

**ELECTRICITY REPORTING AND RECORD KEEPING REQUIREMENTS**  
**(Version dated: July 9, 2007)**

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# **ELECTRICITY REPORTING AND RECORD KEEPING REQUIREMENTS**

## **(Version dated: July 9, 2007)**

### **1 GENERAL AND ADMINISTRATIVE PROVISIONS**

#### ***1.1 The purpose of these reporting and record keeping requirements***

These reporting and record keeping requirements set the minimum reporting and record keeping requirements with which a licensee must comply. Other reporting and record keeping requirements specific to a licensee may also be contained in individual licences or regulatory instruments specific to a licensee (i.e. rate orders).

#### ***1.2 Definitions***

“Act” means the Ontario Energy Board Act, 1998, C. 15, Schedule B;

“affiliate” has the meaning given to it under the Business Corporations Act (Ontario) as may be amended from time to time;

“Board” means the Ontario Energy Board;

“complex (polyphase) metering installation” means a metering installation where instrument transformers, test blocks, recorders, pulse duplicators and multiple meters may be employed;

“conditions of service” means the document developed by a distributor in accordance with subsection 2.4 of the Distribution System Code that describes the operating practices and connection rules for the distributor

“consumer” means a person who uses, for the person’s own consumption, electricity that the person did not generate;

“distributor” means a person who owns or operates a distribution system and is licensed as a distributor by the Board;

“generator” means a person who owns or operates a generating facility and is licensed as a generator by the Board;

“IMO” means the Independent Electricity Market Operator;

“information services” means computer systems, services, databases and persons knowledgeable about the utility’s information technology systems;

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“MIST meter” means an interval meter from which data is obtained and validated within a designated settlement timeframe. MIST refers to “Metering Inside the Settlement Timeframe”;

“municipal utility” means a utility which is a corporation established pursuant to section 142 of the Electricity Act, 1998, that is exempt under subsection 149(1) of the Income Tax Act (Canada) from payment of tax under that Act;

“PILs” means “Payments In Lieu of Taxes” to the Ontario Financing Authority;

“retailer” means a person who retails electricity and is licensed as a retailer by the Board;

“SSS” means “Standard Supply Service” which is the distributor’s obligation to sell electricity under section 29 of the Electricity Act, 1998;

“transmitter” means a person who owns or operates a transmission system facility and is licensed as a transmitter by the Board;

“uniform system of accounts” means the system of accounts prescribed in the Board’s Accounting Procedures Handbook for Electric Distribution Utilities;

“wholesaler” means a person who sells or purchases electricity or ancillary services through the IMO-administered markets but does not sell directly to a consumer

### ***1.3 Interpretations***

Unless otherwise defined in these reporting and record keeping requirements, words and phrases that have not been defined shall have the meaning ascribed to them in the licences issued by the Board, the Act or the Electricity Act, 1998 as the case may be. Words importing the singular include the plural and vice versa. A reference to a document or a provision of a document includes an amendment or supplement to, or a replacement of, that document or that provision of that document.

### ***1.4 To whom these reporting and record keeping requirements apply***

These reporting and record keeping requirements apply to all electricity distributors, transmitters, retailers, wholesalers and generators licensed by the Ontario Energy Board under Part V of the Act. All licenced distributors, transmitters, retailers, wholesalers and generators are obligated to comply with

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the reporting and record keeping requirements as a condition of their licence. However, the retailer provisions do not apply to distributors who are also licensed as retailers for the purpose of providing standard supply service.

### ***1.5 Manner and format of reporting and record keeping***

The reporting and record keeping requirements will be in the manner and format as prescribed by the Board.

### ***1.6 Periods for which information is reported***

Annual reporting covers information for the entire calendar year, from January 1 to December 1. Quarterly reporting covers information for each quarter of the calendar year - from January 1 to March 31, April 1 to June 30, July 1 to September 30 and October 1 to December 31. Monthly reporting covers information for each entire month of the calendar year, from January to December.

### ***1.7 Confidentiality of information***

The Board intends to treat information filed under the specific sections of these Electricity Reporting and Record Keeping Requirements listed below in confidence. All other information filed will be placed on the public record directly.

Distributor: 2.1.2 (1 and 3); 2.1.3; 2.1.5  
(labour and functional categories); 2.1.7; 2.1.8; 2.1.9; 2.3.1; 2.3.2; 2.3.3; 2.3.5  
(3 and 4); 2.3.6; 2.3.7; and 2.3.8  
Transmitter: 3.3.2; 3.3.4 (3 and 4); 3.3.5; and 3.3.6  
Retailer: 4.1.1; 4.2.1; 4.2.2; 4.2.3; and 4.2.4  
Wholesaler: 5.1.1  
Generator: 6.1.1; and 6.1.2

The Board reserves the right to disclose aggregated information where the identity of any individual cannot be determined. The Board cautions parties that information treated as confidential may still be disclosed in a proceeding before the Board. However, a party would be able to request the Board to hold the document in confidence in that proceeding. The Board further cautions parties that it is subject to the Freedom of Information and Protection of Privacy Act.

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## **2 DISTRIBUTORS**

### ***2.1 Reporting***

- 2.1.1 A distributor shall provide in the form and manner required by the Board, quarterly, on the last day of the month following the quarter end, balances of all deferral/ variance accounts in the Accounting Procedures Handbook, their related sub-accounts and associated information required by the Accounting Procedures Handbook.
- 2.1.2 A distributor shall provide in the form and manner required by the Board, quarterly, on the last day of the month following the period end, a summary of market monitoring information, which would include the:
- 1 total number of consumers enrolled with a retailer (completed enrollments only) by retailer and for each rate class sub-divided by a) consumers receiving the commodity price established by s. 79.4 (1) of the OEB Act, 1998, b) consumers receiving the commodity price established by s. 79.5 (1) of the OEB Act, 1998, and c) consumers receiving the commodity price set by their agreement with the retailer, at quarter end;
  - 2 total number of consumers on Standard Supply Service (“SSS”) for each rate class sub-divided by a) consumers receiving the HOEP, b) consumers receiving the commodity price established by s. 79.4 (1) of the OEB Act, 1998, and c) consumers receiving the commodity price established by s. 79.5 (1) of the OEB Act, 1998, at quarter end;
  - 3 total number of consumers who switched from retailer to SSS receiving the HOEP by retailer for each rate class, at quarter end;
  - 4 number of consumers on equal billing arrangements split by consumers on SSS and consumers enrolled with a retailer, at quarter end; and
  - 5 number of consumers at quarter end with MIST meters and associated energy volume in kWh’s.

Distributors who are not connected to the IMO-controlled grid and exempted from sub-section 26(1) of the Electricity Act, 1998, are exempted from this reporting requirement.

- 2.1.3 A distributor shall provide in the form and manner required by the Board, quarterly, on the last day of the second month following the period end the following market monitoring information:
- 1 total energy sales in kWh’s for the reporting period for each rate class sub-divided by a) consumers on SSS receiving the HOEP, b) consumers on SSS receiving the commodity price established by s. 79.4 (1) of the OEB Act, 1998, c) consumers on SSS receiving the commodity price established by s. 79.5 (1) of the OEB Act, 1998, d) consumers enrolled with a retailer and receiving the commodity price established by s. 79.4 (1) of the OEB Act, 1998 by each retailer, e) consumers enrolled with retailer and receiving

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the commodity price established by s. 79.5 (1) of the OEB Act, 1998 by each retailer, and f) consumers enrolled with a retailer and receiving the commodity price set by their agreement with the retailer by each retailer; and

- 2 total street and sentinel lighting sales volume in kWh's for the reporting period. Distributors who are not connected to the IMO grid and exempted from sub-section 26(1) of the Electricity Act, 1998 are exempted from this reporting requirement.

2.1.4 A distributor shall, as required in the Electricity Distribution Rate Handbook subsection 12.4.5, provide in the form and manner required by the Board, annually, by January 31, information measuring its performance for the preceding calendar year against the minimum standards established by the Board for the service quality indicators.

2.1.5 A distributor shall, as referenced in the Electricity Distribution Rate Handbook sub-section 12.4.4, provide in the form and manner required by the Board, annually, by April 30, statistics on performance based regulation related information for the preceding calendar year.

2.1.6 A distributor shall, as indicated in the Electricity Distribution Rate Handbook sub-section 12.2.8 Table 12-1, provide the Board annually, by April 30, audited financial statements for the preceding calendar year for the corporate entity regulated by the Board. Where the financial statements of the corporate entity regulated by the Board contain material businesses not regulated by the Board, or where the regulated entity conducts more than one activity regulated by the Board, the distributor shall disclose separately information about each operating segment in accordance with the Segment Disclosure provisions corporate entities are encouraged to adopt by the Canadian Institute of Chartered Accountants Handbook.

2.1.7 A distributor shall provide the Board annually, by April 30, a trial balance in uniform system of accounts (USoA) format supporting the audited financial statements, for the preceding calendar year.

2.1.8

*No submission required in July 2007*

A distributor shall provide in the form and manner required by the Board, annually, by July 31, a reconciliation of regulatory taxes (PILs), approved by the Board for recovery in rates, to actual taxes as filed with the taxing authority (i.e. Ministry of Finance) for the preceding calendar year. The reconciliation is to include:

- a detailed line item comparison between the corporate tax return information filed with the tax authority adjusted for non-wires activity and the corresponding PILs detail approved by the Board for recovery in rates;
- information supporting any regulatory adjustments recommended by the Board or proposed by the licensee; and

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- a calculation of the variance account entry.
- 2.1.9 A distributor shall file, on the last day of the month following any quarter end upon which the distributor receives a notice of assessment or reassessment from the taxing authority:
- a copy of the notice;
  - a copy of the statement of adjustment(s) if applicable; and
  - the information requested in subsection 2.1.8 above adjusted for the differences reflected in the notice of assessment/reassessment.
- 2.1.10 A distributor shall provide in the form and manner required by the Board, annually, by April 30, information on affiliate arrangements and transactions for the preceding calendar year, as follows:
- 1 the total annual dollar amount and number of transactions involving sales to all affiliates;
  - 2 the total annual dollar amount and number of transactions involving purchases from all affiliates;
  - 3 the monthly weighted average total dollar amount of loans to each affiliate outstanding during the year; and 4 the monthly weighted average total dollar amount of loans from each affiliate outstanding during the year.
- 2.1.11 A distributor shall provide in the form and manner required by the Board, annually, by April 30, a list of retailers who have service agreements with the distributor at the end of the preceding calendar year. The list shall indicate the type(s) of billing option(s) (retailer consolidated, distributor consolidated or split) and the service agreement reference number.

### **2.2 Certification**

- 2.2.1 A distributor which is not a municipal utility shall provide in the form and manner required by the Board, annually, by April 30, a self-certification statement on director independence described in the Affiliate Relationships Code for Electricity Distributors and Transmitters subsection 2.1.3, signed by both the chief executive officer and the senior regulatory officer or other senior officer of the utility confirming that at least one-third of the utility's Board of Directors was independent from any affiliate during the preceding calendar year. A distributor which is a municipal utility shall provide this statement for the years beginning from January 1, 2004 as provided for in the Affiliate Relationships Code for Electricity Distributors and Transmitters subsection 2.1.4.
- 2.2.2 Where a distributor shares information services with an affiliate the distributor shall provide in the form and manner required by the Board, annually, by April 30, a self-certification statement

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on data security arrangements, signed by both the chief executive officer and the senior information technology officer or other senior officer of the utility confirming compliance with the access protocols and the services agreement during the preceding calendar year referenced in the Affiliate Relationships Code for Electricity Distributors and Transmitters subsection 2.2.2.

- 2.2.3 A distributor shall provide in the form and manner required by the Board, annually, by April 30, a self-certification statement signed by both the chief executive officer and the senior regulatory officer or other senior officer of the utility confirming that in ensuring compliance with the Affiliate Relationships Code for Electricity Distributors and Transmitters subsection 2.7.1 during the preceding calendar year, the utility has:
- 1 performed periodic compliance reviews;
  - 2 communicated the Affiliate Relationships Code for Electricity Distributors and Transmitters to its employees;
  - 3 monitored its employees' compliance with the Affiliate Relationships Code for Electricity Distributors and Transmitters; and
  - 4 that they are satisfied the utility has complied with the Affiliate Relationships Code for Electricity Distributors and Transmitters.

### **2.3 *Record Keeping***

- 2.3.1 A distributor shall maintain records of all written complaints by consumers and other market participants regarding services provided under the terms of the distributor's licence and responses for a period of two years and provide the following information, in a form and manner and at such times as may be requested by the Board:
- 1 the name and address of the existing or prospective consumer;
  - 2 a description of the nature of the complaint including a copy of the written complaint;
  - 3 a description of the remedial action taken; and
  - 4 a copy of any correspondence received and/or sent with respect to each specific complaint.
- 2.3.2 A distributor shall maintain records and provide in a form and manner and at such times as may be requested by the Board, the uniform system of accounts balances mapped and reconciled to the audited financial statements.
- 2.3.3 A distributor shall maintain and provide in a form and manner and at such times as may be requested by the Board, records of detailed economic evaluations of expansion projects



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required in the Distribution System Code subsection 3.2.1, used to determine whether the future revenue from customers will pay for the capital cost and on-going maintenance costs of each expansion project. The records are to be retained for two years beyond the end of the customer connection horizon specified in appendix B to the Distribution System Code.

- 2.3.4 A distributor shall maintain, as required by the Affiliate Relationships Code for Electricity Distributors and Transmitters subsection 2.8.2, and provide in a form and manner and at such times as may be requested by the Board, records on corporate relationships as follows:
- 1 a list of all affiliates with whom the utility transacts, including business addresses, a list of the officers and directors, and a description of the affiliate's business activity;
  - 2 a corporate organization chart indicating relationships and ownership percentages; and
  - 3 the utility's specific costing and transfer pricing guidelines, tendering procedures and services agreement(s).
- 2.3.5 Where the total cost of all transactions with a particular affiliate exceeds \$100,000 on an annual basis, a distributor shall maintain, as required by the Affiliate Relationships Code for Electricity Distributors and Transmitters subsection 2.8.3, and provide in a form and manner and at such times as may be requested by the Board, separate records showing:
- 1 the name of the affiliate;
  - 2 the product or service in question;
  - 3 the dollar value of each transaction and the form of price or cost determination; and
  - 4 the date of each transaction and/or the start and completions date for project- type transactions.
- 2.3.6 Where a distributor shares information services with an affiliate the distributor shall maintain and provide in a form and manner and at such times as may be requested by the Board, separate records substantiating the review(s) complying with the provisions of section 5900 of the CICA Handbook referenced in the Affiliate Relationships Code for Electricity Distributors and Transmitters subsection 2.2.2, to ensure compliance with the access protocols and the services agreement.
- 2.3.7 A distributor shall maintain and provide in a form and manner and at such times as may be requested by the Board, records substantiating the self-certification statement confirming compliance with the Affiliate Relationships Code for Electricity Distributors and Transmitters subsection 2.7.1, including:
- 1 individual files for each compliance review containing working papers substantiating the compliance review report;

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- 2 details as to when the Affiliate Relationships Code for Electricity Distributors and Transmitters was communicated to its employees - date, what was communicated, to whom it was communicated, other pertinent information; and
  - 3 details on the positions and/or staff being monitored, when, how and frequency.
- 2.3.8 A distributor shall file with the Board, on request, copies of service agreements with retailers.
- 2.3.9 A distributor shall maintain and provide in a form and manner and at such times as may be requested by the Board, records of both annual summary reports of detailed patrol inspection activities of the condition of the distribution system that have taken place during the previous year as well as an outline of inspection plans (compliance plans) for the next year, as described in the Distribution System Code appendix C, section C.1.
- 2.3.10 A distributor shall provide in a form and manner and at such times as may be requested by the Board, such documents as have been created by the distributor in accordance with the requirements of the Distribution System Code subsection 5.3.7, documenting the inspection program for complex (polyphase) metering installations, and details of each inspection and its results.

### **3 TRANSMITTER**

#### ***3.1 Reporting***

- 3.1.1 A transmitter shall provide in the form and manner required by the Board, quarterly, on the last day of the month following the quarter end, balances of all deferral/variance accounts, their related sub-accounts and associated information.
- 3.1.2 A transmitter shall provide in the form and manner required by the Board, annually, by April 30, information on affiliate arrangements and transactions for the preceding calendar year, as follows:
- 1 the total annual dollar amount and number of transactions involving sales to all affiliates;
  - 2 the total annual dollar amount and number of transactions involving purchases from all affiliates;
  - 3 the monthly weighted average total dollar amount of loans to each affiliate outstanding during the year; and
  - 4 the monthly weighted average total dollar amount of loans from each affiliate outstanding during the year.

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### **3.2 Certification**

- 3.2.1 A transmitter which is not a municipal utility shall provide in the form and manner required by the Board, annually, by April 30, a self-certification statement on director independence described in the Affiliate Relationships Code for Electricity Distributors and Transmitters subsection 2.1.3, signed by both the chief executive officer and the senior regulatory officer or other senior officer of the utility confirming that at least one-third of the utility's Board of Directors was independent from any affiliate during the preceding calendar year. A transmitter which is a municipal utility shall provide this statement for the years beginning from January 1, 2004 as provided for in the Affiliate Relationships Code for Electricity Distributors and Transmitters subsection 2.1.4.
- 3.2.2 Where a transmitter shares information services with an affiliate the transmitter shall provide in the form and manner required by the Board, annually, by April 30, a self-certification statement on data security arrangements, signed by both the chief executive officer and the senior information technology officer or other senior officer of the utility confirming compliance with the access protocols and the services agreement during the preceding calendar year referenced in the Affiliate Relationships Code for Electricity Distributors and Transmitters subsection 2.2.2.
- 3.2.3 A transmitter shall provide in the form and manner required by the Board, annually, by April 30, a self-certification statement signed by both the chief executive officer and the senior regulatory officer or other senior officer of the utility confirming that in ensuring compliance with the Affiliate Relationships Code for Electricity Distributors and Transmitters subsection 2.7.1 during the preceding calendar year, the utility has:
- 1 performed periodic compliance reviews;
  - 2 communicated the Affiliate Relationships Code for Electricity Distributors and Transmitters to its employees;
  - 3 monitored its employees' compliance with the Affiliate Relationships Code for Electricity Distributors and Transmitters; and
  - 4 that they are satisfied the utility has complied with the Affiliate Relationships Code for Electricity Distributors and Transmitters.

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### ***3.3 Record Keeping***

- 3.3.1 A transmitter shall maintain and provide in a form and manner and at such times as may be requested by the Board, records of all requests made for connection to the transmitter's transmission system and their eventual disposition, including any system adequacy studies conducted by the IMO as required by the transmission licence.
- 3.3.2 Transmitters shall maintain and provide in a form and manner and at such times as may be requested by the Board, records of the detailed economic evaluations of projects requiring capital contribution, loan guarantees, or other financial arrangements related to new or modified connections between the transmitter and the customer, as required by the Transmission System Code subsection 9.7. All such economic evaluations shall be consistent with the methodology set out in section 9 and Appendices 4 and 5 of the Transmission System Code. These detailed economic evaluations shall be submitted to the Board on request. Each record must show the details of the economic evaluation, including justification for all the study parameters including, but not limited to, the economic study horizon, the project capital costs, the ongoing operation and maintenance costs, and the project incremental cost of capital.
- 3.3.3 A transmitter shall maintain, as required by the Affiliate Relationships Code for Electricity Distributors and Transmitters subsection 2.8.2, and provide in a form and manner and at such times as may be requested by the Board, records on corporate relationships as follows:
- 1 a list of all affiliates with whom the utility transacts, including business addresses, a list of the officers and directors, and a description of the affiliate's business activity;
  - 2 a corporate organization chart indicating relationships and ownership percentages; and
  - 3 the utility's specific costing and transfer pricing guidelines, tendering procedures and services agreement(s).
- 3.3.4 Where the total cost of all transactions with a particular affiliate exceeds \$100,000 on an annual basis, a transmitter shall maintain, as required by the Affiliate Relationships Code for Electricity Distributors and Transmitters subsection 2.8.3, and provide in a form and manner and at such times as may be requested by the Board, separate records showing:
- 1 the name of the affiliate;
  - 2 the product or service in question;
  - 3 the dollar value of each transaction and the form of price or cost determination; and
  - 4 the date of each transaction and/or the start and completion dates for project-type transactions.
- 3.3.5 Where a transmitter shares information services with an affiliate the transmitter shall maintain and provide in a form and manner and at such times as may be requested by the Board, separate

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records substantiating the review(s) complying with the provisions of section 5900 of the CICA Handbook referenced in the Affiliate Relationships Code for Electricity Distributors and Transmitters subsection 2.2.2, to ensure compliance with the access protocols and the services agreement.

- 3.3.6 A transmitter shall maintain and provide in a form and manner and at such times as may be requested by the Board, records substantiating the self-certification statement confirming compliance with the Affiliate Relationships Code for Electricity Distributors and Transmitters subsection 2.7.1, including:
- 1 individual files for each compliance review containing working papers substantiating the compliance review report;
  - 2 details as to when the Affiliate Relationships Code for Electricity Distributors and Transmitters was communicated to its employees - date, what was communicated, to whom it was communicated, other pertinent information; and
  - 3 details on the positions and/or staff being monitored, when, how and frequency.
- 3.3.7 A transmitter shall maintain and provide in a form and manner and at such times as may be requested by the Board, records of all transmission circuit trips coincident with telecommunication failures described in the Transmission System Code subsection 8.1.9.

## **4 RETAILER**

### ***4.1 Reporting***

- 4.1.1 A retailer shall provide in the form and manner required by the Board, quarterly, on the last day of the month following the period end, a summary of market monitoring information, which would include:
- 1 name of retailer;
  - 2 number of consumers with signed contracts by distributor for each major market segment (i.e. residential, commercial and industrial); and
  - 3 simple average length of consumer contracts (i.e. not energy or consumer weighted) and their range (shortest and longest duration) for each major market segment (i.e. residential, commercial and industrial).

Retailers licensed to act as an agent only, are exempt from this requirement.

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### ***4.2 Record Keeping***

- 4.2.1 A retailer with customers who are residential or small business consumers using less than 150,000kWh annually, shall maintain for a period of two years and provide in a form and manner and at such times as may be requested by the Board, records of all written complaints by consumers and other market participants regarding services provided under the terms of the retailer's licence and responses, containing the following information:
- 1 the name and address of the existing or prospective consumer;
  - 2 a description of the nature of the complaint including a copy of the written complaint;
  - 3 a description of the remedial action taken; and
  - 4 a copy of any correspondence received and/or sent with respect to each specific complaint. Retailers licensed to act as agent only, are exempted from this requirement.
- 4.2.2 A retailer shall maintain for a period of two years or two years beyond the end of the contract for items 3, 4, 5 and 6, and provide in a form and manner and at such times as may be requested by the Board, records of sales personnel and customer information as referenced by the Electricity Retailer Code of Conduct subsection 2.3 containing the following information:
- 1 a list of its salespersons including their name and agent number where applicable;
  - 2 a list of its contracted customers;
  - 3 permission from each customer, in writing, to submit a request to a distributor to allow the electricity retailer to supply electricity to the customer;
  - 4 a contract with each customer, with the customer's signature, to purchase electricity from the electricity retailer;
  - 5 for contracts entered on or after July 1, 2002, the notice of reaffirmation of the contract by the customer; and 6 for contracts renewed or extended on or after August 1, 2002, the notice of acceptance of the renewal or extension from the customer.
- 4.2.3 A retailer with customers who are residential or small business consumers using less than 150,000kWh annually, shall maintain for a period of two years and provide in a form and manner and at such times as may be requested by the Board, records of staff training material containing the following information:
- 1 training manuals and other print material;
  - 2 training videos;
  - 3 codes of conduct;
  - 4 newsletters, bulleting, updates, circulars, notices, instruction sheets and other similar materials;
  - 5 scripts used for door-to-door solicitation of existing or prospective customers; and

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- 6 certification by each sales employee and sales agent that the training has been received and that the person is familiar with, and will abide by, the Electricity Retailer Code of Conduct.
- 4.2.4 A retailer with customers who are residential or small business consumers using less than 150,000kWh annually, shall maintain for a period of two years and provide in a form and manner and at such times as may be requested by the Board, marketing information containing the following:
- 1 offers (defined as a proposal to enter into a contract, agency agreement, or any other agreement or combination thereof, made to an existing or prospective consumer), including hard copies of Web pages containing offers;
  - 2 promotional material including pamphlets, brochures, bill inserts, coupons and flyers;
  - 3 application/ registration forms;
  - 4 form letters sent to existing and prospective consumers;
  - 5 sample identity cards (including photograph), outerwear, business cards and contact information of sales representatives; and
  - 6 reference material including utility bills, price comparisons with details of price offers and forecasts (of the retailer) and other energy suppliers quoted, shown (or carries so as to be seen) or provided to existing or prospective consumers (records shall be kept for each price change in the reference material).

## **5 WHOLESALER**

### ***5.1 Reporting***

- 5.1.1 A wholesaler shall provide in the form and manner required by the Board, quarterly, on the last day of the month following the period end, a summary of market monitoring information, which would include:
- 1 name of wholesaler;
  - 2 number of consumers with signed contracts by distributor for each major market segment (i.e. commercial and industrial) where consumer is defined as a wholesale licensed party who transacts with another wholesale licensed party;
  - 3 simple average length of consumer contracts (e.g. not energy or consumer weighted) and their range (shortest and longest duration) for each major market segment (i.e. commercial and industrial).

This requirement is for a wholesale licensed party who transacts with another wholesale licensed party. Wholesalers purchasing for their own consumption only are to file an initial return confirming that fact, with an undertaking to notify the Board of any change in status. As

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long as wholesalers are purchasing for their own consumption only, quarterly reporting would not be required.

## 6 GENERATOR

### 6.1 Reporting

6.1.1

*Under Review*

All generators that can be considered to be load displacing (generating for own use) are exempted from the following monitoring requirements. It shall be the obligation of a generator, that is not load displacing, and is an IMO market participant, to authorize the IMO to provide in the form and manner required by the Board a summary of market monitoring information. Generators who are not IMO market participants shall provide in the form and manner required by the Board a summary of market monitoring information.

A generator shall provide in the form and manner required by the Board, by the last day of the second month after implementation and within 10 days of information changes, the following information for each generating station:

- 1 name of generating station;
- 2 name of owner;
- 3 size (installed capacity in MW) and number of units;
- 4 type of generator (such as hydro-electric, natural gas fired, coal fired, oil fired, wind turbine, biomass, photo-voltaic, etc.); indicate whether the facility has been EcoLogo certified by the Federal Environmental Choice Program (Guideline on Renewable Low Impact Electricity);
- 5 address, and if not an IMO market participant, also identify the distributor;
- 6 type of capacity (i.e. baseload, intermediate, and/or peak capacity facilities);
- 7 type of ancillary services generator is selling to IMO, if appropriate;
- 8 type of operating reserves generator is selling to IMO, if appropriate;
- 9 designate facility as dispatchable or non-dispatchable; if a generator designates its facility as non-dispatchable, then it receives the MCP without the need to submit an offer to sell to the IMO;
- 10 connection entity (to IMO-controlled grid or distribution system);
- 11 facility's expected remaining life span by each generation unit.;
- 12 emission constraints (i.e. plant caps and/or overall caps on all owned facilities on NO<sub>x</sub>, SO<sub>2</sub>, CO<sub>2</sub>, and Hg [mercury]); and
- 13 production constraints (e.g. fluctuating water levels may affect hydroelectric plants).



## **ELECTRICITY REPORTING AND RECORD KEEPING REQUIREMENTS**

**(Version dated: July 9, 2007)**

6.1.2 All generators that can be considered to be load displacing (generating for own use) and all generators with a station capacity of less than 25 MW that are not IMO market participants are exempted from the following monitoring requirements. It shall be the obligation of a generator, that is not load displacing, and is an IMO market participant, to authorize the IMO to provide in the form and manner required by the Board a summary of market monitoring information. Generators who are not IMO market participants and have a station capacity of 25 MW or greater shall provide in the form and manner required by the Board a summary of market monitoring information.

A generator shall provide in the form and manner required by the Board, quarterly, on the last day of the month following the period end, a summary of monthly market monitoring information, which would include:

- 1 monthly production levels (actuals in MWh);
- 2 number of units out of service and specify the length of time; and
- 3 monthly capacity factor.