



**AltaGas Utilities Inc.**

**Code of Conduct Regulation Compliance Plan – Compliance Filing**

**June 20, 2017**

**Alberta Utilities Commission**

Decision 22471-D01-2017

AltaGas Utilities Inc.

Code of Conduct Regulation Compliance Plan – Compliance Filing

Proceeding 22471

Application 22471-A001

June 20, 2017

Published by the:

Alberta Utilities Commission

Fifth Avenue Place, Fourth Floor, 425 First Street S.W.

Calgary, Alberta

T2P 3L8

Telephone: 403-592-8845

Fax: 403-592-4406

Website: [www.auc.ab.ca](http://www.auc.ab.ca)

## Contents

<b>1</b>	<b>Introduction</b> .....	<b>1</b>
<b>2</b>	<b>Background</b> .....	<b>2</b>
<b>3</b>	<b>Commission findings</b> .....	<b>2</b>
<b>4</b>	<b>Order</b> .....	<b>3</b>



## **1 Introduction**

1. In Decision 21488-D01-2016,<sup>1</sup> the Alberta Utilities Commission approved an interim *Code of Conduct Regulation* compliance plan application by AltaGas Utilities Inc. (AUI). In that decision the Commission also directed AUI to file a compliance filing application by March 31, 2017, for approval of a revised compliance plan in accordance with the directions contained within the decision.

2. On March 13, 2017, AUI submitted the compliance filing application,<sup>2</sup> in accordance with the directions in Decision 21488-D01-2016. The Commission issued a notice of application on March 16, 2017,<sup>3</sup> requesting written submissions by March 30, 2017. No submissions were received.

3. On April 6, 2017, in order to clarify a few matters, the Commission issued information requests to AUI.<sup>4</sup> Responses from AUI,<sup>5</sup> and a revised compliance plan,<sup>6</sup> were filed on April 25, 2017 (2017 compliance plan). On May 4, 2017, the Commission issued a letter finding that no further process was necessary and stating that April 25, 2017 was considered to be the close of record for this proceeding.<sup>7</sup>

4. In reaching the determinations set out within this decision, the Commission has considered all materials comprising the record of this proceeding. Accordingly, references in this decision to specific parts of the record are intended to assist the reader in understanding the Commission's reasoning relating to a particular matter and should not be taken as an indication that the Commission did not consider all relevant portions of the record with respect to a particular matter.

---

<sup>1</sup> Decision 21488-D01-2016: AltaGas Utilities Inc., Code of Conduct Compliance Plan, Proceeding 21488, Application 21488-A001, December 16, 2016.

<sup>2</sup> Exhibit 22471-X0001, AUI Code of Conduct Reg Compliance Plan Compliance Filing - March 13, 2017.

<sup>3</sup> Exhibit 22471-X0005, Notice of Application, April 3, 2017.

<sup>4</sup> Exhibit 22471-X0006, AUC information request to AltaGas Utilities Inc. (AUI-AUC-2017APR06-001 to AUI AUI-AUC-2017APR06-004), and Exhibit 22471-X0007, AUC letter to AltaGas - Further process for Proceeding 22471, April 6, 2017.

<sup>5</sup> Exhibit 22471-X0010, Proceeding 22471 - AUI CoC Reg Information Responses - April 25 2017.

<sup>6</sup> Exhibit 22471-X0009, Attachment II - AUI Code of Conduct Plan - April 25, 2017.

<sup>7</sup> Exhibit 22471-X0011, AUC Letter - Close of record for Proceeding 22471, May 4, 2017.

## 2 Background

5. The compliance filing application in this proceeding was filed in accordance with the Commission directions in Decision 21488-D01-2016.

6. AUI made the following changes in a revised version of the interim approved compliance plan, which was filed for the convenience of the Commission:

- Removed references to the inter-affiliate code of conduct and inter-affiliate compliance plan, and replaced them with wording that specifically addressed the requirements of the *Code of Conduct Regulation*.
- Revised Appendix A to clearly identify that the acknowledgment specifically applies to contractors, and added Appendix D, which is a similar acknowledgment document that specifically applies to employees.
- Revised Section 5.1 as directed by the Commission in paragraph 33 of Decision 21488-D01-2016 to include mechanisms that clarify how it will document and manage arrangements between AUI and AltaGas Ltd., and how it would seek an opinion of the Commission that specific arrangements do not create an unfair competitive advantage.
- Made other minor wording edits as required by the Commission, or identified in the compliance filing process.

7. In information request response AUI-AUC-2017APR06-002, and AUI-AUC-2017APR06-003,<sup>8</sup> AUI made further changes to plan sections 3.1, 3.2, 5.2 and 5.3, by removing references to the AUI Terms and Conditions, and by adding references to the Rule 028: *Natural Gas Settlement System Code* and Rule 004: *Alberta Tariff Billing Code* where applicable. Rule 028 and Rule 004 include specific provisions of when and how specific customer information may be provided to other parties, and is complementary to the *Code of Conduct Regulation*.

8. AUI also made wording changes to Section 5.1.1 in response to AUI-AUC-2017APR06-004 d)<sup>9</sup> to clarify it would complete a business case to document the fair market value of any capital arrangements that create cost efficiencies, which will be provided to the VP, Controller for presentation to the compliance plan committee.

## 3 Commission findings

9. The Commission has reviewed the 2017 compliance plan and finds that the changes directed in Decision 21488-D01-2016 and the changes necessitated by the information request

---

<sup>8</sup> Exhibit 22471-X0010, Proceeding 22471 - AUI CoC Reg Information Responses - April 25 2017, PDF pages 3 - 5.

<sup>9</sup> Exhibit 22471-X0010, Proceeding 22471 - AUI CoC Reg Information Responses - April 25 2017, PDF pages 9 - 10.

responses have been correctly reflected. The Commission therefore approves the 2017 compliance plan as filed by AUI, effective on the date of this decision.

10. The Commission expects AUI to post the 2017 compliance plan on its website and, pursuant to Section 31(4) of the *Code of Conduct Regulation*, to provide a copy of the plan to all parties affected by the plan, including its officers, employees, agents and contractors.

#### **4 Order**

11. It is hereby ordered that:

- (1) The AltaGas Utilities Inc. *Code of Conduct Regulation* 2017 compliance plan is approved as filed, effective June 20, 2017.

Dated on June 20, 2017.

#### **Alberta Utilities Commission**

*(original signed by)*

Anne Michaud  
Commission Member