

User Guide for Unit Sub-Meter Providers Reporting in the OEB's e-Filing Services

PREPARED BY OEB STAFF

April 24, 2019

Table of Contents

AUTHORITY	3
LOCATION OF RRR INFORMATION	4
REGISTRATION	5
COMPUTER SYSTEM REQUIREMENTS.....	6
ACCESSING THE RRR FORMS.....	7
SUBMISSION.....	9
SCHEDULE	10
REVISIONS	11
CONTACTS.....	12
FORM AND EXPLANATIONS	13
8.1.1 – INFORMATION RELATED TO THE PROVISION OF THE OESP AND LEAP EMERGENCY FINANCIAL ASSISTANCE	14
8.1.2 – PUBLICLY TRADED SECURITIES	17

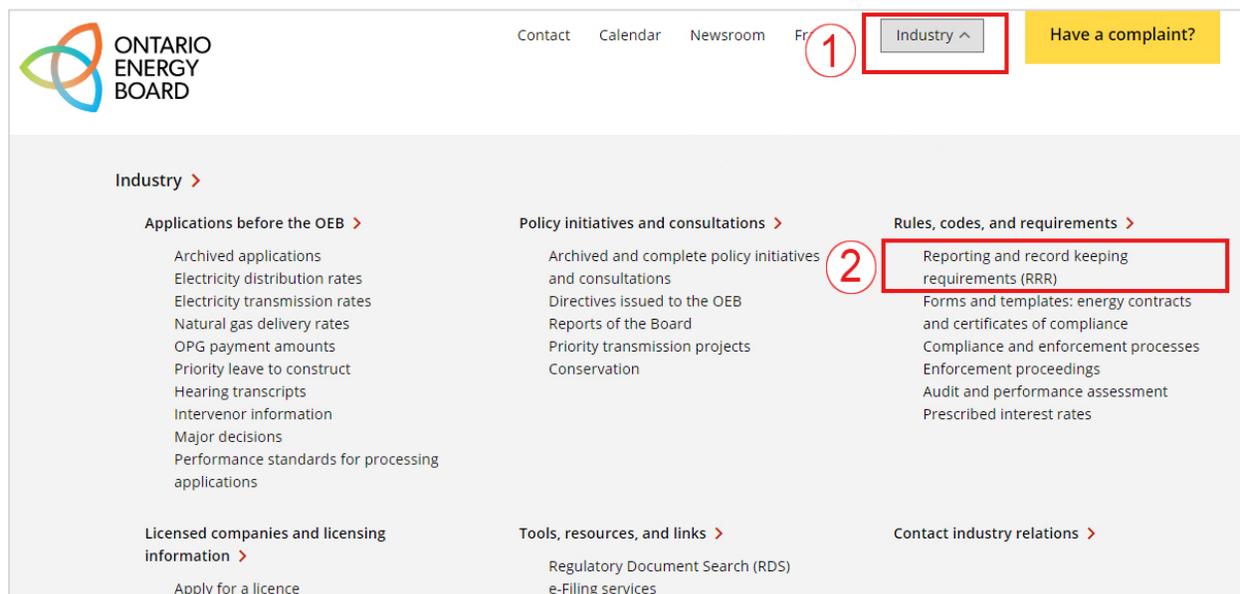
AUTHORITY

The OEB's authority to collect the information required under the Reporting and Record Keeping Requirements (RRR) is derived from unit sub-meter providers' licences which have a condition of licence requiring unit sub-meter providers to provide specified information in the form and manner as required by the OEB.

The OEB's October 29, 2015 letter established the OEB's policies for reporting and record keeping requirements for unit sub-meter providers which are set out in the "*Electricity Reporting & Record Keeping Requirements*" document.

LOCATION OF RRR INFORMATION

The RRR Reporting webpage is accessed through the “Industry” tab (1) on the OEB website, by clicking on “Reporting and record keeping requirements (RRR).” (2)



Highlights of the RRR webpage include:

[Electricity RRR](#) – This webpage contains current documents and recent communications from the OEB regarding RRR.

[Electricity RRR Document](#) – This constitutes the OEB’s current reporting and record keeping requirements to maintain and file information under the licence conditions.

[e-Filing Services](#) – The link to the RRR filing portal is found on this page.

[Reporting Schedule](#) – This section contains the filing schedule and countdown for impending filing deadlines for regulated entities.

[RRR Data Revision](#) – This section includes instructions for making a revision to previously reported data.

[RRR User Add/Remove Request Form](#) – The link to the form to modify and request user access to the RRR portal.

REGISTRATION

Registered User Privileges

Registration of at least one RRR user is necessary in order to fulfill the condition of its licence which requires submission of information “in the form and manner required by the Board.”

Only RRR registered users can access input forms for filing, based on the personal password issued to them by the OEB. The name of the RRR user is recorded in the OEB database as the submitter of the filing.

If you have forgotten your user ID and password, click on “Forgot your Password” on the OEB’s e-Filing Services portal log-in webpage. You will be asked to provide your email address registered with the OEB. Your user ID and password will be sent to your inbox immediately.

Removing or Adding a Registered User

When the job function of a registered user changes, or when an employee leaves the organization, the OEB should be informed so that the RRR log-in ID assigned to the person can be cancelled.

To remove or add a RRR user, the primary regulatory contact for the unit sub-meter provider should complete the “[Electronic User Form](#)” found on the e-Filing Services page of the OEB website and email to BoardSec@oeb.ca.

The email address used by the primary regulatory contact in sending the request should match the contact email on record with the OEB.

COMPUTER SYSTEM REQUIREMENTS

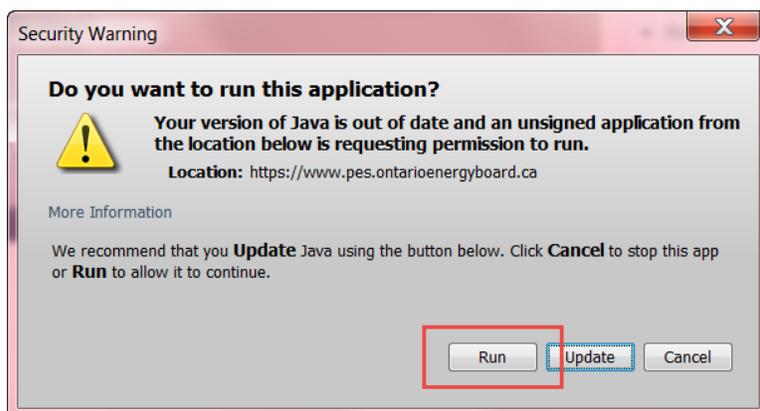
Unit sub-meter providers can complete and view their current and past RRR filings on the OEB's [e-Filing Services](#) webpage.

Please ensure your computer has the necessary system requirements to access the RRR portal by following the steps below. For any technical issues, please contact the OEB's IT Help at IT.help@oeb.ca.

1. You will need to install Java software (version 6 update 30 or greater) on your computer. You can download Java at <http://www.java.com/en/download/manual.jsp>.

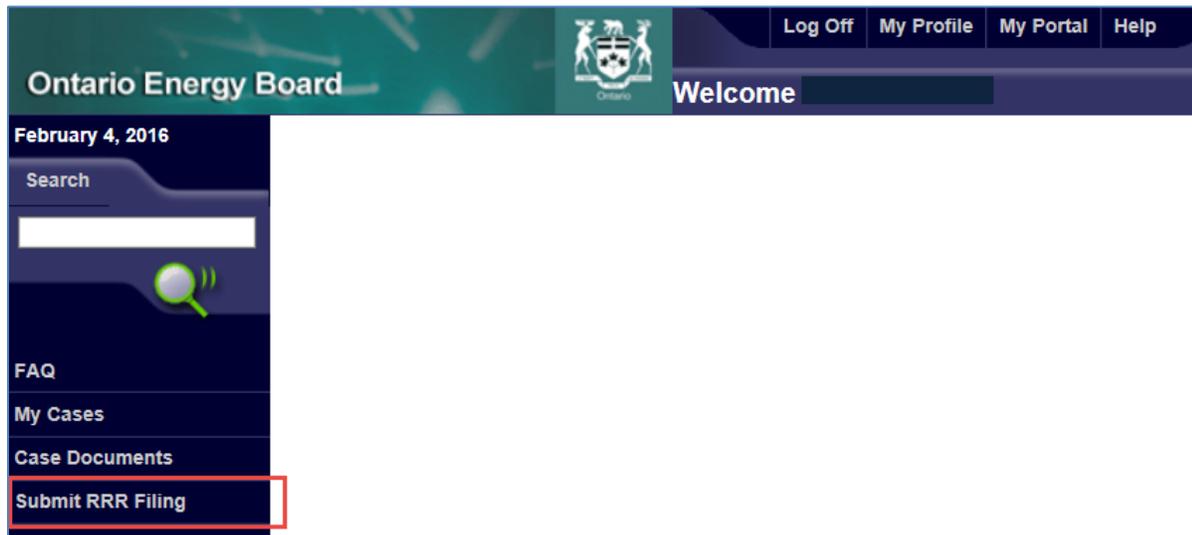
You will need to add the website (<http://www.pes.ontarioenergyboard.ca/eservice/>) to the Java Exception List. Click on Start > All Programs > Java > Configure Java. Under the Security Tab, click on Edit Site List and enter the website address above.

2. Please make sure that the "Compatibility Mode" is turned on. On Internet Explorer, go to the [e-Filing webpage](#). Select Tools > Compatibility View Settings from the browser menu. Click the 'Add' button to turn on the compatibility mode for this webpage.
3. Please make sure to turn off the Pop-Up Blocker on Internet Explorer.
 - i. Select the Tools button and then click Internet options.
 - ii. In the Privacy tab, under Pop-up Blocker, clear the "Turn on Pop-up Blocker" check box, and then click OK.
4. When entering the e-Filing Services webpage, if you see a pop-up message as seen below, please click "Run".



ACCESSING THE RRR FORMS

1. The RRR filings are required to be submitted by regulated entities through the OEB's [e-Filing Services](#) webpage. Once you have entered your user ID and password, you will see the "Welcome" page. On the left-hand column, please select "Submit RRR Filing".



2. Select your Company name.
3. Select the Reporting year (i.e. select **2017** for the reporting 2016 annual data).

4. Select the Reporting period.

- The “April” folder is where the annual filings to report for the previous year are located.

Company's Filing Year

Company's Year | Management Discussion and Analysis | Scorecard Delegate | Scorecard Sign Off

Year: 2017 | Company: _____
 Expiry Date: _____ | Expiry Extension Date: _____

January 31

Reporting Period	Status	Latest Filing Date
No Records		

April 30

Reporting Period	Status	Latest Filing Date
April	Submitted	

July 31

Reporting Period	Status	Latest Filing Date
No Records		

October 31

Reporting Period	Status	Latest Filing Date
No Records		

5. Select the Licence type.

Board Reporting Period

Instructions | Distributor | Transmitter | Retailer | **Unit Sub-Metering Provider** | Miscellaneous

IMPORTANT: ***** You will NOT be able to make changes after the due date *****
 Please select your licence type.
 You will not see any information under a tab if you do not have to submit those filings.

6. To view the filings required to be submitted, please click the arrow sign to open the input form.

Board Reporting Period

Instructions | Distributor | Transmitter | Retailer | **Unit Sub-Metering Provider** | Miscellaneous

E8.1.1

Report Version	Status	Due	Completed by
0	Not Started	April 30, 2017	

SUBMISSION

Filing Status

To make sure your data has been saved or submitted, please always ensure to check the Status box on the “Report Summary” section at the top of the form.

Clicking Save or Apply will not automatically submit this filing. To SUBMIT this filing, scroll to the end of this page, select YES in the Submit drop down then click the SAVE button.
Scroll to the bottom of this page to see the definition of the Residential Sector, Commercial Sector and Industrial Sector.

Report Summary

Filing Due Year	Filing Form Name	RRR Filing No
Reporting Period and Company Name	Licence Type	Status
Report Version	Extension Granted	Extension Deadline
Filing Due Date	For the Period from	For the Period ending to
Submitted On	Submitter Name	Expiry Date

The **Status box** will show one of the following:

Blank: At the time of opening the form.

Work in progress: After saving the form.

Submitted: When the information is filed successfully with the OEB.

Revised: When the information is re-filed subsequent to the first filing.

Submitted after deadline: When the information is filed with the OEB after due date.

Submit Form Box

The status changes based on the choice made on the submit box which is found at the end of each RRR input form.

Your filing will not be submitted unless you select “Yes” to submit the form.

Submit

* Submit Form

Yes
No

The default setting for the Submit box is a blank.

Choose **NO** to save, and **YES** to submit and save.

Viewing of RRR Information

OEB staff can only view filings after a successful submission. The first submitted filing is “version 0” of the filing. Subsequent submissions are numbered sequentially.

“Work in progress” filings (filings that have been saved but not submitted) are not available for viewing by OEB staff. Once you have selected “yes” to submit and clicked the Save button, please verify the status has been updated at the top of the form.

SCHEDULE

The RRR filing schedule can be found on the Rules and Requirements section of the OEB Industry website, under [“Reporting Schedule”](#).

RRR Section	Jan 31	Feb 28	Mar 31	Apr 30	May 31	Jun 30	Jul 31	Aug 31	Sep 30	Oct 31	Nov 30	Dec 31
8.1.1				✓								
8.1.2				✓								

✓ = Electronic submission

If the “due date” above falls on a day that is a Saturday, Sunday, or legal holiday in the Province of Ontario, then the due date is the next business day (Section 1.3 of the Electricity RRR document).

REVISIONS

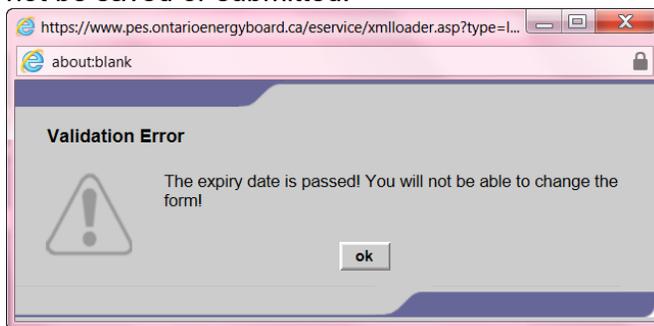
Before filing due date

If a filing has been submitted before the due date, it can be revised and re-submitted again as long as the due date has not passed. The latest submission overrides all previously submitted filings.

After filing due date

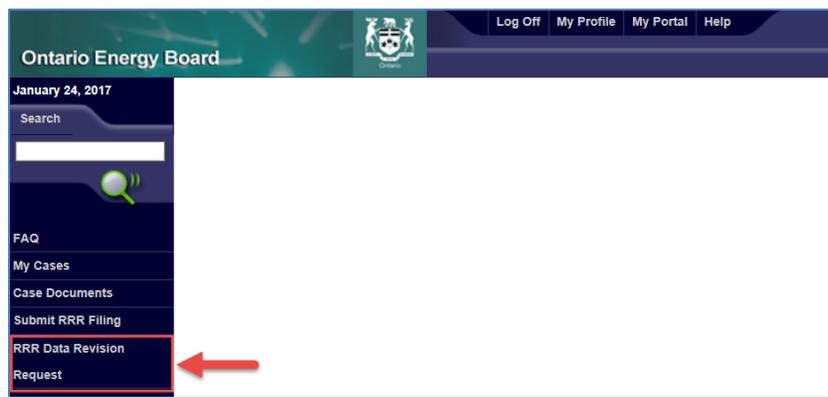
The RRR portal is closed after the due date and no further submissions can be made. The last submitted filing is the filing on the OEB's record.

After the filing due date, if the contents of the input form are changed, these changes will appear in the input form, but on clicking "Save" the following message appears below and changes will not be saved or submitted:



A regulated entity must seek the approval of the OEB in order to substantiate the requested changes and gain access to the e-Filing Services portal to make any changes.

A revision request can be submitted by selecting "*RRR Data Revision Request*" on the left-hand menu in e-Filing Services. Further details on how to submit a web-based data revision request can be found on the OEB's [RRR Data Revisions webpage](#).



Extension for filing

If you know in advance that you will be unable to meet the due date, you can request an extension to the filing date by emailing OEB staff listed in the [Contacts](#) section of this RRR Filing Guide.

CONTACTS

Issue	Name	Email
IT issues including submission difficulties (e.g. log-in, passwords, web browser issues, unable to save, submission or upload attachment difficulties)	IT Help	IT.help@oeb.ca (416) 481-1967 ext. 555
RRR clarifications and enquiries	Industry Relations	IndustryRelations@oeb.ca
RRR filing extension and revision requests	Nour Elba, Analyst, Licensing & Performance Reporting	Nour.Elba@oeb.ca
	Shahdil Alibhai, Analyst, Licensing & Performance Reporting	Shahdil.Alibhai@oeb.ca
	Stephanie Chan, Advisor, Licensing & Performance Reporting	Stephanie.Chan@oeb.ca
Any other RRR matter	Ben Bosch, Senior Advisor, Licensing & Performance Reporting	Ben.Bosch@oeb.ca
	Ryan Holder, Interim Manager, Licensing & Performance Reporting	Ryan.Holder@oeb.ca

FORM AND EXPLANATIONS

A sample of the online form containing the data to be filed is provided for reference in this section. The format of this section is provided below.

Format

- A summary description of the data contents required to be filed, changes to the electronic input form, and tips for filing.
- A sample of the electronic input form available to the RRR filer for input.

8.1.1 – INFORMATION RELATED TO THE PROVISION OF THE OESP AND LEAP EMERGENCY FINANCIAL ASSISTANCE

8.1.1 – Information related to the provision of the OESP and LEAP emergency financial assistance

Content

This section requires the reporting of information related to 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.

New on form

No changes to form.

Tips

Please refer to the [OESP & LEAP Program Manual](#) on the OEB website.

Ontario Energy Board		E8.1.1 Ontario Electricity Support Program	
February 9, 2017		Log Off My Profile My Portal Help	
Search <input type="text"/> 		Summary	
FAQ My Cases Case Documents Submit RRR Filing Submit RRR E 2.1.4.2.10 Major Event Response Past RRR E 2.1.4.2.10 Major Event Response Submit E 2.1.18 Loss of Large Customer Past E 2.1.18 Loss of Large Customer RRR Data Revision Request My Company's RRR Revision Requests SOP: View Work-In-Progress Application SOP Application Submit an Application Submit Other Documents	Filing Due Year <input type="text"/>	Filing Form Name <input type="text"/>	RRR Filing No <input type="text"/>
	Reporting Period and Company Name <input type="text"/>	Licence Type <input type="text"/>	Status <input type="text"/>
	Filing Due Date <input type="text"/>	For the Period from <input type="text"/>	For the Period Ending to <input type="text"/>
	Report Version <input type="text"/>	Extension Granted <input type="text"/>	Extension Deadline <input type="text"/>
	Submitted On <input type="text"/>	Submitter Name <input type="text"/>	Expiry Date <input type="text"/>
	Instructions To delete a value that should have been blank you must delete the value and enter 0. Clicking Save will not automatically submit this filing. To SUBMIT this filing, scroll to the end of the page, select Yes in the Submit drop down then click the SAVE button.		
	Information related to the provision of the Ontario Electricity Support Program and LEAP emergency financial assistance		
	* a) The number of eligible low-income customer accounts at year end <input type="text"/>		
	* b) The number of customer accounts that received LEAP emergency financial assistance during the year <input type="text"/>		
	* c) The number of OESP recipients at year end <input type="text"/>		
	* d) The number of OESP recipients in the year who were no longer receiving OESP at year end <input type="text"/>		
	* e) The number of OESP recipients who also received a LEAP emergency financial assistance grant during the year <input type="text"/>		
	Submit		

Submit Form




8.1.2 – PUBLICLY TRADED SECURITIES

8.1.2 Publicly Traded Securities

Content

USMP's are required to report if they have publicly traded securities and to list any affiliates that have publicly traded securities.

The OEB requires this information for its employees to properly disclose their financial interests. Board members and the OEB employees are prohibited from holding a direct or indirect financial interest in a person or an affiliate of a person whose conduct, rates, or revenues are regulated by the OEB. Some examples of publicly traded securities are shares, stocks, units, and/or debt (e.g., bonds and debentures).

New on form

There is no form on e-Filing Services.

USMPs are required to submit this filing to the [OEB's Secure File Transfer Protocol \(SFTP\) server](#).

Instructions

For the 2017 reporting to be filed by April 30, 2018, distributors are required to submit the Publicly Traded Securities (PTS) Form in **Excel format** to the OEB's Secure File Transfer Protocol (SFTP) website.

The following steps are required for this year's submission:

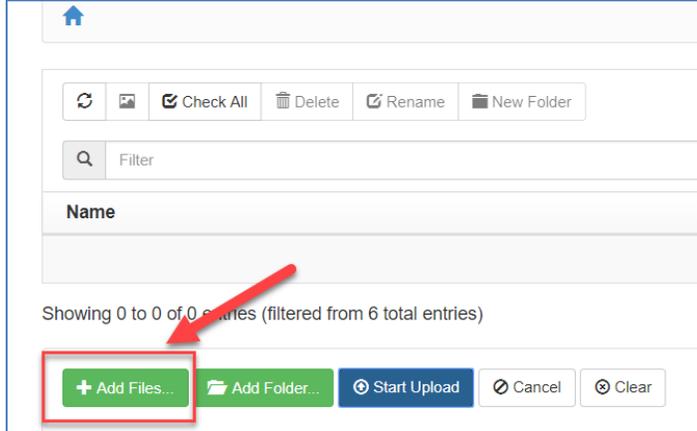
1. Please proceed to the OEB's SFTP server at <https://oefsftp.ontarioenergyboard.ca>
2. Enter your log-in and password.

Note: This is not your e-Filing Services login. Log-in details to the SFTP server will be sent to your regulatory contact via email.

You are connected to Ontario Energy Board (OEB) SFTP server

 Client Login

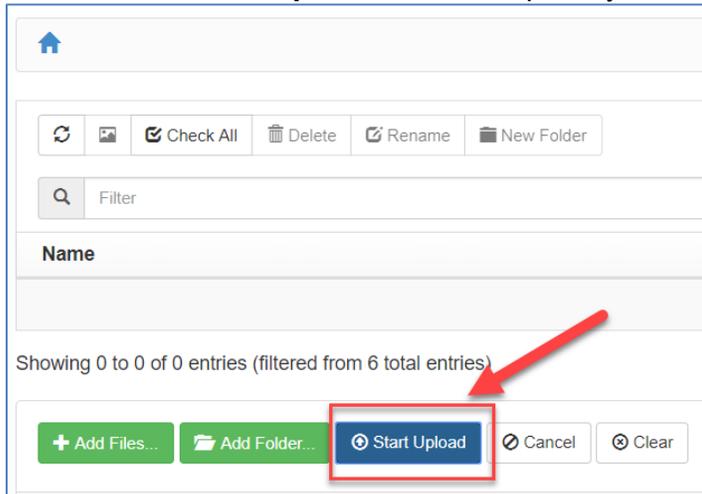
3. Click the green “+Add Files” button



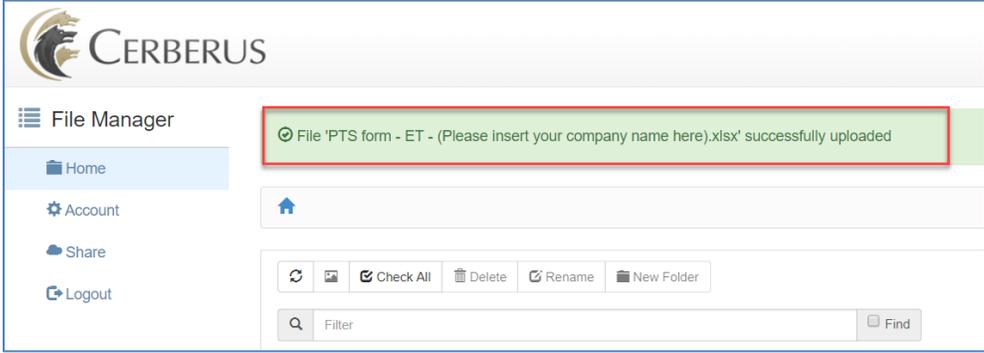
4. Browse and select the Excel file to be uploaded (Note: PDF documents are not accepted).

Please ensure that your file name includes your entity's licence name. (i.e. 'PTS form - USMP - *(Please insert your company name here)*.xlsx)

5. Click the blue “Start Upload” button to upload your file to the OEB's SFTP server.



6. Your submission is uploaded when a message on the top of webpage indicates that your file has been successfully uploaded. Once uploaded you will not be able to replace the submitted file unless the file name is changed.



The screenshot shows the CERBERUS File Manager interface. At the top left is the CERBERUS logo. Below it is a 'File Manager' section with a sidebar containing 'Home', 'Account', 'Share', and 'Logout'. A green notification box at the top right of the main area states: 'File 'PTS form - ET - (Please insert your company name here).xlsx' successfully uploaded'. Below the notification is a home icon and a toolbar with icons for refresh, download, check all, delete, rename, and new folder. At the bottom of the toolbar is a search bar with the text 'Filter' and a 'Find' button.

7. If there is a change to your status with respect to having publicly traded securities or any changes to your list of affiliates that have publicly traded securities, please notify the OEB by email to BoardSec@oeb.ca with a subject line *“Change in Status related to Publicly Traded Securities Reporting”*.

Tips

A blank Excel file will be sent to your regulatory contact via email. The email will also include your log-in credentials to the OEB’s SFTP server.

When uploading the Excel file, please rename the file to include your entity’s licence name.