



Compliance Assurance— Enforcement

EUB PHILOSOPHY

Enforcement is one of several EUB Compliance Assurance processes that support the EUB's mission to ensure that the discovery, development, and delivery of Alberta's resources take place in a manner that is fair, responsible, and in the public interest.

The ultimate goal of EUB enforcement is to ensure compliance with regulations through surveillance activities, early intervention, and education, conducted on behalf of Albertans, our stakeholders. Compliance ensures that resource activity within the province is conducted in a manner that protects public safety, minimizes environmental impact, preserves equity, and ensures effective conservation of resources.

ENFORCEMENT VISION

The EUB believes that enforcement is one part of a total program of effective regulation designed to ensure that energy and utility industries understand, respect, and meet or exceed regulations and standards, often through the implementation of self-imposed guidelines.

ENFORCEMENT PRINCIPLES

- Public safety and environmental protection will not be compromised.
- Enforcement will be timely, effective, and appropriate.

ENFORCEMENT POLICY

The following statements are designed to assist stakeholders' understanding of EUB's enforcement policy:

- Directive 019: Compliance Assurance— Enforcement applies to all EUB requirements and processes and to all areas the EUB regulates, including electric generating and utility transmission facilities (except for utility rate matters).
- Enforcement actions are based on risk assessment of EUB requirements.
- Enforcement actions will be escalated for persistent noncompliance or failure to comply.
- When a licensee is unable or unwilling to comply with direction from the EUB, a rigorous review is initiated of a licensee's pending and future applications, having regard for the compliance performance of the licensee.
- The EUB takes firm and appropriate actions in response to noncompliance which includes the suspension of operations when required.
- The EUB's self-disclosure policy is intended to encourage licensees to proactively identify, report, and correct noncompliance.
- The EUB will make summary licensee compliance category information available on its Web site as system developments allow.
- The EUB will ensure that significant changes to regulations, requirements, and policies are communicated to all customers in a complete and timely way.

ENFORCEMENT OBJECTIVES

The EUB strives to achieve the following goals in a balanced manner when dealing with noncompliance:

- Ensure public safety, environmental protection, preservation of equity, and the conservation of resources
- Work closely with stakeholders for more effective, long-lasting compliance
- Support proactive compliance by increasing the focus on voluntary self-disclosure, education, and early intervention
- Develop EUB capacity to provide timely and complete compliance summaries for licensees as feedback to sustain and improve compliance
- Provide regulatory process certainty

ENFORCEMENT PROCESS

Enforcement actions are initiated by individual EUB groups. However, when necessary, a centralized corporate approach to enforcement is coordinated by the EUB's Corporate Compliance Group.

FOR FURTHER INFORMATION

For further information regarding the above or for a presentation regarding EUB Enforcement, please contact the Corporate Compliance Group by telephone

at (403) 297-3710 or by e-mail at: [EUB.ComplianceCoordination @gov.ab.ca](mailto:EUB.ComplianceCoordination@gov.ab.ca).