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## Attachment A

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**ELECTRICITY REPORTING & RECORD KEEPING REQUIREMENTS**  
Version dated ~~March 7, 2012~~ January 1, 2013

# ELECTRICITY REPORTING AND RECORD KEEPING REQUIREMENTS

Version dated ~~March 7, 2012~~ January 1, 2013

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# ELECTRICITY REPORTING AND RECORD KEEPING REQUIREMENTS

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## 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 codes, individual licences or regulatory instruments specific to a licensee (for example, in a rate order).

### 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);

“Board” means the Ontario Energy Board;

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

~~“HOEP” means Hourly Ontario Energy Price;~~

“IESO” means the Independent Electricity System Operator;

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

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

“RPP” means the “Regulated Price Plan”, being the rates for commodity set by the Board from time to time under section 79.16 of the Act in accordance with the Standard Supply Service Code;

“SSS” means “standard supply service”, being the manner in which a distributor must fulfill its obligation to sell electricity under section 29 of the *Electricity Act, 1998*, including by giving or to give effect to RPP rates determined by the Board;

“transmitter” means a person who owns or operates a transmission system 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; and

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~~“WAHSP” means the weighted average hourly spot market price referred to in section 3.2.1 of the Standard Supply Service Code.~~

## 1.3 Interpretation and Computation of Time

Unless otherwise defined in these Electricity Reporting and Record Keeping Requirements, words and phrases 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.

If the time for doing an act under these Electricity Reporting and Record Keeping Requirements expires on a day that is not a business day, the act may be done on the next day that is a business day. For this purpose, a “business day” means any day that is not a Saturday, a Sunday or a legal holiday in the Province of Ontario.

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

These Electricity Reporting and Record Keeping Requirements apply to all electricity distributors, transmitters and retailers licensed by the Board under Part V of the Act and to the IESO. All licensed distributors, transmitters and retailers and the IESO are obligated to comply with these 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

Licensed transmitters, distributors and retailers and the IESO shall report and record information under these Electricity Reporting and Record Keeping requirements in the manner and form 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 31. 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 and including December.

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## 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~~ publicly available.

- Distributor: 2.1.2 (b); 2.1.2 (c) and 2.1.2(d) to the extent that the information pertains to retailer customers; ~~2.1.3 (b)~~; 2.3.1; 2.3.3; 2.3.5 (c), 2.3.5 (d); 2.3.6; 2.3.7; and 2.3.8
- Transmitter: 3.3.2; 3.3.4 (c and d); 3.3.5; and 3.3.6
- Retailer: 4.1.1; 4.1.2; 4.2.1; 4.2.2; 4.2.3; and 4.2.4

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

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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 second month following the quarter end, balances of all deferral/ variance accounts referred to in the Accounting Procedures Handbook for Electric Distribution Utilities, their related sub-accounts and associated information required by the Accounting Procedures Handbook for Electric Distribution Utilities.

2.1.2 A distributor shall provide in the form and manner required by the Board, quarterly, by the end of the second month following the quarter end, a summary of the following market monitoring information:

1. For filings due on or before April 30, 2013, filings shall be in accordance with section 2.1.2 as it read in the March 7, 2012 version of this document.

2. For filings due after April 30, 2013:

a) Total number of ~~consumers~~ ~~customers~~ on SSS for each rate class subdivided by (i) ~~consumers paying the HOEP or WAHSP~~, (ii) ~~consumers paying customers on the two-tiered RPP price referred to in section 3.3 of~~, broken down as required by (g) below if applicable; and (ii) ~~customers not on the Standard Supply Service Code~~, and (iii) ~~consumers paying the time-of-use RPP price referred to in section 3.4 of the Standard Supply Service Code~~, at the end of the preceding quarter;

a)b) The number of wholesale market participants connected to the distributor's distribution system, at the end of the preceding quarter;

c) For each of the first three quarters of the year, total number of ~~consumers~~ ~~customers~~ successfully enrolled with ~~a retailer~~ ~~retailers~~ (completed enrollments accepted by the distributor for flow only) at the end of ~~the~~ ~~preceding~~ ~~each~~ quarter, broken down by rate class;

b)d) For the last quarter of the year, total number of customers successfully enrolled with ~~retailers~~ (completed enrollments accepted by the distributor for flow only) at the end of that quarter, broken down by individual retailer and ~~for~~ ~~each~~ ~~by~~ rate class;

e)e) For ~~each of~~ (a) ~~and~~ (b) above, by rate class, the total number of properties or complexes for which a declaration has been filed with the distributor under section 3.3.4 of the Standard Supply Service Code; ~~and~~

a) For each property or complex referred to in (e) above, the total number of units identified in the declaration.—

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~~d)f) Distributors who are not connected to the IESO-controlled grid, and are exempted from subsection 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, by Where, at the end of the second month following the a given quarter end, the following market monitoring information for the preceding quarter:~~

- ~~a) Total billed energy sales in kWhs for each rate class sub-divided by (i) consumers, less than 98% of customers on SSS paying the HOEP or WAHSP, (ii) consumers on SSS paying the two-tiered the RPP price referred to in section 3.3 of the Standard Supply Service Code, and (iii) consumers on SSS were paying the time-of-use RPP price referred to in section 3.4 of the Standard Supply Service Code;~~
- ~~b) For each retailer, billed energy sales in kWhs, for each rate class; and~~
- ~~e)g) Total sales volumes in kWhs for each, the information referred to in item (i) of (a) above that is reported for that quarter shall be broken down to show the number of: street lighting (as defined in the distributor's Board-approved tariff customers on time-of-rates and charges) and sentinel lighting (as defined in the distributor's Board-approved tariff of rates and charges). use pricing and the number of customers that are not on time-of-use pricing.~~

Distributors ~~wh~~whose rates are not ~~connected to~~set by the IESO-controlled grid and ~~Board~~ are ~~exempted from subsection 26(1) of the *Electricity Act, 1998* are~~ exempted ~~exempt~~ from this reporting requirement.

**2.1.3 Filings shall be in accordance with section 2.1.3 as it reads in the March 7, 2012 version of this document for filings due on or before April 30, 2013. No filings are thereafter required under this section.**

**2.1.4 A distributor shall provide, in the form and manner required by the Board, annually, by April 30, the information set out in sections 2.1.4.1 and 2.1.4.2 measuring its performance for the preceding calendar year for each of the service quality requirements set out in the Distribution System Code and for each of the system reliability indicators listed below.**

## **2.1.4.1 Reporting on Service Quality Requirements**

2.1.4.1.1 In respect of the service quality requirement for the "Connection of New Services" referred to in section 7.2 of the Distribution System Code:

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- a) Total number of new low voltage services connected in each month;
- b) Number of new low voltage services connected in each month for which the service quality requirement set out in section 7.2 of the Distribution System Code was met;
- c) Percentage of (b) with respect to (a);
- d) Total number of new high voltage services connected in each month;
- e) Number of new high voltage services connected in each month for which the service quality requirement set out in section 7.2 of the Distribution System Code was met; and
- f) Percentage of (e) with respect to (d).

2.1.4.1.2 In respect of the service quality requirement for “Appointment Scheduling” as set out in section 7.3 of the Distribution System Code:

- a) Total number of appointments described in section 7.3 of the Distribution System Code requested in each month;
- b) Number of appointments in each month for which the service quality requirement set out in section 7.3 of the Distribution System Code was met; and
- c) Percentage of (b) with respect to (a).

2.1.4.1.3 In respect of the service quality requirement for “Appointments Met” as set out in section 7.4 of the Distribution System Code:

- a) Total number of appointments described in section 7.4 of the Distribution System Code requested or required in each month;
- b) Number of appointments in each month for which the service quality requirement set out in section 7.4 of the Distribution System Code was met; and
- c) Percentage of (b) with respect to (a).

2.1.4.1.4 In respect of the service quality requirement for “Rescheduling a Missed Appointment” as set out in section 7.5 of the Distribution System Code:

- a) Total number of missed appointments described in section 7.5 of the Distribution System Code in each month;
- b) Number of missed appointments in each month for which the service quality requirement set out in section 7.5 of the Distribution System Code was met; and
- c) Percentage of (b) with respect to (a).



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- 2.1.4.1.5 In respect of the service quality requirement for “Telephone Accessibility” as set out in section 7.6 of the Distribution System Code:
- a) Total number of qualified incoming calls in each month;
  - b) Number of qualified incoming calls in each month for which the service quality requirement set out in section 7.6 of the Distribution System Code was met; and
  - c) Percentage of (b) with respect to (a).
- 2.1.4.1.6 In respect of the service quality requirement for “Telephone Call Abandon Rate” set out in section 7.7 of the Distribution System Code:
- a) Total number of qualified incoming calls in each month;
  - b) Number of qualified incoming calls in each month that were abandoned before they were answered as described in section 7.7.2 of the Distribution System Code; and;
  - c) Percentage of (b) with respect to (a).
- 2.1.4.1.7 In respect of the service quality requirement for “Written Responses to Enquiries” as set out in section 7.8 of the Distribution System Code:
- a) Total number of qualified enquiries received in each month;
  - b) Number of qualified enquiries in each month for which the service quality requirement set out in section 7.8 of the Distribution System Code was met; and
  - c) Percentage of (b) with respect to (a).
- 2.1.4.1.8 In respect of the service quality requirement for “Emergency Response” as set out in section 7.9 of the Distribution System Code:
- a) Total number of emergency calls received in each month;
  - b) Number of emergency calls in each month for which the service quality requirement set out in section 7.9 of the Distribution System Code was met; and
  - c) Percentage of (b) with respect to (a)
- 2.1.4.1.9 In respect of the service quality requirement for “Reconnection Performance Standards” as set out in section 7.10 of the Distribution System Code;
- a) Total number of reconnections in each month;
  - b) Number of reconnections in each month for which the service quality requirement as set out in section 7.10 of the Distribution System Code was met; and
  - c) Percentage of (b) with respect to (a)

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## 2.1.4.2 Reporting on System Reliability Indicators

The following apply for the purposes of applying and reporting on the application of each of the three system reliability indicators set out below:

1. In calculating the duration of an interruption the start of the interruption shall be considered to have occurred on the earlier of:
  - a) The time at which the distributor received a communication from a customer reporting the interruption; or
  - b) The time at which the distributor otherwise determined that the interruption occurred.
2. The “total number of customers served” by a distributor is the average number of customers served in the distributor’s licensed service area during the month, calculated by adding the total number of customers (accounts) served at the beginning of the month and the total number of customers (accounts) served at the end of the month and dividing by two.

Bulk metered buildings with individual smart sub-metering installations shall be counted as a single customer, provided that the smart sub-metering system is not operated by the distributor and that such customers are not billed by the distributor. Unmetered scattered load customers should not be included in the customer count.
3. “interruption” means the loss of electrical power, being a complete loss of voltage, to one or more customers, including interruptions scheduled by the distributor but excluding part power situations, outages scheduled by a customer, interruptions by order of emergency services, disconnections for non-payment or power quality issues such as sags, swells, impulses or harmonics.
4. “Momentary interruption” means an interruption of less than one minute.
5. “Sustained interruption” means an interruption of one minute or more.

### 2.1.4.2.1 **System Average Interruption Duration Index (SAIDI)**

SAIDI is an indicator of system reliability that expresses the length of interruptions that customers experience in a year on average. All planned and unplanned sustained interruptions should be used to calculate this index.

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SAIDI is defined as the total customer-hours of sustained interruptions normalized per customer served and is expressed as follows:

$$\text{SAIDI} = \frac{\text{Total Customer-Hours of Sustained Interruptions}}{\text{Total Number of Customers Served}}$$

A distributor is required to monitor this index monthly and to report to the Board the following information for each month of the year:

- a) Total customer-hours of sustained interruptions in each month;
- b) Total number of customers served in each month; and
- c) SAIDI, being (a)/ (b).

## 2.1.4.2.2 **SAIDI (Code 2 Outages)**

This indicator adjusts SAIDI for the effects of outages caused by a loss of supply, and is calculated in the same way as described in section 2.1.4.2.1, except that the total customer-hours of sustained interruptions caused by a loss of supply is deducted from the total customer-hours of sustained interruptions.

A distributor is required to monitor this index monthly and to report to the Board the following information for each month of the year:

- a) Total customer-hours of sustained interruptions in each month;
- b) Total customer-hours of sustained interruptions in each month caused by a loss of supply;
- c) Total number of customers served in each month; and
- d) Adjusted SAIDI, being ((a) - (b))/(c).

## 2.1.4.2.3 **System Average Interruption Frequency Index (SAIFI)**

SAIFI is an indicator of the average number of sustained interruptions each customer experiences. All planned and unplanned sustained interruptions should be used to calculate this index.

SAIFI is defined as the number of sustained interruptions normalized per customer served, and is expressed as follows:

$$\text{SAIFI} = \frac{\text{Number of Sustained Interruptions for all Customers}}{\text{Total Number of Customers Served}}$$

A distributor is required to monitor this index monthly and to report to the Board the following information for each month of the year:

- a) Total number of sustained interruptions in each month;
- b) Total number of customers served in each month; and

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c) SAIFI, being (a)/ (b).

## 2.1.4.2.4 **SAIFI (Code 2 Outages)**

This indicator adjusts SAIFI for the effects of outages caused by a loss of supply, and is calculated in the same way as described in section 2.1.4.2.3, except that the total number of interruptions caused by a loss of supply is deducted from the total number of customer interruptions.

A distributor is required to monitor this index monthly and to report to the Board the following information for each month of the year:

- a) Total number of sustained interruptions in each month;
- b) Total number of sustained interruptions in each month caused by a loss of supply;
- c) Total number of customers served in each month; and
- d) Adjusted SAIFI, being ((a) - (b))/(c).

## 2.1.4.2.5 **Customer Average Interruption Duration Index (CAIDI)**

CAIDI is an indicator of the speed at which power is restored. All planned and unplanned sustained interruptions should be used to calculate this index.

CAIDI is defined as the number of sustained interruptions normalized per customer served, and is expressed as follows:

$$\text{CAIDI} = \frac{\text{Customer-hours of Sustained Interruptions for all Customers}}{\text{Number of Sustained Interruptions for all Customers}}$$

A distributor is required to monitor this index monthly and to report to the Board the following information for each month of the year:

- a) Total customer-hours of sustained interruptions in each month;
- b) Total number of sustained interruptions in each month; and
- c) CAIDI, being (a)/ (b).

## 2.1.4.2.6 **CAIDI (Code 2 Outages)**

This indicator adjusts CAIDI for the effects of outages caused by a loss of supply.

A distributor is required to monitor this index monthly and to report to the Board the following information for each month of the year:

- a) SAIDI (Code 2 Outages) as calculated in accordance with section 2.1.4.2.2;

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- b) SAIFI (Code 2 Outages) as calculated in accordance with section 2.1.4.2.4; and
- c) Adjusted CAIDI, being (a)/ (b).

## 2.1.4.2.7 *Momentary Average Interruption Frequency Index (MAIFI)*

MAIFI is an indicator of the average number of momentary interruptions each customer experiences. All planned and unplanned momentary interruptions should be used to calculate this index.

MAIFI is defined as the number of momentary interruptions normalized per customer served, and is expressed as follows:

$$\text{MAIFI} = \frac{\text{Number of Momentary Interruptions for all Customers}}{\text{Total Number of Customers Served}}$$

A distributor is required to monitor this index monthly and to report to the Board the following information for each month of the year:

- a) Total number of momentary interruptions in each month;
- b) Total number of customers served in each month; and
- c) MAIFI, being (a)/ (b).

Distributors that do not have the systems capability that enables them to capture or measure MAIFI are exempted from this reporting requirement.

**2.1.5 A distributor shall provide in the form and manner required by the Board, annually, by April 30, the information set out in sections 2.1.5.1 to 2.1.5.6 related to performance based regulation for the preceding calendar year.**

### ~~2.1.5.1 Labor~~

1. For filings due on or before April 30, 2013, filings shall be in accordance with section 2.1.5 as it reads in the March 7, 2012 version of this document.

2. For filings due after April 30, 2013:

### 2.1.5.1 Labour

- a) Average Line Crew Wage Rate;
- b) New Line Crew Wage Rate;
- c) New Line Crew Wage Rate effective date;
- d) Full time equivalent number of employees;
- e) ~~Average number of~~ For employees ~~for the year~~ whose earnings are charged to current operating expenses (~~Operation- (Administrative, operating and maintenance, Administration);~~);

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- ~~f) Salaries and Wages charged to current operating expenses, in dollars;~~
  - i. Average number of such employees for the year; and
  - ii. Total salaries and wages for those employees;
- ~~g) For employees whose earnings are charged to capital costs added to fixed assets; and new construction:~~
- ~~h) Employee Salaries and Wages charged to capital costs added to fixed assets, in dollars.~~
  - i. Average number of such employees for the year; and
  - ii. Total salaries and wages for those employees

The following rules apply for the purposes of this section: (i) report only in relation to employees and earnings associated with the utility (for example, excluding contractor staff and employees of affiliates); (ii) report salaries and wages on the basis of gross earnings, including income tax, health insurance or employment insurance deductions, and should include all bonuses, overtime payments and the value of room and board where provided; (iii) include salary and wages paid to part-time employees; and (iv) report the total number of employees on a full-time equivalent basis.

The information referred to in (e) and (f) above is being collected on behalf of, and for purposes of communication to, Statistics Canada. See the 2008 Agreement Concerning the Disclosure of Energy Information by the Ontario Energy Board to Statistics Canada between the Board and Statistics Canada, available on the Board's website at [http://www.ontarioenergyboard.ca/documents/tools/efiling/statscan\\_signed\\_agreement\\_2008.pdf](http://www.ontarioenergyboard.ca/documents/tools/efiling/statscan_signed_agreement_2008.pdf).

## 2.1.5.2 Capital

- a) Gross Capital Additions, in dollars, and the following components of Gross Capital Additions (each in dollars):
  - i. Capital works:
  - ii. Employee labor including benefits
  - iii. Equipment and Materials
  - iv. Overhead
  - v. Carrying Charges
- b) Retirements (gross capital cost removed from fixed assets), in dollars; and
- c) Contributed Capital, in dollars;

## 2.1.5.3 Supply and Delivery Information

For the purposes of this section, all kWhs other than in relation to distribution losses shall be reported based on a reading of the applicable meter, without being grossed up for loadloss factor.

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- a) Supply:
- i. Total kWhs of electricity that has flowed into the distributor's distribution system from the IESO-controlled grid or the distribution system of a host distributor; and
  - ii. Total kWhs of electricity that has flowed into the distributor's distribution system from all embedded generation facilities; ~~and.~~
  - ~~vi. Number of wholesale meters pertaining to the utility located on the primary side of the supply transformers.~~
- b) Delivery: Total kWhs of electricity delivered to all customers in the distributor's licensed service area and to any embedded distributors; ~~;~~
- ~~i. Total kWhs delivered to customers in the Large Use class (as defined in the distributor's Board-approved tariff of rates and charges) or the ST (sub-transmission) class (as defined in the distributor's Board-approved tariff of rates and charges), as applicable;~~
  - ~~ii. Total kWhs delivered to embedded distributors.~~
- c) Distribution losses in kWhs, calculated as the difference between the supply as reported in a(i) and a(ii) above, less delivery as reported in b(i) above.
- d) The dollar amount charged by any host distributor for transmission or low voltage services.

## 2.1.5.4 ~~Customers,~~ Demand and Revenue

### 2.1.5.4.1 ~~Number of~~ Annual consumption (kWhs & kW) for customers ~~at year end~~, broken down as follows:

- a) For customers on SSS, by ~~;~~ rate class, ~~embedded distributors,~~ sub-divided by (i) consumption for customers on the RPP; and (ii) consumption for customers not on the RPP;
  - b) The billed kWhs for wholesale market participants, ~~connections for~~ connected to the distributor's distribution system;
  - c) For customers successfully enrolled with a retailer (completed enrollments accepted by the distributor for flow only), consumption in kWhs, broken down by individual retailer and by rate class; and
  - a)d) Total consumption in kWhs for each of street lighting (as defined in the distributor's Board-approved tariff of rates and charges) and ~~connections for~~ connections and sentinel lighting (connections (both as defined in the distributor's Board-approved tariff of rates and charges).
- ~~a) Annual Consumption (kWhs & kW), broken down by: Rate class, embedded distributors, wholesale market participants, connections for street lighting (as defined in the distributor's Board-approved tariff of rates and charges) and connections for sentinel lighting.~~

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All kWhs and kW's shall be reported based on a reading of the applicable meter, without being grossed up for loss factor.

2.1.5.4.2 Annual Billings (in dollars) broken down by : Rate class, embedded distributors, wholesale market participants, connections for street lighting ~~( and connections for sentinel lighting (both~~ as defined in the distributor's Board-approved tariff of rates and charges) ~~and connections for sentinel lighting (as defined in the distributor's Board-approved tariff of rates and charges).~~

Distributors whose rates are not set by the Board are exempt from this reporting requirement.

## 2.1.5.5 Utility Characteristics

- a) Licensed Service Area (Sq. Kms.) in total, and broken down by rural and urban.
- ~~b) Population within licensed Service Area in total, and broken down by municipal population and seasonal occupancy population.~~
- ~~e)b)~~ Maximum Monthly Peak Load (kW) for each of winter and summer. This is the non-coincident peak reported both inclusive and exclusive of embedded generation.
- ~~d)c)~~ Average Peak Load (kW), reported both inclusive and exclusive of embedded generation.
- ~~e)d)~~ Average Load Factor (kW), reported both inclusive and exclusive of embedded generation.
- ~~f)e)~~ Circuit Kilometers of Line (route kms) in total, and broken down by overhead and underground.
- ~~g)f)~~ Circuit Kilometers of Line (route kms), broken down by 3 phase, 2 phase and single phase.
- ~~h) Number of transformers in total, and broken down by transmission, sub-transmission and distribution.~~
- ~~i)g)~~ Number of Distribution and Transmission Stations in total, ~~and~~ broken down by greater than or equal to 50 kV and less than 50 kV, and the number of transformers at each Station, broken down by those that are greater than or equal to 50 kV and those that are less than 50 kV.

## ~~2.1.5.6 Incentive Rate Mechanism~~

### 2.1.5.6 Regulated Return on Equity (ROE)

~~A distributor whose rates during all or part of the reporting period were set using an incentive rate mechanism~~ shall report, in the form and manner determined by the Board, the regulatory return on equity earned in the preceding fiscal year. The reported return is to be calculated on the same basis as was used in establishing the distributor's base rates.



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2.1.6 A distributor shall 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 format supporting the audited financial statements, for the preceding calendar year. A distributor may, for reporting purposes, include data relating to employee salaries in a similar salary account in the uniform system of accounts in cases where the number of distributor employees is such that separate reporting could result in the disclosure of ~~individuals~~ an individual's salary information.

2.1.8 Commencing on April 30, 2014, a distributor shall provide in the form and manner required by the Board, annually, by April 30, the following information for the preceding calendar year with respect to residential customers and eligible low-income customers:

a) Number of Eligible Low-Income Customer Accounts

i. number of eligible low-income customer accounts at year end.

b) Disconnections for Non-Payment

i. number of residential customer accounts disconnected for non-payment during the course of the year; and

ii. number of eligible low-income customer accounts disconnected for non-payment during the course of the year.

c) Arrears and Arrears Payment Agreements under the Distribution System Code

i. number of residential customer accounts in arrears at year end;

ii. number of eligible low-income customer accounts in arrears at year end;

iii. total dollar amount of arrears for residential customer accounts in arrears at year end;

iv. total dollar amount of arrears for eligible low-income customer accounts in arrears at year end;

v. number of arrears payment agreements entered into during the course of the year with residential customers;

vi. number of arrears payment agreements entered into during the course of the year with eligible low-income customers;

vii. total amount of monies owing under arrears payment agreements entered into during the course of the year with residential customers;

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viii. total amount of monies owing under arrears payment agreements entered into during the course of the year with eligible low-income customers;

ix. number of arrears payment agreements with residential customers that were cancelled during the course of the year due to non-payment; and

x. number of arrears payment agreements with eligible low-income customers that were cancelled during the course of the year due to non-payment.

## d) Write-offs

i. number of residential customer accounts written-off in whole or in part during the course of the year;

ii. number of eligible low-income customer accounts written-off in whole or in part during the course of the year;

iii. total dollar amount of write-offs for residential customer accounts during the course of the year; and

iv. total dollar amount of write-offs for eligible low-income customer accounts during the course of the year.

## e) Equal Billing and Equal Monthly Payment Plans under the Standard Supply Service Code

i. number of residential customer accounts enrolled in equal billing plans at year end;

ii. number of eligible low-income customer accounts enrolled in equal billing plans at year end;

iii. number of residential customer accounts enrolled in equal monthly payment plans at year end; and

iv. number of eligible low-income customer accounts enrolled in equal monthly payment plans at year end.

## f) Security Deposits

i. number of residential customer accounts with security deposits held at year end;

ii. total dollar amount of security deposits held in respect of residential customers at year end;

iii. number of eligible low-income customer accounts with security deposits held at year end; and

iv. total dollar amount of security deposits held in respect of eligible low-income customers at year end.

## g) Load Control Devices

i. number of residential customer accounts where load limiter devices were installed during the course of the year;

ii. number of eligible low-income customer accounts where load limiter devices were installed during the course of the year;

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- iii. number of residential customer accounts where timed load interrupter devices were installed during the course of the year; and
- iv. number of eligible low-income customer accounts where timed load interrupter devices were installed during the course of the year.

For the purposes of this section:

1. reporting on information regarding residential customers shall cover all residential customers, including eligible low-income customers; and
2. the following definitions apply:

“arrears” means an account that is 30 or more days past the minimum payment period as determined according to section 2.6.3 of the Distribution System Code;

“eligible low-income customer” means an eligible low-income electricity customer, as defined in sections 1.2, 1.3.2 and 1.3.3 of the Distribution System Code, Retail Settlement Code or Standard Supply Service Code;

“equal billing plan” means a billing plan where the amount due in each bill is equalized over the course of the billing periods in the year, which may occur on a monthly, bi-monthly or quarterly basis;

“equal monthly payment plan” means a payment plan where an equalized amount is automatically withdrawn from a customer’s account at a financial institution on a monthly basis, followed by a bill on a monthly, bi- monthly or quarterly basis;

“load control device” has the same meaning as set out in the definition section of the Distribution System Code;

“load limiter device” has the same meaning as set out in the definition section of the Distribution System Code;

“timed load interrupter device” has the same meaning as set out in the definition section of the Distribution System Code.

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2.1.9 Intentionally left blank.

~~2.1.8 Intentionally left blank :-~~

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:

- a) For each affiliate with which the distributor has or had an Affiliate Contract for the provision of a service, resource, product or use of asset from the distributor to the affiliate: (i) the name of the affiliate; (ii) the number of Affiliate Contracts with the affiliate; and (iii) the total annual dollar value of all transactions under each such Affiliate Contract;
- b) for each affiliate with which the distributor has or had an Affiliate Contract for the provision of a service, resource, product or use of asset to the distributor from the affiliate: (i) the name of the affiliate; (ii) the number of Affiliate Contracts with the affiliate; and (iii) the total annual dollar value of all transactions under each such Affiliate Contract; and
- c) the highest total dollar value of all financial support to all affiliates outstanding at any time during the reporting period.

For the purposes of this section:

“Affiliate Contract” means a contract between a distributor and an affiliate, and includes a Services Agreement;

“financial support” means any form of financial support to an affiliate, including a loan to, a guarantee of indebtedness of and an investment in the securities of the affiliate; and;

“Services Agreement” means an agreement between a distributor and its affiliate for the purposes of section 2.2 of the Affiliate Relationships Code for Electricity Distributors and Transmitters.

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**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 retailers for whom the type(s) of distributor provides billing option(s) (retailer other than in the form of distributor-consolidated, distributor-consolidated or split) and the service agreement reference number billing.**

~~2.1.12 A distributor shall provide in the form and manner required by the Board, annually, by April 30, reporting on its conservation and demand management activities in the preceding calendar year.~~

2.1.12 Intentionally left blank.

**2.1.13 A distributor shall provide in the form and manner required by the Board, annually, by April 30, the uniform system of account balances mapped and reconciled to the audited financial statements.**

**2.1.14 A distributor shall provide in the form and manner required by the Board, annually, by April 30, the following net metering and embedded generation information for the preceding calendar year:**

- a) Number of Net Metered generators (as defined in the Distribution System Code), broken down by renewable energy source.
- b) Total Installed Capacity (kW) of all net metered generators.
- c) Number of Embedded Generation facilities connected to the distributor's distribution system, excluding those counted in (a) above.
- d) Total Installed Capacity (kW) of the embedded generators referred to in (c) above.

**2.1.15 A distributor shall provide in the form and manner required by the Board, quarterly, on the last day of the second month following the quarter end, for each month in the quarter, the following information:**

- a) For renewable energy generation facilities that have a name-plate rated capacity of greater than 10 kW:
  - i. the number of Connection Impact Assessments ("CIA") completed in the quarter;
  - ii. the total name-plate rated capacity (in kW) of the renewable energy generation facilities for which CIAs were completed as reported under (i) above;
  - iii. of the CIAs completed as reported under (i) above, the number that were completed within the applicable timeline prescribed by Ontario Regulation 326/09 made under the Electricity Act, 1998; and

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- iv. of the number of CIAs completed as reported under (i) above, the number that were not completed within the applicable timeline prescribed by Ontario Regulation 326/09 made under the Electricity Act, 1998.
- b) For renewable energy generation facilities that have a name-plate rated capacity of less than or equal to 10kW:
  - i. the number of Offers to Connect made; and
  - ii. the total name-plate rated capacity (in kW) of the renewable energy generation facilities for which Offers to Connect were made as reported under (i) above.

**2.1.16 A distributor shall provide in the form and manner required by the Board, annually, by April 30, the following information related to the provision of Low-income Energy Assistance program (LEAP) emergency financial assistance ~~in~~ the preceding calendar year:**

- a) LEAP funds, in total and broken down as follows:
  - i. funds provided by the distributor to social agencies for: LEAP emergency financial assistance; ~~and~~
  - ii. unused funds carried forward from the previous year(s); and
  - ~~iii.~~ \_\_\_\_\_ funds received by the distributor's social agency partner(s) from non-distributor sources (i.e., donations) that were earmarked for, and used to top up, the LEAP emergency financial assistance funds.

Funds received by the distributor from a third party or from the distributor's shareholder(s) (i.e., not funded from distribution revenues) as a donation and then provided by the distributor to its social agency partner(s) shall be reported under item (~~ii~~ iii)

Funds received under the terms of the settlement of the class action proceeding regarding late payment penalties should not be included in any of the above.

- b) LEAP funds disbursed, in total and broken down as follows:
  - i. money allocated for agency administration and program delivery;
  - ii. grants provided to the distributor's customers; and
  - iii. grants provided to customers of licensed unit sub-metering providers operating in the ~~distributor's~~ distributor's service area, including the distributor if licensed as such.
- c) The month in which LEAP funds were depleted.
- d) Number of applicants for LEAP emergency financial assistance, in total and broken down as follows:

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- i. applicants that were the distributor's customers; and
  - ii. applicants that were customers of licensed unit sub-metering providers operating in the distributor's service area, including the distributor if licensed as such.
- e) Number of LEAP emergency financial assistance applicants assisted, in total and broken down as follows:
- i. applicants who were approved for and received assistance that were customers of the distributor; and
  - ii. applicants who were approved for and received assistance that were customers of unit sub-metering providers operating in the distributor's service area, including the distributor if licensed as such.
- f) Number of LEAP emergency financial assistance applicants denied, in total and broken down as follows:
- i. applicants that were customers of the distributor and that applied for assistance but were not approved; and
  - ii. applicants that were customers of unit sub-metering providers operating in the distributor's service area, including the distributor if licensed as such, and that applied for assistance but were not approved.
- g) Average grant per accepted applicant assisted, as follows:
- i. average grant amount allocated per applicant, for applicants that were customers of the distributor;
  - ii. average grant amount allocated per applicant, for applicants that were customers of unit sub-metering providers operating in the distributor's service area; including the distributor if licensed as such; and
  - iii. average grant amount allocated per applicant, measured across customers referred to in both (i) and (ii).
- h) Confirmation that the distributor's social agency partner(s) has/have adhered to the processes and requirements set out in the LEAP Emergency Financial Assistance Program Manual.

## 2.2 Certification

~~2.2.1 A distributor 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, signed by both the chief executive officer and the senior regulatory officer or other senior officer of the utility.~~

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~~confirming that at least one-third of the utility's Board of Directors was independent from any affiliate during the preceding calendar year.~~

~~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 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 computer data management and data access protocols and the Services Agreement referenced in the Affiliate Relationships Code for Electricity Distributors and Transmitters during the preceding calendar year.~~

~~2.2.3~~ 2.2.1 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:~~ (a) ~~that in ensuring compliance with the Affiliate Relationships Code for Electricity Distributors and Transmitters 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; and 3) monitored its employees' compliance with the Affiliate Relationships Code for Electricity Distributors and Transmitters; and (b) that they are satisfied~~the chief executive officer of the utility confirming that the chief executive officer is satisfied that 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 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:
- a) The name and address of the complainant;
  - b) A description of the nature of the complaint including a copy of the written complaint;
  - c) A description of the remedial action taken; and
  - d) A copy of any correspondence received and/or sent with respect to each specific complaint.



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**2.3.2 Intentionally left blank.**

**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, detailed records of all economic evaluations conducted to comply with the requirements of by the Distribution System Code. 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 and provide in a form and manner and at such times as may be requested by the Board, records on corporate relationships as follows:**

- a) 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;
- b) A corporate organization chart indicating relationships and ownership percentages; and
- c) The utility's specific costing and transfer pricing guidelines, tendering procedures and all Services Agreement(s). (as defined in the Affiliate Relationships Code for Electricity Distributors and Transmitters).

**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 and provide in a form and manner and at such times as may be requested by the Board, separate records showing:**

- a) The name of the affiliate;
- b) The product, service, resource or use of asset in question;
- c) The dollar value of each transaction and the form of price or cost determination; and
- d) The date of each transaction and/or the start and completion dates 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 all review(s) complying with the provisions of section 5970 of the CICA Handbook referenced in and conducted under the Affiliate Relationships Code for Electricity Distributors and Transmitters.**

**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 referred to in section 2.2.31 confirming compliance with the Affiliate Relationships Code for Electricity Distributors and**

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~~Transmitters, including: individual files for each compliance review containing working papers substantiating the compliance review report.~~

- ~~a) Individual files for each compliance review containing working papers substantiating the compliance review report;~~
- ~~b) 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~~

~~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 Appendix C of the Distribution System Code.**

**2.3.10 Intentionally left blank.**

**2.3.11 A distributor shall maintain and provide in a form and manner and at such times as may be requested by the Board, records on applications for the connection of embedded generation facilities to the distribution system, including connections to distribution systems embedded within the distributor's system, and that information shall include the following in relation to each application:**

- a) The name of the applicant and the date of the applicant's request for a preliminary meeting;

<b>Code</b>	<b>Cause of Interruption</b>
0	<b>Unknown/Other</b> Customer interruptions with no apparent cause that contributed to the outage
1	<b>Scheduled Outage</b> Customer interruptions due to the disconnection at a selected time for the purpose of construction or preventive maintenance
2	<b>Loss of Supply</b> Customer interruptions due to problems in the bulk electricity supply system. For this purpose, the bulk electricity supply system is distinguished from the distributor's system based on ownership demarcation.
3	<b>Tree Contacts</b> Customer interruptions caused by faults resulting from tree contact with energized circuits
4	<b>Lightning</b> Customer interruptions due to lightning striking the distribution system,

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- resulting in an insulation breakdown and/or flash-overs
- 5 **Defective Equipment**  
Customer interruptions resulting from distributor equipment failures due to deterioration from age, incorrect maintenance, or imminent failures detected by maintenance
- 6 **Adverse Weather**  
Customer interruptions resulting from rain, ice storms, snow, winds, extreme temperatures, freezing rain, frost, or other extreme weather conditions (exclusive of Code 3 and Code 4 events)
- 7 **Adverse Environment**  
Customer interruptions due to distributor equipment being subject to abnormal environments, such as salt spray, industrial contamination, humidity, corrosion, vibration, fire, or flowing
- 8 **Human Element**  
Customer interruptions due to the interface of distributor staff with the distribution system
- 9 **Foreign Interference**  
Customer interruptions beyond the control of the distributor, such as those caused by animals, vehicles, dig-ins, vandalism, sabotage, and foreign objects
- b) The proposed generation facility's fuel type, size, and location;
  - c) The dates the applicant is provided with an impact assessment, a capacity allocation, a detailed cost estimate, and an offer to connect;
  - d) The impact assessment, including metering requirements, the detailed cost estimate, and the offer to connect;
  - e) The date the distributor advises any directly connected transmitter or distributor under section 6.2.14A or 6.2.17 of the Distribution System Code;
  - f) The date and reasons for the removal of capacity previously allocated to an applicant; and
  - g) The date the distributor connects the generation facility to its distribution system.

**2.3.12 A distributor shall maintain and provide in a form and manner and at such times as may be requested by the Board, a record of the cause(s) of all interruptions (as defined in section 2.1.4.2) in accordance with the list presented below:**

**2.3.13 A distributor shall record, retain and provide to the Board, on request and in the form and manner required by the Board, information regarding farm stray voltage as set out in the Distribution System Code.**

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## 3 TRANSMITTERS

### 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:**

- a) for each affiliate with which the transmitter has or had an Affiliate Contract for the provision of a service, resource, product or use of asset from the transmitter to the affiliate; (i) the name of the affiliate; (ii) the number of Affiliate Contracts with the affiliate; and (iii) the total annual dollar value of all transactions under each such Affiliate Contract;
- b) for each affiliate with which the transmitter has or had an Affiliate Contract for the provision of a service, resource, product or use of asset from the affiliate to the transmitter: (i) the name of the affiliate; (ii) the number of Affiliate Contracts with the affiliate; and (iii) the total annual dollar value of all transactions under each such Affiliate Contract; and
- c) the highest total dollar value of all financial support to all affiliates outstanding at any time during the reporting period.

For the purposes of this section:

“Affiliate Contract” means a contract between a ~~distributor~~transmitter and an affiliate, and includes a Services Agreement;

“financial support” means any form of financial support to an affiliate, including a loan to, a guarantee of indebtedness of and an investment in the securities of the affiliate; and;

“Services Agreement” means an agreement between a ~~distributor~~transmitter and its affiliate for the ~~purposed~~purposes of section 2.2 of the Affiliate Relationships Code for Electricity Distributors and Transmitters.

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## 3.2 Certification

~~3.2.1 A transmitter 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, 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.~~

~~Where a transmitter shares information services with an affiliate the~~

~~3.2.23.2.1~~ **A 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 that the chief executive officer is satisfied that the utility has complied with the computer data management and data access protocols and the Services Agreement referenced in the Affiliate Relationships Code for Electricity Distributors and Transmitters ~~during the preceding calendar year.~~**

~~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: (a) that in ensuring compliance with the Affiliate Relationships Code for Electricity Distributors and Transmitters 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; and 3) monitored its employees' compliance with the Affiliate Relationships Code for Electricity Distributors and Transmitters; and (b) that they are satisfied the utility has complied with the Affiliate Relationships Code for Electricity Distributors and Transmitters.~~

## 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 customer impact assessments conducted by the transmitter and any system impact assessments conducted by the IESO.**

**3.3.2 A transmitter shall maintain and provide in a form and manner and at such times as may be requested by the Board, detailed records of all economic evaluations conducted to comply with the requirements of the Transmission System Code, including the economic evaluations referred to in sections 6.2.24, 6.3.9 and 6.3.17 of the Transmission System Code. Each record must show the details of the economic evaluation and include,**

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as applicable, the determination of the customer's risk classification and the resulting economic evaluation period, the load forecast, the project capital costs, the ongoing operation and maintenance costs, the project after tax incremental cost of capital, and the justification for all of the study parameters.

**3.3.3 A transmitter shall maintain and provide in a form and manner and at such times as may be requested by the Board, records on corporate relationships as follows:**

- a) 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;
- b) A corporate organization chart indicating relationships and ownership percentages; and
- c) The utility's specific costing and transfer pricing guidelines, tendering procedures and all Services Agreement(s) as defined in the Affiliate Relationships Code for Electricity Distributors and Transmitters).

**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 and provide in a form and manner and at such times as may be requested by the Board, separate records showing:**

- a) The name of the affiliate;
- b) The product, service, resource or use of asset in question;
- c) The dollar value of each transaction and the form of price or cost determination; and
- d) 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 records substantiating all review(s) complying with the provisions of section 5970 of the CICA Handbook referenced in and conducted under the Affiliate Relationships Code for Electricity Distributors and Transmitters.**

**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 referred to in section 3.2.3 confirming compliance with the Affiliate Relationships Code for Electricity Distributors and Transmitters, including: individual files for each compliance review containing working papers substantiating the compliance review report.**

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- ~~a) Individual files for each compliance review containing working papers substantiating the compliance review report;~~
- ~~b) 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~~

~~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 system circuit trips coincident with telecommunication failures described in section 10.1.9 of the Transmission System Code.**

## 4 RETAILERS

### 4.1 Reporting

**4.1.1 A retailer shall provide in the form and manner required by the Board, quarterly, by the last day of the second month following the period end, a summary of the following market monitoring information:**

- a) The total number of customers successfully enrolled (accepted by a distributor for flow), broken down as follows: (i) contracts with less than one year remaining in the term of the contract; (ii) contracts with greater than one year but less than three years remaining in the term of the contract; and (iii) contracts with between three and five years remaining in the term of the contract; and
- b) The number of customers reported for each grouping in section (a) above shall be further broken down as follows: low volume consumers (less than 150,000kWh annually) and high volume consumers (150,000 kWh or more annually).

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

**4.1.2 A retailer shall provide in the form and manner required by the Board, quarterly, on the last day of the second month following the quarter end, a summary of the following market monitoring information for the quarter pertaining to customers who are low volume consumers: (as defined in the Electricity Retailer Code of Conduct):**

- a) Number of salespersons who have successfully enrolled a ~~consumer~~ customer (accepted by a distributor for flow) or successfully renewed a contract;
- b) Number of new enrolments (accepted by a distributor for flow);

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- c) Number of contract renewals;
- d) Marketing Approach Percentages based on new enrolments (accepted by a distributor for flow) and renewed contracts during the reported quarter, broken down by: direct mail, ~~door-to-door~~ in person, telesales, internet sales and other;
- e) Number of consumer complaints;
- f) Retail offers ~~available to consumers~~ accepted by customers that have been successfully enrolled (accepted by a distributor for flow) during the quarter. Details include ~~whether the offer was for low volume or high volume customers~~, the contract length, and all pricing details.

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

## 4.2 Record Keeping

**4.2.1 A retailer with customers who are ~~residential or small business~~ low volume consumers using less than 150,000kWh annually, (as defined in the Electricity Retailer Code of Conduct) 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 market participants regarding services provided under the terms of the retailer's licence and responses, containing the following information:**

- a) The name and address of the complainant;
- b) A description of the nature of the complaint including a copy of the written complaint;
- c) A description of the remedial action taken; and
- d) 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 c), d), e) and f), 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 containing the following information:**

- a) A list of its salespersons including their name and agent number where applicable;
- b) A list of its contracted customers;
- c) Permission from each customer, in writing, to submit a request to a distributor to allow the electricity retailer to supply electricity to the customer;
- d) A contract with each customer, with the customer's signature, to purchase electricity from the electricity retailer;



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- e) For contracts entered on or after July 1, 2002, the notice of reaffirmation of the contract by the customer; and
- f) For contracts renewed or extended for a period of more than one year 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~~ low volume consumers using less than 150,000kWh annually, (as defined in the Electricity Retailer Code of Conduct) 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:**

- a) Training manuals and other print material;
- b) Training videos;
- c) Codes of conduct;
- d) Newsletters, bulletins, updates, circulars, notices, instruction sheets and other similar materials;
- e) Scripts used for door-to-door solicitation of existing or prospective customers; and
- f) 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~~ low volume consumers using less than 150,000kWh annually, (as defined in the Electricity Retailer Code of Conduct) 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:**

- a) 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~~ customer), including hard copies of Web pages containing offers;
- b) Promotional material including pamphlets, brochures, bill inserts, coupons and flyers;
- c) Application/ registration forms;
- d) Form letters sent to existing and prospective ~~consumers~~ customers;
- e) Sample identity cards (including photograph), outerwear, business cards and contact information of sales representatives; and
- f) Reference material including utility bills, price comparisons with details of price offers and forecasts (of the retailer) and other energy suppliers quoted, shown (or carried so as to be seen) or provided to existing or prospective ~~consumers~~ customers (records shall be kept for each price change in the reference material).

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**5 Wholesalers (Discontinued Apr 4'08)**

**6 Generators (none at this time)**

**7 Independent Electricity System Operator**

## **7.1 Reporting**

**7.1.1 The IESO shall provide in the form and manner required by the Board, quarterly, on the last day of the month following the quarter end, financial statements for all market accounts showing quarter end financial position and quarterly and year to date results of operations.**

**7.1.2 The IESO shall provide the Board with a copy of the results of all biennial audit reviews of settlements performed in accordance with Section 5970 of the CICA Handbook, as soon as they are available.**

**7.1.3 The IESO shall provide in the form and manner required by the Board, quarterly, on the last day of the month following the quarter end, the following information:**

- a) A list of all System Impact Assessments ("SIA") completed in the quarter in respect of renewable energy generation facilities;
- b) The total name-plate rated capacity (in MWs) of the renewable energy generation facilities for which SIAs were completed as reported under (i) above; and
- c) The time (in days) taken to issue each SIA reported under (i) above.