**Ontario Energy Board**

# Filing Requirements For Electricity Transmission Applications

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**CHAPTER 1 OVERVIEW**

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**Ontario Energy Board**

Filing Requirements For Electricity Transmission Applications

**Chapter 1**

**Overview**

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**Chapter 1 Overview**

This document provides information about the Ontario Energy Board’s (OEB) filing requirements for transmission revenue requirement applications and leave to construct applications. It is designed to provide direction to electricity transmitters, who are

expected to file applications consistent with the filing requirements. If circumstances

warrant, the OEB may require an electricity transmitter to file evidence in addition to

what is identified in the filing requirements.

These filing requirements apply only to electricity transmitters. Unless specifically

identified, the words “utility”, “utilities”, “applicant” or “applicants”, in this document refer to

electricity transmitters.

References to a “party” or “parties” may, depending on the context, refer to the

electricity transmitter, OEB staff and any registered intervenors, either individually or

collectively.

The OEB’s [Handbook for Utility Rate Applications](https://www.oeb.ca/sites/default/files/uploads/documents/regulatorycodes/2019-01/Handbook-Utility-Rate-Applications-20161013.pdf) (the Handbook) provides guidance regarding applications to the OEB for approval of rates under the OEB’s [Renewed Regulatory Framework for Electricity](https://www.oeb.ca/industry/policy-initiatives-and-consultations/renewed-regulatory-framework-electricity) (RRF). The Handbook outlines the key principles and expectations the OEB will apply when reviewing rate applications and is applicable to all rate regulated utilities, including electricity distributors, electricity transmitters, natural gas utilities and Ontario Power Generation. The OEB expects utilities to file rate applications consistent with the Handbook unless a utility can demonstrate a strong rationale for departing from it.

## Chapters Included in this Filing Requirements Document

Chapter 1 outlines generic procedural matters and the expectations of the OEB for

parties participating in transmission rate-setting and leave to construct processes.

Chapter 2 details the filing requirements for a revenue requirement application based on one or more forward test years.

Chapter 4 details the filing requirements for a leave to construct and related matters under the requirements outlined in Part VI of the *Ontario Energy Board Act, 1998*.

## Completeness Review

The onus is on the electricity transmitter to file a clearly written, accurate and complete yet succinct application. The application must present information and data consistently across all exhibits and appendices, and demonstrate the need for the proposal, complete with sufficient justifications. To assist electricity transmitters, the OEB has streamlined its filing requirements and offers a pre-application meeting to allow parties to discuss issues that will assist in the preparation of their application.

The filing of a comprehensive application is essential for the development of an accurate Notice of Hearing and for the timely and effective review of an application. Therefore, before the OEB can begin processing the application, it must conduct a preliminary review to determine if the information provided adheres to the filing requirements and provide sufficient information to prepare an accurate Notice of Hearing. As part of the completeness review process, upon the filing of the application, OEB staff checks the application and advises the Registrar of any missing information, errors or inconsistencies in the application. According to the OEB’s [Performance Standards](https://www.oeb.ca/applications/how-file-application/performance-standards-processing-applications), the OEB has 14 calendar days to complete this review.

If the Registrar determines that the application is consistent with the filing requirements, the Registrar will issue a letter notifying the applicant that the OEB has commenced processing the application. This letter marks the start of the OEB’s review of the application.

If there are any information gaps in the application, OEB staff will contact the applicant and provide the applicant with an opportunity to file the missing information. The timing required for filing the missing information is determined by the type of information that is missing.

If the missing information adversely affects the OEB’s ability to prepare the Notice of Hearing or materially affects the OEB’s ability to assess the application, the applicant will be required to file the missing information within the 14-day preliminary review period. If the information cannot be filed within the 14-day review period, the Registrar will issue an “incomplete letter”. This letter will list the information that must be provided before the OEB can commence processing the application.

If the missing information does not adversely affect the OEB’s ability to prepare the Notice of Hearing or materially affect the OEB’s ability to assess the application, the OEB may commence the proceeding before the missing information is filed. In such applications, the Registrar will issue a letter directing the applicant to file the missing information by the date of the OEB’s first procedural order (refer to OEB [Performance Standards](https://www.oeb.ca/applications/how-file-application/performance-standards-processing-applications) for details on the timing of the first procedural order), so that the information is available for the preparation of interrogatories by OEB staff and intervenors. If the information cannot be filed by the noted date and the delay could impact the schedule for the case or the OEB’s ability to continue processing the application, the OEB may stop the proceeding and place the application in abeyance until the missing information is filed.

## Updating an Application

When changes or updates to an application or supporting evidence are necessary, electricity transmitters must follow the requirements of Rule 11 of the [Rules of Practice and Procedure](https://www.oeb.ca/regulatory-rules-and-documents/rules-codes-and-requirements/rules-practice-procedure)(the Rules). When these changes or updates are contemplated in later stages of a proceeding, updates should only be made if there is a material change to the evidence. In these circumstances, there may be a need for further process to review the updated information and the OEB’s planned decision date may shift to accommodate the added process.

## Interrogatories

The OEB advises electricity transmitters to consider the clarity, completeness and accuracy of their evidence in order to reduce the need for interrogatories. The purpose of an interrogatory process is to test and/or to further clarify the evidence, not to seek information that is not relevant or outside the scope of the proceeding. The OEB advises parties to carefully consider the relevance and materiality of information being sought before requesting it through interrogatories.

Parties must consult Rules 26 and 27 of the OEB’s Rules for additional information on the filing of interrogatories and responses.

The OEB may impose a limit on the number of interrogatories (or sub-parts of interrogatories) that may be filed by a party. If the OEB imposes limits, details will be provided through a Procedural Order.

**Materiality**

## The OEB expects parties to explore items that are material. For rate applications, parties should be guided by the materiality thresholds documented in Chapter 2. Intervenors who explore excessively detailed, non-material issues, risk disallowances on cost claims submitted.

## Confidential Information

## The OEB relies on complete disclosure of all relevant material to ensure that its decisions are well-informed. To ensure a transparent and accessible rate review process, electricity transmitters should make every effort to file all material publicly and completely. However, the OEB’s Rules and the [Practice Direction on Confidential Filings](https://www.oeb.ca/sites/default/files/uploads/documents/regulatorycodes/2021-12/Practice-Direction-Confidential-Filings-20211217.pdf) (the Practice Direction) allow electricity transmitters and other parties to request that certain evidence be treated as confidential. In the event a party is requesting confidentiality, the Practice Direction sets out the guidelines for filing a request for confidentiality and associated timelines.

Electricity transmitters should be aware that the OEB is required to devote additional resources to the administration, management and adjudication of confidentiality requests and confidential filings. Electricity transmitters must ensure that filings for which they request confidential treatment are both relevant to the proceeding and in need of confidential treatment in accordance with the Practice Direction. A list of the categories of information that will presumptively be considered confidential is set out in Appendix B of the Practice Direction. To reduce the administrative issues associated with the management of those filings, the OEB expects the applicant to minimize, to the extent possible, requests for confidential treatment of information.

**Certifications**

**Certification of Evidence**

## **An application filed with the OEB must include a certification by a senior officer of the utility that the application is accurate, consistent and complete to the best of their knowledge. The applicant is required to provide a similar certification when interrogatory responses or other evidence are filed in a proceeding.**

## The applicant’s Chief Executive Officer, Chief Financial Officer or equivalent, must provide the certification. The certifications listed in this section may all be completed by one individual within a single document, provided the filing requirements are met.

**Certification Regarding Personal Information**

All parties are reminded of the OEB's requirements regarding the inclusion of personal information in any filed document. Parties should consult Rule 9A of the OEB's Rules (and the Practice Direction, as applicable) regarding how to file documents (including interrogatories) containing personal information.

Two versions of the document shall be filed. Rule 9A of the OEB's Rules states that “any person filing a document that contains personal information, as that phrase is defined in the *Freedom of Information and Protection of Privacy Act*, of another person who is not a party to the proceeding shall file two versions of the document.” There must be one version of the document that is a redacted version of the document from which the personal information has been deleted or stricken. The second version of the document that is un-redacted (i.e., that includes the personal information) should be marked “Confidential—Personal Information”.

The OEB expects that personal information would not typically need to be filed. However, if the applicant is of the opinion that it does need to file personal information as part of its application, the onus is on the applicant to ensure that the application and any evidence filed in support of the application is filed in accordance with Rule 9A of the OEB’s Rules (and the Practice Direction, as applicable).

The certification of evidence filed by a senior officer shall indicate that personal information was not filed. If personal information was included as part of the evidence, the certification shall indicate the filing was in accordance with Rule 9A of the OEB’s Rules (and Practice Direction).

**Certification of Deferral and Variance Account Balances**

The certification filed with an application must include that the applicant has the appropriate processes and internal controls for the preparation, review, verification and oversight of all deferral and variance accounts, regardless of whether the accounts are proposed for disposition.