

Appendix A

Balanced Scorecard for the 2016-2017 Year

EMPOWERING CONSUMERS

Completed
Partially Completed
Not Completed

Initiative	Priority Actions	Key Milestones	Team	Wt.	Milestone Wt.	Results Achieved	Audit Trail
1. Consumer Outreach	A. Effective community outreach and engagement, supported by a new Public Affairs function, to enhance the quality, quantity and accessibility of resources available to energy consumers.	1. The consumer website has been redesigned and re-launched for ease of use and access to improved consumer information. (50%)	PA	10	50%	100%	- Announcement regarding "New Website and Brand" www.oeb.ca - Deck from Managers Meeting, Mar 24, 17 - IT email re: Website go-live
		2. Tools which enhance information available to consumers through the website and other channels to provide more useful information about energy matters, including energy choices, costs, consumer protection and the role of the OEB have been developed and implemented. (50%)	PA		50%	100%	- List of Tools - Website links - Brochures - Consumer Panel and Community Meeting videos - Executive Team Presentation: "OEB Strategic Communications and Outreach Plan" Jun 27, 2016 - Report "OEB Communications Plan and OEB Brand Mark Research" presented to Executive Team on Sept. 19, 2016
	B. Engage Consumer Panel as an additional resource to access public input, test engagement products and regulatory policy direction.	1. The consumer panel has been engaged to elicit input on emerging OEB policy initiative(s), consumer protection and 2016/2017 Engagement Plan and has been consulted on the following topics: (70%) - Policy: Consumer Charter - Policy: ECPA - Policy: RPP Road Map And on Engagement (30%): Consumer Rep - Engagement: OEB Branding and Website	PA/ LSSP	4	70%	100%	- Discussion guide: OEB Phase 3 Consumer Engagement, June 20, 2016 - Ipsos Public Affairs slide presentation Consumer Panel meeting June 20, 2016 - Consumer Panel Phase 3 Report completed in August 2016 - Consumer Panel Phase 4 Report completed in March 2017 - Consumer Panel Topline Report completed in March 2017 - Presentation on Feb 22, 2017 "Discussion with Small Business Consumers" and Discussion Guide for OEB Phase 4
					30%	100%	Customer facing samples reviewed by consumer panel

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2. Consumer Representation in Decision Making	A. Operationalize new consumer representation model to ensure effective and transparent consumer representation in OEB proceedings Enhance accessibility to the adjudicative process for residential and low volume consumers by taking OEB hearings to the communities impacted by the application and providing enhanced opportunities to participate.	1. Tools to support enhanced involvement of consumers in selected cost of service or custom IR electricity rate applications have been designed, developed and implemented as follows: (100% for all items, each weighted equally) (a) Selected Community meetings have been held (b) Draft guidelines for community hearings have been developed and considered by EPC (c) Process Counsel (OEB contact person for adjudicative matters) is in place (d) Notification process for rate hearings, including social media and other digital tools has been implemented	LSSP (Registrar (Overall)) Applications/ PA LSSP (Registrar) LSSP (Registrar) PA PA LSSP (Registrar)	10	20%	100%	(a) - Consumer Panel and Community meeting videos - Webpage – OEB Community Meetings - Meeting Notice – Thunder Bay Hydro (as example) - Staff Summary of Community Meeting – Thunder Bay Hydro
					20%	100%	(b) - Executive Policy Committee minutes - Agenda for Consumer Engagement Framework Steering Committee, Feb 10, 2017 - Protocol for Hearings in the Community
					20%	100%	(c) - Process Counsel HR Letter - Email from Registrar - Agenda from Consumer Engagement Framework Steering Committee, December 20, 2016 - OEB Contact Person document
					20%	100%	(d) - Slides prepared for Consumer Engagement Framework Steering Committee, December 20, 2016 - OEB Templates page showing updated Letter of Direction templates - Copy of New Letter of Direction sent to NRG and Letter of Direction templates

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		(e) Guidebook for adjudicative processes has been approved by EPC			20%	50%	Business Case presented to MC on Apr 19, 2017
3. Consumer Protection	A. Develop a Consumer Charter/Consumer Bill of Rights.	1. Draft OEB Consumer Charter/Bill of Rights has been approved by Exec. Policy. (100%)	PA and CPIP	4	100%	100%	- EPC minutes Oct 26, 2016 - EPC Briefing Note Oct 26, 2016 - Board Meeting minutes Nov 9, 2016 - Board Meeting Briefing Note Nov 9, 2016
	B. Consider approaches to enhancing the OEB's oversight capacity to better respond to and "advocate" for consumers.	1. New internal and external complaint handling processes and timelines have been developed, approved by EPC and implemented for specific regulated entities. (100%)	PA and CPIP	2	100%	50%	Business Case presented to MC on Apr 19, 2017
4. Ontario Energy Support Program (Ministerial Request)	A. Implement Ontario Energy Support Program (OESP) to provide ongoing rate relief for low income consumers.	1. An ongoing communications strategy designed to maximize reach and support enrollment of low income consumers has been implemented. (50%)	PA	4	50%	100%	- OESP Communication Strategy presented to the Deputy Minister on Apr 11, 2016 - Meeting Invitation for Apr 11, 2016 - OESP PHD Report dated Jan 25th, 2017 (proof that the program was launched) - Samples of Media Purchase Authorization signed by the Chair of OEB
	B. Conduct ongoing evaluation and maintenance of the program as required.	1. First annual evaluation plan has been presented to EPC. (50%)	CPIP		50%	100%	- EPC minutes March 1, 2017 - OESP Briefing Note March 1, 2017 - OESP - A Framework for Program Evaluation March 1, 2017

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5. Energy Consumer Protection Act (Ministerial Request)	A. Complete review of the Energy Consumer Protection Act and implement approved measures, as appropriate.	1. Revised disclosure statements and price comparisons, along with new consumer-facing materials ("tip sheet"), to reflect the changes to the ECPA regime have been issued. (50%)	LSSP/PA/CPIP	4	50%	100%	- EPC minutes March 8, 2017 - EPC Briefing Note March 8, 2017 - Website page showing that Disclosure Statements, Price Comparisons and Tip Sheet were issued on March 31, 2017
		2. A communications strategy for communicating the new ECPA rules has been launched. (50%)			50%	100%	- Posted on the website "Media Release", "Backgrounder" and "Matte Story". http://www.ontarioenergyboard.ca/OEB/Industry/Media+Room/News+Releases#20170131 http://www.ontarioenergyboard.ca/OEB/Consumers/Energy+Contracts/Before+Signing+an+Energy+Contract - ECPA Coverage Analysis (proof that program was launched and executed)
6. Section 35 Request from the Minister on First Nations rates	A. Respond to Minister's request for advice on First Nations rates	1. Provide advice to the Minister on First Nations Rates. (100%)	LSSP	4	100%	100%	- Official Request received by the Minister on June 27, 2016 - Email from the Chair to the Ministry of Energy - Report to the Minister (<i>confidential</i>)
7. Section 35 request on retail Transportation Fuels pricing	A. Respond to Minister's request for advice on Retail Transportation Fuels Prices	1. TOR for advice on Gasoline pricing has been approved by EPC and Consultant has been retained. (100%)	LSSP	2	100%	100%	- Official Request received by the Minister on November 9, 2016 - EPC Meeting minutes Dec 13, 2016 - Terms of Reference: OEB Report on Retail Transportation Fuels Prices - Contract signed by OEB and Consultant March 28, 2017
Total				44			

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Completed

Partially Completed

Not Completed

ENHANCING UTILITY PERFORMANCE

Initiative	Priority Actions	Key Milestones	Team	Wt.	Milestone Wt.	Results Achieved	Audit Trail
8. Good Governance	A. Develop guidance for regulated utilities on best practices in corporate governance to encourage governance which protects consumers and enhances consumer and investor confidence in regulated entities.	1. Draft Guidance for regulated utilities on best practices on corporate governance has been received from consultant and its posting approved by EPC for consultation. (100%)	LSSP	4	100%	100%	- EPC meetings minutes December 7, 2016 and January 25, 2017 - Cover note and presentation to EPC December 1, 2016 - Briefing note to EPC January 25, 2017 - Cover Letter and Final Report: Corporate Governance for Regulated Natural Gas and Electricity Utilities - Web links to the letter and report posted on the OEB website
9. Optimal Investment Decision	A. Review rate setting policies in support of infrastructure planning and investment decisions with a view to improving incentives for optimal decision making.	1. A Joint Strategy session has been held with Management Committee and the Executive Team to scope and determine objectives for the optimal decision making initiative. (100%)	LSSP	3	100%	100%	- Email to attendees of strategy session summarizing objectives for the session - Agendas for Strategy sessions, January 18 and February 8, 2017 - Strategic Discussion Workbook, January 18, 2017, includes "Way Forward re Rate Regulation" presentation. - Business Plan matrix - Strategic Discussion notes from January 18 and February 8, 2017 sessions. - Cover letter to Minister Thibeault - Draft OEB 2017-2020 Business Plan - Facilitator's report, March 23, 2017
10. Gas Supply Planning	A. Complete a review of gas supply planning by gas utilities and any other matters stemming from the annual Natural Gas Market Review, including review of the gas Quarterly Rate Adjustment Mechanism (QRAM) to ensure that utilities are meeting customer needs in an optimal manner.	1. EPC has approved the Staff Report to the Board on Natural Gas Supply Planning. (100%)	CPIP/APP	2	100%	100%	- EPC meetings minutes July 5, 2016 - Cover note and Draft staff Report presented to EPC July 5, 2016 - Letter and Staff report issued on Aug 12, 2016 - Web links to the letter and report posted on the OEB website

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Completed
Partially Completed
Not Completed

ENHANCING UTILITY PERFORMANCE

Initiative	Priority Actions	Key Milestones	Team	Wt.	Milestone Wt.	Results Achieved	Audit Trail
11. Performance Monitoring Network	A. Establish effective reporting frameworks and enhanced auditing and benchmarking mechanisms and capacity to undertake business analytics to assist the OEB in enhancing utility performance.	1. Final performance assessment framework for use in assessing applications has been submitted to EPC and approved. (100%)	CPIP	4	100%	100%	- EPC meetings minutes March 29, 2017 - Cover note and Presentation presented to EPC March 29, 2017

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Balanced Scorecard for the 2016-2017 Year

ENABLING ACCESS TO COMPETITIVE ENERGY CHOICES

Completed
 Partially Completed
 Not Completed

Initiative	Priority Actions	Key Milestones	Team	Wt.	Milestone Wt.	Results Achieved	Audit Trail
12. Smarter Electricity Delivery Rates	A. Complete and implement changes in distribution rates for residential electricity customers to support the efficient use of electricity infrastructure, and formulate and assess options for changes to rate design for non-residential electricity customers.	1. Analysis and recommended approach for commercial and industrial classes has been approved by EPC (100%).	CPIP	4	100%	100%	- EPC meetings minutes March 8, 2017 - Staff Briefing note March 8, 2017 - Commercial Industrial Rate Design deck - Navigant Memorandum March 8, 2017
13. Cyber-Security	A. Further develop a risk-based cyber-security regulatory framework for OEB oversight of electricity distributor protection of consumer data and distribution network security.	1. Draft LDC cyber security framework has been approved by EPC. (100%)	CPIP	4	100%	100%	- EPC meetings minutes February 15, 2017 - Presentation and Executive Summary presented at EPC meeting on February 15, 2017
14. Smarter Electricity Prices	A. Develop a revised methodology for the Regulated Price Plan and implement as approved. Include an assessment of options for a more efficient allocation of supply costs under the Global Adjustment to encourage conservation by providing understandable price signals to customers.	1. Guidelines to invite proposals by LDCs that reflect priorities identified in the Roadmap have been developed and issued. (50%)	LSSP	4	50%	100%	- Letter and Guidelines dated July 18, 2016 issued to all Rate Regulated Electricity Distributors - RPP Roadmap webpage (EB-2016-0201) - Pilot Program: Project Overview Application - EPC meetings minutes February 15 and March 29, 2017
		2. Pilot projects for implementation have been approved by EPC. (50%)			50%	100%	- London Hydro Pilot Staff Briefing note February 15, 2017 - Alectra Utilities Pilot Staff Briefing note March 29, 2017 - EPC meetings minutes February 15 and March 29, 2017

Balanced Scorecard for the 2016-2017 Year

ENABLING ACCESS TO COMPETITIVE ENERGY CHOICES

Completed

Partially Completed

Not Completed

Initiative	Priority Actions	Key Milestones	Team	Wt.	Milestone Wt.	Results Achieved	Audit Trail
15. Gas Demand-side Management Framework Evaluation	A. Continue to evolve the framework through studies including achievable potential for natural gas savings in Ontario and the use of demand-side management to defer infrastructure investments. Evaluate the performance of the framework by June 1, 2018.	1. Plan for EM&V of DSM results has been reviewed by EPC (50%)	APP	2	50%	100%	- EPC Agenda June 22, 2016 - EPC cover note and PPT Presentation – DSM EM&V Plan, June 22, 2016 - EPC meetings minutes and EPC Agenda March 29, 2017 - EPC cover note and PPT Presentation – DSM EM&V Plan, March 29, 2017
		2. Natural gas energy efficiency achievable potential study has been presented to EPC (50%)			50%	100%	- EPC Agenda and Presentation Jun 22, 2016 - Adjudicative Committee Meeting Agenda and attendees list June 22, 2016 - Natural Gas Potential Study presentation June 22, 2016 - Letter dated June 30, 2016 sent to Deputy Minister - Cover Sheet of final report posted by OEB http://www.ontarioenergyboard.ca/oeb/Documents/EB2015-0117/CF_Report_Gas_Conservation_Potential_Study.pdf

Balanced Scorecard for the 2016-2017 Year

ENABLING ACCESS TO COMPETITIVE ENERGY CHOICES

Completed

Partially Completed

Not Completed

Initiative	Priority Actions	Key Milestones	Team	Wt.	Milestone Wt.	Results Achieved	Audit Trail
16. Cap and Trade	A. Develop and implement the necessary regulatory framework to address rate making issues arising from the cap and trade program	1. Final Framework has been approved by Cap and Trade Steering Committee and has been issued. (75%)	LSSP	8	75%	100%	- Board Meeting Cover note Sept. 1, 2016 - Slide presentation to the Board September 1, 2016 - Board meeting minutes, September 1, 2016, approving Cap and Trade Framework - Web links to the letter issued to stakeholders and report posted on the OEB website - Letter issued on Sep 26, 2016 - Report: Regulatory Framework for the Assessment of Costs of Natural Gas Utilities' Cap and Trade Activities
		2. Interim rates for gas distributors have been set by January 1. (25%)			25%	100%	- OEB Consumer webpage – NG Rates - Union Gas and Enbridge Residential Rates, effective January 1, 2017 - NRG Residential Rates, effective January 1, 2017 - OEB Decisions webpage and Web links
17. Evolving Energy Sector	A. Complete a review of Ontario's energy services market, identifying energy trends and their implications for prices, services, infrastructure utilization, and regulated businesses in Ontario. Address any regulatory barriers that limit ability of valued energy services to compete in Ontario.	1. A Joint Strategy session has been held with Management Committee and the Executive Team. (100%)	LSSP	3	100%	100%	- Email to attendees of strategy session summarizing objectives for the session - Agendas for Strategy sessions, January 18 and February 8, 2017 - Strategic Discussion Workbook, January 18, 2017, includes "Way Forward re Rate Regulation" presentation. - Business Plan matrix - Strategic Discussion notes from January 18 and February 8, 2017 sessions. - Cover letter to Minister Thibault - Draft OEB 2017-2020 Business Plan - Facilitator's report, March 23, 2017
Total				25			

Balanced Scorecard for the 2016-2017 Year
IMPROVING REGULATION

Initiative	Priority Actions	Key Milestones	Team	Wt.	Milestone Wt.	Results Achieved	Audit Trail
18. Stakeholder Engagement Framework	A. Implement stakeholder engagement framework including annual executive energy forums, Chair's Advisory Roundtable, and Regulatory and Industry Affairs Standing Committees.	1. The Chair's Advisory Roundtable has been held. (40%)	/PA	2	40%	0%	• Not Completed
		2. The Regulatory Affairs Standing Committee meetings have been held. (30%)			30%	100%	• June 20, 2016 Meeting materials • October 24, 2016 Meeting materials • February 22, 2017 Meeting materials
		3. The Industry Affairs Standing Committee meetings have been held. (30%)			30%	100%	• May 25, 2016 meeting materials September 22, 2016 meeting materials
19. Adjudicative Process	A. Having successfully implemented a Registrar function in FY2014, the OEB will seek opportunities to further improve the efficiency and effectiveness of its adjudicative processes.	1. Organizational process changes to support Adjudicative Model Review have been implemented. (40%)	LSSP APP	8	40%	100%	• June 24, 2016 Applications update calendar • June 28, 2016 All staff meeting calendar • June 28, 2016 All employee meeting presentation • Oct. 3, 2016 Announcement from Applications (J. Scott and D. Gopic) • Oct. 11, 2016 Announcement from Applications (N. Marconi)
		2. A Handbook which explains the rate setting process has been approved by the Board and posted. (60%)			60%	100%	• Board Meeting agenda and minutes September 28, 2016 • Email sent from Christine Long (OEB, Vice chair) to the Chair and Board Members • Handbook for Utility Rate Application issued on Oct 13, 2016 and web link

Balanced Scorecard for the 2016-2017 Year
IMPROVING REGULATION

Initiative	Priority Actions	Key Milestones	Team	Wt.	Milestone Wt.	Results Achieved	Audit Trail
20. Policy Evaluation Framework	A. Refine the policy evaluation framework developed in 2011 to establish an ongoing function and implement systematic policy evaluation to ensure ongoing effectiveness of regulatory policies and programs.	1. Policy evaluation framework has been assessed, modified if required and approved by EPC to ensure policy evaluation forms part of project deliverables. (50%)	LSSP	2	50%	100%	- EPC Meeting minutes July 20, 2016 - EPC Meeting minutes March 8, 2017 - Briefing Note presented to EPC on July 20, 2016
		2. Based on the Framework, a set of policies for evaluation has been identified and reported to EPC. (50%)			50%	100%	- EPC Cover note March 8, 2017 - Policy Evaluation Plan Presentation to EPC March 8, 2017 - EPC Meeting minutes March 8, 2017
Total				12			

Grand Total	94
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