



# User Guide

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**Alberta Utilities Commission  
eFiling System User Guide**

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# 1 Introduction

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

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

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

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

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

## 2 System at a glance

The home page is shown when you first log in to the eFiling System. It gives a snapshot of recent activity, notifications, priority directions and upcoming schedule items.

The screenshot shows the eFiling System home page with several key sections and annotations:

- Go to...:** A search box with a "Go" button. Annotation: "Enter a proceeding, application or disposition number to move directly to the details page."
- Schedule summary:** A section with "Hearings and meetings" and "Process" tabs. Annotation: "View upcoming proceeding scheduled items such as hearings and meetings."
- Priority directions:** A section with "Outstanding" and "Overdue" tabs. Annotation: "View directions that require your review."
- Recent notifications:** A table listing recent activities. Annotation: "View your most recent notifications."
- Update your account profile:** A link in the top right corner.

Created	Proceeding	Subject	Type
2022/05/10	36937	Observer: eFiling Administrator registered to participate.	Participant added
2022/05/10	57039	Intervener: eFiling Administrator registered to participate.	Participant added
2022/05/10	57039	57039-F0020: Statement of intent to participate, Late.	Filing registration
2022/05/10	67062	Intervener: eFiling Administrator registered to participate.	Participant added
2022/05/10	67062	67062-F0002: Statement of intent to participate.	Filing registration
2022/05/10	26836	Observer: eFiling Administrator registered to participate.	Participant added
2022/05/05	67062	67062-F0001: Filing announcement.	Filing announcement
2022/04/25	57039	57039-F0019: Direction response.	Filing registration
2022/04/25	57039	A direction response has been associated by ATCO Gas and Pipelines Ltd. (5051794) on directions 57039-001-2022-0003.	Direction Pending
2022/04/25	57039	57039-F0018: Direction response.	Filing registration

### 2.1 Main toolbar

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

The screenshot shows the main toolbar of the eFiling System with the following annotations:

- Home:** Annotated with "Return to your Home page."
- Request proceeding:** Annotated with "Request a new Proceeding."
- Find:** A dropdown menu with options: Applications, Directions, Dispositions, Filings, Organizations, Proceedings, Regulatory documents, Schedules.
- How do I...?:** Annotated with "How Do I...? opens the user guide."
- Go to proceeding, appl:** Annotated with "Go to... takes the user directly to a proceeding, application or disposition."
- Advanced search:** Annotated with "Search the content of files in the eFiling System using complex search queries."

## 2.2 Go to...

**Go to...**

Enter a proceeding, application or disposition number and click **Go**.

[My proceedings](#) | [My schedules](#) | [My notifications](#) | [My directions](#)  
[Regulatory documents](#) | [Reporting](#)

**Go to...** is also where you can quickly access the following:

- 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** lists all notifications for all active proceedings where you are an applicant or registered participant.
- 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 to assist stakeholders in researching issues that are raised frequently during proceedings for power plants (including wind, hydro and solar), transmission lines, gas utility pipelines and other facilities.
- Reporting** is used to submit special reports to the AUC, for example, those required for Rule 002 and Rule 005.
- Discussions** lists current discussion communities.

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

Navigation menu

Click green underlined text to open the proceeding, application, schedule and process information.

Recent filings, registrations, documents and notifications are listed and accessed on the tabs.

**Proceeding 23166**

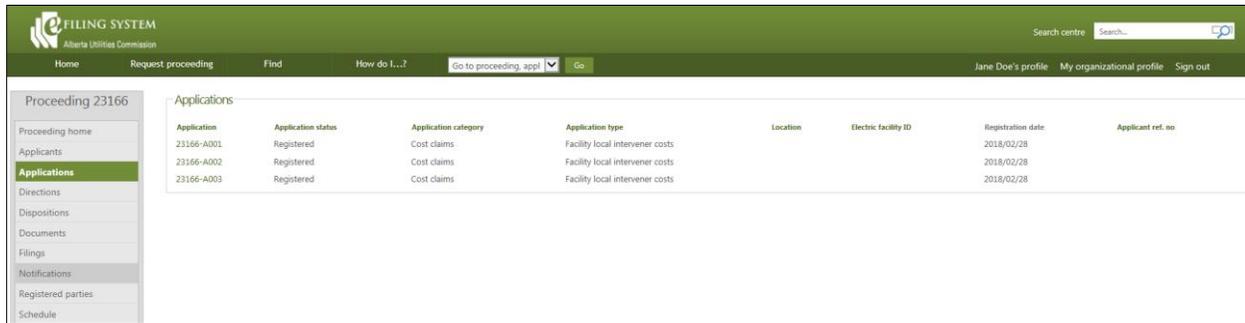
**Proceeding information**  
 Proceeding: 23166 Status: Active Registered: 2018/02/28  
 Proceeding description: Application for the user guide

Application	Application status	Application category	Application type	Location	Electric facility ID	Registration date	Applicant ref. no.
23166-A001	Registered	Cost claims	Facility local intervenor costs			2018/02/28	
23166-A002	Registered	Cost claims	Facility local intervenor costs			2018/02/28	

**Recent activity**

Filing	Type	Registered parties	Documents	Notifications	Issued dispositions
23166-F0012	Statement of intent to participate	No	Alberta Utilities Inc.	Alberta Utilities Commission	2018/03/01 02:22 PM
23166-F0012	Notice of application	No	Alberta Utilities Commission	Alberta Utilities Commission	2018/02/28 04:41 PM
23166-F0003	Opening statement	No	Suncor Energy Inc.	Suncor Energy Inc.	2018/02/28 04:39 PM
23166-F0004	Correspondence - external	No	Imperial Oil Limited	Imperial Oil Limited	2018/02/28 04:35 PM

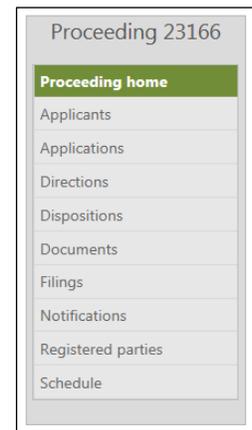
Access a detail page from the left navigation menu to work or view the data.



## 2.3 Navigation menu

Use the navigation menu to open detail pages with information about:

- applications and documents submitted with the application
- proceeding applicants (primary applicant, co-applicants and representatives)
- directions from dispositions on the proceeding
- the disposition of the proceeding applications
- documents that can be zipped and downloaded
- proceeding filings
- proceeding notifications
- registered parties
- schedule process items



## 3 Create and manage user accounts

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

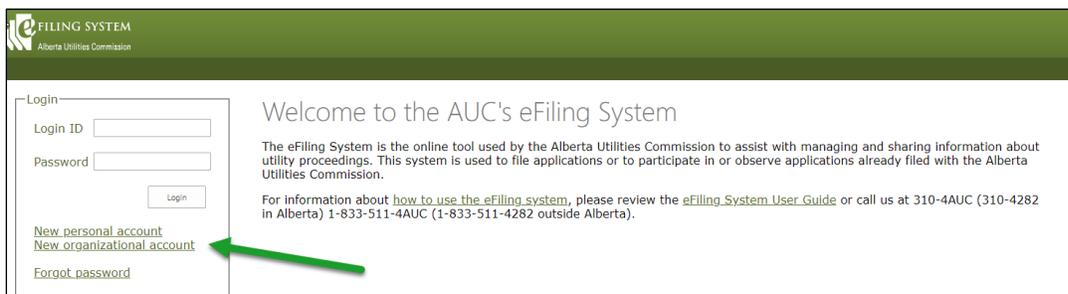
### 3.1 Organizational accounts

Organizational accounts are set up by applicants, utility companies, municipalities, indigenous groups, law firms, consulting organizations and intervener associations where there are multiple users in the organization. Organizational user accounts are set up and maintained by the organization's eFiling System administrator. You have the right to update your own account profile.

#### 3.1.1 Create an organizational account

An organization can request to be set up in the eFiling System by submitting a completed **New organizational account form** and a letter on company letterhead, signed by an officer of the organization, approving the new account request and confirming the information set out in the form.

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





Organizational accounts are set up in the AUC eFiling System account for associations, companies, organizations, Indigenous groups, municipalities and interveners where there are multiple users.

To set up a new eFiling System organizational account with the AUC please fill out this form.

Note: if your organization has an existing eFiling System account the designated account administrator will be able to update and manage the account. New organizational account forms must be submitted along with a letter on organizational letterhead stating the approval of the information set out in this form. The letter must be signed by an officer of the organization.

**Contact information**

Organization name:	
Address:	Street 1:
	Street 2:
	City/town:
	Province:
	Postal code:

**Organizational administrator**

Choose an organizational administrator who will be responsible for managing the eFiling System for your organization. This person will be responsible for adding, updating and removing user account profiles associated with your organization. The organizational administrator will also be able to update passwords and notification options once the initial organizational account is set up.

Enter the contact information of the person designated to be your initial **organizational administrator**.

First and last name:

Email address:

Phone number:

**Confidential administrator**

Choose a confidential administrator who will be responsible for managing confidential documents for the organization. This person will be responsible for determining which individuals in your organization should have access to confidential documents in each confidential proceeding. In addition, this person will act as the gatekeeper for access to your confidential material including individuals outside of your organization participating in the proceeding that have submitted a confidentiality undertaking. The confidential administrator will be able to add other confidential administrators for an organization once this initial organizational account is set up.

Enter the contact information of the person designated to be your initial **confidential administrator**.

First and last name:

Email address:

Phone number:

**New organizational account forms must be submitted along with a letter on organizational letterhead stating the approval of the information set out in this form. The letter must be signed by an officer of the organization.**

Your account will not be set up unless an approval letter is submitted along with the form. Please download and save this form to your computer before emailing it to [info@auc.ab.ca](mailto:info@auc.ab.ca).

We will respond to your request for a new organizational account or advise you how to be added to an existing account in a timely manner. If you have any questions please call 403-592-4500 or contact us toll free at 310-4282 or 1-833-511-4282 (outside of Alberta).

For more information please review the [eFiling System user guide](#).

Complete and save the **New organizational account form**. Submit the completed form and letter by email to AUC at [info@auc.ab.ca](mailto:info@auc.ab.ca). All users must agree to the AUC [privacy policy](#) available on the AUC website.

A confirmation email that the account has been created and a system-generated password is sent to the organization's eFiling System administrator's and the confidential administrator's email addresses that are shown in the form.

### 3.1.2 Organizational administration

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

When the organization requests an account to access 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 organization's eFiling System administrator and confidential administrator.

### 3.1.3 Confidentiality administration

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 other confidential administrators for an organization.

#### 3.1.3.1 System functions by role

eFiling System Functions	Organizational administrator	Confidential administrator	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.		✓	

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

### 3.1.3.2 Organizational profile

As the organization's eFiling System administrator for your organization, login with your ID and password assigned by the AUC. The first time you log in, you must enter a security question and answer.

Select **My organizational profile** on the green menu bar.

The screenshot shows the eFiling System interface for the Alberta Utilities Commission. The top navigation bar includes links for Home, Request proceeding, Find, How do I...?, and a search bar. The user is logged in as Johnny Depp. The main content area displays 'My organization details' for 'ABC Utility Company'. Below this, there are tabs for 'Organizational users', 'Succession history', and 'Closure details'. The 'Organizational users' tab is active, showing a table of users with columns for Login ID, Actions, Name, Phone number, Email, Organization administrator, Confidential administrator, and User status. A green arrow points to the 'My organizational profile' link in the top navigation bar.

Login ID	Actions	Name	Phone number	Email	Organization administrator	Confidential administrator	User status
DustinHoffman	ⓘ	Dustin Hoffman	(403) 567-3678	dustin.hoffman@sham.ca	Yes	Yes	Active
GlennClose	ⓘ	Glenn Close	(403) 567-5439	glenn.close@sham.ca	No	No	Active
JohnTravolta	ⓘ	John Travolta	(403) 567-0989	john.travolta@sham.ca	No	No	Active
JohnnyDepp	ⓘ	Johnny Depp	(403) 567-5544	johnny.depp@sham.ca	Yes	Yes	Active
SallyField	ⓘ	Sally Field	(403) 567-2313	sally.field@sham.ca	No	No	Active
TomHanks	ⓘ	Tom Hanks	(403) 567-9509	tom.hanks@sham.ca	No	No	Active

### 3.1.3.3 Add/edit users

Select **Add new user** to add new eFiling System users for your organization and enter the following information:

- Login ID (**required**)
- First name (**required**)
- Last name (**required**)
- Email address (**required**)
- Confirm email address (required and must be the exact duplicate of the email address)
- Phone number (**optional**)
- Assign as administrator (select to assign a co-administrator)
- Assign as confidential administrator (initial confidential administrator must be set up by the AUC)

**Add organizational user**

Login ID \*

Note: Login ID must be 6-15 character alphanumeric or must be an email address.

First name \*

Last name \*

Email address \*

Confirm email address \*

Phone number

Assign as organization administrator

Assign as confidential administrator

**Save**

Click the action icon  beside the User ID to open a pop-up box to edit an organizational user or reset a password.

**My organization details**

[Edit](#) [Add new user](#) [Request to close my organization](#) [Back](#)

**ABC Utility Company**

Status: Active Participant code: 1007NE Created date: 2019/11/14 09:29 AM Closed date: N/A

Mailing address: 218 Elbow Drive  
City: Calgary Province: Alberta  
Phone number: (403) 567-8989

Organizational users Succession history Closure details

Filter criteria  
User status: Active

Login ID	Actions	Name	Phone number	Email	Organization administrator	Confidential administrator	User status
DustinHoffman		Dustin Hoffman	(403) 567-3678	dustin.hoffman@sham.ca	Yes	Yes	Active
GlennClose		Glenn Close	(403) 567-5439	glenn.close@sham.ca	No	No	Active
JohnTravolta				john.travolta@sham.ca	No	No	Active
JohnnyDepp				johnny.depp@sham.ca	Yes	Yes	Active
SallyField				sally.field@sham.ca	No	No	Active
TomHanks				tom.hanks@sham.ca	No	No	Active

**Please click an action**

[EDIT ORGANIZATIONAL USER](#) [RESET PASSWORD](#)

From the **Edit organizational user** screen, you can change a user's information, reset their password or change their notification settings.

### Edit organizational user

Reset password

Login ID: JohnnyDepp

User information | Proceeding notification settings | Global notification settings

First name \* Johnny

Last name \* Depp

Email address \* johnny.depp@sham.ca

Confirm email address \* johnny.depp@sham.ca

Phone number (403) 567-5544

Assign as organizational administrator

Assign as confidential administrator

User status Active

Unlock user account

Save

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

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

Select “reset password” to send a system generated password to the user’s email address. Users can reset their own password using [Forgot password](#).

To remove your organization from the eFiling System, select **Request to close my organization**.

### Request to close my organization ABC Utility Company

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

Closure Type \*  Terminated  Amalgamated

Reason for closure \*

**Provide the succeeding organization's information if the closure type "Amalgamated" is selected**

Succeeding organization

Effective date

Submit

Select the type of closure 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 **Submit** 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.

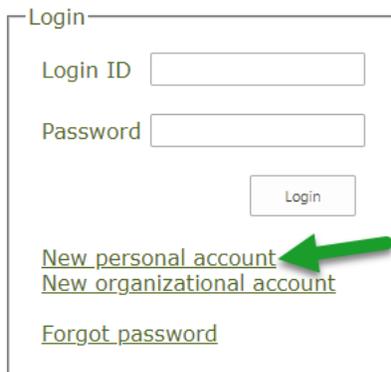
## 3.2 Single-user accounts

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.

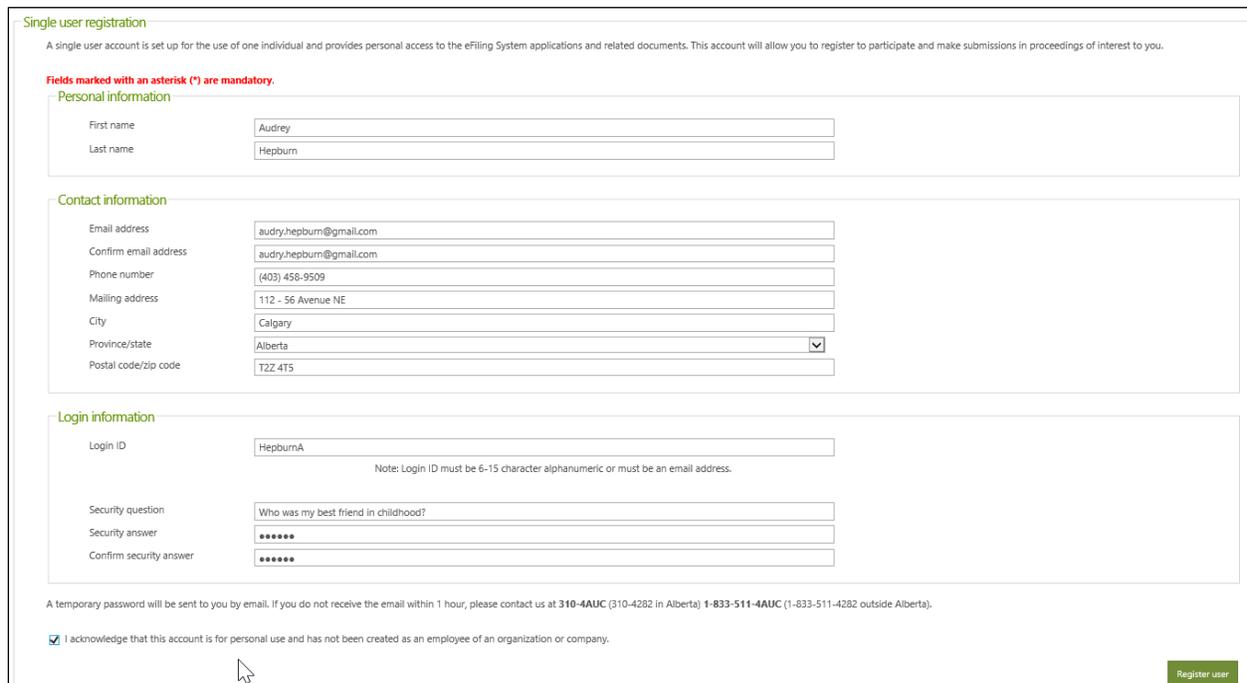
### 3.2.1 Create a single-user account

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.



Enter information on the registration form. Fields with a red star \* are mandatory. Mandatory fields include:

- First and last name.
- Email address (this must be a unique email address in the eFiling System). *If you do not have an email address, your name, mailing address and phone number are mandatory fields.*
- Confirmation of email address (this must be the exact duplicate of the email address).
- Login ID (enter a unique ID to use the eFiling System – the format is that of an email address with no spaces or special characters).

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

## 3.3 Manage accounts

### 3.3.1 Change general account information

Log into the eFiling System. Select your profile on the top right menu bar. You can update all information except your login ID.

Click here to open your Profile page.

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

### 3.3.2 Change password

The password must be at least six characters and up to 15 characters in length. It may contain alphabetic characters, numbers and symbols. It must contain at least one symbol.

Select the Change password tab to update your password.

### 3.3.3 Change your security question

The case-sensitive answer to the security question is used if you forget your password.

### 3.3.4 Forgot password

If you forget your password, click **Forgot password** and enter your login ID.

Login

Login ID

Password

[New personal account](#)  
[New organizational account](#)  
[Forgot password](#)

You are prompted to answer your security question. Enter your case-sensitive security answer and click **Reset password** to have a new password sent to your email.

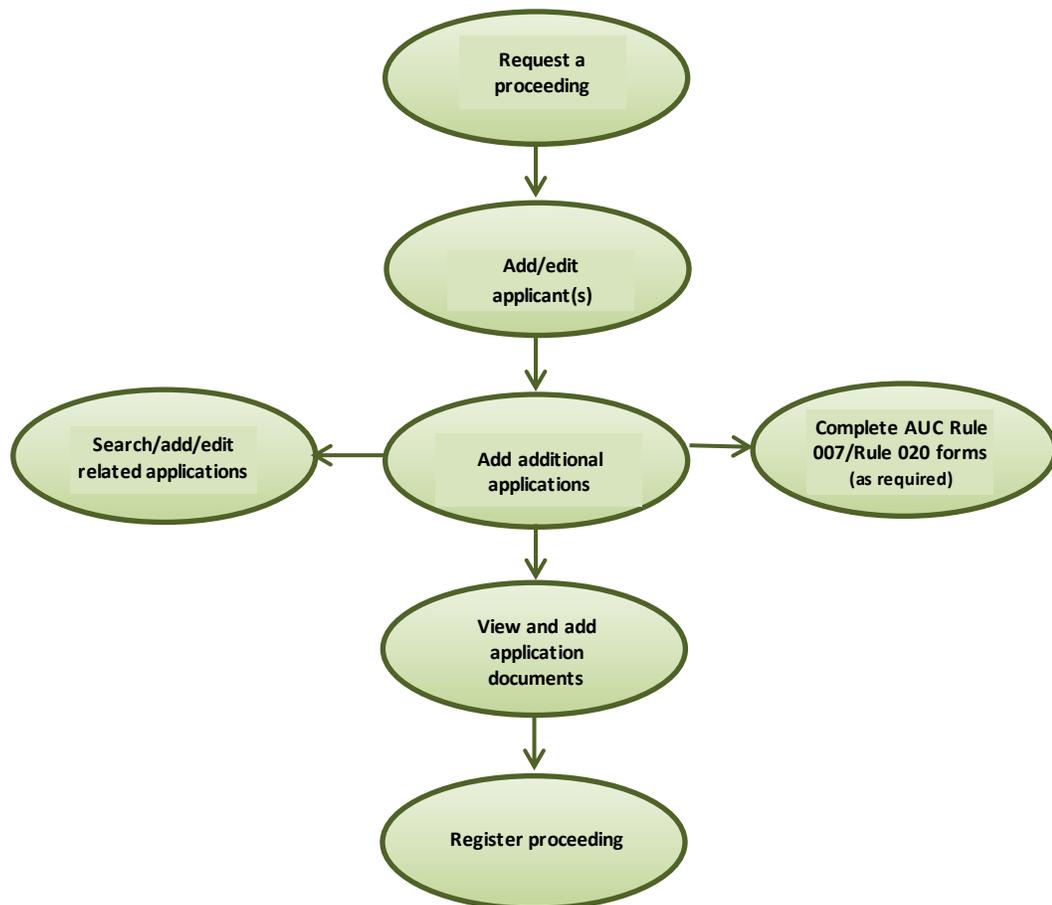
If you've forgotten your login ID, you can enter your email address. If you've forgotten your email address, you need to contact your organization's eFiling System administrator or the AUC at [info@auc.ab.ca](mailto:info@auc.ab.ca).

## 4 Proceedings

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

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

This is the overall flow to follow when creating a proceeding



## 4.1 Request a new proceeding

To request a proceeding:

1. Click **Request proceeding** on the main menu bar.
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 **Continue**.

### Request proceeding

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

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

**Proceeding description:**

**My Contact(s):** [Bill Murray](#) [Sean Penn](#)

**What is your role?**

I am the primary applicant

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

**Primary applicant:** [ABC Utility Company](#)

**Applicant contact(s):** [Dustin Hoffman](#) [Sally Field](#)

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

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

## 5 Applicants

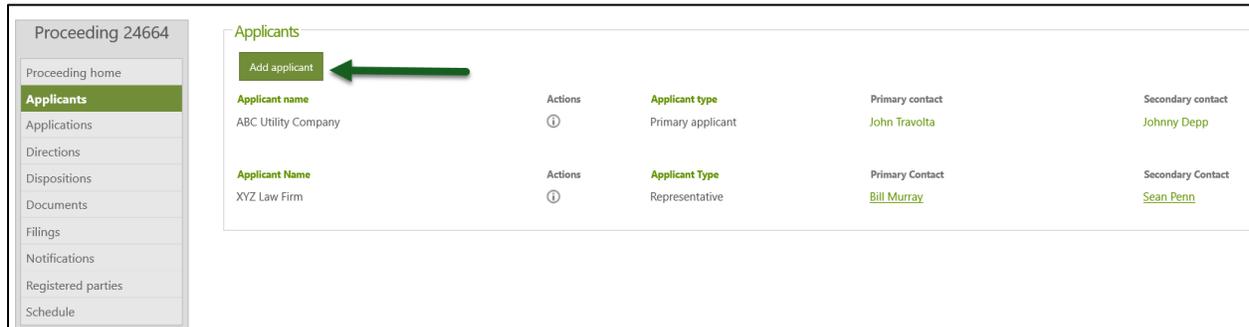
All proceeding applicants must have an active eFilingSystem user account. You may register in a proceeding as a primary applicant, a co-applicant or as an official representative of an applicant.

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

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

## 5.1 Add an applicant

To add an applicant, first select **Applicants** in the left navigation menu and then click **Add applicant**.



### Step 1: Pick the applicant

In the pop-up box, first pick the applicant using **Select applicant**.

Add applicant

Step 1: Select the applicant

Applicant:

Step 2: Select the applicant type

Applicant type:

Step 3: Select your contacts

My primary contact is:

My secondary contact is:

In the search pop-up box, enter the name (or any letters in the name) of the applicant or organization and click **Search**.

Select an applicant:

Search for an applicant to register:

Select	Name	Telephone	Address	Email
<input type="button" value="Select"/>	Pine Test Org		300 Pine Way	

Locate the applicant in the list and click **Select** beside the name.

Applicant type

Co-Applicant  
Co-Applicant  
Primary Applicant  
Representative

From the drop-down list, select if this 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, [create a new single user account](#)).

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

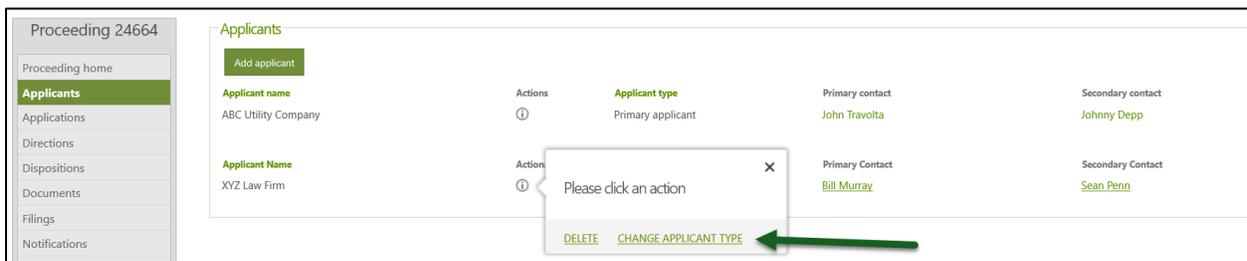
Before the proceeding is registered, it is in draft form. In draft form the applicant, co-applicant or representative can change the applicant and contact information. All applicants are connected to all applications, and any changes to applicant information automatically apply to all applications in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

### To view and edit an applicant

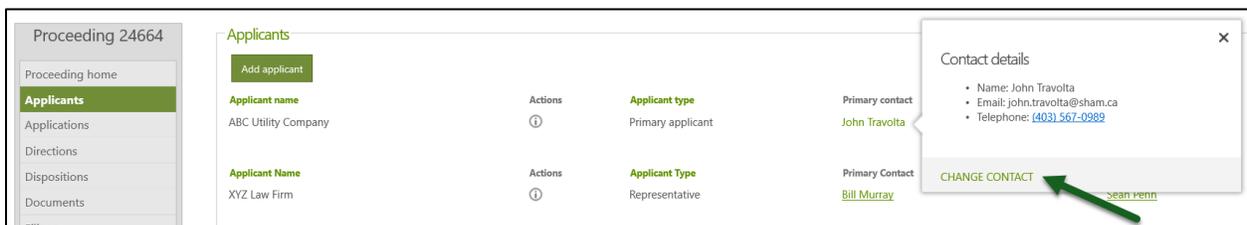
Select the applicant from the list in the Applicants page.

Click the action icon  beside a name to either delete the applicant or change the applicant type (primary or co-applicant or representative).



### To change a contact

Click the contact name and select “change contact” in the pop-up box to reassign a contact person.



## 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.

If a restricted application type (preferential sharing of records) is selected for the first application, all further applications created in the proceeding must be restricted as well (see [Restricted proceedings](#)).

### 6.1 Application types

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

#### 6.1.1 AUC rule

##### 6.1.1.1 AUC Rule 005

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

#### 6.1.2 Codes of conduct

##### 6.1.2.1 Code of conduct

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

### 6.1.2.2 Inter-affiliate code

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

### 6.1.3 Cost recovery

#### 6.1.3.1 Cost claims

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

### 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 <a href="#">Alberta Utilities Commission Act</a> .
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 <a href="#">Alberta Utilities Commission Act</a> .
Electric utility tariff decision review - stage 1	Applications for review of a decision approving a tariff under the <a href="#">Electric Utilities Act</a> 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 <a href="#">Electric Utilities Act</a> 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 <a href="#">Gas Utilities Act</a> .

Type	Description
Gas utility rates decision review - stage 2	Hearing to consider whether to vary a decision of the Commission relating to fixing rates, tolls or charges for a gas utility, under Section 36 of the <i>Gas Utilities Act</i> .
Independent system operator decision review - stage 1	Applications for review of a decision relating to the independent system operator
Independent system operator decision review - stage 2	Hearing to consider whether to vary a decision of the Commission relating to the independent system operator.
MSA decision review - stage 1	Applications for review of a decision relating to the MSA.
MSA decision review - stage 2	Hearing to consider whether to vary a decision of the Commission relating to the MSA.
Needs decision review - stage 1	Applications for review of a decision on a needs identification document.
Needs decision review - stage 2	Hearing to consider whether to vary a decision of the Commission relating to a needs identification document.
Preferential sharing of records decision review - stage 1	Applications for review of a decision relating to preferential sharing of records.
Preferential sharing of records decision review - stage 2	Hearing to consider whether to vary a decision of the Commission relating to preferential sharing of records.
Reliability standards decision review - stage 1	Applications for review of a decision relating to reliability standards.
Reliability standards decision review - stage 2	Hearing to consider whether to vary a decision of the Commission relating to reliability standards.
Water utility rates decision review - stage 1	Applications for review of a decision fixing rates, tolls or charges for a water utility, under the <a href="#">Public Utilities Act</a> by a person affected by the decision.
Water utility rates decision review - stage 2	Hearing to consider whether to vary a decision of the Commission relating to fixing rates, tolls or charges for a water utility, under the <i>Public Utilities Act</i> by a person affected by the decision.
Generic - stage 1	Applications for review of a decision of the Commission respecting a generic proceeding.
Generic - stage 2	Hearing to consider whether to vary a decision of the Commission respecting a generic proceeding.
Miscellaneous - stage 1	Applications for review of a decision respecting a miscellaneous issue.
Miscellaneous - stage 2	Hearing to consider whether to vary a decision of the Commission respecting a miscellaneous issue.

## 6.1.5 Designated public utilities

### 6.1.5.1 Financing

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

### 6.1.5.2 Property franchises

Type	Description
Disposition encumbrance merger	Applications requesting approval of matters under Section 101(2)(d) of the <a href="#">Public Utilities Act</a> or Section 26(2)(d) of the <a href="#">Gas Utilities Act</a> .

### 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.
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 <a href="#">Rule 018: Rules on Negotiated Settlements</a> .
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.

Type	Description
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 <a href="#">Distribution Tariff Regulation</a> 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.
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 <a href="#">Rule 018: Rules on Negotiated Settlements</a> .
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.

Type	Description
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 <a href="#">Gas Distribution Act</a> .
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 <a href="#">Rule 018: Rules on Negotiated Settlements</a> .
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 <a href="#">Rule 018: Rules on Negotiated Settlements</a> .
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 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 <a href="#">Hydro &amp; Electric Energy Act</a> ).
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.

Type	Description
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.

#### 6.1.9.4 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 <a href="#">Micro-Generation Regulation</a> and <a href="#">Rule 024: Rules Respecting Micro-Generation</a> .
Definition disputes	Applications to the AUC to rule on the definition of a micro-generation customer.
Meter disputes	Applications to the AUC to rule on the designation of the meter type to be provided under the <i>Micro-Generation Regulation</i> .
Other disputes	Applications submitted to make a decision about disputes not outlined within the <i>Micro-Generation Regulation</i> .

#### 6.1.9.5 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.

#### 6.1.9.6 Power generation

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

#### 6.1.9.7 Transmission lines and substations

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

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

## 6.1.10 Enforcement

### 6.1.10.1 Enforcement

Type	Description
Enforcement	Applications requesting a hearing or other proceeding respecting failure to comply with any legislation under the Commission's jurisdiction or a Commission decision, order or rule.

### 6.1.10.2 Notices of dispute

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

## 6.1.11 Gas facilities

### 6.1.11.1 Complaints

Type	Description
Gas facility complaint	Complaints related to gas facilities.

### 6.1.11.2 Pipelines

Type	Description
Pipeline - amendment	Applications for amendments and additions to existing gas utility pipeline licences, under the <a href="#">Gas Utilities Act</a> and the <a href="#">Pipeline Act</a> .
Pipeline - installation amendment	Applications for amendments and additions of installations (i.e. compressors) on existing gas utility pipeline licences, under the <i>Gas Utilities Act</i> and the <i>Pipeline Act</i> .
Pipeline installation - new	Applications for new installations on new gas utility pipeline licences (i.e. compressors), under the <i>Gas Utilities Act</i> and the <i>Pipeline Act</i> .
Pipeline - new	Applications for new gas utility pipeline licence under the <i>Gas Utilities Act</i> and the <i>Pipeline Act</i> .
Pipeline - test medium	Applications for approval to test a pipeline using test medium other than fresh water, under sections 35 or 36 of the <a href="#">Pipeline Regulation</a> .

Type	Description
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 <a href="#">Electric Utilities Act</a> about the conduct of the independent system operator.

### 6.1.12.3 Independent system operator rules

Type	Description
Expedited independent system operator rule – non-urgent	Filings pursuant to Section 20.6(2)(b) of the <i>Electric Utilities Act</i> and Rule 017: <i>Procedures and Process for Developing Independent System Operator Rules</i> for expedited new, expedited amendments or expedited removal of independent system operator rules for purposes that do not affect the reliable supply of electricity or the safe and reliable operation of the interconnected electric system.
Expedited independent system operator rule – urgent	Filings pursuant to Section 20.6(2)(a) of the <i>Electric Utilities Act</i> and Rule 017: <i>Procedures and Process for Developing Independent System Operator Rules</i> for expedited new, expedited amendments or expedited removal of independent system operator rules that are urgent and affects the reliable supply of electricity or the safe and reliable operation of the interconnected electric system.
Independent system operator rule – administrative amendment	Filings pursuant to Subsection 20.6(1) of the <i>Electric Utilities Act</i> , and Section 12 of Rule 017: <i>Procedures and Process Development of ISO Rules and Filing of ISO Rules with the Alberta Utilities Commission</i> for an administrative amendment to an ISO rule.
Independent system operator rule complaint	Pursuant to Section 25 of the <i>Electric Utilities Act</i> , written complaints by market participants about an independent system operator rule that is in effect or an independent system operator fee.
Provisional independent system operator rule	Filings pursuant to Section 20.2, Section 20.22, and Section 41.42 of the <i>Electric Utilities Act</i> and Rule 017: <i>Procedures and Process for Developing Independent System Operator Rules</i> for independent system operator rules considered essential to establish and for operation of the capacity market.
Standard independent system operator rule amendment	Filings pursuant to Section 20.2 of the <i>Electric Utilities Act</i> and Rule 017: <i>Procedures and Process for Developing Independent System Operator Rules</i> with the Alberta Utilities Commission for amendments to independent system operator rules.
Standard independent system operator rule new	Filings pursuant to Section 20.2 of the <i>Electric Utilities Act</i> and Rule 017: <i>Procedures and Process for Developing Independent System Operator Rules</i> for new independent system operator rules.
Standard independent system operator rule removal	Filings pursuant to Section 20.2 of the <i>Electric Utilities Act</i> and Rule 017: <i>Procedures and Process for Developing Independent System Operator Rules</i> for removal of independent system operator rules.
Rule compliance	Filings required by the AUC, for directed changes to an independent system operator rule, or the provision of it, under Section 20.21(1)(b) or Section 25(6)(e) of the <i>Electric Utilities Act</i> .

#### 6.1.12.4 Market Surveillance Administrator

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

#### 6.1.12.5 Records sharing

Type	Description
Preferential sharing of records	Preferential sharing of records applications pursuant to Section 3 of the <a href="#">Fair, Efficient and Open Competition Regulation</a> .

#### 6.1.12.6 Reliability standards

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

## 6.1.13 Retail Energy

### 6.1.13.1 Complaints

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

### 6.1.13.2 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 <a href="#">Rule 018: Rules on Negotiated Settlements</a> .
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.

### 6.1.13.3 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 <a href="#">Rule 018: Rules on Negotiated Settlements</a> .
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.

## 6.1.14 Share transfer

### 6.1.14.1 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 <a href="#">Public Utilities Act</a> or Section 27 of the <a href="#">Gas Utilities Act</a> .

## 6.1.15 Utility supply agreements

### 6.1.15.1 Municipal Government Act

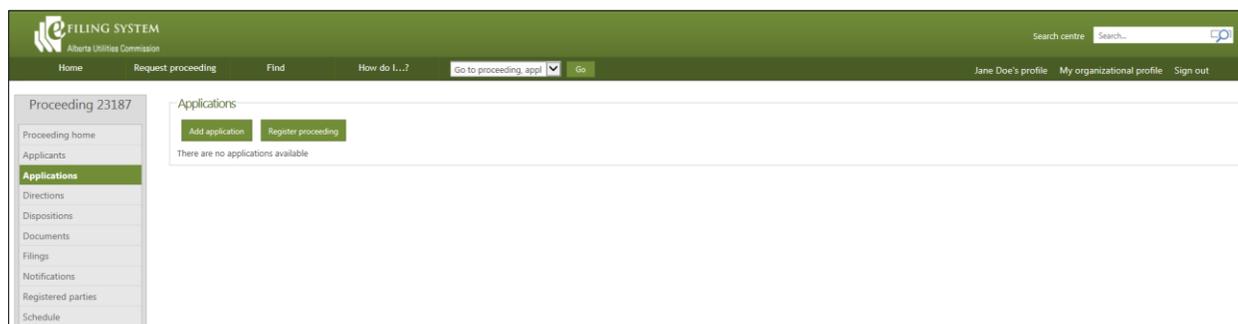
Type	Description
Supply agreement	Applications seeking approval of proposed agreements for the supply of: water, steam or fuel by a council to a public utility; or electric power by a council or a municipal public utility, under Section 30 of the <a href="#">Municipal Government Act</a> .

### 6.1.15.2 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 <a href="#">Rule 011: Rate Application Process for Water Utilities</a> .
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.
Rule 011: Rate Application Process for Water Utilities	Applications by small investor-owned water utilities to establish rates as outlined in <a href="#">Rule 011: Rate Application Process for Water Utilities</a> .

## 6.2 Add an application

To add an application to a proceeding, select **Applications** in the left navigation menu and click **Add application** on the Applications page.



### 6.2.1 Choose the application type

Select the application type and click **Select** to open the main application form.

(Use the functional group and/or category filters to narrow the application search. You can also enter text to search directly.)

**Choose application type**

Filter application types

Filter by application functional groups

Filter by application categories

Filter for this text in any of the fields

Select	Functional group	Application category	Application type	Application description
<input type="button" value="Select"/>	Electric facilities	Transmission lines and substations	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.
<input type="button" value="Select"/>	Electric facilities	Transmission lines and substations	Transmission enquiry proposal	Proposals for minor alterations to existing electric transmission facilities.
<input type="button" value="Select"/>	Electric facilities	Transmission lines and substations	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.
<input type="button" value="Select"/>	Electric facilities	Transmission lines and substations	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).
<input type="button" value="Select"/>	Electric facilities	Transmission lines and substations	Transmission ownership change	Applications for approval to transfer or change the ownership of electric transmission assets pursuant to Section 19 of the Hydro and Electric Energy Act.
<input type="button" value="Select"/>	Electric facilities	Transmission lines and substations	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.

## 6.2.2 Add general application information

**New application**

**General information**

Created: June 08, 2021      Status: Draft      Application:

Functional group:

Application category:

Application type:

Application type description: 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).

Application description:

Contact information for the applicant representative to be included on the AUC notice:

Name:

Phone number:

Email address:

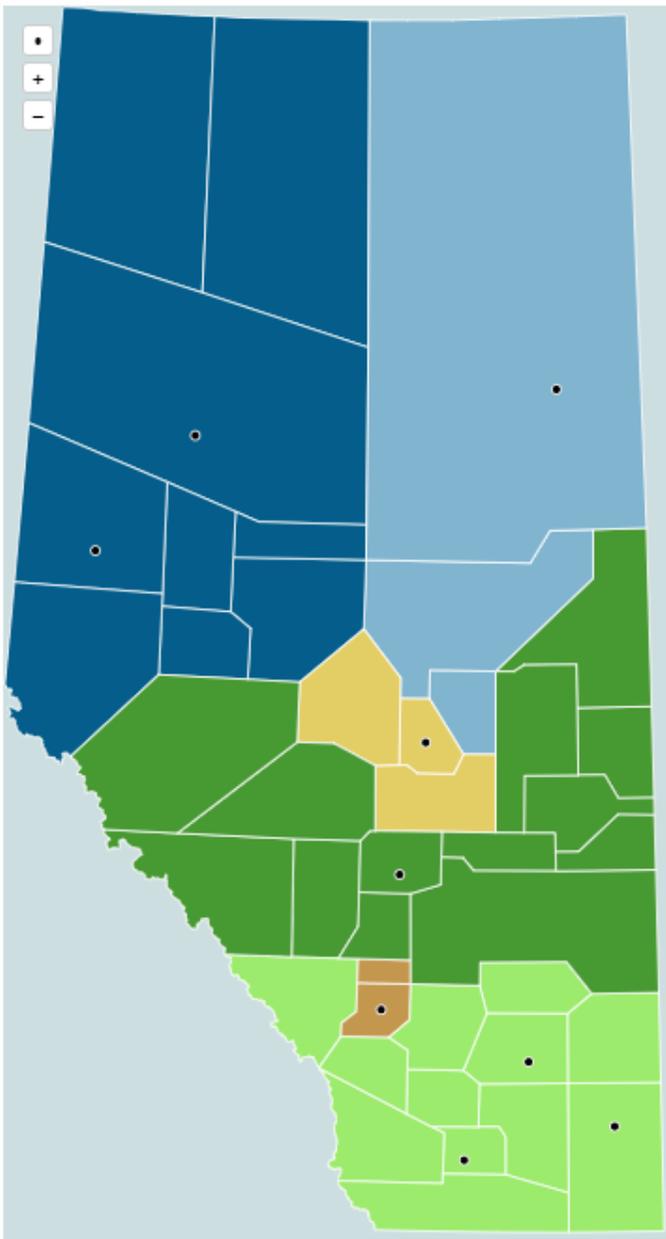
[Add legislation](#)

[Add rule](#)

[Add region \\*](#)

Applicant's reference number:

Field	Description
	The application functional group, category and type selected are shown first.
Application description (required)	As applicant, enter a description of what the application is for. An example is: <i>"Transmission line 7L123 upgrade project to provide service to an industrial complex – Application A or Interim TFO Tariff for May 2014."</i> (100-character length maximum).

Field	Description
Contact information	Enter the applicant contact information for the individual that will be referred to in the AUC notice of application.
Legislation and AUC rule	From the drop-down list select the legislation and the AUC rule that you are applying under. This will be used in the filing announcement.
Region	<p>Select the geographic region from the drop-down list or select the map icon  to view a map of the province of Alberta to select the region that the application falls into. Select <b>Add region</b> for applications that transcend multiple regions.</p> <div data-bbox="397 598 1453 1900"> <p><b>Region selection</b></p> <p>Regions </p> <ul style="list-style-type: none"> <li> Northeast</li> <li> Northwest</li> <li> Central</li> <li> South</li> <li> Calgary</li> <li> Edmonton</li> </ul> <p>Other</p> <ul style="list-style-type: none"> <li> Major cities &amp; towns</li> </ul>  </div>

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, the message is shown at the bottom of the form:

**Rule 007 transmission line application**

1. Have you conducted a participant involvement program?  Yes  No \*

If you answer no, please explain:

2. Are there outstanding public or industry objections and/or concerns?  Yes  No \*

3. Provide the electric facility ID number:  \*

4. Provide legal descriptions of the locations of the start and end points of the transmission line:

Start point of transmission line:

Legal subdivision	Section	Township	Range	Meridian
<input style="width: 80%; height: 20px;" type="text"/> *				

End point of transmission line:

Legal subdivision	Section	Township	Range	Meridian
<input style="width: 80%; height: 20px;" type="text"/> *				

**Please address the following:**

- An answer to question 1 is required.
- An answer to question 2 is required.
- An answer to question 3 is required.
- In answer to question 4, the start point of the transmission line (section, township, range and meridian) is required.
- In answer to question 4, the end point of the transmission line (section, township, range and meridian) is required.

All errors must be resolved before a user can click **Save** to save the application.

Your application is created and the application number is shown on the Applications page. 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 form will indicate if the input has qualified the application for an expedited process.

**Municipal electric franchise agreement and franchise rate rider application**

Pursuant to Section 45 of the *Municipal Government Act*, and Section 139 of the *Electric Utilities Act*, an electric utility applies for approval of a franchise agreement with a municipality. The franchise agreement satisfies the requirements of the *Municipal Government Act* and *Electric Utilities Act*. In addition, pursuant to Section 102 of the *Electric Utilities Act*, the electric utility hereby applies to the Alberta Utilities Commission for approval of its Franchise Fee Rate Rider Schedule, which reflects the franchise fee percentage as set out in the franchise agreement.

1. Utility filing this application: ATCO Electric Ltd.

2. Municipality granting the franchise: the Municipality of Crowsnest Pass

3. The proposed franchise agreement is based on the standard electric franchise agreement template outlined in Rule 029.  Yes  No

4. The proposed franchise agreement includes changes to the standard electric franchise agreement template outlined in Rule 029.  Yes  No

5. The term of the franchise agreement is 20 years or less, with a proposed term of:

6. The proposed effective date of the franchise agreement is:

7. Is this a new franchise agreement or is there an existing agreement?  New  Existing

7a. Enter the percentage and average monthly charge to the average residential customer for the current franchise fee:

Percentage	Monthly charge
<input type="text" value="2.45"/>	<input type="text" value="6.50"/>

7b. Select the AUC disposition that approves the current franchise agreement: 25286-D01-2020

8. In the absence of prior approval by the Commission, the franchise fee will not exceed 20%. Enter the percentage of the proposed franchise fee and enter the average monthly amount that will be charged to the average residential customer:

Percentage	Monthly charge
<input type="text" value="3.30"/>	<input type="text" value="7.89"/>

*The proposed franchise fee replaces the current franchise fee.*

The change to the monthly charge is:  
For an average residential customer, the average monthly charge for the proposed franchise fee will result in an increase.

Change to monthly charge
<input type="text" value="1.39"/>

9. The franchise fee rate rider schedule forming part of this application is effective on:

10. Confirm that you used the standard franchise notice template available on the AUC website for advertising:  Yes  No

10a. Enter the details about each time the publication of the notice of the proposed franchise agreement:

Advertising method	Media name/description	Date published	
<input type="text" value="Newspaper (major)"/>	<input type="text" value="Red Deer Advocate"/>	<input type="text" value="2021/05/03"/>	<a href="#">- Remove</a>

[+ Add advertising method](#)

11. Were any objections or concerns related to the proposed franchise agreement received?  Yes  No

12. Were any submissions supporting the proposed franchise agreement received?  Yes  No

12a. Confirm you will attach any written submissions of support or a summary of the support received:  Yes  No

13. Enter the bylaw number that approves the franchise agreement:

14. Confirm that you will attach the proposed franchise agreement and rate rider schedule:  Yes  No

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

Please include the following additional supporting documentation prior to registering the application:

- Franchise agreement
- Rate rider schedule
- Letter(s) supporting the franchise agreement

### 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.

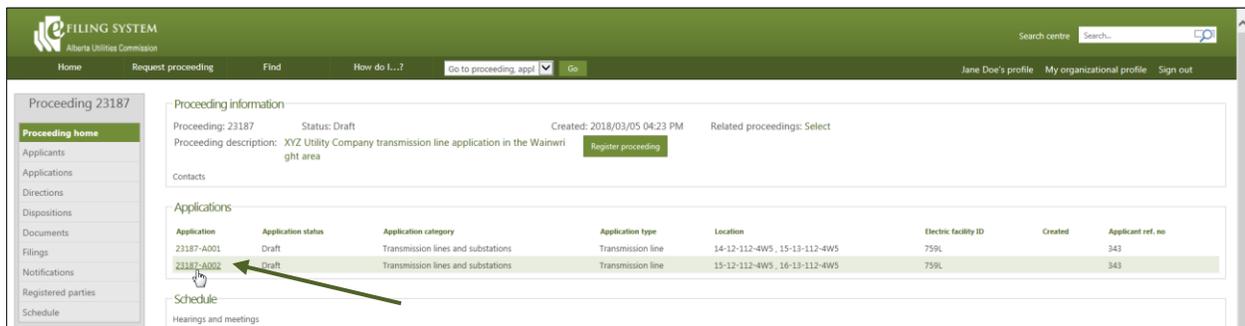
Once an application is registered as part of a proceeding:

- 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](#).

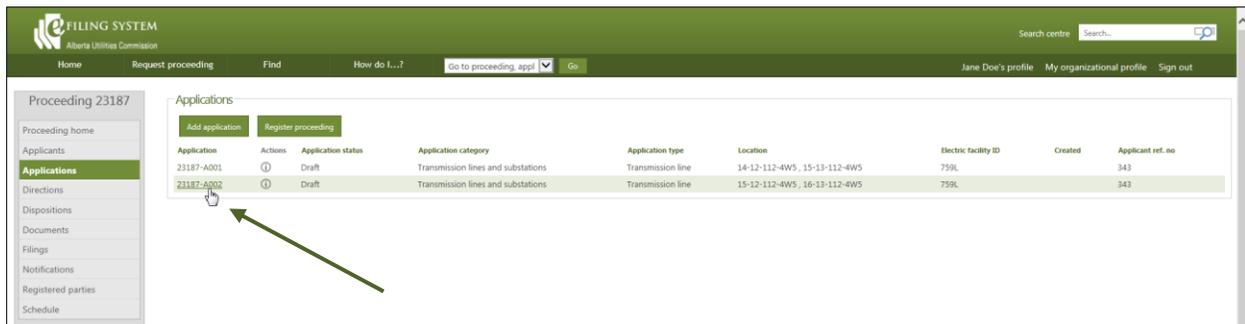
After an application is registered and before a final decision is issued, only AUC staff assigned to the proceeding can update the correct misclassified documents or update document descriptions that may be insufficient or require correction.

Applications can be accessed on the Proceeding home or the Applications page.

### Proceeding home page



### Applications page



Select the application to edit in the Application details page and click **Edit application form**.

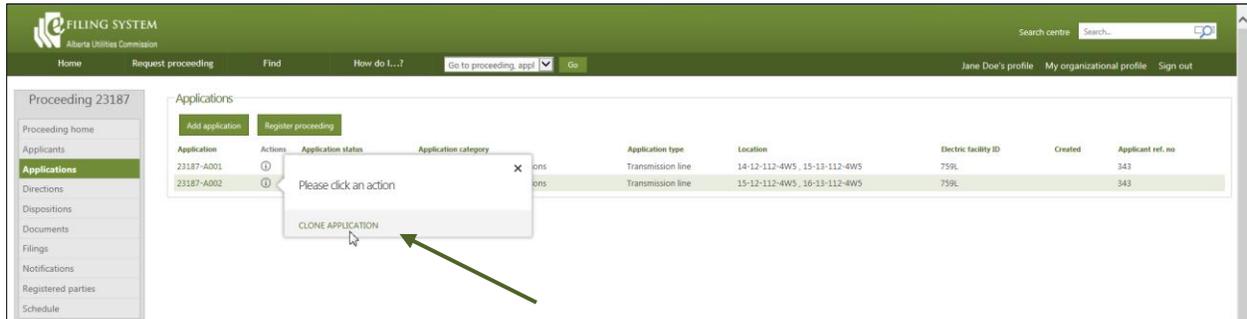


Make changes and click **Save**.

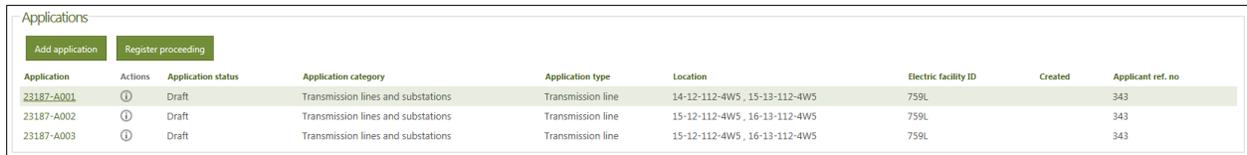
## 6.4 Clone an application

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

To clone an application, click the action icon  beside the application on the main Applications page.



Make required changes and then click **Save**. A new application number is assigned.



Application	Actions	Application status	Application category	Application type	Location	Electric facility ID	Created	Applicant ref. no
23187-A001		Draft	Transmission lines and substations	Transmission line	14-12-112-4WS, 15-13-112-4WS	759L		343
23187-A002		Draft	Transmission lines and substations	Transmission line	15-12-112-4WS, 16-13-112-4WS	759L		343
23187-A003		Draft	Transmission lines and substations	Transmission line	15-12-112-4WS, 16-13-112-4WS	759L		343

## 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, select **Delete application** on the Application details page.



## 7 Application documents

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

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

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

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

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

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

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

Most printers have a simple scanning option to run OCR on documents. If the OCR option is not available on your printer you should use Adobe Acrobat to scan the document. Instructions on how to use Adobe Acrobat to scan documents are available in [Appendix 1: Scanned documents](#).

The ten most recent documents for a proceeding are listed on the **Proceeding home page** on the **Documents tab** under **Recent activity**.

The screenshot shows the eFiling System interface for a proceeding. The 'Documents' tab is selected, and the 'Recent activity' section is visible. The table below lists the documents:

Exhibit number	Document description	Document type	Uploaded 4	Reference number
None	Application for A003	Application	2014/11/05	Application
None	Application for A002	Application	2014/11/05	Application
None	Summary for A003	Summary	2014/11/05	Application
None	Alberta infrastructure consent for A002	Alberta Infrastructure consent	2014/11/05	Application
None	Pine test org - Application for substation Nov 4,	Application	2014/11/04	Application
None	Pine test org - Drawing for substation Nov, 4, 2	Drawing	2014/11/04	Applications
None	Pine test org - Appendix for substation Nov. 4, 2	Appendix	2014/11/04	Application

## 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 (use for <a href="#">Rule 020: Utility Pipeline Consultation</a> applications).
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 <a href="#">Micro-Generation Regulation</a> , a notice of dispute over costs.
Schedule	A written statement of details often classified in tabular form that is an explanatory addition to another document. A schedule is usually submitted to support financial information contained in an application.
Study	Reports containing research or detailed examination of a subject. Examples include depreciation studies or cost of service studies.
Summary	A document that contains previously stated facts or statements in a comprehensive yet brief and concise manner. Examples include cost summaries, independent system operator rule summaries, issue summaries and comment summaries.

### 7.1.2 Authorization

Document type	Description
Independent system operator direction letter	Letter by the independent system operator directing a transmission facility owner to submit an application to the AUC to meet an identified need.
Agreement	Documents signed by two or more persons containing terms which will govern the signatories. Examples include franchise agreements, crossing agreements, rural electrification association agreements or sharing of records agreements.
Alberta Infrastructure consent	Ministerial consent from Alberta Infrastructure for activities by the applicant that cause a surface disturbance in the Calgary and Edmonton transportation and utility corridors.

Document type	Description
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 <a href="#">Municipal Government Act</a> with respect to an agreement between a utility and municipality.
Navigation Canada evaluation	Copy of evaluation(s) from Navigation Canada for wind turbine blades.
Transport Canada approval	Copy of approval(s) issued by Transport Canada for wind turbines.

### 7.1.3 Consultation

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

### 7.1.4 Design

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

## 7.1.5 Technical

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

The screenshot shows the 'Applications' page in the eFiling System. The page header includes 'eFILING SYSTEM Alberta Utilities Commission' and navigation links like 'Home', 'Request proceeding', 'Find', and 'Go to proceeding appl'. A search bar is visible in the top right. The main content area shows 'Proceeding 23187' and a table of applications. An arrow points to the 'Add application' button above the table.

Application	Actions	Application status	Application category	Application type	Location	Electric facility ID	Created	Applicant ref. no
23187-A001		Draft	Transmission lines and substations	Transmission line	14-12-112-4W5 , 15-13-112-4W5	759L		343
23187-A002		Draft	Transmission lines and substations	Transmission line	15-12-112-4W5 , 16-13-112-4W5	759L		343
23187-A003		Draft	Transmission lines and substations	Transmission line	15-12-112-4W5 , 16-13-112-4W5	759L		343

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

The screenshot shows the 'Application details' page. At the top, there are buttons for 'Edit application form', 'Upload document', 'Register proceeding', and 'Delete application'. The application information is displayed in a table-like format:

Application:	23187-A001	Status:	Draft	Created:	2018/03/05
Application category:	Transmission lines and substations		Location:	14-12-112-4W5 , 15-13-112-4W5	
Application type:	Transmission line		Electric facility ID:	759L	
Applicant ref. no:	343				
Description:	Transmission line 7L23 upgrade project to provide service to an industrial complex in the Wainwright area.				

Below the application details, there are tabs for 'Applicants', 'Application documents', 'Related filings', and 'Issued dispositions'. The 'Application documents' tab is selected, and it shows 'There are no items to show in this view.'

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

**Upload public document disclaimer**

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

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

The Commission's policy is that its hearings and proceedings should be open and transparent. The Commission therefore places all material it receives in the course of a proceeding on the public record so that all affected parties can have access to it. Filings, however, are not generally accessible through Internet search engines. If you submit comments or any other material, in any format (for example, email, fax or regular mail), related to an AUC proceeding, either written or oral, such as a facility hearing or a rate hearing, those comments will be filed in the relevant proceeding and will be available to the public through the AUC's eFiling System available on our publicly accessible website. Due to the nature of AUC proceedings your filing may contain personal information. Personal information may include your name, email address, financial information or health information, for example, or any other personal information you choose to provide. If you do not want your personal information on the public record, you may contact us to determine how the personal information contained in your filing may be treated in confidence. No formal application under our confidentiality rules is required in relation to such personal information. Requests for confidentiality can be made by emailing [foip@auc.ab.ca](mailto:foip@auc.ab.ca) or by calling 310-4282 (in Alberta) or 1-833-511-4282 (outside Alberta). Where practicable, we will facilitate your participation by redacting any such personal information from your filing prior to placing it on the public record. However, the Commission will require a confidential, un-redacted, version of your filing for its use and or the use of others registered in the proceeding to prepare their cases. You should also be aware that parties to an AUC proceeding are able to challenge requests for confidentiality. Oral public hearings of the AUC are open to the public and any information filed by you as part of the record, including personal information, may be presented, discussed or challenged in public. This information may also be disclosed by those in attendance to other parties or used by the media. The audio component of most AUC hearings is broadcast live on the AUC public website and this audio record is subsequently publicly available for a certain period of time. In certain circumstances a written transcript of the proceeding may also be publicly available. Additionally, following a hearing or other proceeding the Commission may publish a decision which refers to any evidence on the public record, or to the parties themselves.

I acknowledge and agree to the AUC privacy policy.

I do not agree to the AUC privacy policy.

**Upload public document disclaimer**

I understand that I have acknowledged and agreed to the AUC privacy policy and that all information submitted will form part of the public record of the proceeding.

I agree

I do not agree

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

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

### Step 1: Select the files to upload

Select the Add more files button to open the file explorer window. Individual file sizes cannot exceed 50 MB. Revisions can be up to 100 MB.

**Upload public document(s) for application 26860-A001**

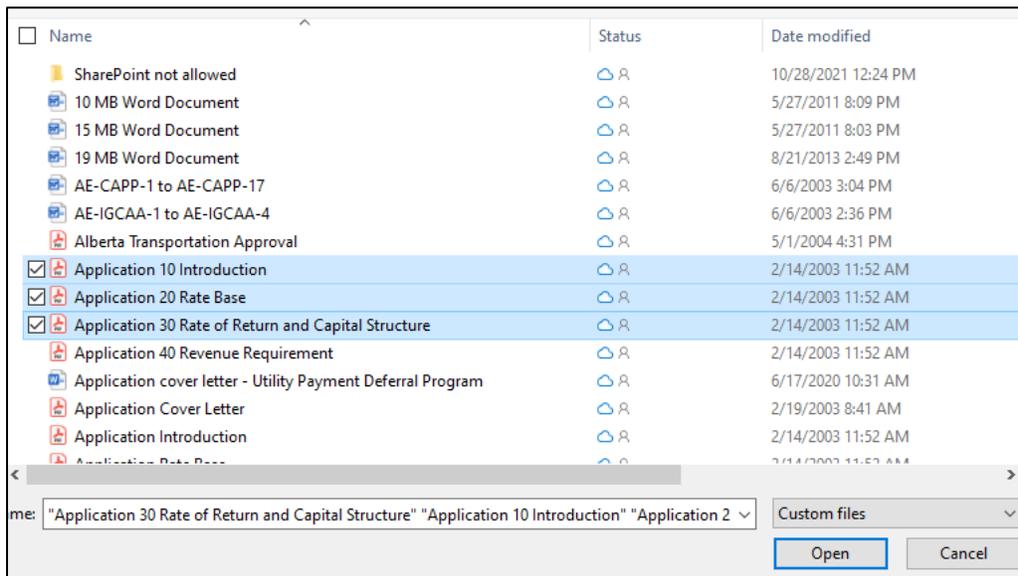
Step 1 - Select application document(s) to upload (Individual file sizes cannot exceed 50 Mb)

[Add more files](#)

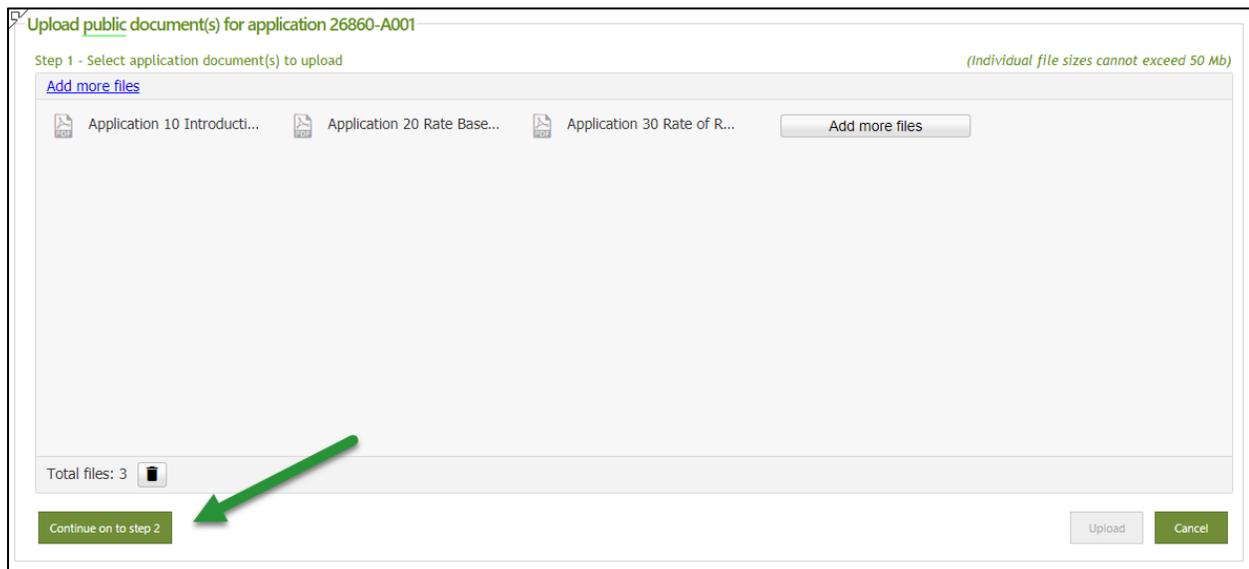
Drop files here...

No files to upload

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



Select **Continue to step 2**.



**Step 2 – Set document type, applications and description for each file**

Upload application document(s)

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

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

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

All documents apply to all my applications in this proceeding

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

File name	Document type	Document category	Applications	Description	Directions	Remove
Application 1.0 Introduction.pdf	Application	Application and support	<a href="#">23187-A001:23187-A002:23187-A003</a>	Application 1.0 Introduction	* <a href="#">Add directions</a>	<a href="#">Remove</a>
Electric Single Line Diagram.pdf	Diagram	Design	<a href="#">23187-A001:23187-A002:23187-A003</a>	Electric Single Line Diagram	* <a href="#">Add directions</a>	<a href="#">Remove</a>
Load Flow Study.pdf	Study	Application and support	<a href="#">23187-A001:23187-A002:23187-A003</a>	Load Flow Study	* <a href="#">Add directions</a>	<a href="#">Remove</a>
Nav Canada Approval.pdf	Set document type* You need to set the document type for each file.		<a href="#">23187-A001:23187-A002:23187-A003</a>	Nav Canada Approval	* <a href="#">Add directions</a>	<a href="#">Remove</a>
Project Area Map.pdf	Set document type* You need to set the document type for each file.		<a href="#">23187-A001:23187-A002:23187-A003</a>	Project Area Map	* <a href="#">Add directions</a>	<a href="#">Remove</a>
Project Site Map.pdf	Set document type* You need to set the document type for each file.		<a href="#">23187-A001:23187-A002:23187-A003</a>	Project Site Map	* <a href="#">Add directions</a>	<a href="#">Remove</a>

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

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

### Select

All documents apply to all my applications in this proceeding if the selected documents will be applied to all applications in the proceeding.

### Select

Set the default descriptions for all of these files to their filename (excluding the file extension, e.g. .docx) if you would like to populate the description field for all files with the file name.

For each document, you must select the type of document. Use the filter fieldsto narrow the list of types shown.

Choose document type

Filter document types

Document category:  Description:

[Filter](#) [Reset](#)

Select	Document type	Document category	Description
<a href="#">Select</a>	Affiliates list	Application and support	A list of the applicant's affiliates who are pool participants, the agent and agent's affiliates who are pool participants.
<a href="#">Select</a>	Appendix	Application and support	Supplementary material in support of the application usually of an explanatory, statistical or bibliographic nature.
<a href="#">Select</a>	Application	Application and support	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).
<a href="#">Select</a>	Comparison of independent system operator documents	Application and support	A comparison of the Alberta reliability standard to the North American Electric Reliability Corporation (NERC) reliability standard.
<a href="#">Select</a>	Complaint	Application and support	Written complaints about the conduct of the independent system operator or Market Surveillance Administrator or other letters of discontent expressing resentment or faultfinding pertaining to utilities.
<a href="#">Select</a>	Correspondence	Application and support	Letters or other records of communication between parties.
<a href="#">Select</a>	Curriculum vitae	Application and support	A synopsis of one's education, experience and professional qualifications.
<a href="#">Select</a>	Draft independent system operator rule	Application and support	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.
<a href="#">Select</a>	Draft standard	Application and support	A copy of the draft reliability standard for proposed new standards, amendments to existing standards or removal of existing standards.
<a href="#">Select</a>	Graph	Application and support	A line chart, plot, chart or diagram depicting the relationship between two or more variables.

Enter a description of the file that will stand the test of time; for example, "Pine test org – Appendix for substation, Nov. 4, 2014".

Click **Upload document(s)** at the end of step 2 to load the documents to the eFiling System. (This button is only active when all required upload information has been entered.)

Upload application document(s) Return to step 1 - Add more files

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

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

All documents apply to all my applications in this proceeding

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

File name	Document type	Document category	Applications	Description	Directions	Remove
Application 1.0 Introduction.pdf	<a href="#">Application</a>	Application and support	<a href="#">23187-A001:23187-A002:23187-A003</a>	Application 1.0 Introduction *	<a href="#">Add directions</a>	<a href="#">Remove</a>
Electric Single Line Diagram.pdf	<a href="#">Diagram</a>	Design	<a href="#">23187-A001:23187-A002:23187-A003</a>	Electric Single Line Diagram *	<a href="#">Add directions</a>	<a href="#">Remove</a>
Load Flow Study.pdf	<a href="#">Study</a>	Application and support	<a href="#">23187-A001:23187-A002:23187-A003</a>	Load Flow Study *	<a href="#">Add directions</a>	<a href="#">Remove</a>
Nav Canada Approval.pdf	<a href="#">Navigation Canada evaluation</a>	Authorization	<a href="#">23187-A001:23187-A002:23187-A003</a>	Nav Canada Approval *	<a href="#">Add directions</a>	<a href="#">Remove</a>
Project Area Map.pdf	<a href="#">Map</a>	Design	<a href="#">23187-A001:23187-A002:23187-A003</a>	Project Area Map *	<a href="#">Add directions</a>	<a href="#">Remove</a>
Project Site Map.pdf	<a href="#">Plan</a>	Design	<a href="#">23187-A001:23187-A002:23187-A003</a>	Project Site Map *	<a href="#">Add directions</a>	<a href="#">Remove</a>

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

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

### 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.

Select the document(s) to modify either on the Application documents tab of the Application detail page.

Application details

[Edit application form](#) [Upload document](#) [Register proceeding](#) [Delete application](#)

**Application:** 23187-A001 **Status:** Draft **Created:** 2018/03/05

**Application category:** Transmission lines and substations **Location:** 14-12-112-4W5, 15-13-112-4W5

**Application type:** Transmission line **Electric facility ID:** 759L

**Applicant ref. no:** 343

**Description:** Transmission line 71.2kV upgrade project to provide service to an industrial complex in the Wainwright area.

[Applicants](#) [Application documents](#) [Related filings](#) [Issued dispositions](#)

File name	Actions	Exhibit number	Document type	Uploaded	Filed by	Applications	Directions
23187_XI_ProjectSiteMap_0006.pdf Description: Project Site Map			Plan	2018/03/05 05:12 PM	XYZ Utility Company	Multiple	
23187_XI_ProjectAreaMap_0005.pdf Description: Project Area Map			Map	2018/03/05 05:12 PM	XYZ Utility Company	Multiple	
23187_XI_NavCanadaApproval_0004.pdf Description: Nav Canada Approval			Navigation Canada evaluation	2018/03/05 05:12 PM	XYZ Utility Company	Multiple	
23187_XI_LoadFlowStudy_0003.pdf Description: Load Flow Study			Study	2018/03/05 05:12 PM	XYZ Utility Company	Multiple	
23187_XI_ElectricSingleLineDiagram_0002.pdf Description: Electric Single Line Diagram			Diagram	2018/03/05 05:12 PM	XYZ Utility Company	Multiple	
23187_XI_Application1.0Introduction_0001.pdf Description: Application 1.0 Introduction			Application	2018/03/05 05:12 PM	XYZ Utility Company	Multiple	

Click the action icon beside the document you want to modify.

Application details

Edit application form Upload document Register proceeding Delete application

Application: 23187-A003 Status: Draft Created: 2018/03/05

Application category: Transmission lines and substations Location: 15-12-112-4W5 , 16-13-112-4W5

Application type: Transmission line Electric facility ID: 759L

Applicant ref. no: 343

Description: Transmission line 7L23A2 upgrade project to provide service to an industrial complex in the Wainwright area.

Applicants Application documents Related filings Issued dispositions

Please click an action

File name	Actions	Uploaded	Filed by	Applications	Directions
23187_XI_ProjectSiteMap_0006.pdf Description: Project Site Map	ⓐ	2018/03/05 05:12 PM	XYZ Utility Company	Multiple	
23187_XI_ProjectAreaMap_0005.pdf Description: Project Area Map	ⓐ	2018/03/05 05:12 PM	XYZ Utility Company	Multiple	
23187_XI_NavCanadaApproval_0004.pdf Description: Nav Canada Approval	ⓐ	2018/03/05 05:12 PM	XYZ Utility Company	Multiple	Navigation Canada evaluation
23187_XI_LoadFlowStudy_0003.pdf Description: Load Flow Study	ⓐ	2018/03/05 05:12 PM	XYZ Utility Company	Multiple	Study
23187_XI_ElectricSingleLineDiagram_0002.pdf Description: Electric Single Line Diagram	ⓐ	2018/03/05 05:12 PM	XYZ Utility Company	Multiple	Diagram
23187_XI_Application1.0Introduction_0001.pdf Description: Application 1.0 Introduction	ⓐ	2018/03/05 05:12 PM	XYZ Utility Company	Multiple	Application

### 7.3.1 Associate to direction

Select “Associate to direction” in the Actions pop-up box. On the Select direction(s) to associate document to page, select one or more directions.

### 7.3.2 Change application association

Select “change application association” in the Actions pop-up box. On the Choose application(s) page, select or clear the checkboxes next to the applications to associate the document to.

Choose application(s)

<input type="checkbox"/> All	Application Number	Application Category	Application Type	Application Location	Elec. Facility	Applicant Request
<input checked="" type="checkbox"/>	23187-A001	Transmission lines and substations	Transmission line	14-12-112-4W5 , 15-13-112-4W5	759L	Transmission line 7L23 upgrade project to provide service to an industrial complex in the Wainwright area.
<input type="checkbox"/>	23187-A002	Transmission lines and substations	Transmission line	15-12-112-4W5 , 16-13-112-4W5	759L	Transmission line 7L23A upgrade project to provide service to an industrial complex in the Wainwright area.
<input type="checkbox"/>	23187-A003	Transmission lines and substations	Transmission line	15-12-112-4W5 , 16-13-112-4W5	759L	Transmission line 7L23A2 upgrade project to provide service to an industrial complex in the Wainwright area.

Save Cancel

### 7.3.3 Change document type

Select “change document type” in the Actions pop-up box. On the Choose document type page, select the new document type.

Choose document type

Filter Document Types

Filter Document Categories: All

Filter by Description:

Apply

Select	Document Type	Document Category	Document Type Description
Select	Affiliates list	Application and support	A list of the applicant's affiliates who are pool participants, the agent and agent's affiliates w
Select	Appendix	Application and support	Supplementary material in support of the application usually of an explanatory, statistical or

## 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 remove (void or withdraw) a document or replace a document for applications or filings, contact the AUC. 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 the actual document will be disabled.



Name	Phone	Email	Contact type
eFiling LAO_1_Facilities	403-555-1212	efiling.lao_1_facilities@auc.ab.ca	Lead application officer
eFiling LAO_1_Law	403-555-1212	efiling.lao_1_law@auc.ab.ca	Legal counsel

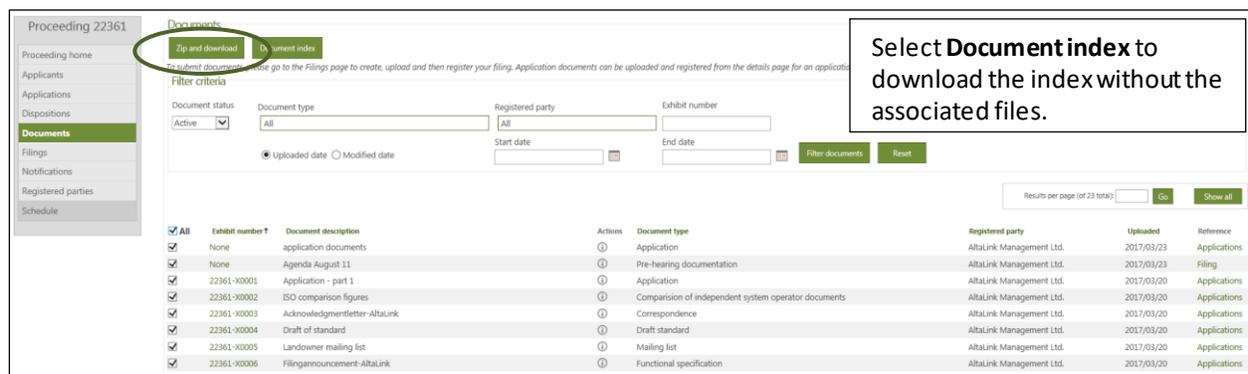
## 7.5 Download documents

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

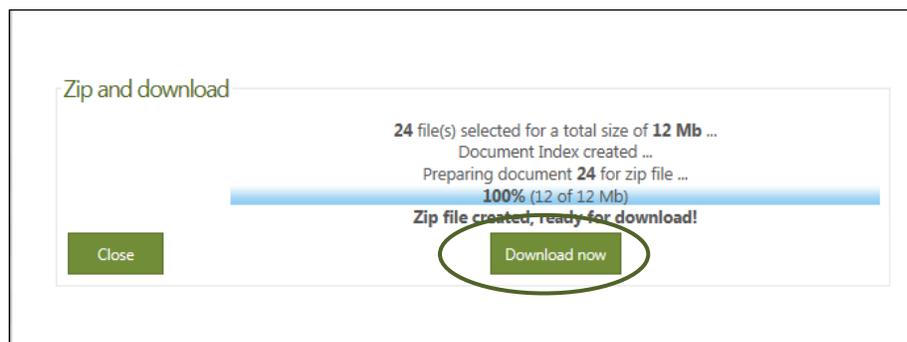
Documents for a restricted proceeding are only available for download by those registered parties that have been granted access. Please submit a request to the AUC at [info@auc.ab.ca](mailto:info@auc.ab.ca) for access to any restricted documents.

### To download documents

On the Documents page, select the files you would like to download by checking the box to the left of the file name or check **All** and then select the **Zip and download** button.



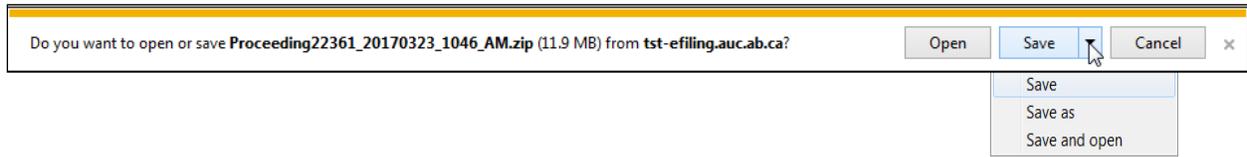
The zip file is created. Click to **Download now**.



You are prompted to open or save the .zip file in a dialogue at the bottom of the page. You can:

- open the .zip file – Proceeding index

- **save** the index in the download folder
- **save as** to a different location and/or with a different name
- **save** in the download folder and open the index



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

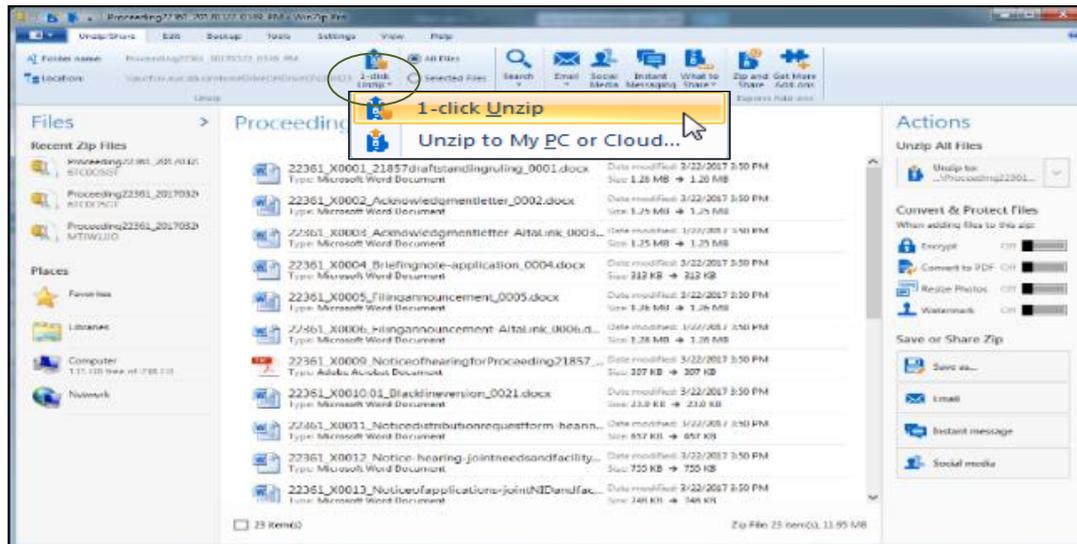
Click **Unzip** to load the files into the chosen folder.

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

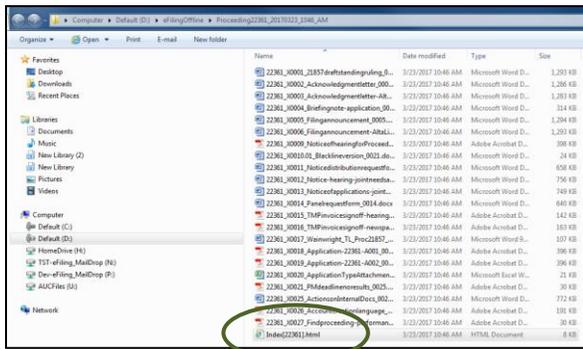
Proceeding ID\_Exhibit number\_File name\_Document ID.file format

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

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



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



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

File name	Exhibit number	Document description	Document type	Registered party	Uploaded	Reference number(s)
22361_X0001_21857draftstandingruling_0001.docx	22361-X0001	Application - part 1	Application	AltaLink Management Ltd.	2017/03/20 02:58 PM	22361-A001;22361-A002
22361_X0002_Acknowledgmentletter_0002.docx	22361-X0002	ISO comparison figures	Comparison of independent system operator documents	AltaLink Management Ltd.	2017/03/20 02:58 PM	22361-A001;22361-A002
22361_X0003_Acknowledgmentletter-Altalink_0003.docx	22361-X0003	Acknowledgmentletter-Altalink	Correspondence	AltaLink Management Ltd.	2017/03/20 02:58 PM	22361-A001;22361-A002
22361_X0004_Briefingnote-application_0004.docx	22361-X0004	Draft of standard	Draft standard	AltaLink Management Ltd.	2017/03/20 02:58 PM	22361-A001;22361-A002
22361_X0005_Filingannouncement_0005.docx	22361-X0005	Landowner mailing list	Mailing list	AltaLink Management Ltd.	2017/03/20 02:58 PM	22361-A001;22361-A002
22361_X0006_Filingannouncement-Altalink_0006.docx	22361-X0006	Filingannouncement-Altalink	Functional specification	AltaLink Management Ltd.	2017/03/20 02:58 PM	22361-A001;22361-A002
22361_X0009_NoticeofhearingforProceeding21857_0009.pdf	22361-X0009	Schedule of charts	Schedule	AltaLink Management Ltd.	2017/03/20 02:58 PM	22361-A001;22361-A002
22361_X0010.01_Blacklineversion_0021.docx	22361-X0010.01	Environmental impact assessment	Environmental	AltaLink Management Ltd.	2017/03/20 03:21 PM	22361-A001;22361-A002
22361_X0011_Noticedistributionrequestform-hearing_0011.docx	22361-X0011	Landowner outside of perimeter mailing list	Mailing list	AltaLink Management Ltd.	2017/03/20 02:58 PM	22361-A001;22361-A002
22361_X0012_Notice-hearing-jointneedsandfacility_0012.docx	22361-X0012	Complaint listing	Complaint	AltaLink Management Ltd.	2017/03/20 02:58 PM	22361-A001;22361-A002
22361_X0013_Noticeofapplications-jointNIDandfacility_0013.docx	22361-X0013	Noticeofapplications-jointNIDandfacility	Draft standard	AltaLink Management Ltd.	2017/03/20 02:58 PM	22361-A001;22361-A002
22361_X0014_Panelrequestform_0014.docx	22361-X0014	Graph of electric circuits	Graph	AltaLink Management Ltd.	2017/03/20 02:58 PM	22361-A001;22361-A002
22361_X0015_TMFinvoicessignoff-hearingsnewsaperad_0015.pdf	22361-X0015	Electric single line diagram	Diagram	AltaLink Management Ltd.	2017/03/20 02:59 PM	22361-A001;22361-A002

## 8 Related proceedings

Related proceedings are those that have links 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. The AUC will link related proceedings. Proceedings that are directly related to the current proceeding will show in the Related proceedings section. Proceedings that are linked to related proceedings of the current proceedings are shown in the Descendant proceedings section.

**Related proceedings**

*Proceedings that are directly related to proceeding 25161.*

Proceeding	Proceeding description	Proceeding status	Is confidential	Remove
25160	Janet test confidential proceeding	Active	True	

**Descendant proceedings**

*All proceedings that are indirectly related to proceeding 25161. For example if proceeding 100 is related to proceeding 101 and proceeding 102 is related to proceeding 101, then proceeding 101 would be considered related to proceeding 100 and proceeding 102 would be considered descendant to proceeding 100.*

Proceeding	Proceeding description	Proceeding status	Is confidential
25158	smoke test	Completed	False

As an applicant, co-applicant or representative, you cannot relate proceedings. Requests to have proceedings linked can be directed to the lead application officer (LAO) of the proceedings. Restricted proceedings As legislated in the [Fair, Efficient and Open Competition Regulation](#) that came into effect September 1, 2009, the Market Oversight and Enforcement Division accepts commercially sensitive applications for preferential sharing of records (PSR) by market participants and can limit proceeding access to a restricted set of participants.

By default, the applicant, the Market Surveillance Administrator and the AUC are added as participants to a participant list that identifies the organizations and single users that can register to participate or represent a client in a restricted proceeding.

If a PSR application is selected as the first application, all further applications in the proceeding are also restricted to PSR applications.

If a proceeding is restricted, some documents for the application may be marked as restricted and can only be viewed and edited by registered participants and AUC staff assigned to the proceeding. These documents cannot be selected for download. Please submit a request to the AUC at [info@auc.ab.ca](mailto:info@auc.ab.ca) to zip any restricted documents.

The eFiling System users not on this list can still register to subscribe as an observer to the following public information about a restricted proceeding:

- filing announcement
- notice of application
- decision

## 9 Register a proceeding

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

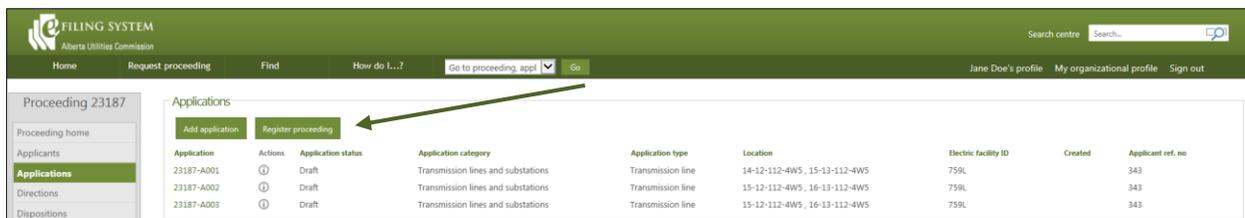
- proceeding and application description
- primary applicant name
- primary contact
- application description
- application category and type
- Rule 007/Rule 020 forms (if required)

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

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

### 9.1.1 To register a proceeding

On the Proceeding home or the Applications page, select **Register proceeding**.



You are prompted to confirm the registration.

### Confirm register proceeding

Do you want to proceed with the registration of this proceeding? Once registered, you will need to contact the AUC to make changes to the application forms. You will, however, still be able to upload application documents from the application details screen.

**Confirm** **Cancel**

When a proceeding is registered,

- the proceeding status is set to *Active*,

**Proceeding information**

Proceeding: 23187      Status: **Active**      Registered: 2018/03/06      Related proceedings: Select

Proceeding description: XYZ Utility Company transmission line application in the Wainwright area

Contacts  
There are no items to show in this view.

- the application status changes to *Registered*,

**Applications**

Application	Application status	Application category	Application type	Location	Electric facility ID	Registration date	Applicant ref. no
23187-A001	Registered	Transmission lines and substations	Transmission line	14-12-112-4W5_15-13-112-4W5	759L	2018/03/06	343
23187-A002	Registered	Transmission lines and substations	Transmission line	15-12-112-4W5_16-13-112-4W5	759L	2018/03/06	343
23187-A003	Registered	Transmission lines and substations	Transmission line	15-12-112-4W5_16-13-112-4W5	759L	2018/03/06	343

- applicants are assigned to each application in the proceeding,

**Applicants**

Applicant name	Applications	Applicant type	Primary contact	Secondary contact
XYZ Utility Company	23187-A001	Primary applicant	Jane Doe	None
XYZ Utility Company	23187-A002	Primary applicant	Jane Doe	None
XYZ Utility Company	23187-A003	Primary applicant	Jane Doe	None

*Representatives for applicants can be viewed on the Registered parties page.*

- exhibit numbers are assigned to the application documents,

**Documents**

Zip and download      Document index

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

**Filter criteria**

Document status: Active (dropdown)  
 Document type: All (input)  
 Registered party: All (input)  
 Exhibit number: (input)  
 Start date: (input)      End date: (input)  
 Uploaded date     Modified date

**Filter documents**      **Reset**

Results per page (of 9 total): [input] **Go**      **Show all**

<input type="checkbox"/> All	Exhibit number	Document description	Actions	Document type	Registered party	Uploaded	Reference	Directions
<input type="checkbox"/>	23187-X0001	Application 1.0 Introduction	Ⓜ	Application	XYZ Utility Company	2018/03/06	Applications	
<input type="checkbox"/>	23187-X0002	Electric Single Line Diagram	Ⓜ	Diagram	XYZ Utility Company	2018/03/06	Applications	
<input type="checkbox"/>	23187-X0003	Load Flow Study	Ⓜ	Study	XYZ Utility Company	2018/03/06	Applications	
<input type="checkbox"/>	23187-X0004	Nav Canada Approval	Ⓜ	Navigation Canada evaluation	XYZ Utility Company	2018/03/06	Applications	
<input type="checkbox"/>	23187-X0005	Project Area Map	Ⓜ	Map	XYZ Utility Company	2018/03/06	Applications	
<input type="checkbox"/>	23187-X0006	Project Site Map	Ⓜ	Plan	XYZ Utility Company	2018/03/06	Applications	
<input type="checkbox"/>	23187-X0007	System generated PDF	Ⓜ	Application form	XYZ Utility Company	2018/03/06	Application	
<input type="checkbox"/>	23187-X0008	System generated PDF	Ⓜ	Application form	XYZ Utility Company	2018/03/06	Application	
<input type="checkbox"/>	23187-X0009	System generated PDF	Ⓜ	Application form	XYZ Utility Company	2018/03/06	Application	

Results per page (of 9 total): [input] **Go**      **Show all**

- the application form(s) are converted into .pdf format, and

General information	
Application: 23187-A001	Registered: March 06, 2018
Status: Registered	
The applicant certifies that the information provided here and in all supporting documentation is correct and in accordance with all regulatory requirements or as directed by the Alberta Utilities Commission.	
Applicant information	
Primary applicant	
Applicant name:	XYZ Utility Company
Primary contact:	Jane Doe
Email:	jane.doe@email.com
Telephone:	(999) 999-9999
Application information	
Application description:	Transmission line 7L23 upgrade project to provide service to an industrial complex in the Wainwright area.
Functional group:	Electric facilities
Application category:	Transmission lines and substations
Application type:	Transmission line
Application type description:	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).
Description for notice of application:	Notice information is entered in this section and may be used as part of the notice of application.
Applicant's reference number:	343
Legislation	
Legislation:	<a href="#">HYDRO AND ELECTRIC ENERGY ACT (Ch.H-16, RSA 2000)</a>
Legislation section:	Section 23
AUC rule	
AUC rule:	Rule 007 Rules Respecting Applications for Power Plants, Substations, Transmission Lines, and Industrial System Designations
Rule section:	<a href="http://www.auc.ab.ca/acts-regulations-and-auc-rules/rules/Pages/Rule007.aspx">http://www.auc.ab.ca/acts-regulations-and-auc-rules/rules/Pages/Rule007.aspx</a>

Rule 007 Transmission line application				
1. Have you ever conducted a participant involvement program?				Yes
If you answer no, please explain:				
2. Are there outstanding public or industry objections and/or concerns?				Yes
3. Provide the electric facility ID number:				759L
4. Provide legal descriptions of the locations of the start and end points of the transmission line:				
Start point of transmission line:				
Legal subdivision	Section	Township	Range	Meridian
14	12	112	4	5
End point of transmission line:				
Legal subdivision	Section	Township	Range	Meridian
15	13	112	4	5

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

## Filing announcement

### Proceeding 35532

A proceeding has been registered with the Alberta Utilities Commission. The proceeding is described by the applicant as Filing Announcement Test.

The proceeding contains the following application(s):

Primary applicant	Application	Category	Application Type
ATCO Electric Ltd.	35532-A001	Review and variance	Miscellaneous - stage 1
ATCO Electric Ltd.	35532-A002	Electric transmission	Terms and conditions of service by the Alberta Electric System Operator
ATCO Electric Ltd.	35532-A003	Independent system operator rules	Expedited Independent System Operator rule - non-urgent

Issued on May 28, 2020.

Alberta Utilities Commission  
Douglas A.Larder, QC, General Counsel

## 10 Participate in a proceeding

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

The types of participants include:

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

Other types of registered parties include:

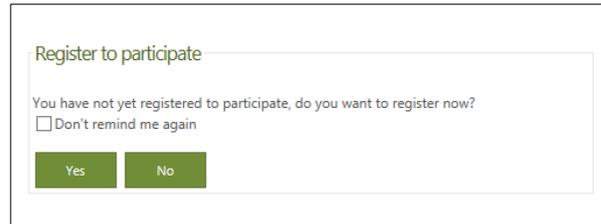
- **Court Reporter** - the court reporting company hired to provide a verbatim transcript record of a hearing (a statement of intent to participate is not required and there are limited associated filing types).
- **Observer** – a person or organization that monitors a proceeding in order to receive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

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

Applicants and the Commission are automatically considered participants. Only those on the potential participants list can register for a restricted proceeding.

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. This will automatically navigate you to the Registered parties page of the proceeding selected.



Register to participate

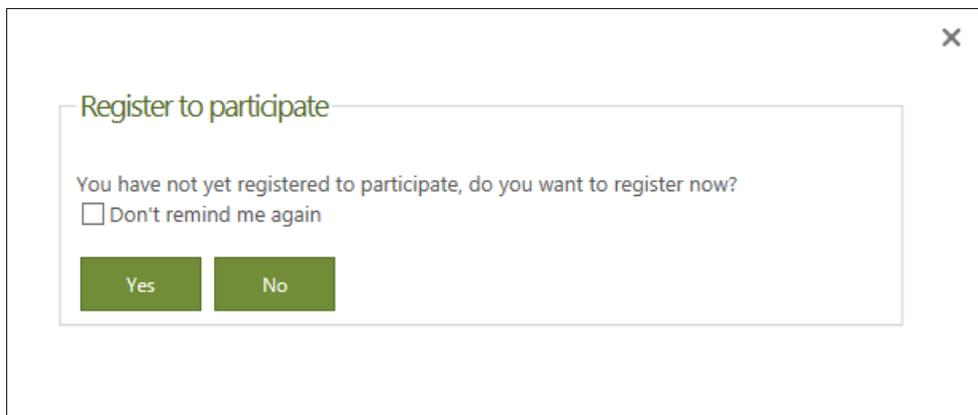
You have not yet registered to participate, do you want to register now?

Don't remind me again

Yes No

## 10.1 To participate in a proceeding

Select **Registered parties** in the left navigation menu and click **Register to participate**. All users must agree to the AUC [privacy policy](#) available on the AUC website. You will be prompted to register to participate if you are an unregistered party and you navigate to the proceeding home page.

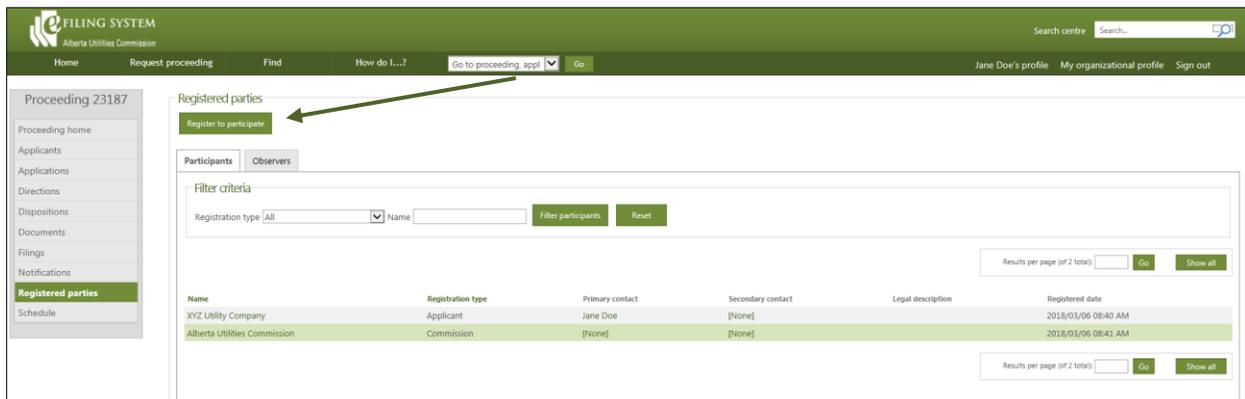


Register to participate

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

Don't remind me again

Yes No



FILING SYSTEM  
Alberta Utilities Commission

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

Proceeding 23187

Registered parties

Participants Observers

Filter criteria

Registration type: All Name: Filter participants Reset

Name	Registration type	Primary contact	Secondary contact	Legal description	Registered date
XYZ Utility Company	Applicant	Jane Doe	[None]		2018/01/06 08:40 AM
Alberta Utilities Commission	Commission	[None]	[None]		2018/01/06 08:41 AM

Results per page (of 2 total) Go Show all

### Step 1: Registration Type

In the Participant registration pop-up box, select the participant type.

**Step 1: Registration Type**

I am registering as:

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

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

**Select a party to represent**

Search for the party you wish to represent:

Select	Name	Telephone	Address	Email
<input type="button" value="Select"/>	Spruce Test Org		200 Spruce Drive	
<input type="button" value="Select"/>	Pine Test Org		300 Pine Way	
<input type="button" value="Select"/>	Maple Test Org		400 Maple Avenue	
<input type="button" value="Select"/>	Poplar Test Org		600 Poplar Street	
<input type="button" value="Select"/>	Elm Test Org		700 Elm Street	

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.

## Statement of intent to participate form for facilities applications

### Step 1: Registration type

I am registering as: [Representative of a new group](#)

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

### Step 2: Contacts

My primary contact is: [Select primary contact](#) \*

My secondary contact is: [Select secondary contact](#)

### Step 3: Group name

Enter your group's name:  \*

Group type:  Non-Applicants Only Group  Applicants Only Group \*

### Step 4: Statement of Intent to Participate

Please describe your interest in this proceeding. Tell us how our decision on the application(s) may affect you, your land, your business, or your activities. Additional information may be added after registering this form.

Briefly describe the issue(s) you would like the Commission to consider when making its decision and in your opinion, whether further process is required.

Briefly describe your intended participation:

Do you want to personally participate if a hearing is held on this matter?  Yes  No \*

I own or occupy land that is within:  of the proposed project. \*

Legal land description OR municipal address:

<input checked="" type="radio"/> Legal land description	LSD	Section	Township	Range	W	Meridian
<input type="radio"/> Municipal address	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>

Is the information in this form your complete Statement of Intent to Participate? If not, you can file additional information in a separate statement of intent to participate filing type on eFiling.  Yes  No \*

The information you provide in this form will be registered as a statement of intent to participate document type. It can be found on the Documents screen which can be accessed through the navigation menu located on the left-hand side of the proceeding home screen.

## Statement of intent to participate form for rates and market oversight and enforcement applications

### Participant registration

**Step 1: Registration type**

I am registering as: Intervener

Registration type description: You intend to submit a filing with the Commission with respect to the application(s).

**Step 2: Contacts**

My primary contact is: Select primary contact \*

My secondary contact is: Select secondary contact

**Step 3: Statement of Intent to Participate**

**Relevance**

Please describe how the application under consideration in this proceeding could impact you and/or the parties you represent:

\*

**Identification of Issues**

Please identify the specific issues you intend to make submissions on, and that you would like the Commission to consider when establishing any issues list for this proceeding (should the Commission determine that an issues list is necessary). All registrations as an intervener must identify at least one issue.

Please describe a specific issue with the requested relief by the applicant (or the subject matter under consideration if the proceeding is initiated by the Commission). Please explain how this issue is relevant to you or the parties you represent. You may include references to exhibits as necessary in order to aid in the Commission's understanding of the issue being identified.

Issue:  \*

[+ Add another issue](#)

**Step 4: Requested Process Steps**

Please select the process steps you consider necessary to develop the record of this proceeding. For each process step selected, please explain why this process step is necessary and how it will assist the Commission in making its determination on the application: \*

- Technical meeting
- A round of information requests and responses
- Intervener evidence
- Oral hearing
- Argument      Type preference:  Oral  Written
- Reply argument      Type preference:  Oral  Written
- Other (please explain)

*Your SIP form may be rejected by the Commission should it be deemed incomplete or in the event you fail to provide sufficiently detailed information.*

Is the information in this form your complete Statement of Intent to Participate? If not, you can file additional information in a separate statement of intent to participate filing type on eFiling.  Yes  No \*

I acknowledge that I have reviewed the application and accompanying materials (or any preliminary correspondence from the Commission, if the proceeding is initiated by Commission). \*

*The information you provide in this form will be registered as a statement of intent to participate document type. It can be found on the Documents screen which can be accessed through the navigation menu located on the left-hand side of the proceeding home screen.*

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 **Register to participate**. A PDF copy of the statement of intent to participate form is registered on the proceeding filings.

Registered participants and applicants are notified of new proceeding participants.

## 10.2 Change participant role

To change your role in a proceeding, for example if an observer wants to become an intervener, you must create a new registration with the new participant type and complete the statement of intent to participate. The original observer registration is inactivated.

## 10.3 Participation notification

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

Upon registration to participate the contact listed for the registered party is automatically subscribed to receive the daily summary email of notifications for the proceeding. Other eFiling System users for that registered party can subscribe to receive the daily summary email. Click **Edit subscription** to modify your personal settings to receive or unsubscribe from the daily summary email of notifications for the proceeding. Set [proceeding notification options](#) on the Notifications page and use the [global notification option](#) to receive filing announcements, notices of application and issued dispositions for all proceedings filed with the AUC.

## 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.

Select a schedule item 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.

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

## 12 Filings

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

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

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

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

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

### 12.1 Filing types

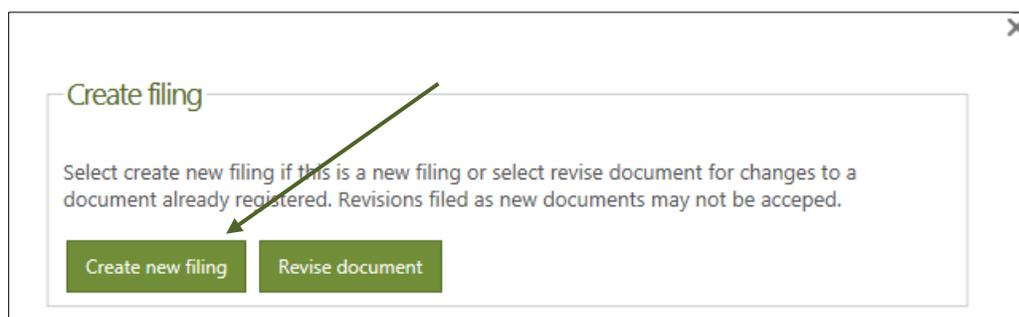
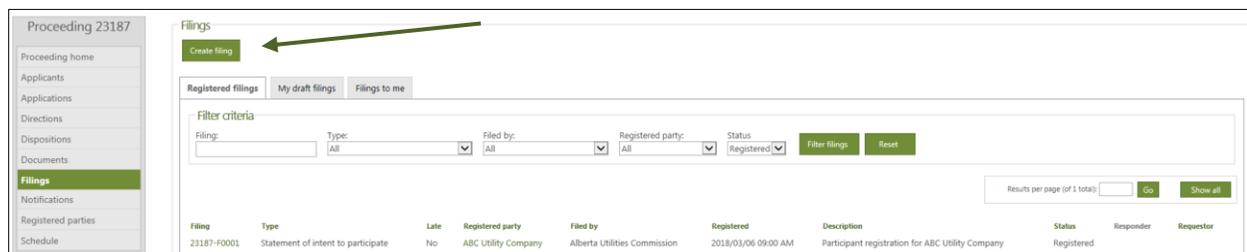
Filing type	Description
Application complete letter	A Commission letter that advises, in writing, when it has deemed an application to be complete, such that the application is technically sound, not deficient of information and can continue to be processed.
Application response letter	A letter to the applicant from the AUC outlining the anticipated procedural schedule for the application.
Argument	Written submissions that summarize the evidence for a party's case, highlights the important aspects of the issues, states what the AUC's decision should be and gives supporting reasons.
Argument - reply	Documentation submitted by parties to reply to the final argument.
Compliance letter	Correspondence written by the AUC that indicates that a disposition direction(s) has been adequately met.
Confidentiality undertaking	Pursuant to Rule 001: <i>Rules of Practice</i> , a required form (RP5) submitted by a party wishing to be granted access on the eFiling System to the confidential information for the purposes of participating in a proceeding. The undertaking describes the specific protocol and procedures for the handling of the confidential information.
Confidentiality ruling	A document issued by the Commission that grants or denies a motion for confidentiality, outlines the specifics of what information is to remain confidential, and details any parties to be excluded from submitting a confidentiality undertaking.
Correspondence - AUC to parties	Letters and other correspondence written by the AUC that are directed to the applicant or other parties.
Correspondence - external	Letters, emails and other miscellaneous correspondence written by involved parties regarding the proceeding (if you are requesting an action from the Commission use document type: procedural submission - motion).
Cost budget	The detailed projection of associated reasonable costs and disbursements expected by registered party participating in a proceeding.
Cost budget - reply	Documents submitted in reply to a cost budget - response.

<b>Filing type</b>	<b>Description</b>
Cost budget - response	A document that provides comments on the participant and applicant cost budgets.
Direction response	Correspondence written by a responsible party to fulfill a direction of the Commission.
Evidence	Documentary evidence submitted by parties detailing facts to support or refute an application. Evidence must be accompanied by a statement setting out qualifications of the person who prepared the evidence or under whose direction the evidence was prepared.
Evidence – AUC-sponsored	Evidence provided by an expert sponsored by the AUC.
Evidence - rebuttal	Written evidence given in response to new issues raised in evidence.
Evidence - sur-rebuttal	Written evidence from registered parties in response to issues raised in rebuttal evidence.
Filing announcement	Notification of registration of a proceeding with the AUC.
Hearing exhibit	Documents that are introduced into evidence in the hearing and have been accepted as evidence on the record (not pre-filed evidence).
Information request	Specific questions for clarification about a party's evidence, documents or other material that is in the possession of the party and relevant to the proceeding.
Information response	Response to each question posed in an information request.
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.

Filing type	Description
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.
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.
Ruling	Determination of the Commission in response to a motion.
Statement of intent to participate	The nature of the party's interest in the proceeding; how the party will be directly or adversely affected by the AUC's decision; the reasons why the AUC should decide in the manner that the party advocates; and business interest rule eligibility.
Statutory declaration	An AUC Statutory declaration of recipient form pursuant to Rule 001: <i>Rules of Practice</i> required to be submitted by users that have executed a Confidentiality undertaking.
Transcript	Documents containing a verbatim record of an oral hearing.
Undertaking	Evidence submitted to comply with an undertaking to provide an answer to a question asked during an oral hearing.
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** on the Filing details page.



### Step 1: Select the 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, step 1 requests that you select who you are making the filing on behalf of.

Select	Name	Participant type
Select	LarchUser Larch_indiv	Intervener
Select	Elm Group	Representative of a new group

## Step 2: Select the schedule item

Filing items for the participant type are listed; for example, transcript is shown to a court reporter.

**Note:** A filing type cannot be changed once selected. If necessary, delete the draft filing and create a new corrected one. After registration of the filing, contact the AUC to make any required changes.

If you select a filing type in step 2, you are moved directly to step 4 to enter a description of the filing.

Process	Title	Type	Start date	Closing date †
Select	Participation closing date	Participation closing date	2014/11/05 10:21:52 AM	
Select	Test argument	Argument	2014/11/05 08:00:00 AM	2014/11/07 02:00:00 PM
Select	Request Round 1 by Intervner	Information request	2014/11/05 08:00:00 AM	2014/11/07 02:00:00 PM

If the filing is not related to a schedule item, select **No schedule item was required for my filing type**. You are moved to step 3 to select the filing type.

### Step 3: Select filing type

Select filing type

Select	Filing type	Description
Select	Correspondence - external	Letters, emails and other miscellaneous correspondence written by involved parties regarding the proceeding (if you are requesting an action from the Commission use filing type: procedural filing - motion).
Select	Direction response	Correspondence written by a responsible party to fulfill a direction of the Commission.
Select	Hearing exhibit	Documents that are introduced into evidence and accepted as evidence on the record at the oral hearing (not pre-filed evidence).
Select	Opening statement	Opening remarks by registered parties upon commencement of the oral hearing.
Select	Pre-hearing documentation	Correspondence regarding the pre-hearing stage including participant positions, costs, need for third-party consultants, hearing procedures, time allotment for parties, negotiated settlements, appropriate dispute resolution, technical meetings or information sessions.
Select	Undertaking	Evidence submitted to comply with an undertaking to provide an answer to a question asked during an oral hearing.

If you choose Information or Undertaking response, you must select which information/undertaking request you are responding to. Multiple responders can be added to a filing and the filing can relate to one or more applications in the proceeding.

### Step 4: Enter filing description

**Step 4 - Enter filing description**

Enter a description for this filing: \*

Correspondence by ABC Utility Company regarding the timing of the hearing.

Enter a description that will withstand time. This is viewed by all users in the eFiling System.

### Step 5: Identify applications the filing applies to

Select applications (if this is not to attach to all applications in this proceeding)

Applications selected:

Choose application(s)

<input type="checkbox"/> All	Application Number	Application Category	Application Type	Application Location	Elec. Facility	Applicant Request
<input checked="" type="checkbox"/>	23187-A001	Transmission lines and substations	Transmission line	14-12-112-4W5 , 15-13-112-4W5	759L	Transmission line 7L23 upgrade project to provide service to an industrial complex in the Wainwright area.
<input checked="" type="checkbox"/>	23187-A002	Transmission lines and substations	Transmission line	15-12-112-4W5 , 16-13-112-4W5	759L	Transmission line 7L23A upgrade project to provide service to an industrial complex in the Wainwright area.
<input type="checkbox"/>	23187-A003	Transmission lines and substations	Transmission line	15-12-112-4W5 , 16-13-112-4W5	759L	Transmission line 7L23A2 upgrade project to provide service to an industrial complex in the Wainwright area.

When all the information is complete, click **Save** to open the new filing in the **Filing** details page.

**Filing**

**Step 1**  
 Prepare filing for registered party: ABC Utility Company  
 Registration type: Intervener

**Step 2 - Select the schedule item**  
 Type - selected: No schedule item is required for my filing type

**Step 3 - Select filing type**  
 Type: Correspondence - external  
 Description: Letters, emails and other miscellaneous correspondence written by involved parties regarding the proceeding (if you are requesting an

**Step 4 - Enter filing description**  
 Enter a description for this filing:  
 Correspondence by ABC Utility Company regarding the timing of the hearing.

**Step 5 - Identify application(s) this filing applies to**  
 Select application(s)  
 Filing will apply to all applications related to this proceeding if specific applications are not identified.  
 Application(s) selected: 23187-A001,23187-A002

Save Cancel

While a filing is in draft form, you can:

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

Proceeding 23187

Proceeding home

Applicants  
 Applications  
 Directions  
 Dispositions  
 Documents  
 Filings  
 Notifications  
 Registered parties  
 Schedule

Filing details

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

Filing number: 23187-F0002 Filing type: Correspondence - external Status: Draft Late: No

Schedule name: Schedule type: Schedule closing date:

Filed by: ABC Utility Company Registered party: ABC Utility Company Created: 2018/03/06 09:27 AM

Description: Correspondence by ABC Utility Company regarding the timing of the hearing.

Applications Summary of documents

Application	Application status	Application category	Application type	Location	Electric facility ID	Registration date	Applicant ref. no
23187-A001	Registered	Transmission lines and substations	Transmission line	14-12-112-4W5, 15-13-112-4W5	759L	2018/03/06	343
23187-A002	Registered	Transmission lines and substations	Transmission line	15-12-112-4W5, 16-13-112-4W5	759L	2018/03/06	343

## 12.3 Edit filing information

Select the filing to update. The Registered filings tab lists filings already registered in the eFiling System. The Filing to me tab lists registered information and undertaking request filings where you are the responder. The My draft filings tab lists draft filings where you are the one creating the filing.

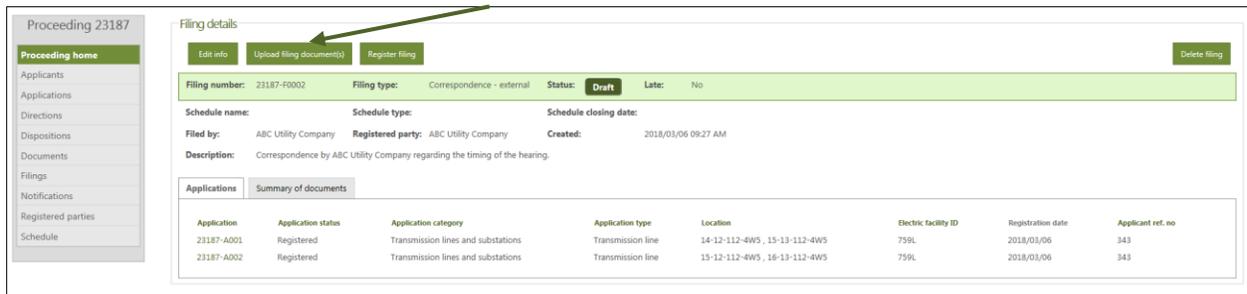
Use the filter criteria to search for filings in this proceeding. See [Find](#) and [Search](#) to search for filings across proceedings.

On the Filing details page select **Edit info** to open the draft filing.

You can edit the filing description and change the applications that the filing applies to (see [Create a filing](#)). 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)

Filing documents are uploaded on the Filing details page. Select **Filings** in the left navigation menu and then select the filing to open the Filing details page.



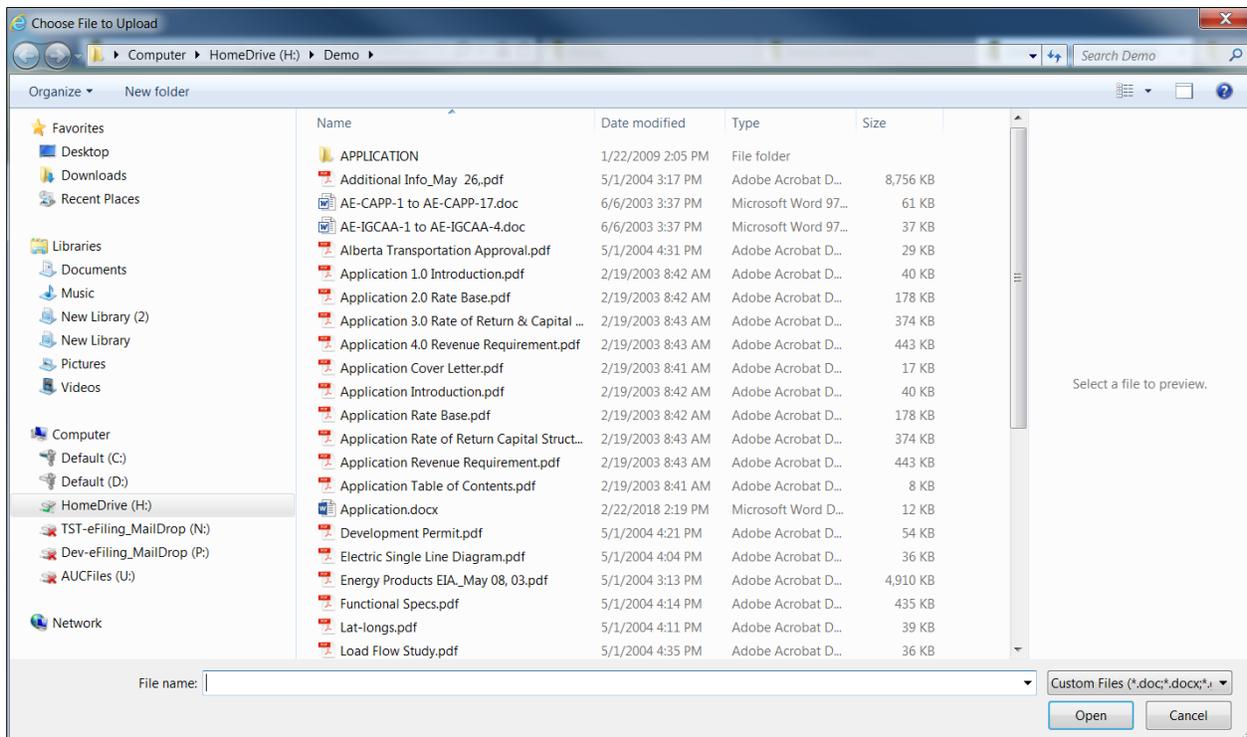
Select **Upload filing document(s)**.

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

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

### Step 1: Select the files to upload

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.



Once all files are identified, select **Continue on to step 2**.

Upload filing document(s)

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

Files for upload

[Add more files](#)

Lat-longs.pdf

Total files: 1

## Step 2 – Set document types, applications and descriptions for each file

### Select

Set the default descriptions for all of these files to their filename (excluding the file extension, e.g. .docx) if you would like to populate the description field for all files with the file name.

Enter a description of the file that will stand the test of time; for example, “*Company TNT, Updated Air Photo Mosaic, Site 22a, May 14, 2014*”.

Click **Upload document(s)** to load the documents to the eFiling System. (This button is only active when all required upload information has been entered.)

Upload filing document(s)

Step 2 - Set descriptions for each file

\*Please note that mandatory fields are identified with a red asterix

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

File Name	Description	Remove
Lat-longs.pdf	Filing of the latitude and longitude points *	<input type="button" value="Remove"/>

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

Documents can be added and deleted at any time while a filing is in draft form. Once a filing is registered the filing documents are part of the record and cannot be removed; you must make a request to the AUC 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. [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

To register a filing, select **Register filing** on the Filing details page.

Application	Application status	Application category	Application type	Location	Electric facility ID	Registration date	Applicant ref. no
23187-A001	Registered	Transmission lines and substations	Transmission line	14-12-112-4WS, 15-13-112-4WS	759L	2018/03/06	343
23187-A002	Registered	Transmission lines and substations	Transmission line	15-12-112-4WS, 16-13-112-4WS	759L	2018/03/06	343

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, open the filing and select **Delete filing** on the Filing details page.

Filings cannot be deleted once they have been registered. If changes to the filing are required after registration contact the AUC at [info@auc.ab.ca](mailto:info@auc.ab.ca).

## 13 Revising a document

As outlined in 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.

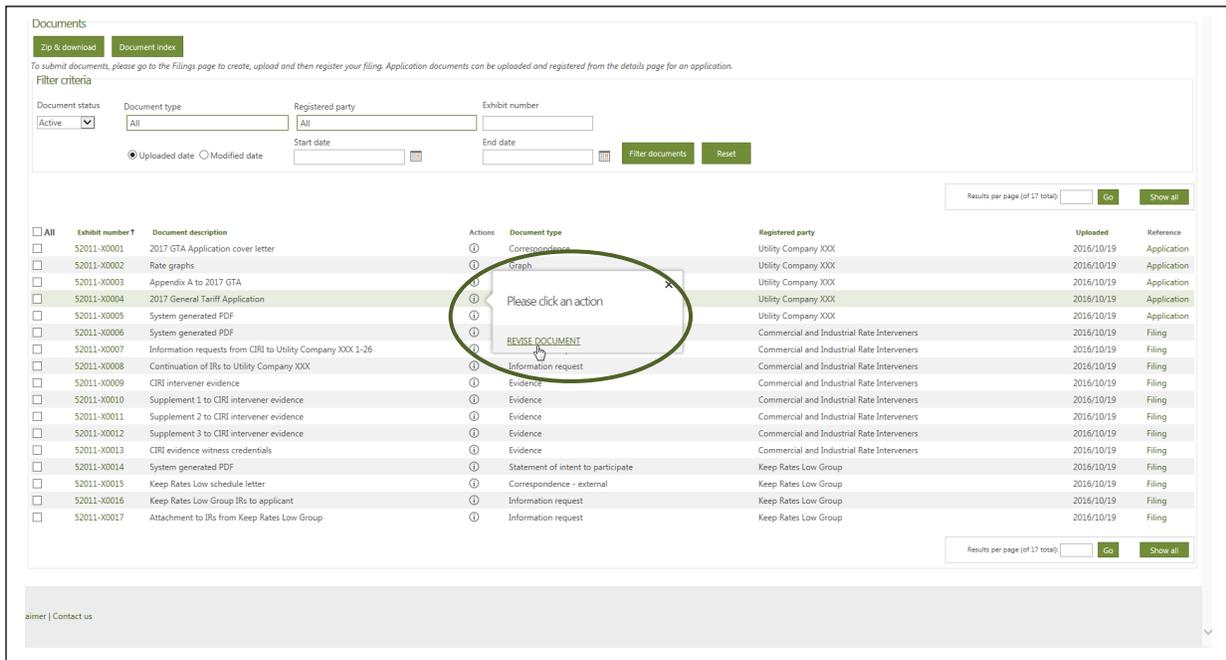
Revision type	Description
Original	The original incorrect document that has been revised (example: 52011-X0004).
Blackline	A blacklined version of the revised document that tracks each of the differences between the latest version and the original version. The system will generate the same exhibit number 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 <b>Documents</b> page.
Replaced	Used when an initial revision is applied to the original document or subsequent revisions are applied to the latest blackline version. The original and all previous versions will have a replaced status.
Removed	Revisions that have been removed by a LAO or records manager and are no longer relevant. The system reverts the master to the previous blackline version. Removed revisions are not accessible on the external site.

### 13.1 Revision document upload

To file a revision to an application or filing document, select **Documents** in the left navigation menu from the **Proceeding home** page. Locate the document and select the action items icon  next to the document you would like to revise and select **Revise document**. You will also be required to agree to the AUC privacy policy.



At Step 1 of the **Upload revision documents** screen, upload two files. One file must be a blackline version that shows any tracked changes from the original document. The other file must be a clean version without any tracked changes. Select to **Continue to step 2**.

**Upload revision documents**

Step 1 - Select two files to upload for the blackline version and the clean version of the revised document.  
As outlined in *Rule 001: Rules of Practice*, each revised document must be filed with a blackline version of the revised document that clearly tracks the changes from the original.

**Files for upload**

 Blackline version of Utilit...

 Clean version of Utility C...

Total files: 2 

Continue on to step 2

At Step 2, enter a location and reason for the revision(s) and select a revision type for each of the two files uploaded. Select to **Upload documents**.

**Upload revision documents** Return to Step 1 - upload files

Step 2 - add a location, reason and revision type.

Document to be revised:

Exhibit: 52011-X0004	Description: 2017 General Tariff Application	Document type: Application	Registered party: Utility Company XXX
-------------------------	---	-------------------------------	--

Location of revision(s) in file:

Reason for revision(s):

File Name	Revision type	Revision type description	Remove
Blackline version of Utility Company XXX 2017 GTA Application.docx	Select <span style="background-color: #669933; color: white; padding: 2px;">Blackline version</span> Clean version	A blackline version of the revised document that tracks each of the differences between the latest version and the original version. The system will generate the same number as the original document with a .two digit suffix incremented.	<a href="#">Remove</a>
Clean version of Utility Company XXX 2017 GTA Application.docx	Clean version <input checked="" type="checkbox"/>	The complete revised document in its entirety without any tracked changes. The system will generate the same exhibit number as the original document with a two digit suffix incremented.	<a href="#">Remove</a>

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

Upload documents
Cancel

Alternatively, you may select to revise an application document by selecting the **Upload document** button on the **Application details** page and then selecting to **Revise document** at the prompt.

Proceeding 52011

Proceeding home  
Applicants  
**Applications**  
Dispositions  
Documents

Applications

Application	Application status	Application category	Application type
52011-A001	Registered	Electric transmission	General tariff application

Application details

Upload document

Application: 52011-A001    Status: Registered    Registered on: 2016/10/19

Application category: Electric transmission    Type: General tariff application

Location: No    Applicant ref. no:    Electric facility ID:

Description: Utility company XXX General Tariff Application for 2017

Applicants    Application documents    Related filings    Issued dispositions

Applicant name	Applicant type	Primary contact	Secondary contact
Utility Company XXX	Primary applicant	Jane Doe	None

Upload document

Select upload new if this is a new application document or select revise document for changes to a document already registered. Revisions filed as new documents may not be accepted.

Upload new    **Revise document**

Filings may also be revised from the **Create filing** button on the **Filings** page and then selecting to **Revise document**.

Proceeding 52011

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

Filings

Create filing

Registered filings    My draft filings    Filings to me

Filter criteria

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

Results per page (of 4 total)    Go    Show all

Filing	Type	Late	Registered party	Filed by	Registration date	Description	Status	Responder	Requestor
S2011-F0006	Information request	No	Keep Rates Low Group	Legal Beagle	2016/10/19 10:27 AM	Keep Rates Low IRs to Utility Company XXX	Registered	Utility Company XXX	
S2011-F0005	Correspondence - external	No	Keep Rates Low Group	Legal Beagle	2016/10/19 10:24 AM	Keep Rates Low Group hearing schedule request	Registered		
S2011-F0004	Statement of intent to participate	No	Keep Rates Low Group	Alberta Utilities Commission	2016/10/19 10:22 AM	Participant registration for Keep Rates Low Group	Registered		
S2011-F0003	Evidence	No	Commercial and Industrial Rate Interveners	Commercial and Industrial Rate Interveners	2016/10/19 10:19 AM	CIRI intervener evidence	Registered		

Create filing

Select create new filing if this is a new filing or select revise document for changes to a document already registered. Revisions filed as new documents may not be accepted.

Create new filing    **Revise document**

Whether you are revising an application document or a filing document, you will be required to select the exhibit that you would like to revise before uploading the blackline and clean version of the revised document.

Select the exhibit you would like to revise:

**Filter criteria**

Document status:  Active  Archived

Document type:

Registered party:

Exhibit number:

Start date:  End date:

Uploaded date  Modified date

Results per page (of 4 total):

	Exhibit number ↑	Document description	Document type	Registered party	Uploaded	Reference
<input type="button" value="Select"/>	52011-X0001	2017 GTA Application cover letter	Correspondence	Utility Company XXX	2016/10/19	Application
<input type="button" value="Select"/>	52011-X0002	Rate graphs	Graph	Utility Company XXX	2016/10/19	Application
<input type="button" value="Select"/>	52011-X0003	Appendix A to 2017 GTA	Appendix	Utility Company XXX	2016/10/19	Application
<input type="button" value="Select"/>	52011-X0004.01	2017 General Tariff Application	Application	Utility Company XXX	2016/10/19	Application

Results per page (of 4 total):

### 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). Select **View Revision History** from the document action items icon to see all previous versions or select **View Clean Version** to view a version without tracked changes.

Proceeding 52011

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

**Documents**

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

**Filter criteria**

Document status:  Active  Archived

Document type:

Registered party:

Exhibit number:

Start date:  End date:

Uploaded date  Modified date

Results per page (of 17 total):

	Exhibit number ↑	Document description	Actions	Document type	Registered party	Uploaded	Reference
<input type="checkbox"/>	52011-X0001	2017 GTA Application cover letter	<input type="button" value="D"/>		Utility Company XXX	2016/10/19	Application
<input type="checkbox"/>	52011-X0002	Rate graphs	<input type="button" value="D"/>		Utility Company XXX	2016/10/19	Application
<input type="checkbox"/>	52011-X0003	Appendix A to 2017 GTA	<input type="button" value="D"/>		Utility Company XXX	2016/10/19	Application
<input checked="" type="checkbox"/>	52011-X0004.01	2017 General Tariff Application	<input type="button" value="D"/>	<input type="button" value="D"/>	Utility Company XXX	2016/10/19	Application
<input type="checkbox"/>	52011-X0005	System generated PDF	<input type="button" value="D"/>		Utility Company XXX	2016/10/19	Application
<input type="checkbox"/>	52011-X0006	System generated PDF	<input type="button" value="D"/>		Commercial and Industrial Rate Interveners	2016/10/19	Filing
<input type="checkbox"/>	52011-X0007	Information requests from CIRI to Utility Company XXX 1-26	<input type="button" value="D"/>		Commercial and Industrial Rate Interveners	2016/10/19	Filing
<input type="checkbox"/>	52011-X0008	Continuation of IRs to Utility Company XXX	<input type="button" value="D"/>		Commercial and Industrial Rate Interveners	2016/10/19	Filing
<input type="checkbox"/>	52011-X0009	CIRI intervener evidence	<input type="button" value="D"/>		Commercial and Industrial Rate Interveners	2016/10/19	Filing

Please click an action

- REVISE DOCUMENT
- VIEW CLEAN VERSION
- VIEW REVISION HISTORY

Both the blacklined and clean versions of the latest and all replaced versions, as well as the original document, can be accessed through a link on the exhibit number from the **Document revision history**. Links to removed revisions will be deactivated if a revision is removed by the AUC.

**Document revision history**

Blackline version	Clean version	Revision date	Location of revisions	Reason for revisions	Revision status
52011-X0004.02	52011-X0004.02	2016/10/20 09:08 AM	Page 8, paragraph 3	Changed reference to a witness	Removed
52011-X0004.01	52011-X0004.01	2016/10/19 11:52 AM	Page 4, paragraph 5 and page 7, paragraph 1.	Updated figures to reflect adjusted rates for the third quarter of 2016.	Latest
	52011-X0004	2016/10/19 09:52 AM			Replaced

## 13.3 Notification of revisions

When a revision is either added or removed, the system will generate a proceeding notification indicating which exhibit number has been revised or removed.

My notifications

You are currently **subscribed** for the daily notification summary email for this proceeding. [Edit subscription](#)

Filter criteria

Notification type:  Notification subject:

[Filter notifications](#) [Export to excel](#) [Reset](#) Total records found: 13

Results per page (of 13 total)  [Go](#) [Show all](#)

Created	Subject	Type
2016/10/20	Revision of exhibit 52011-X0004.02 has been removed	Revision removed
2016/10/20	Exhibit 52011-X0004.01 has been revised	Revision filed
2016/10/19	Exhibit 52011-X0004 has been revised	Revision filed
2016/10/19	52011-F0006: Information request.	Filing registration
2016/10/19	52011-F0005: Correspondence - external.	Filing registration
2016/10/19	Group Keep Rates Low Group: represented by: Legal Beagle registered to participate.	Participant added
2016/10/19	52011-F0004: Statement of intent to participate.	Filing registration
2016/10/19	52011-F0003: Evidence.	Filing registration
2016/10/19	52011-F0002: Information request.	Filing registration
2016/10/19	Evidence schedule added (Intervener evidence) Start date: 10/19/2016 8:00:00 AM Closing date: 12/1/2016 2:00:00 PM.	Schedule item created
2016/10/19	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.	Schedule item created
2016/10/19	Intervener: Commercial and Industrial Rate Interveners: represented by: Law firm XYZ registered to participate.	Participant added
2016/10/19	52011-F0001: Statement of intent to participate.	Filing registration

Results per page (of 13 total)  [Go](#) [Show all](#)

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.

## 13.4 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.

[All Sites](#) Applications Filings Dispositions

52011-X0004 Advanced Search

Search:  All content  Documents  List items

So [Connect](#)

Results 1-4 of about 4 for '52011-X0004' in www2 eFiling results (2.58 seconds)

Proceeding 52011 - ProceedingDocuments - IssuedDispositionDocs

BlacklineversionofUtilityCompanyXXX2017G\_0018 2017 General Tariff Application Application **52011-X0004.01** 10/19/2016 11:52 AM ... PDF3-1MB\_0001 2017 General Tariff Application Application **52011-X0004** 10/19/2016 9:52 AM ...  
<http://tst-www2.auc.ab.ca/proceeding52011/ProceedingDocuments/Forms/AllItems.aspx>

BlacklineversionofUtilityCompanyXXX2017G\_0018.docx  
 Blackline version with tracked changes for testing ...  
[javascript:STS.Navigate\('http://tst-www2.auc.ab.ca/\\_layouts/download.aspx?SourceUrl=http://tst-www2.auc.ab.ca/Proceeding52011/ProceedingDocuments/BlacklineversionofUtilityCompanyXXX2017G\\_0018.docx'\)](javascript:STS.Navigate('http://tst-www2.auc.ab.ca/_layouts/download.aspx?SourceUrl=http://tst-www2.auc.ab.ca/Proceeding52011/ProceedingDocuments/BlacklineversionofUtilityCompanyXXX2017G_0018.docx'))  
 Exhibit Number: 52011-X0004.01 Document Type: Application Registered party: Utility Company XXX Document Description: 2017 General Tariff Application Document status: Active **Revision status: Latest Revision type: Blackline**

CleanversionofUtilityCompanyXXX2017GTAAp\_0019.docx  
 Clean version without tracked changes for testing ...  
[javascript:STS.Navigate\('http://tst-www2.auc.ab.ca/\\_layouts/download.aspx?SourceUrl=http://tst-www2.auc.ab.ca/Proceeding52011/ProceedingDocuments/CleanversionofUtilityCompanyXXX2017GTAAp\\_0019.docx'\)](javascript:STS.Navigate('http://tst-www2.auc.ab.ca/_layouts/download.aspx?SourceUrl=http://tst-www2.auc.ab.ca/Proceeding52011/ProceedingDocuments/CleanversionofUtilityCompanyXXX2017GTAAp_0019.docx'))  
 Exhibit Number: 52011-X0004.01 Document Type: Application Registered party: Utility Company XXX Document Description: 2017 General Tariff Application Document status: Active Revision status: Latest Revision type: Clean

PDF3-1MB\_0001.pdf  
[http://tst-www2.auc.ab.ca/Proceeding52011/ProceedingDocuments/PDF3-1MB\\_0001.pdf](http://tst-www2.auc.ab.ca/Proceeding52011/ProceedingDocuments/PDF3-1MB_0001.pdf)  
 Exhibit Number: 52011-X0004 Document Type: Application Registered party: Utility Company XXX Document Description: 2017 General Tariff Application Document status: Active Revision status: Replaced Revision type: Original

Search results may be filtered by Revision type or Revision status.

## 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 directly to a particular exhibit is often required especially in hearings. To quickly search for an exhibit number in a proceeding, select **Documents** in the left navigation menu and enter the exhibit number in the search criteria field.

Proceeding 20020

Documents

[Zip & download](#)

To upload filing documents, please go to the filing details page and upload from there. Application documents can also be uploaded on the application details page.

Filter criteria

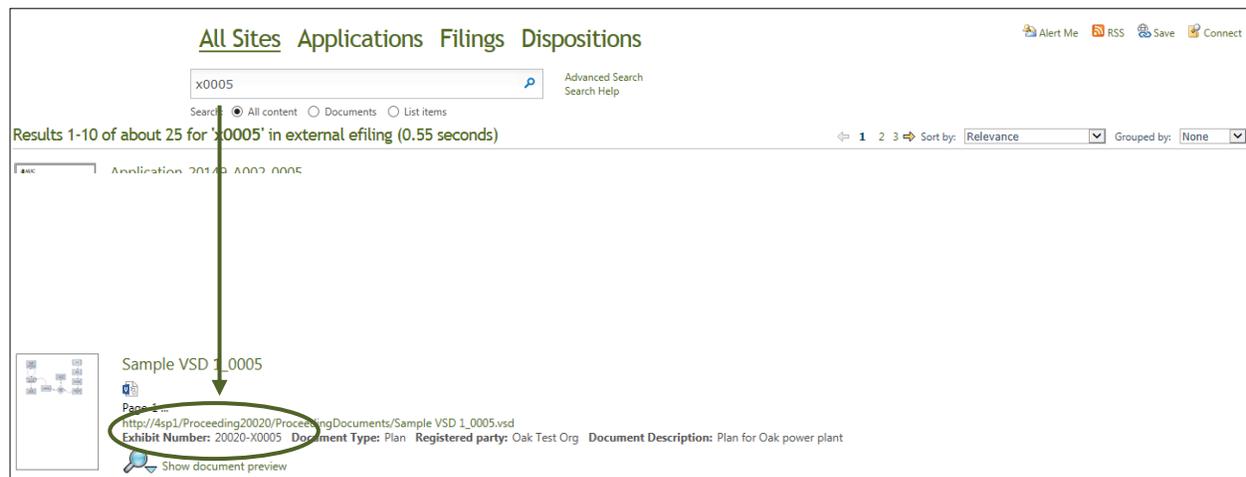
Document type:  Registered party:  Exhibit number:  [Filter documents](#)

<input type="checkbox"/> All	Exhibit number	Document description	Document type	Registered party	Uploaded ↓	Reference number
<input type="checkbox"/>	20020-X0005	Plan for Oak power plant	Plan	Oak Test Org	2014/11/05	Application

You can enter part of the exhibit number to return search results; for example, X005 returns all exhibit numbers starting with X005; 017 returns all exhibit numbers containing 017. Enter a minimum of three numbers/characters.

**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, enter the exhibit number or as much of it as you can proceeded by X (for exhibit) on the main [Search](#) page. The following example returns all proceedings, applications, filings and dispositions containing X0005.



## 15 Directions

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

### 15.1 Direction properties

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

Property name	Description
Reminder date	The date in YYYY/MM/DD format that the system will notify the LAO and responsible party that the direction is coming close to being due.
Non-compliance response due date	The date in YYYY/MM/DD format that the LAO enters when the original due date has passed. The system will notify the LAO and responsible party that the direction is non-compliant. A response is expected when the non-compliance response due date has passed.
Proceeding satisfying direction	The proceeding that contains the application or filing document from the responsible party in response to a direction.
Disposition satisfying direction	The number of the disposition that satisfies the direction. A direction is satisfied when the status changes from <i>Pending</i> to <i>Compliant</i> . A single disposition may satisfy one to many directions.
Paragraph number	The optional paragraph number in the disposition where the direction is written.
Condition number	The optional condition number in the disposition where the direction is written.
Electric facility ID	The facility number that is entered by the administrative assistant when the direction is created.
Direction documents	Application or filing documents uploaded by the AUC or by the responsible party that are associated to the direction.
Rescinded by	The disposition number or direction number that is superseding the rescinded direction.

## 15.2 Viewing directions

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

The screenshot shows the 'Directions' page for proceeding 23150. The left navigation pane has 'Directions' highlighted. The main content area shows a table of directions:

Disposition	Description	Responsible party	Status	Due date
23150-001-2018-0001	23150-001-2018	XYZ Utility Company	Rescinded	2018/11/19
23150-001-2018-0002	23150-001-2018	XYZ Utility Company	Cancelled	2018/10/31
23150-001-2018-0003	23150-001-2018	XYZ Utility Company	Outstanding	2018/03/06
23150-001-2018-0004	23150-001-2018	XYZ Utility Company	Outstanding	2018/03/06
23150-001-2018-0005	23150-001-2018	XYZ Utility Company	Outstanding	2018/03/06
23150-001-2018-0006	23150-001-2018	XYZ Utility Company	Outstanding	2018/03/06

Select the direction number to view the detail screen.

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

The screenshot shows the 'Dispositions' page for proceeding 23150. The 'Dispositions' menu item in the left navigation pane is circled in green. The main content area shows a table of dispositions:

Disposition number	Title	Disposition type	Disposition status	Release date	Applications	Expiry date
23150-001-2018	Decision report example for the user guide	Decision report	Issued	2018/02/26 09:48 AM	23150-A001	

Disposition details

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

Title: Decision report example for the user guide

Expiry date: N/A    Expiry reason:

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

Issued documents    Disposition applications    **Directions issued**

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

## 15.3 Direction details

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

Direction details

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

Title: Environmental Impact Assessment 1

Electric facility ID: ES546

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

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

Originating proceeding

Proceeding: 23150

Disposition: 23150-D01-2018

Paragraph number: 45

Condition number: 67

Proceeding satisfying direction

Proceeding: To be determined

Disposition: N/A

Documents

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

## 15.4 Direction statuses

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

## 15.5 Direction monitoring and notifications

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

Direction details

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

Title: Environmental Impact Assessment 1  
 Electric facility ID: E5546

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

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

Originating proceeding

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

Documents

File name  
 There are no direction document records available.

Proceeding satisfying direction

Proceeding: To be determined  
 Disposition: N/A

Document status      Uploaded

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

## 15.6 Responding to directions

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

FILING SYSTEM  
 Alberta Utilities Commission

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

Proceeding 22367

Dispositions: All      Status: All

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

## 15.7 Responding to a direction with a filing

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

Proceeding 22367

Proceeding home  
 Applicants  
 Applications  
 Directions  
 Dispositions  
 Documents  
 Filings  
 Notifications

Filings

Create filing

Registered filings    My draft filings    Filings to me

Filter criteria

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

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

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

No schedule item is required for my filing type

Schedule

Process

There are no items to show in this view.

Select the **Direction response** filing type.

Select filing type

Select	Filing type	Description
<input type="button" value="Select"/>	Direction response	Correspondence written by a responsible party to fulfill a direction of the Commission.

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

Filing

**Step 1**  
 Prepare filing for registered party: XYZ Utility Company  
 Registration type: Applicant

**Step 2 - Select the schedule item**  
 Type - selected: No schedule item is required for my filing type

**Step 3 - Select filing type**  
 Type: Direction response  
 Description: Correspondence written by a responsible party to fulfill a direction of the Commission.

**Step 4 - Enter filing description**  
 Enter a description for this filing:

**Step 5 - Identify application(s) this filing applies to**  
 Select application(s)  
 Filing will apply to all applications related to this proceeding if specific applications are not identified.  
 Application(s) selected: 22367-A001

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

Filing details

Filing number:	22367-F0041	Filing type:	Direction response	Status:	<b>Draft</b>	Late:	No
Schedule name:		Schedule type:		Schedule closing date:			
Filed by:	XYZ Utility Company	Registered party:	XYZ Utility Company	Created:	2018/02/26 04:01 PM		
Description:	XYZ Utility company response to directions						

Applications | Summary of documents

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

Acknowledge and agree to the AUC privacy policy.

### Upload public document disclaimer

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

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

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

- I acknowledge and agree to the AUC privacy policy.
- I do not agree to the AUC privacy policy.

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

Upload filing document(s)

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

Files for upload

[Add more files](#)

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

Add more files

Total files: 4

Continue on to step 2

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

Upload filing document(s)

Return to step 1 - Add more files

Step 2 - Set descriptions for each file

\*Please note that mandatory fields are identified with a red asterisk

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

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

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

Upload document(s) Cancel

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

Select direction(s)

Filter criteria

Direction:

Description:

Paragraph:

Condition:

Electric facility ID:

Status:

Originating proceeding:

Originating disposition:

Direction due date: Start date:  End date:

Proceeding satisfying direction:

Disposition satisfying direction:

Direction create date: Start date:  End date:

Filter directions Export to excel Reset

Total records found: 6

Results per page (of 6 total):  Go Show all

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

Results per page (of 6 total):  Go Show all

Save Cancel

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

Upload filing document(s)

Return to step 1 - Add more files

Step 2 - Set descriptions for each file

\*Please note that mandatory fields are identified with a red asterisk

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

File Name	Description	Directions	Remove
Noise impact assessment (2).pdf	Noise impact assessment (2)	* 22367-D01-2018-0002	Remove
Environmental impact assessment.pdf	Environmental impact assessment	* 22367-D01-2018-0001	Remove
Construction start.pdf	Construction start	* 22367-D01-2018-0003	Remove
Construction end.pdf	Construction end	* 22367-D01-2018-0004	Remove

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

Upload document(s) Cancel

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

Select **Register filing**.

Filing details

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

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

Schedule name: Schedule type: Schedule closing date:

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

Description: XYZ Utility company response to directions

Applications Summary of documents

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

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

FILING SYSTEM  
Alberta Utilities Commission

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

Proceeding 22367

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

**Filings**

Create filing

Registered filings My draft filings Filings to me

Filter criteria

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

Results per page (of 38 total) Go Show all

Filing	Type	Late	Registered party	Filed by	Registered	Description	Status	Responder	Requestor
22367-FO041	Direction response	No	XYZ Utility Company	XYZ Utility Company	2018/02/26 04:08 PM	XYZ Utility company response to directions	Registered		

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

Directions

Disposition: All Status: All

Results per page (of 4 total) Go Show all

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

Results per page (of 4 total) Go Show all

Direction details

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

Title: Environmental impact assessment

Electric facility ID: ED634

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

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

Originating proceeding

Proceeding: 22367

Disposition: 22367-D01-2018

Paragraph number: 34

Condition number: 2

Proceeding satisfying direction

Proceeding: 22367

Disposition: N/A

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

Documents

File name	Actions	Document type	Document status	Uploaded
22367_XI_EnvironmentalImpactassessment_0117.pdf Description: Environmental impact assessment		Direction response	Active	2018/02/26 04:07 PM

The document is available on the Direction details document tab.

FILING SYSTEM  
Alberta Utilities Commission

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

Proceeding 22367

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

**Documents**

Zip and download Document index

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

Filter criteria

Document status: Active Document type: All Registered party: All Exhibit number: Start date: End date: Filter documents Reset

Results per page (of 111 total) Go Show all

All	Exhibit number †	Document description	Actions	Document type	Registered party	Uploaded	Reference	Directions
<input type="checkbox"/>	None	PDF3 - 5 MB		Non-compliance letter	Alberta Utilities Commission	2018/02/27	Filing	22367-D01-2018-0002
<input type="checkbox"/>	None	PDF2 - 1 MB		Compliance letter	Alberta Utilities Commission	2018/02/27	Filing	22367-D01-2018-0003
<input type="checkbox"/>	None	Construction end		Direction response	XYZ Utility Company	2018/02/26	Filing	22367-D01-2018-0004
<input type="checkbox"/>	None	Construction start		Direction response	XYZ Utility Company	2018/02/26	Filing	22367-D01-2018-0003
<input type="checkbox"/>	None	Environmental impact assessment		Direction response	XYZ Utility Company	2018/02/26	Filing	22367-D01-2018-0001
<input type="checkbox"/>	None	Noise impact assessment (2)		Direction response	XYZ Utility Company	2018/02/26	Filing	22367-D01-2018-0002
<input type="checkbox"/>	None	Decision for user guide		Decision report	Alberta Utilities Commission	2018/02/26	Disposition	
<input type="checkbox"/>	22367-X0002	Letter to AUC re Complaint regarding Conduct of the AESO - January 24 2017		Correspondence - external	Enel Alberta Wind Inc.	2017/01/25	Filing	

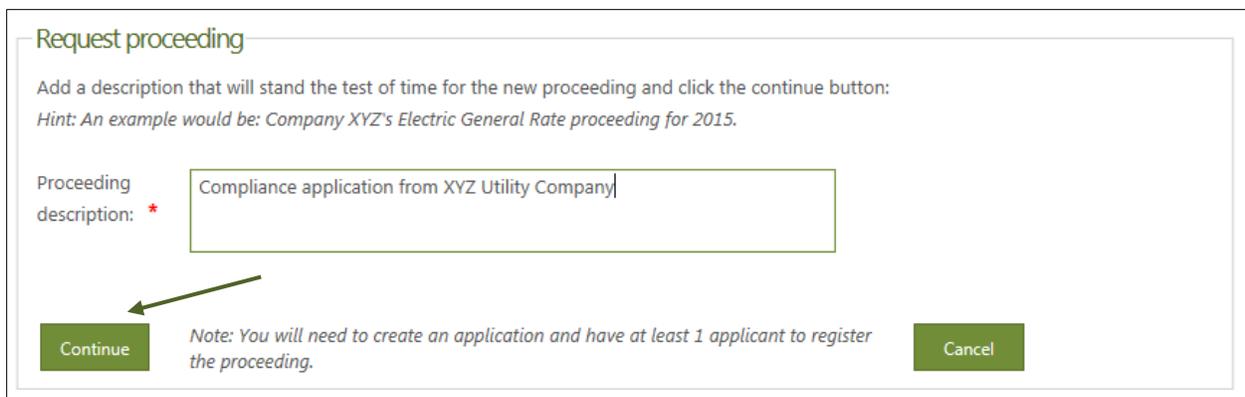
The document is also available on the Documents screen on the proceeding through which the filing was uploaded. The direction number is displayed next to the document.

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



## 15.8 Responding to a direction with an application document

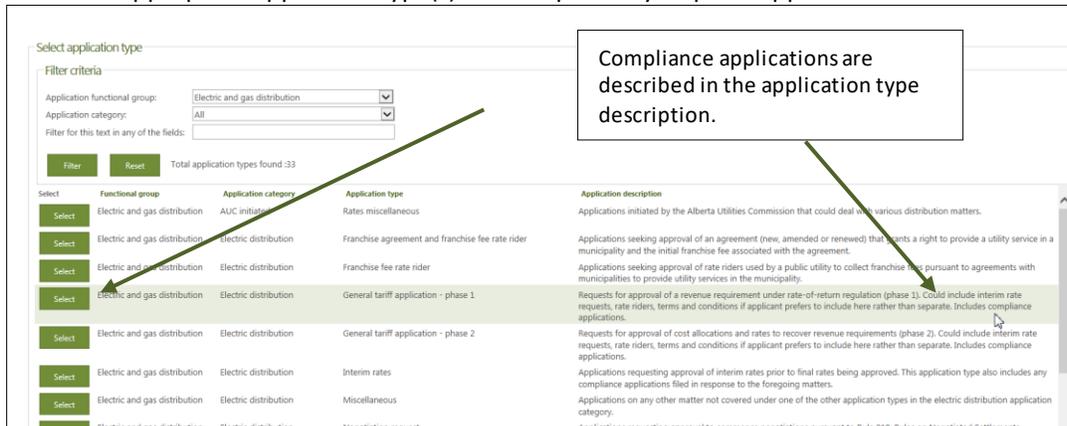
Request a proceeding as you normally would to file a new application and select to **Continue**.



Select **Add** application.



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



New application

General information

Created: March 05, 2018      Status: Draft      Application:

Functional group: Electric and gas distribution

Application category: Electric distribution

Application type: General tariff application - phase 1

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

Application description: Compliance application

Description for notice of application: Take notice that XYZ Utility Company shall...

Add legislation

Add rule

Applicant reference number: 454-059

Save    Cancel

Select the application number link.

Applications

Add application    Register proceeding

Application	Application status	Application category	Application type	Location	Electric facility ID	Created	Applicant ref. no
23185-A001	Draft	Electric distribution	General tariff application - phase 1				454-059

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

Application details

Edit application form    Upload document    Register proceeding    Delete application

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

Application category: Electric distribution    Location:

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

Applicant ref. no: 454-059

Description: Compliance application

Applicants    Application documents    Related filings    Issued dispositions

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

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

Upload application document(s)

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

Files for upload

Add more files

Compliance application.pdf    Add more files

Total files: 1

Continue on to step 2

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

Upload application document(s)

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

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

All documents apply to all my applications in this proceeding

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

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

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

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

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

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

Select direction(s)

Filter criteria

Direction:

Description:

Paragraph:

Condition:

Electric facility ID:

Status:

Originating proceeding:

Originating disposition:

Direction due date:

Start date:

End date:

Proceeding satisfying direction:

Disposition satisfying direction:

Direction create date:

Start date:

End date:

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

Total records found: 8

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

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

Select to **Upload documents**.

Upload application document(s)

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

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

All documents apply to all my applications in this proceeding

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

File name	Document type	Document category	Applications	Description	Directions	Remove
Compliance application.pdf	<a href="#">Application</a>	Application and support	<a href="#">23185-A001</a>	<input type="text" value="Compliance application"/>	* <a href="#">23150-D01-2018-0005</a> <a href="#">23150-D01-2018-0006</a>	<a href="#">Remove</a>

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

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

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

Select **Register proceeding**.

Application details

[Edit application form](#)
[Upload document](#)
[Register proceeding](#)
[Delete application](#)

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

**Application category:** Electric distribution    **Location:**  
**Application type:** General tariff application - phase 1    **Electric facility ID:**  
**Applicant ref. no.:** 454-059  
**Description:** Compliance application

[Applicants](#)   [Application documents](#)   [Related filings](#)   [Issued dispositions](#)

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

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

Direction details

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

**Title:** Environmental Impact Assessment 3  
**Electric facility ID:** E5546  
**Due date:** 2018/03/06    **Reminder date:** 2018/03/05    **Non-compliance response due date:**

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

**Originating proceeding**

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

**Proceeding satisfying direction**

**Proceeding:** 23185  
**Disposition:** N/A

New proceeding is listed as the proceeding satisfying direction.

**Documents**

File name	Actions	Document type	Document status	Uploaded
23185_X0001_Complianceapplication_0001.pdf Description: Compliance application		Application	Active	2018/03/05 03:31 PM

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

Proceeding 23185

My notifications

You are currently **subscribed** for the daily notification summary email for this proceeding. [Edit subscription](#)

**Filter criteria**  
 Notification type:     Notification subject:

[Filter notifications](#)   [Export to excel](#)   [Reset](#)   Total records found: 2

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

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

## 16 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**.

### 16.1 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 creates a **Motion for confidentiality** filing.

Step 2: the disclosing party 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 uploads the unredacted confidential documents on the confidential record for consideration by the Commission.

## Step 1: Create the filing

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

**Create new filing**

**Registered Party**

Registered party: XYZ Utility Company

Participant type: Applicant

**Related schedule**

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

**Filing type**

Filing type: [Motion for confidentiality](#)

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

**Motion for confidentiality details**

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

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

Upon saving this motion for confidentiality filing, you will be directed to the public document uploader to include any public, redacted versions for the public record. Upon registration of this public motion for confidentiality, you will be directed to the confidential motion document uploader to include the confidential files.

Save Cancel

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

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

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

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

Step 1 - Select filing document(s) to upload

[Add more files](#)

Motion Re SAGD Tech.docx Redacted SAGD Equip..d... Redacted SAGD Specs.d... [Add more files](#)

**Filing details**

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

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

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

Description: Motion for confidentiality Re SAGD technology

Ruling: N/A Motion status: Awaiting ruling

Public documents Applications

Do not upload confidential files at this step.

Filename	Actions	Document Status	Uploaded	Directions
26855_XI_Redacted SAGD Specs_000047.docx Description: Redacted SAGD Specs	ⓘ	Draft	2022/06/28 08:24 AM	
26855_XI_Redacted SAGD Equip_000046.docx Description: Redacted SAGD Equip.	ⓘ	Draft	2022/06/28 08:24 AM	
26855_XI_Motion Re SAGD Tech_000045.docx Description: Motion Re SAGD Tech	ⓘ	Draft	2022/06/28 08:24 AM	

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

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

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

Proceeding 26855

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

**Documents**

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

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

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

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

Motion description: Motion for confidentiality Re SAGD technology

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

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

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

[Add more files](#)

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

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

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

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

**Documents**

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

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

Upload confidential motion files **Finalize** ←

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

Motion description: Motion for confidentiality Re SAGD technology

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

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

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

**Documents**

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

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

Upload confidential motion files **Finalize** Upload function is disabled after the motion is **Finalized**.

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

Motion description: Motion for confidentiality Re SAGD technology

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

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

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

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

### 16.1.1 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.

## 16.2 Disclosing party access

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

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

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

Documents

Public Confidential motion Disclosing party access

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

Manage user access

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

Select users to grant confidential access:

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

Select disclosing party: ABC Utility Company

Select organization: ABC Utility Company, XYZ Law Firm

Select users:

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

Save Cancel

### 16.3 Re-submitting confidential documents

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

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

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

#### 16.3.1 Upload confidential application documents

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

Application details

Upload document

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

Application category: Electric transmission Location:

Application type: General tariff application Electric facility ID:

Applicant ref. no:

Description: ABC Utility Company GTA

Public documents Applicants Related filings Issued dispositions

Results per page (of 6 total):  Go Show all

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

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

What kind of files are you uploading?

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

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

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

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

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

Upload confidential document disclaimer

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

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

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

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

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

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

Select I will not be submitting confidential information.

Upload the confidential application documents and continue to step 2.

Upload confidential document(s) for application 25173-A001

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

[Add more files](#)

Confidential appendix do...
 Confidential application ...
 Confidential contract.docx
 [Add more files](#)

Total files: 3

[Continue on to step 2](#) [Upload](#) [Cancel](#)

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

Upload confidential document(s) for application 25173-A001

Please address the following:

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

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

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

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

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

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

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

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

Select public version

**Confidential document from step 2:**

Confidential appendix document.docx

[Select](#) Upload the public version of the confidential document uploaded in Step 2. Use this option for files that can be partially redacted.

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

[Cancel](#)

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

Upload confidential document(s) for application 25173-A001

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

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

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

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

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

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

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

Application details

[Upload document](#)

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

Application category: Electric transmission Location:

Application type: General tariff application Electric facility ID:

Applicant ref. no:

Description: ABC Utility Company GTA

Public documents **Confidential documents** Applicants Related filings Issued dispositions

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

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

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

Proceeding 25173

Documents

Public **Confidential** Confidential motion Disclosing party access Undertaking access

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

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

Filter criteria

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

Uploaded date  Modified date

[Filter documents](#) [Reset](#)

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

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

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

### 16.3.2 Upload confidential filing documents

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

Proceeding 25173

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

Filings  
Create filing

Registered filings | My draft filings | Filings to me

Filter criteria  
Filing: [ ] Type: [All] Filed by: [All] Registered party: [All] Status: [Registered] Filter Filings Reset

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

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

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

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

Create new filing

**Registered Party**  
Registered party: ABC Utility Company  
Participant type: Applicant

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

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

**Correspondence - external details**  
Filing description: Confidential letter regarding ABC Utility company.  
Related applications: [Select application\(s\)](#)  
*Note: This filing will be related to all applications on the proceeding if none are specified.*

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

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

Please address the following:  
 • Please select a disclosing party for confidentiality ownership.

Save Cancel

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

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

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

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

I am uploading non-confidential files to the public record

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

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

**Upload confidential document disclaimer**

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

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

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

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

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

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

I will not be submitting confidential information.

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

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

Please address the following:

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

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

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

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

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

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

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

### Select public version

**Confidential document from step 2:**

 Confidential filing 1.docx

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

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

**Cancel**

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

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

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

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

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

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

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

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

Confirm the upload and then register the filing.

### Filing details

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

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

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

**Description:** Confidential letter regarding ABC Utility company.

**Confidential:** Yes **Confidential user:** Dustin Hoffman **Disclosing party:** ABC Utility Company

**Public documents** **Confidential documents** **Applications**

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

Filename	Actions	Document Status	Uploaded	Directions
Generated public summary		Draft	2020/01/13 04:11 PM	
25173_XI_Filing2Publicredactedversion_000013.docx Description: Confidential filing 3		Draft	2020/01/13 04:11 PM	
25173_XI_Filing1publicredactedversion_000012.docx Description: Confidential filing 2		Draft	2020/01/13 04:11 PM	
25173_XI_Filing1publicredactedversion_000013.docx Description: Confidential filing 1		Draft	2020/01/13 04:11 PM	

The confidential filing documents are available on the **Confidential documents** tab on the **Filing details** screen along with the associated public version. The public versions are available on the **Public documents** tab.

**Filing details**

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

Filed by: ABC Utility Company    Registered party: ABC Utility Company    Registered: 2020/01/13 04:16 PM

Description: Confidential letter regarding ABC Utility company.

Confidential: Yes    Confidential user: Dustin Hoffman    Disclosing party: ABC Utility Company

Public documents    **Confidential documents**    Applications

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

Confidential filename	Public redacted filename	Actions	Exhibit number	Document Status	Uploaded	Directions
25173_X0012_C_Confidentialfiling3_000006.docx Description: Confidential filing 3	25173_X0012_Systemgeneratedpublicsummary_000014.pdf	🔒	25173-X0012-C	Active	2020/01/13 04:11 PM	
25173_X0013_C_Confidentialfiling2_000005.docx Description: Confidential filing 2	25173_X0013_Filing2Publicredactedversion_000013.docx	🔒	25173-X0013-C	Active	2020/01/13 04:11 PM	
25173_X0014_C_Confidentialfiling1_000004.docx Description: Confidential filing 1	25173_X0014_Filing1publicredactedversion_000012.docx	🔒	25173-X0014-C	Active	2020/01/13 04:11 PM	

The public and confidential versions of the documents are also available on the **Documents** screen under the **Public** and **Confidential** tabs. The confidential documents will be symbolized with a lock and key.

**Documents**

Public    **Confidential**    Confidential motion    Disclosing party access    Undertaking access

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

Zip and download    Document index

**Filter criteria**

Document status: Active  
 Document type: Select options  
 Registered party: Select options  
 Exhibit number:   
 Uploaded date     Modified date  
 Start date:     End date:   
 Filter documents    Reset

Results per page (of 6 total):  Go Show all

	Exhibit number†	Document description	Actions	Document type	Registered party	Uploaded	Reference	Directions
<input type="checkbox"/>	25173-X0009-C	Confidential appendix document	🔒	Appendix	ABC Utility Company	2020/01/09	Application	
<input type="checkbox"/>	25173-X0010-C	Confidential application document	🔒	Application	ABC Utility Company	2020/01/09	Application	
<input type="checkbox"/>	25173-X0011-C	Confidential contract	🔒	Contract	ABC Utility Company	2020/01/09	Application	
<input type="checkbox"/>	25173-X0012-C	Confidential filing 3	🔒	Correspondence - external	ABC Utility Company	2020/01/13	Filing	
<input type="checkbox"/>	25173-X0013-C	Confidential filing 2	🔒	Correspondence - external	ABC Utility Company	2020/01/13	Filing	
<input type="checkbox"/>	25173-X0014-C	Confidential filing 1	🔒	Correspondence - external	ABC Utility Company	2020/01/13	Filing	

### 16.3.3 Access to confidential documents

Access to confidential documents is limited to the following:

- Commission panel members and Commission staff.
- Any registered party that files a confidentiality undertaking and that has been granted access by the disclosing party for a particular proceeding.

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

- Any confidential administrators in the disclosing party's organization.
- Organizational users that you have designated on the disclosing party access screen for a particular proceeding.

- Users from any organization that represents you that you have designated on the disclosing party access screen for a particular proceeding.

## 16.4 Exhibit numbers for confidential documents

The confidential version of the document gets the same exhibit number as the public version but will have a -C appended to the end of the exhibit number.

Confidential filename	Public redacted filename	Actions	Exhibit number	Document Status	Uploaded ↓
25173_X0012_C_Confidentialfiling3_000006.docx Description: Confidential filing 3	25173_X0012_Systemgeneratedpublicsummary_000014.pdf		25173-X0012-C	Active	2020/01/13 04:11 PM
25173_X0013_C_Confidentialfiling2_000005.docx Description: Confidential filing 2	25173_X0013_Filing2Publicredactedversion_000013.docx		25173-X0013-C	Active	2020/01/13 04:11 PM
25173_X0014_C_Confidentialfiling1_000004.docx Description: Confidential filing 1	25173_X0014_Filing1publicredactedversion_000012.docx		25173-X0014-C	Active	2020/01/13 04:11 PM

Select the confidential exhibit number on the **Documents** screen to access the confidential version of the document if you have been authorized by the disclosing party.

	Exhibit number ↑	Document description
<input type="checkbox"/>	25173-X0009-C	Confidential appendix document
<input type="checkbox"/>	25173-X0010-C	Confidential application document
<input type="checkbox"/>	25173-X0011-C	Confidential contract
<input type="checkbox"/>	25173-X0012-C	Confidential filing 3
<input type="checkbox"/>	25173-X0013-C	Confidential filing 2
<input type="checkbox"/>	25173-X0014-C	Confidential filing 1

## 16.5 Revisions to confidential documents

Revisions can be made to confidential documents or their paired public version by authorized users. A blackline and clean version must be provided for the file being revised. Select the action icon next to the document on the **Documents** screen and select to **Revise document**.

Because the exhibit number is shared by the confidential and public version, this can lead to differences in the revision number on each document. For each revision applied to either the public version or the confidential version, the exhibit number extension will get the next sequential number applied only to the specific version being revised. Each document history will show only the revisions that were applied to the particular document.

See the Revising a document section in this user guide for complete instructions.

**Documents**

Public Confidential Confidential motion Disclosing party access Undertaking access

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

Zip and download Document index

**Filter criteria**

Document status: Active  
 Document type: Select options  
 Registered party: Select options  
 Exhibit number:   
 Uploaded date  Modified date  
 Start date:  End date:   
 Filter documents Reset

Results per page (0)

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

**Actions:** Please click an action  
 REVISION DOCUMENT  
 VIEW PUBLIC VERSION

## 16.6 Replacing a public generated summary document with a redacted version

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

 **AUC**  
 Alberta Utilities Commission

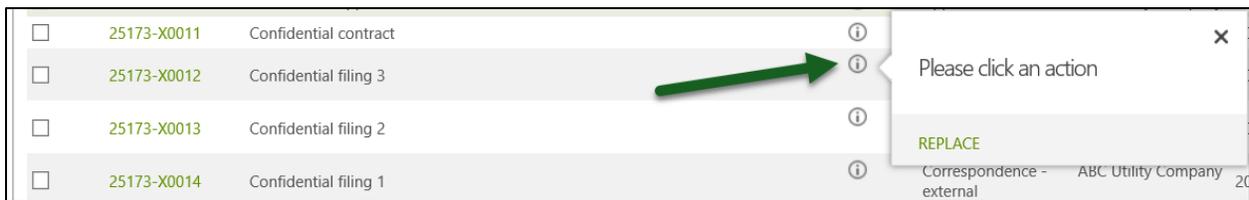
**Public summary of confidential document**

This document is a system-generated summary for the public record to indicate that there is a confidential version of this document on the confidential record for authorized individuals.

Proceeding	25173
Applications	25173-A001
Applicants	ABC Utility Company

**Confidential document information**

Participant	ABC Utility Company
Filing	25173-F0003
Filing	Confidential letter regarding ABC Utility company.
Document type	Correspondence - external
Document description	Confidential filing 3



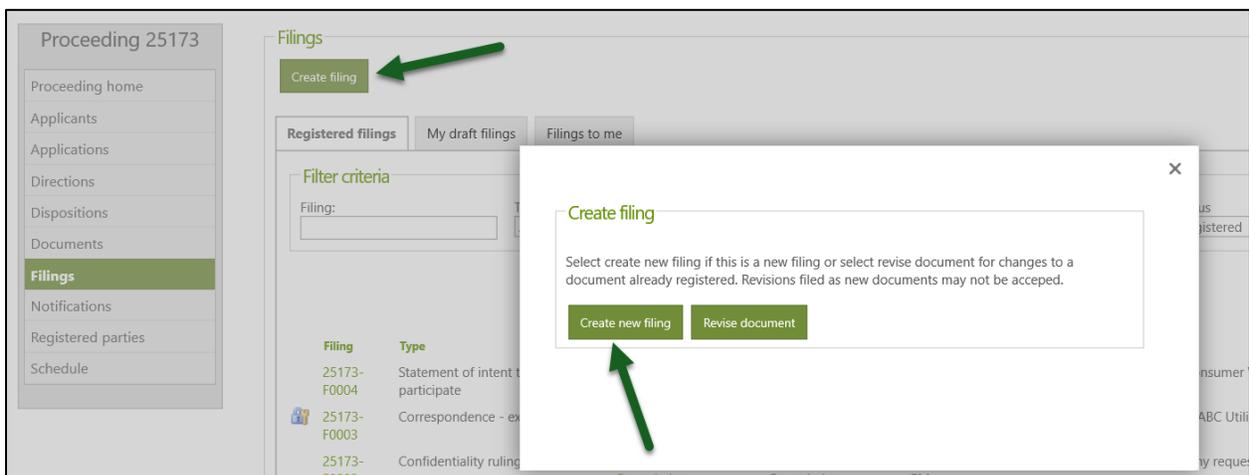
## 16.7 Requesting access to the confidential documents

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.

### 16.7.1 Filing a confidentiality undertaking

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

Create a new filing from the Filings screen. You must be a registered party on the proceeding to be able to create a filing.



Select **No scheduled item is required for my filing type** and select the filing type of **Confidentiality undertaking**. Enter a filing description. Select the user from your organization that requires access to the confidential information and select the owner of the confidential information. Select **Save**.

**Create new filing**

**Registered Party**

**Registered party:** Consumer Watchers

**Participant type:** Intervener

**Related schedule**

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

**Filing type**

**Filing type:** [Confidentiality undertaking](#)

**Description:** Pursuant to Rule 001: Rules of Practice, a required form (RP5) submitted by a party wishing to be granted access on the eFiling System to the confidential information for the purposes of participating in a proceeding. The undertaking describes the specific protocol and procedures for the handling of the confidential information.

**Confidentiality undertaking details**

**Filing description:**

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

**Confidential user:** [Angelina Jolie](#)

**Confidentiality owner:** [ABC Utility Company](#)

**Save** **Cancel**

Select to **Upload filing document** and attach a completed RP5 form available on the AUC website with Rule 001: *Rules of Practice*. Select the **Upload** button.

**Upload public document(s) for filing 25173-F0005**

**Step 2 - Set the description for each document**

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

Public document	Description	Action
Rule001_RP5ConfidentialityUndertakingSection28.docx	<input type="text" value="RP5 form for Angelina Jolie"/>	<b>Remove</b>

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

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

Select the **Register filing** button.

**Filing details**

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

**Filing number:** 25173-F0005 **Filing type:** Confidentiality undertaking **Status:** **Draft** **Late:** No

**Filed by:** Consumer Watchers **Registered party:** Consumer Watchers **Created:** 2020/01/15 03:33 PM

**Description:** Confidentiality undertaking and RP5 form for Angelina Jolie

**Confidential:** **Confidential user:** Angelina Jolie **Disclosing party:** ABC Utility Company

**Public documents** **Applications**

Results per page (of 1 total):  **Go** **Show all**

Filename	Actions	Document Status	Uploaded ↓	Directions
25173_XII_Rule001_RP5ConfidentialityUndertakingSection28_000016.docx Description: RP5 form for Angelina Jolie		Draft	2020/01/15 03:39 PM	

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

Automatic.Notification@auc.ab.ca | 0

**AUC Proceeding 25173 - Request for access**

**Proceeding 25173:** [Go to proceeding](#)

ABC Utility Company general tariff application for 2020-2021 **Registered**  
2020/01/09 03:05 PM

**Request for access:**  
Confidentiality undertaking [[25173-F0005](#)] [Confidentiality undertaking and RP5 form for Angelina Jolie] has been filed by [Consumer Watchers] requesting access to your confidential information. Please go to the [[confidential access request screen](#)] and select the current status link to grant or deny access.  
Please login to the Alberta Utilities Commission's [eFiling System](#) for further information.

Confidentiality undertakings are not required to be filed more than once by individuals seeking access on proceedings where multiple rulings have been applied to a single disclosing party. Once an individual is granted access by a disclosing party, access is granted to that disclosing party's confidential information granted through subsequent confidentiality rulings throughout the duration of the proceeding.

## 16.8 Disclosing party grants or denies access requests

The confidential administrators for the disclosing party may grant or deny access to their confidential information as directed in the AUC's confidentiality ruling to individuals that have submitted a confidentiality undertaking.

From the **Documents** screen, select the **Undertaking access** tab. The number of requests awaiting response are listed on the tab.

Proceeding 25173

Documents

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

Use this screen to view or manage access for individuals who have submitted Confidential undertaking filings to view a disclosing party's confidential documents.

User requesting access	User's registered party	Access status	Confidentiality ruling	Confidentiality undertaking	Undertaking date	Statutory declaration	Disclosing party
Angelina Jolie	Consumer Watchers	Awaiting response	25173-F0002	25173-F0005	2020/01/15 03:42 PM	Not required	ABC Utility Company

Documents

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

Use this screen to view or manage access for individuals who have submitted Confidential undertaking filings to view a disclosing party's confidential documents.

User requesting access	User's registered party	Access status
Angelina Jolie	Consumer Watchers	Awaiting response

Set access for: Angelina Jolie

- **Granted**
- Denied

## 16.8.1 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.

## 16.9 Proceedings related to confidential proceedings

When the AUC issues a **Confidentiality ruling** on an originating proceeding, it is often specified in the document that the ruling applies to any related compliance, costs or review and variance proceedings. When a proceeding gets related to a confidential proceeding and the AUC links the confidential permissions, the system ports the permissions to access the confidential documents to the related proceeding for individuals authorized by the disclosing party on the originating proceeding.

Related proceedings				
<i>Proceedings that are directly related to proceeding 25173.</i>				
Proceeding	Proceeding description	Proceeding status	Is confidential	Remove
25161	General Tariff application for 2020-2021	Active	True	
Descendant proceedings				
<i>All proceedings that are indirectly related to proceeding 25173. For example if proceeding 100 is related to proceeding 101 and proceeding 102 is related to proceeding 101, then proceeding 101 would be considered related to proceeding 100 and proceeding 102 would be considered descendant to proceeding 100.</i>				
Proceeding	Proceeding description	Proceeding status	Is confidential	
25160	General tariff 2nd compliance application	Active	True	

### 16.9.1 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.

## 16.10 Statutory declaration

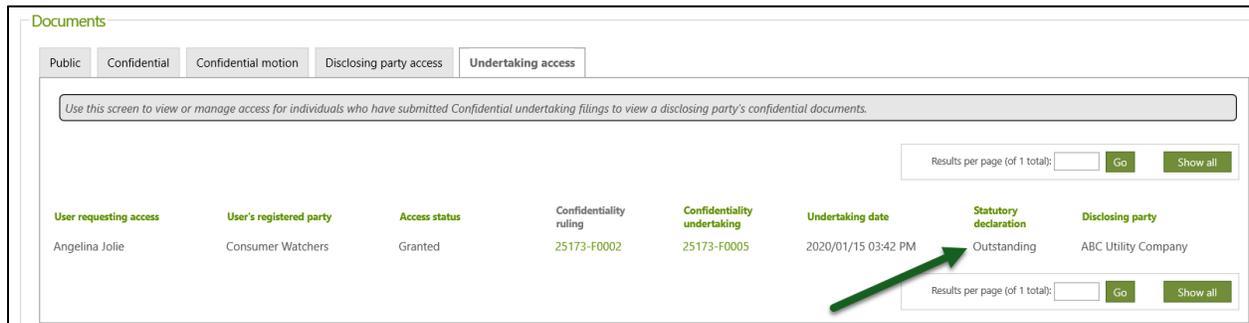
Pursuant to Rule 001: *Rules of Practice*, users that have executed a **Confidentiality undertaking** are required to file a *Statutory declaration of recipient* form that indicates that they had access to the confidential information and will not disclose the material in any manner and that all electronic 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.

## 16.10.1 Statutory declaration statuses

Statutory declaration statuses are displayed on the **Undertaking access** tab of the **Documents** screen.



Documents

Public Confidential Confidential motion Disclosing party access **Undertaking access**

Use this screen to view or manage access for individuals who have submitted Confidential undertaking filings to view a disclosing party's confidential documents.

Results per page (of 1 total):  Go Show all

User requesting access	User's registered party	Access status	Confidentiality ruling	Confidentiality undertaking	Undertaking date	Statutory declaration	Disclosing party
Angelina Jolie	Consumer Watchers	Granted	25173-F0002	25173-F0005	2020/01/15 03:42 PM	Outstanding	ABC Utility Company

Results per page (of 1 total):  Go Show all

The statuses are as follows:

- Filed - a statutory declaration filing type has been filed by the individual selected on the confidentiality undertaking.
- Outstanding – a statutory declaration is required to be filed for the individual that has been granted access, at any point, by the disclosing party through the confidentiality undertaking access request.
- Not required – a statutory declaration is not required to be filed for the individual selected on the confidentiality undertaking because their access was denied by the disclosing party.

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

## 16.10.2 Create a statutory declaration filing

Create a new filing, **select no schedule item is required for my filing type** and select the **Statutory declaration** filing type. Enter a filing description. Select the user that submitted the **Confidentiality undertaking** and select the disclosing party.

**Create new filing**

**Registered Party**

**Registered party:** Consumer Watchers

**Participant type:** Intervener

**Related schedule**

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

**Filing type**

**Filing type:** [Statutory declaration](#)

**Description:** An AUC Statutory declaration of recipient form pursuant to Rule 001: Rules of Practice required to be submitted by users that have executed a Confidentiality undertaking.

**Statutory declaration details**

**Filing description:**

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

**Confidential user:** [Angelina Jolie](#)

**Confidentiality owner:** [ABC Utility Company](#)

**Select filing type**

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



Agree to the public document disclaimer and attach a completed *Statutory declaration of recipient form*.

Upload public document(s) for filing 25173-F0006

Step 1 - Select filing document(s) to upload

[Add more files](#)

 Statutory declaration.docx

Total files: 1 

Enter a file description and select to upload.

Upload public document(s) for filing 25173-F0006

Step 2 - Set the description for each document

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

Public document	Description	Action
 Statutory declaration.docx	<input type="text" value="Statutory declaration of recipient form for Angelina Jolie"/>	<input type="button" value="Remove"/>

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

Register the filing.

Filing details

**Filing number:** 25173-F0006   
 **Filing type:** Statutory declaration   
 **Status:** Draft   
 **Late:** No

**Filed by:** Consumer Watchers   
 **Registered party:** Consumer Watchers   
 **Created:** 2020/01/16 10:52 AM

**Description:** Statutory declaration of recipient form for Angelina Jolie

**Confidential:**   
 **Confidential user:** Angelina Jolie   
 **Disclosing party:** ABC Utility Company

Filename	Actions	Document Status	Uploaded	Directions
25173_XI_Statutorydeclaration_000017.docx Description: Statutory declaration of recipient form for Angelina Jolie		Draft	2020/01/16 10:58 AM	

Results per page (of 1 total):

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

Documents

Use this screen to view or manage access for individuals who have submitted Confidential undertaking filings to view a disclosing party's confidential documents.

User requesting access	User's registered party	Access status	Confidentiality ruling	Confidentiality undertaking	Undertaking date	Statutory declaration	Disclosing party
Angelina Jolie	Consumer Watchers	Statutory declaration filed	25173-F0002	25173-F0005	2020/01/15 03:42 PM	Filed	ABC Utility Company

Results per page (of 1 total):

## 17 System communication

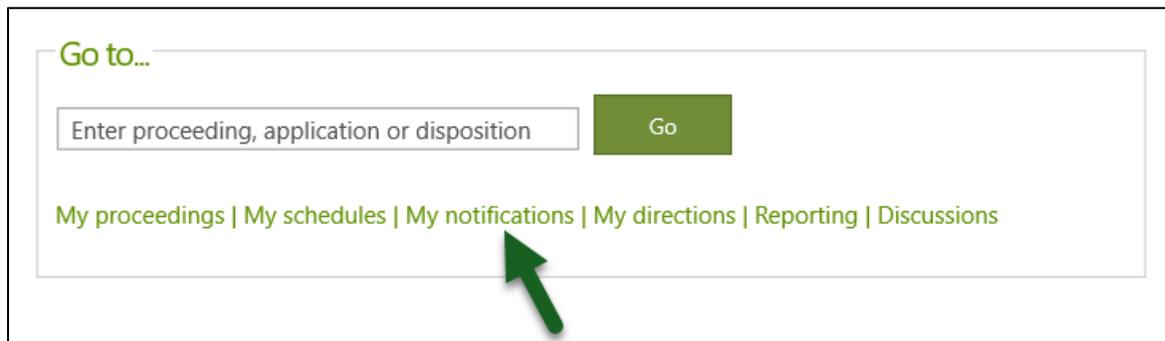
There are three methods of communication in the eFiling System:

- Notifications are a short synopsis of activities that occurred on a proceeding.
- Daily email summary of proceeding activity.
- Messages are immediately sent by email for specific conditions.

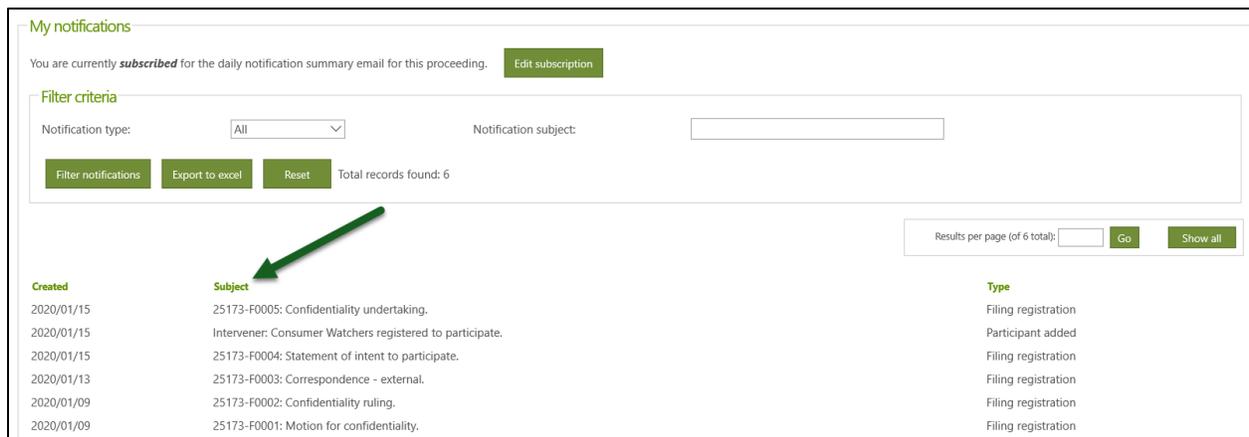
### 17.1 Notifications

**Notifications** can be immediately viewed by eFiling System users. For registered parties and those users whose organization is a registered party, the notifications can also be viewed under, My notifications and Recent notifications.

Notifications for proceedings where you are a registered party are access through My notifications.



All notifications for the proceeding are shown here. There is an option to filter the notifications or export the results to Excel.



The 10 most recent notifications are listed on the Home screen.

Go to...  
   
[My proceedings](#) | [My schedules](#) | [My notifications](#) | [My directions](#) | [Reporting](#) | [Discussions](#)

**Quick tips**  
[File application](#) | [Register to participate](#) | [Make a filing](#) | [More...](#)

**Recent notifications**

Created	Proceeding	Subject	Type
2020/01/15	25173	25173-F0005: Confidentiality undertaking.	Filing registration
2020/01/15	25173	Intervener: Consumer Watchers registered to participate.	Participant added
2020/01/15	25173	25173-F0004: Statement of intent to participate.	Filing registration
2020/01/13	25173	25173-F0003: Correspondence - external.	Filing registration
2020/01/09	25173	25173-F0002: Confidentiality ruling.	Filing registration
2020/01/09	25173	25173-F0001: Motion for confidentiality.	Filing registration

**Schedule summary**  
[Hearings and meetings](#) | [Process](#)  
 There are no items to show in this view.

**Priority directions**  
[Outstanding](#) | [Overdue](#)  
**Disposition** | **Proceeding** | **Oldest past due date**  
 There are no priority directions available

## 17.2 Daily email summary

A **daily email summary** is triggered by any activity on the proceeding. You can [subscribe to this email summary](#) (or unsubscribe) if you or your organization is a registered participant on the proceeding. If you are not a registered participant and wish to receive this email, [register as an observer](#) on the proceeding.

 Automatic.Notification@auc.ab.ca |  0  
**AUC proceeding 25173, daily summary**

 [Click here to download pictures.](#) To help protect your privacy, Outlook prevented automatic download of some pictures in this message.

**Proceeding 25173:** [Go to proceeding](#)

ABC Utility Company general tariff application for 2020-2021 **Registered**  
 2020/01/09 03:05 PM

**Applicant(s)**  
 ABC Utility Company

---

**Registered filings**

Exhibit(s)	Type	Registered party	Registered
25173-X0015	Statement of intent to participate	Consumer Watchers	2020/01/15 03:26 PM
25173-X0016	Confidentiality undertaking	Consumer Watchers	2020/01/15 03:42 PM

---

**Application document activity**  
 Intervener: Consumer Watchers registered to participate. 2020/01/15 03:26 PM

## 17.3 Messages

**Email messages** are immediately sent for specific conditions listed in the following table. Messages are not shown in Proceeding notifications and My notifications page.

Condition	Email message sent to
Proceeding registered	<ul style="list-style-type: none"> <li>applicant(s) primary and secondary contacts</li> <li>primary applicant organization's eFiling System administrator</li> </ul>

Condition	Email message sent to
Filing announcement registered	<ul style="list-style-type: none"> <li>all users who have selected to receive <a href="#">Filing announcement globally</a>.</li> </ul>
Statement of intent to participate registered	Individual(s) who registered the statement of intent to participate and, if different, the registered party for whom the statement of intent to participate was registered.
Dispositions issued	Registered parties.
Notice of application filed	All users who have selected to receive <a href="#">Notice of application globally</a> .
User account created	User receives a system-generated password.
Password reset	User receives a system-generated password.
Removal notice	Applicant has a draft proceeding that is approaching 180 days in draft form and will be deleted from the system.
Request for access	The disclosing party's confidential administrator(s) will receive an email to grant or deny access to their organization's confidential material when a confidentiality undertaking is registered on a confidential proceeding.
Request for access decided	To an individual that has submitted a Confidentiality undertaking when a confidential administrator has granted or denied access

## 17.4 Proceeding summary notifications

Single users registered as observers are automatically subscribed to the proceeding. Organizational users have this option if their organization is a registered party on the proceeding.

Select **Notifications** in the left navigation menu to open the Notifications page to list notifications for this proceeding.

The screenshot shows the 'My notifications' page for proceeding 25173. The page includes a left navigation menu with 'Notifications' selected. The main content area shows a message: 'You are currently **subscribed** for the daily notification summary email for this proceeding.' with an 'Edit subscription' button. Below this is a 'Filter criteria' section with a dropdown for 'Notification type' (set to 'All') and a text input for 'Notification subject'. There are buttons for 'Filter notifications', 'Export to excel', and 'Reset', and a note 'Total records found: 6'. At the bottom right, there are controls for 'Results per page (of 6 total):' and 'Show all'. The notification list has the following data:

Created	Subject	Type
2020/01/15	25173-F0005: Confidentiality undertaking.	Filing registration
2020/01/15	Intervener: Consumer Watchers registered to participate.	Participant added
2020/01/15	25173-F0004: Statement of intent to participate.	Filing registration
2020/01/13	25173-F0003: Correspondence - external.	Filing registration
2020/01/09	25173-F0002: Confidentiality ruling.	Filing registration
2020/01/09	25173-F0001: Motion for confidentiality.	Filing registration

Select **Edit subscription** to subscribe (receive a daily email summary of the proceeding notifications) or unsubscribe from the proceeding notifications (the email summary will not be sent).

The dialog box is titled 'Edit my proceeding subscription'. It contains the text 'Daily notification email:' followed by two radio buttons: 'Subscribe' (which is selected) and 'Unsubscribe'. At the bottom of the dialog are two buttons: 'Save' and 'Cancel'.

## 17.5 Daily directions summary

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.

## 17.6 Global notifications

To receive daily summary emails, select your profile on the upper right menu bar and then in the User information pop-up box, select the types of emails to receive within the Global notification settings. Summaries of filing announcements, notices of application and issued dispositions are emailed daily.

The screenshot shows the user profile page for Dustin Hoffman. The navigation bar includes 'Home', 'Request proceeding', 'Find', 'How do I...?', 'Go to proceeding, appl', and 'Go'. The user's name 'Dustin Hoffman's profile' is visible in the top right. The main content area has tabs for 'Change general information', 'Change password', and 'Change security question'. Under 'Personal information', fields for 'First name' (Dustin) and 'Last name' (Hoffman) are shown. Under 'Contact information', fields for 'Email address' (dustin.hoffman@sham.ca), 'Confirm email address', and 'Phone number' (403) 567-3678 are present. Under 'Login information', the 'Login ID' is DustinHoffman, and both 'Organization administrator' and 'Confidential administrator' checkboxes are checked. The 'Global notification settings' section has three unchecked checkboxes: 'Filing announcement', 'Notice of application', and 'Issued dispositions'. A green arrow points to the 'Dustin Hoffman's profile' link in the top right, and another green arrow points to the 'Notice of application' checkbox.

## 18 Dispositions

Select Dispositions from the proceeding menu to view dispositions related to a specific proceeding. Each issued or rescinded disposition will be listed with a link to the disposition details screen on the disposition number. From the Disposition details screen, a user can select the **None** link under the exhibit number column on the Issued documents tab to view the public disposition document. Information about the disposition such as the release date and time, disposition type and status are included on the Disposition details screen. For dispositions from confidential proceedings, the confidential version of the disposition will be available on the Issued confidential documents tab.

Disposition number	Title	Disposition type	Disposition status	Release date	Applications	Expiry date
25163-D01-2020	ATCO Electric Transmission Test Decision	Decision report	Issued	2020/01/09 12:21 PM	25163-A001	

The screenshot shows the 'Disposition details' page for proceeding 24662. The navigation bar includes 'Home', 'Request proceeding', 'Find', 'How do I...?', 'Go to proceeding, appl', and 'Go'. The user's name 'Bonnie Yee's profile' is visible in the top right. The main content area has a sidebar for 'Proceeding 24662' with a 'Proceeding home' tab selected. The 'Disposition details' section shows 'Disposition: 24662-D01-2019', 'Type: Decision report', and 'Status: Issued'. The 'Title' is 'EDTI 2020 Customer Specific DAS Rate Update for an Existing Customer (C542)'. Below this, there are tabs for 'Issued public documents', 'Disposition applications', 'Directions issued', and 'History'. The 'Issued public documents' tab is active, showing a table with columns for 'Exhibit number', 'Document description', 'Document type', 'Document status', 'Uploaded', and 'Directions'. A green arrow points to the 'None' link under the 'Exhibit number' column.

Exhibit number	Document description	Document type	Document status	Uploaded	Directions
None	Decision 24662-D01-2019 EDTI 2020 Customer Specific DAS Rate Update for an	Decision report	Active	2019/10/04	

## 18.1 Rescinded or varied dispositions

When a disposition has been replaced or varied by another disposition, the rescinded or varied status will be shown on the disposition details screen. A user can select the **History** tab to view a link to be directed to the replacement disposition or if the current disposition has rescinded or varied another disposition.

**Disposition details**

Disposition: 26855-D02-2021    Type: Decision report    Status: **Varied**

Title: Decision title

Expiry date: N/A    Expiry reason:

Issued public documents    Disposition applications    **History**

**Rescinded or varied dispositions:**

Disposition	Proceeding	Release date	Type	Decision document
25181-D01-2020	25181	2020/08/11	Rescinded	<a href="#">Public: 25181_X[1]_25181_X[1]_Decision 25181-D01-2020 - Rycroft 7305 Substation Expansion Project_000087_000090.pdf</a>

**Rescinded or varied by:**

Disposition	Proceeding	Date	Type
26709-D01-2021	26709	2021/08/05	Varied

## 19 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](#).

### 19.1 Submit a report

Select **Reporting** in **Go to...** on the Home page.

**Go to...**

Enter proceeding, application or disposition    **Go**

[My proceedings](#) | [My schedules](#) | [My notifications](#) | [My directions](#) | **Reporting** | [Discussions](#)

List of submitted reporting

[Create & submit reporting](#)

Title	Reporting type	Submitted Date	Submitter	Reporting period	Reporting year
<a href="#">Oak Test Org-First quarter-2014/11/06</a>	Service Quality and Reliability Performance Monitoring and Reporting	2014/11/06	Oak Test Org	First quarter	2013
<a href="#">Oak Test Org-Second quarter-2014/11/06</a>	Service Quality and Reliability Performance Monitoring and Reporting	2014/11/06	Oak Test Org	Second quarter	2013
<a href="#">Oak Test Org-Third quarter-2014/11/06</a>	Service Quality and Reliability Performance Monitoring and Reporting	2014/11/06	Oak Test Org	Third quarter	2013
<a href="#">Oak Test Org-Annual-2014/11/06</a>	RRT/DRT Provider reporting	2014/11/06	Oak Test Org	Annual	2013
<a href="#">Pine Test Org-First quarter-2014/11/06</a>	Service Quality and Reliability Performance Monitoring and Reporting	2014/11/06	Pine Test Org	First quarter	2013
<a href="#">Pine Test Org-Second quarter-2014/11/06</a>	Service Quality and Reliability Performance Monitoring and Reporting	2014/11/06	Pine Test Org	Second quarter	2013
<a href="#">Pine Test Org-Annual-2014/11/06</a>	RRT/DRT Provider reporting	2014/11/06	Pine Test Org	Annual	2013
<a href="#">Spruce Test Org-Annual-2014/11/06</a>	RRT/DRT Provider reporting	2014/11/06	Spruce Test Org	Annual	2013
<a href="#">Maple Test Org-First quarter-2014/11/06</a>	Service Quality and Reliability Performance Monitoring and Reporting	2014/11/06	Maple Test Org	First quarter	2013
<a href="#">Elm Test Org-Annual-2014/11/06</a>	RRT/DRT Provider reporting	2014/11/06	Elm Test Org	Annual	2013

In the List of submitted reporting page, click **Submit new report**.

All users must first agree to the AUC [privacy policy](#).

**Step 1:** The name of your organization is automatically assigned.

**Step 2:** Select the reporting type you are submitting.

The AUC defines the reporting types. Contact the AUC at [info@auc.ab.ca](mailto:info@auc.ab.ca) to request a new reporting type.

Step 1  
Submitter: "Oak Test Org"

Step 2 - Select reporting type

Select	Reporting type name	Rule	Description
<input type="radio"/>	Financial and operational results - transmission	Rule 005	A report that provides the financial and operating results for a specific calendar year - transmission.
<input type="radio"/>	Financial and operational results - distribution	Rule 005	A report that provides the financial and operating results for a specific calendar year - distribution.
<input type="radio"/>	Financial and operational results - retail energy	Rule 005	A report that provides the financial and operating results for a specific calendar year - retail energy.
<input type="radio"/>	Financing Notices	Not applicable	A report that provides notice of some form of financial undertaking such as a dividend declaration or debenture issue.
<input type="radio"/>	Service quality and reliability performance report – owners	Rule 002	A report that monitors service quality and reliability performance for owners of electric distribution systems and gas distributors.
<input type="radio"/>	Service quality and reliability performance report - providers	Rule 003	A report that monitors service quality and reliability performance for regulated rate and default supply providers.
<input type="radio"/>	Code of conduct regulation - self reporting	Rule 030	A report that must be filed if there is an instance of non-compliance with the code of conduct regulation or compliance plan
<input type="radio"/>	Code of conduct regulation - annual compliance report	Not applicable	A report that must be filed in accordance with the requirements of section 33 of the Code of Conduct Regulation
<input type="radio"/>	Inter-affiliate code of conduct - quarterly exception report	Not applicable	A report that outlines instances of non-compliance with an inter-affiliate code of conduct or compliance plan.
<input type="radio"/>	Inter-affiliate code of conduct -annual compliance report	Not applicable	A report that must be filed in accordance with section 7.6 of the inter-affiliate codes of conduct.
<input type="radio"/>	Code of Conduct Transition documents 2016 - sections 45 (5) and 46(4)	Not applicable	Code of Conduct plans and exemptions previously approved by the MSA or AUC

Upload document(s) & submit reporting Cancel

**Step 3:** Select the reporting period and the reporting year from the drop-down lists.

Step 3 - Select reporting period Annual Select reporting year 2016

**Step 4:** Select the reporting file(s) to upload.

Step 4 - Select from your computer what documents you want to upload

Name	Info	Size	Type	Date modified	Dimensions
<input checked="" type="checkbox"/> Sample DOCX.docx		9 Kb	Microsoft Word D...	2/8/2012	
<input type="checkbox"/> Sample JPEG.JPG		2,429 Kb	JPEG image	7/30/2009	2592 x 1944
<input type="checkbox"/> Sample JPG 1.JPG		1,474 Kb	JPEG image	10/3/2008	2592 x 1944
<input type="checkbox"/> Sample JPG 2.JPG		1,408 Kb	JPEG image	10/9/2008	2592 x 1944
<input type="checkbox"/> Sample Test PPT.ppt		190 Kb	Microsoft PowerP...	11/21/2008	
<input type="checkbox"/> Sample VSD 1.vsd		62 Kb	Microsoft Visio Dra...	10/1/2008	

See [Add application documents](#) for upload instructions.

**Step 5:** Enter the report file description and click **Upload document(s) & submit reporting**.

**Step 5 - Set descriptions for each file**  
 Please note that mandatory fields are identified with a red asterisk  
 Set the default descriptions for all of these files to their filename (excluding the file extension, e.g. .docx)

File Name	Description	Remove
Sample pdf 9.pdf	<input type="text" value="Spruce_org reporting for Qtr 1 of 2014"/>	x * <a href="#">Remove</a>

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

[Upload document\(s\) & submit reporting](#) [Cancel](#)

The applicant organization's primary and secondary contacts are emailed that the report was successfully received by the AUC and published on the website.

The report title consists of the [User Name]-[Reporting Period]-[Date-Submitted]; for example, Elm Test Org-Annual-2014/11/06.

List of submitted reporting

[Create & submit reporting](#)

Title	Reporting type	Submitted Date	Submitter	Reporting period	Reporting year
<a href="#">Oak Test Org-First quarter-2014/11/06</a>	Service Quality and Reliability Performance Monitoring and Reporting	2014/11/06	Oak Test Org	First quarter	2013
<a href="#">Oak Test Org-Second quarter-2014/11/06</a>	Service Quality and Reliability Performance Monitoring and Reporting	2014/11/06	Oak Test Org	Second quarter	2013
<a href="#">Oak Test Org-Third quarter-2014/11/06</a>	Service Quality and Reliability Performance Monitoring and Reporting	2014/11/06	Oak Test Org	Third quarter	2013
<a href="#">Oak Test Org-Annual-2014/11/06</a>	RRT/DRT Provider reporting	2014/11/06	Oak Test Org	Annual	2013
<a href="#">Pine Test Org-First quarter-2014/11/06</a>	Service Quality and Reliability Performance Monitoring and Reporting	2014/11/06	Pine Test Org	First quarter	2013
<a href="#">Pine Test Org-Second quarter-2014/11/06</a>	Service Quality and Reliability Performance Monitoring and Reporting	2014/11/06	Pine Test Org	Second quarter	2013
<a href="#">Pine Test Org-Annual-2014/11/06</a>	RRT/DRT Provider reporting	2014/11/06	Pine Test Org	Annual	2013
<a href="#">Spruce Test Org-Annual-2014/11/06</a>	RRT/DRT Provider reporting	2014/11/06	Spruce Test Org	Annual	2013
<a href="#">Maple Test Org-First quarter-2014/11/06</a>	Service Quality and Reliability Performance Monitoring and Reporting	2014/11/06	Maple Test Org	First quarter	2013
<a href="#">Elm Test Org-Annual-2014/11/06</a>	RRT/DRT Provider reporting	2014/11/06	Elm Test Org	Annual	2013

If a report requires AUC review before being published on the website, the following message is shown.

**Submitted reporting info**

The submitted reporting and the documents associated to the reporting will not be available until they have been released by the AUC

[Ok](#)

The AUC report custodian will review the report content before publishing it on the eFiling System.

## 19.2 View a report

Select **Reporting** in **Go to...** on the Home page.

**Go to...**

[Go](#)

[My proceedings](#) | [My schedules](#) | [My notifications](#) | [Reporting](#) | [Discussions](#)

List of submitted reporting

Create & submit reporting

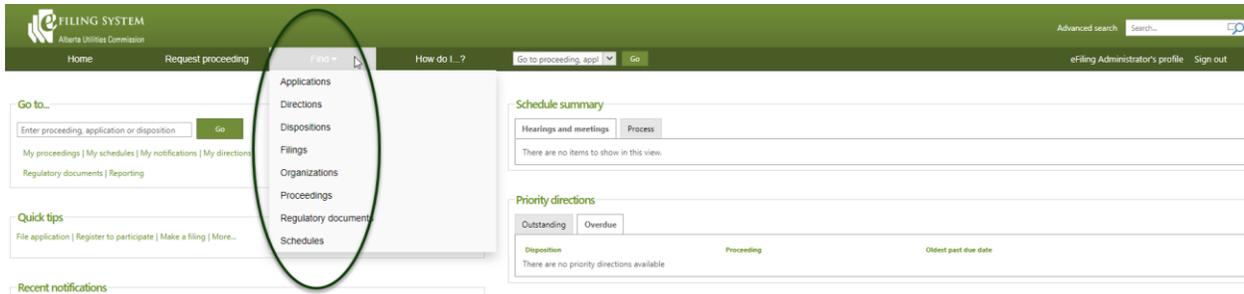
Title	Reporting type	Submitted Date	Submitter	Reporting period	Reporting year
<a href="#">Oak Test Org-First quarter-2014/11/06</a>	Service Quality and Reliability Performance Monitoring and Reporting	2014/11/06	Oak Test Org	First quarter	2013
<a href="#">Oak Test Org-Second quarter-2014/11/06</a>	Service Quality and Reliability Performance Monitoring and Reporting	2014/11/06	Oak Test Org	Second quarter	2013
<a href="#">Oak Test Org-Third quarter-2014/11/06</a>	Service Quality and Reliability Performance Monitoring and Reporting	2014/11/06	Oak Test Org	Third quarter	2013
<a href="#">Oak Test Org-Annual-2014/11/06</a>	RRT/DRT Provider reporting	2014/11/06	Oak Test Org	Annual	2013
<a href="#">Pine Test Org-First quarter-2014/11/06</a>	Service Quality and Reliability Performance Monitoring and Reporting	2014/11/06	Pine Test Org	First quarter	2013
<a href="#">Pine Test Org-Second quarter-2014/11/06</a>	Service Quality and Reliability Performance Monitoring and Reporting	2014/11/06	Pine Test Org	Second quarter	2013
<a href="#">Pine Test Org-Annual-2014/11/06</a>	RRT/DRT Provider reporting	2014/11/06	Pine Test Org	Annual	2013
<a href="#">Spruce Test Org-Annual-2014/11/06</a>	RRT/DRT Provider reporting	2014/11/06	Spruce Test Org	Annual	2013
<a href="#">Maple Test Org-First quarter-2014/11/06</a>	Service Quality and Reliability Performance Monitoring and Reporting	2014/11/06	Maple Test Org	First quarter	2013
<a href="#">Elm Test Org-Annual-2014/11/06</a>	RRT/DRT Provider reporting	2014/11/06	Elm Test Org	Annual	2013

Click on title of the report within the list on the List of submitted reporting page. Then select the specific file name to view from the list of files on the Submitted reporting documents pop-up box.

## 20 Find

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

Find gives you a quick way to target specific files based on a variety of criteria such as status, applicant, registration and disposition dates, and a simple way to export the data to an Excel spreadsheet.



Enter filter criteria and click **Find** to list the results in the lower part of the page (**Reset** clears current filter criteria).

Find applications:

Find applications

Filter criteria

Application description:

Division:

Applicant:   Include historical name

Application category:  Power generation

Application types:  Power plant

Application status:

Electric facility ID:

Alternate reference:

Application date range:  Registered  Decided

Start date:  End date:

Total records found: 20

Results per page (of 20 total)

Application	Proceeding	Application category	Application type	Primary applicant	Primary LAO	Registration date	Electric facility ID	Application status	Alternate reference	Division
23181-A005	23181	Power generation	Power plant	Encana Corporation		2018/03/05		Registered	11122	Facilities
23178-A005	23178	Power generation	Power plant	AltaLink Management Ltd.		2018/03/05		Registered	AF86	Facilities
23178-A004	23178	Power generation	Power plant	AltaLink Management Ltd.		2018/03/05		Registered	AF86	Facilities
23181-A002	23181	Power generation	Power plant	Encana Corporation		2018/03/05		Registered	11122	Facilities
23181-A001	23181	Power generation	Power plant	Encana Corporation		2018/03/05		Registered	11122	Facilities
23175-A002	23175	Power generation	Power plant	Focus Energy Group Inc.	TTST-eFiling LAO_1_Facilities	2018/03/01		Registered		Facilities
23174-A004	23174	Power generation	Power plant	XYZ Utility Company		2018/03/01		Registered		Facilities
23172-A001	23172	Power generation	Power plant	XYZ Utility Company		2018/03/01		Registered		Facilities
23162-A001	23162	Power generation	Power plant	AltaLink Management Ltd.	Stephen Bruce	2018/03/01		Registered	22	Facilities
23150-A001	23150	Power generation	Power plant	XYZ Utility Company	TTST-eFiling LAO_1_Facilities	2018/02/22		Decided	3456	Facilities
23145-A003	23145	Power generation	Power plant	Encana Corporation		2018/03/05		Decided		Facilities

**Note:** The Organization function requires a minimum of two characters in the organization name.

Text criteria fields are case sensitive.

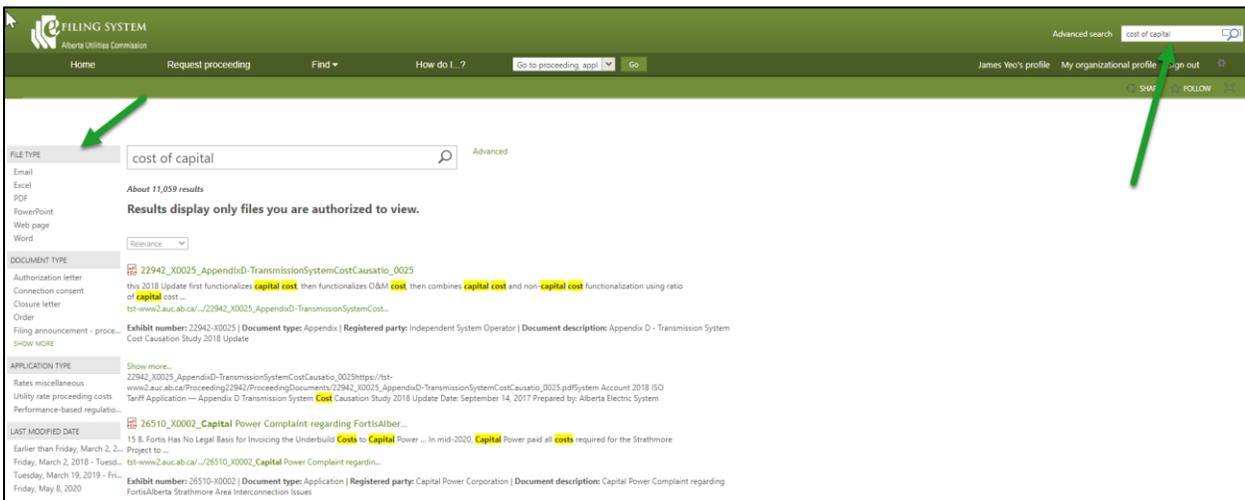
**Export to excel** exports the results list as comma-separated values (.csv) file to Excel.



## 21 Search

Use **Search** to enter a text and character string to locate all occurrences of the string in the content of files on the eFiling System. You can search the content for all files or search only within specific applications, filings and dispositions sites. This search uses wildcard or Boolean operators, and you can also search by file properties or phrases.

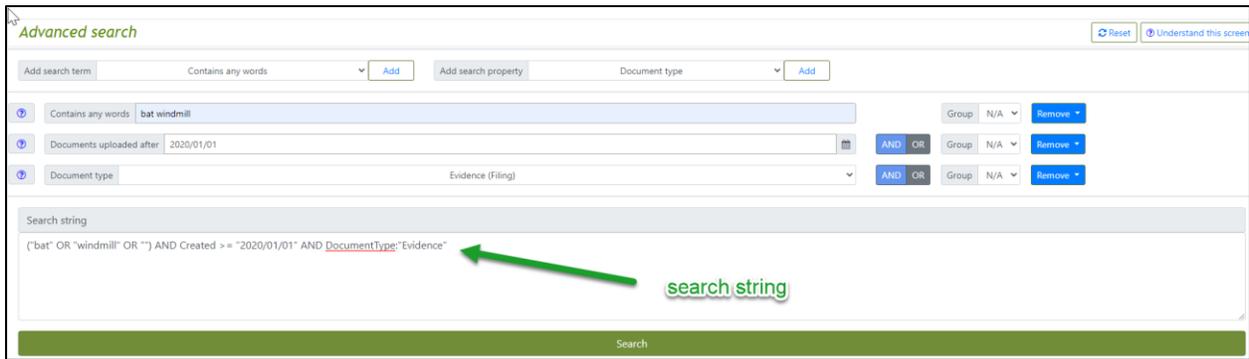
Search results: Refine by site



## 22 Advanced Search

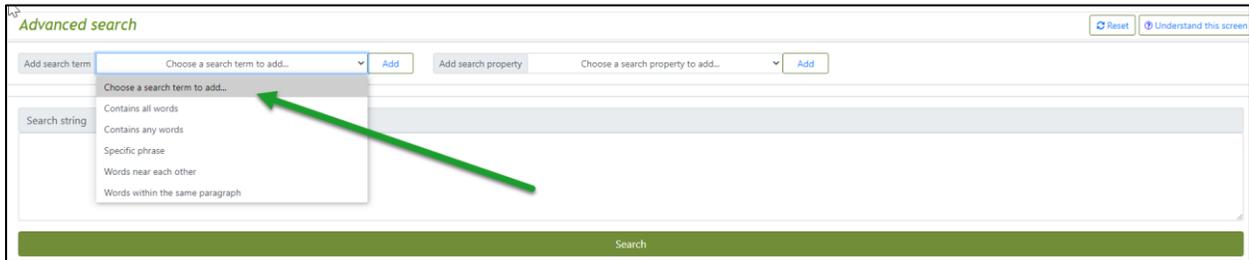


The advanced search functionality in eFiling allows a user to construct complex search queries with ease. The advanced search automatically inserts operators and property restrictions into the search string so the user does not need to understand complex search syntax. The search string may be edited by the user.

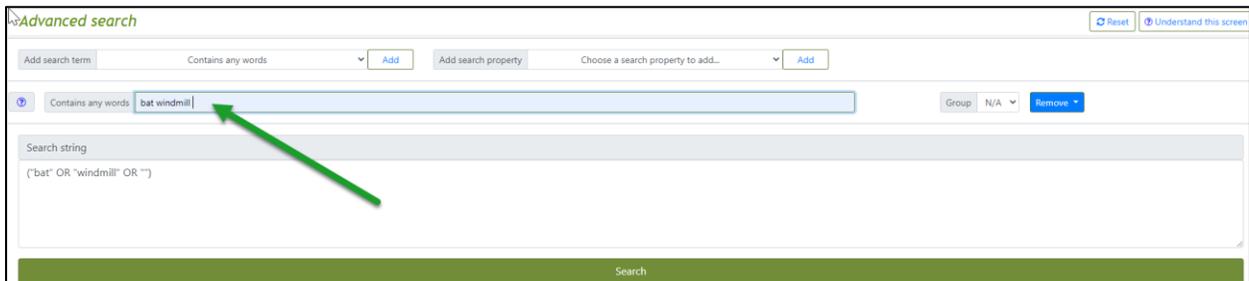


## 22.1 Add search terms

Search operators are commands for search engines to refine search results. Select from the search terms to use some common operators and then select the **Add** button:



Enter the text you want to search for into the search term box and then click in the search string box to populate the search string and then select the **Search** button.



Choose from the following search terms to have the system automatically add the operators into the search string:

Search term	Operator	Description
Contains all words	AND	Returns search results that include all words in the search string. Example: ("bat" AND "windmill").

**Advanced search** Reset Understand this screen

Add search term  Contains all words  Add search property  Choose a search property to add...

Contains all words  Group N/A Remove

Search string  
 ("bat" AND "windmill")

FILE TYPE   Advanced

PDF

DOCUMENT TYPE **About 18 results**

**Results display only files you are authorized to view.**

Application  
 Information response  
 Statement of intent to partici...   
 Environmental  
 Evidence  
 SHOW MORE

LAST MODIFIED DATE

Earlier than Saturday, April 21...  
 Saturday, April 21, 2018 - Tue...  
 Tuesday, September 11, 2018...  
 Wednesday, June 24, 2020

[25018\\_X0028\\_GechterSIPIletter\\_0029.pdf](#)  
 by a fungal disease and the Alberta Community **Bat** Program is raisIng concerns over their ... will have on the wildlife before rubber stamping all who applies to have a **Windmill** Farm ...  
[tst-www2.auc.ab.ca/.../25018\\_X0028\\_GechterSIPIletter\\_0029.pdf](https://tst-www2.auc.ab.ca/.../25018_X0028_GechterSIPIletter_0029.pdf)  
**Exhibit number:** 25018-X0028 | **Document type:** Statement of intent to participate | **Registered party:** Dwayne & Eleanor Gechter | **Document description:** DE Gechter SIP letter

Show more...  
 25018\_X0028\_GechterSIPIletter\_0029.pdfhttps://tst-www2.auc.ab.ca/Proceeding25018/ProceedingDocuments/25018\_X0028\_GechterSIPIletter\_0029.pdfSystem AccountT DIME bRECEIVED ON , FAX RECEIVED SUCCESSFULLY ~,1, ecem er 5, 2019 . 01/15/2 at 3,4914 PM MST REMOTE CSID 013 00: 40 4038322157 4038322157 ~' 1 ' IN BOUND NOTIFICATI

[25018\\_X0060\\_BHEC-RC-GP\\_Rattlesnake-Ridge-WPP\\_Gechter\\_IR\\_Resp...](#)  
 To assess the level of fall **bat** activity within the Project Study Area, seven SM3BAT® **bat** detector units were deployed in the Project ...  
[tst-www2.auc.ab.ca/.../25018\\_X0060\\_BHEC-RC-GP\\_Rattlesnake-Ridge-WPP...](https://tst-www2.auc.ab.ca/.../25018_X0060_BHEC-RC-GP_Rattlesnake-Ridge-WPP...)  
**Exhibit number:** 25018-X0060 | **Document type:** Information response | **Filing:** 25018-F0036 | **Registered party:** BHE Canada Rattlesnake G.P. Inc. | **Document description:** BHEC Responses to Dwayne and Eleanor Gechter Information Request of February 13, 2020

Contains any words **OR** Returns search results that include one or more of the specified words. Example: ("bat" OR "windmill" OR "turbine" OR "blades").

**Advanced search** Reset Understand this screen

Add search term  Contains any words  Add search property  Choose a search property to add...

Contains any words  Group N/A Remove

Search string  
 ("bat" OR "windmill" OR "turbine")

Words near each other	NEAR(8)	Matches results where a term is within close proximity to another term. Example: ("wildlife" NEAR(8) "migration"). The number in brackets after NEAR can be changed to another value by the user.
-----------------------	---------	---

**Advanced search** [Reset](#) [Understand this screen](#)

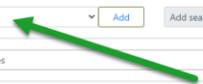
Add search term  Words near each other   Add search property  Choose a search property to add...

Words near each other   N/A

Search string  
("wildlife" NEAR(8) "migration")

Specific phrase	"text string"	Matches results where documents contain the exact text string entered. Example: "the most commonly observed species".
-----------------	---------------	---

**Advanced search** [Reset](#) [Understand this screen](#)

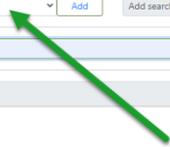
Add search term  Specific phrase   Add search property  Choose a search property to add...

Specific phrase   N/A

Search string  
"the most commonly observed species"

Words within the same paragraph.	NEAR(200)	Matches results where a term is within close proximity to another term. Example: ("wildlife" NEAR(200) "migration"). The number in brackets after NEAR can be changed to another value by the user.
----------------------------------	-----------	---

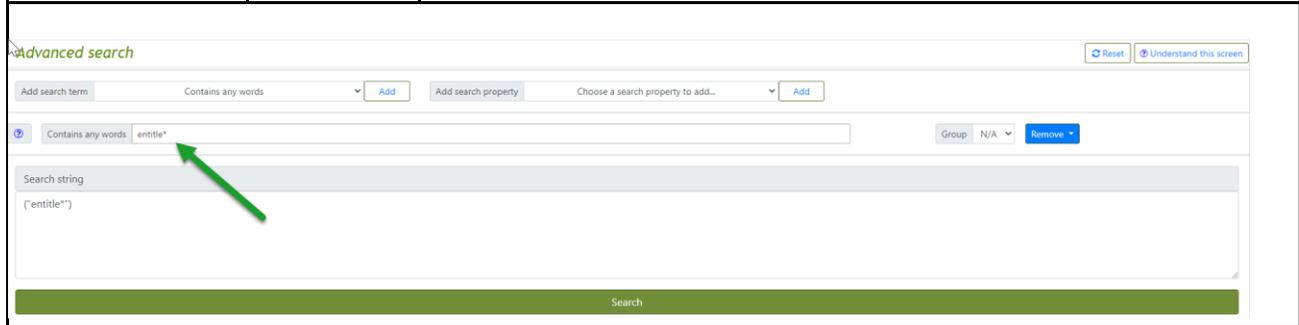
**Advanced search** [Reset](#) [Understand this screen](#)

Add search term  Words within the same paragraph   Add search property  Choose a search property to add...

Words within the same paragraph   N/A

Search string  
("wildlife" NEAR(200) "migration")

*	Wildcard	Allows a user to specify part of a word from the beginning of a word, followed by the asterisk character to return results that include the beginning of the word with other endings. Use the <i>Contains any words</i> search term. Example: ("entitle*") will return entitle, entitled, entitlement.
---	----------	--

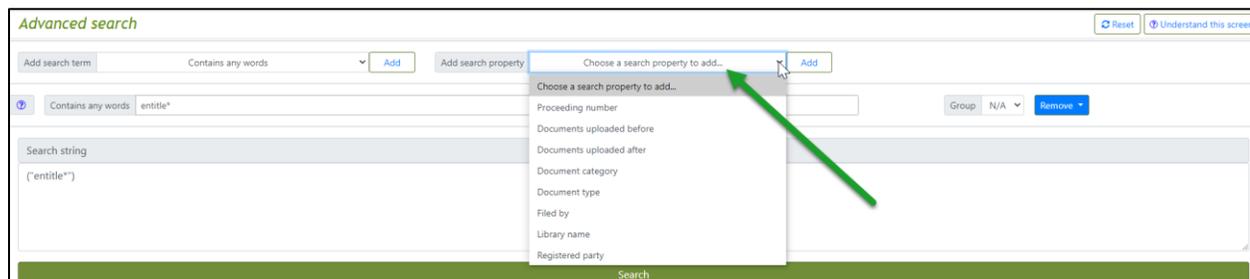


## 22.2 Add search property

Properties are attributes or characteristics of a document, sometimes referred to as metadata. Properties are used by search engines to help organize documents and allow a user to find relevant information. They can be used to restrict search results to specific properties. Some examples of document properties are document type, format, proceeding number, registered party, etc.



The following search restriction properties can be added to your searches to narrow your search results set.



Select the search property and then select the **Add** button. Enter the text string into the property box.

Advanced search

Add search term Contains any words Add Add search property Proceeding number Add

Contains any words bat windmill Group N/A Remove

Proceeding number 26855 AND OR Group N/A Remove

Search string

("bat" OR "windmill" OR "") AND (ProceedingID:"26855" OR "Proceeding" NEAR(8) "26855" OR "Proceeding 26855")

Search

Alternatively, you can select the magnifying glass to use the look-up tool to select the property directly from eFiling data.

Advanced search

Add search term Contains any words Add Add search property Proceeding number Add

Contains any words bat windmill Group N/A Remove

Proceeding number 26855 Magnifying glass icon AND OR Group N/A Remove

Search property	Description
Proceeding number	Restricts the results to proceeding site page or documents that are part of the proceeding number entered. Example: user enters 26372 and the system enters into the search string (ProceedingID:"26372" OR "Proceeding" NEAR "26372" OR "Proceeding 26372").
Documents uploaded before	Restricts documents in the result set to those that were uploaded to the location prior to the date chosen. This does not include documents uploaded on the date chosen. Example: user selects date of April 12, 2021 and the system enters Created < "2021/04/12" into the search string.
Documents uploaded after	Restricts documents in the result set to those that were uploaded to the location after the date chosen. This does include documents uploaded on the date chosen. Example: user selects date of April 12, 2021 and the system enters Created >= "2021/04/12" into the search string.
Document category	Restricts documents in the result set to the chosen category of applications, filings, dispositions or all in eFiling. Example: the user selects Application from the drop-down list and the system populates EntityType:"Application" into the search string.
Document type	Restricts documents in the result set to the chosen document type from a list of document types in eFiling. Example: the user selects Ruling from the drop-down list and the system populates DocumentType:"Ruling" into the search string.
Filed by	Restricts documents in the result set to the party that filed the document. This can be different from the registered party if filed by a representative. Example: the user selects Bennett Jones LLP from the party look-up tool and the system populates FiledBy:"Bennett Jones LLP" into the search string.
Registered party	Restricts documents in the result set to the party that the application or filing document is made on behalf of.

## 22.3 Searches with multiple search terms or properties

Multiple search terms and properties can be added to facilitate more complex searches usually producing smaller results sets:

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

The screenshot shows the 'Advanced search' interface. At the top, there are fields for 'Add search term' and 'Add search property'. Below this, three search criteria are added:

- Document type: Confidentiality ruling (Filing)
- Specific phrase: proprietary information
- Documents uploaded after: 2020/01/01

The search string displayed is: `DocumentType:"Confidentiality ruling" AND "proprietary information" AND Created >= "2020/01/01"`

The screenshot shows the search results page. The search criteria are: `DocumentType:"Confidentiality ruling" AND "prop"`. The results display only files you are authorized to view. The results are sorted by Relevance.

**26856\_X0008\_AMLSunnybrook510SUpgrade-AppendixHEnviro\_0193\_00...**  
copy in SharePoint. AltaLink's environment documents contain **proprietary information**. i ... The information provided herein is confidential and is provided strictly for the sole use ...  
tst-www2.auc.ab.ca/.../26856\_X0008\_AMLSunnybrook510SUpgrade-Appendi...

**Exhibit number:** 26856-X0008 | **Document type:** Confidentiality ruling | **Filing:** 26856-F0004 | **Registered party:** Alberta Utilities Commission | **Document description:** a

**24964\_X0484\_2020-09-16 AUC letter - Ruling on Calgary mot...**  
10. As the Utility Subsector report is **proprietary information**, the conditions on its use likely ...  
tst-www2.auc.ab.ca/.../24964\_X0484\_2020-09-16 AUC letter - Ruling o...

**Exhibit number:** 24964-X0484 | **Document type:** Confidentiality ruling | **Filing:** 24964-F0168 | **Registered party:** Alberta Utilities Commission | **Document description:** AUC letter - Ruling on Calgary motion for confidential treatment of information and cost

Example: Was honour of the Crown raised on the record of proceeding 22612?

The screenshot shows the 'Advanced search' interface. At the top, there are fields for 'Add search term' and 'Add search property'. Below this, two search criteria are added:

- Specific phrase: honour of the crown
- Proceeding number: 22612

The search string displayed is: `"honour of the crown" AND (ProceedingID:"22612" OR "Proceeding" NEAR(8) "22612" OR "Proceeding 22612")`

FILE TYPE: PDF

DOCUMENT TYPE: Information response

LAST MODIFIED DATE: Any value

Search: "honour of the crown" AND (ProceedingID:"22612" Advanced

1 result

**Results display only files you are authorized to view.**

**22612\_X0098\_AMLIRResponsestoAUCRound21-9\_0099**  
 2017-2018 General Tariff Applications **Proceeding 22612** Applications **22612**-A001 to **22612**-A004 Round 2 Information Requests 001-009 Please ...  
 tst-www2.auc.ab.ca/.../22612\_X0098\_AMLIRResponsestoAUCRound21-9\_009...

**Exhibit number:** 22612-X0098 | **Document type:** Information response | **Filing:** 22612-F0038 | **Registered party:** AltaLink Management Ltd. | **Document description:** AML IR Responses to AUC Round 2 (1-9)

Show more...  
**22612\_X0098\_AMLIRResponsestoAUCRound21-9\_0099**https://tst-www2.auc.ab.ca/Proceeding22612/ProceedingDocuments/22612\_X0098\_AMLIRResponsestoAUCRound21-9\_0099.pdfmwoffingSystem Account2611 3rd AVE SE, CALGARY, ALBERTA, T2A 7W7 WWW.ALTALINK.CA June 20, 2018 Filed on eFiling Alberta Utilities Commission Eau Claire Tower 1400, 600 Third

Example: What were AML's comments on the CCA cost claims on proceeding 25973?

Advanced search

Add search term Contains any words  Add Add search property Proceeding number  Add

Contains any words CCA cost claim Group N/A Remove

Registered party Altalink Management Ltd. Q AND OR Group N/A Remove

Proceeding number 25973 Q AND OR Group N/A Remove

Search string  
 ("CCA" OR "cost" OR "claim") AND RegisteredParty: Altalink Management Ltd. AND (ProceedingID:"25973" OR "Proceeding" NEAR(8) "25973" OR "Proceeding 25973")

Search

FILE TYPE: PDF

DOCUMENT TYPE: Application

LAST MODIFIED DATE: Any value

Search: ("CCA" OR "cost" OR "claim") AND RegisteredPart Advanced

4 results

**Results display only files you are authorized to view.**

**25973\_X0015\_AML Letter to AUC - Comments on CCA Cost...**  
 Earlier than Friday, October 2... **Proceeding 25973** ... AltaLink understands that the **CCA's cost claim** will be assessed by the Alberta Utilities ... 7 Exhibit **25973**-X0008, **CCA Cost Claim**, para 25, pdf 10 ...  
 Friday, October 23, 2020 - Th... tst-www2.auc.ab.ca/.../25973\_X0015\_AML Letter to AUC - Comments on ...  
 Thursday, October 29, 2020 - ...  
 Saturday, December 19, 2020

**Exhibit number:** 25973-X0015 | **Document type:** Procedural filing - reply | **Filing:** 25973-F0008 | **Registered party:** AltaLink Management Ltd. | **Document description:** AML Letter to AUC - Comments on CCA Cost Claim

Show more...  
**25973\_X0015\_AML Letter to AUC - Comments on CCA Cost Claim\_000023**https://tst-www2.auc.ab.ca/Proceeding25973/ProceedingDocuments/25973\_X0015\_AML Letter to AUC - Comments on CCA Cost Claim\_000023.pdfSystem Account1 2611 3rd AVE SE, CALGARY, ALBERTA, T2A 7W7 WWW.ALTALINK.CA November 3, 2020 Filed on eFiling Alberta Utilities Commission Eau Claire Tower 1400,

**25973\_X[]\_AML Letter to the AUC - Allocation of Costs wit...**  
**Proceeding 25973** ... that it is paying the Enoch Cree Nation's **cost claim** in the amount of \$24,821.04, as well as the remaining \$105,819.03 of the **CCA's cost** award ...  
 tst-www2.auc.ab.ca/.../25973\_X[]\_AML Letter to the AUC - Allocation...

**Document type:** Post-disposition documentation | **Filing:** 25973-F0011 | **Registered party:** AltaLink Management Ltd. | **Document description:** AML Letter to the AUC - Allocation of Costs with TransAlta

## 22.4 Groups

When searching using multiple search terms or properties, it is beneficial to use the group functionality. The system will automatically add the parenthesis in the search string to ensure the order of operations

is set by the group numbers. The system will automatically group search terms that are identical with the same group number and insert the OR operator.

In the example below, the order of operations is as follows:

The proceeding ID 25973 is the first qualifier, secondly by any of the words CCA OR cost OR claim, and thirdly by either Altalink Management Ltd. OR Enoch Cree Nation OR TransAlta Corporation.

The results set will include results where:

- Altalink Management Ltd. commented on the cost claims by the CCA on proceeding 25973.
- Enoch Cree Nation commented on the cost claims by the CCA on proceeding 25973.
- TransAlta commented on the cost claims by the CCA on proceeding 25973.

The screenshot displays the 'Advanced search' interface. At the top, there are two input fields: 'Add search term' with a dropdown menu set to 'Contains any words' and an 'Add' button, and 'Add search property' with a dropdown menu set to 'Registered party' and an 'Add' button. Below these are five search criteria rows, each with a search icon, a text input, a search icon, and a 'Remove' button. The criteria are: 1. Proceeding number: 25973 (Group 1); 2. Contains any words: CCA cost claim (Group 2); 3. Registered party: TransAlta Corporation (Group 3); 4. Registered party: Enoch Cree Nation (Group 3); 5. Registered party: Altalink Management Ltd. (Group 3). Between the criteria rows are 'AND' and 'OR' operators. A green arrow points to the 'AND' operator between Group 1 and Group 2, with the text 'Use the AND or Or between search terms. Black colour is enabled.' Another green arrow points to the 'OR' operator between the two Group 3 entries, with the text 'Use the group number to choose the order of operations. The same group number with the OR operator will be automatically applied to identical search terms.' Below the criteria is a 'Search string' field containing the following query: ((ProceedingID:"25973" OR "Proceeding" NEAR(8) "25973" OR "Proceeding 25973")) AND (("CCA" OR "cost" OR "claim")) OR (RegisteredParty:"TransAlta Corporation" OR RegisteredParty:"Enoch Cree Nation" AND RegisteredParty:"Altalink Management Ltd."). A green 'Search' button is at the bottom.

## 22.5 Refiners

A set of results can be further refined by using the refiners at the left side of the results set. Refiners will appear based on the results being returned.

FILE TYPE

Excel  
Image  
PDF  
PowerPoint  
Word

DOCUMENT TYPE

Undertaking  
Correspondence - AUC to par...  
Drawing  
Filing announcement  
Process announcement  
SHOW MORE

APPLICATION TYPE

Power plant ownership change  
General tariff application  
Transmission enquiry proposal  
Preferential sharing of records  
Power plant enquiry proposal  
SHOW MORE

LAST MODIFIED DATE

Earlier than Tuesday, Februar...  
Tuesday, February 28, 2017 - ...  
Thursday, September 26, 201...  
Friday, July 31, 2020

Advanced

((ProceedingID:"25973" OR "Proceeding" NEAR(8))

About 2,398 results

**Results display only files you are authorized to view.**

Relevance

25973\_X0015\_AML Letter to AUC - Comments on CCA Cost...

Proceeding 25973 ... AltaLink understands that the CCA's cost claim will be assessed by the Alberta Utilities ... 7 Exhibit 25973-X0008, CCA Cost Claim, para 25, pdf 10 ...

tst-www2.auc.ab.ca/.../25973\_X0015\_AML Letter to AUC - Comments on ...

Exhibit number: 25973-X0015 | Document type: Procedural filing - reply | Filing: 25973-F0008 | Registered party: AltaLink Management Ltd. | Document description: AML Letter to AUC - Comments on CCA Cost Claim

Show more...

25973\_X0015\_AML Letter to AUC - Comments on CCA Cost Claim\_000023https://tst-www2.auc.ab.ca/Proceeding25973/ProceedingDocuments/25973\_X0015\_AML Letter to AUC - Comments on CCA Cost Claim\_000023.pdfSystem Account1 2611 3rd AVE SE, CALGARY, ALBERTA, T2A 7W7 WWW.ALTA.LINK.CA November 3, 2020 Filed on eFiling Alberta Utilities Commission Eau Claire Tower 1400.

25973\_X0014\_TAC Letter to AUC - Comments on CCA Cost Clai...

AML 2016-2018 DACDA Edmonton Region Cost Claim Application Proceeding 25973 Comments on the Cost Claim filed by Consumers' Coalition of Alberta ...

tst-www2.auc.ab.ca/.../25973\_X0014\_TAC Letter to AUC - Comments on ...

Exhibit number: 25973-X0014 | Document type: Correspondence - external | Filing: 25973-F0007 | Registered party: Transalta Corporation | Document description: TAC Letter to AUC - Comments on CCA Cost Claim, November 3, 2020

Show more...

25973\_X0014\_TAC Letter to AUC - Comments on CCA Cost Claim November 3, 2020\_000022https://tst-www2.auc.ab.ca/Proceeding25973/ProceedingDocuments/25973\_X0014\_TAC Letter to AUC - Comments on CCA Cost Claim November 3, 2020\_000022.pdfSystem AccountNorton Rose Fulbright Canada LLP is a limited liability partnership established in Canada. Norton Rose Fulbright Canada

Below is a list of refiners that will appear if qualified in your search results:

Refiner	Example
File type	PDF, Word, Excel, PowerPoint
Modified date	Earlier than one year ago, One year ago to one month ago
Application type	Substation, Transmission line
Document type	Ruling, argument, decision report
Revision type	Blackline, clean, original
Library	Public, confidential, team, restricted
Document category	Application, filing, disposition