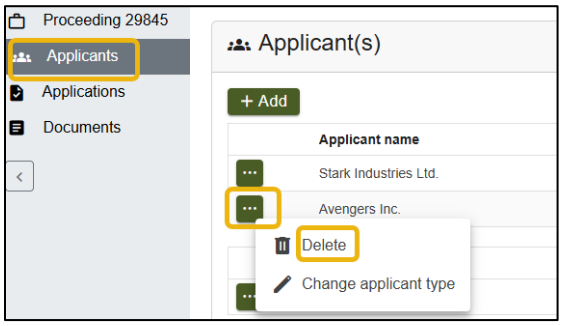
In the **Change applicant type** window, select the *Applicant type* field drop-down menu and select the desired type for the party. Select *Save*.



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*.



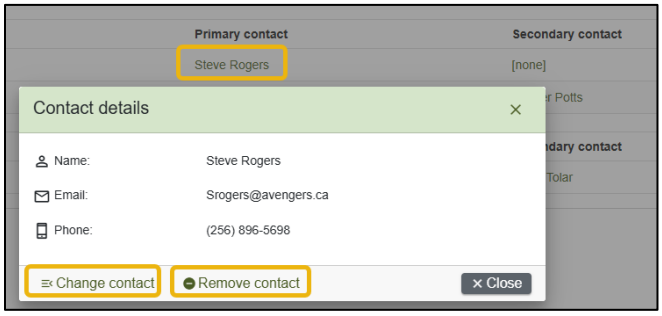
5.6 Change or delete applicant contact information

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 Rule 005: *Annual Reporting Requirements of Financial and Operational Results.*

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 *Code of Conduct Regulation*.
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 *Code of Conduct Regulation*.
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: *Compliance with the Code of Conduct Regulation*.
Change to a compliance plan - minor	Applications for a change to a compliance plan under Section 32 of *the Code of Conduct Regulation* 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 *Code of Conduct Regulation* that includes substantive changes.
Section 17 application	Application requesting the opinion of the Commission under Section 17 of the *Code of Conduct Regulation*.

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 intervener costs	Cost claims for facility application proceedings pursuant to Rule 009: *Rules on Local Intervener Costs.*
Market Surveillance Administrator costs	Cost claims by the Market Surveillance Administrator (MSA) pursuant to Rule 015: *Rules on Costs of Investigations, Hearings, or Other Proceedings Related to Contraventions*.
Need proceeding costs	Cost claims for needs identification document application proceedings pursuant to Rule 009: *Rules on Local Intervener Costs* or Rule 022: *Rules on Intervener Costs in Utility Rate Proceedings*.
Utility rate proceeding costs	Cost claims for rate application proceedings pursuant to Rule 022: *Rules on Intervener Costs in Utility Rate Proceedings*.
Energy price setting plan costs	Cost claims for energy price setting plan applications pursuant to Rule 022: *Rules on Intervener Costs in Utility Rate Proceedings*.

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 *Alberta Utilities Commission Act*.
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 *Alberta Utilities Commission Act*.
Electric utility tariff decision review - stage 1	Applications for review of a decision approving a tariff under the *Electric Utilities Act* 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 *Electric Utilities Act* 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 *Gas Utilities Act*.
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 *Gas Utilities Act*.
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 *Public Utilities Act* 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 *Public Utilities Act* 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 *Public Utilities Act* or Section 26(2)(a) of the *Gas Utilities Act*.

6.1.5.2 Property franchises

Type	Description
Disposition encumbrance merger	Applications requesting approval of matters under Section 101(2)(d) of the *Public Utilities Act* or Section 26(2)(d) of the *Gas Utilities Act*.

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: *Rules on Negotiated Settlements*.
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 *Distribution Tariff Regulation* 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: *Rules on Negotiated Settlements*.
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 *Gas Distribution Act*.
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: *Rules on Negotiated Settlements*.
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: *Rules on Negotiated Settlements*.
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 *Hydro & Electric Energy Act*.
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 *Micro-Generation Regulation* and Rule 024: *Rules Respecting Micro-Generation*.
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 *Micro-Generation Regulation*.
Other disputes	Applications submitted to make a decision about disputes not outlined within the *Micro-Generation Regulation*.

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 *Hydro and Electric Energy Act*.
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 *Hydro and Electric Energy Act*.
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 *Hydro and Electric Energy Act*.

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 *Hydro and Electric Energy Act*.
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 *Hydro and Electric Energy Act*.

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 *Alberta Utilities Commission Act*.
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 *Alberta Utilities Commission Act.*

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 *Gas Utilities Act* and the *Pipeline Act*.
Pipeline - installation amendment	Applications for amendments and additions of installations (i.e. compressors) on existing gas utility pipeline licences, under the *Gas Utilities Act* and the *Pipeline Act*.
Pipeline installation - new	Applications for new installations on new gas utility pipeline licences (i.e. compressors), under the *Gas Utilities Act* and the *Pipeline Act*.

Type	Description
Pipeline - new	Applications for new gas utility pipeline licence under the *Gas Utilities Act* and the *Pipeline Act*.
Pipeline - test medium	Applications for approval to test a pipeline using test medium other than fresh water, under sections 35 or 36 of the *Pipeline Rules*.
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 *Electric Utilities Act* 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 *Electric Utilities Act* and Rule 017: *Procedures and Process for Developing Independent System Operator Rules* 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 *Electric Utilities Act* and Rule 017: *Procedures and Process for Developing Independent System Operator Rules* 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 *Electric Utilities Act*, and Section 12 of Rule 017: *Procedures and Process Development of ISO Rules and Filing of ISO Rules with the Alberta Utilities Commission* for an administrative amendment to an ISO rule.
Independent system operator rule complaint	Pursuant to Section 25 of the *Electric Utilities Act*, 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 *Electric Utilities Act* and Rule 017: *Procedures and Process for Developing Independent System Operator Rules* 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 *Electric Utilities Act* and Rule 017: *Procedures and Process for Developing Independent System Operator Rules* 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 *Electric Utilities Act* and Rule 017: *Procedures and Process for Developing Independent System Operator Rules* for new independent system operator rules.
Standard independent system operator rule removal	Filings pursuant to Section 20.2 of the *Electric Utilities Act* and Rule 017: *Procedures and Process for Developing Independent System Operator Rules* 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 *Electric Utilities Act*.

6.1.12.4 Market Surveillance Administrator

Type	Description
Administrative notice	A notice filed by the MSA pursuant to Section 51 of the *Alberta Utilities Commission Act* requesting a hearing or proceeding respecting a contravention.
MSA complaint	Written complaints pursuant to Section 58 of the *Alberta Utilities Commission Act* about the conduct of the MSA.
Specified penalty notice	A notice filed by the MSA pursuant to Section 52 of the *Alberta Utilities Commission Act* 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 *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.

6.1.13 Records sharing

Type	Description
Preferential sharing of records	Preferential sharing of records applications pursuant to Section 3 of the *Fair, Efficient and Open Competition Regulation*.

6.1.13.1 Reliability standards

Type	Description
Amendments for approval	Filings pursuant to Section 19(4) of the *Transmission Regulation* 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 *Transmission Regulation* 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 *Transmission Regulation* 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 *Transmission Regulation* 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 *Transmission Regulation* 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 *Transmission Regulation* 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 *Transmission Regulation* 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 *Transmission Regulation* 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 *Transmission Regulation* 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 *Municipal Government Act*, *Distribution Tariff Regulation*, *Gas Distribution Act* or *Natural Gas Billing Regulation*. 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: *Rules on Negotiated Settlements*.
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: *Rules on Negotiated Settlements*.
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 *Public Utilities Act* or Section 27 of the *Gas Utilities Act*.

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 *Municipal Government Act*.

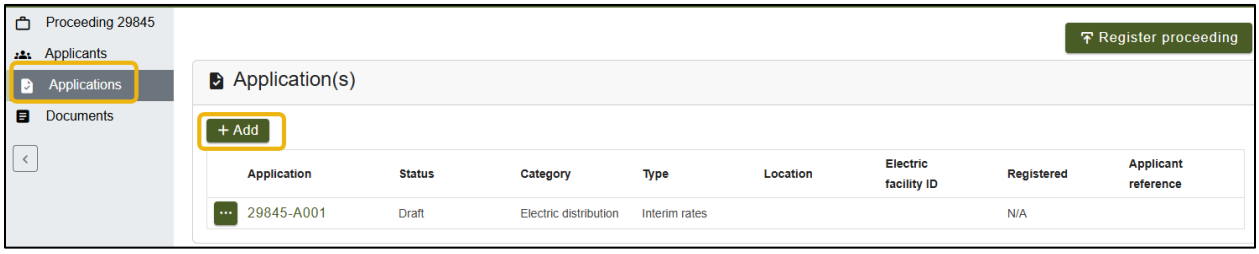
6.1.16.2 Water

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: *Rate Application Process for Water Utilities*.
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: *Rate Application Process for Water Utilities*.

6.2 Add an application

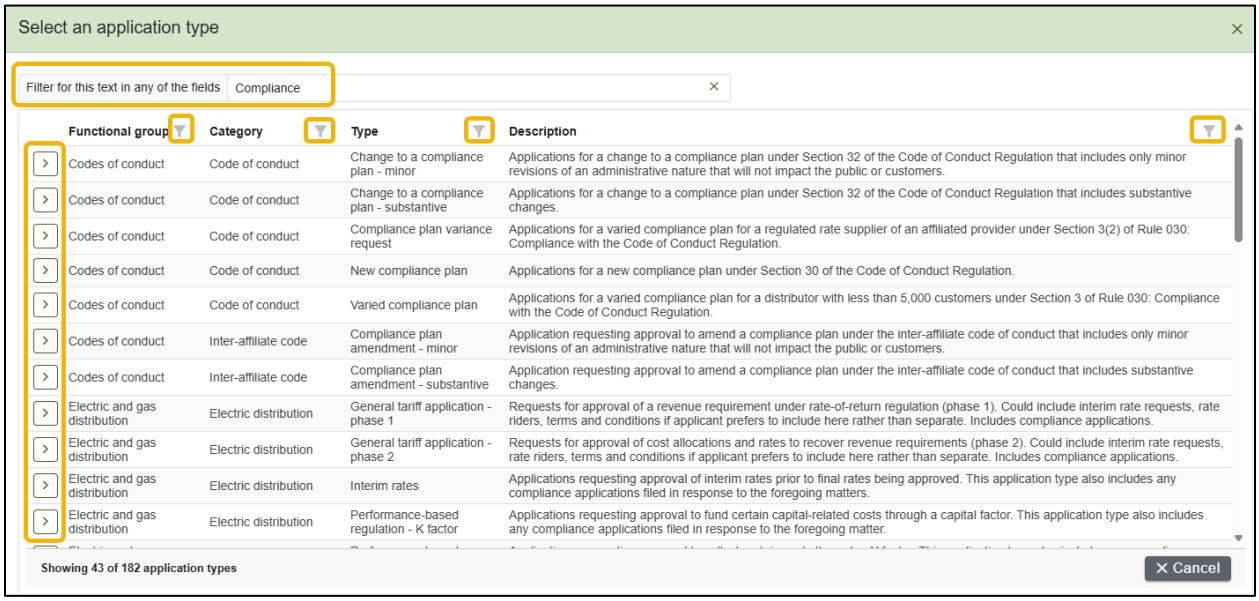
To add an application to a proceeding, select **Applications** in the left navigation menu and click **Add** on the **Application(s)** screen. The **Select an application type** window will launch.



6.2.1 Choose the application type

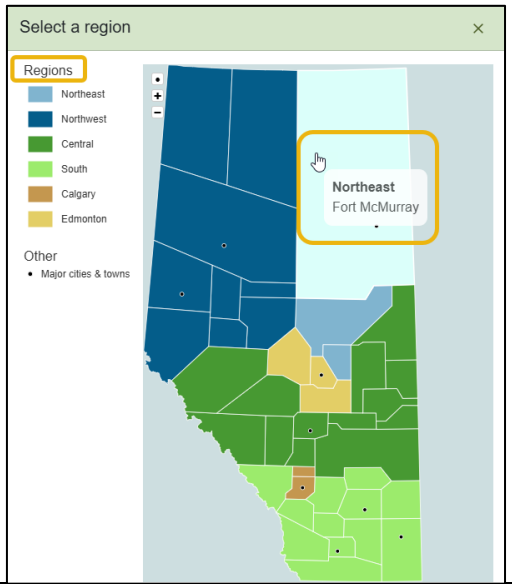
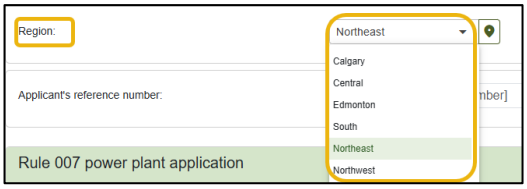
In the **Select an application type** window use the left most arrow to select the desired application type and open the associated application form.

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

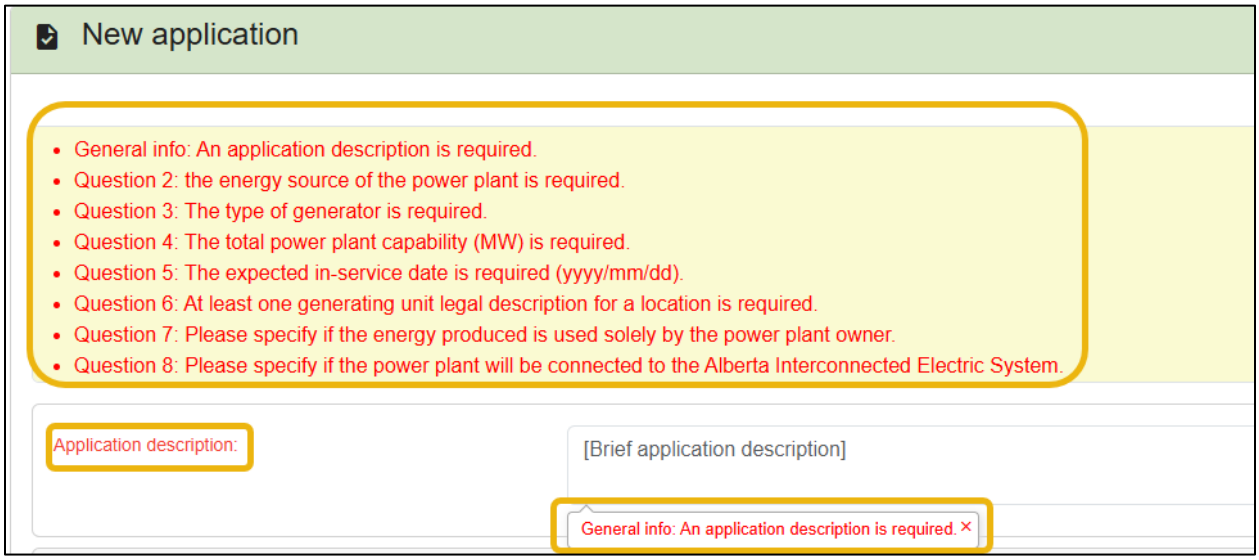
Complete the application form that is system generated for the selected application type.

Field	Description
Application description (**required**)	Enter a description of what the application is for. An example is: "*Transmission line 7L123 upgrade project to provide service to an industrial complex – Application A or Interim TFO Tariff for May 2014.*" (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 **Select a legislation** window. Select the legislation that you are applying under. This will be used in the filing announcement. Select *View* to be redirected to the King's Printer to view the legislation. Repeat to add additional legislation references.
Applicable rule(s)	Select [+] to open the **Select an AUC rule** window. Select the AUC rule that you are applying under. This will be used in the filing announcement. Select *View* to be redirected to the AUC website to view the legislation. Repeat to add additional rules.
Applicable regions(s)	Select [+] to open the **Select a region** 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. Once a region is selected, a drop-down menu in the application form becomes available to change the selected region if needed. 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.



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.

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.

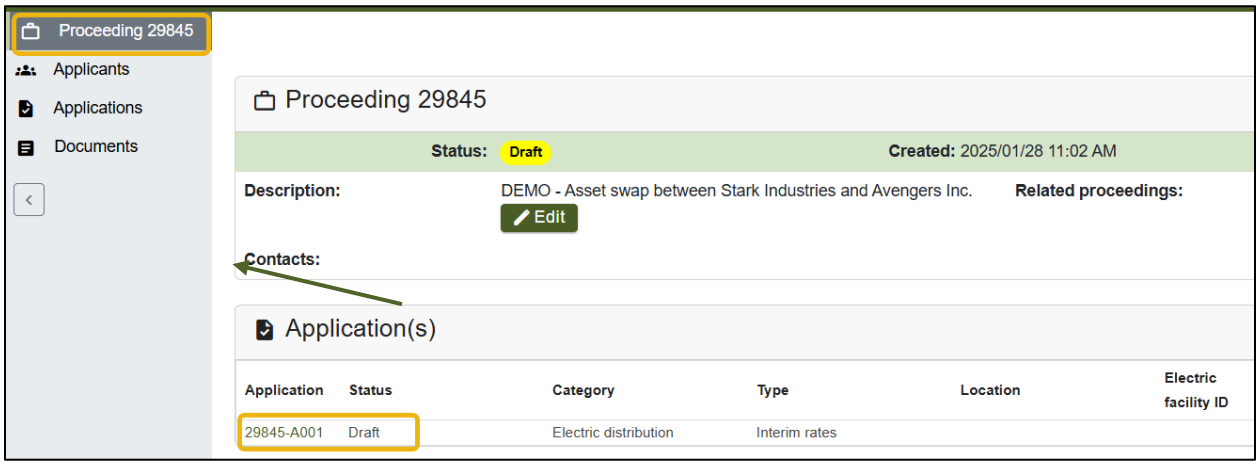
Before an application is registered, only the proceeding applicants and their representatives can view and update proceeding and application information.

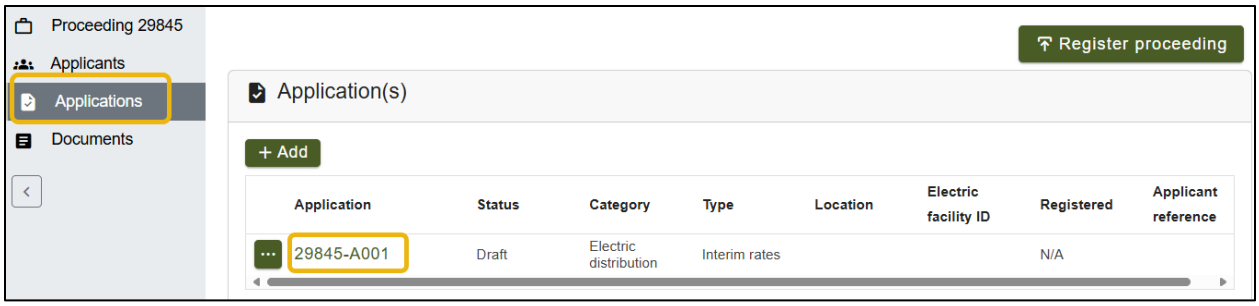
Once an application is registered as part of a proceeding:

- 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.

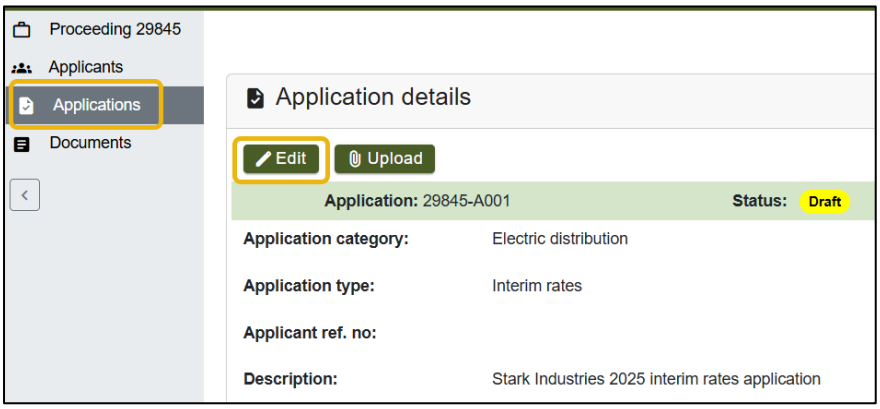
Applications can be accessed on the **Proceeding home** or the **Applications** screens.





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

Select *Edit*.

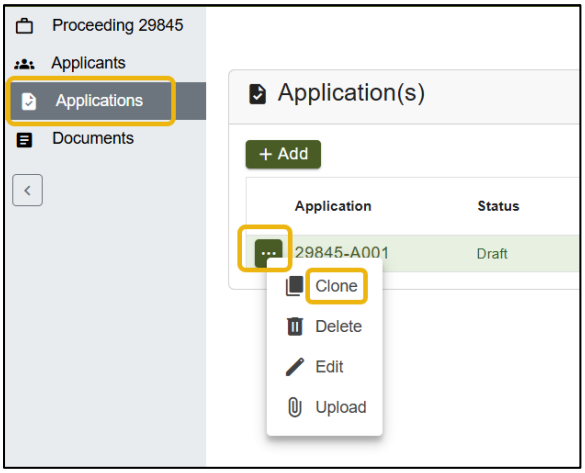


Make changes and click *Save*.

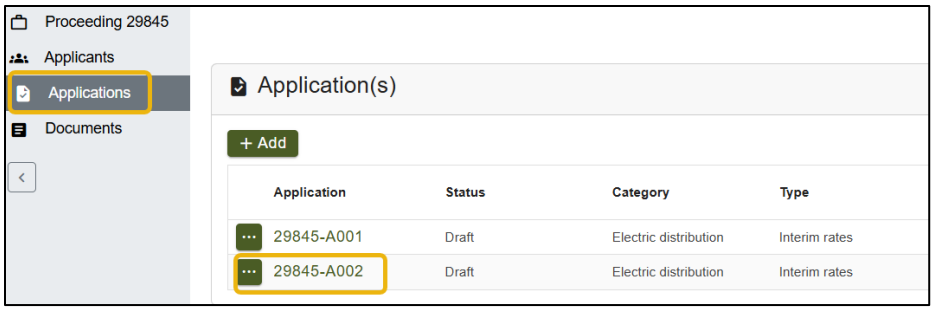
6.4 Clone an application

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.



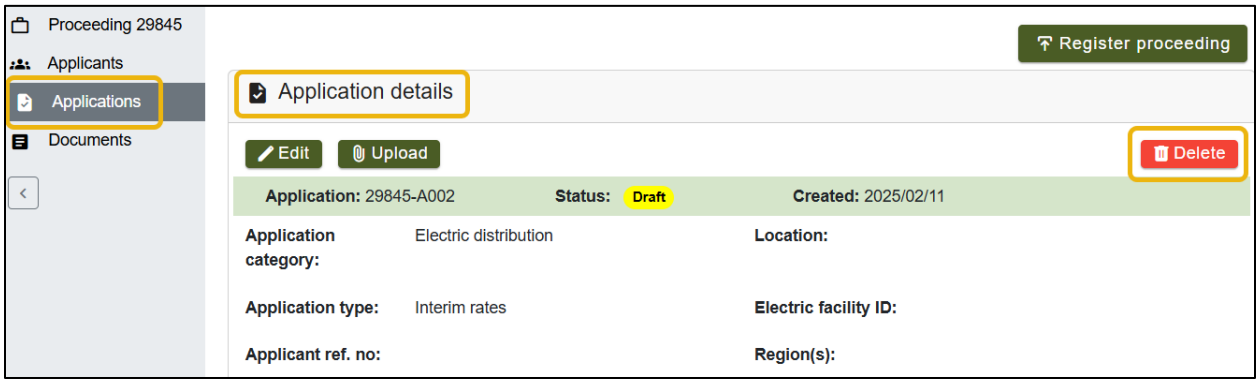
6.5 Delete an application

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.

* 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 *Micro-generation Regulation*, 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.

Document type	Description
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 *Municipal Government Act* 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. Upon registration, mailing lists are only available to AUC internal users and will not be available on public or confidential records.
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.

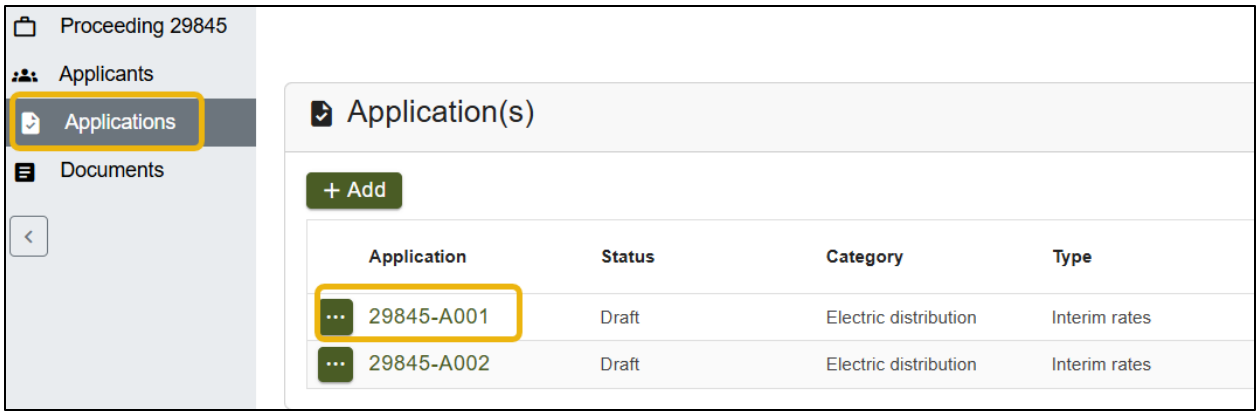
Document type	Description
Diagram	A figure usually consisting of a line drawing that outlines and explains the parts or operations of a facility. Examples include electric single line diagrams, interconnection point diagrams or process flow diagrams.
Drawing	A graphical representation in the form of 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

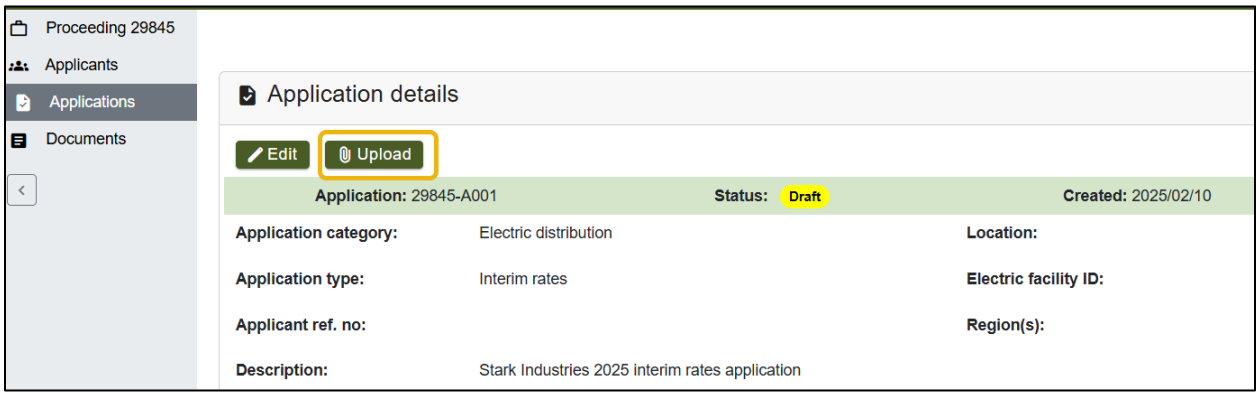
Document type	Description
Digital spatial data	A digital representation of pipeline location data (as start and end points) in a GIS ESRI-based shapefile format. This shapefile vector storage format will contain the shape and attributes of geographic features stored as files (i.e. .shp, .shx, .dbf, and .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: *Noise Control*.
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.

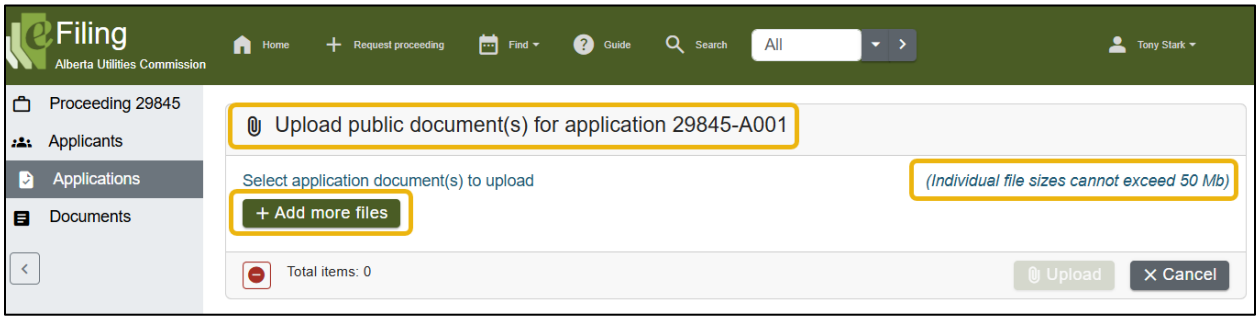


On the **Application details** screen select *Upload*. This button is only shown if you are the applicant, co-applicant or representative with permission to add documents to the proceeding.

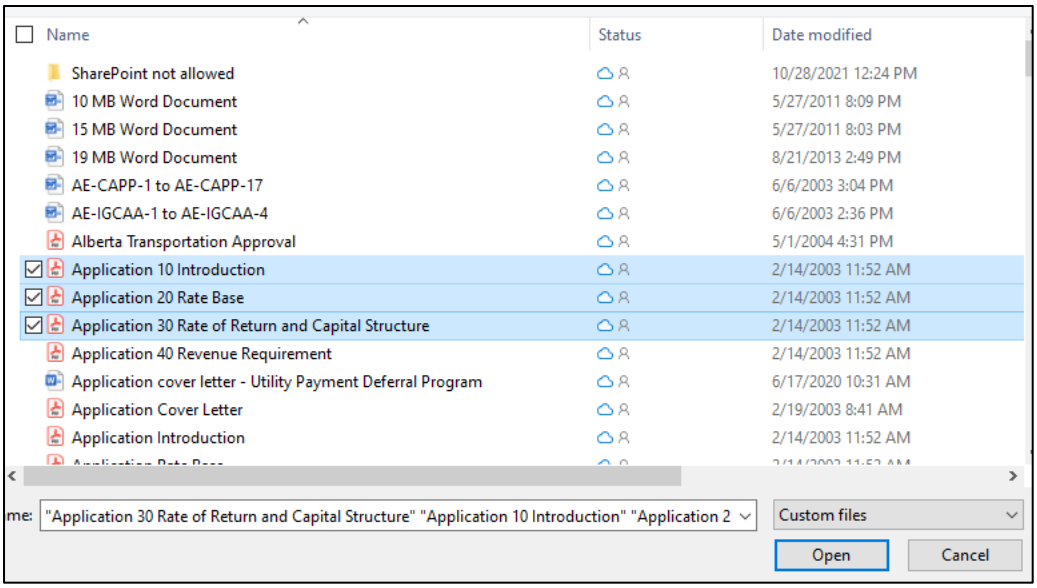


When uploading public files, the user is prompted to acknowledge and agree to the AUC privacy policy.

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 multplie 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.

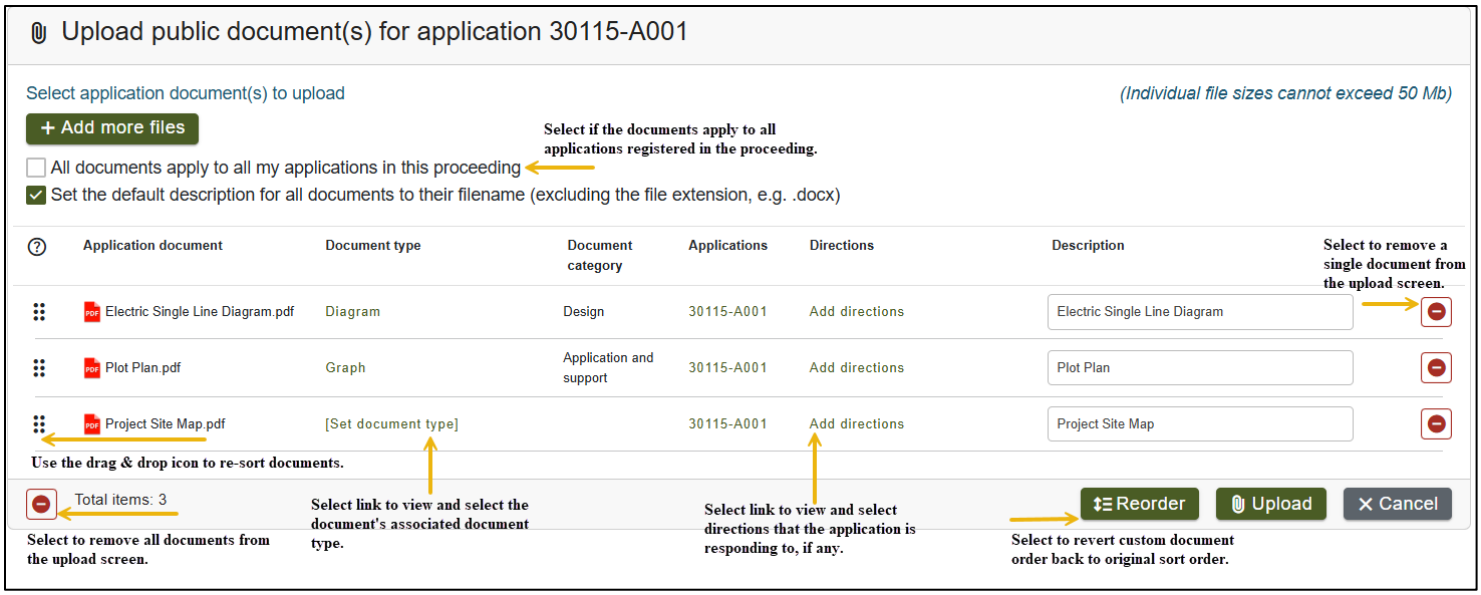
Select the optional checkbox to default the filename as the document description or enter a description of your choice.

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.

By deafult, documents are sorted alphanumerically in the uploader screen. Users can use the drag and drop icon to the left of any document to re-sort documents in their preferred order. Exhibit numbers are applied sequentially based on the sort order.

Select *Upload*.



7.3 View and edit application documents

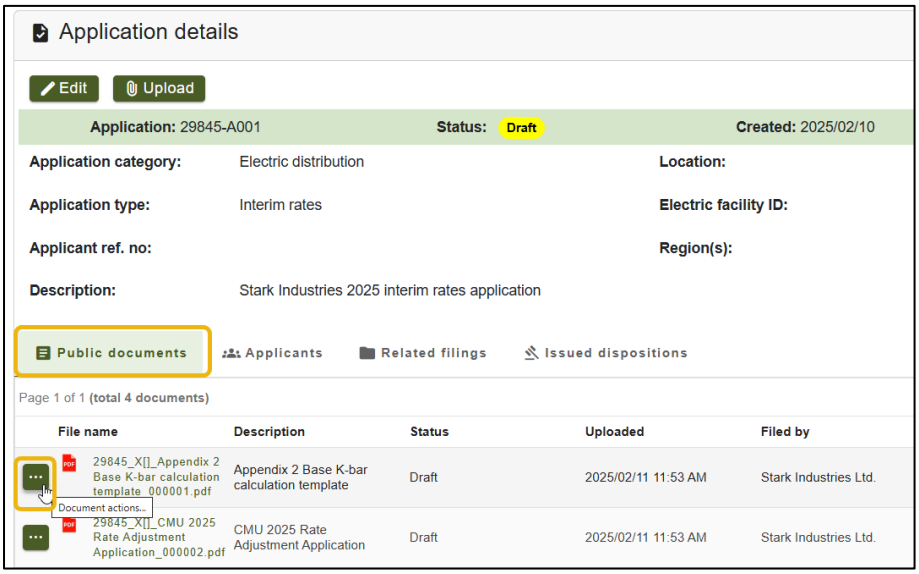
Prior to registration, as an applicant you can add additional documents, delete a document, change the application that a document is associated to and, change the document type and description.

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

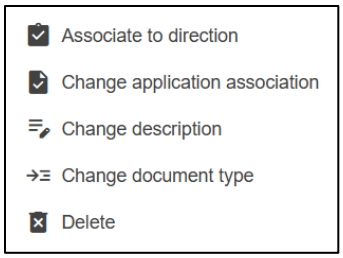
Select the application to make document changes to.

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

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

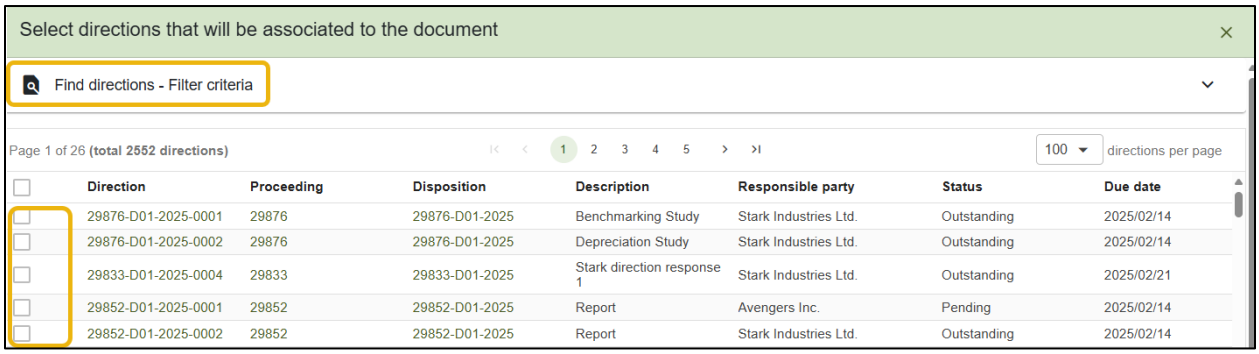


Select an action from the document's action menu.



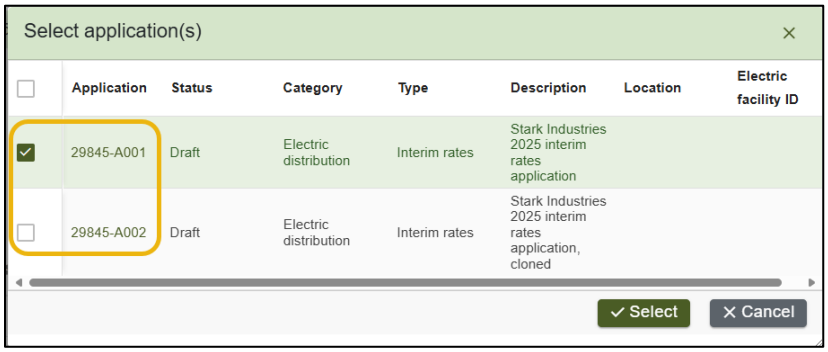
7.3.1 Associate to direction

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.



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*.

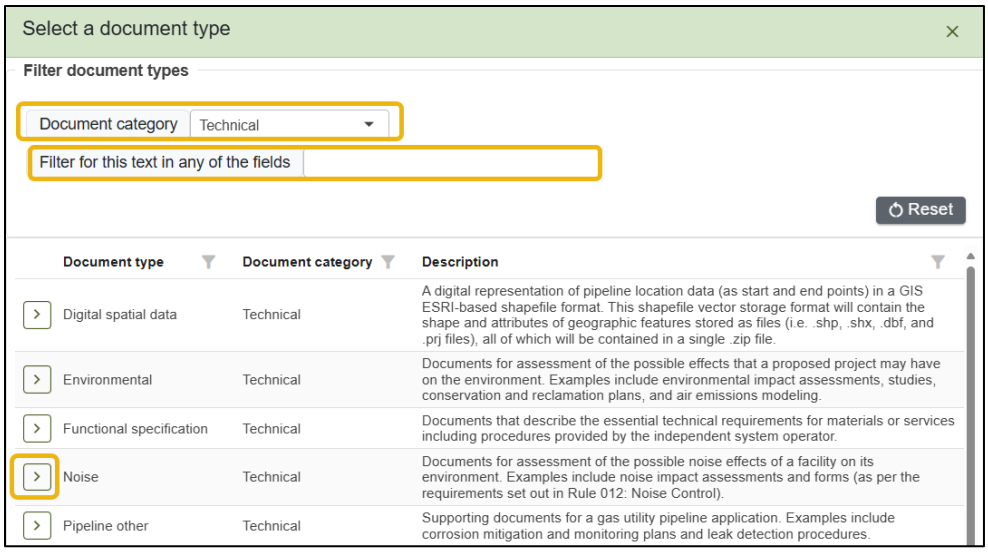


7.3.3 Change description

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

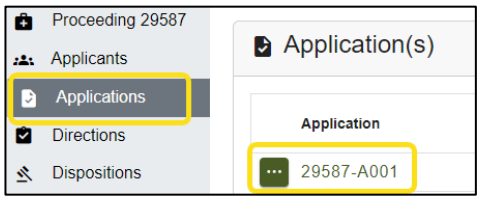
Select *Change document type* from the document actions menu to associate the document to a different application document type. In the **Select a document type** window, filter by document category or keyword to filter the list. Use the left most arrow to select the document type to associate to the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



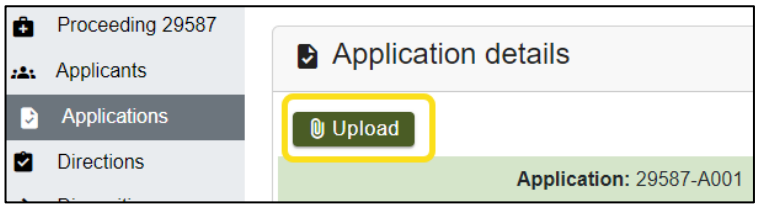
7.4 Add or remove documents

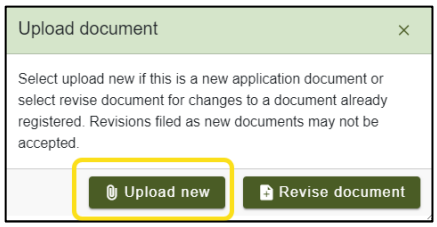
After a proceeding is registered an applicant, co-applicant or representative can upload new documents and attach them to an application.

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*.

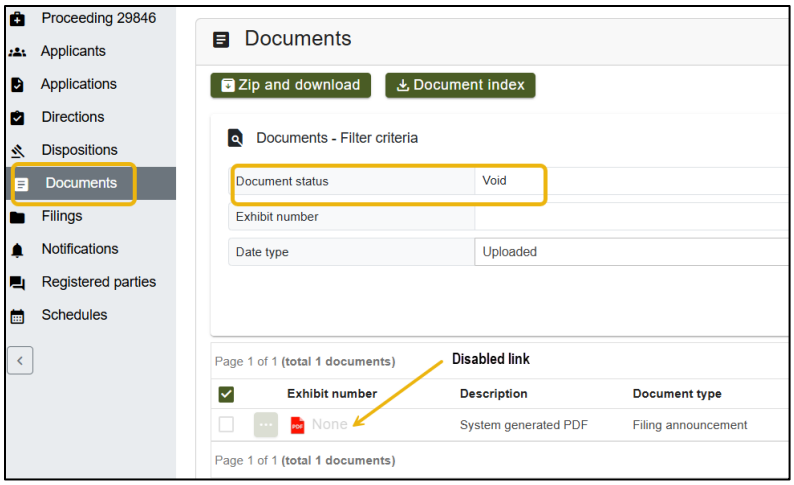




Click *+ Add more files* to browse and select wanted application documents. Select the optional checkbox to default the filename as the document description. Click *Set document type* for each document to view and select the associated document type. Click Upload (documents are immediately registered).

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.

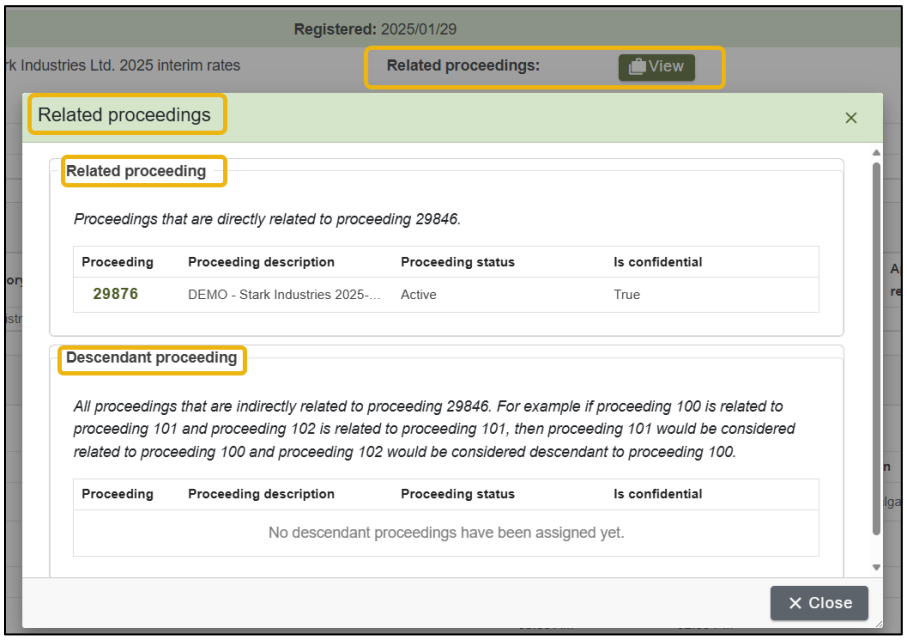
When documents are voided or withdrawn by the AUC, the information about the document is still visible by using the document status filter but the link to open the document is disabled.



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:

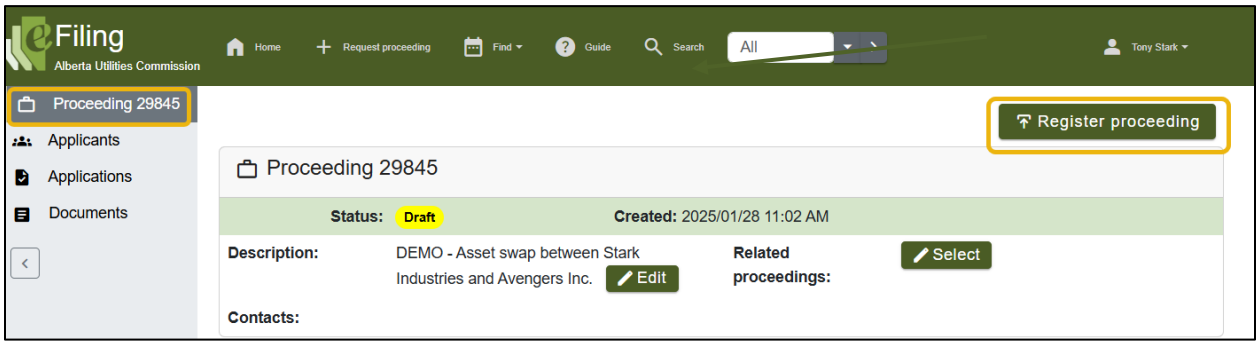
- proceeding and application description
- primary applicant name
- primary contact
- application description
- application category and type
- Rule 007/Rule 020 forms (if required)

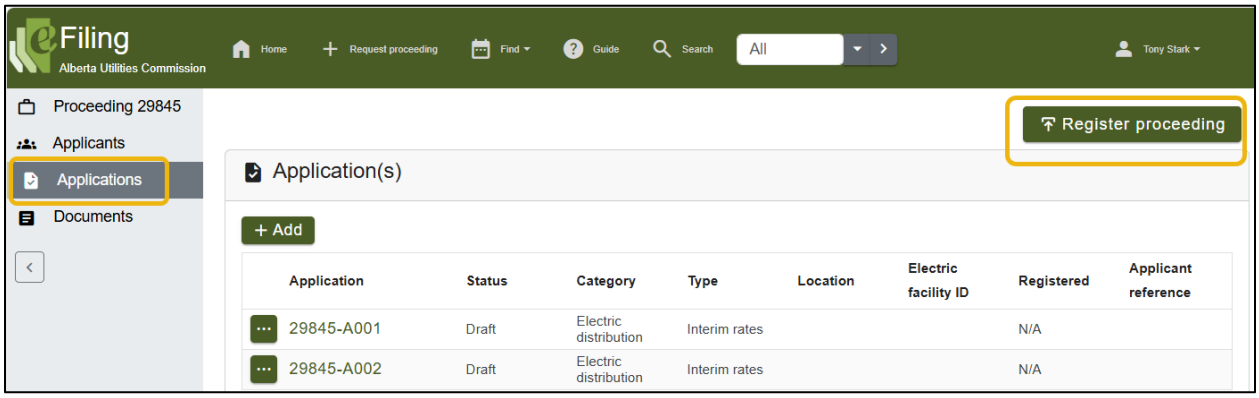
The proceeding number is generated when the proceeding is first requested. All applications for multi-application proceedings are registered at the same time.

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.

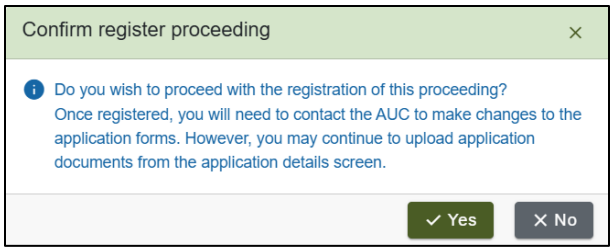
9.1 To register a proceeding

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



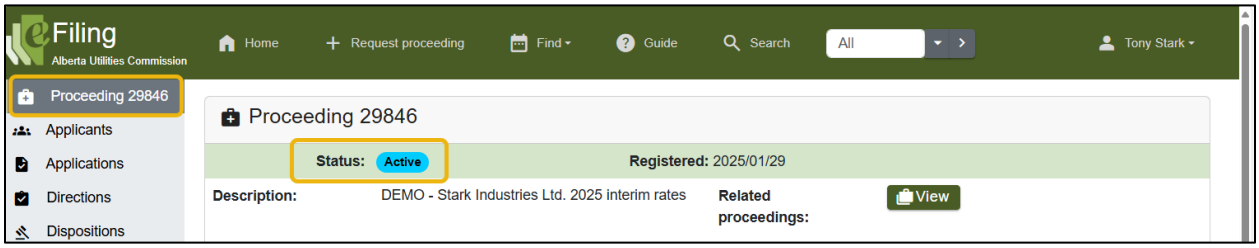


You are prompted to confirm the registration.

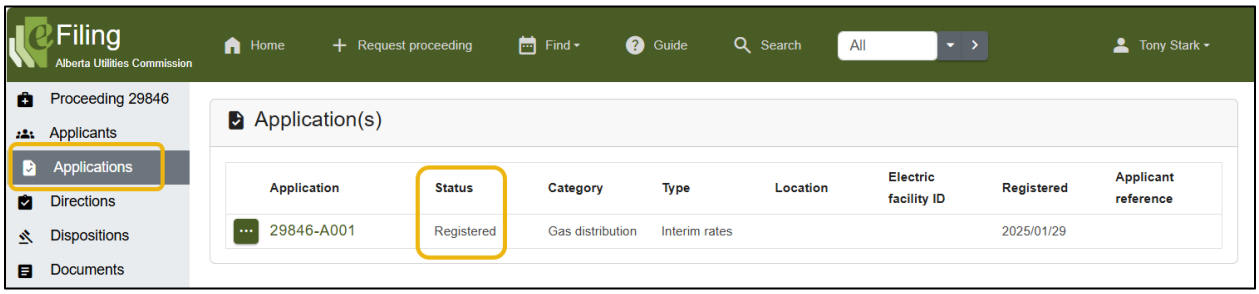


When a proceeding is registered:

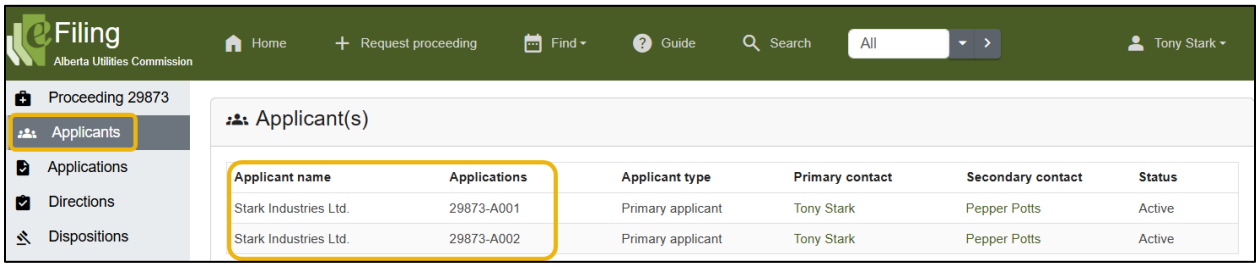
- The proceeding status is set to *Active*.



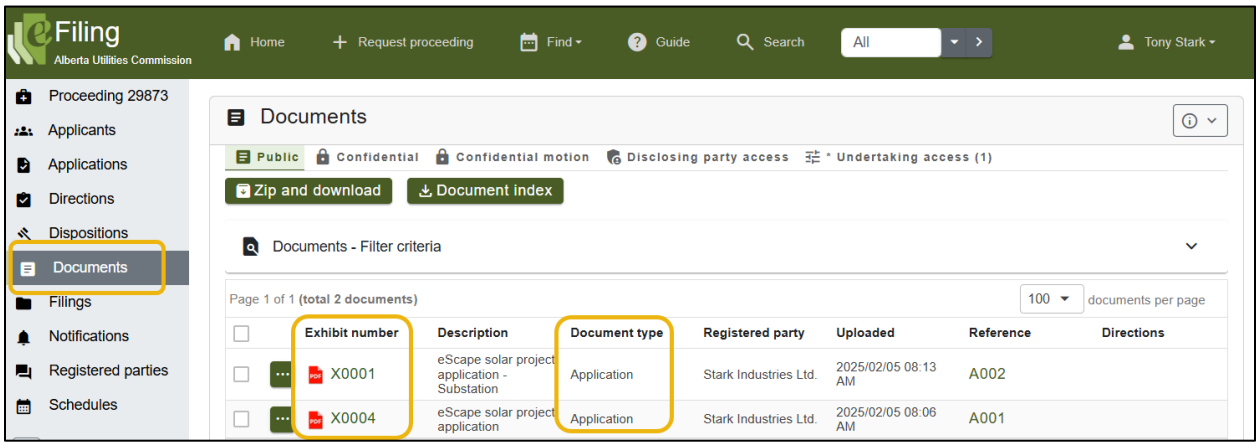
- The application status changes from *Draft* to *Registered*.



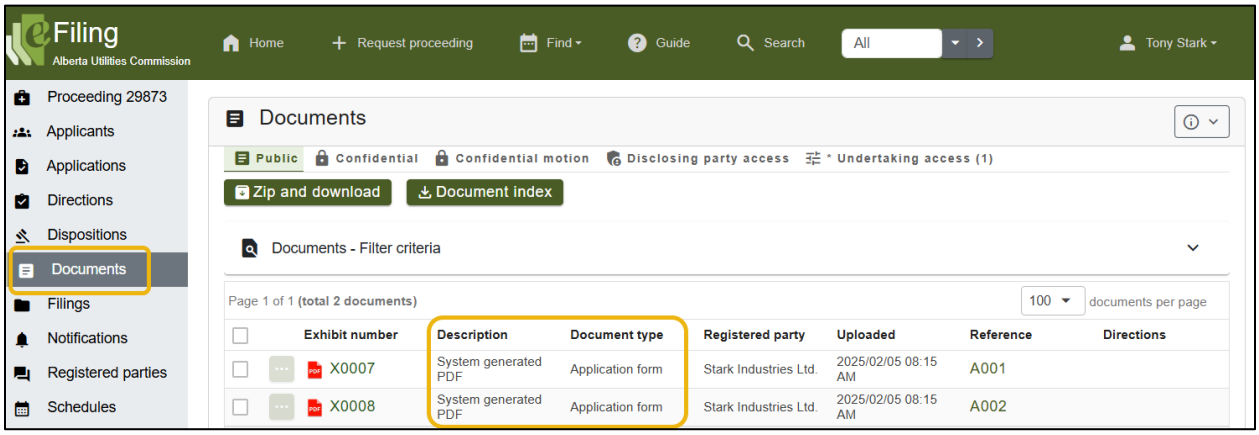
- Applicants are assigned to each application in the proceeding,



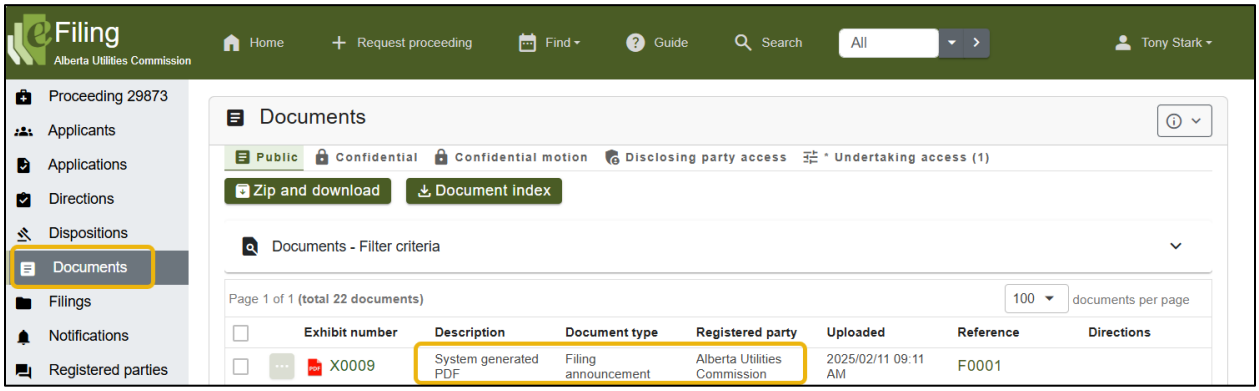
- Exhibit numbers are assigned to the application documents.



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



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



AUC
Alberta Utilities Commission

Filing announcement

Proceeding 29873

A proceeding has been registered with the Alberta Utilities Commission. The proceeding is described by the applicant as DEMO - Stark Industries application for eScape solar and energy storage project

The proceeding contains the following application(s):

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, intervener, or group.
- **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.
- **Group** - 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 public filings on the group's behalf. Group members and their representatives are prevented from accessing or registering confidential material. Should members, or their representatives, wish to seek confidential treatment for their own records or require access to confidential records, they must register as a single *Intervener*. The system accommodates individuals who are registered both as group members and interveners.

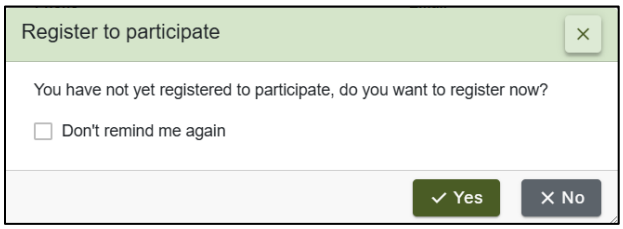
Other types of registered parties include:

- **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).

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).

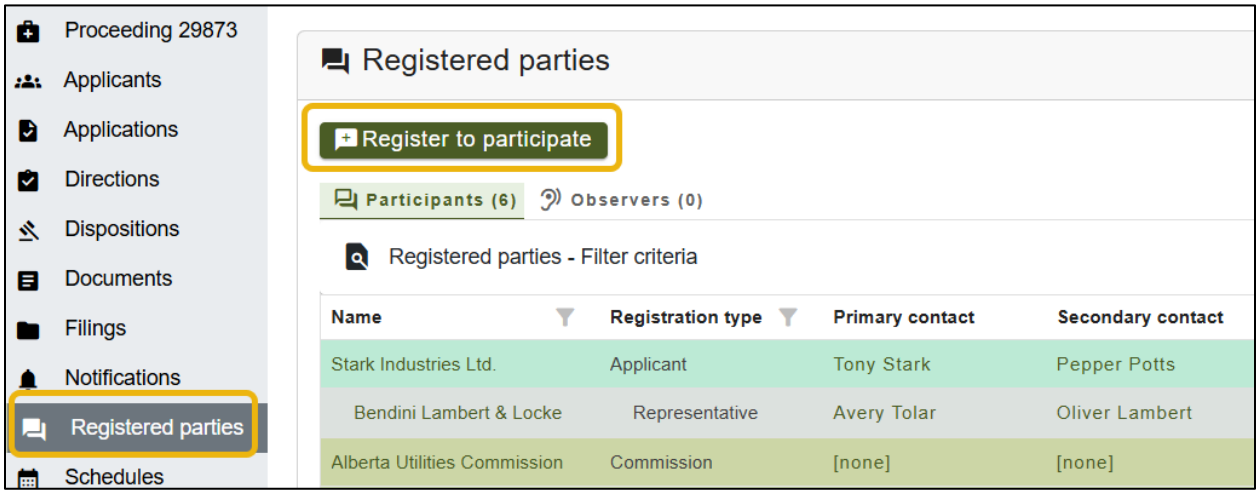
Registration to participate on a proceeding opens when the proceeding is registered.

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.



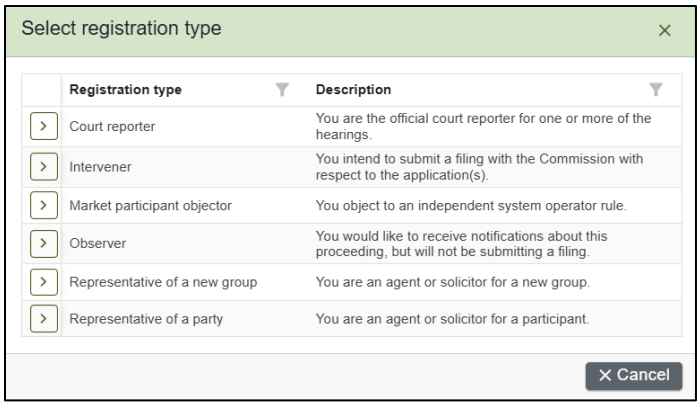
10.1 To participate in a proceeding

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.



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.



Step 2: Contacts

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

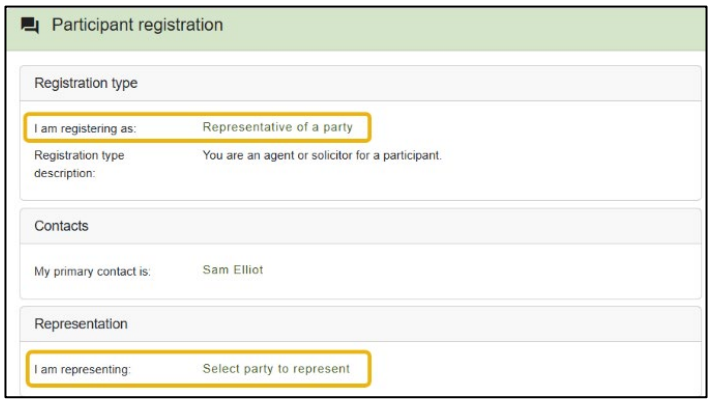
Step 3: Representation

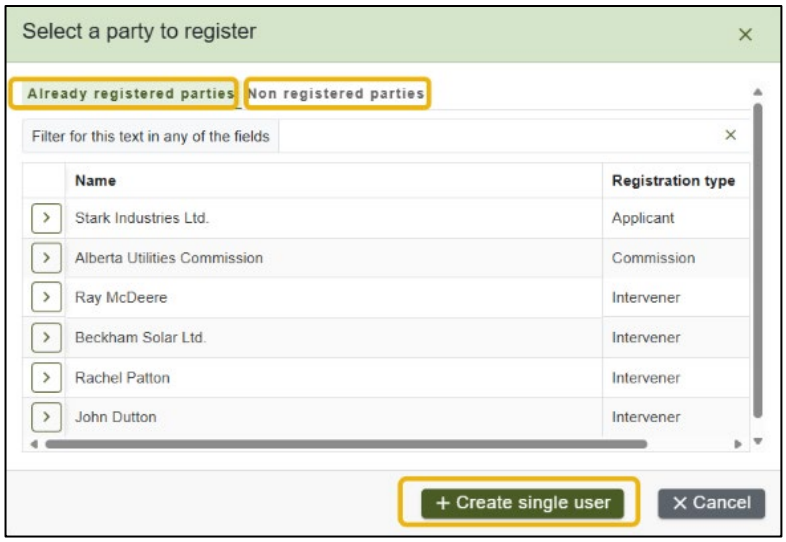
Depending on the registration type you selected you may have to complete a step about representation of another party.

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).





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.

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.

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.

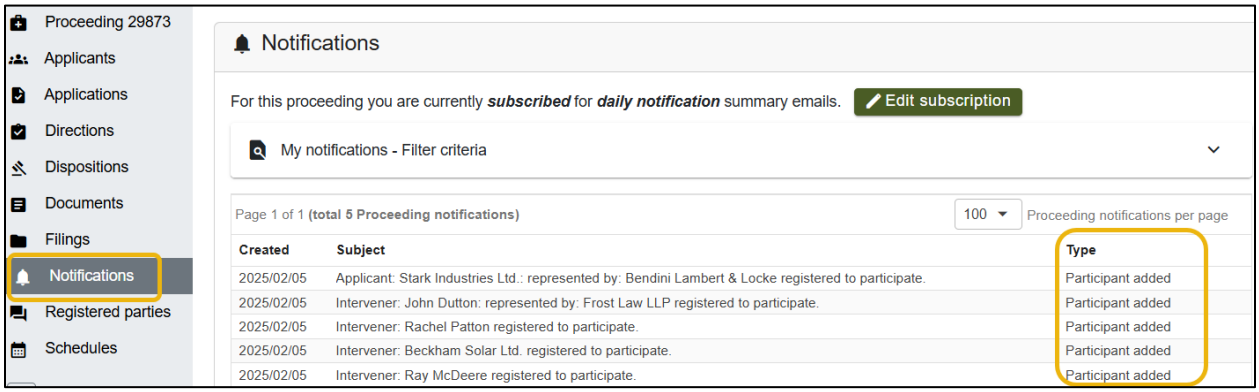
10.2 Change or remove participant role

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.

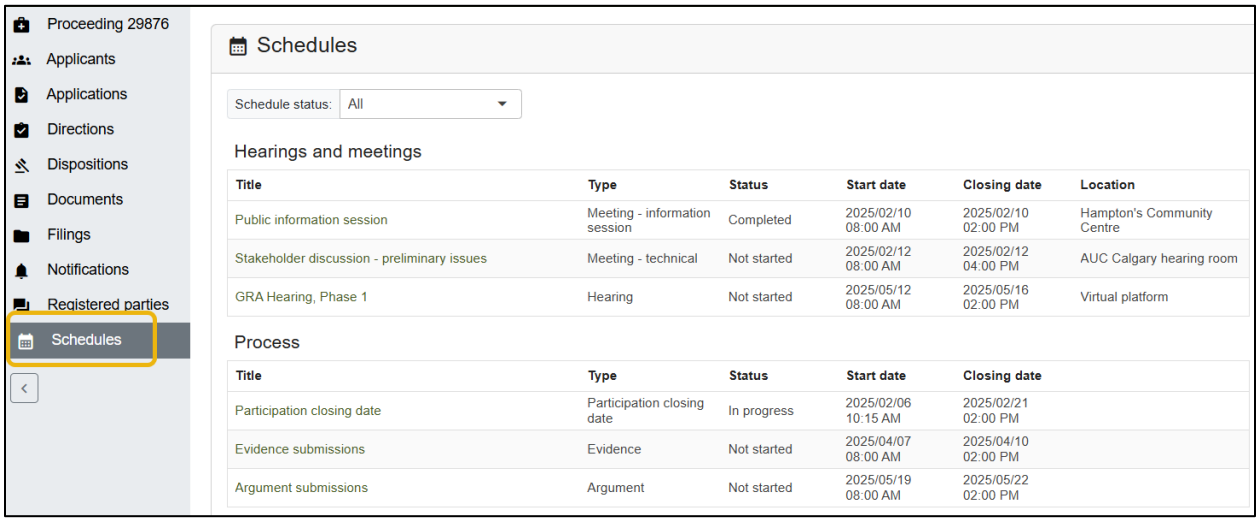


Upon registration to participate, the contact listed for the registered party is automatically subscribed to receive a daily email summarizing the proceeding's **Notifications**. Other eFiling System users for that registered party can subscribe to receive the daily summary email. To manage the email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

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.



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.

Type	Description
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.
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.

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.

As part of the oral hearing process, a court reporter registers as a participant. As a registered participant the court reporter can create a filing to submit public or confidential transcripts. Filing confidential transcripts first requires access to the confidential record (see Requesting access to the confidential information and Upload confidential filing documents).

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
Aid to questioning a witness	Document used to question a witness during an oral hearing, filed with permission of the Commission in accordance with Section 40.3 of Rule 001.
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: *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 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.

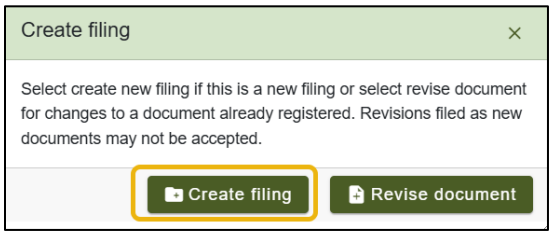
Filing type	Description
Information response	Response to each question posed in an information request.
Motion for confidentiality	Documents submitted by a party requesting a Commission determination to keep a document, a portion of a document, or multiple documents confidential and off the public record. 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: *Rules of Practice* is required to be submitted by users that have executed a Confidentiality undertaking.

Filing type	Description
Transcript	Documents containing a verbatim record of an oral hearing. Upon registration, transcripts are given an internal only status. The AUC controls the external publication of all transcripts registered through the eFiling System.
Undertaking	Evidence submitted to comply with an undertaking to provide an answer to a question asked during an oral hearing.
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:

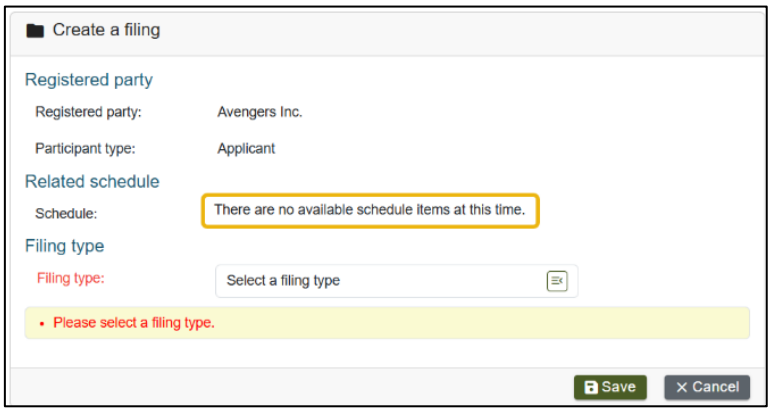
- applicants
- interveners
- market participant objectors
- representatives
- court reporters

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

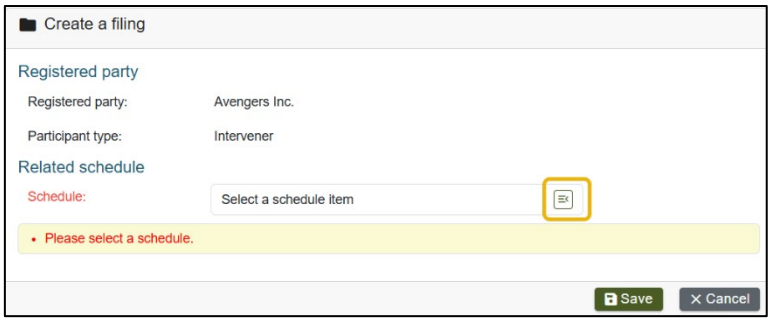
If you are a representative acting for more than one group or registered party, you are required to select who you are making the filing on behalf of.

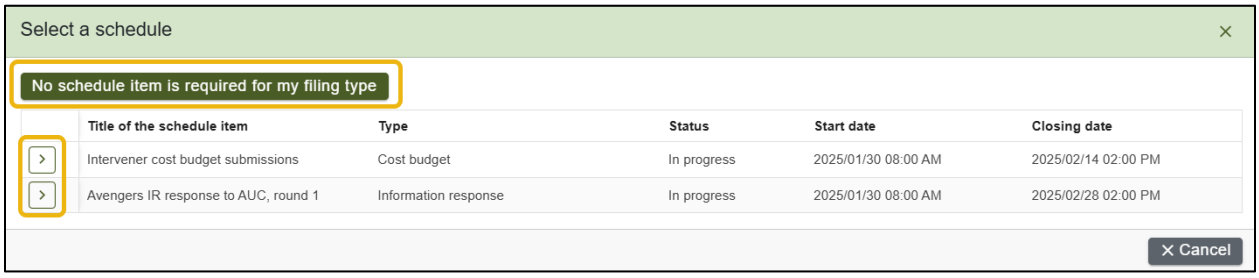
Select the schedule item

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.



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*.





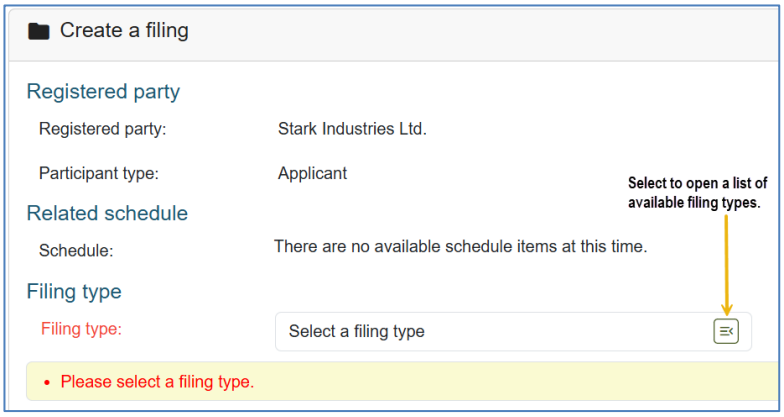
If selecting *No schedule item is required for my filing type*, the form's *Schedule* field will populate that description and the user can proceed to selecting the filing type.

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.

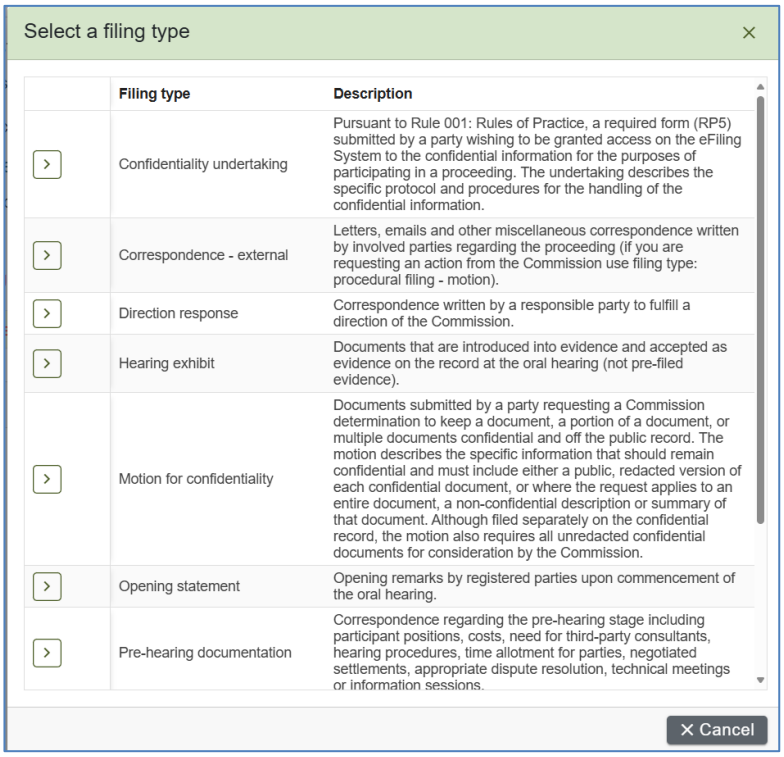
Select the filing type

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.

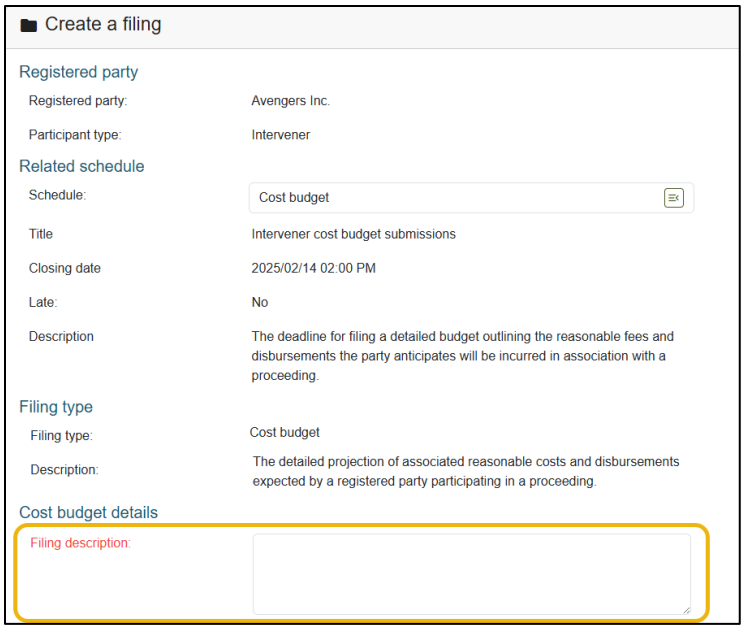


Only filing types authorized for the user to register will be listed. Available filing types are based on the user's participant type (intervener, court reporter, representative). For example, an intervener will not see the filing type: transcripts.



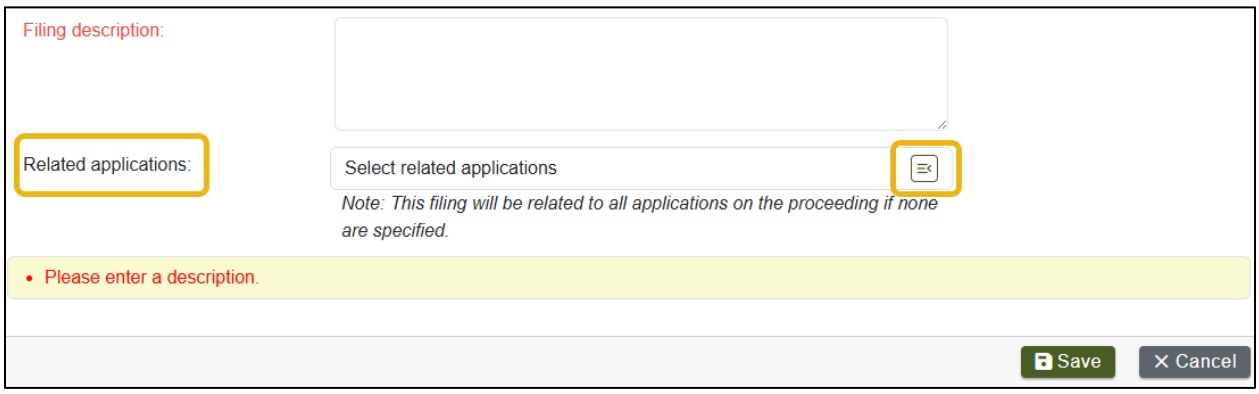
Complete the filing description

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.



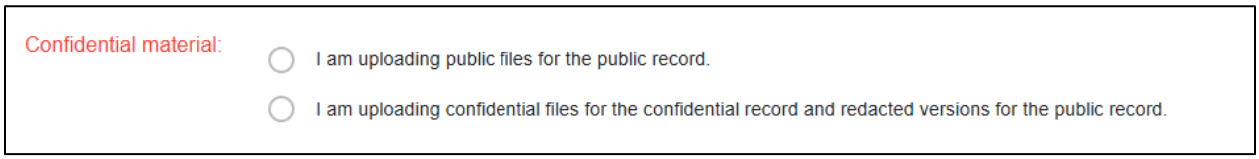
Select related applications

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.



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.

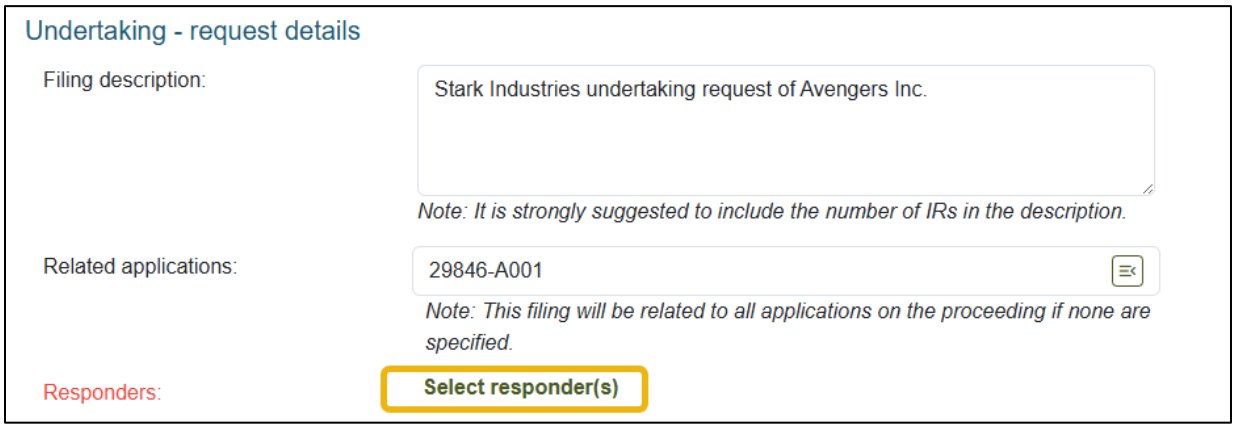


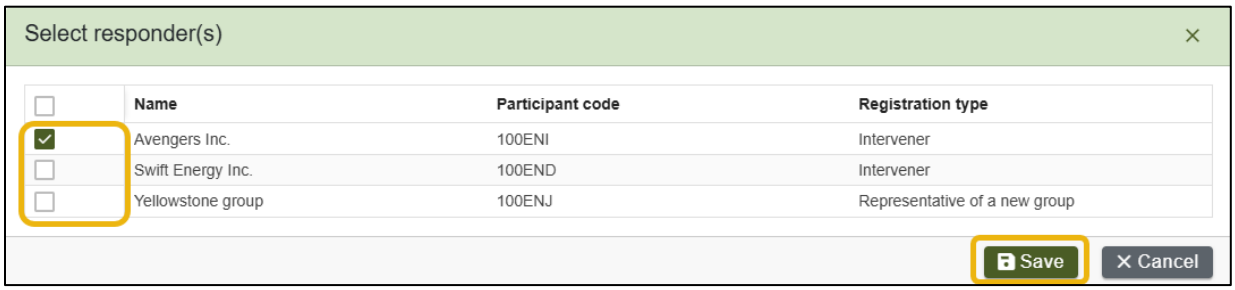
Information and Undertaking requests and responses

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.

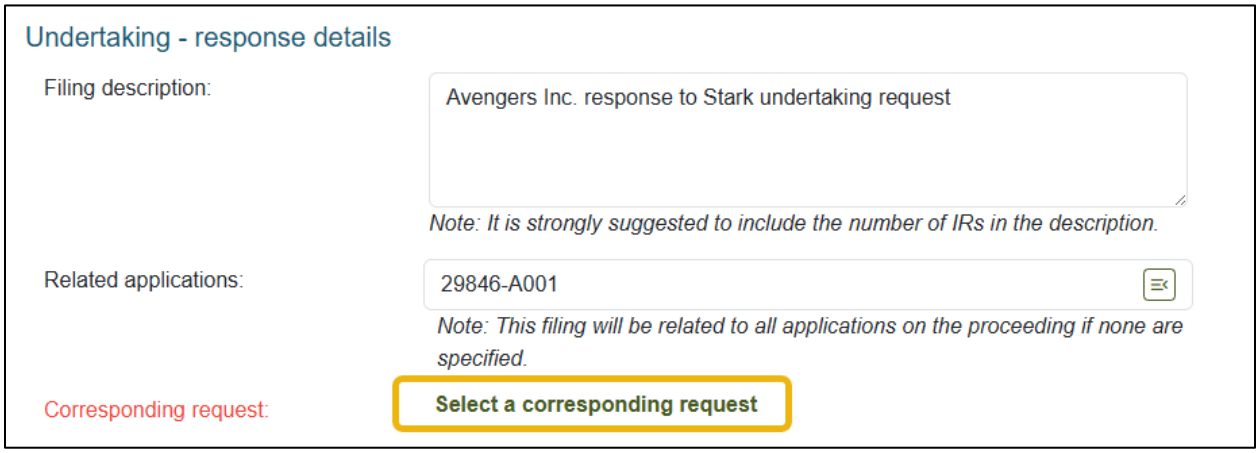
If the selected filing type is *Information request* or *Undertaking request*, the responders to the request must be selected. Click *Select responder(s)* to open a listing of authorized responders. Select one or more parties who are expected to respond to the request being filed. Select *Save*.

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



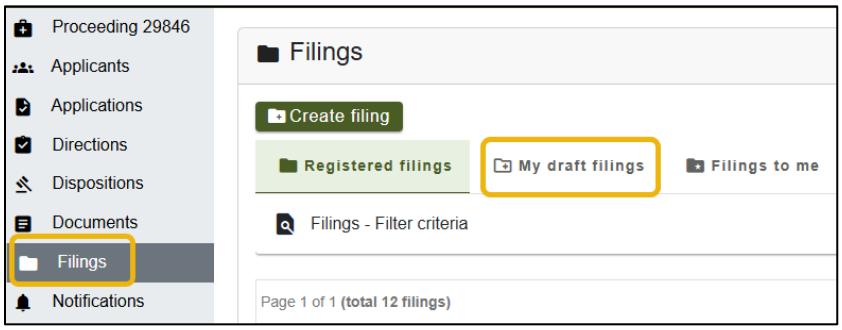


If the selected filing type is *Information response* or *Undertaking response*, the *Corresponding request* section must be completed by clicking *Select a corresponding request*. In the **Select a request** window, select the request the filing is responding to. If available, both information and undertaking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



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

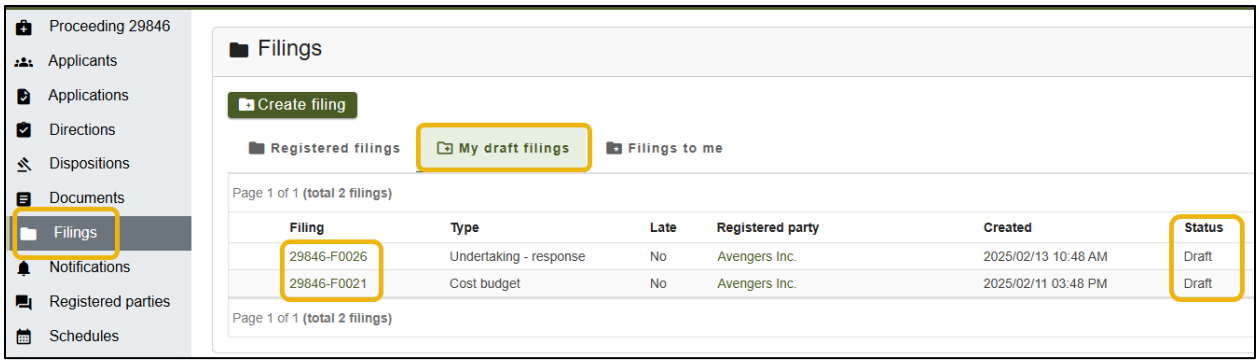
12.3 Edit filing information

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.

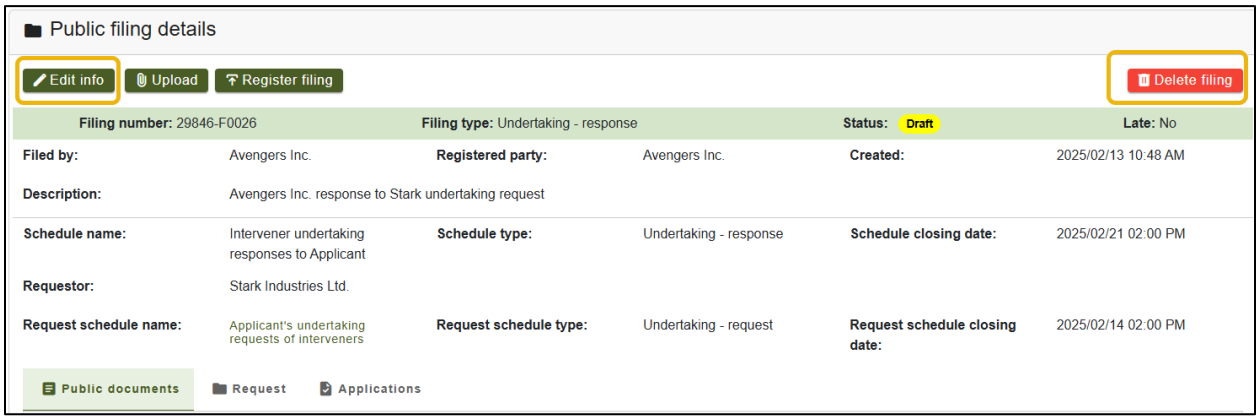


On the filing details screen select *Edit info*.

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.

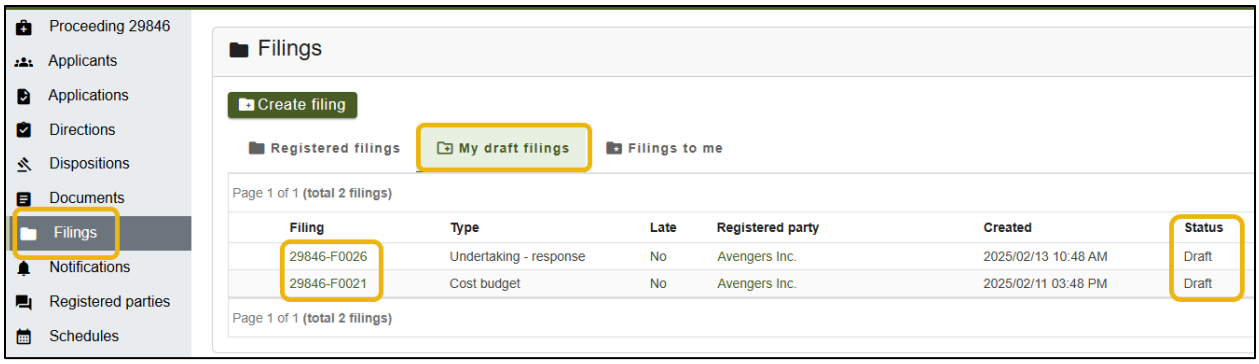
To change the filing type or relate the filing to a schedule item, you must delete the existing draft filing and create a new one.



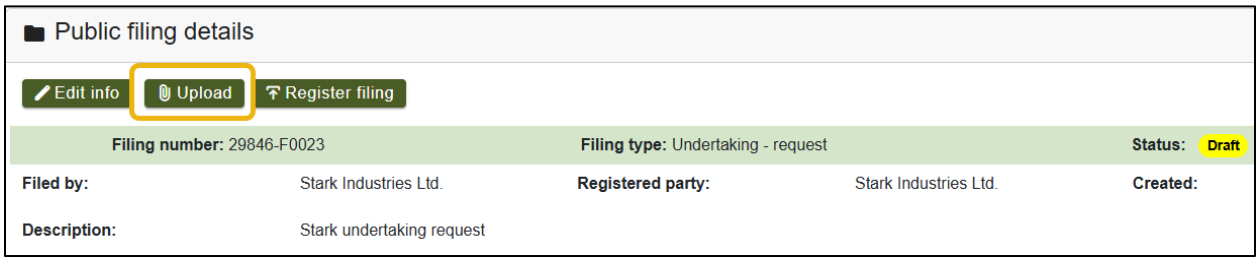
12.4 Upload filing document(s)

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*.

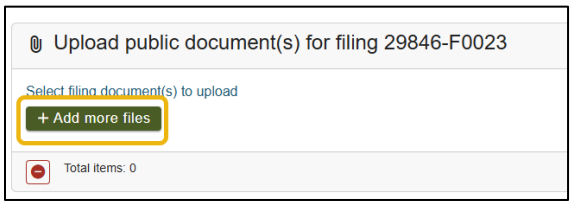


Before you can upload any files you must first acknowledge and agree to the AUC privacy policy.

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.

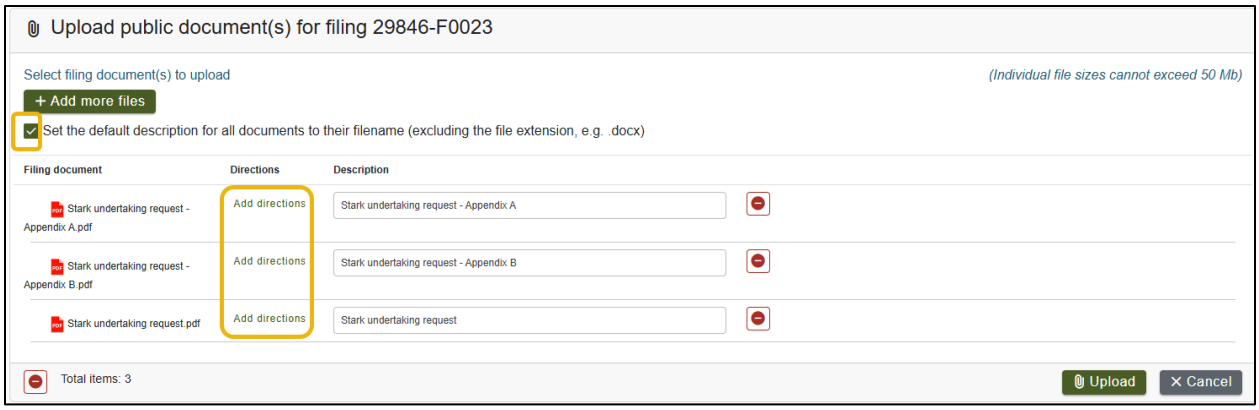
From the uploader screen, select *+Add more files* to browse for documents through File Explorer.

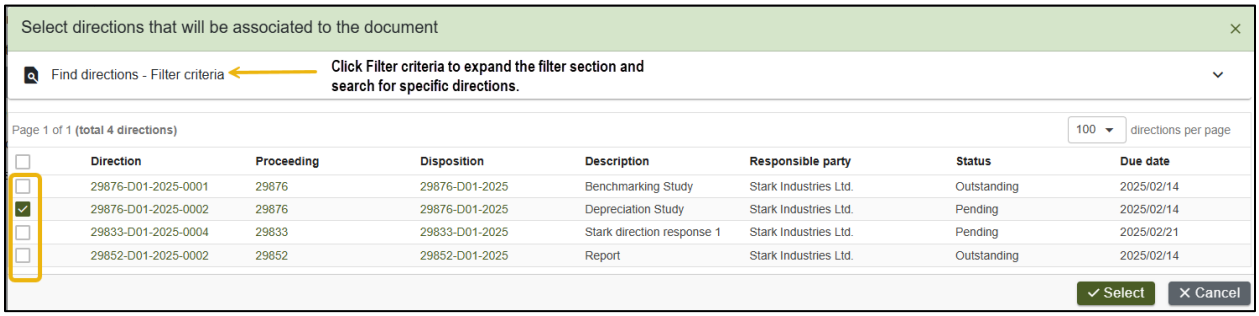


Navigate to the file directory. Depending on the browser version you are using you will either click on the file name (use the Ctrl key to select multiple files) or hover over the file name and click the checkbox that appears to the left of the file name. Select the file(s) and choose the **Open** button.

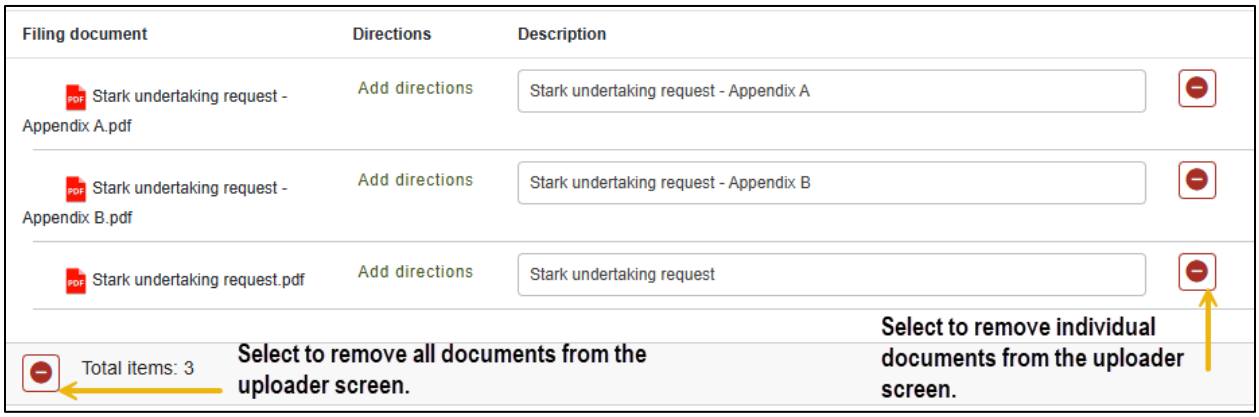
Once documents are selected for upload, use the checkbox to set the default description to the document filename.

If the filing is in response to a Commission direction the Filng type: Direction response must be selected. The *Add directions* option will be available in the uploader screen. For each uploaded document, select one or more outstanding, pending or non-compliant direction to associate the document to and click *Select*.





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

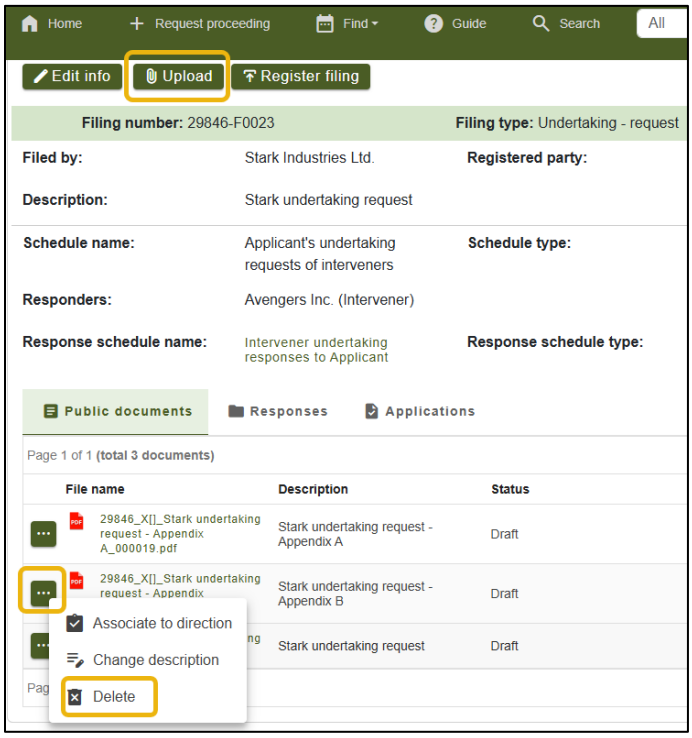


By deafult, documents are sorted alphanumerically in the uploader screen. Users can use the drag and drop icon to the left of any document to re-sort documents in their preferred order. Exhibit numbers are applied sequentially based on the sort order.

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.

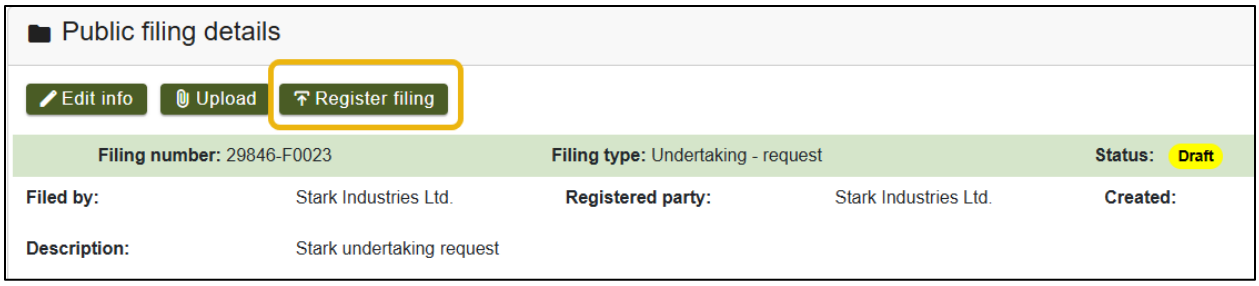
12.5 Information/undertaking requests and responses

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.

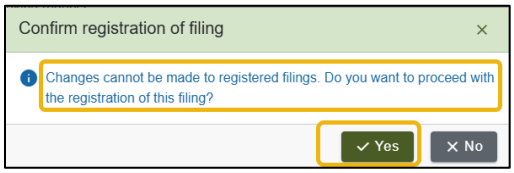
Information requests and information responses can be submitted after the start of an oral hearing session date if required.

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).
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 **Documents** 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.

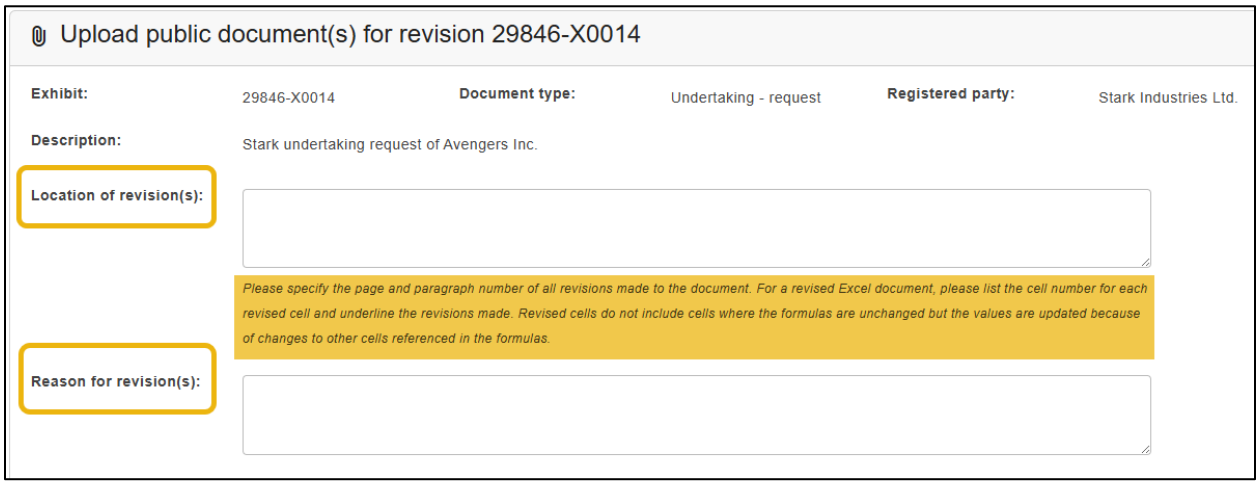
Documents screen	Locate the document being revised. Select document actions […] available to the left of the document. In the action menu select *Revise document*. Review and accept the AUC privacy policy disclaimers.
Filings screen	Select *Create filing*. In the **Create filing** window select *Revise document*. In the **Select the exhibit you would like to revise** 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. Review and accept the AUC privacy policy disclaimers.
Applications screen	Select the application number that contains the document to be revised. In the **Application details** screen select *Upload*.

	In the **Upload document** window select *Revise document*. In the **Select the exhibit you would like to revise** 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. Review and accept the AUC privacy policy disclaimers.

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 no include cells where the formulas are unchanged but the values are updated because of changes to other cells referenced in the formulas.

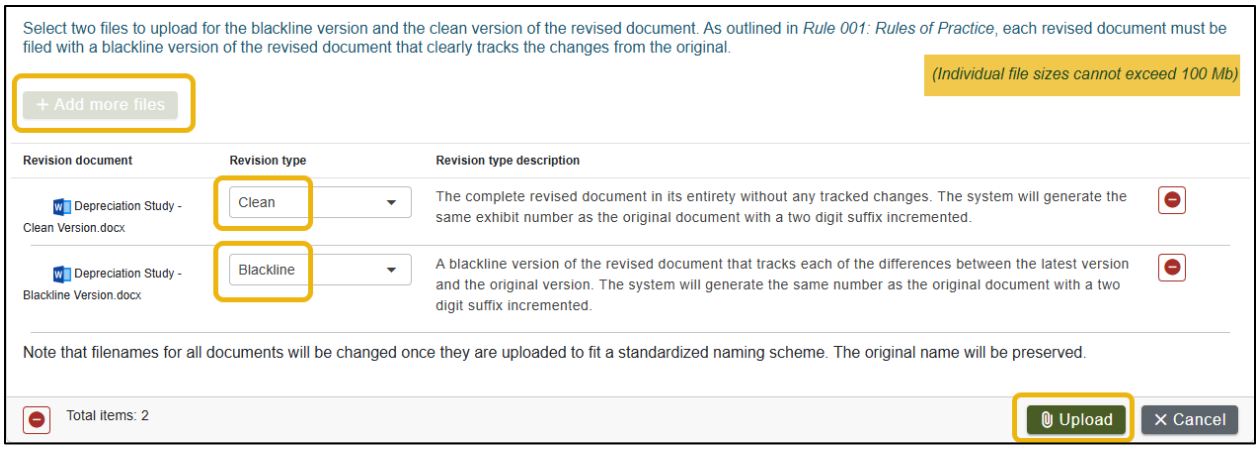
Enter the reason for the revisions.



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.

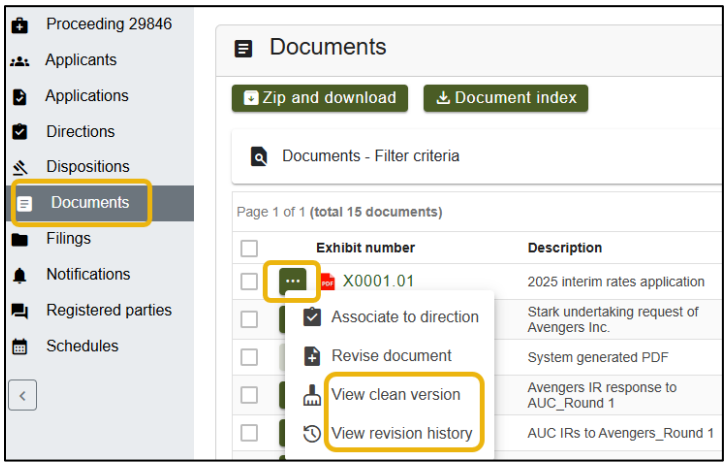
Select *Upload*. The revised documents are immediately uploaded and available on the public or confidential record.



13.2 Revision document display

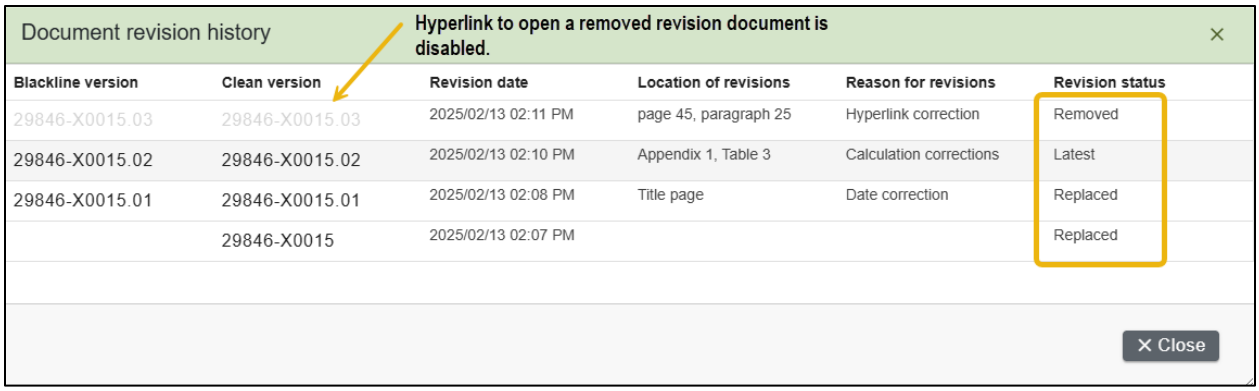
The latest blacklined version will be visible on the **Documents** screen with a .01 appended to the exhibit number (incremented for each subsequent revision).

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.



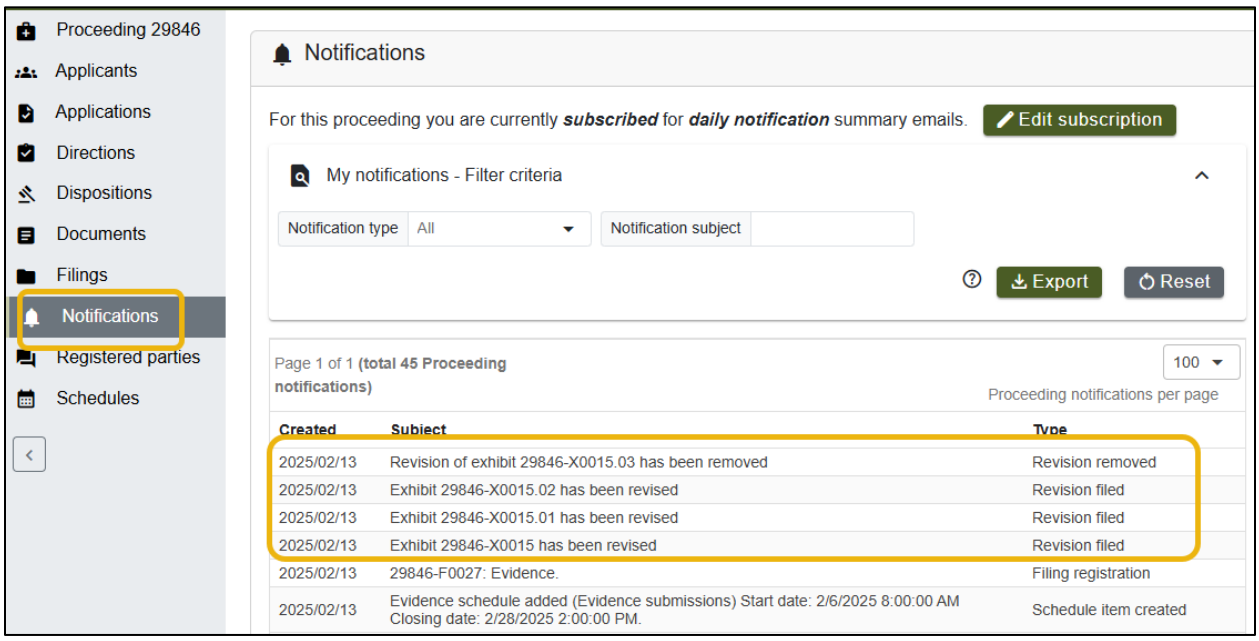
From the action menu select *View clean version* to download the clean version document.

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.



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
52011-X0006	Statement of intent to participate	Commercial and Industrial Rate Interveners	2016/10/19 10:08 AM
52011-X0008,52011-X0007	Information request	Commercial and Industrial Rate Interveners	2016/10/19 10:16 AM
52011-X0013,52011-X0012,52011-X0011,52011-X0010,52011-X0009	Evidence	Commercial and Industrial Rate Interveners	2016/10/19 10:19 AM
52011-X0014	Statement of intent to participate	Keep Rates Low Group	2016/10/19 10:22 AM
52011-X0015	Correspondence - external	Keep Rates Low Group	2016/10/19 10:24 AM
52011-X0017,52011-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 52011-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

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

Library
Public

Revision Status
All
Latest

Revision Type
Blackline
Clean

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

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...

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

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...

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…).

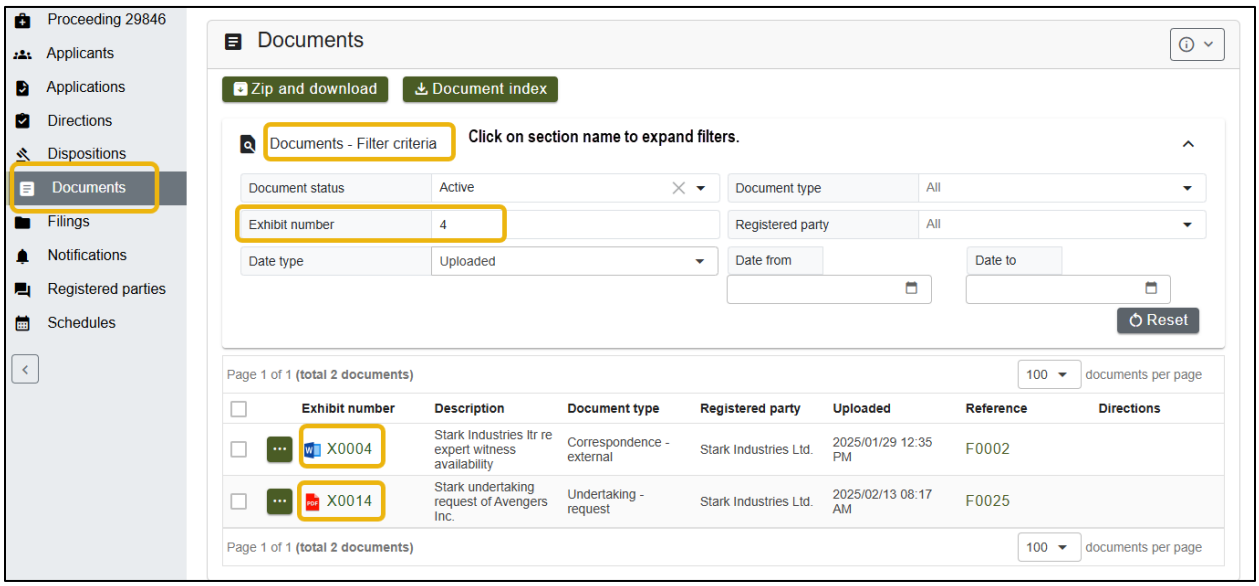
14.2 View and search exhibits

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.

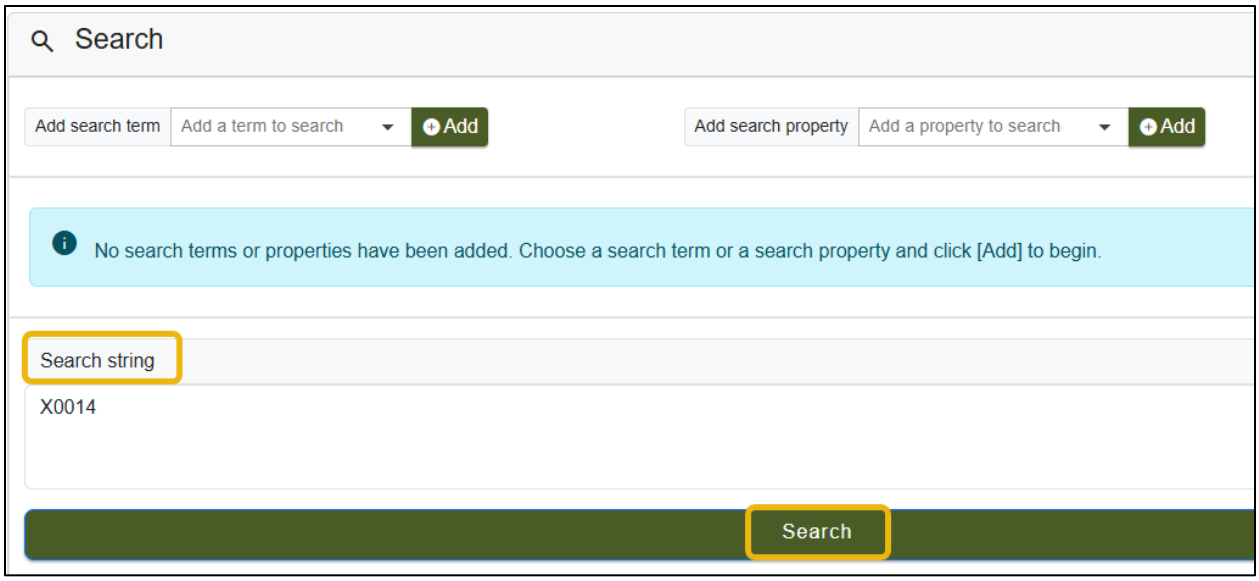
By default the filter section is collapsed. Click on the section name to expand the filters.

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

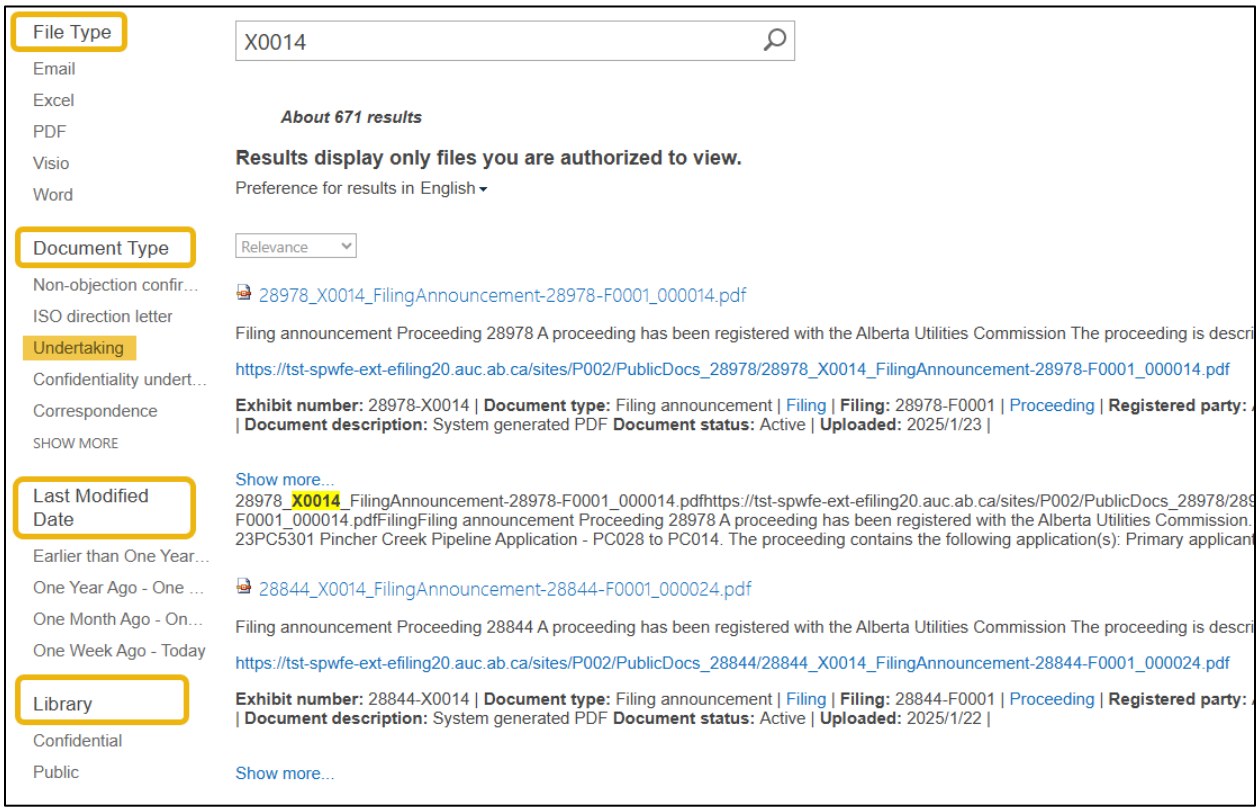


Note: Enter the attachment number to search for exhibit numbers generated in the previous electronic filing system.

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



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.



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.

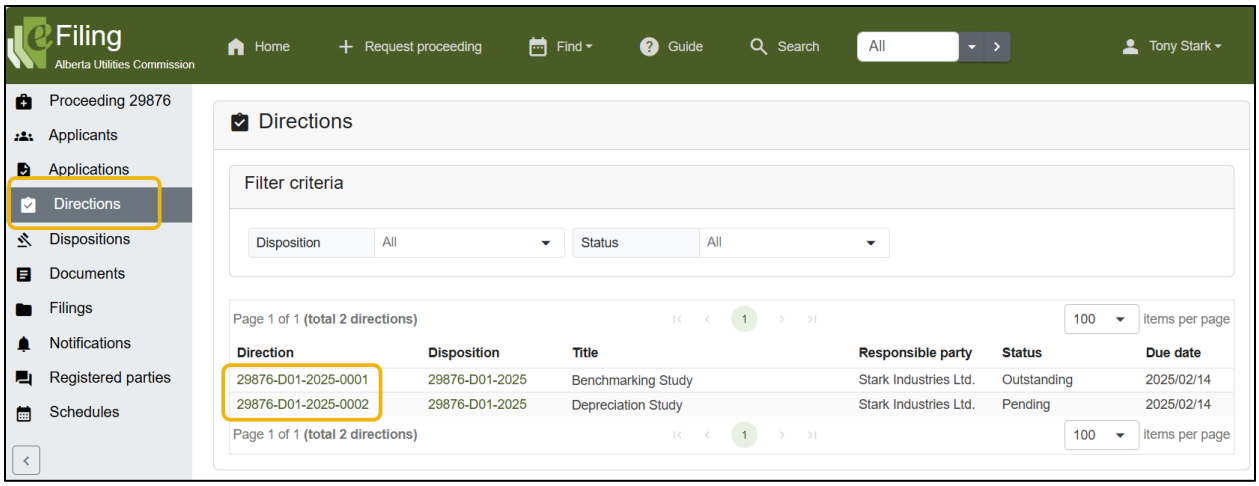
15.1 Direction properties

Property name	Description
Direction	A direction number is system-generated to give the direction a unique identifier. The format of the direction number is *proceeding number-Disposition number-Year of disposition issuance-000X*. 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.
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 *Pending* to *Compliant***.** 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.

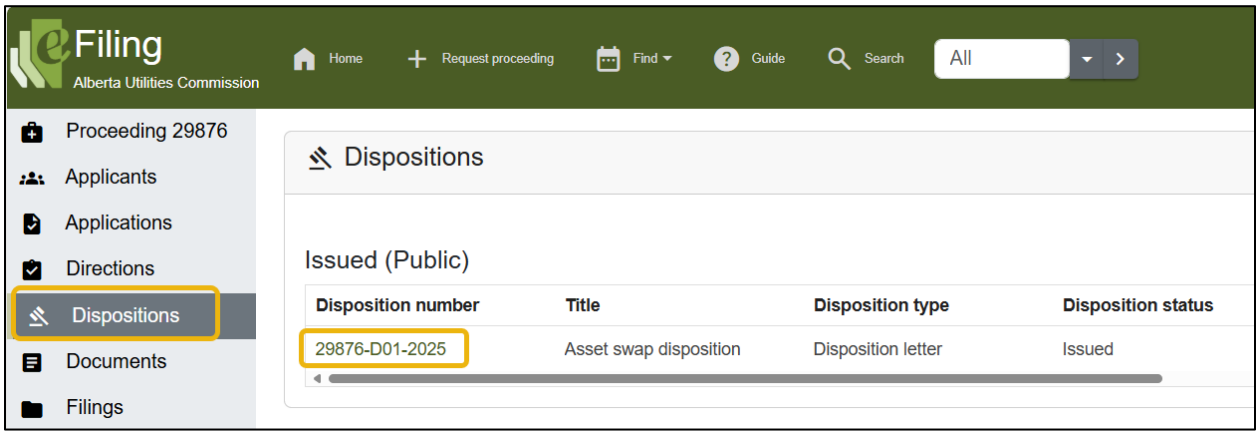
15.2 Viewing directions

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

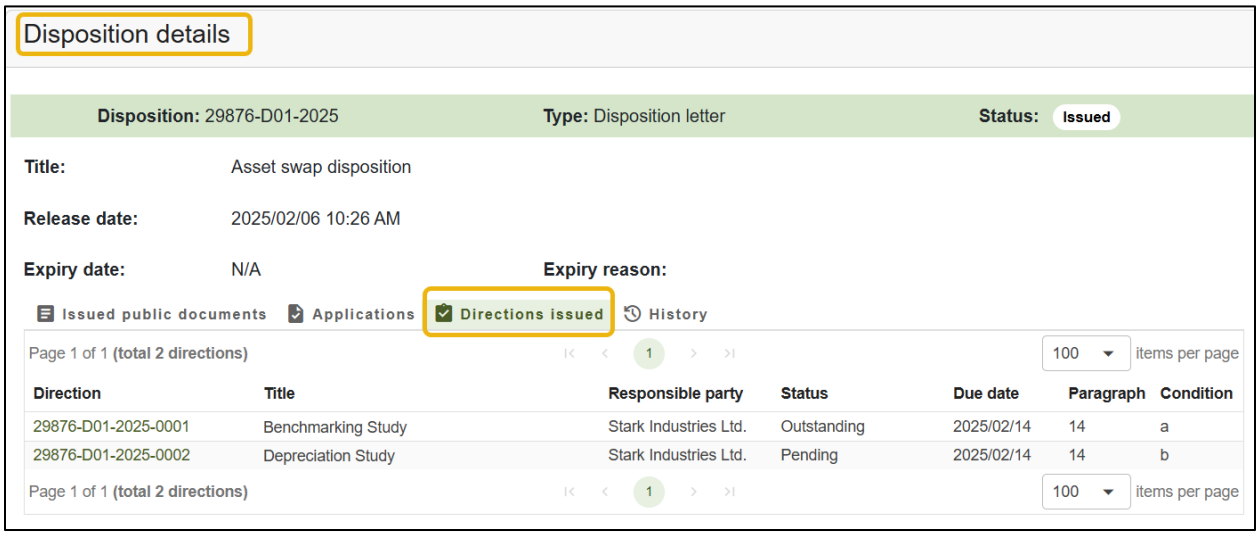
Select the direction number to open and view the direction's details screen.



To view directions related to a specific disposition, select **Dispositions** on the left navigation. Select the disposition number to view the **Disposition details** screen.



In the **Disposition details** screen, select the *Directions issued* tab to view directions issued through the disposition and their respective statuses.



15.3 Direction details

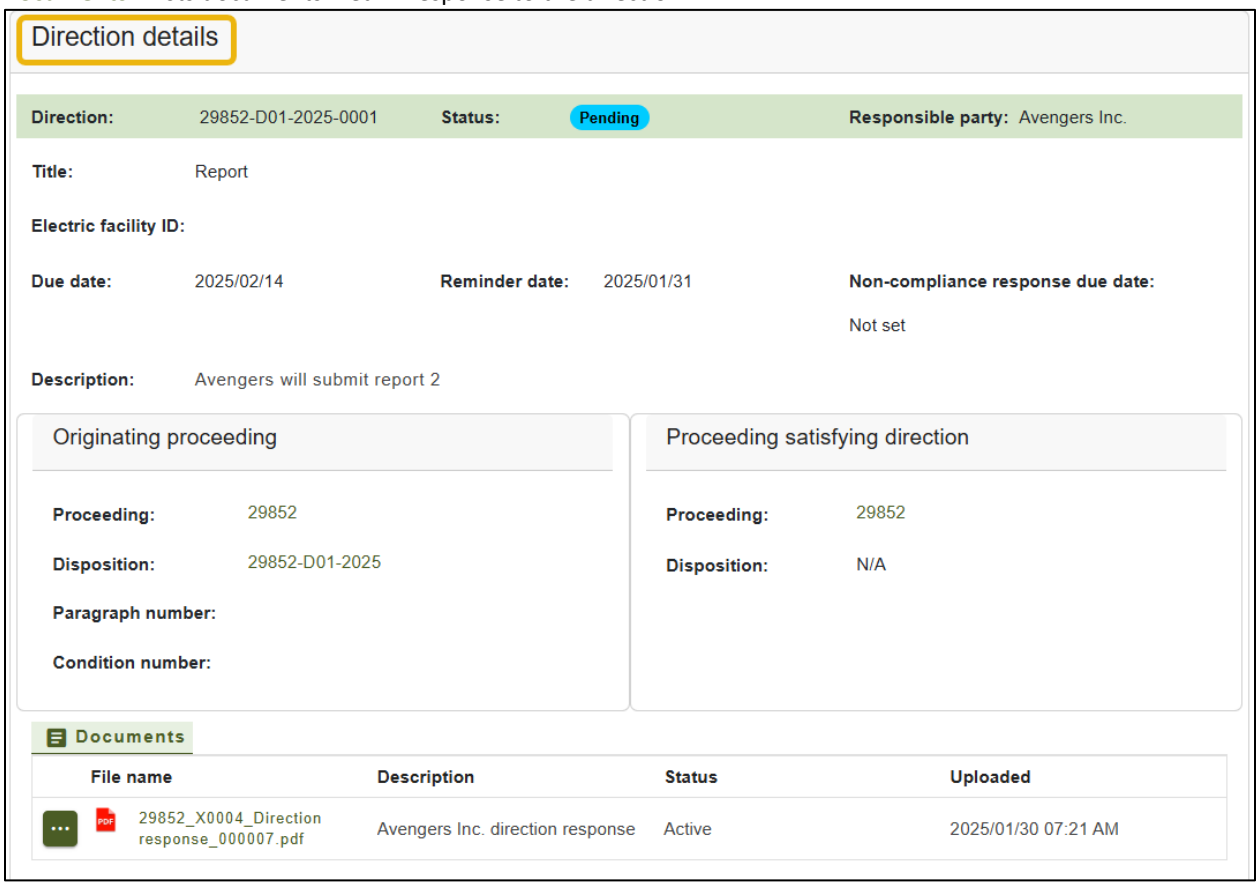
To view a direction's details, select the **Directions** screen from the left navigation pane. Select the direction number to open the direction's **Direction details** screen.

The details screen displays the direction's status, responsible party, direction description, and due dates. The following sections are also provided.

Originating proceeding – displays the proceeding and disposition number issuing the direction.

Proceeding satisying direction – displays the proceeding and disposition number that satisfies the direction where the response is satisfied through a proceeding other than the originating proceed.

Documents – lists documents filed in response to the direction.



15.4 Direction statuses

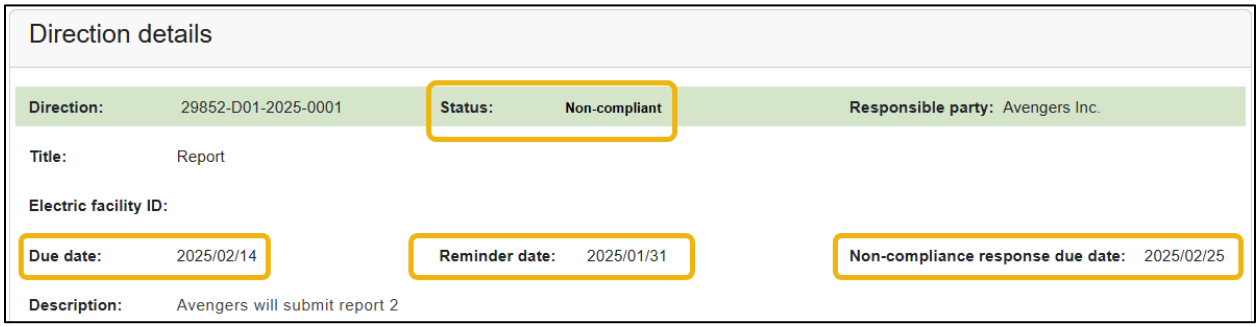
Status	Description
Outstanding	The direction has been created by the AUC and assigned to a responsible party.
Pending	The responsible party has filed a response to an *Outstanding, Pending, Under review or Non-compliant* direction. Registered parties and team members from the proceeding through which 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.

Status	Description
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.

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.

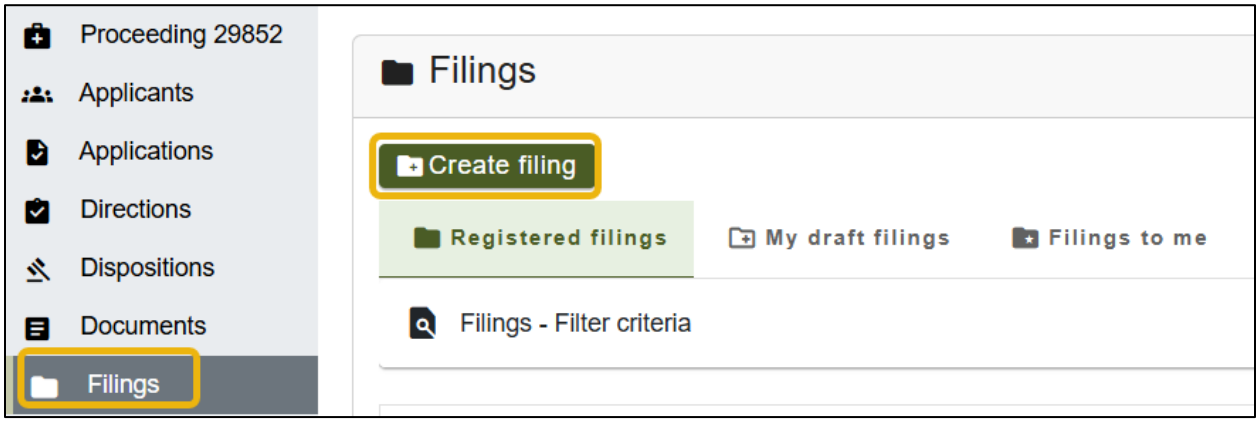


15.6 Responding to directions

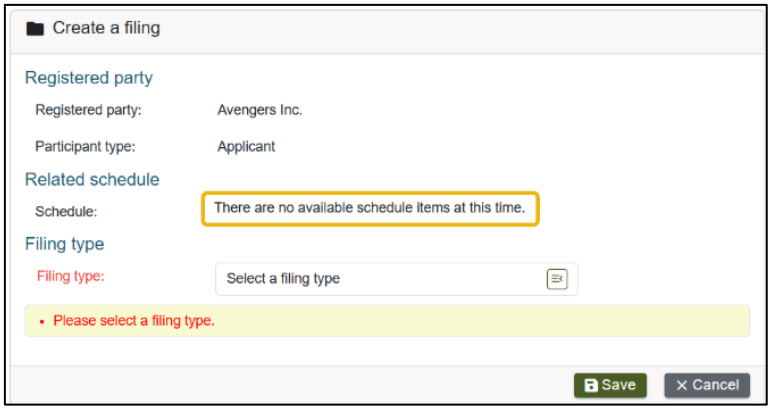
An outstanding, pending or non-compliant direction may be responded to with the filing type *Direction response* or an application document. In most cases, the document should be filed through the originating proceeding regardless of whether the proceeding is active or completed. However, in the case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

15.7 Responding to a direction with a filing

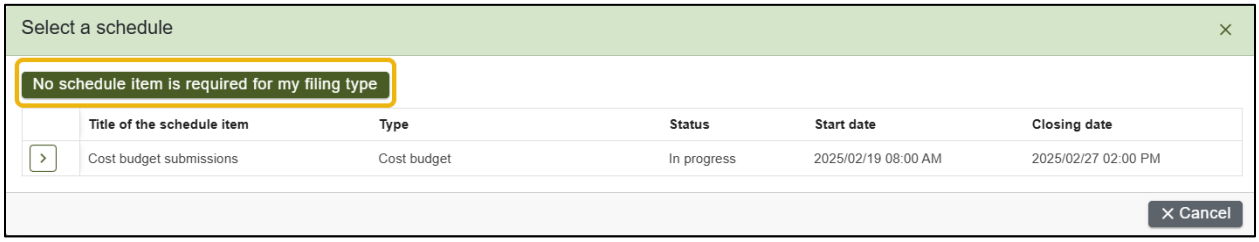
From the left navigation pane, select **Filings**. Select *Create filing*.



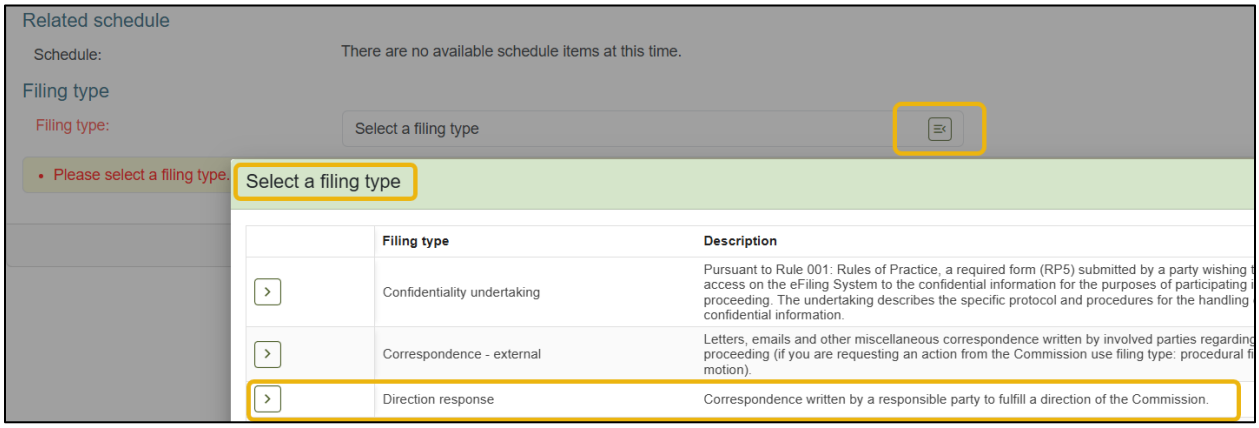
If there are no active schedule items at the time of creating the filing, the *Schedule* field will display: *There are no available schedule items at this time*, and the user can proceed to selecting the filing type.



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

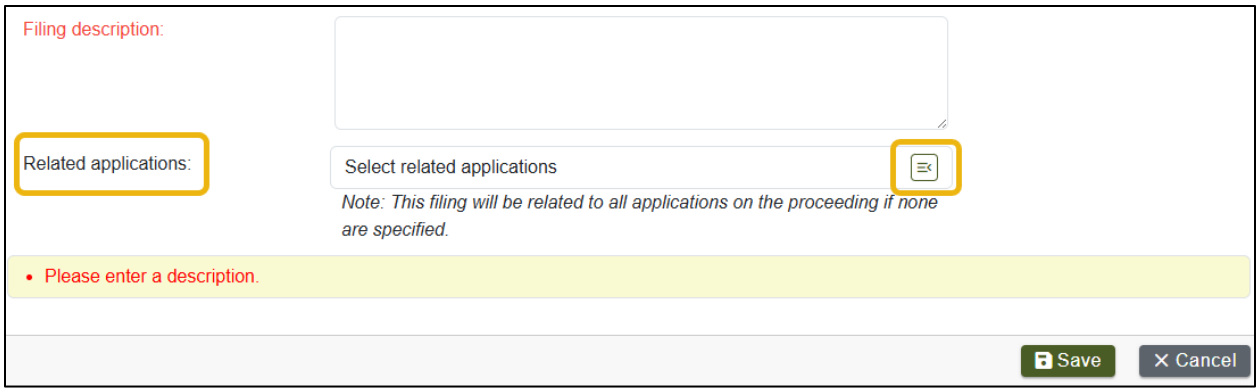


From the *filing type* field, open the **Select a filing type** window and select *Direction response*.

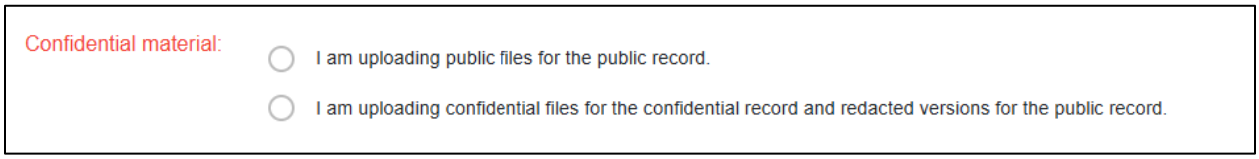


Enter a description for the filing.

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.

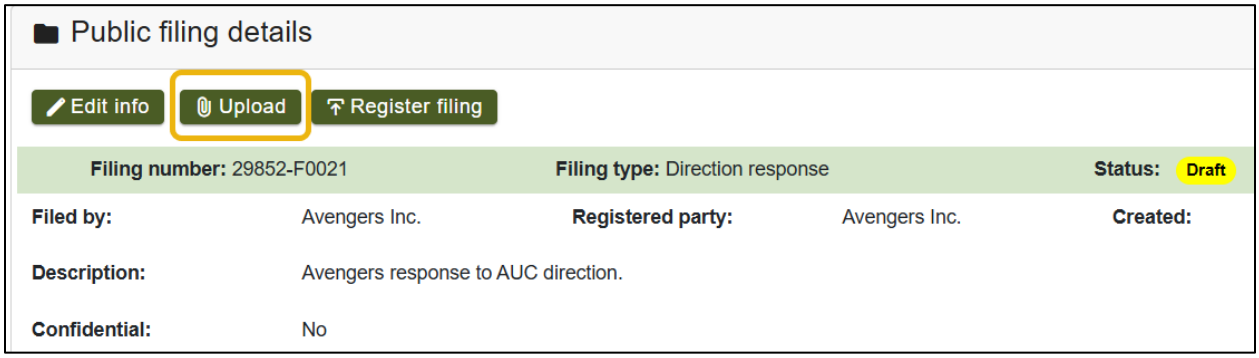


As the creator of a new filing, if you have been granted confidentiality the filing form will display the option to select uploading files to the public record or to the confidential record. To upload files to the confidential record, see Upload confidential documents.



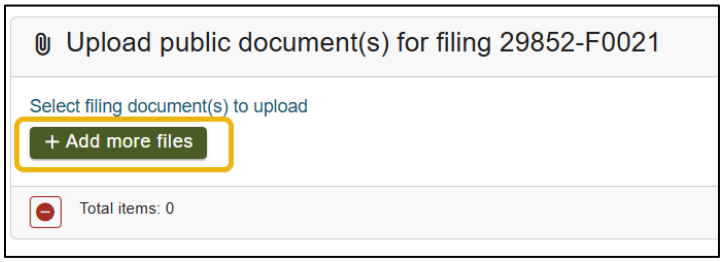
Select *Save*. A new draft filing is created. If the filing is not registered immediately, the owner of the filing can come back to the **Filings** screen and select the *My draft filings* tab. Select the filing number to return to the draft filing's **Public filing details** screen.

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



Acknowledge and agree to the AUC privacy policy.

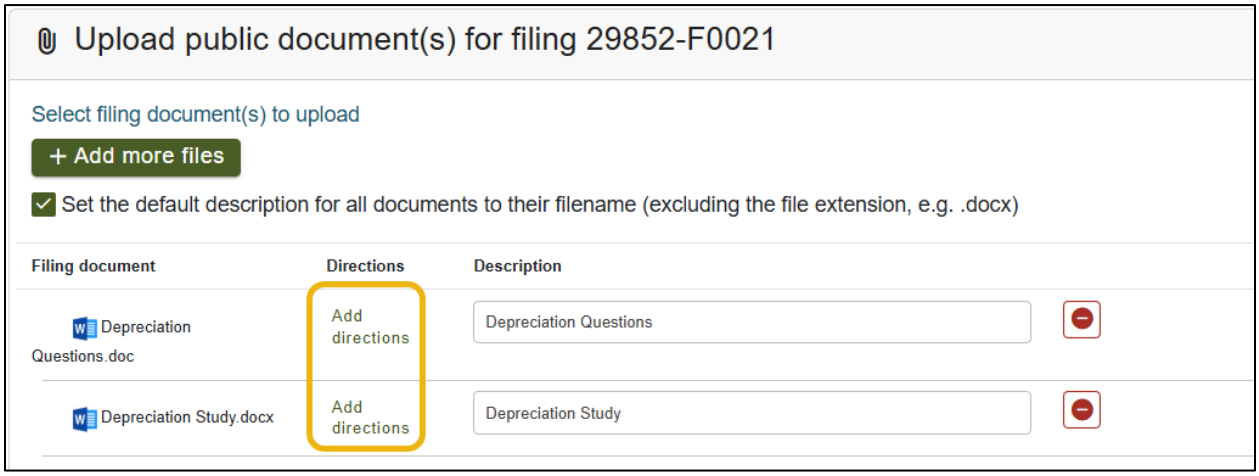
From the uploader screen, select *+Add more files* to browse for documents through File Explorer.



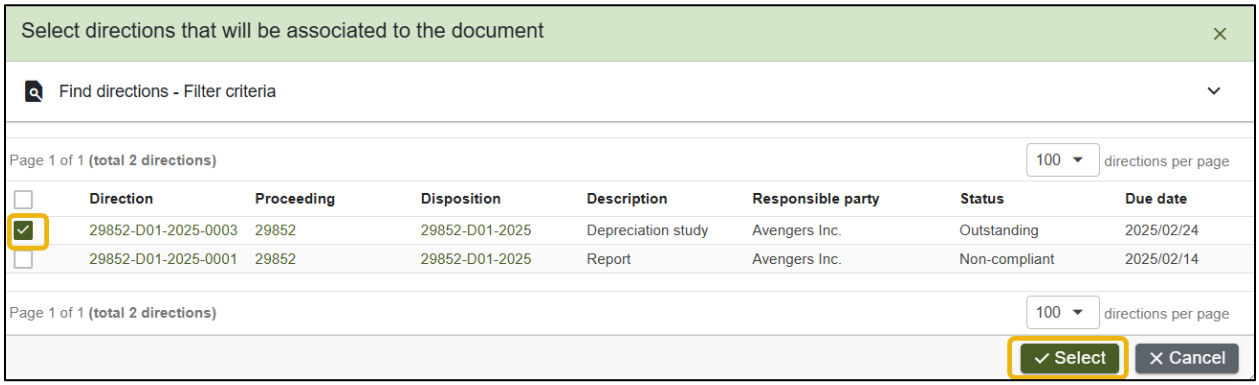
Navigate to the file directory. Depending on the browser version you are using you will either click on the file name (use the Ctrl key to select multiple files) or hover over the file name and click the checkbox that appears to the left of the file name. Select the file(s) and choose the **Open** button.

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

For each document, click *Add directions* to open a list of directions available to be associated to the document(s).



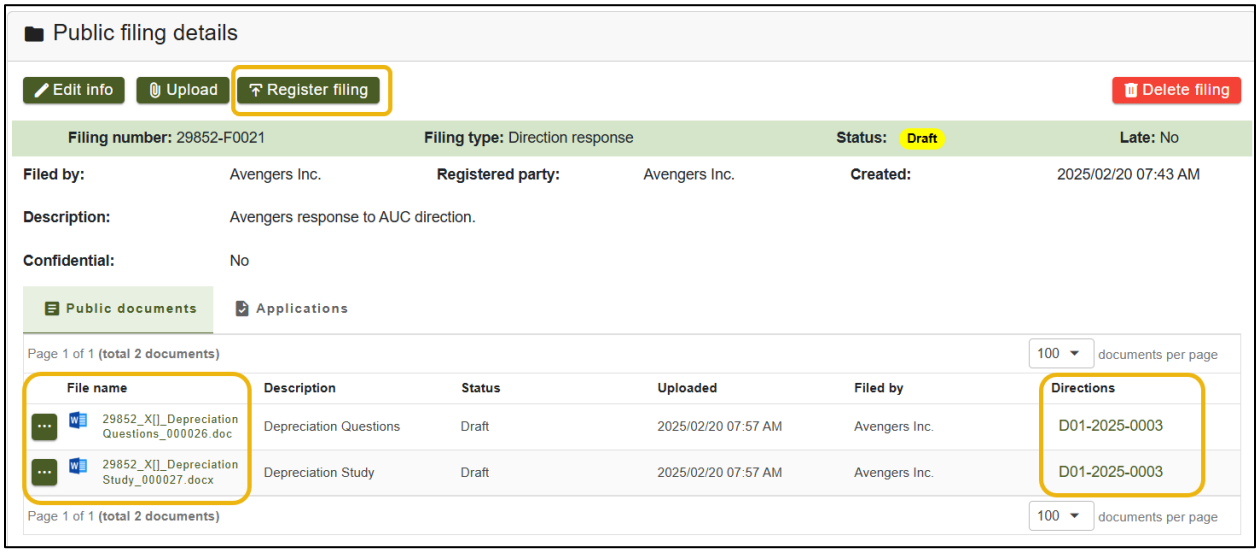
Select one or more outstanding, pending or non-compliant directions to associate your document to and click *Select*.



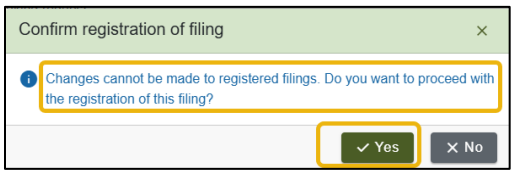
Once all documents have been associated to the directions, the direction number(s) is listed next to the uploaded documents indicating which directions are associated to each document.

Select *Upload*.

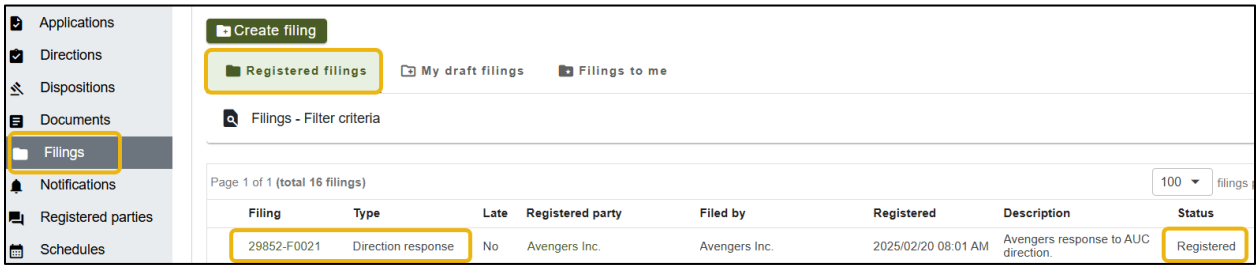
To register the filing, from the draft filing's details screen select *Register filing*.



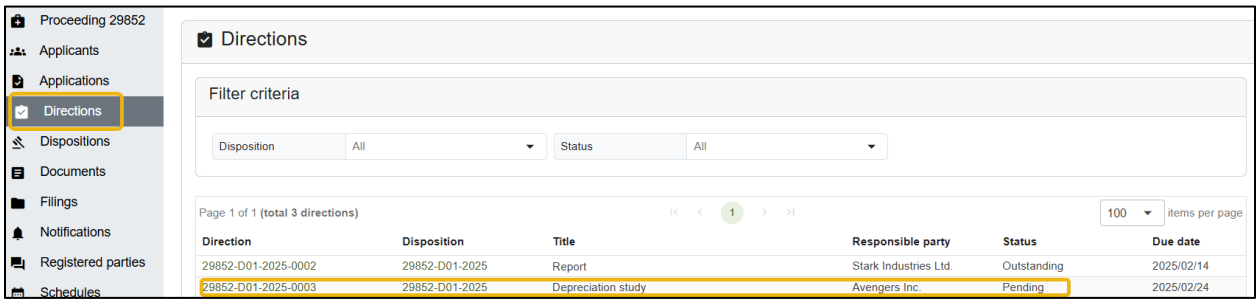
Confirm the registration.



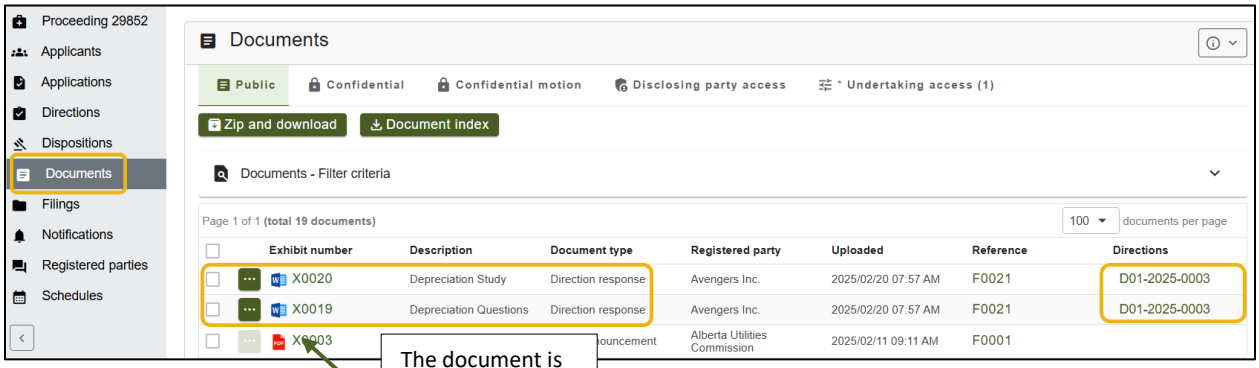
Direction response filing type has a status of **Registered**.



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

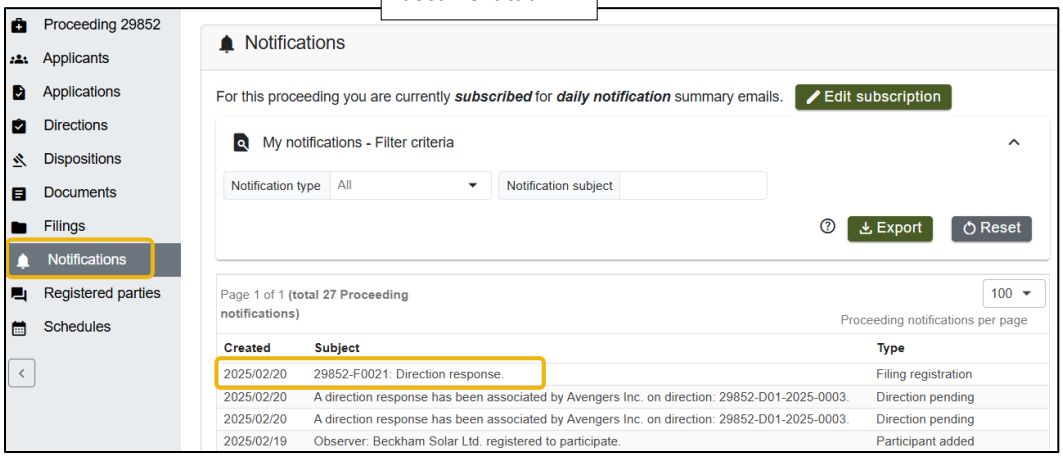


The document(s) is available on the **Documents** screen on the proceeding through which the filing was registered in. The direction number is displayed under the *Directions* column for each document.



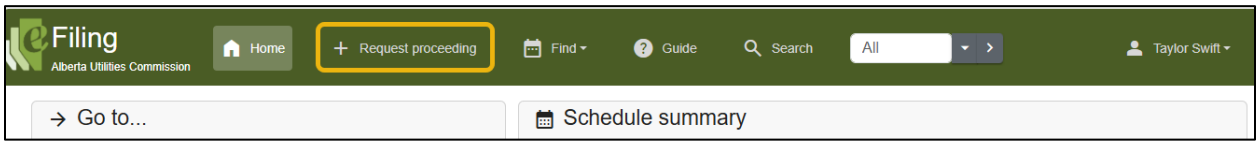
The document is available on the Direction details document tab.

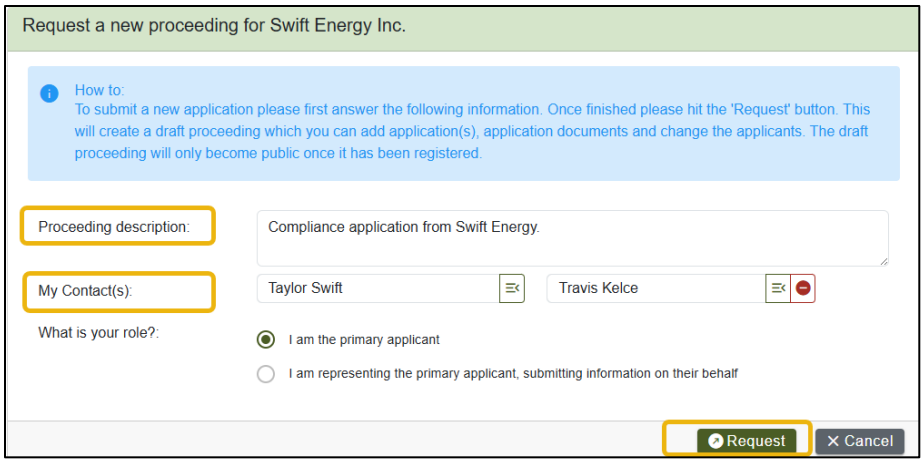
A notification is generated in the pr **tions** screen for all registered parties.



15.8 Responding to a direction with an application document

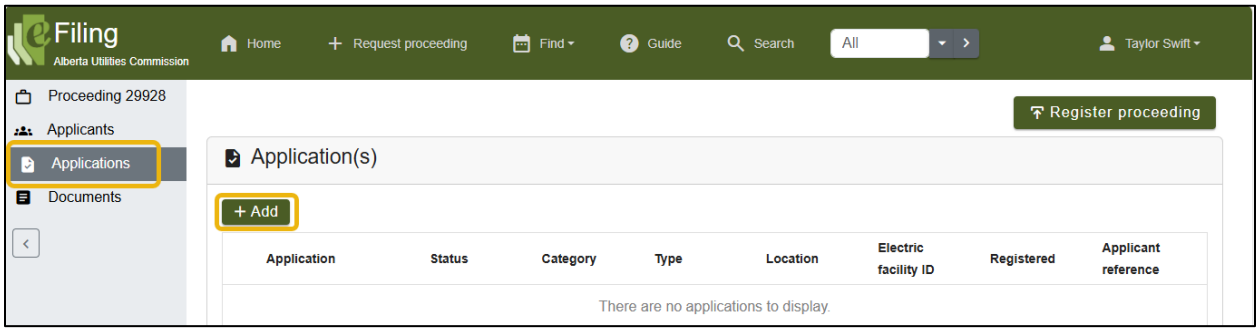
From the eFiling home screen top navigation bar, select *+Request proceeding*. Complete the proceeding description and select contacts for the new proceeding that is being filed in response to the Commission's direction. Select *Request*.





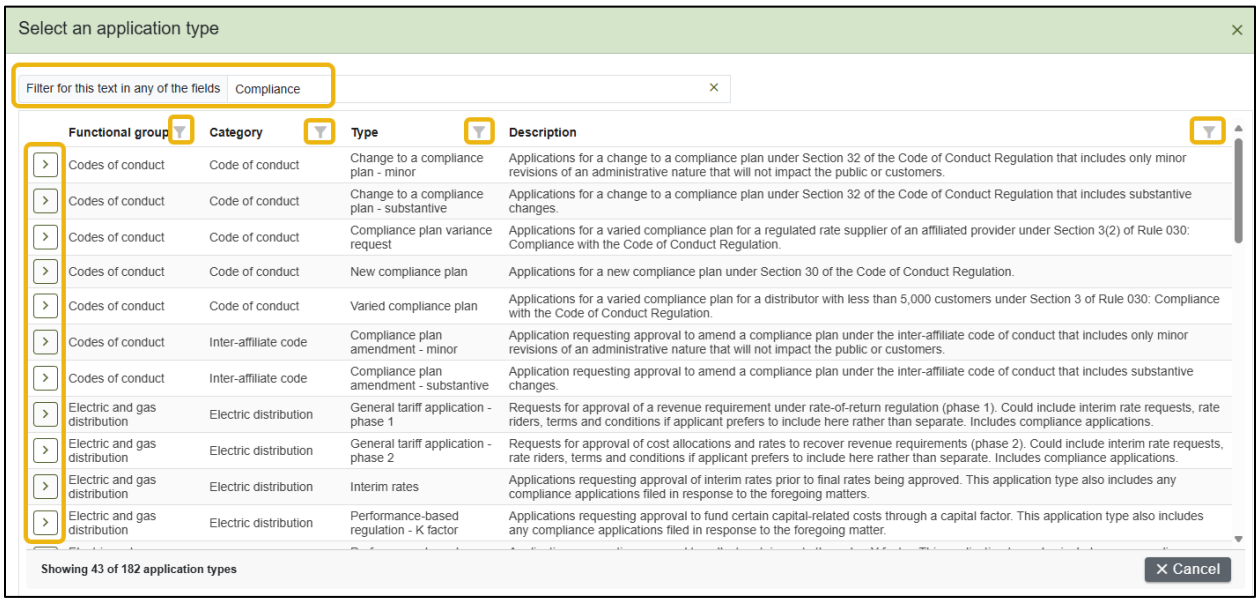
A draft proceeding is created by the system. From the draft proceeding's left navigation pane, select **Applications**.

Select *+Add* to add a new application to the draft proceeding.



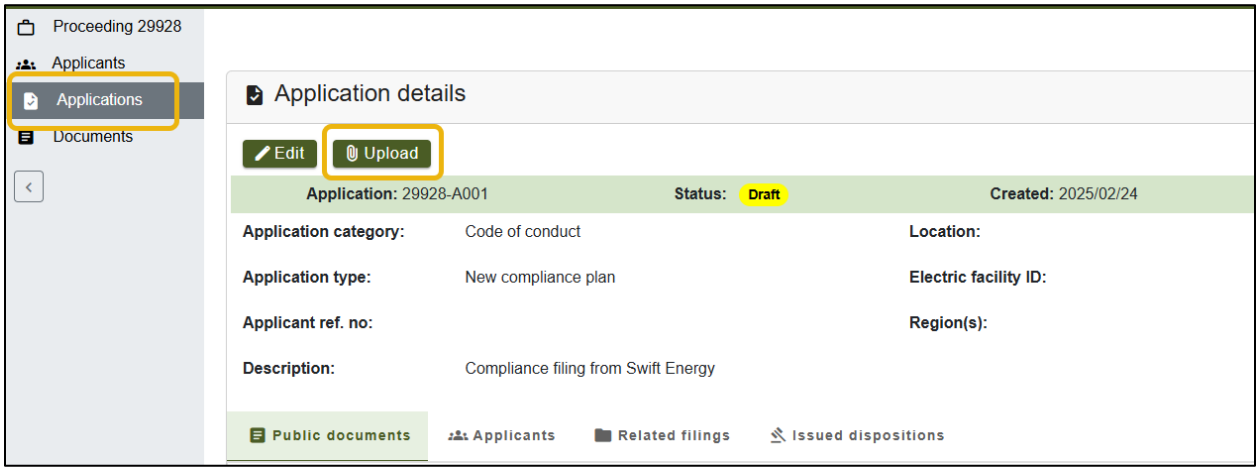
In the **Select an application type** window use the left most arrow to select the desired application type and open the associated application form.

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.



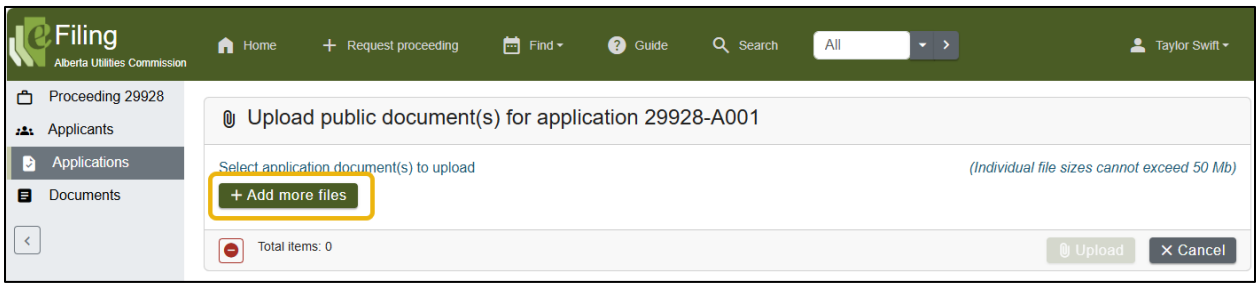
Complete the application form that is system generated for the selected application type. Select *Save*.

On the **Application details** screen select *Upload*.



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

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



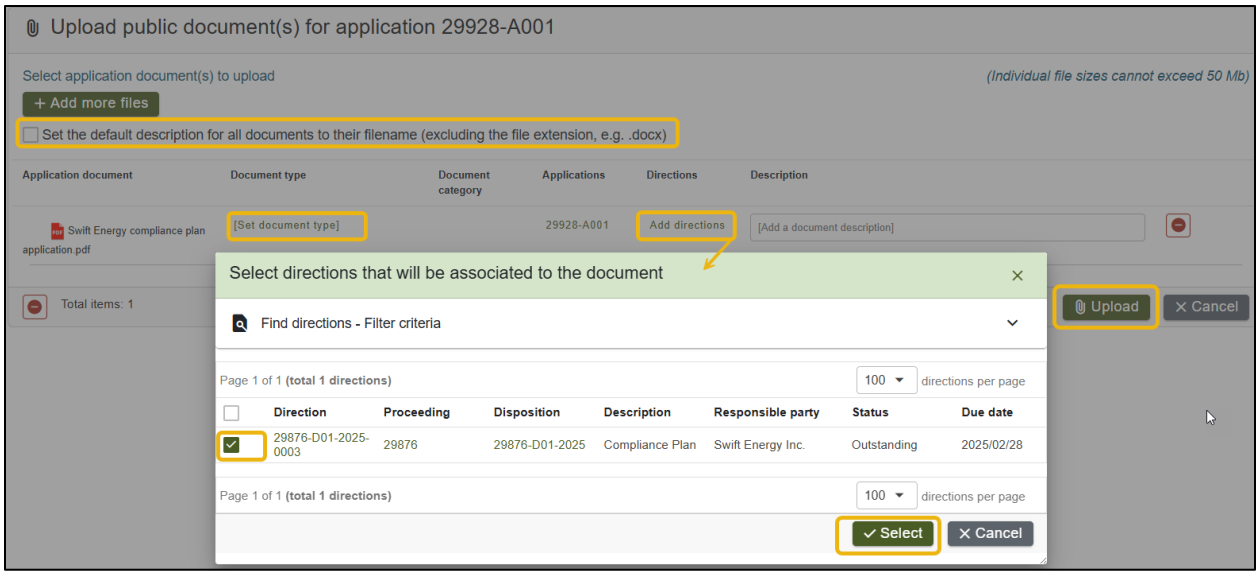
Navigate to the file directory. Depending on the browser version you are using you will either click on the file name (use the Ctrl key to select multplie files) or hover over the file name and click the checkbox that appears to the left of the file name. Select the *Open* button.

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

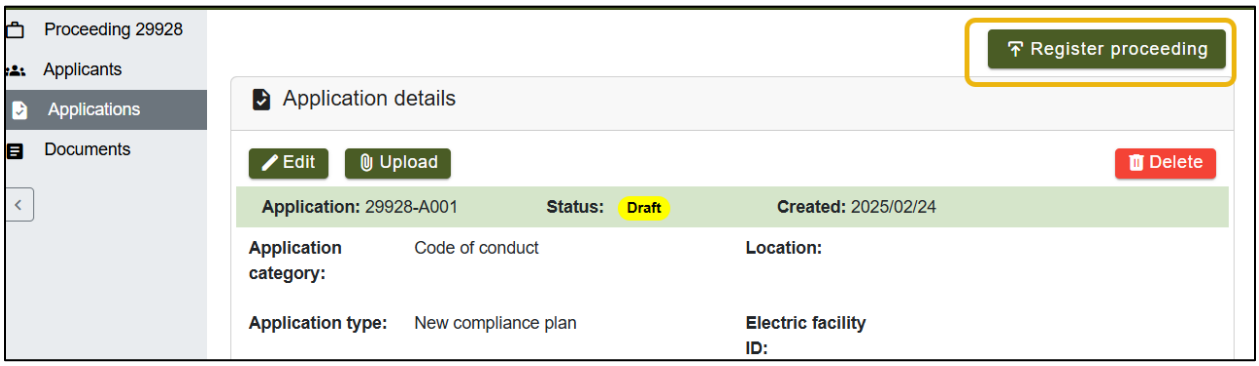
For each document being uploaded, click *[Set document type]* to view a defined list of application document types. Select the appropriate application document type for each document.

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. Click *Select*.

Once all documents are associated to the direction(s), select *Upload*.



Select *Register proceeding*.



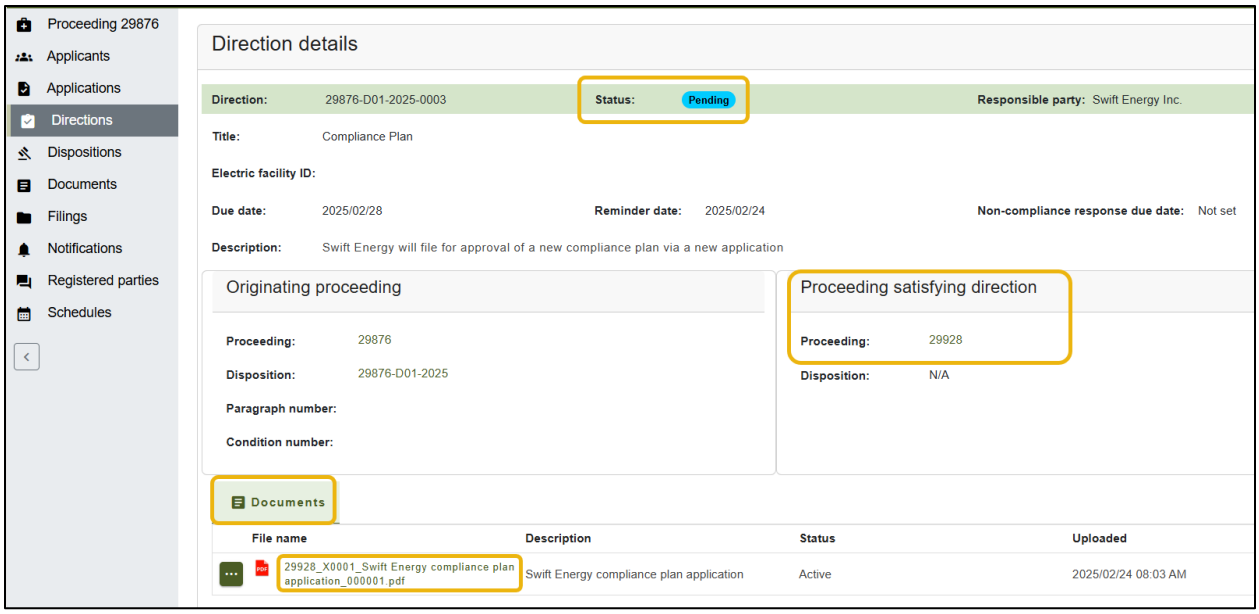
The direction's originating proceeding records the details of the direction's response. To view the details, navigate to the direction's originating proceeding. From the left navigation pane select **Directions**.

Select the name of the direction the application responded to.

The direction's *Status* is set to **Pending** indicating a response has been filed.

The *Proceeding satisfying direction* section displays the new proceeding number the response was filed in.

The *Documents* tab lists the application document(s) filed in response to the direction. The exhibit number identifies the proceeding number the application documents are filed in.



A notification that a response has been filed is generated in the new proceeding's **Notifications** screen.

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 *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.

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 a new proceeding for Formula 1 Law LLP

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: Preferential sharing of records application between Stark Industries and Avengers Inc.

My Contact(s): Lewis Hamilton, Max Verstappen

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

Applicant: Stark Industries Ltd.

Applicant Contact(s): Tony Stark, Pepper Potts

Request | Cancel

Select *Request*.

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*.

In the **Select an application type** window, filter for the text *Record*.

Using the left arrows, select the desired application from the four application types available for restricted proceedings.

Select an application type

Filter for this text in any of the fields: record

Functional group	Category	Type	Description
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.
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.
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.
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.

Showing 4 of 186 application types | Cancel

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*. Review and acknowledge the two restricted document disclaimers to continue.

Select *Add more files* to launch file explorer. Select the desired application document(s).

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 proceeding home screen, **Applications** or **Application details** screen. In the **Confirm register proceeding** window, select *Yes* 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*.

A *Motion for confidentiality* can be filed by an applicant, registered intervener, or their respective representative.

A representative of an applicant or registered intervener has system permissions to create and register on the public record the *Motion for confidentiality*, but must be granted confidential access by their respective client to upload the confidential documentation that is required to finalize the motion (see section 17.1, step 3).

Participants wanting access to the confidential record must file the filing type: *Confidentiality undertaking* and be granted confidential access by the disclosing party. See Requesting access to the confidential documents.

Members of a registered group and their representatives are not permitted to initiate or register the following filing types: *Motion for confidentiality* and *Confidentiality undertaking*. Should members, or their representatives, wish to seek confidential treatment for their own records or require access to confidential records, they must register as a single *Intervener*. The system accommodates individuals who are registered both as group members and interveners.

17.1 Requesting information to remain confidential and off the public record

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

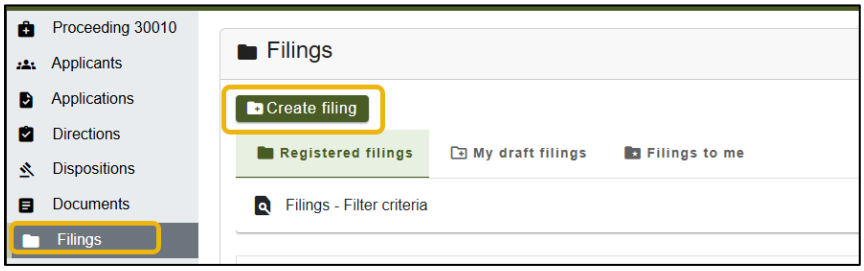
Step 1: the disclosing party or their representative creates a *Motion for confidentiality* filing.

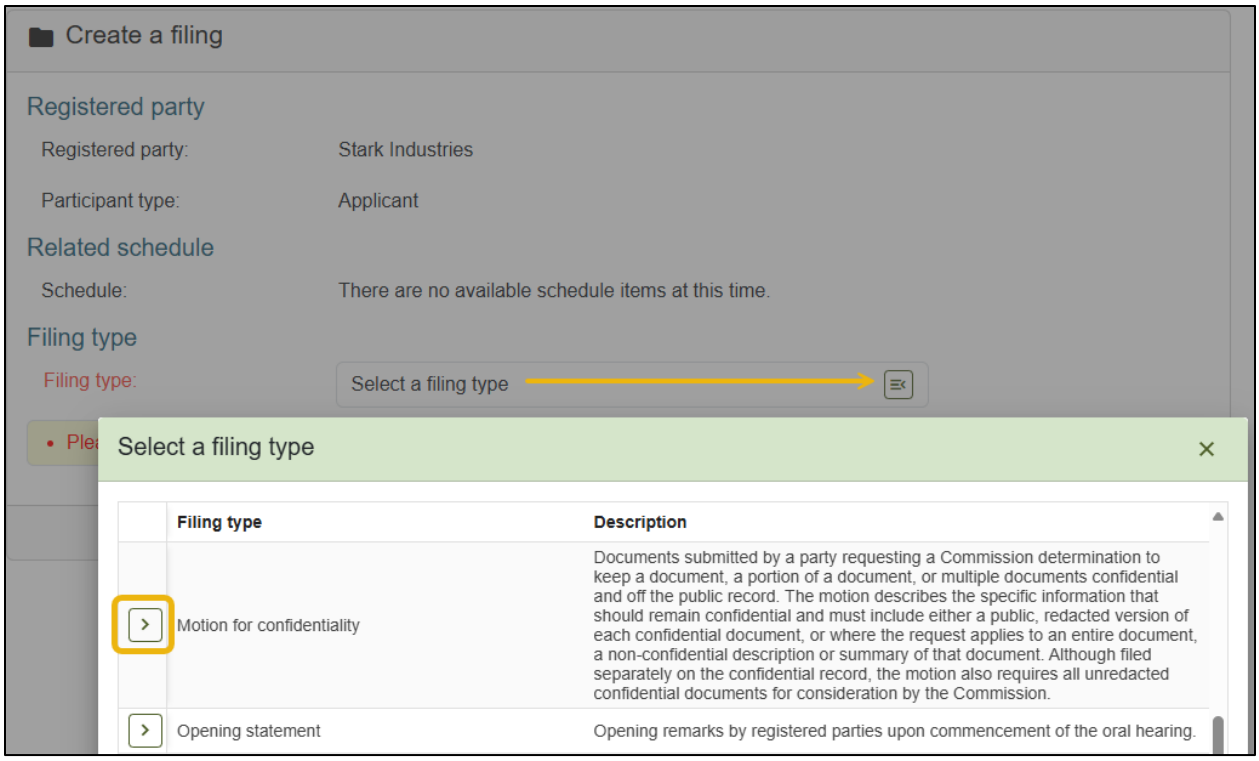
Step 2: the disclosing party or their representative uploads and registers to the public record the motion document, which must include the reasons and specific harm that would result if the document was placed on the public record, and either a redacted version of each of the confidential documents, 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 for consideration by the Commission. Note: Where the representative is uploading the confidential documents on behalf of their client (the disclosing party), the disclosing party must first grant their representative confidential access.

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.



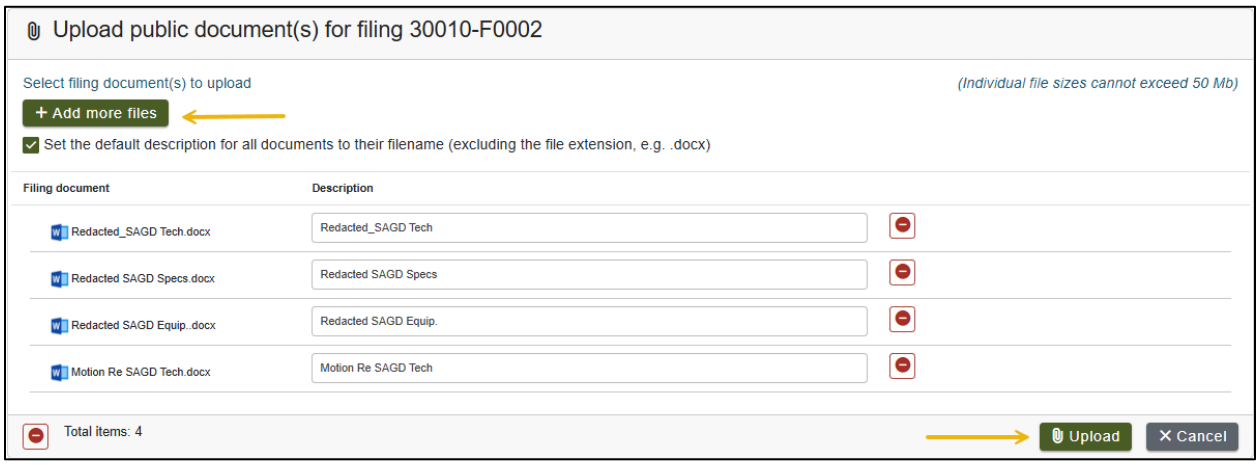


Upon saving the filing, the user is directed to the **Public Filing details** screen to upload the motion and related public files.

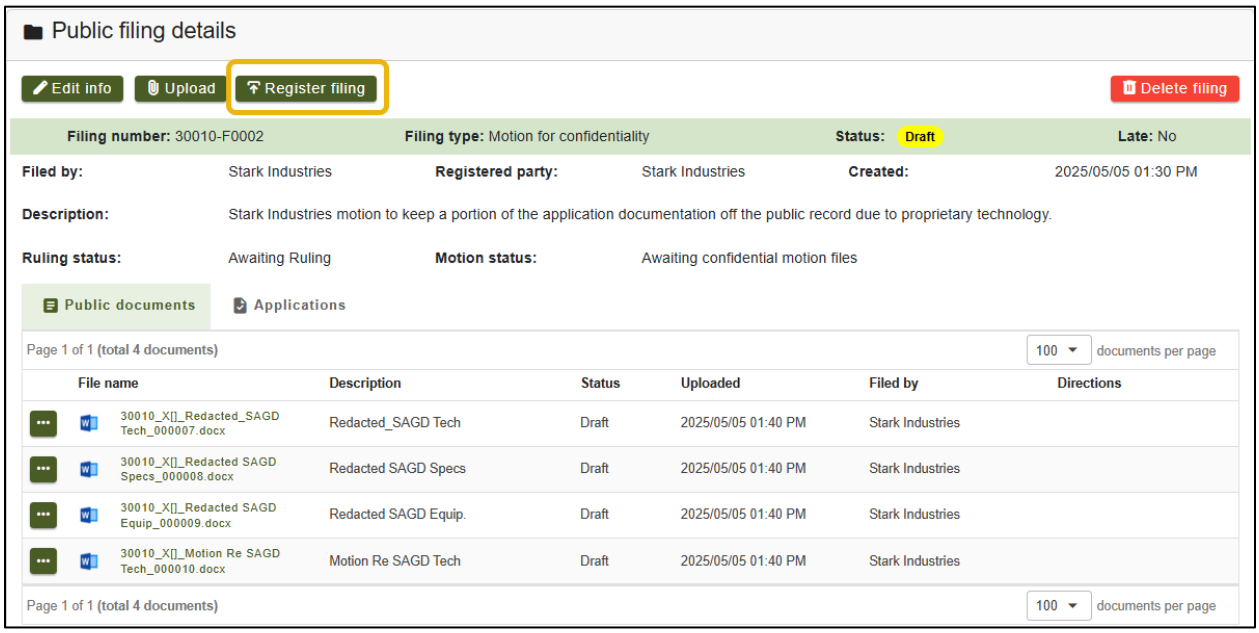
Step 2: Select the public files to upload to the public record

From the **Public Filing details** screen select *Upload*. Review the public document disclaimer and if in agreement acknowledge and agree to the AUC privacy policy. Select *Add more* files. Browse and select your motion for confidentiality 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. Once all files are uploaded, select *Upload*.

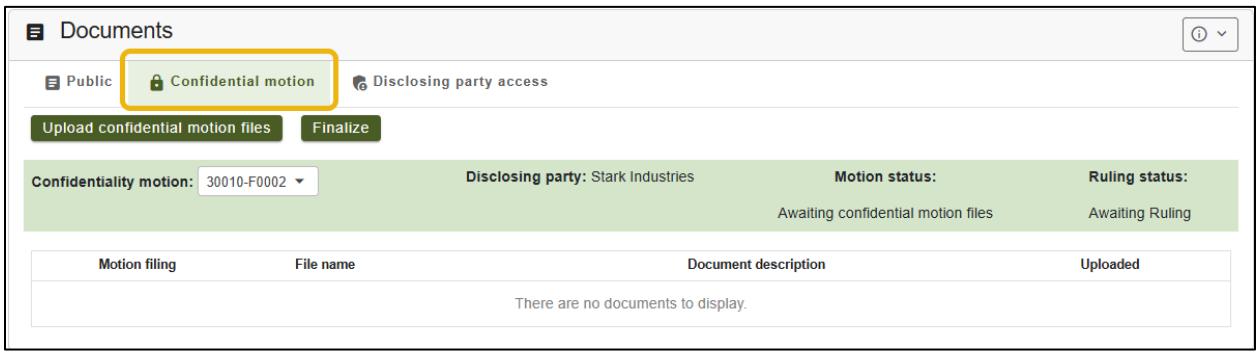
Do not include the confidential documents at this step.



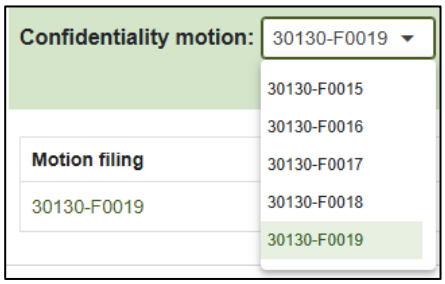
From the **Public filing details** screen, select *Register filing*. When the filing is registered, the system assigns exhibit numbers to the documents and the filing becomes part of the public record.



Upon registration of the *Motion for confidentiality* filing, the user will be directed to the **Documents** screen, *Confidential motion* tab.



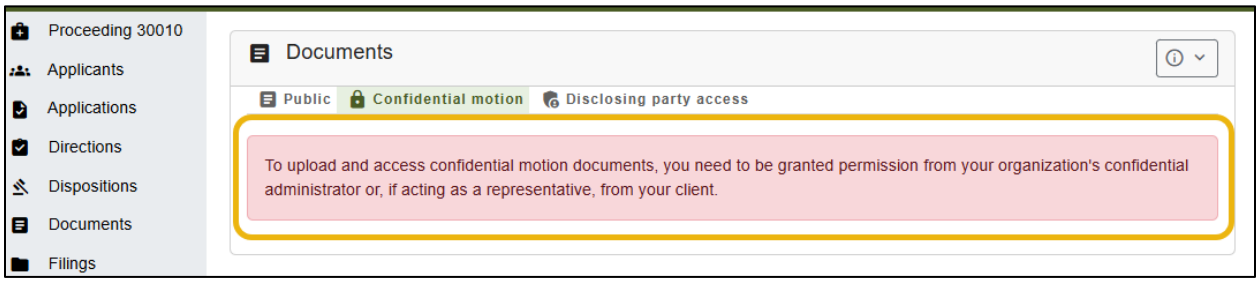
Note: If a disclosing party registers multiple motions for confidentiality, the details and status of each motion are available to the disclosing party and their representative by selecting the *Confidentiality motion* drop-down menu. Select the filing number for the motion of interest.



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

If a representative is registering the motion on behalf of the disclosing party, the disclosing party must grant the representative confidential access through their eFiling account.

Confidential access can only be granted after the *Motion for Confidentiality* is registered.



To grant confidential access to a representative after the motion is registered, the disclosing party must login to their eFiling account and navigate to the proceeding's **Documents** screen.

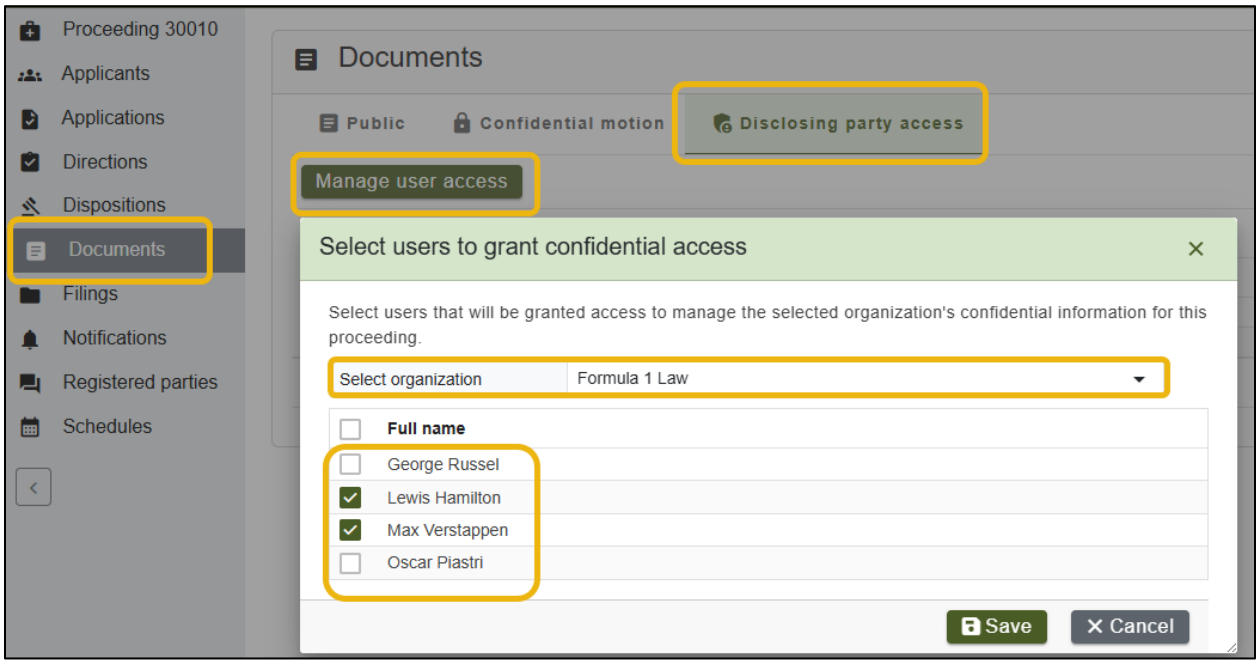
Select the *Disclosing party access* tab.
Select *Manage user access*.

From the **Select users to grant confidential access** window, select the drop-down menu and select the representative's organization.

Select which users from the representative's organization confidential access will be given to.

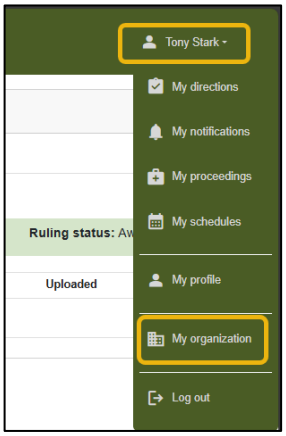
Select *Save*.

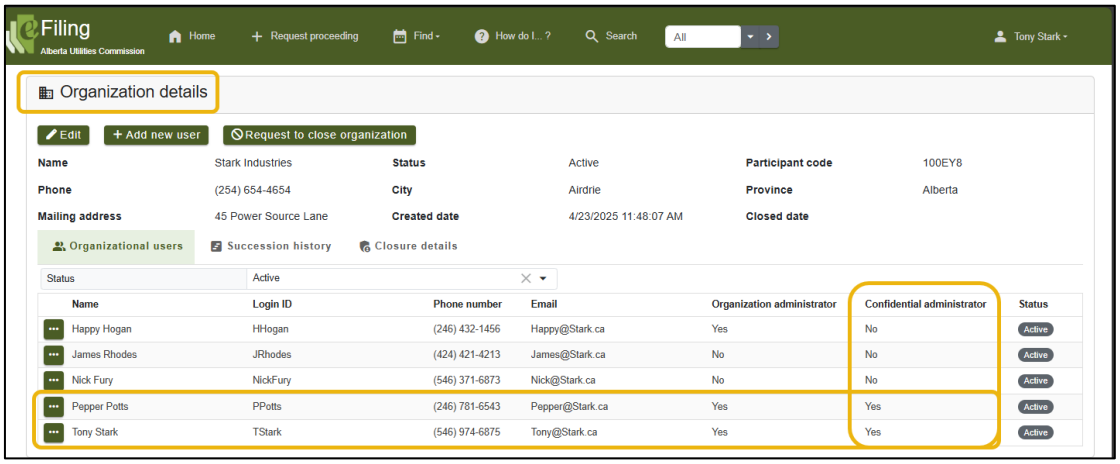
The selected individuals will have permission to upload and view the disclosing party's confidential material.



Where the disclosing party is uploading the confidential records, 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. To view who in your organization has confidential administrator access, select your name from the top right corner of the screen. Select *My organization* from the drop-down menu.

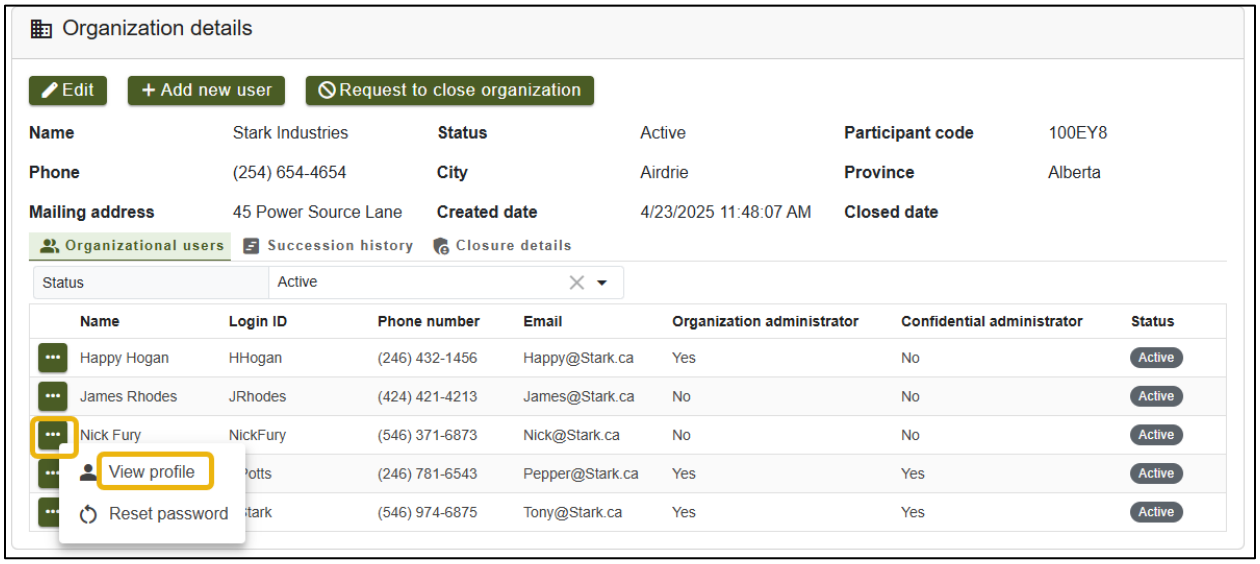
From the **Organization details** screen, view the organizational users and their confidential administrator status in the *Confidential administrator* column.



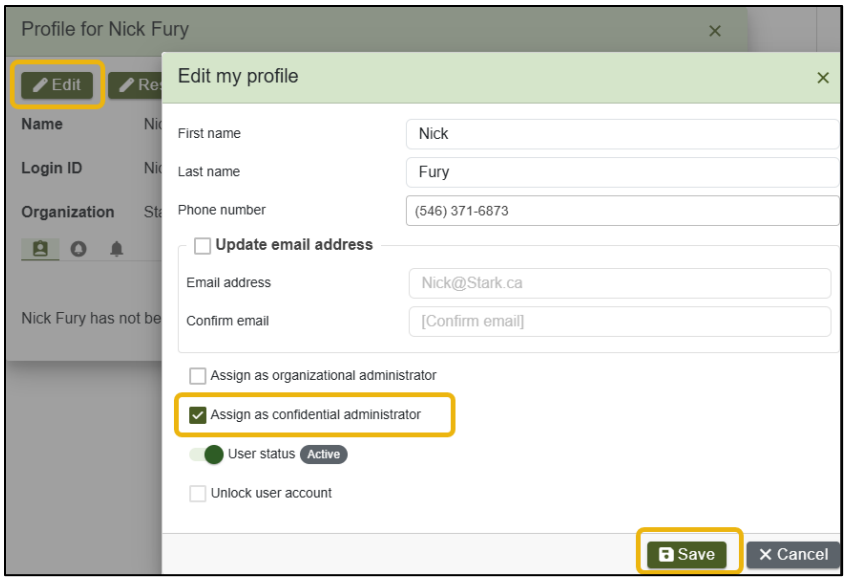


Organizational users with both *Organization administrator* and *Confidential administrator* status have permission to set other organizational users to *Confidential administrator* status.

From the **Organization details** screen, select the document actions icon next to the user […].
Select *View profile*.



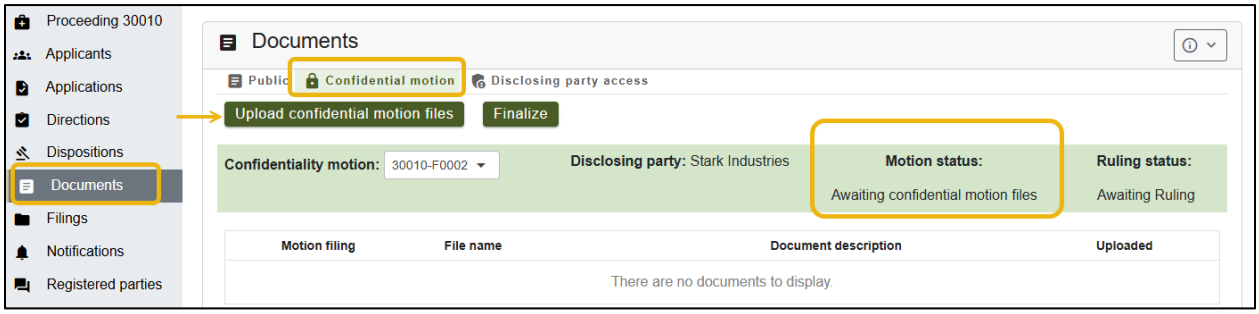
Select *Edit*.
Check *Assign as confidential administrator.*
Select *Save*.



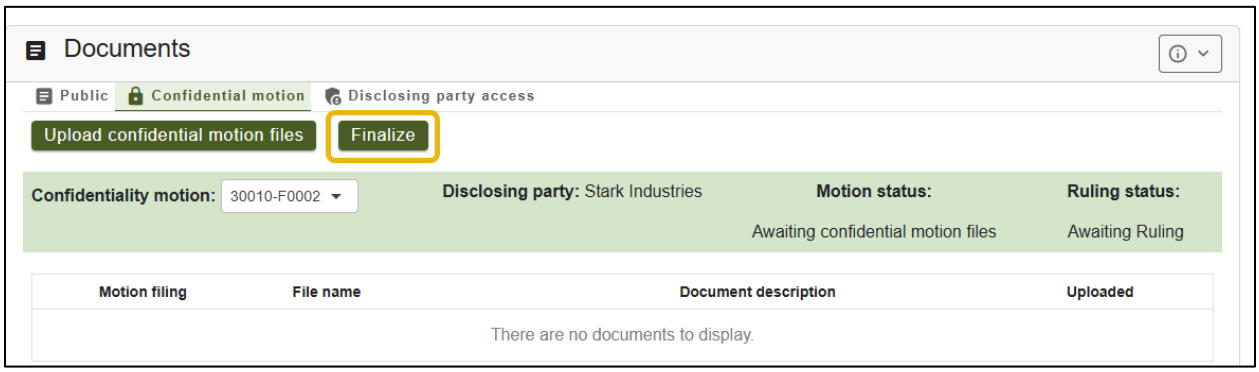
As the disclosing party with *Confidential administrator* status or a representative with granted confidential access, from the **Documents** screen, *Confidential motion* tab ensure the correct filing number is selected in the *Confidentiality motion* field.

Select *Upload confidential motion files*.

Select the unredacted confidential documents related to the motion for the Commission's consideration. Confidential documents can continue to be uploaded when the motion status is *Awaiting confidential motion files*.



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.

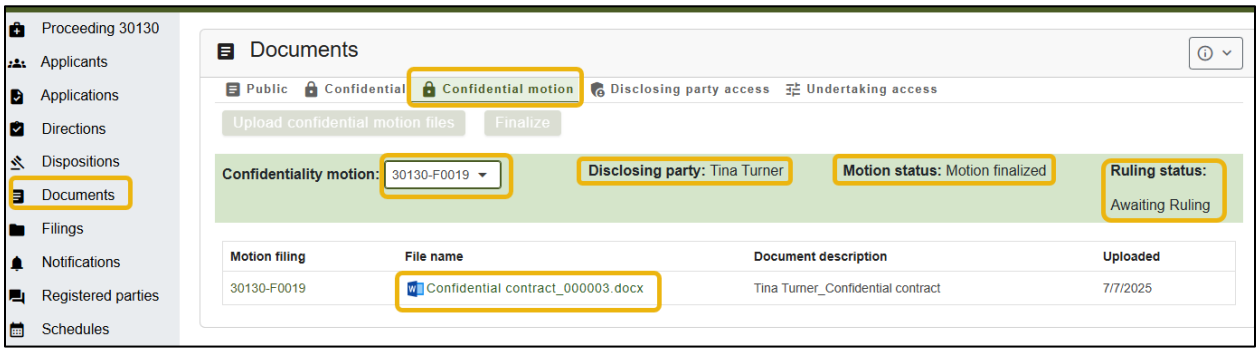
The Commission will grant or deny the *Motion for confidentiality* through a *Confidentiality ruling* filing. Once a *Confidentiality ruling* has been issued on an associated motion, all confidential motion files will be deleted automatically from the system in 60 days or at proceeding completion (whatever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

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.

Where a user is authorized to access multiple motions, the confidential documents for each motion are available from the **Documents** screen, *Confidential motion* tab. From the *Confidential motion* field select the drop-down menu and select the motion's filing number. The disclosing party name, motion and ruling status are displayed. The confidential documents are listed and can be opened by selecting the file name.



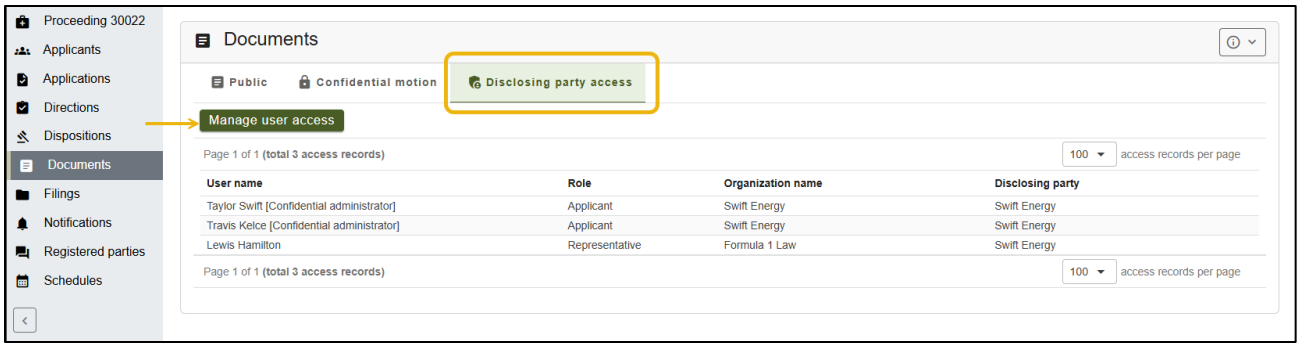
17.2 Disclosing party access

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.

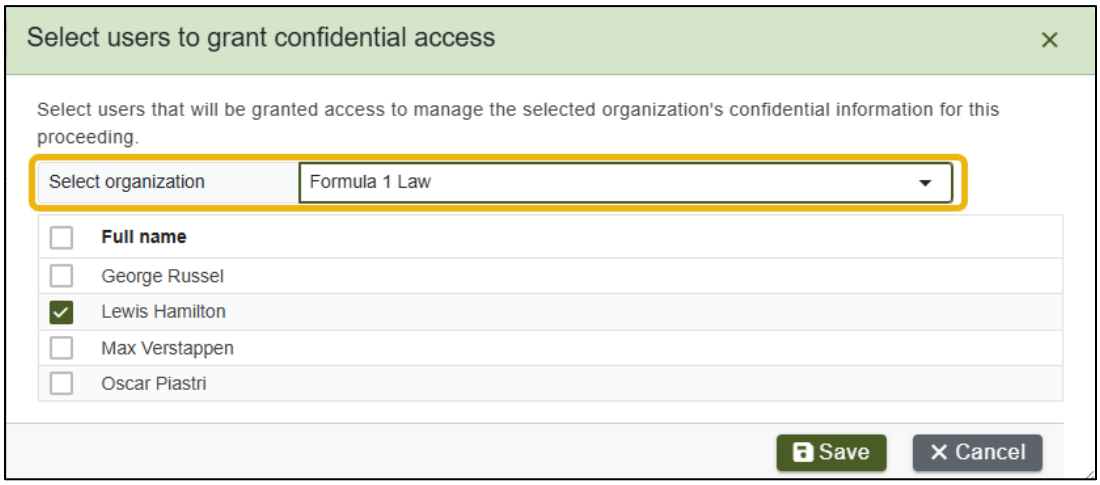
Confidential administrators for the disclosing party's organization are automatically added by the system to the disclosing party access screen.

To give other users from your organization or representative organizations confidential access to a proceeding, from the proceeding's **Documents** screen, select the *Disclosing party access* tab. The tab only becomes available after a *Motion for confidentiality* is registered.

Select *Manage user access*.



From the **Select users to grant confidential access** window, select your organization or your representative's organization to see a list of respective organizational users. Select which users to grant confidential access to. Select *Save*.



17.3 Re-submitting confidential documents

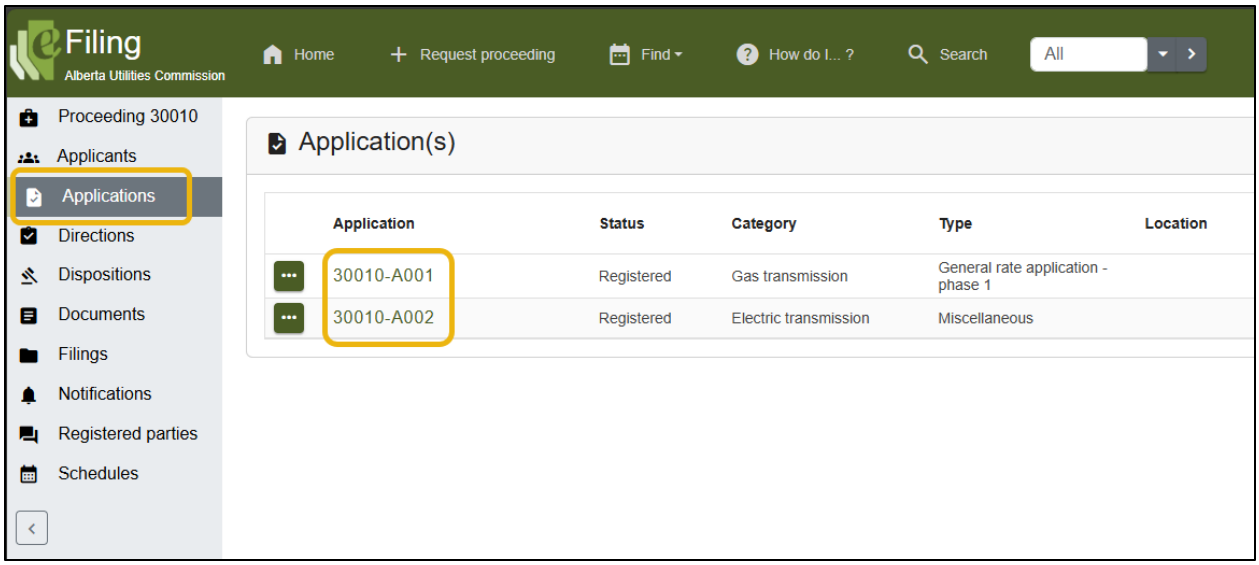
Once the AUC issues a *Confidentiality ruling* granting the associated *Motion for Confidentiality*, the disclosing party is required to re-submit the confidential documents that are specified in the *Confidentiality ruling*. For each confidential application or filing document that is re-submitted, 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.

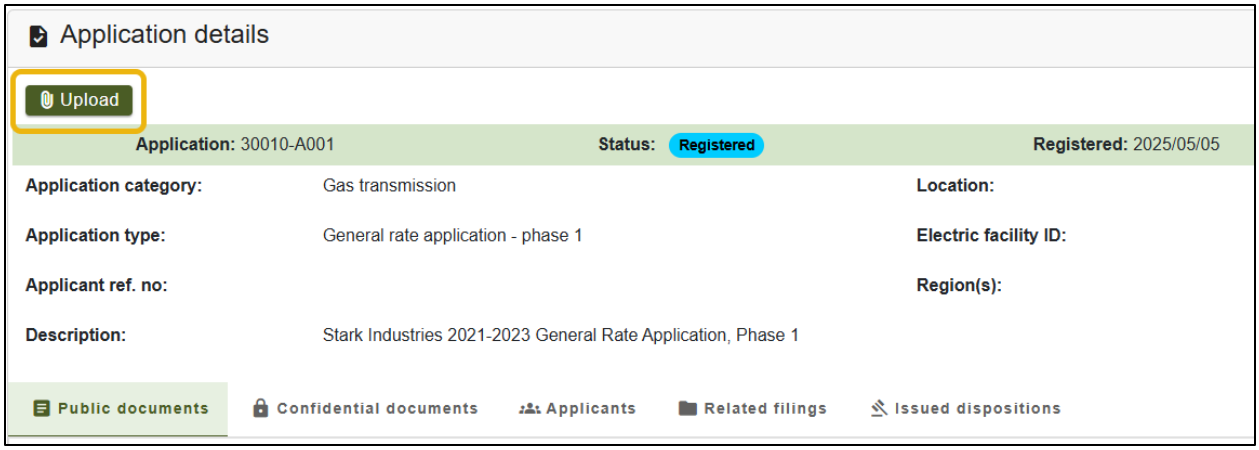
Confidential filings or application documents can also be filed by other parties that have submitted a *Confidentiality undertaking* and have been granted access by the discloser of the confidential information.

17.3.1 Upload confidential application documents

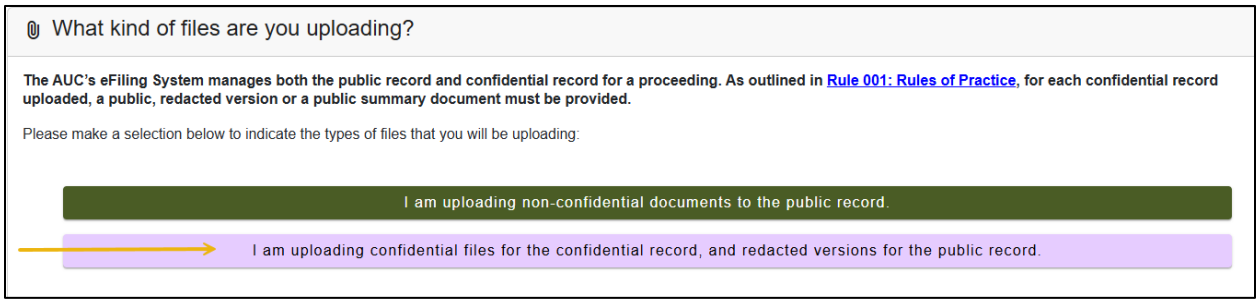
From the **Applications** screen, select the application that confidential application documents are being uploaded to.



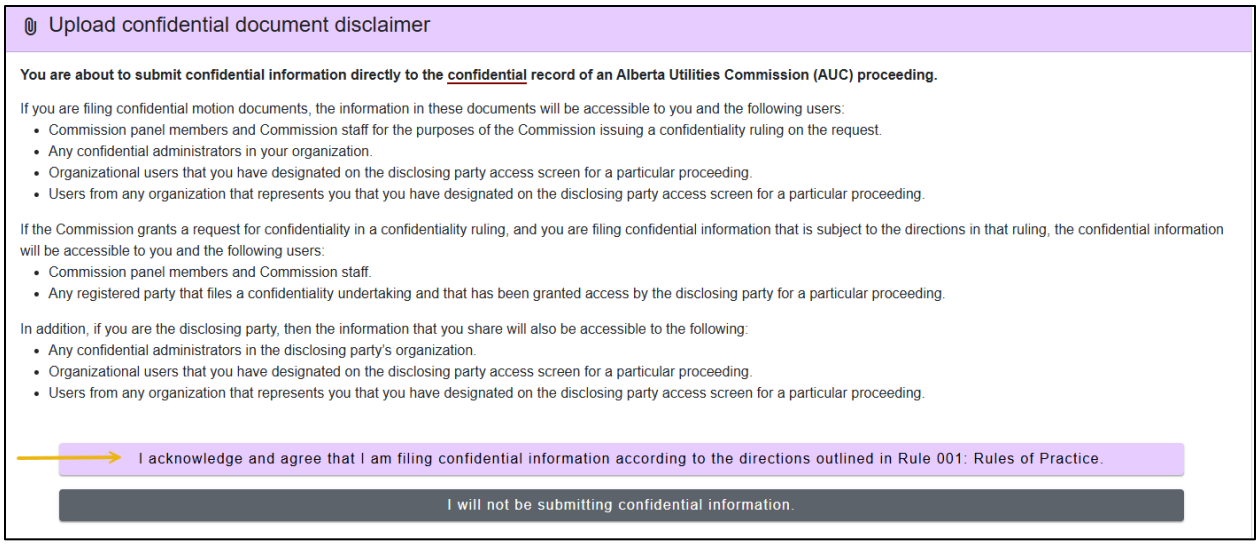
From the **Application details** screen select *Upload*.



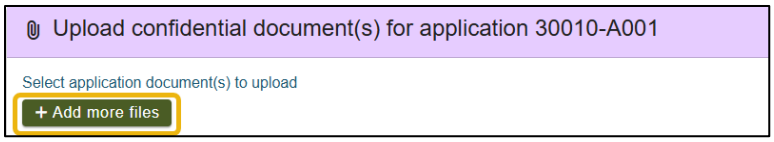
Select to upload confidential files for the confidential record and redacted versions for the public record.



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

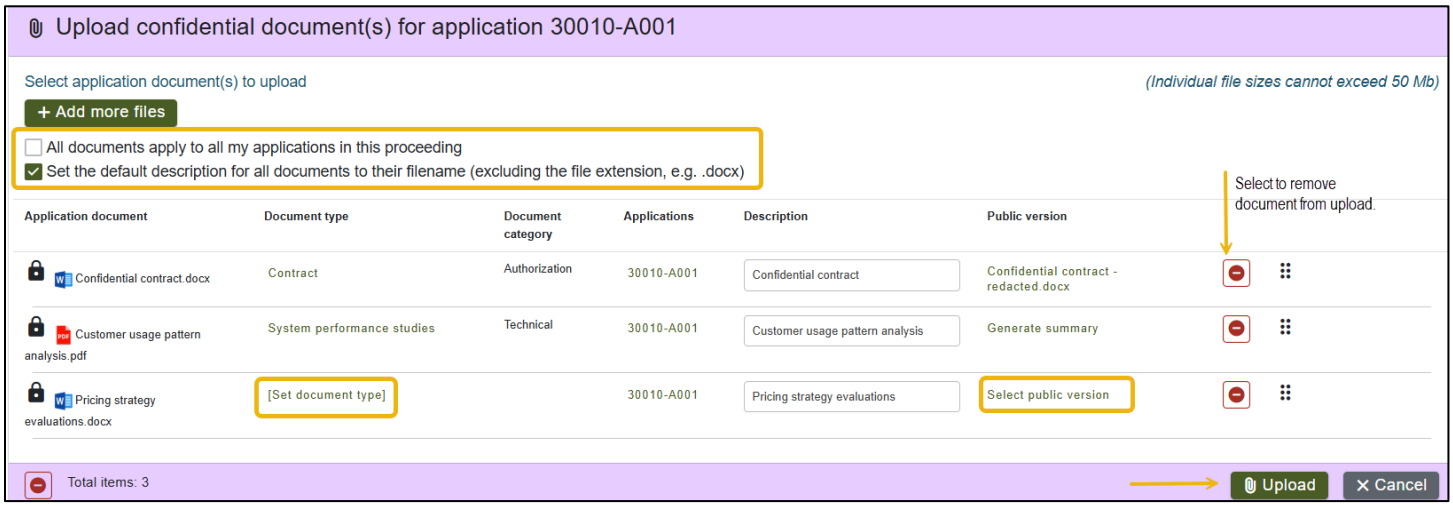


Select *+Add more files* to browse and select the confidential application documents.

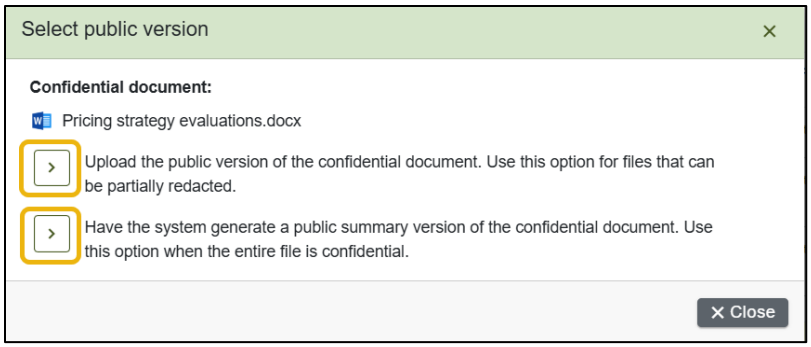


In the uploader screen:

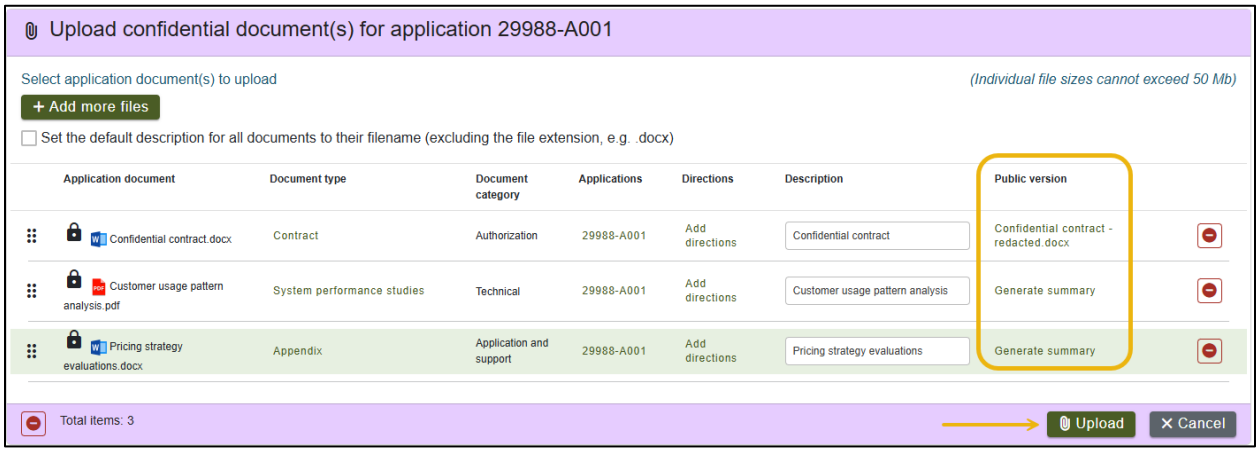
- Use the check box to indicate if all documents apply to all applications in the proceeding.
- Use the check box to apply the filenames as the default document descriptions or manually enter a description for each document.
- For each document, select the *Set document type* link to open and associate a document type to each application document.
- Select a public version for each document by clicking the *Select public version* link.



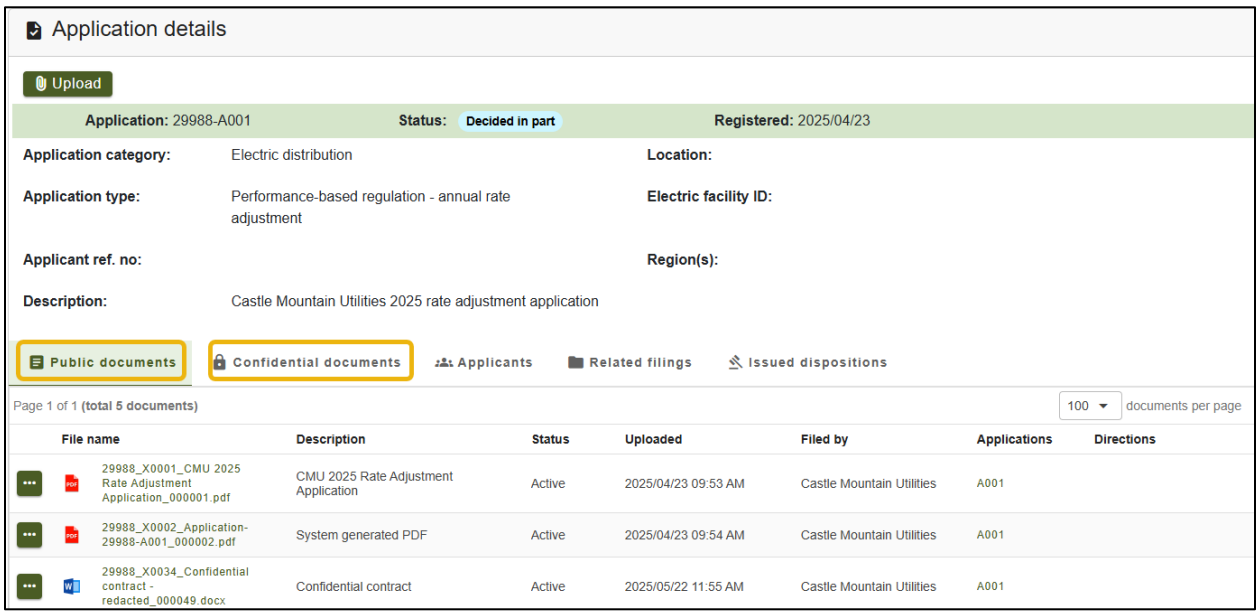
When selecting the public version for each document, there are two options: upload a redacted document for the public record, or have the system generate a summary page for the public record.



Ensure that every confidential document has a corresponding redacted version or generated summary for the public record and then select to *Upload*. Application documents are immediately registered to the respective public and confidential records.



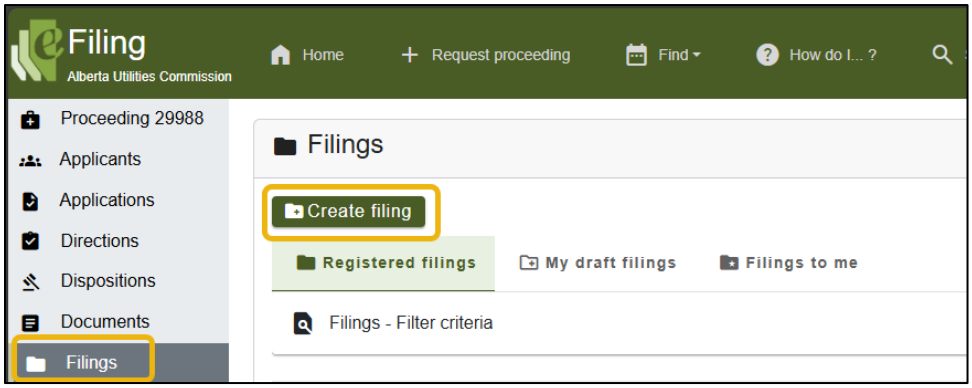
All confidential application documents are available on the *Confidential documents* tab on the **Application details** screen. All corresponding public versions are available on the *Public documents* tab.



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

17.3.2 Upload confidential filing documents

Create a new filing.

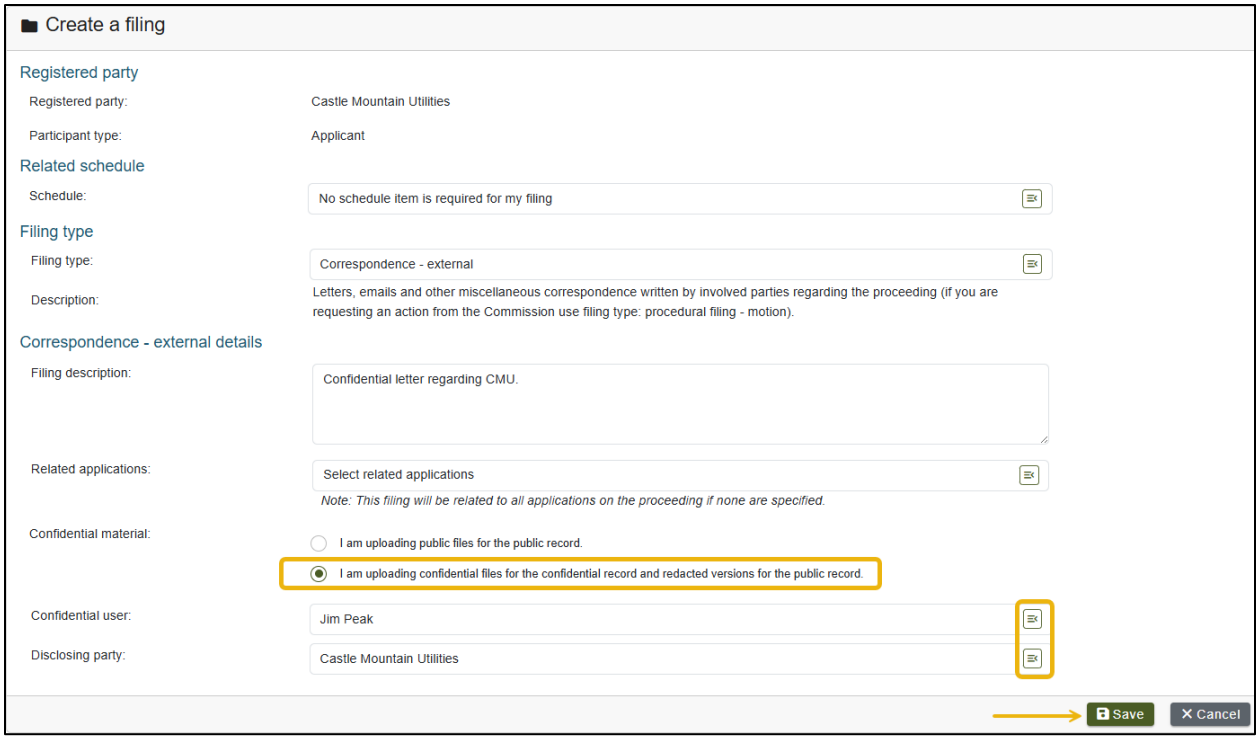


In the **Create a filing** form, select a corresponding schedule (if required and applicable to the new filing type). If no schedule type corresponds to the filing, select *No schedule item is required for my filing*.

Select the filing type and enter a description. Confidential documents can be filed on all available filing types on confidential proceedings.

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

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



From the **Confidential filing details** screen, select *Upload*.

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

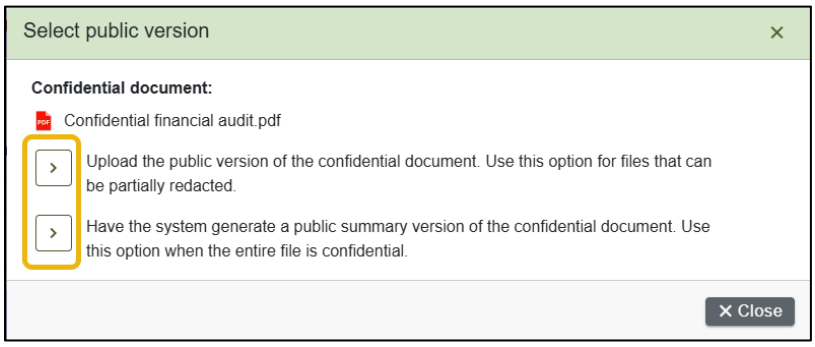
Acknowledge and agree that you are filing the confidential information according to Rule 001: *Rules of Practice*.

Select *+Add more files* to browse and select the confidential documents.

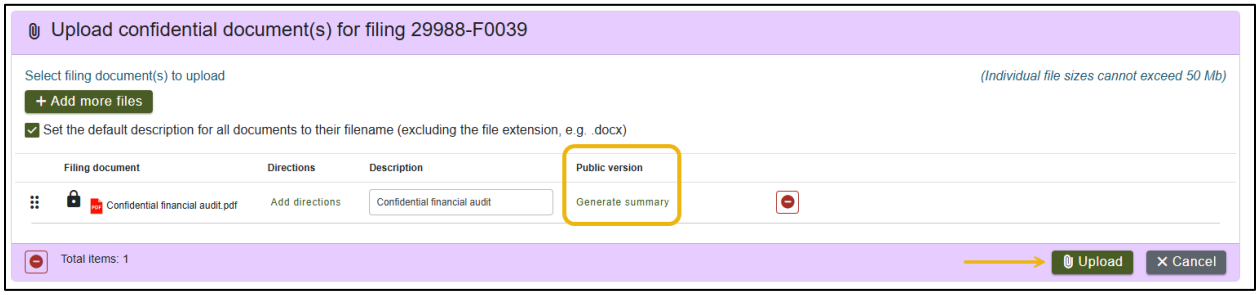
In the uploader screen, check the box to use the filename as the default description or manually enter a description for the document(s).

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

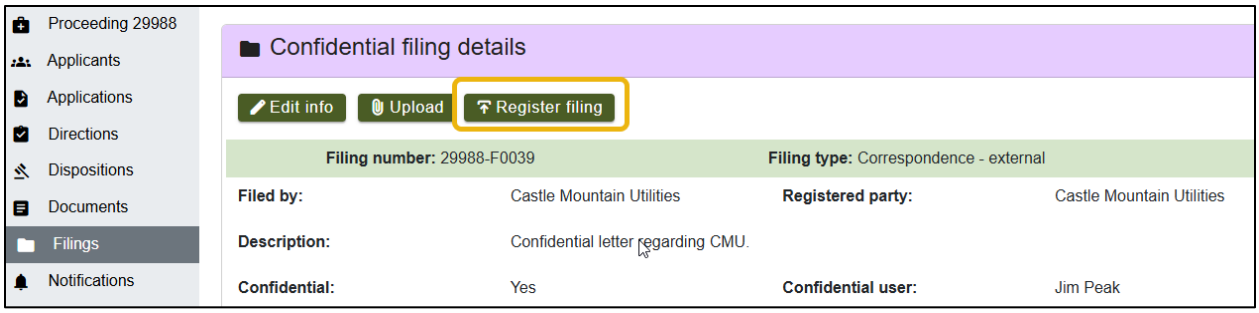
Select the *Select public version* link and select to either upload a public redacted version or have the system generate a summary.



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



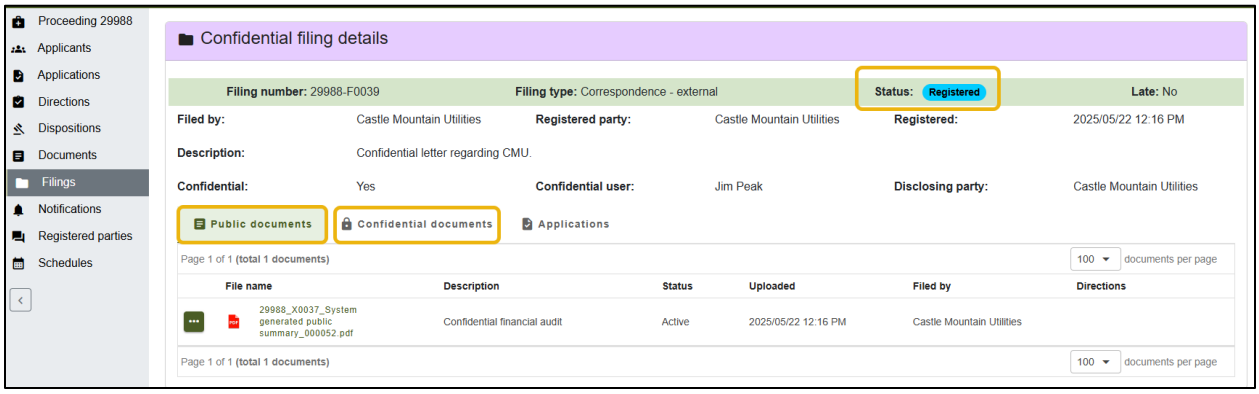
To register the filing, in the **Confidential Filing details** screen, select *Register filing*.



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.

The public and confidential versions of the documents are also available on the **Documents** screen under the *Public* and *Confidential* tabs.

Confidential transcripts and the associated public versions will not appear on either the public or confidential records. Upon registration, the system defaults the transcript status to internal only. The AUC manages the external publication of all transcripts registered in the eFiling System.



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 filing type: *Confidentiality undertaking* and that has been granted access by the disclosing party for a particular proceeding.

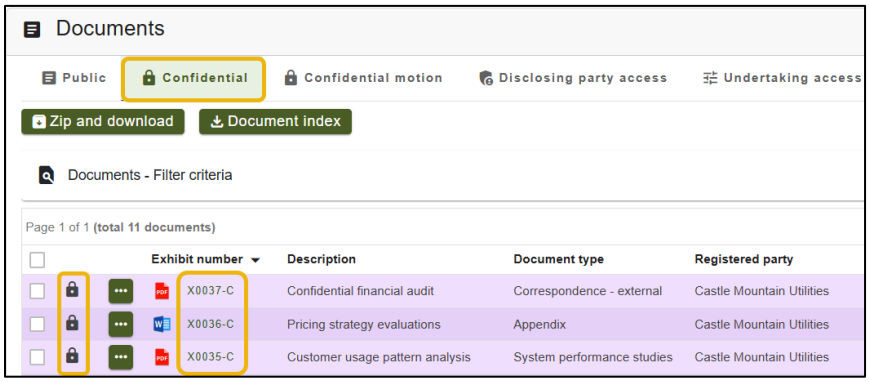
In addition, if you are the disclosing party, then the information that you share will also be accessible to the following:

- Any confidential administrators in the disclosing party's organization.
- Organizational users that you have designated on the *Disclosing party access* tab in the **Documents** 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 display a lock symbol and append the letter C to the end of the exhibit number.

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.



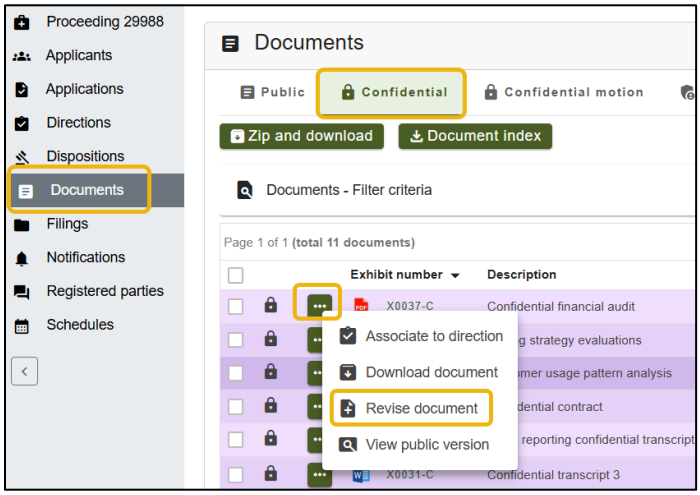
17.5 Revisions to confidential documents

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.

To register a revision, from the **Documents** screen select document actions […] to the left of the document being revised. From the document actions menu select *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 user guide section: Revising a document for complete instructions.

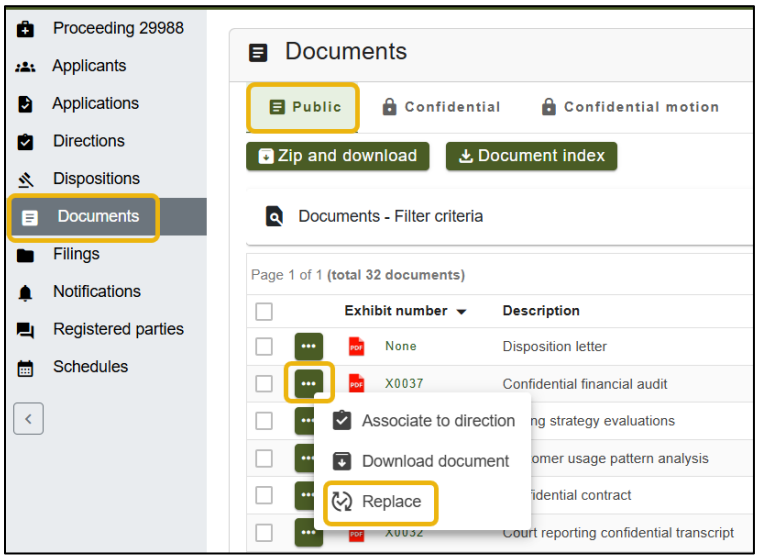


17.6 Replace a public summary document with a redacted version

As system-generated documents are not eligible for revision, a party may choose to replace the public system generated summary document with a redacted version. A replacement does not require a blackline and clean version and exhibit number extensions do not apply to replacement documents.

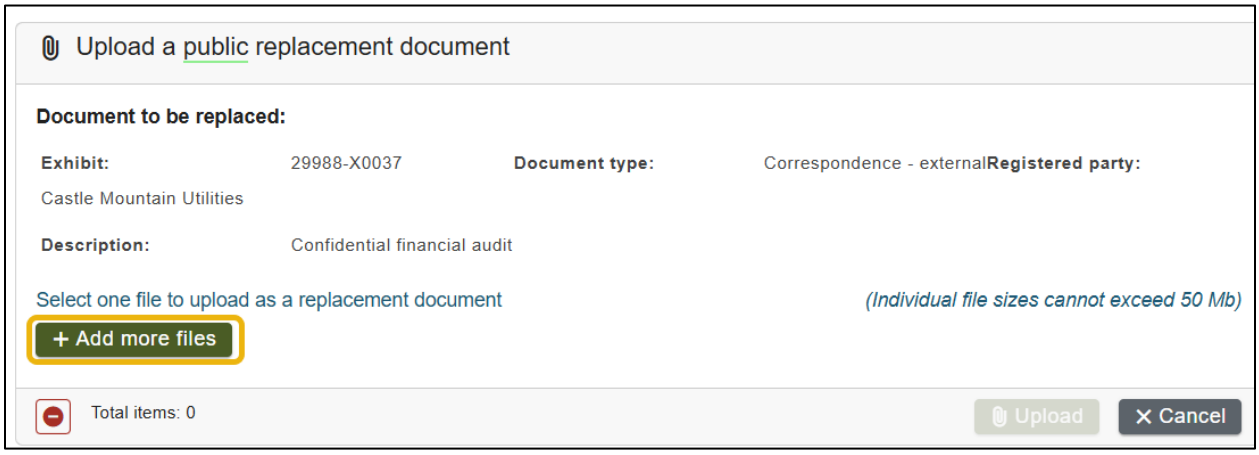
To replace a public summary document, from the **Documents** screen select the *Public* tab. Locate the system generated public summary.

Select document actions […] available to the left of the document. Select *Replace*.



Review and accept the AUC document disclaimers.

In the **Upload a public replacement document** screen, select *+Add more files* to browse and select the desired file. Only one document can be used as a replacement for the summary.



Select *Upload*. The system immediately replaces the system generated public summary with the uploaded document. The AUC lead application officer and counsel receive an email message indicating that the replacement document has been uploaded.

17.7 Requesting access to the confidential documents

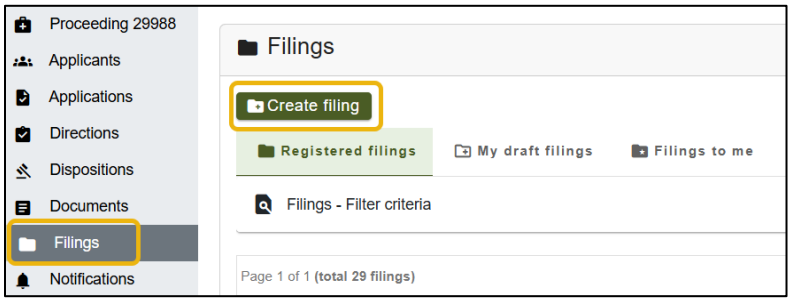
As described in Rule 001: *Rules of Practice*, if an individual wishes to be granted access to the confidential information for the purposes of participating in a proceeding, they are required to submit a *Confidentiality undertaking* form (RP5 form available on the AUC website). Everyone in an organization 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.

Court reporters registering confidential transcripts of an oral hearing must first file a *Confidentiality undertaking* and be granted access by the disclosing party.

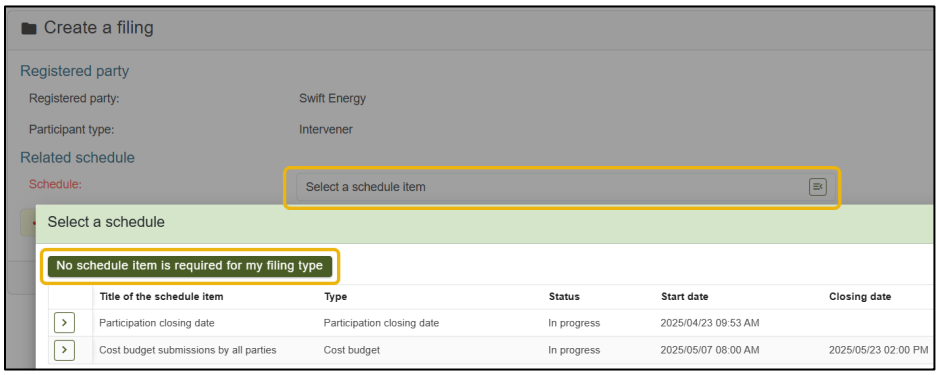
17.7.1 Filing a confidentiality undertaking

In order to file a *Confidentiality undertaking* to request access to confidential information, you must first be a registered party on the proceeding.

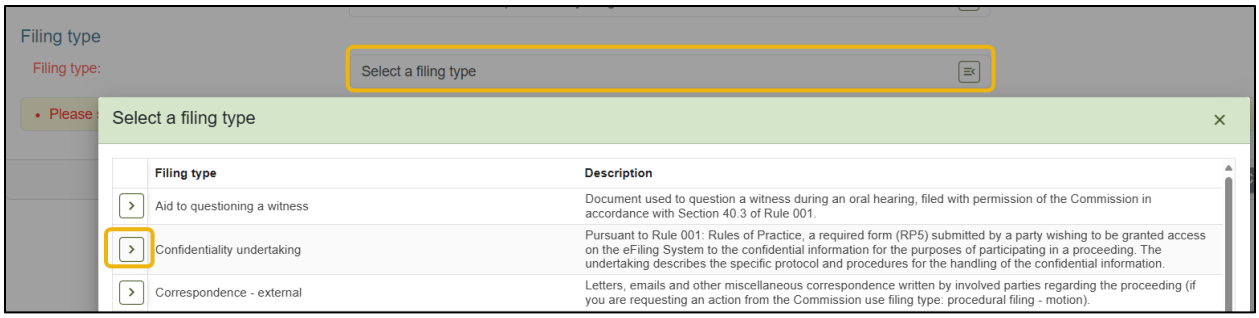
From the **Filings** screen, select *Create filing*.



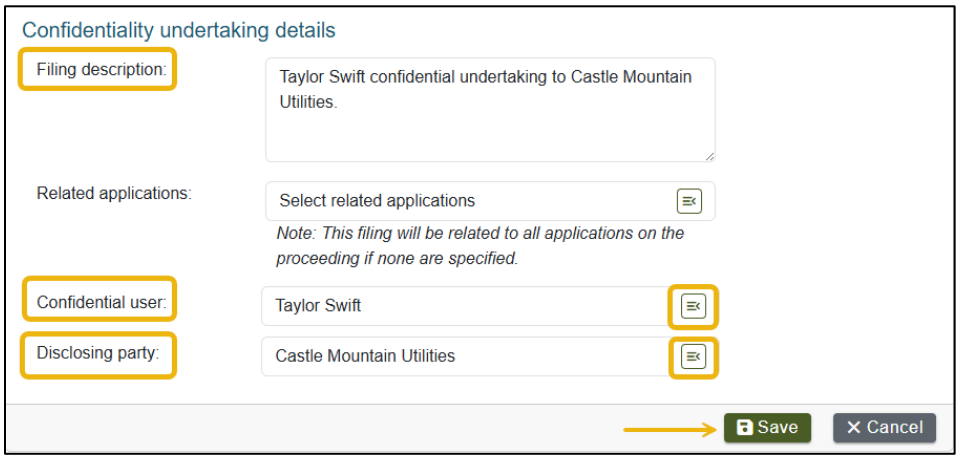
Under *Related schedule,* if required, select *No scheduled item is required for my filing type*.



Under *Filing type*, select filing type *Confidentiality undertaking*.



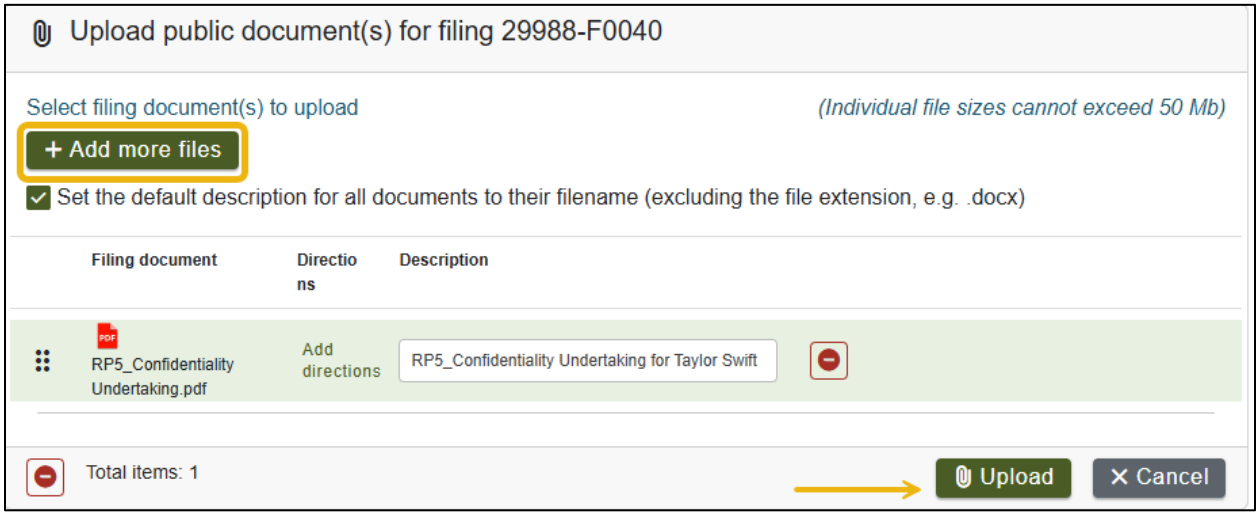
Enter a filing description.
Select the confidential user from your organization that requires access to the confidential information.
Select the disclosing party (owner) of the confidential information you are requesting access from.
Select *Save*.



In the **Public filing details** screen select Upload.
Review and accept the public document disclaimers.

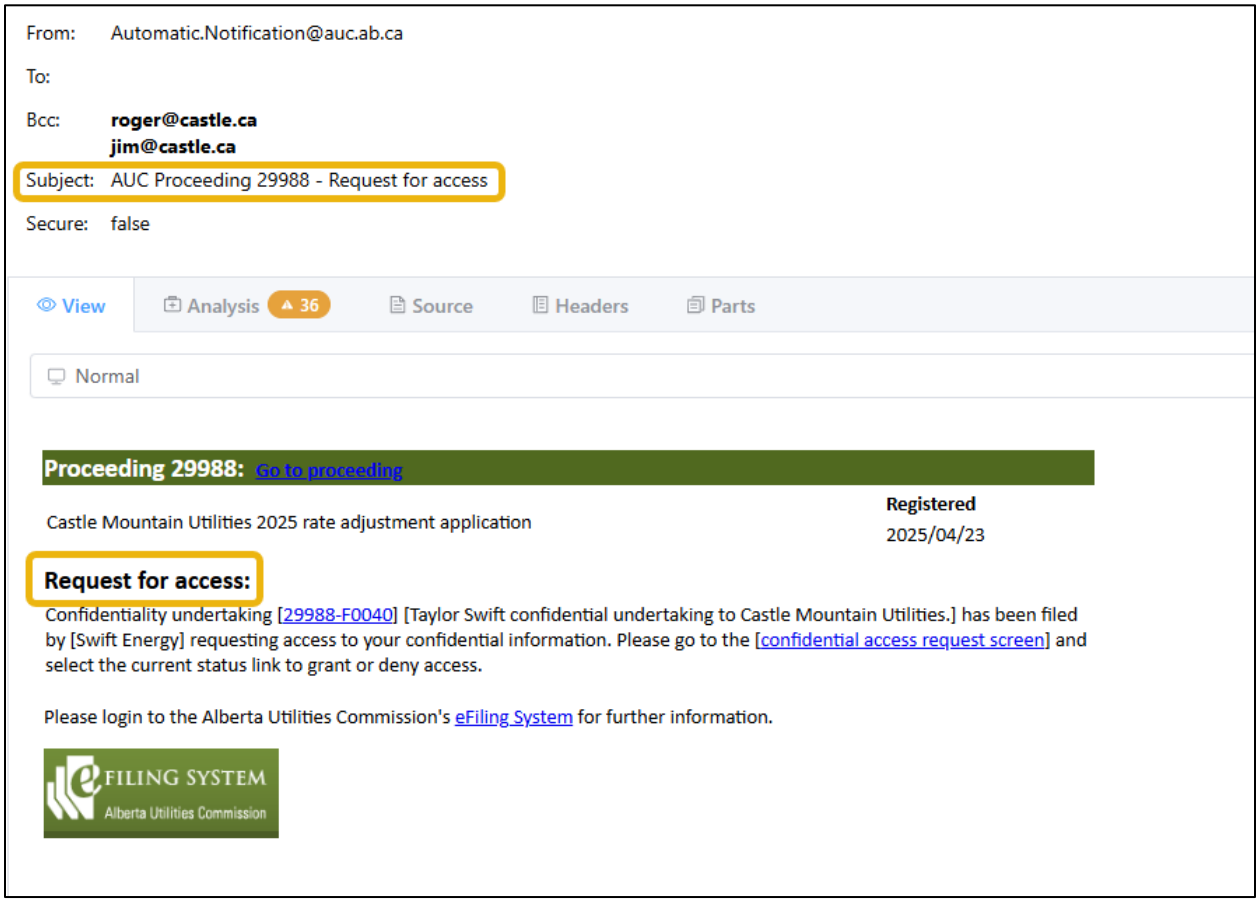
From the **Upload public document(s)** screen, select *+Add more files* to browse and select your completed RP5 form. The RP5 form is available on the AUC website with Rule 001: *Rules of Practice*.

Select *Upload*.



From the **Public filing details** screen, select *Register filing*.

Upon registration of the *Confidentiality undertaking* filing, an email message is sent to the confidential administrator(s) of the disclosing party notifying them that a request for access has been made.


From: Automatic.Notification@auc.ab.ca

To:

Bcc: **roger@castle.ca**
jim@castle.ca

Subject: AUC Proceeding 29988 - Request for access

Secure: false

View | Analysis 36 | Source | Headers | Parts

Normal

Proceeding 29988: Go to proceeding

Castle Mountain Utilities 2025 rate adjustment application

Registered
2025/04/23

Request for access:

Confidentiality undertaking [29988-F0040] [Taylor Swift confidential undertaking to Castle Mountain Utilities.] has been filed by [Swift Energy] 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.

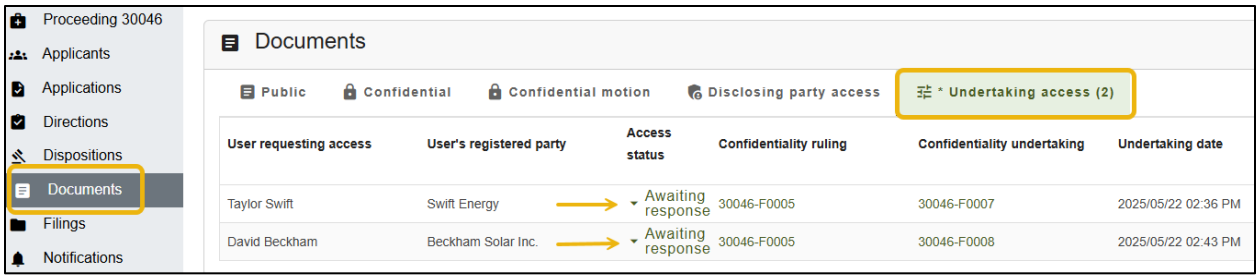
eFILING SYSTEM
Alberta Utilities Commission

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.

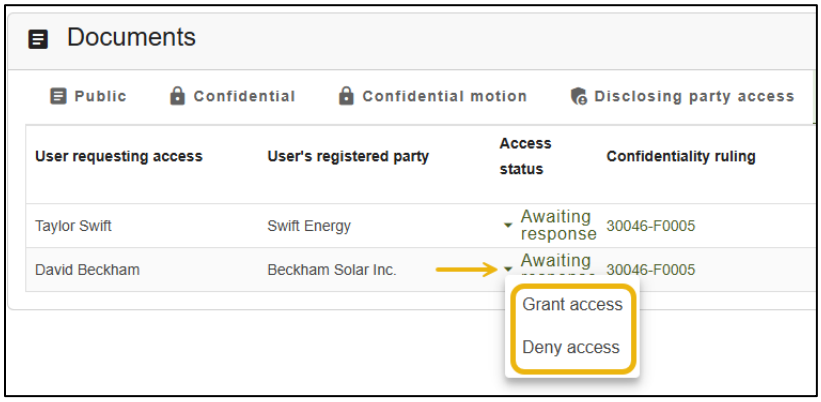
17.8 Disclosing party grants or denies access requests

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.



Click the access status for each requestor to display a drop down menu. Select to either grant or deny the requestor access to your confidential material.



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.

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*.

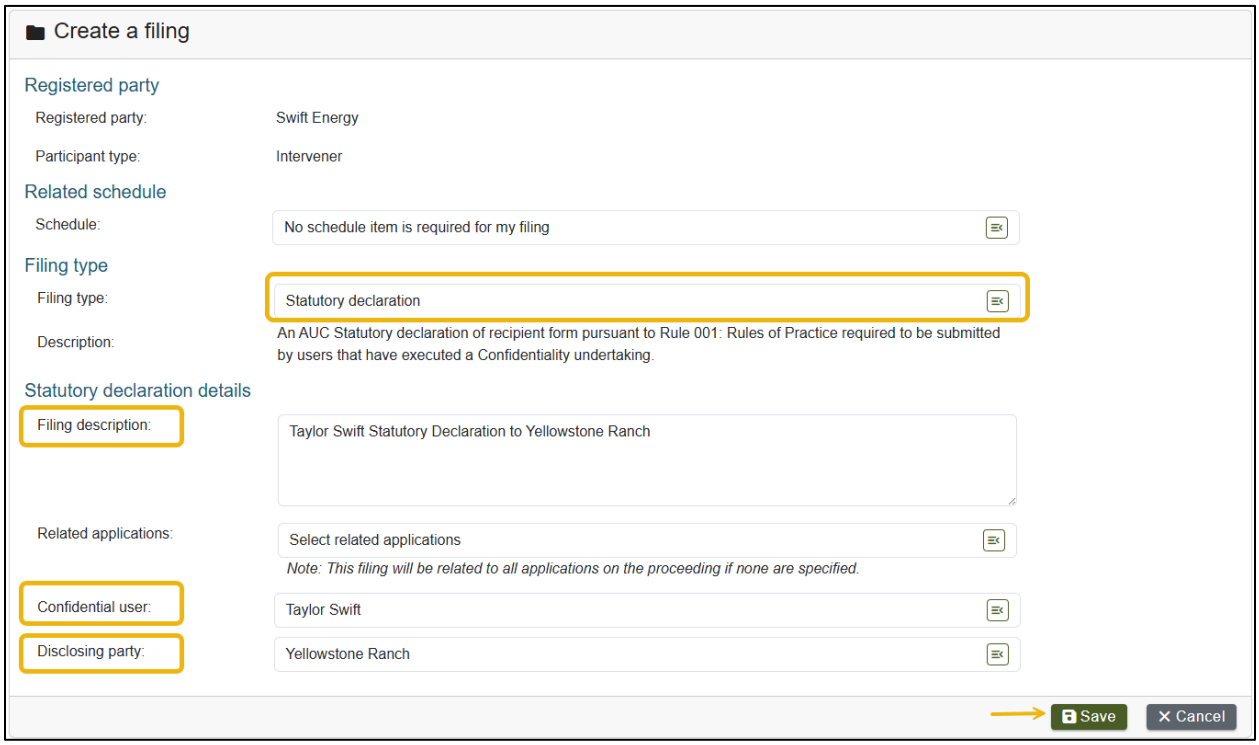
Statutory declarations are expected to be filed within 60 days of a disposition being issued, unless the disposition is related to a further compliance application, review and variance application or appeal. The filing of a statutory declaration can be delayed if there is a compliance filing or review and variance applications.

Statutory declarations are required to be filed for each disclosing party that has granted you access.

17.10.1 File a statutory declaration

To file a statutory declaration, create a new filing. A schedule item is not required for this filing type.

Select filing type *Statutory declaration*.
Enter a description.
Select the confidential user and disclosing party.
Select Save.



From the **Public filing details** screen, select *Upload*.

Review and agree to the public document disclaimers.

In the **Upload public document(s)** screen, select *+Add more files* to browse and select your completed *Statutory declaration of recipient form*.

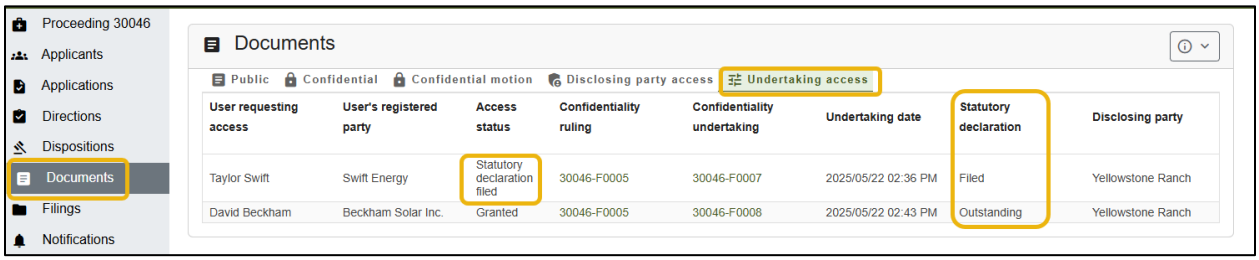
Select *Upload*.

In the **Public filing details** screen, select *Register filing*.

The statutory declaration status will change from *Outstanding* to *Filed* and access to confidential documents will be removed for the user.

17.10.2 Statutory declaration statuses

Statutory declaration statuses are displayed in the **Documents** screen, under the *Undertaking access* tab.



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.

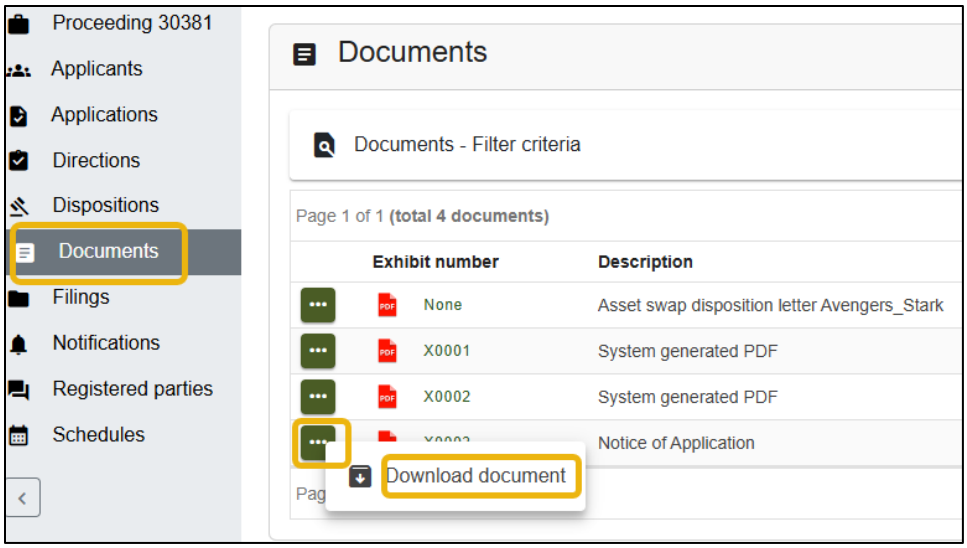
Once a statutory declaration filing is registered for an individual, access to confidential material on the confidential proceeding, and any related proceedings, is removed by the system.

18 Document downloads and index

18.1 Individual document download

All eFiling account holders can download individual documents from the public record of active or closed proceedings. Individual confidential documents can only be downloaded by the disclosing party and registered participants with confidential access who have not yet filed their statutory declaration.

To download an individual document, go to the proceeding's **Documents** screen, open the document's action menu […] and select *Download document*.



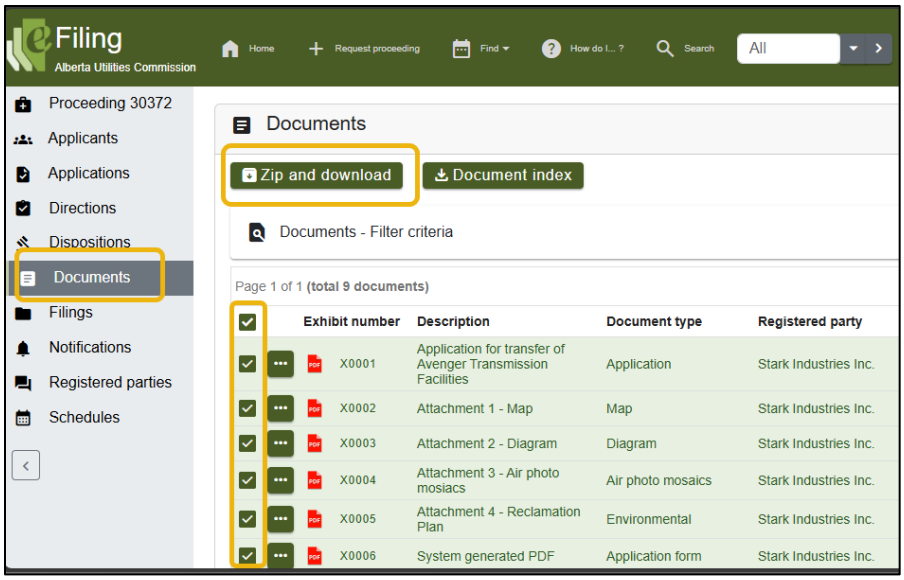
18.2 Multi-document download (*Zip and download)*

You can compress multiple proceeding documents into a zip file and download them to your computer. This allows you to work offline when disconnected from the eFiling System.

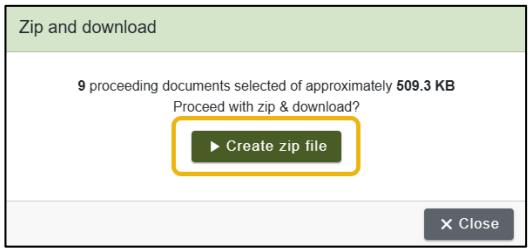
The *Zip and download* feature is available in the **Documents** screen for the following users.

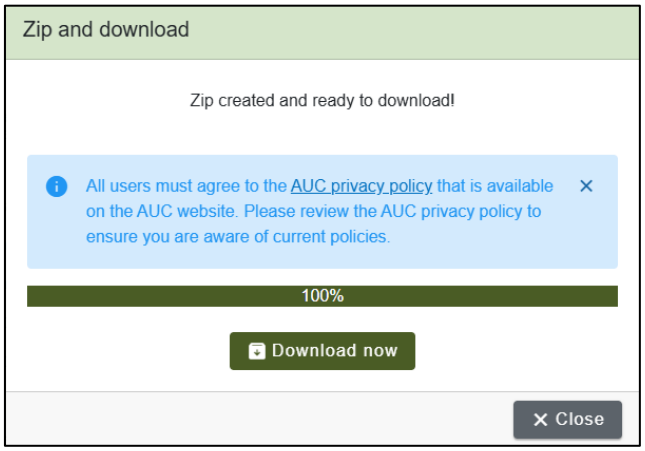
- **Draft proceedings** - Applicants can *Zip and download* documents they uploaded for their draft proceedings.
- **Active proceedings** – Registered participants and representatives can *Zip and download* documents. Confidential documents are restricted to the disclosing party and participants with confidential access. Registered observers are not considered a participant.
- **Closed proceedings** – *Zip and download* is unavailable unless the closed proceeding is related to an active proceeding. In such cases, the user must be a registered participant in both proceedings. Descendent proceedings are excluded.

To *Zip and download* all or a selection of proceeding documents, from the **Documents** screen, select individual documents to zip and download by checking the box to the left of the document, or check the first box listed to select all files. Click *Zip and download*.

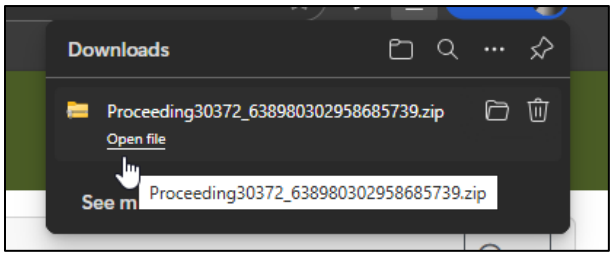


In the **Zip and download** window select *Create zip file*. Once the zip file is created, select *Download now*.



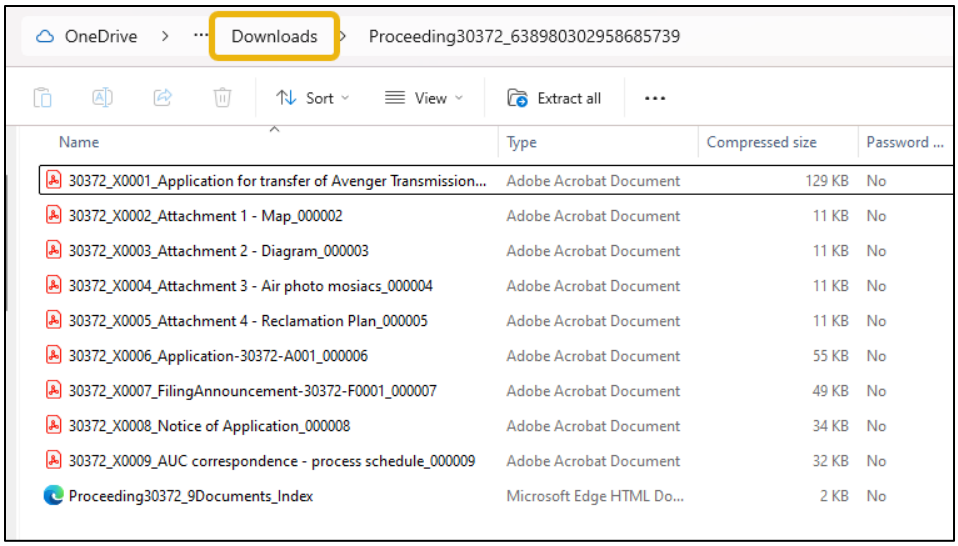


The zip file is available from your downloads. Select *Open file* to open the zip file.

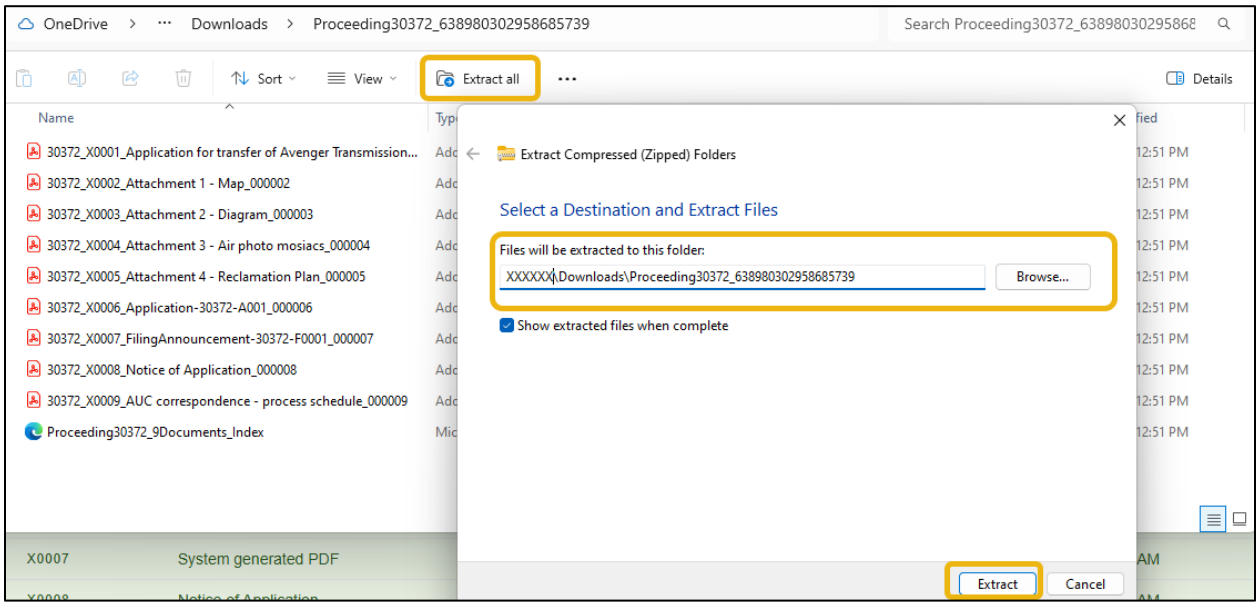


The user is redirected to the Downloads folder.

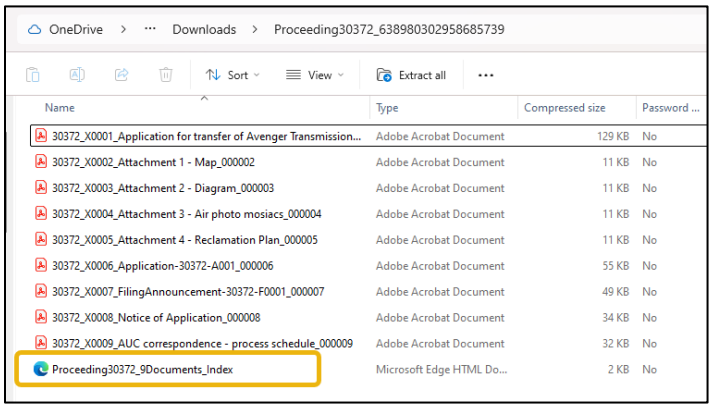
When documents are downloaded using the *Zip and download* feature, the exhibit number is prefixed to each file name. This practice enables efficient identification and display of exhibits during hearings, particularly when multiple documents are open or windows are minimized.



To unzip the folder, select *Extract all*. Retain the default location for the unzipped folder (Downloads), or browse to select a different location. Select *Extract*.



The document index generated as part of the zip and download package provides a list of the selected documents and links to open the documents directly from eFiling.



Proceeding documents for proceeding: 30372 — 2025/11/06 12:51 PM

Proceeding ID	30372
Proceeding description	Application for transfer of Avenger Transmission Facilities

File name	Exhibit	Document	Document type	Registered party	Uploaded	Reference	Link
30372_X0001_Application for transfer of Avenger Transmission Facilities_000001.pdf	X0001	Application for transfer of Avenger Transmission Facilities	Application	Stark Industries Inc.	2025/11/06 07:12 AM	A001	View document
30372_X0002_Attachment 1 - Map_000002.pdf	X0002	Attachment 1 - Map	Map	Stark Industries Inc.	2025/11/06 07:12 AM	A001	View document
30372_X0003_Attachment 2 - Diagram_000003.pdf	X0003	Attachment 2 - Diagram	Diagram	Stark Industries Inc.	2025/11/06 07:12 AM	A001	View document
30372_X0004_Attachment 3 - Air photo mosiacs_000004.pdf	X0004	Attachment 3 - Air photo mosiacs	Air photo mosaics	Stark Industries Inc.	2025/11/06 07:12 AM	A001	View document
30372_X0005_Attachment 4 - Reclamation Plan_000005.pdf	X0005	Attachment 4 - Reclamation Plan	Environmental	Stark Industries Inc.	2025/11/06 07:12 AM	A001	View document
30372_X0006_Application-30372-A001_000006.pdf	X0006	System generated PDF	Application form	Stark Industries Inc.	2025/11/06 07:13 AM	A001	View document
30372_X0007_FilingAnnouncement-30372-F0001_000007.pdf	X0007	System generated PDF	Filing announcement	Alberta Utilities Commission	2025/11/06 07:13 AM	F0001	View document
30372_X0008_Notice of Application_000008.pdf	X0008	Notice of Application	Notice of application	Alberta Utilities Commission	2025/11/06 07:14 AM	F0002	View document
30372_X0009_AUC correspondence - process schedule_000009.pdf	X0009	AUC correspondence - process schedule	Correspondence - AUC to parties	Alberta Utilities Commission	2025/11/06 07:15 AM	F0003	View document

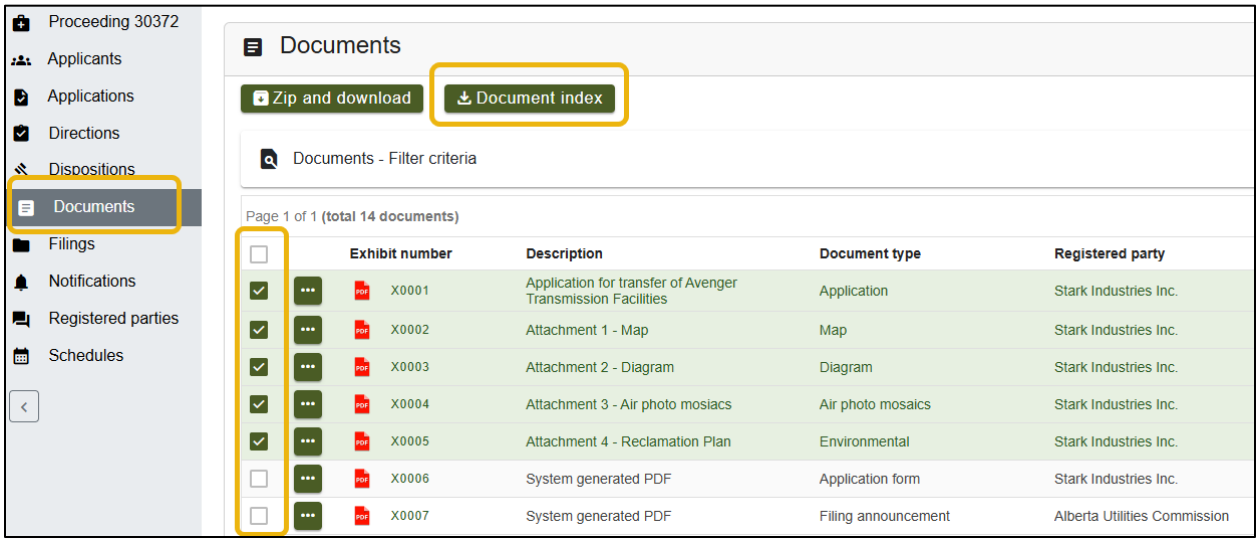
18.3 Document index

A document index can be generated has an html or cvs format. The index lists the following information for each document selected to be in the index.

- File name
- Exhibit number
- Document description
- Document type
- Registered party (of the document)
- Upload date & time
- Application reference

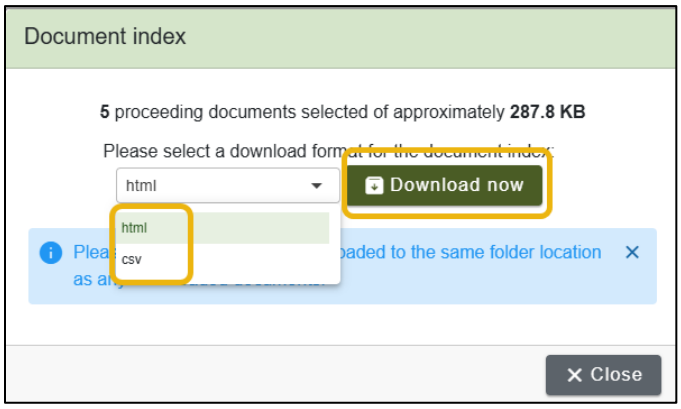
To generate a document index, from the **Documents** screen select the checkboxes that correspond to the documents to be listed in the index, or to select all documents, check the box found at the top of all documents.

Select *Document index*.

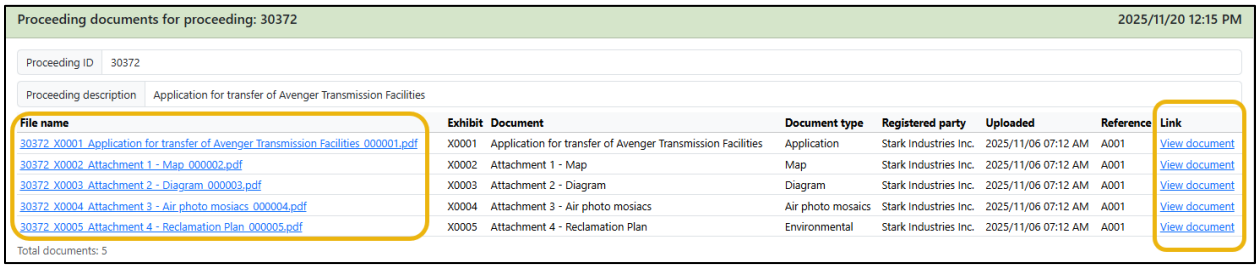


In the **Document index** window the default format for the index is html. Retain the default or use the drop-down menu to select a csv. format.

Select *Download now*.



When a document index is downloaded only the *Link* to view documents directly from eFiling is enabled. Hyperlinked file names will not reach the document unless the document is downloaded to the same location as the index.



Proceeding documents for proceeding: 30372 — 2025/11/20 12:15 PM

Proceeding ID: 30372

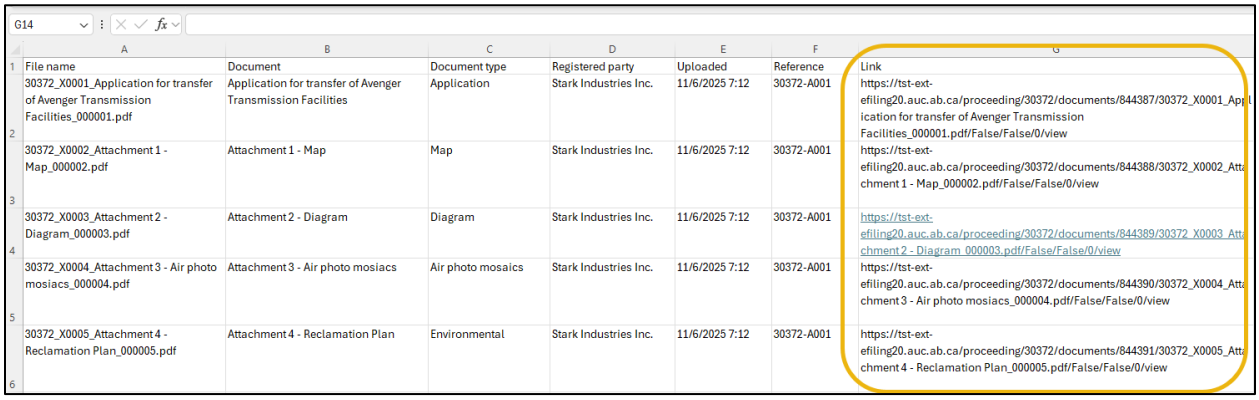
Proceeding description: Application for transfer of Avenger Transmission Facilities

File name	Exhibit	Document	Document type	Registered party	Uploaded	Reference	Link
30372_X0001_Application for transfer of Avenger Transmission Facilities_000001.pdf	X0001	Application for transfer of Avenger Transmission Facilities	Application	Stark Industries Inc.	2025/11/06 07:12 AM	A001	View document
30372_X0002_Attachment 1 - Map_000002.pdf	X0002	Attachment 1 - Map	Map	Stark Industries Inc.	2025/11/06 07:12 AM	A001	View document
30372_X0003_Attachment 2 - Diagram_000003.pdf	X0003	Attachment 2 - Diagram	Diagram	Stark Industries Inc.	2025/11/06 07:12 AM	A001	View document
30372_X0004_Attachment 3 - Air photo mosiacs_000004.pdf	X0004	Attachment 3 - Air photo mosiacs	Air photo mosaics	Stark Industries Inc.	2025/11/06 07:12 AM	A001	View document
30372_X0005_Attachment 4 - Reclamation Plan_000005.pdf	X0005	Attachment 4 - Reclamation Plan	Environmental	Stark Industries Inc.	2025/11/06 07:12 AM	A001	View document

Total documents: 5

When a csv format is selected, a URL link is provided for each document. To activate the link double click in the respective cell, then immediately click to another cell. The URL will regenerate as an active hyperlink to the document.

Content or formatting changes made to the csv file are only retained when the file is saved as an *Excel workbook*.



File name	Document	Document type	Registered party	Uploaded	Reference	Link
30372_X0001_Application for transfer of Avenger Transmission Facilities_000001.pdf	Application for transfer of Avenger Transmission Facilities	Application	Stark Industries Inc.	11/6/2025 7:12	30372-A001	https://tst-ext-efiling20.auc.ab.ca/proceeding/30372/documents/844387/30372_X0001_Application for transfer of Avenger Transmission Facilities_000001.pdf/False/False/0/view
30372_X0002_Attachment 1 - Map_000002.pdf	Attachment 1 - Map	Map	Stark Industries Inc.	11/6/2025 7:12	30372-A001	https://tst-ext-efiling20.auc.ab.ca/proceeding/30372/documents/844388/30372_X0002_Attachment 1 - Map_000002.pdf/False/False/0/view
30372_X0003_Attachment 2 - Diagram_000003.pdf	Attachment 2 - Diagram	Diagram	Stark Industries Inc.	11/6/2025 7:12	30372-A001	https://tst-ext-efiling20.auc.ab.ca/proceeding/30372/documents/844389/30372_X0003_Attachment 2 - Diagram_000003.pdf/False/False/0/view
30372_X0004_Attachment 3 - Air photo mosiacs_000004.pdf	Attachment 3 - Air photo mosiacs	Air photo mosaics	Stark Industries Inc.	11/6/2025 7:12	30372-A001	https://tst-ext-efiling20.auc.ab.ca/proceeding/30372/documents/844390/30372_X0004_Attachment 3 - Air photo mosiacs_000004.pdf/False/False/0/view
30372_X0005_Attachment 4 - Reclamation Plan_000005.pdf	Attachment 4 - Reclamation Plan	Environmental	Stark Industries Inc.	11/6/2025 7:12	30372-A001	https://tst-ext-efiling20.auc.ab.ca/proceeding/30372/documents/844391/30372_X0005_Attachment 4 - Reclamation Plan_000005.pdf/False/False/0/view

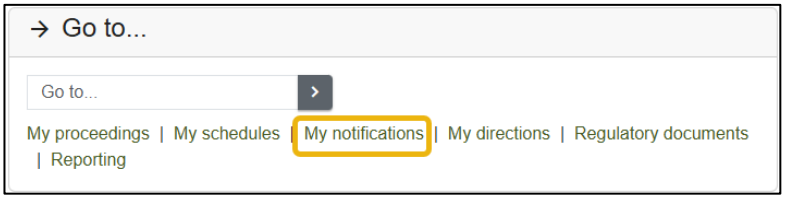
19 System communication

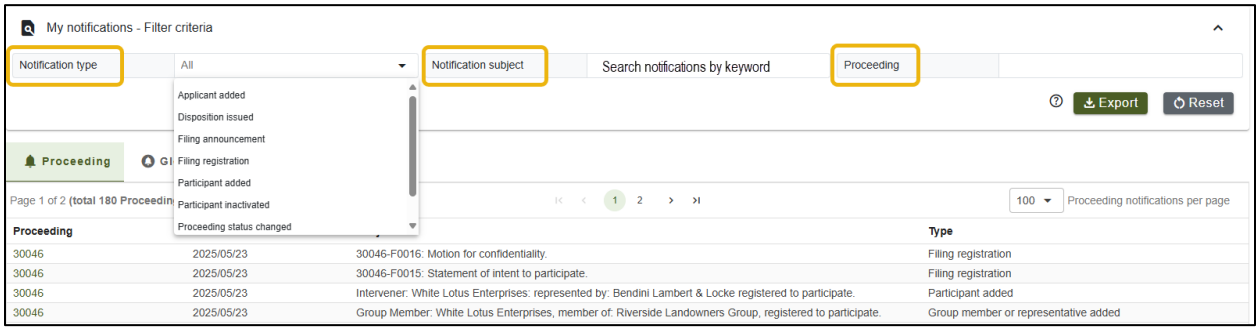
19.1 Notifications

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** screen.

Notifications are displayed from the eFiling Home screen under *My notifications* and *Recent notifications*, and from a proceeding's **Notifications** screen.

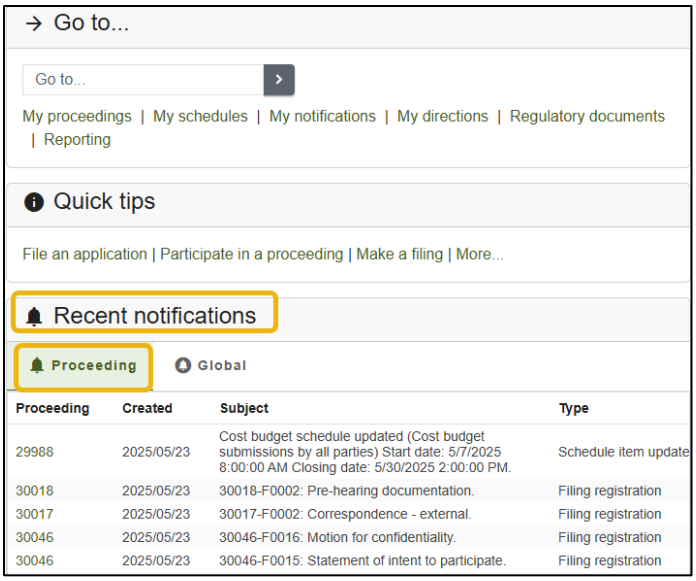
From the Home screen, *My notifications* lists all notifications for all proceedings the user is a registered party to. There is an option to filter notifications by type, keyword or proceeding number. Results can be exported to Excel.





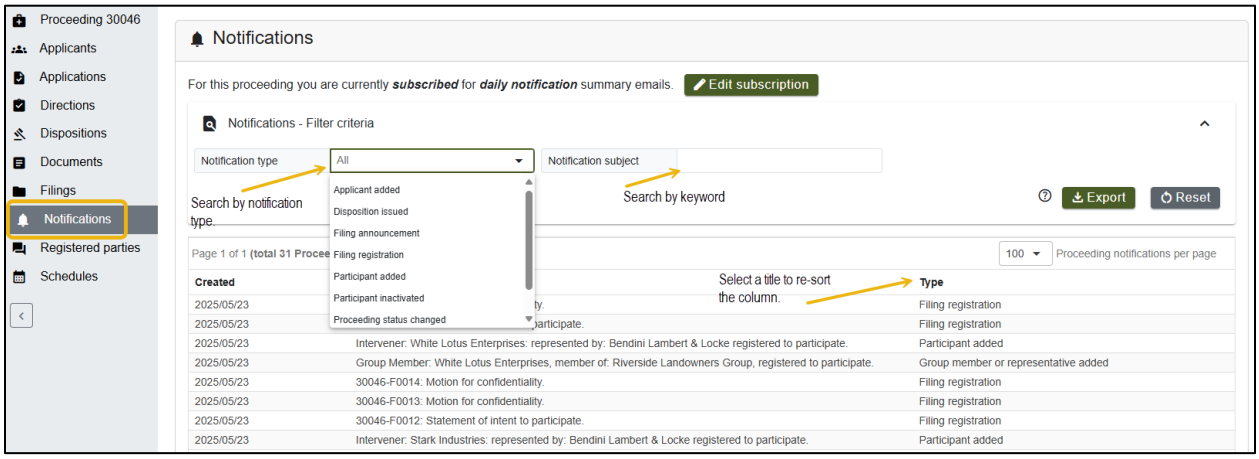
My notifications can also be reached from the user's profile drop-down menu in the top right corner.

From the **Home** screen, *Recent notifications* > *Proceeding* tab lists the 10 most recent notifications from all proceedings the user is a registered party to.



From the proceeding's **Notifications** screen, all proceeding notifications are listed. There is an option to filter notifications by type or keyword. 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**.



19.2 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.

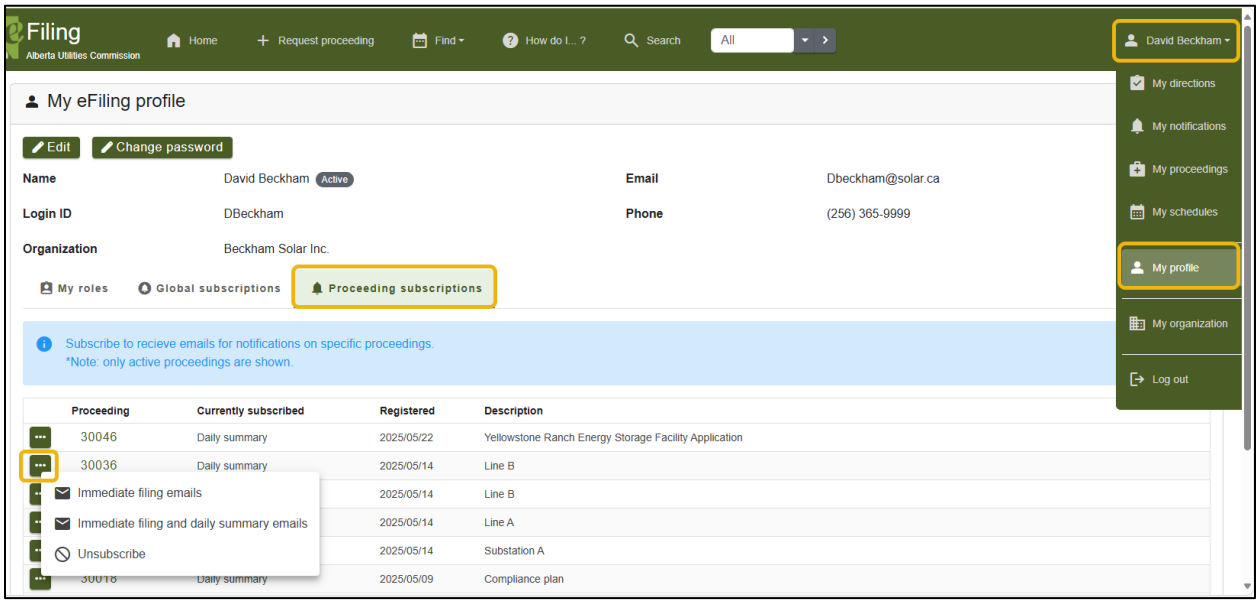
Organizational users and observers that register their organization for a proceeding, and the selected primary and secondary contacts, are automatically subscribed to receive the proceeding's daily summary email. Other eFiling users of the organization have the option to subscribe to receive the daily email. The system automatically subscribes and unsubscribes primary and secondary contacts when they are changed, added or removed.

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.

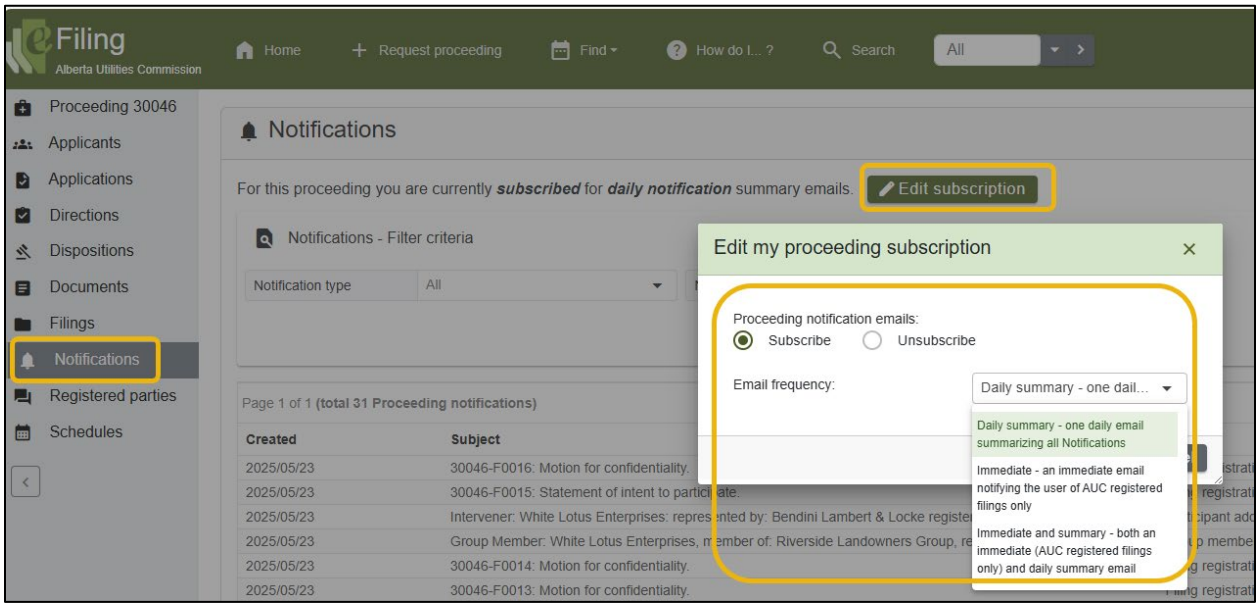
A user can view and change their subscription status and frequency from two screens.

Option 1: From the drop-down menu available from your name in the upper right corner, select *My profile*. In the **My eFiling profile** screen select the *Proceeding subscriptions* tab to see a list of proceedings you are registered to and your corresponding subscription status. To change the status, select document actions […] available to left of the proceeding number. Select your preferred notification status.



Option 2: From a proceeding's navigation pane select the **Notifications** screen. Select *Edit subscription*.

In the **Edit my proceeding subscription** window, check the preferred subscription status and select the preferred email frequency. Select *Save*.



19.3 Email Messages

Email messages are immediately sent for the specific conditions listed in the following table.

Condition	Email message sent to
Proceeding registered	• applicant(s) primary and secondary contacts • primary applicant organization's eFiling System administrator
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.
User account created	User receives an account activation link.
Password reset	User receives a link to enter and confirm a self-selected new 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

19.4 Daily directions summary

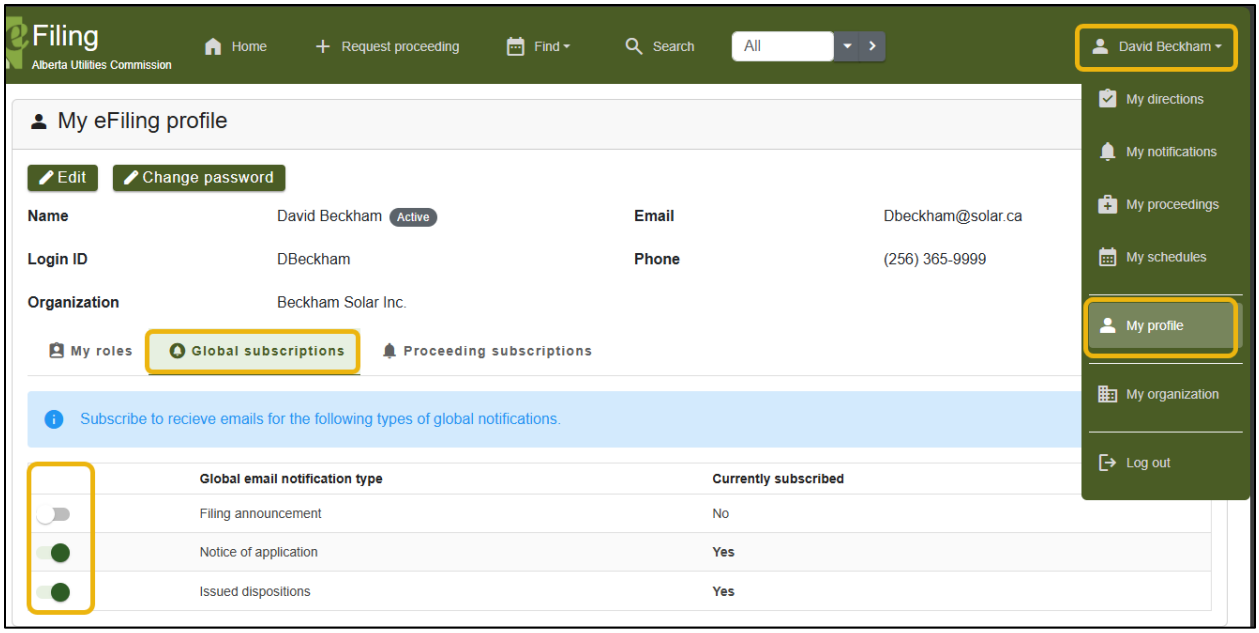
When the reminder, due date or non-compliance response due date passes, a daily directions summary email is sent to the responsible party's primary and secondary contacts indicating that the direction has passed its reminder, due date or non-compliance response due date.

19.5 Global notifications

eFiling users can subscribe to receive one or more global notifications issued by email.

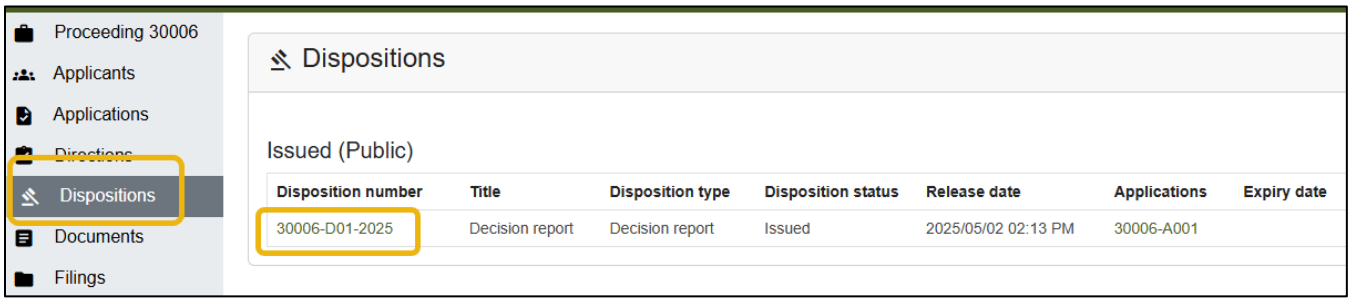
- Filing announcement – a daily email listing all applications registered within the last 24-hour period.
- Notice of application - a daily email listing all notices registered within the last 24-hour period.
- Notice of hearing – a daily email listing all hearing notices issued within the last 24-hour period.
- Issued dispositions – a daily email listing all dispositions issued within the last 24-hour period.

To receive one or more global notifications, from the drop-down menu available from your name in the upper right corner, select *My profile*. In the **My eFiling profile** screen select the *Global subscriptions* tab. Use the toggle button for each notification type to subscribe or unsubscribe.



20 Dispositions

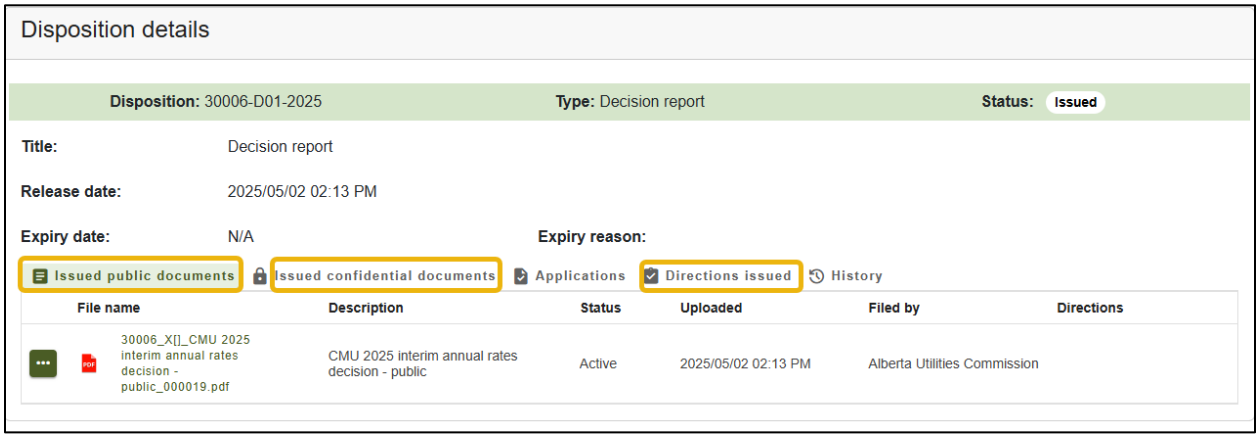
To view dispositions related to a specific proceeding, select the **Dispositions** screen from the proceeding's left navigation pane. Each issued, varied or rescinded disposition is listed. Select the disposition number to move to the respective **Disposition details** screen.



From the **Disposition details** screen, a user can view and open issued dispositions on the public record from the *Issued public documents* tab, and view and open dispositions on the confidential record from the *Issued confidential documents* tab.

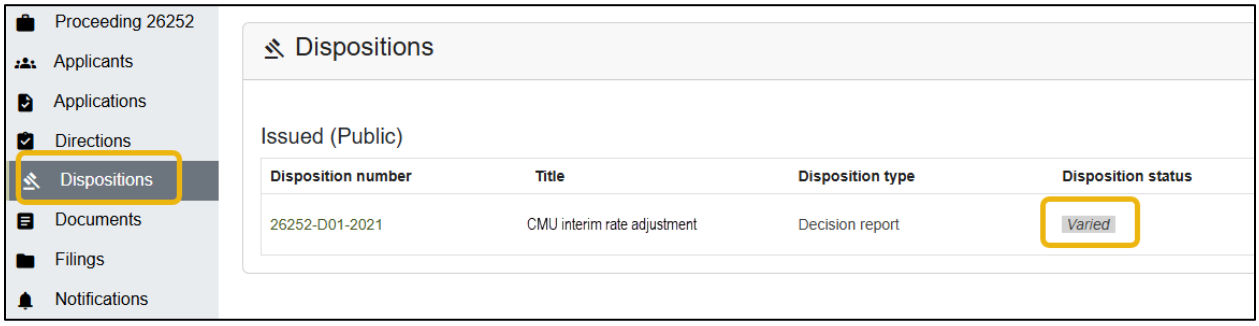
Information about the disposition's release date and time, disposition type and status are displayed under each respective tab.

When the disposition has associated directions the *Directions issued* tab will be displayed listing all associated directions and the respective responsible party, status and response due date.



20.1 Rescinded or varied dispositions

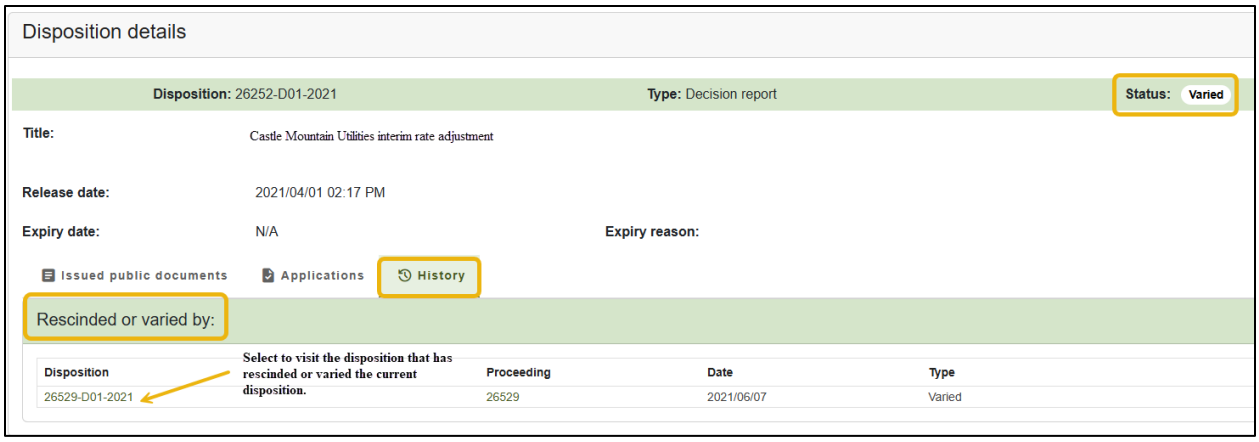
When a disposition has been rescinded or varied by another disposition, the rescinded or varied status will be shown on the **Dispositions** screen.

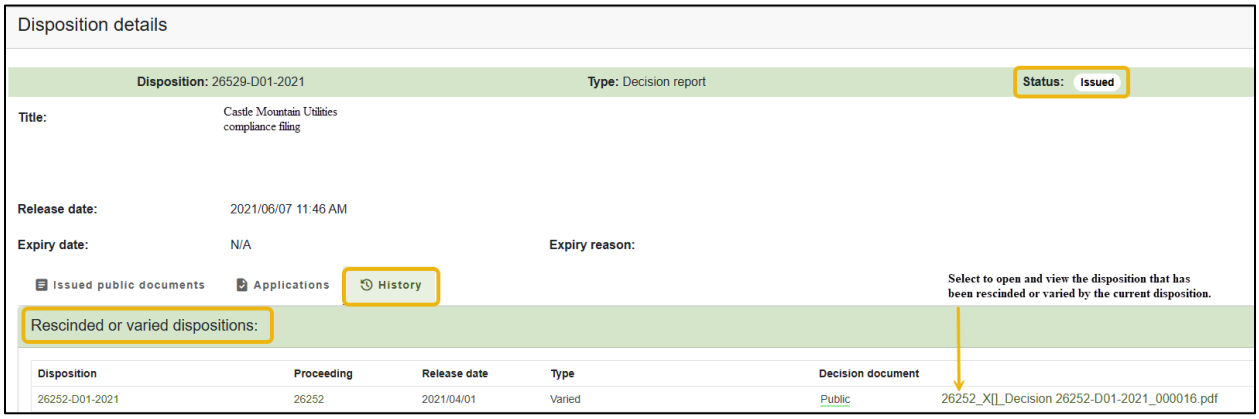


To view the replacement disposition select the disposition number to visit the **Disposition details** screen. Select the *History* tab.

When the disposition is rescinded or varied by another disposition, the *History* tab will read *Rescinded or varied by*.

When the disposition is rescinding or varying another disposition, the *History* tab will read *Rescinded or varied dispositions*.





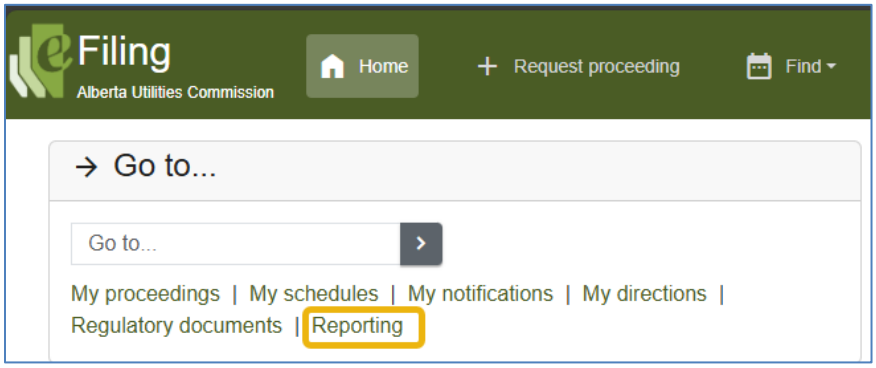
21 Reporting

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*.

21.1 Submit a report

From the eFiling home screen, *Go to…* section, select *Reporting*.

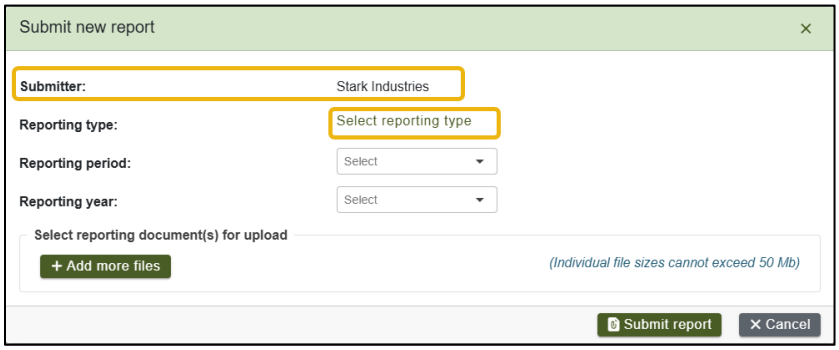


Select *+ Submit new* report.

All users must first acknowledge and agree to the AUC privacy policy.

In the **Submit new report** window, the *Submitter* field is automatically populated with the name of the user's organization.

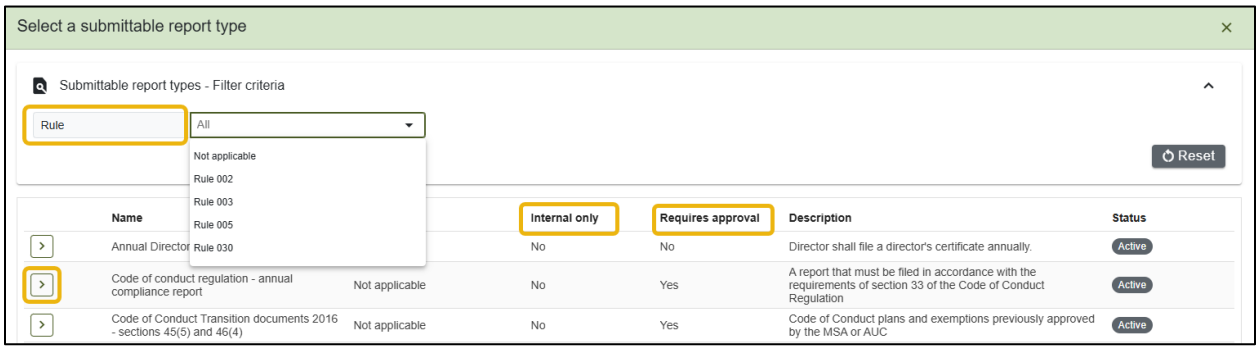
Click the *Select reporting type* link to open and select from a list of available report types that can be filed.



In the **Select a submittable report type** window, users have the option to filter for reports associated with specific rules. For each report type, disclosure rules are indicated in the *Internal only* and *Requires approval* columns.

Internal only – the submitted report will be made public upon registration.
Requires approval – the submitted report requires AUC review and approval before being made public.

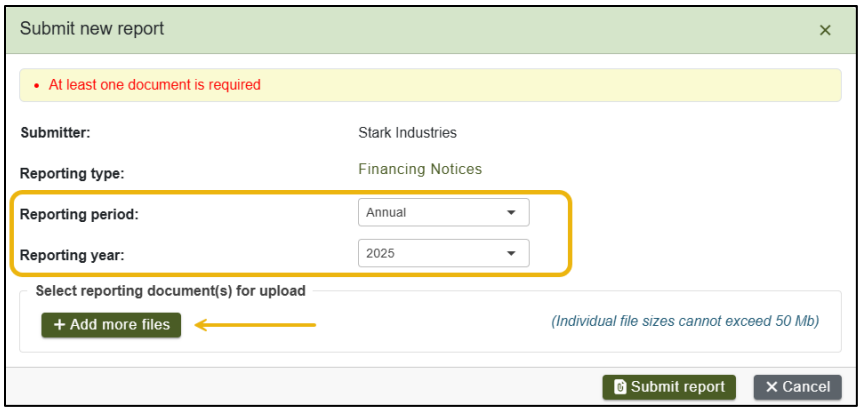
Select the desired report type by clicking the arrow to the left of the report.



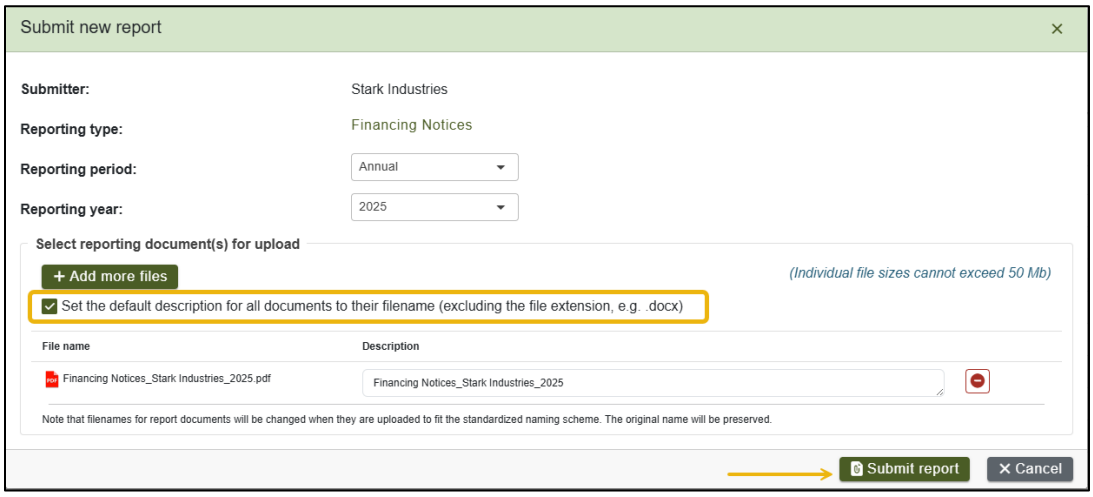
The AUC defines the reporting types. Contact the AUC at info@auc.ab.ca to request a new reporting type.

Select the reporting period and the reporting year from the drop-down lists.

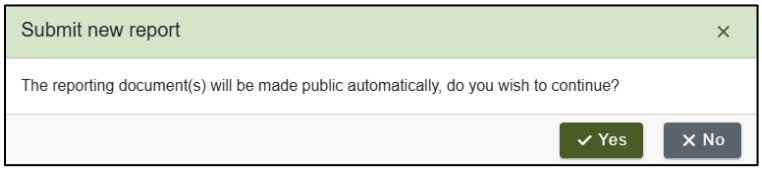
Select *+Add more files* to browse and select the report(s) for upload.

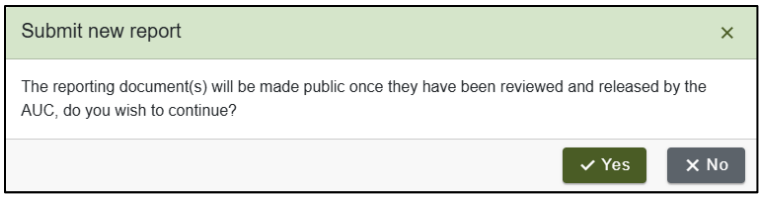


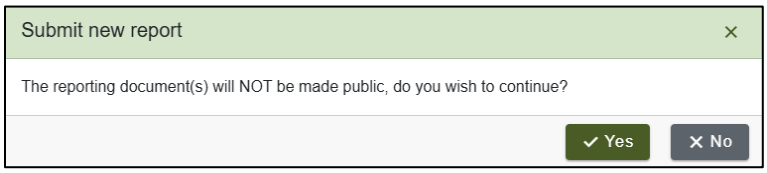
Check the box to use the document's filename as the default description or manually enter a document description. Select *Submit report*.



One of the below messages will be displayed depending on the report's respective disclosure rules. Select *Yes* to register the report.





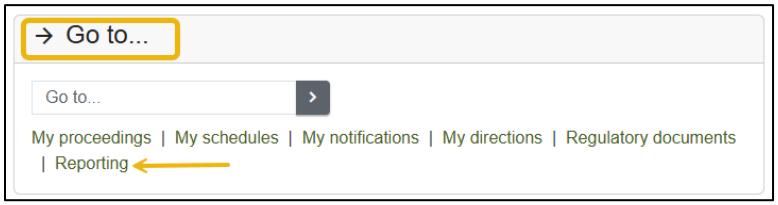


The AUC report custodian will be notified by email that the report has been registered.

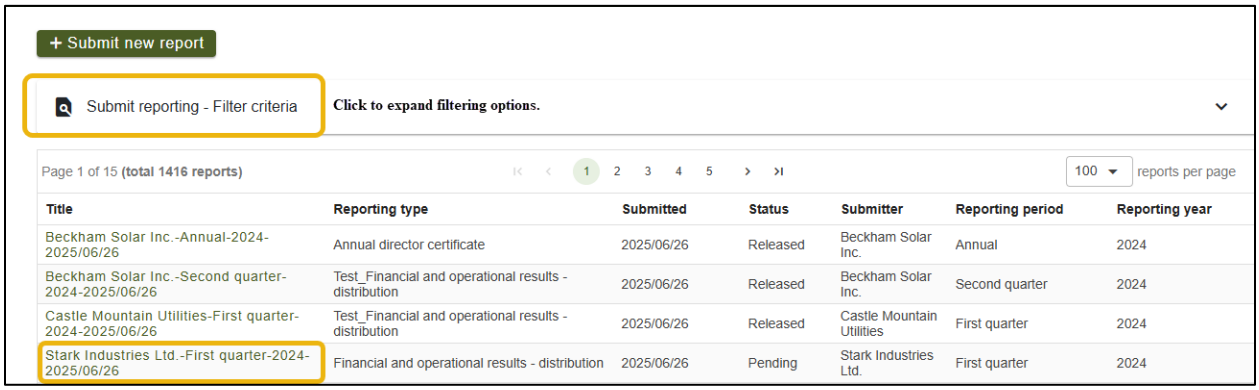
The submitting organization's organization administrators are emailed a confirmation that the report was successfully received by the AUC.

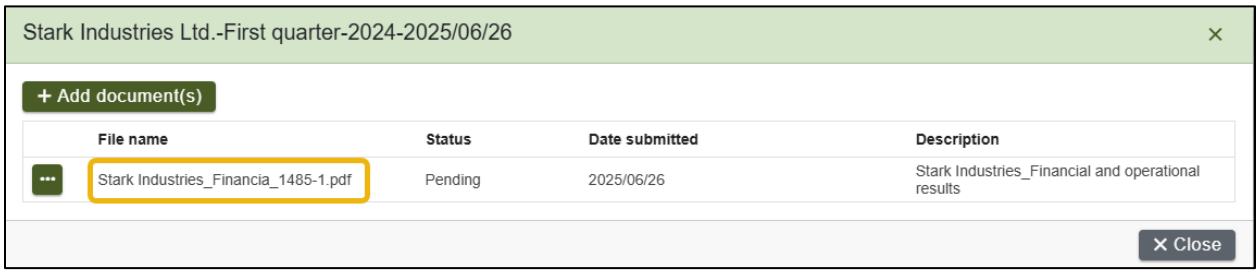
21.2 View a report

To view a submitted report, from the eFiling home screen select *Reporting* in the **Go to…** section.



Click on title of the report within the list to launch the report's details window. Select a file name to open the document.



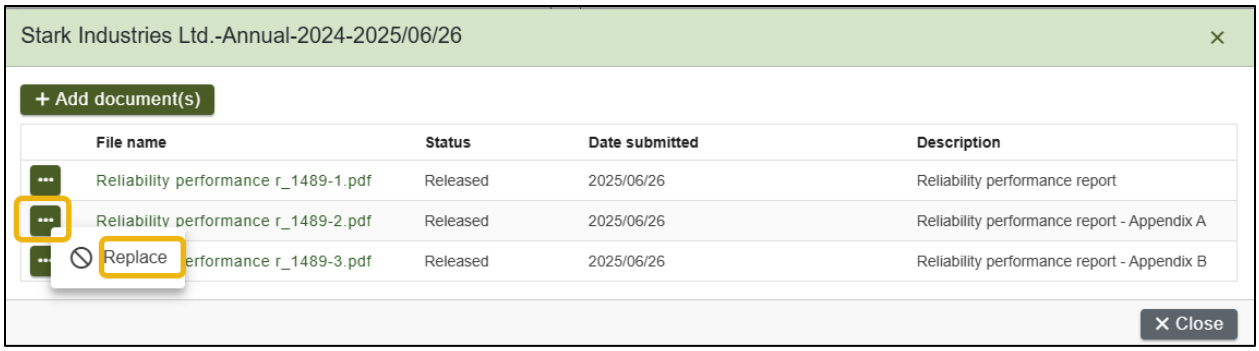


21.3 Replace a report

Organizational account users have permission to replace a registered report on behalf of their organization.

From the eFiling home screen select *Reporting* in the **Go to…** section.

Click on the title of the report requiring a replacement document to launch the report's details window. Select document actions […] to the left of the document and select *Replace*.

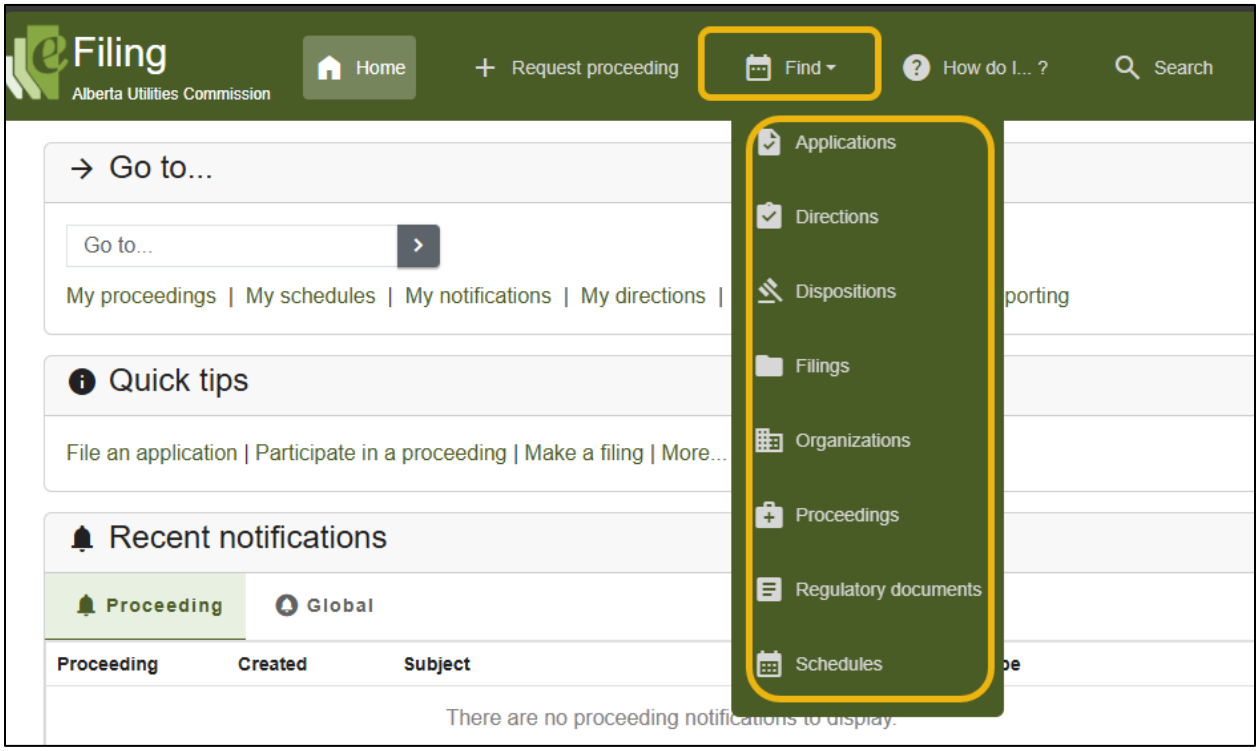


Review, acknowledge and agree to the AUC's privacy disclaimers. Select *+ Add more files* to browse and select the desired replacement document. Select *Submit replacement*.

22 Find

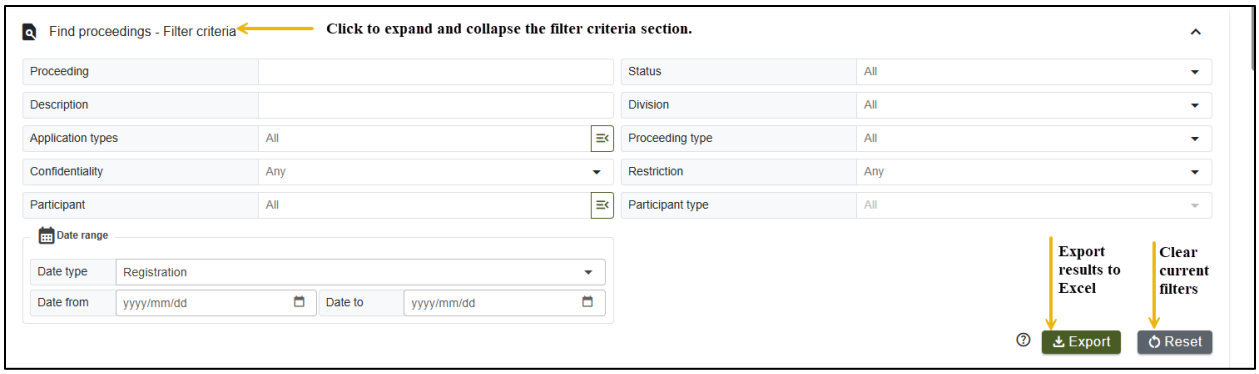
Use **Find** on the top toolbar to locate current and historic applications, directions, dispositions, filings, organizations, proceedings and schedules.

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.



Each **Find** screen has a collapsable filter criteria section. Tailor the search by entering filter criteria. The results are automatically filtered as data is entered and removed and displayed in the lower information grid. **Reset** clears the current filter criteria.

Each **Find** screen allows the user to *Export* the results to a .CSV (comma-separated values) Excel document. The exported report includes additional information not available in the results display.

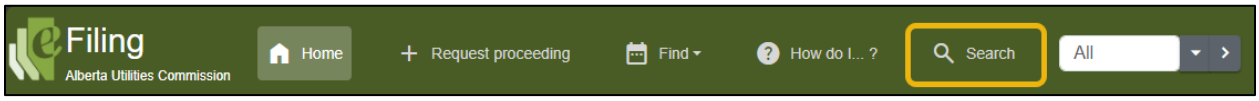


23 Search

The *Search* function in eFiling allows a user to construct complex search queries with ease. *Search* automatically inserts terms, operators and property restrictions into the search string for the user. The search string may be edited by the user.

23.1 Accessing the Search screen

To access *Search*, from any screen within eFiling select *Search* from the top navigation bar.



23.2 Add search terms

Search terms are the keywords or phrases a user wants to search documents for and how those words must interact with one another within the document. There are five search terms available in *Search*.

Search term	Description
Contains all words	Uses the AND operator and returns search results that include <u>all of the words</u> located anywhere in the document. Example: ("bat" AND "windmill").
Contains any words	Uses the OR operator and returns search results that include <u>one or more</u> of the specified words located anywhere in the document. Example: ("bat" OR "windmill" OR "turbine" OR "blades").
Specific phrase	Uses quotations around the entire phrase and returns search results that include the exact phrase as entered. Example: "the most commonly observed species".
Words near each other	Uses the NEAR(8) operator and returns results where the keywords are within eight words of each other. Example: ("wildlife" NEAR(8) "migration"). The number in the brackets can be manually changed by the user to any value.
Words within the same paragraph	uses the NEAR(200) operator and returns results where keywords are within 200 words of each another. Example: (“wildlife” NEAR(200) “migration”). The number within the brackets can be changed by the user to any value.

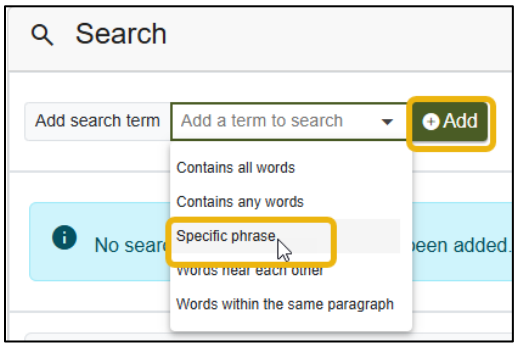
Wildcard (*) - allows a user to search different variations of a word by appending an * to the beginning or end of the word. Example: ("entitle*") will return entitle, entitled, entitlement.

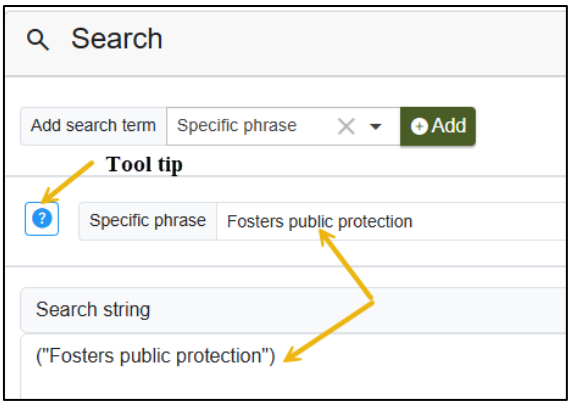
To add a search term, select a term from the *Add search term* drop-down menu.

Select the *Add* button to display the associated search box.

Enter the text you want to search for into the search box. Select *Enter*.

Click the tool tip to see a definition of the selected search term.

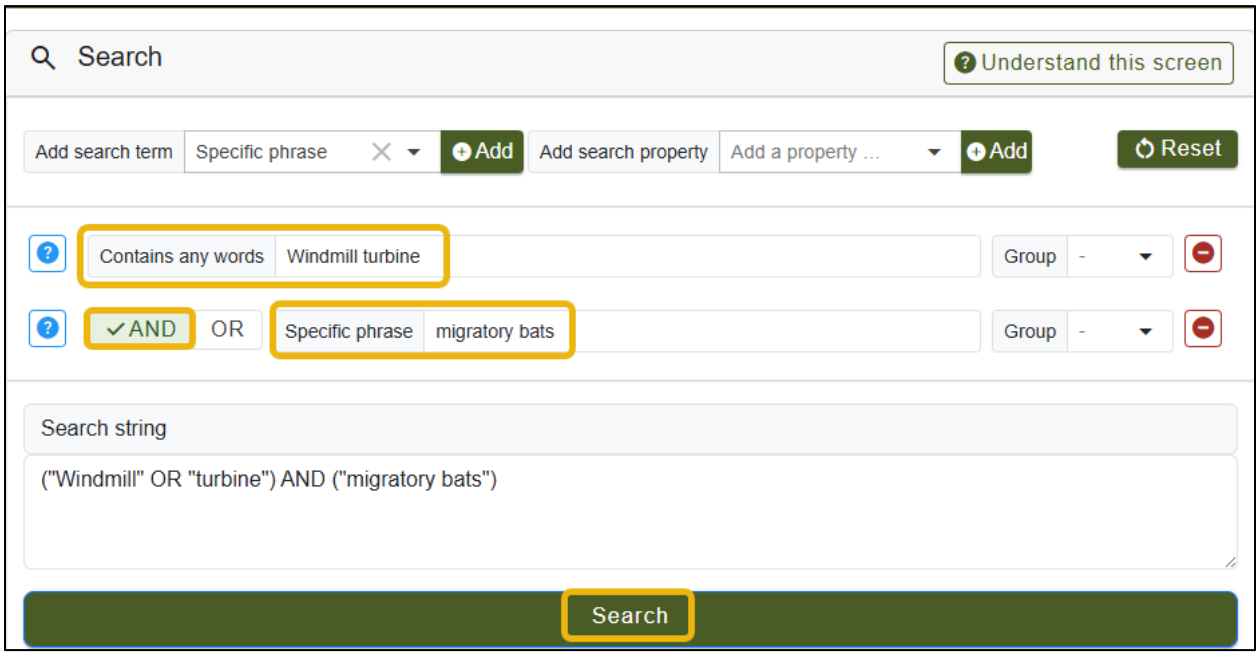




Multiple search terms can be used in the same query. A search box will be displayed for every search term added to the query.

The *Search string* box will automatically write the query as property data is entered.

Select *Search*. The results the user is authorized to view will be available in a new browser tab.



23.3 Add search property

Properties are attributes or characteristics of a document, also known 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.

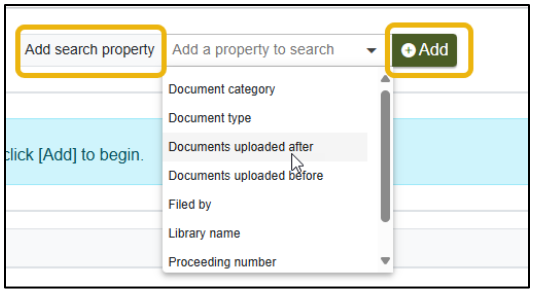
There are eight search properties available in *Search*.

Search property	Description
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.
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.
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.
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.
Library name	Restricts documents in the result set to the chosen library (Public/Confidential/Restricted) from the drop-down list of library names available. Example: the user selects "Public" from the drop-down list and the system populates LibraryName:"Public" into the search string. The result is that only documents in the Public documents library are returned in the search results.
Proceeding number	Restricts the results to proceeding site page, documents that are part of the proceeding number entered, or documents from another proceeding that reference 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"). To restrict the results to documents found only within the proceeding number entered, manually edit the search string by removing the latter portion of the Proceeding number query, and leaving the end bracket intact. (ProceedingID:"26372" ~~OR "Proceeding" NEAR "26372" OR "Proceeding 26372"~~)

Registered party	Restricts documents in the result set to the party that the application or filing document is made on behalf of. Example: the user selects Consumers Coalition of Alberta from the party look-up tool and the system populates RegisteredParty:"Consumers Coalition of Alberta".

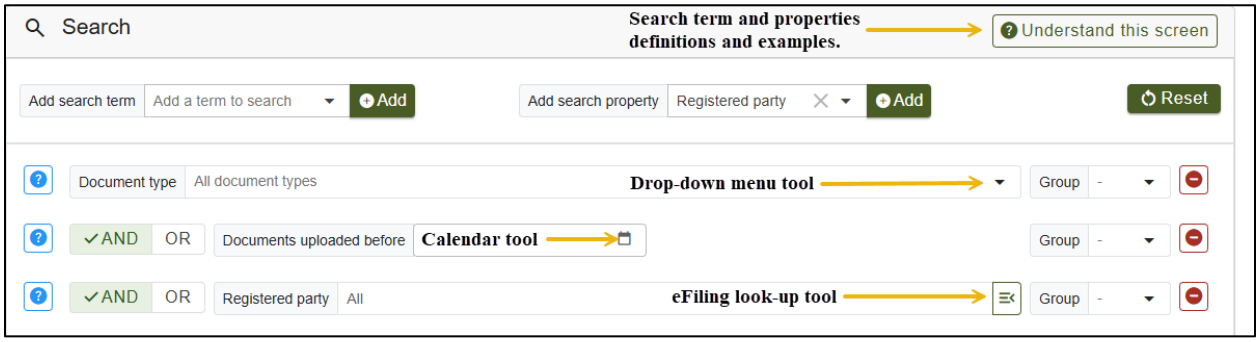
To add a search property, select a property from the *Add search property* drop-down menu.

Select the *Add* button to display the associated search box.



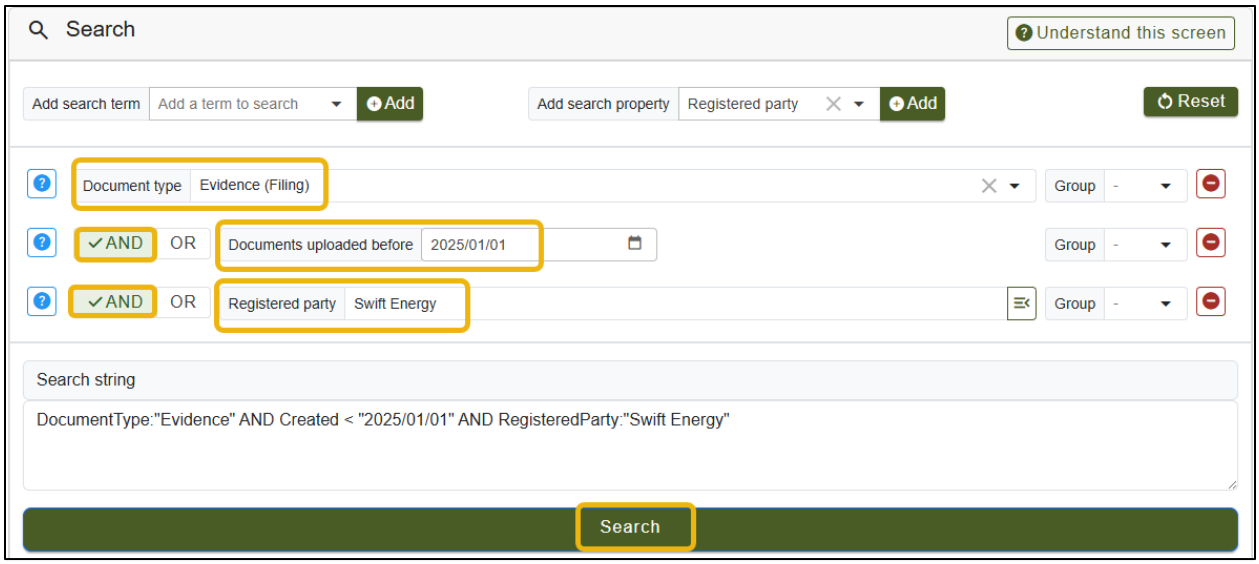
To assist with entering accurate data, a search property box will provide either a drop-down selection menu, a calendar, or launch an associated eFiling Find window. When using *Registered party* or *Filed by* properties, using the eFiling look-up tool is recommended to ensure accurate data is selected (example: the correct spelling of a party's name).

Multiple search properties can be used in the same query. An input box will be displayed for every search property added to the query.



The *Search string* window will automatically write the query as property data is entered.

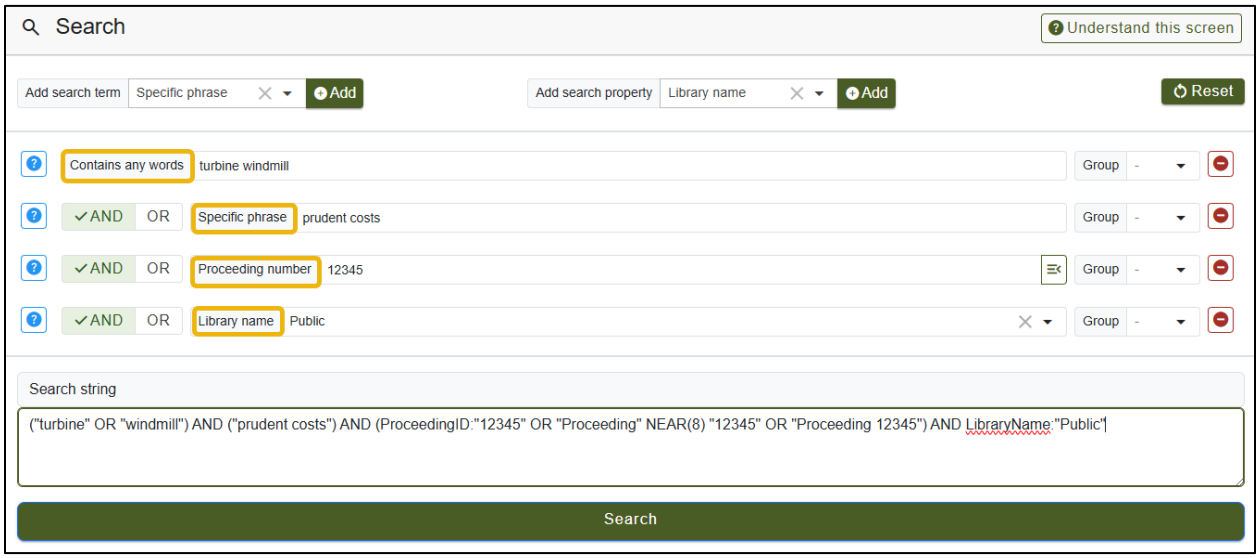
Select *Search*. The results the user is authorized to view will be available in a new browser tab.



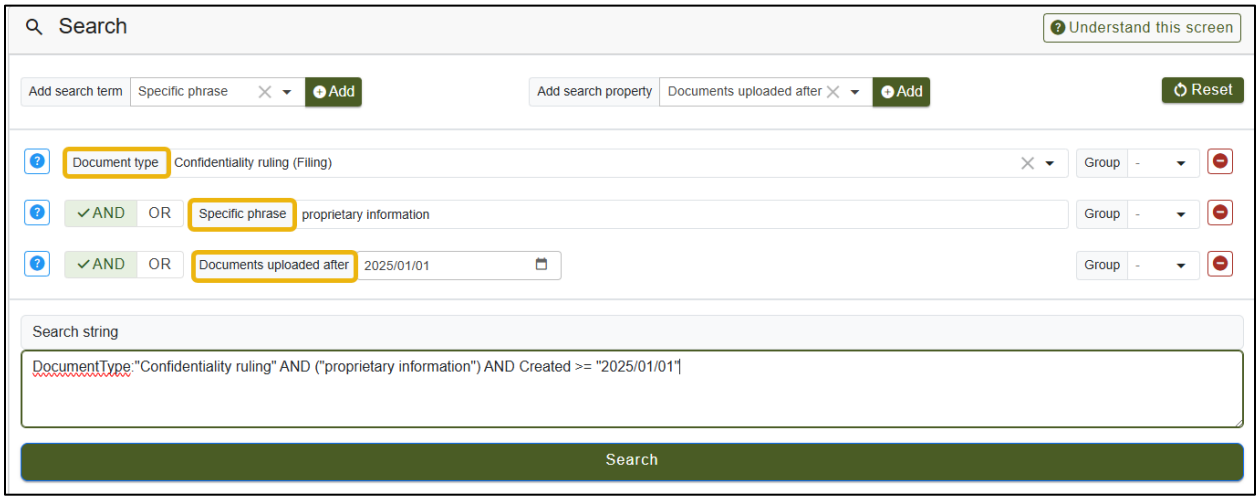
23.4 Using multiple search terms and properties

Multiple search terms and properties can be added to the same query to facilitate more complex searches usually resulting is a smaller result set.

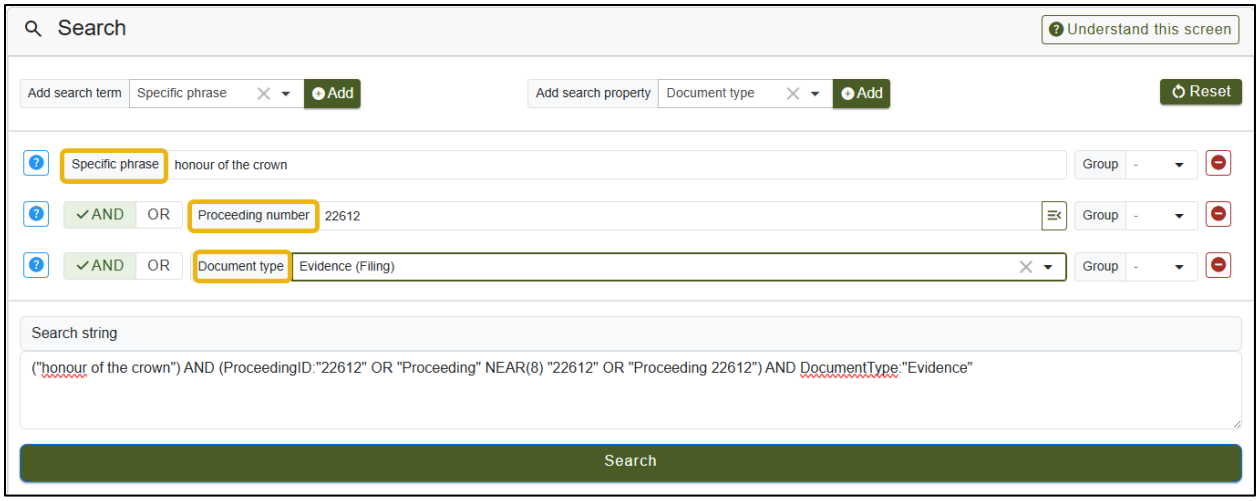
Example: Find me documents on the public record in proceeding 12345 containing either the word turbine or windmill, and the phrase: prudent costs.



Example: Find me a recent AUC ruling on confidential treatment of proprietary information.



Example: Find me evidence in proceeding 22612 that discusses honour of the Crown.



23.5 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.

<u>Illustration 1</u>

- The same search property, *Specific phrase*, was selected three times for a search. The system automatically assigned them to Group 1.
- The search string identifies Group 1 using parenthesis.
- The search will return records that contain any of the three phrases in Group 1, as long as the phrase appears in an Evidence document.

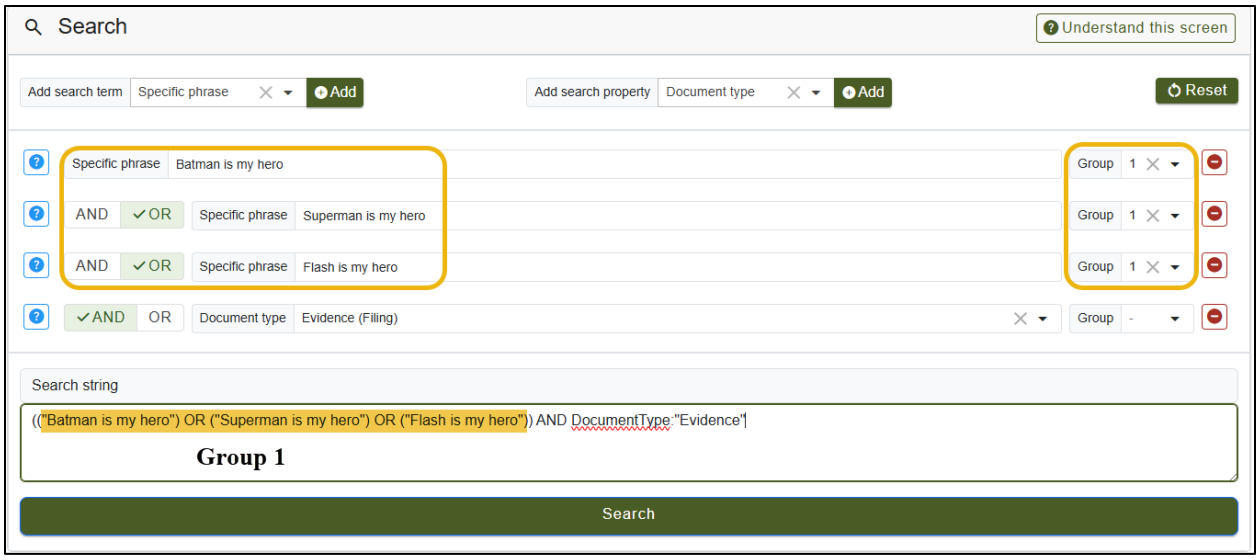
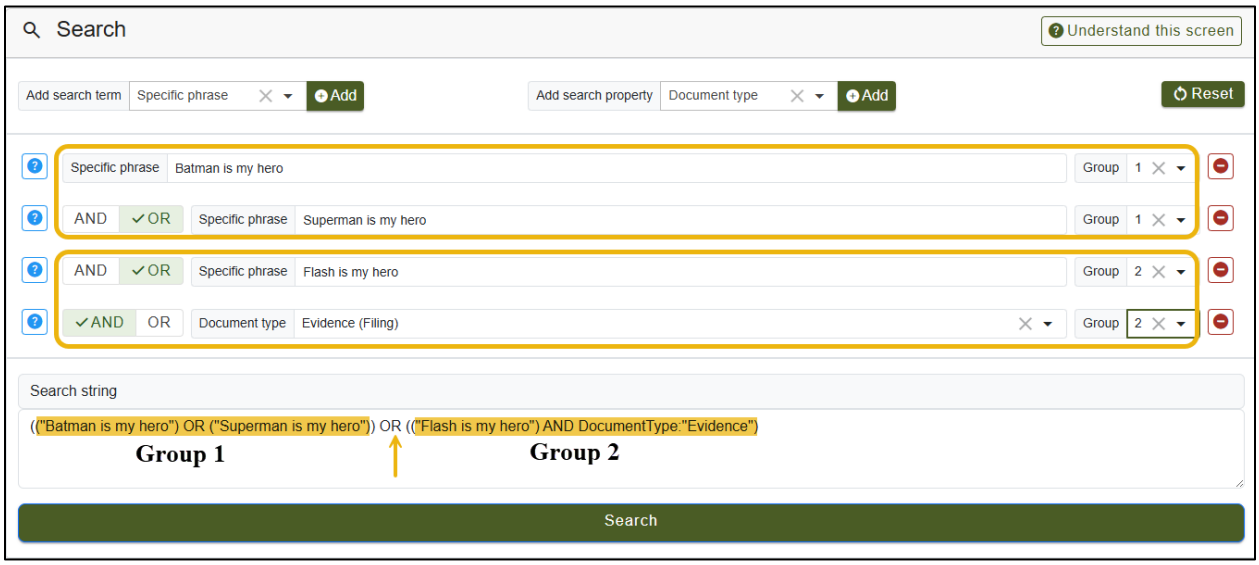


Illustration 2

- Changing the grouping by manually assigning Evidence to Group 2 and reassigning Flash is my hero from Group 1 to Group 2 changes the search string and the results.
- There are now two groups identified in the string using parenthesis and the system added the OR operator between the two groups.
- The search will return records that contain one of the two phrases in Group 1, regardless if they appear in an Evidence document, and it will return any records where Flash is my hero appears in an Evidence document.
- Although using the same search properties, the change to the grouping format will yield slightly different results from above.



23.6 Refiners

Search results you are authorized to view are generated in a separate browser tab with most recent registered documents listed first. If there is a large volume of results the tab can be bookmarked to save the results for later use.

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.

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