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**Compliance Office**

February 28<sup>th</sup>, 2007

To: All Licensed Electricity Distributors and Transmitters

Re: Guidance for Self-Certifying Compliance with the Affiliate Relationships Code for Electricity Distributors and Transmitters

One of the strategic objectives of the Ontario Energy Board's 2006 – 2009 Business Plan is to enhance public confidence in the Board's regulation through expanded Audit and Compliance programs. To achieve this objective, the Compliance Office has committed to developing tools for self-reporting on compliance.


As part of this key initiative, a Guide has been developed to assist electricity distributors and transmitters ("utilities") in preparing the annual self-certification statements required by the *Electricity Reporting and Record Keeping Requirements* (the "RRR") in relation to compliance with the *Affiliate Relationships Code for Electricity Distributors and Transmitters* (the "Code"). This Guide was developed in consultation with representatives of a number of electricity distributors and is available from the Board's website at [www.oeb.gov.on.ca](http://www.oeb.gov.on.ca).

The Guide reflects the current provisions of the Code as well as guidance provided to date in relation to the application of the Code as set out in applicable Compliance Bulletins. The Guide will be updated from time to time as required to reflect any changes to the Code or future guidance on the Code that may be provided through the Compliance Office.

As noted in the Guide, use of the Guide is not mandatory, and utilities are not expected to file with the Board completed copies of the questionnaires contained in the Guide when they file their self-certification statements. However, utilities are reminded that, in accordance with sections 2.3.7 (for distributors) and 3.3.6 (for transmitters) of the RRR, they must maintain and be able to provide, on request, records substantiating the self-certification statement confirming compliance with the Code as well as other records relating to the Code.

The Guide has been prepared for the assistance of utilities, and utilities are encouraged to provide feedback on ways in which the Guide can be improved or refined. These comments will be considered when preparing any revised versions of the Guide for subsequent calendar years.

Please direct any questions or comments regarding the Code, the RRR or the Guide to the Market Participant Hotline at 416 440 7602 or email at [market.operations@oeb.gov.on.ca](mailto:market.operations@oeb.gov.on.ca).

A handwritten signature in black ink, appearing to be 'BH', with a long horizontal line extending to the right.

Brian Hewson  
Chief Compliance Officer  
Compliance Office

No statutory power of decision has been delegated to the Chief Compliance Officer, and the views expressed in this Guide are not binding on the Board. The Chief Compliance Officer may seek enforcement action by the Board under Part VII.1 of the *Ontario Energy Board Act, 1998* in relation to non-compliance.