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## **ELECTRICITY REPORTING & RECORD KEEPING REQUIREMENTS Version dated November 29, 2018**

# ELECTRICITY REPORTING AND RECORD KEEPING REQUIREMENTS

Version dated November 29, 2018

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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;

“centralized service provider” means the centralized service provider engaged by the Board to administer the OESP on the Board’s behalf;

“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;

“electricity storage provider” means a person who is licensed as an electricity storage provider by the Board;

“electricity transmission line” means a line, transformers, plant or equipment used for conveying electricity at voltages higher than 50 kilovolts; (“ligne de transport d’électricité”) (section 89, OEB Act);

“eligible low-income customers” has the same meaning as in the Distribution System Code;

“generator” means a person who is licensed as a generator by the Board;

“IESO” means the Independent Electricity System Operator;

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

“LEAP” means the Low-Income Energy Assistance Program established by the Board;

“OESP” means the Ontario Electricity Support Program established pursuant to section 79.2 of the Act;

“OESP tariff code” means the tariff code assigned to an OESP recipient by the centralized service provider;

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

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“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;

“unit sub-meter provider” means a person who is licensed as a unit sub-meter provider by the Board;

## **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, retailers, unit sub-meter providers, generators and electricity storage providers licensed by the Board under Part V of the Act and to the IESO. All licensed distributors, transmitters, retailers, unit sub-meter providers, generators and electricity storage providers 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, retailers, unit sub-meter providers, generators and electricity storage providers 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.

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## 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.

## 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 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; 2.1.22, 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: 3.1.7, 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).

## 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 commodity 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:
- a) Total number of customers on SSS for each rate class sub-divided by (i) customers on the RPP, broken down as required by (g) below if applicable; and (ii) customers not on the RPP, at the end of the preceding quarter;
  - b) The number of wholesale market participants connected to the distributor's distribution system, at the end of the preceding quarter;

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- c) For each of the first three quarters of the year, total number of customers successfully enrolled with retailers (completed enrollments accepted by the distributor for flow only) at the end of each quarter, broken down by rate class;
- 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 by rate class;
- e) For (a) 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;
- f) For each property or complex referred to in (e) above, the total number of units identified in the declaration; and

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

## **2.1.3** Intentionally left blank.

**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:

- 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).

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- 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 7.4 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).
- 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

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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)

2.1.4.1.10 In respect of the service quality requirement for new micro-embedded generation facility connections on time as set out in section 6.2.7 of the Distribution System Code:

a) Total number of new micro-embedded generation facilities connected in each month;

b) Number of new micro-embedded generation facilities connected in each month for which the service quality requirement as set out in section



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6.2.7 of the Distribution System Code was met; and

c) Percentage of (b) with respect to (a)

## 2.1.4.2 Reporting on System Reliability Indicators

1. Filings due on April 30, 2014 for the reporting period January – December 2013, shall be in accordance with section 2.1.4.2 as it reads in the January 1, 2013 version of this document.
2. For filings due after April 30, 2014:

The following definitions apply for the purposes of monitoring and reporting on each of the system reliability indicators set out below:

Definitions:

- 1) The “Average 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 served on the first day of the month and the total number of customers served on the last day 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 any suite metering system is not operated by the distributor and that such customers are not billed by the distributor.

Unmetered load customers should not be included in the customer count.

- 2) A “Customer” means a metered service for which an active account is established at a specific premise.
- 3) An “Interruption” means the loss of electrical power, being a complete loss of voltage, of a duration of one minute or more, to one or more customers, including planned 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) 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 began.

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- 5) In calculating the duration of an interruption, the end of the interruption shall be considered to have occurred when service has been restored to the customer demarcation point. This time may be determined by either the time the restoring crew reports the restoration was complete or the time at which the distributor otherwise determined the restoration was complete.

The process of restoration may require restoring service in stages to small sections of the system until service has been restored to all customers. Each of these individual stages should be tracked, collecting the start time, end time and number of customers interrupted and restored for each stage. Any temporary restoration of supply which does not exceed 3 minutes shall be ignored and the interruption must be treated as continuous.

- 6) “Loss of Supply” means an interruption due to problems associated with assets owned and/or operated by another party, and/or the bulk electricity supply system.
- 7) “Major Event” is defined as an event that is beyond the control of the distributor and is:
  - a) unforeseeable;
  - b) unpredictable;
  - c) unpreventable; or
  - d) unavoidable.

Such events disrupt normal business operations and occur so infrequently that it would be uneconomical to take them into account when designing and operating the distribution system. Such events cause exceptional and/or extensive damage to assets, they take significantly longer than usual to repair, and they affect a substantial number of customers.

“Beyond the control of the distributor” means events that include, but are not limited to, force majeure events and Loss of Supply events.

When assessing whether a substantial number of customers were affected and whether it took significantly longer to restore service than normal, distributors shall follow the Canadian Electricity Association’s Major Event Determination Reference Guide. As set out in the Guide distributors shall use one of the following approaches:

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- a) The IEEE Standard 1366 approach (preferred method);
- b) The IEEE Standard 1366 approach, using a two day rolling average; or
- c) The fixed percentage approach (i.e., 10% of customers affected).

Distributors shall include all outages that occurred during the Major Event, including those that may be unrelated to the event itself, but occurred at the same time.

## 2.1.4.2.1 System Average Interruption Duration Index (SAIDI)

SAIDI is an index of system reliability that expresses the average amount of time, per reporting period, supply to a customer is interrupted. It is determined by dividing the total monthly duration of all interruptions experienced by all customers, in hours, by the average number of customers served. SAIDI is expressed as follows:

$$\text{SAIDI} = \frac{\text{Total customer hours of interruptions}}{\text{Average number of customers served}}$$

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

## 2.1.4.2.2 SAIDI (Loss of Supply)

This index adjusts SAIDI for the effects of interruptions caused by 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 interruptions caused by Loss of Supply events is deducted from the total customer-hours of 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 interruptions in each month;
- b) Total customer-hours of interruptions in each month caused by a Loss

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of Supply;

- c) Average 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 index of system reliability that expresses the number of times per reporting period that the supply to a customer is interrupted. It is determined by dividing the total number of interruptions experienced by all customers, by the average number of customers served.

SAIFI is expressed as follows:

$$\text{SAIFI} = \frac{\text{Total customer interruptions}}{\text{Average number of customers served}}$$

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 interruptions in the month;
- b) Average number of customers served in each month; and
- c) SAIFI, being  $(a) / (b)$ .

## 2.1.4.2.4 SAIFI (Loss of Supply)

This index adjusts SAIFI for the effects of interruptions caused by 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 Loss of Supply events is deducted from the total interruptions.

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

- a) Total number of customer interruptions in each month;
- b) Total number of customer interruptions in each month caused by Loss of Supply;
- c) Average number of customers served in each month; and
- d) Adjusted SAIFI, being  $((a) - (b))/(c)$ .

## 2.1.4.2.5 Reporting Cause Codes

For each Cause of Interruption as set out below, a distributor shall, for each month, report the following data:

- a) Name of the Cause of Interruption;
- b) Number of interruptions that occurred as a result of the Cause of Interruption;
- c) Number of customer interruptions that occurred as a result of the

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Cause of Interruption; and

- d) Number of customer-hours of interruptions that occurred as a result of the cause of interruption.

Code	Cause of Interruption
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 associated with assets owned and/or operated by another party, and/or 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, resulting in an insulation breakdown and/or flash-overs.
5	<b>Defective Equipment</b> Customer interruptions resulting from distributor equipment failures due to deterioration from age, incorrect maintenance, or imminent failures detected by maintenance.
6	<b>Adverse Weather</b> 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	<b>Adverse Environment</b> Customer interruptions due to distributor equipment being subject to abnormal environments, such as salt spray, industrial contamination, humidity, corrosion, vibration, fire, or flowing.
8	<b>Human Element</b> Customer interruptions due to the interface of distributor staff with the distribution system.
9	<b>Foreign Interference</b> Customer interruptions beyond the control of the distributor, such as those caused by animals, vehicles, dig-ins, vandalism, sabotage, and foreign objects.
10	<b>Major Event</b> Customer interruptions due to a Major Event. These interruptions should also be counted under the actual Cause of Interruption listed above.

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## 2.1.4.2.6 Measuring and Reporting Practices

A distributor shall report to the Board if it has introduced, or is in the process of introducing, any new system reliability measuring and reporting practices or any new distribution system technologies that impacted its reported performance results for the current year in comparison to previous years.

This report shall describe the new practice or technology, the current status of the implementation of the new practice or technology, and the scope of the impact, including the percentage of change between the results reported in the previous year and the results reported in the current year.

## 2.1.4.2.7 Identifying Outage Start Time

A distributor shall report to the Board whether the greatest number of its outage start times were 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 began.

## 2.1.4.2.8 SAIDI (Major Events)

This index adjusts SAIDI for the effects of interruptions caused by Major Events, and is calculated in the same way as described in section 2.1.4.2.1, except that the total customer-hours of interruptions caused by Major Events is deducted from the total customer-hours of 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 interruptions in each month;
- b) Total customer-hours of interruptions in each month caused by Major Events;
- c) Average number of customers served in each month; and
- d) Adjusted SAIDI, being  $((a) - (b))/(c)$ .

## 2.1.4.2.9 SAIFI (Major Events)

This index adjusts SAIFI for the effects of interruptions caused by Major Events, 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 Major Events is deducted from the total interruptions.

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

- a) Total number of customer interruptions in each month;

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- b) Total number of customer interruptions in each month caused by Major Events;
- c) Average number of customers served in each month; and
- d) Adjusted SAIFI, being  $((a) - (b))/(c)$ .

## 2.1.4.2.10 Major Event Response Reporting

When a distributor determines an outage was caused by a Major Event, it shall file a report with the OEB that outlines the distributor's response to the Major Event, including answers to all of the questions set out below.

A distributor shall file this report with the OEB within 60 days of the end of the Major Event unless there are exceptional circumstances, in which case the report can be filed within 90 days of the end of the Major Event. The distributor shall also post this report on its website at the same time it is filed with the OEB.

### **Prior to the Major Event**

1. Did the distributor have any prior warning that the Major Event would occur?
2. If the distributor did have prior warning, did the distributor arrange to have extra employees on duty or on standby prior to the Major Event beginning? If so, please give a brief description of arrangements.
3. If the distributor did have prior warning, did the distributor issue any media announcements to the public warning of possible outages resulting from the pending Major Event? If so, through what channels?
4. Did the distributor train its staff on the response plans for a Major Event? If so, please give a brief description of the training process.
5. Did the distributor have third party mutual assistance agreements in place prior to the Major Event? If so, who were the third parties (i.e., other distributors, private contractors)?

### **During the Major Event**

1. Please explain why this event was considered by the distributor to be a Major Event.

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2. Was the IEEE Standard 1366 used to identify the scope of the Major Event? If not, why not?
3. Please identify the Cause of Interruption for the Major Event as per the table in section 2.1.4.2.5.
4. Were there any declarations by government authorities, regulators or the grid operator of an emergency state of operation in relation to the Major Event?
5. When did the Major Event begin (date and time)?
6. What percentage of on-call distributor staff was available at the start of the Major Event and utilized during the Major Event?
7. Did the distributor issue any estimated times of restoration (ETR) to the public during the Major Event? If so, through what channels?
8. If the distributor did issue ETRs, at what date and time did the distributor issue its first ETR to the public?
9. Did the distributor issue any updated ETRs to the public? If so, how many and at what dates and times were they issued?
10. Did the distributor inform customers about the options for contacting the distributor to receive more details about outage/restoration efforts? If so, please describe how this was achieved.
11. Did the distributor issue press releases, hold press conferences or send information to customers through social media notifications? If so, how many times did the distributor issue press releases, hold press conferences or send information to customers through social media notifications? What was the general content of this information?
12. What percentage of customer calls were dealt with by the distributor's IVR system (if available) versus a live representative?
13. Did the distributor provide information about the Major Event on its website? If so, how many times during the Major Event was the website updated?
14. Was there any point in time when the website was inaccessible? If so, what percentage of the total outage time was the website inaccessible?
15. How many customers were interrupted during the Major Event? What percentage of the distributor's total customer base did the interrupted customers represent?
16. How many hours did it take to restore 90% of the customers who were interrupted?



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17. Was any distributed generation used to supply load during the Major Event?
18. Were there any outages associated with Loss of Supply during the Major Event? If so, please report on the duration and frequency of Loss of Supply outages.
19. In responding to the Major Event, did the distributor utilize assistance through a third party mutual assistance agreement?
20. Did the distributor run out of any needed equipment or materials during the Major Event? If so, please describe the shortages.

## After the Major Event

1. What steps, if any, are being taken to be prepared for or mitigate such Major Events in the future (i.e., staff training, process improvements, system upgrades)?
2. What lessons did the distributor learn in responding to the Major Event that will be useful in responding to the next Major Event?
3. Did the distributor survey its customers after the Major Event to determine the customers' opinions of how effective the distributor was in responding to the Major Event? If so, please describe the results.

**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 Labour

- a) Full time equivalent number of employees;
- b) For employees whose earnings are charged to current operating expenses (Administrative, operating and maintenance):
  - i. Average number of such employees for the year; and
  - ii. Total salaries and wages for those employees;
- c) For employees whose earnings are charged to new construction:
  - 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);

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- 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 (b) and (c) 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

In reporting on the following, only regulated amounts should be included.

### a) Changes in Gross Capital Assets

A distributor shall provide annually, by April 30, for the preceding calendar year, the dollar value of changes to gross property, plant and equipment and the breakdown in each category below, for total capital additions (including high voltage assets) and high voltage (HV) capital additions reported separately:

- i. Gross capital additions for the current year
- ii. Retirements/write offs/sales/asset impairment losses
- iii. Contributed capital, and
- iv. Other – please explain

### b) Capital Expenditures:

In addition to the above, a distributor shall provide annually, by April 30, for the preceding calendar year, the breakdown of capital expenditures, as follows:

- i. Direct labour (including benefits etc.)
- ii. Equipment and materials
- iii. Capitalized overhead
- iv. Contract services
- v. Other – please explain

### c) Please provide an explanation if information in any of the categories is not available in the format required above.

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## 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 loss factor.

- 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.
- b) Delivery: Total kWhs of electricity delivered to all customers in the distributor's licensed service area and 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) above.
- d) The dollar amount charged by any host distributor for transmission or low voltage services.

## 2.1.5.4 Demand and Revenue

2.1.5.4.1 Annual consumption (kWhs & kW) for customers, broken down as follows:

- a) For customers on SSS, by rate class 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 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
- d) Total consumption in kWhs for each of street lighting connections and sentinel lighting connections (both as defined in the distributor's Board-approved tariff of rates and charges).

All kWhs and kW) 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).

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

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## 2.1.5.5 Utility Characteristics

- a) Licensed Service Area (Sq. Kms.) in total, and broken down by rural and urban.
- 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.
- c) Average Peak Load (kW), reported both inclusive and exclusive of embedded generation.
- d) Average Load Factor (%), reported both inclusive and exclusive of embedded generation.
- e) Circuit Kilometers of Line (route kms) in total, and broken down by overhead and underground.

## 2.1.5.6 Regulated Return on Equity (ROE)

A distributor 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.

**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 an individual's salary information.

**2.1.8** 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

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- 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;
  - 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;

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- 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;
  - 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;*

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*“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.*

- 2.1.9** Beginning in 2017, 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 the OESP in the preceding calendar year:
- a) The number of OESP recipients at year end;
  - b) The number of OESP recipients in the year who were no longer receiving OESP at year end; and
  - c) The number of OESP recipients who also received a LEAP emergency financial assistance grant during the year.
- 2.1.10** Intentionally left blank.
- 2.1.11** Intentionally left blank.
- 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 section 6.7.1 of the Distribution System Code) by renewable energy source;
  - b) Total installed capacity (kW) of net metered generators by renewable energy source;
  - c) Total installed capacity (kW) of storage devices used by net metered generators by renewable energy source;
  - d) Number of embedded generation facilities connected to the distributor’s distribution system, excluding those counted in (a) above; and
  - e) Total installed capacity (kW) of the embedded generators referred to in (d) above.
- 2.1.14.1** A distributor shall provide in the form and manner required by the Board, annually, by April 30, the annual maximum peak load (kW) for the distributor’s licensed service area that is used to calculate the distributor’s maximum “cumulative generation

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capacity from net metered generators” (as described in section 6.7.2 of the Distribution System Code). The information provided must be for the preceding three calendar years.

**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
  - 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 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;
  - 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 (iii)



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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 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:
  - 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).

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- h) Confirmation that the distributor's social agency partner(s) has/have adhered to the processes and requirements set out in the "OESP & LEAP Program Manual".
- i) Beginning in 2017, the number of applicants for LEAP emergency financial assistance in the preceding calendar year who had previously received LEAP emergency financial assistance in the calendar year before that (repeat applicants), in total and broken down as follows:
  - i Applicants who were the distributor's customers; and
  - ii Applicants who were customers of licensed unit sub-meter providers operating in the distributor's service area, including the distributor if licensed as such.

**2.1.17** A distributor shall provide the Board annually, by April 30, the following information as at the end of the preceding calendar year for all customers whose annual distribution revenue exceeds five percent of the distributor's annual distribution revenues:

- a) The nature of the customer's sector (e.g. municipalities, universities, schools and hospitals ("MUSH"), the resource sector, manufacturing, agriculture, forestry, telecom, technology, etc.)
- b) The annual distribution revenues of each customer; and
- c) The customer's annual load (kWh and kW) in the preceding calendar year.

**2.1.18** A distributor shall immediately report to the Board any concern for a potential loss of customer(s) or an incurred loss of customer(s) as well as any material\* reduction in customer load, as reported in its last annual filing.

*\*Materiality for a customer load reduction is considered when there is an impact of five percent or more on the distributor's annual distribution revenues.*

**2.1.19** 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:

- a) First contact resolution;
- b) Billing accuracy (as set out in section 7.11 of the Distribution System Code);
- c) Customer satisfaction survey results;
- d) Public safety; and
- e) Distribution system plan implementation progress

For the purposes of Public Safety, RRR section 2.1.19 (d), the following definitions and targets apply:

*"Public Awareness of Electrical Safety" means the level of public awareness within the electricity distributor's service territory of electrical safety information and precautions related to distribution network assets.*

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*The performance target for Public Awareness of Electrical Safety will be established once three years of data is gathered from the electricity distributors. The target for Public Awareness of Electrical Safety will be set after the information for years 2015 to 2017 is collected from electricity distributors. The target will be shown on the scorecard for the 2018 performance data.*

*“Compliance with Ontario Regulation 22/04; Electrical Distribution Safety” means the level of the electricity distributor’s compliance with Ontario Regulation 22/04- Electrical Distribution Safety as measured by:*

- *Evaluation of annual audit of compliance submitted by electricity distributor (section 4-8) and declaration of compliance (sections 3,9-12)*
- *Evaluation of Due Diligence Inspection (DDIs) and Reports of Public Safety Concerns*

*The performance target for level of compliance with Ontario Regulation 22/04 is for the distributor to be fully compliant with Ontario Regulation 22/04.*

*”Serious Electrical Incident Index” means the number of non-occupational (general public) serious electrical incidents involving electricity distributor owned assets as defined by Ontario Regulation 22/04 - Electrical Distribution Safety, as measured by the number of and rate of serious electrical incidents occurring on an electricity distributor’s assets per 10,100 or 1000 km of line.*

*The performance target for Serious Electrical Incident Index will be set based on distributor’s specific performance target using the distributor’s historical data and prior performance.*

**2.1.20** A distributor shall provide in the form and manner required by the Board, annually, by April 30, the following information:

- a) whether or not the distributor has publicly traded securities; and
- b) a list of affiliates of the distributor that have publicly traded securities (affiliate has the same meaning as in the Ontario Business Corporations Act).

**2.1.21** A distributor shall provide in the form and manner required by the Board any changes to its status with respect to having publicly traded securities or any changes to its list

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of affiliates that have publicly traded securities within 10 days of the change occurring.

**2.1.22** A distributor shall provide, in the form and manner required by the Board, annually, by April 30, the following information

- a. the status of cyber security readiness, as required by section 6.8.1.1 of the Distribution System Code; and
- b. a self-certification statement signed by the Chief Executive Officer on the reported cyber security readiness, as required by section 6.8.1.2 of the Distribution System Code.

## **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 signed by 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 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.

**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

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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 Canadian Standard on Assurance Engagements, Reporting on Controls at a Service Organization (CSAE 3416).
- 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 2.2.1 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.
- 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

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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** A distributor shall maintain and provide in a form and manner and at such times as may be requested by the Board, information on affiliate arrangements and transactions, 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 a specified 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

**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) 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.

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**2.3.12** Intentionally left blank.

**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.

## 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 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 transmitter and its affiliate for the purposes of section 2.2 of the Affiliate Relationships Code for Electricity Distributors and Transmitters.*

**3.1.3** A transmitter shall provide the Board annually, by April 30, audited financial statements for the preceding calendar year for the corporate entity regulated by the

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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 transmitter 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.

## 3.1.4 Regulated Return on Equity (ROE)

A transmitter shall report in the form and manner determined by the Board, annually by April 30, 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 transmitter's base rates.

## 3.1.5 A transmitter shall provide in the form and manner required by the Board, annually, by April 30, the following information:

- a) whether or not the transmitter has publicly traded securities; and
- b) a list of affiliates of the transmitter that have publicly traded securities (affiliate has the same meaning as in the Ontario Business Corporations Act).

## 3.1.6 A transmitter shall provide in the form and manner required by the Board any changes to its status with respect to having publicly traded securities or any changes to its list of affiliates that have publicly traded securities within 10 days of the change occurring.

## 3.1.7 A transmitter shall provide, in the form and manner required by the Board, annually, by April 30, the following information:

- a) the status of cyber security readiness, as required by section 3B.2.2.1 of the Transmission System Code; and
- b) a self-certification statement signed by the Chief Executive Officer on the reported cyber security readiness, as required by section 3B.2.2.2 of the Transmission System Code.

## 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 signed by the chief executive officer of the utility confirming that the chief executive officer is satisfied that the utility has



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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, 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

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by the Board, separate records substantiating all review(s) complying with the provisions of CSAE 3416.

- 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.
- 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.

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## 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 customer (accepted by a distributor for flow) or successfully renewed a contract;
- b) Number of new enrolments (accepted by a distributor for flow);
- 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, in person, telesales, internet sales and other;
- e) Number of consumer complaints;
- f) Retail offers accepted by customers that have been successfully enrolled (accepted by a distributor for flow) during the quarter. Details include the contract length and all pricing details.

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

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**4.1.3** A retailer shall provide in the form and manner required by the Board, annually, by April 30, the following information:

- a) whether or not the retailer has publicly traded securities; and
- b) a list of affiliates of the retailer that have publicly traded securities (affiliate has the same meaning as in the Ontario Business Corporations Act).

**4.1.4** A retailer shall provide in the form and manner required by the Board any changes to its status with respect to having publicly traded securities or any changes to its list of affiliates that have publicly traded securities within 10 days of the change occurring.

## **4.2 Record Keeping**

**4.2.1** A retailer with customers who are low volume consumers (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;
- 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.

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**4.2.3** A retailer with customers who are low volume consumers (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 low volume consumers (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 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 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 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

### 6.1 Reporting

- 6.1.1** A generator shall provide in the form and manner required by the Board, annually, by April 30, the following information:
- a) whether or not the generator has publicly traded securities; and
  - b) a list of affiliates of the generator that have publicly traded securities (affiliate has the same meaning as in the Ontario Business Corporations Act).
- 6.1.2** A generator shall provide in the form and manner required by the Board any changes to its status with respect to having publicly traded securities or any changes to its list of affiliates that have publicly traded securities within 10 days of the change occurring.
- 6.1.3** An electricity storage provider shall provide in the form and manner required by the Board, annually, by April 30, the following information:
- a) whether or not the electricity storage provider has publicly traded securities; and
  - b) a list of affiliates of the electricity storage provider that have publicly traded securities (affiliate has the same meaning as in the Ontario Business Corporations Act).
- 6.1.4** An electricity storage provider shall provide in the form and manner required by the Board any changes to its status with respect to having publicly traded securities or any changes to its list of affiliates that have publicly traded securities within 10 days of the change occurring.

## 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.

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- 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 CSAE 3416, 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 a) above; and
  - c) The time (in days) taken to issue each SIA reported under a) above.
- 7.1.4** Beginning in 2016, the IESO shall provide in the form and manner required by the Board, monthly, by the last day of the following month, the following information related to the provision of the OESP in each month:
- a) Funds collected through the OESP charge, in total and broken down by:
    - i Distributor; and
    - ii All other market participants.
  - b) OESP funds disbursed to customers of distributors and unit sub-meter providers, in total and broken down by:
    - i Distributor; and
    - ii Unit sub-meter provider.
  - c) For each OESP tariff code, the total number of OESP recipients and total funds disbursed to OESP recipients by:
    - i Distributor; and
    - ii Unit sub-meter provider.
  - d) Funds disbursed to the central service provider for program delivery and administration.
  - e) The variance between total funds collected through the OESP charge and total funds disbursed to OESP recipients and for program delivery and administration.

## 8 Unit Sub-Meter Providers

### 8.1 Reporting

- 8.1.1** Beginning in 2017, a unit sub-meter provider shall provide in the form and manner required by the Board, annually, by April 30, the following information with respect to

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the provision of the OESP and LEAP emergency financial assistance in the preceding calendar year:

- a) The number of eligible low-income customer accounts at year end;
- b) The number of customer accounts that received LEAP emergency financial assistance during the year;
- c) The number of OESP recipients at year end;
- d) The number of OESP recipients in the year who were no longer receiving OESP at year end; and
- e) The number of OESP recipients who also received a LEAP emergency financial assistance grant during the year.

**8.1.2** A unit sub-meter provider shall provide in the form and manner required by the Board, annually, by April 30, the following information:

- a) whether or not the unit sub-meter provider has publicly traded securities; and
- b) a list of affiliates of the unit sub-meter provider that have publicly traded securities (affiliate has the same meaning as in the Ontario Business Corporations Act).

**8.1.3** A unit sub-meter provider shall provide in the form and manner required by the Board any changes to its status with respect to having publicly traded securities or any changes to its list of affiliates that have publicly traded securities within 10 days of the change occurring.