

# Memorandum



**Date:** May 20, 2014  
**From:** Norman MacLeod, Executive Director  
**To:** CASA Directors & Alternates  
**Subject:** CASA Board Meeting – June 5, 2014

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Attached are the draft agenda and briefing materials for the next meeting of the CASA Board of Directors, which is scheduled from **9.00am to 3:05pm** on Thursday, June 5, 2014. The meeting will be held at:

**Double Studio, 2<sup>nd</sup> Floor  
Telus Sparks Centre  
220 St. George Drive NE  
Calgary, Alberta**

Subject to project team discussions there may be a supplementary package emailed out and also hard copies provided at the meeting.

We look forward to seeing you at the meeting.

Sincerely,

Norman MacLeod  
(780) 644 5160

**June 5, 2014**  
**Board of Directors Meeting**

# ABOUT CASA

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## **Vision:**

**The air will have no adverse odour, taste or visual impact and have no measurable short or long term adverse effects on people, animals or the environment.**

## **Mission:**

**The Clean Air Strategic Alliance is a multi-stakeholder alliance composed of representatives selected by industry, government and non-government organizations to provide strategies to assess and improve air quality for Albertans, using a collaborative consensus process.**

***Annual General Meeting***

***Administration***

***Strategic Planning***

***Project Management***

***Risk Management  
Framework/Plan***

***New/Other Business***

**Clean Air Strategic Alliance – Annual General Meeting**

**Telus Sparks Centre  
220 St. George Drive NE  
Calgary, Alberta**

**June 5, 2014**

**Draft AGM Agenda**

	<b>1.0 ANNUAL GENERAL MEETING</b>	<b>1</b>
9:00 – 9:15 (15 min)	<b>1.1 Welcome, Approve AGM Agenda</b> <i>Objective: Convene Annual General Meeting and approve agenda.</i>	
	<b>1.2 Minutes of Last Annual General Meeting</b> <i>Objective: Approve minutes from the last Annual General Meeting on June 6, 2013</i>	
	<b>1.3 CASA Membership</b> <i>Objective: Reaffirm the membership of CASA's board of directors.</i>	
	<b>1.4 Audited 2013 Financial Statements</b> <i>Objective: Present CASA's 2013 audited financial statements to members.</i>	

## ***DECISION SHEET***

***ITEM:***                    1.2     **Minutes of Last Annual General Meeting June 6, 2013**

***ISSUE:***                    Minutes from the previous annual general meeting on June 6, 2013 are subject to approval by the members at the subsequent annual general meeting.

***BACKGROUND:***        Draft minutes and Executive Summary are sent to the CASA executive committee for review prior to distribution to the members. Once members receive the minutes, they are asked to review them for accuracy and report any errors or omissions to the board at the subsequent meeting at which time final approval is given to the minutes.

***ATTACHMENT:***        A.        Draft Minutes from June 6, 2013

***DECISION:***              Approve the minutes from the June 6, 2013 annual general meeting.

# DRAFT Minutes

Item 1.2 – Attachment A

## *CASA Annual General Meeting*

**June 6, 2013**

**Edmonton**

### **In attendance**

#### **CASA Board Members and Alternates:**

Brian Ahearn, Petroleum Products  
Leigh Allard, NGO Health  
Humphrey Banack, Agriculture  
Ann Baran, NGO Wilderness  
Elise Bieche, Oil and Gas Large Producers  
Rick Blackwood, Provincial Government  
Environment  
Tom Burton, Local Government Rural  
Bill Calder, NGO Urban  
Martin Chamberlain, Provincial Government  
Energy  
Dawn Friesen, Provincial Government Health  
Brian Gilliland, Forestry  
Jim Hackett, Utilities  
Holly Johnson-Rattlesnake, Aboriginal  
Government First Nations  
David Lawlor, Alternate Energy  
Yolanta Leszczynski, Chemical Manufacturers  
Keith Murray, Forestry  
Al Schulz, Chemical Manufacturers  
Chris Severson-Baker, NGO Pollution  
Rich Smith, Agriculture  
David Spink, NGO Wilderness  
Dan Thillman, Mining  
Don Wharton, Utilities  
Tim Whitford, Local Government Urban  
Scott Wilson, NGO, Consumer Transportation  
Ruth Yanor, NGO Pollution

#### **CASA Secretariat:**

Kaylyn Airey  
Karen Bielech  
Celeste Dempster  
Alison Hughes  
Robyn Jacobsen  
Norman MacLeod  
Michelle Riopel  
Struan Robertson  
Karen Sigurdson

#### **Guests:**

Linda Jabs, ESRD  
Ruth Mitchell, Alberta Health  
Merry Turtiak, Alberta Health  
Sharon Willianen, ESRD

#### **Regrets:**

Cindy Christopher, Petroleum Products  
Carolyn Kolebaba, Local Government Rural  
Neil MacDonald, Provincial Government  
Health  
Audrey Murray, Provincial Government  
Energy  
Mike Norton, Federal Government  
Mary Onukem, Aboriginal Government Métis  
Janis Seville, NGO Health  
Don Szarko, NGO, Consumer Transportation  
Martin Van Olst, Federal Government  
Dana Woodworth, Provincial Government  
Environment

### **1.1 Welcome, Approve AGM Agenda**

Those present introduced themselves. David Lawlor convened the Annual General Meeting (AGM) at 9:10 a.m.

*The board approved the AGM agenda as circulated by consensus.*

### **1.2 Minutes of Last Annual General Meeting**

The spelling of “Schultz” was noted as incorrect because it should not include a “t.”

*The board approved the minutes of the September 27, 2012 Annual General Meeting by consensus, with the correct spelling of Schulz.*

### **1.3 CASA Membership**

CASA’s board is limited to a maximum of 22 members. There are no set terms for the duration of membership in CASA, and any member may withdraw by informing the secretariat in writing of its intent to do so. The current CASA board consists of 22 sectors including nine from industry, five from non-government organizations, and eight from government (including provincial, federal, local, and aboriginal governments). There are currently two sector vacancies under NGO Pollution and Oil and Gas Small Producers.

*The board approved the structure and composition of the board by consensus.*

### **1.4 Audited 2012 Financial Statements**

At its meeting on March 27th of this year, the board approved CASA’s audited financial statements for the purpose of including them in the 2012 Annual Report. The tabling of the statements on June 6, 2013 is in compliance with the legal requirement of the *Societies Act of Alberta*.

### **1.5 Select Auditor for 2013**

Hawkings Epp Dumont LLP was retained to conduct the CASA audits for 2007 and 2010. CASA issued a Request for Quotes in April 2013 and received a single quote from Hawkings Epp Dumont. The Executive reviewed the quote and recommends that the board re-appoint Hawkings Epp Dumont as auditors for the next three years.

*The board approved the appointment of Hawkings Epp Dumont LLP as auditors for CASA in 2013-2015.*

The AGM was adjourned at 9:30 a.m. and was followed by the regular meeting of the board.



## **DECISION SHEET**

**ITEM:** 1.3 **CASA Membership**

**ISSUE:** The Annual General Meeting provides an opportunity for the CASA board to examine its membership and reaffirm that the balance and composition remain satisfactory.

**BACKGROUND:** CASA's bylaws outline the terms for membership in the organization. In brief, the CASA board approves members and determines under which stakeholder group the member will be classified (industry, government, or non-government). In turn, each member is asked to appoint a director to act as representative at all meetings and has the option to also appoint an alternate director.

CASA's board is limited to a maximum of twenty-two (22) members. Each stakeholder group requires representation of at least 20% but will not exceed 49% of the total number of members. There are no set terms for the duration of membership in CASA, and any member may withdraw by informing the Secretariat in writing of its intent to do so.

In line with the CASA bylaws, the current CASA board consists of twenty-two (22) sectors, including nine (9) from industry, five (5) from non-government organizations, and eight (8) from government (including provincial, federal, local, and aboriginal governments). There is currently one sector vacancy, Oil & Gas – Small Producers.

**ATTACHMENT:** A. List of CASA stakeholder groups and representatives.

**DECISION:** Approve CASA's membership as per the attached table.

**Clean Air Strategic Alliance  
List of Stakeholder Groups and Representatives**

<b>Stakeholder Group</b>	<b>Sector</b>	<b>Member</b>	<b>CASA Board Representative</b>	
			<b>Director, Association/Affiliation</b>	<b>Alternate Director, Association/Affiliation</b>
Industry	Petroleum Products	Canadian Fuels Association (formerly CPPI)	<b>Brian Ahearn</b> , Vice President – Western Division Canadian Fuels Association	<b>Peter Noble</b> – Senior Regulatory Affairs Manager Imperial Oil
NGO	NGO Health	The Lung Association - Alberta & NWT	<b>Leigh Allard</b> , President & CEO The Lung Association - Alberta & NWT	<b>Janis Seville</b> , Director of Health Initiatives The Lung Association – Alberta & NWT
NGO	NGO Rural	Southern Alberta Group for the Environment	<b>Ann Baran</b> Southern Alberta Group for the Environment	<b>Vacant</b>
Industry	Mining	Alberta Chamber of Resources	<b>Rob Beleutz</b> , Environmental, Health and Safety Manager Graymont Western Canada Inc.	<b>Dan Thillman</b> , Plant Manager Lehigh Cement
Government	Federal	Environment Canada	<b>Cheryl Baraniecki</b> , Associate Regional Director General, West & North Environment Canada	<b>Martin Van Olst</b> , Senior Analyst Environment Canada
Government	Provincial Government – Energy	Alberta Energy	<b>Martin Chamberlain</b> , Assistant Deputy Minister Alberta Energy	<b>Audrey Murray</b> , Branch Head Environment and Resource Services Alberta Energy
Industry	Oil & Gas – Large Producers	Canadian Association of Petroleum Producers	<b>Claude Chamberland</b> , President Canadian Association of Petroleum Producers	<b>Vacant</b>
Industry	Forestry	Alberta Forest Products Association	<b>Brian Gilliland</b> , Manager International Environmental Affairs Weyerhaeuser Co. Ltd.	<b>Keith Murray</b> , Director Environmental Affairs Alberta Forest Products Association
Government	Local Government - Rural	Alberta Association of Municipal Districts & Counties	<b>Al Kemmere</b> , District 2 Director AAMDC	<b>Vacant</b>
Industry	Alternate Energy		<b>David Lawlor</b> , Director Environmental Affairs ENMAX	<b>Vacant</b>
Aboriginal Government	First Nations	Samson Cree Nation	<b>Holly Johnson Rattlesnake</b> Samson Cree Nation	<b>Vacant</b>
Industry	Chemical Manufacturers	Chemistry Industry Association of Canada (CIAC)	<b>Yolanta Leszczynski</b> , SD/ Env Regulatory Coordinator Shell Scotford Manufacturing	<b>Al Schulz</b> , Regional Director Chemistry Industry Association of Canada (CIAC)

**Clean Air Strategic Alliance  
List of Stakeholder Groups and Representatives**

Government	Provincial Government – Health	Alberta Health	<b>Linda Mattern</b> , Assistant Deputy Minister Acute Care & Population Health Division Alberta Health	<b>Dawn Friesen</b> , Executive Director Health Protection Alberta Health
Aboriginal Government	Métis	Métis Settlements General Council	<b>Mary Onukem</b> , Environmental Coordinator Métis Settlements General Council	<b>Vacant</b>
NGO	NGO Industrial	Pembina Institute	<b>Chris Severson-Baker</b> , Managing Director Pembina Institute	<b>Ruth Yanor</b> Mewassin Community Council
NGO	NGO Urban	Prairie Acid Rain Coalition	<b>David Spink</b> Prairie Acid Rain Coalition	<b>Bill Calder</b> Prairie Acid Rain Coalition
Industry	Agriculture	Alberta Beef Producers	<b>Rich Smith</b> , Executive Director Alberta Beef Producers	<b>Humphrey Banack</b> Alberta Federation of Agriculture
NGO	Consumer Transportation	Alberta Motor Association	<b>Don Szarko</b> , Director Alberta Motor Association	<b>Scott Wilson</b> , Senior Policy Analyst Alberta Motor Association
Government	Provincial Government – Environment	Alberta Environment Sustainable Resource Development	<b>Bill Werry</b> , Deputy Minister Alberta Environment and Sustainable Resource Development	<b>Rick Blackwood</b> , Assistant Deputy Minister Alberta Environment and Sustainable Resource Development
Industry	Utilities	TransAlta Corporation	<b>Don Wharton</b> , Vice President Sustainable Development TransAlta Corporation	<b>Jim Hackett</b> , Director, Health, Safety, Security & Environment Health & Safety, Environment ATCO Group, Utilities
Government	Local Government – Urban	Alberta Urban Municipalities Association	<b>Tim Whitford</b> , Councillor Town of High River Alberta Urban Municipalities Association	<b>Vacant</b>
Industry	Oil & Gas – Small Producers	Vacant	<b>Vacant</b>	<b>Vacant</b>

## **INFORMATION SHEET**

**ITEM:**                    1.4     **Audited Financial Statements 2013**

**BACKGROUND:**     The audited financial statements are tabled each year at CASA's annual general meeting in accordance with the Societies Act of Alberta. In compliance with the act, the statement:

- details income and disbursements,
- details assets and liabilities, and
- is signed by the society's auditor.

At its meeting on March 13<sup>th</sup> of this year, the board approved the audited financial statements for the purpose of including them in the 2013 Annual Report. The tabling of the statements at this time is in compliance with the legal requirement of the Societies Act of Alberta.

A summarized version of the statements appears in the 2013 Annual Report to improve readability and efficient use of resources. The full statements are attached to this sheet and will be made available upon request.

The draft text for the 2013 Annual Report was reviewed by the board at their meeting on March 13, 2014. The executive committee approved the report by email in February. The final version of the annual report will be mailed out to board members and stakeholders in July and will be available on the CASA website.

**ATTACHMENTS:**     A.     Audited Financial Statements (2013)

**THE CLEAN AIR STRATEGIC  
ALLIANCE ASSOCIATION**

**EDMONTON, ALBERTA**

**FINANCIAL STATEMENTS**

**FOR THE YEAR ENDED DECEMBER 31, 2013**



## INDEPENDENT AUDITORS' REPORT

To the Members of The Clean Air Strategic Alliance Association

We have audited the accompanying financial statements of The Clean Air Strategic Alliance Association, which comprise the statement of financial position as at December 31, 2013 and the statements of operations and changes in fund balances and cash flows for the year then ended, and a summary of significant accounting policies and other explanatory information.

### *Management's Responsibility for the Financial Statements*

Management is responsible for the preparation and fair presentation of these financial statements in accordance with Canadian accounting standards for not-for-profit organizations, and for such internal control as management determines is necessary to enable the preparation of financial statements that are free from material misstatement, whether due to fraud or error.

### *Auditors' Responsibility*

Our responsibility is to express an opinion on these financial statements based on our audit. We conducted our audit in accordance with Canadian generally accepted auditing standards. Those standards require that we comply with ethical requirements and plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditors' judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

### *Opinion*

In our opinion, the financial statements present fairly, in all material respects, the financial position of The Clean Air Strategic Alliance Association as at December 31, 2013 and the results of its operations and its cash flows for the year then ended in accordance with Canadian accounting standards for not-for-profit organizations.

*Hawkings Epp Dumont LLP*

Edmonton, Alberta  
February 13, 2014

Hawkings Epp Dumont LLP  
Chartered Accountants

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HAWKINGS.COM



**MANAGEMENT'S RESPONSIBILITY  
FOR FINANCIAL REPORTING**

The management of The Clean Air Strategic Alliance Association is responsible for the preparation of these financial statements and is responsible for their reliability, completeness and integrity. They conform, in all material respects, to Canadian accounting standards for not-for-profit organizations.

Management maintains the necessary accounting and internal control systems designed to ensure: the timely production of reliable and accurate financial information, the protection of assets (to a reasonable extent) against loss or unauthorized use, and the promotion of operational efficiency. The Board of Directors oversees management's responsibilities for the financial reporting and internal control systems.

The external auditors, appointed by the Board of Directors, conducted an audit of these financial statements in accordance with Canadian generally accepted auditing standards. The Executive Director reviewed these financial statements with the external auditors in detail before recommending their approval to the Board.

Edmonton, Alberta  
February 13, 2014

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Norman MacLeod  
Executive Director

## THE CLEAN AIR STRATEGIC ALLIANCE ASSOCIATION

## STATEMENT OF FINANCIAL POSITION

AS AT DECEMBER 31, 2013ASSETS

	<u>Core</u>	<u>External Projects</u>	<u>Total 2013</u>	<u>2012</u>
<b>Current Assets</b>				
Cash and cash equivalents (Note 3)	\$1,670,089	\$ 555,823	\$2,225,912	\$1,192,358
Accounts receivable (Note 4)	18,376	32,531	50,907	11,401
Interfund receivable (payable)	(1,860)	1,860	-	-
Prepaid expenses	<u>9,808</u>	<u>-</u>	<u>9,808</u>	<u>3,260</u>
	1,696,413	590,214	2,286,627	1,207,019
Tangible Capital Assets (Note 5)	4,827	5,097	9,924	12,200
Intangible Assets (Note 6)	<u>4,251</u>	<u>37,964</u>	<u>42,215</u>	<u>35,552</u>
	<u>\$1,705,491</u>	<u>\$ 633,275</u>	<u>\$2,338,766</u>	<u>\$1,254,771</u>

LIABILITIES AND FUND BALANCES

<b>Current Liabilities</b>				
Accounts payable and accrued liabilities	\$ 58,381	\$ 15,750	\$ 74,131	\$ 70,829
Deferred contributions (Note 7)	<u>1,257,871</u>	<u>574,462</u>	<u>1,832,333</u>	<u>756,030</u>
	1,316,252	590,212	1,906,464	826,859
<b>Long term Liabilities</b>				
Deferred contributions - tangible capital and intangible assets (Note 8)	<u>9,078</u>	<u>43,063</u>	<u>52,141</u>	<u>47,751</u>
	<u>1,325,330</u>	<u>633,275</u>	<u>1,958,605</u>	<u>874,610</u>
<b>Fund Balances</b>				
Internally restricted (Note 2 (b))	290,000	-	290,000	290,000
Unrestricted (Available for operations)	<u>90,161</u>	<u>-</u>	<u>90,161</u>	<u>90,161</u>
	<u>380,161</u>	<u>-</u>	<u>380,161</u>	<u>380,161</u>
	<u>\$1,705,491</u>	<u>\$ 633,275</u>	<u>\$2,338,766</u>	<u>\$1,254,771</u>

**ON BEHALF OF THE BOARD:**

\_\_\_\_\_ Director

\_\_\_\_\_ Director



**THE CLEAN AIR STRATEGIC ALLIANCE ASSOCIATION**

**STATEMENT OF OPERATIONS AND CHANGES IN FUND BALANCES**

**FOR THE YEAR ENDED DECEMBER 31, 2013**

	<u>Core</u>	<u>External Projects</u>	<u>Total</u> <u>2013</u>	<u>2012</u>
Revenue				
Grants (Note 7)	\$ 1,014,783	\$ 66,896	\$ 1,081,679	\$ 1,070,969
Other Income	364	-	364	5,932
Amortization of deferred contributions - tangible capital assets and intangible assets (Note 8)	3,542	14,086	17,628	16,375
Interest	<u>22,840</u>	<u>621</u>	<u>23,461</u>	<u>14,142</u>
	<u>1,041,529</u>	<u>81,603</u>	<u>1,123,132</u>	<u>1,107,418</u>
Expenses (Schedule 1)				
Projects	351,607	-	351,607	384,453
General and administrative	382,355	-	382,355	393,265
Board support	101,740	-	101,740	100,583
Communications	166,917	-	166,917	99,848
Other	38,910	-	38,910	20,299
External projects	<u>-</u>	<u>81,603</u>	<u>81,603</u>	<u>108,970</u>
	<u>1,041,529</u>	<u>81,603</u>	<u>1,123,132</u>	<u>1,107,418</u>
Excess of Revenue over Expenses	-	-	-	-
Fund Balances, Beginning of Year	<u>380,161</u>	<u>-</u>	<u>380,161</u>	<u>380,161</u>
Fund Balances, End of Year	<u>\$ 380,161</u>	<u>\$ -</u>	<u>\$ 380,161</u>	<u>\$ 380,161</u>

**THE CLEAN AIR STRATEGIC ALLIANCE ASSOCIATION**

**STATEMENT OF CASH FLOWS**

**FOR THE YEAR ENDED DECEMBER 31, 2013**

	<u>2013</u>	<u>2012</u>
<b>Operating Activities</b>		
Excess of revenues over expenses	\$ -	\$ -
Items not affecting cash:		
Amortization of tangible capital assets	3,543	4,710
Amortization of intangible assets	14,085	11,665
Amortization of deferred contributions - tangible capital assets and intangible assets	<u>(17,628)</u>	<u>(16,375)</u>
	-	-
 Change in non-cash working capital balances related to operations:		
Decrease in accounts receivable	(39,506)	1,381
Decrease in accrued interest receivable	-	1,876
Decrease in prepaid expenses	(6,548)	-
Increase in accounts payable and accrued liabilities	3,302	12,834
Increase (decrease) in deferred contributions	<u>1,076,306</u>	<u>(103,269)</u>
	<u>1,033,554</u>	<u>(87,178)</u>
 <b>Financing Activities</b>		
Deferred contributions received - tangible capital assets and intangible assets	<u>22,017</u>	<u>19,083</u>
 <b>Investing Activities</b>		
Purchase of tangible capital assets and intangible assets	<u>(22,017)</u>	<u>(19,083)</u>
 Change in Cash and Cash Equivalents During the Year	1,033,554	(87,178)
Cash and Cash Equivalents, Beginning of Year	<u>1,192,358</u>	<u>1,279,536</u>
Cash and Cash Equivalents, End of Year	<u>\$ 2,225,912</u>	<u>\$ 1,192,358</u>
 Additional Cash Flow Information:		
Interest received	<u>\$ 15,219</u>	<u>\$ 14,142</u>

The accompanying notes are an integral part of these financial statements.

**THE CLEAN AIR STRATEGIC ALLIANCE ASSOCIATION**

**NOTES TO FINANCIAL STATEMENTS**

**DECEMBER 31, 2013**

**1. NATURE OF OPERATIONS**

The Clean Air Strategic Alliance Association (the "Association") is a non-profit organization incorporated March 14, 1994 under the *Societies Act* of Alberta and is not taxable under the Canadian *Income Tax Act*. The Association is comprised of members from three distinct stakeholder categories: industry, government and non-government organizations. The Association has been given shared responsibility by its members for strategic air quality planning, organizing and coordination of resources, and evaluation of results in Alberta. In support of these objectives, the Association receives cash funding from the Province of Alberta as well as cash and in-kind support from other members.

**2. ACCOUNTING POLICIES**

The financial statements have been prepared on a fund accounting basis using the deferral method of accounting for contributions and include the following significant policies:

(a) Basis of Presentation

The financial statements were prepared in accordance with Canadian accounting standards for not-for-profit organizations ("ASNPO").

(b) Fund Accounting

The Core Project Fund accounts for funds provided by governments together with interest earned that are used to support general operations. The Board of Directors has internally restricted accumulation of this fund to pay necessary expenses in the event of the wind down of the Association. The unrestricted portion of this fund consists of the undepreciated balance of property and equipment, entitled investment in property and equipment and the remainder of the fund entitled available for operations.

The External Projects Fund accounts for funds provided by Association stakeholders together with interest earned that are raised and expended by project teams for specific purposes.

(c) Cash Equivalents

Guaranteed Investment Certificates with maturities of one year or less at date of purchase are classified as cash equivalents.

(d) Tangible Capital Assets

Tangible capital assets are recorded at cost. Amortization, which is based on the cost less the residual value over the useful life of the asset, is computed using the following methods and rates:

Computer equipment	Declining-balance	30%
Furniture and equipment	Declining-balance	30%

Long-lived assets are tested for recoverability whenever events or changes in circumstances indicate their carrying amount may not be recoverable. An impairment loss is recognized when its carrying value exceeds the total undiscounted cash flows expected from their use and eventual disposition. The amount of the impairment loss is determined as the excess of the carrying value of the asset over its fair value.

(CONT'D)

**THE CLEAN AIR STRATEGIC ALLIANCE ASSOCIATION****NOTES TO FINANCIAL STATEMENTS (CONT'D)****DECEMBER 31, 2013****2. ACCOUNTING POLICIES (CONT'D)****(e) Intangible Assets**

Intangible assets consist of computer application software and are recorded at cost. The computer application software is measured at cost less accumulated amortization. Amortization of computer application software is provided for on a straight line basis at a rate of 30%.

**(f) Non-Monetary Support**

Association members contribute non-monetary support including staff resources, meeting space and publication support. The value of this non-monetary support is not reflected in these financial statements.

**(g) Revenue Recognition**

The Association follows the deferral method of accounting for contributions, which include government grants. Restricted contributions are recognized as revenue during the year in which the related expenses are incurred. Unrestricted contributions are recognized as revenue when received or receivable if the amount to be received can be reasonably estimated and collection is reasonably assured.

Restricted contributions for the purchase of tangible capital assets and intangible assets are deferred and amortized into revenue at a rate corresponding with the amortization rate for the related tangible capital assets and intangible assets.

Restricted investment income is recognized as revenue in the year in which the related expenses are incurred.

**(h) Measurement Uncertainty**

The preparation of financial statements in accordance with ASNPO requires management to make estimates and assumptions that affect the recorded amounts of assets and liabilities at the date of the financial statements and the reported amounts of revenues and expenditures during the reporting period. Actual results could differ from these estimates. Significant areas requiring the use of management's estimates include the collectible amounts of accounts receivable, the useful lives of tangible capital assets and intangible assets and the corresponding rates of amortization and the amount of accrued liabilities.

**(i) Financial Instruments**

The Association initially measures its financial assets and financial liabilities at fair value adjusted by, in the case of a financial instrument that will not be measured subsequently at fair value, the amount of transaction costs directly attributable to the instruments.

The Association subsequently measures all of its financial assets and financial liabilities at amortized cost. Changes in fair value are recognized in net income.

Financial assets measured at amortized cost include cash and cash equivalents and accounts receivable. Financial liabilities measured at amortized cost include accounts payable and accrued liabilities.

The Association has no financial instruments measured at fair value.

***Impairment***

Financial assets measured at cost are tested for impairment when there are indicators of impairment. The amount of the write-down is recognized in net income. The previously recognized impairment loss may be reversed to the extent of the improvement, directly or by adjusting the allowance account, provided it is no greater than the amount that would have been reported at the date of the reversal had the impairment not been recognized previously. The amount of the reversal is recognized in income.

## THE CLEAN AIR STRATEGIC ALLIANCE ASSOCIATION

## NOTES TO FINANCIAL STATEMENTS (CONT'D)

DECEMBER 31, 2013**3. CASH AND CASH EQUIVALENTS**

	<u>2013</u>	<u>2012</u>
Guaranteed Investment Certificates	\$ 1,614,573	\$ 910,697
Operating accounts	519,402	176,260
Savings accounts	<u>91,937</u>	<u>105,401</u>
	<u>\$ 2,225,912</u>	<u>\$ 1,192,358</u>

Guaranteed Investment Certificates bear interest at 1.48% (2012 - 0.90% - 1.4%) and mature between May 21, 2014 and September 4, 2014.

**4. RECEIVABLES**

	<u>2013</u>	<u>2012</u>
Grants	\$ 31,500	\$ -
Accrued interest	13,950	5,709
Goods and Services Tax	<u>5,457</u>	<u>5,692</u>
	<u>\$ 50,907</u>	<u>\$ 11,401</u>

**5. TANGIBLE CAPITAL ASSETS**

	<u>Cost</u>	<u>Accumulated Amortization</u>	Net Book Value	
			<u>2013</u>	<u>2012</u>
Computer equipment	\$ 48,021	\$ 40,073	\$ 7,948	\$ 9,377
Furniture and equipment	<u>8,819</u>	<u>6,843</u>	<u>1,976</u>	<u>2,823</u>
	<u>\$ 56,840</u>	<u>\$ 46,916</u>	<u>\$ 9,924</u>	<u>\$ 12,200</u>

**6. INTANGIBLE ASSETS**

	<u>Cost</u>	<u>Accumulated Amortization</u>	Net Book Value	
			<u>2013</u>	<u>2012</u>
Website	\$ 14,582	\$ 10,331	\$ 4,251	\$ 6,073
Data warehouse	<u>65,131</u>	<u>27,167</u>	<u>37,964</u>	<u>29,479</u>
	<u>\$ 79,713</u>	<u>\$ 37,498</u>	<u>\$ 42,215</u>	<u>\$ 35,552</u>

**THE CLEAN AIR STRATEGIC ALLIANCE ASSOCIATION**

**NOTES TO FINANCIAL STATEMENTS (CONT'D)**

**DECEMBER 31, 2013**

**7. DEFERRED CONTRIBUTIONS**

(a) Core Fund

During the year, the Association received grants totaling \$1,700,000 (2012 - \$850,000) from the Province of Alberta to cover the 2013 and 2014 calendar years. The purpose of the grants is to provide core funding in support of the Association's objectives as detailed in Note 1. The Regulations to the *Department of the Environment Act*, the *Department of Energy Act*, the *Department of Health Act*, and the *Department of Agriculture and Food Act* under which the grants have been provided, specify that grants must either be used for the purposes specified in the grant, be used for different purposes if such different purposes are agreed to by the applicant and the respective Minister, or be returned to the Province of Alberta. Accordingly, in the event the Association does not utilize the funds in pursuit of its objectives, any unexpended grant monies remaining may have to be repaid to the Province of Alberta.

	<u>2013</u>	<u>2012</u>
Balance, Beginning of Year	\$ 574,284	\$ 698,674
Grants received and receivable during the year	1,700,000	850,000
Transfer to deferred contributions - tangible capital assets and intangible assets	(1,630)	-
Revenue recognized to cover expenses during the year	<u>(1,014,783)</u>	<u>(974,390)</u>
Balance, End of Year	\$ <u>1,257,871</u>	\$ <u>574,284</u>

(b) External Projects Fund

Deferred external project contributions are comprised of monies received for specific external projects, which have not been expended for the purposes specified in the mandates of the projects.

	<u>2013</u>	<u>2012</u>
Balance, Beginning of Year	\$ 181,746	\$ 160,625
Grants received and receivable during the year	480,000	136,783
Transfer to deferred contributions - tangible capital assets and intangible assets	(20,388)	(19,083)
Revenue recognized during the year	<u>(66,896)</u>	<u>(96,579)</u>
Balance, End of Year	\$ <u>574,462</u>	\$ <u>181,746</u>

**THE CLEAN AIR STRATEGIC ALLIANCE ASSOCIATION**

**NOTES TO FINANCIAL STATEMENTS (CONT'D)**

**DECEMBER 31, 2013**

**8. DEFERRED CONTRIBUTIONS - TANGIBLE CAPITAL ASSETS AND INTANGIBLE ASSETS**

Deferred contributions - tangible capital assets and intangible assets represent restricted contributions with which some of the Association's tangible capital assets and intangible assets was purchased. The changes in these contributions are as follows:

(a) Core Fund

	<u>2013</u>	<u>2012</u>
Balance, Beginning of Year	\$ 10,990	\$ 15,700
Transfer from internal deferred revenue (Note 7)	1,630	-
Less: amounts recognized during the year	<u>(3,542)</u>	<u>(4,710)</u>
Balance, End of Year	\$ <u>9,078</u>	\$ <u>10,990</u>

(b) External Projects Fund

	<u>2013</u>	<u>2012</u>
Balance, Beginning of Year	\$ 36,761	\$ 29,343
Transfer from external deferred revenue (Note 7)	20,388	19,083
Less: amounts recognized during the year	<u>(14,086)</u>	<u>(11,665)</u>
Balance, End of Year	\$ <u>43,063</u>	\$ <u>36,761</u>

**9. ECONOMIC DEPENDENCE**

The Association's primary source of revenue is grants from the Province of Alberta. The Association's ability to continue viable operations is dependent on this funding.

**10. FINANCIAL INSTRUMENTS**

It is management's opinion that the Association is not exposed to significant interest, credit, market, currency, or other price risk through its financial instruments. The following analysis provides information about the Association's risk exposure and concentration as of December 31, 2013.

*Liquidity Risk*

Liquidity risk is the risk that an entity will encounter difficulty in meeting obligations associated with financial liabilities. The Association is exposed to this risk mainly in respect to its receipt of funds from the Government of Alberta and other related sources.

The Association mitigates this risk by monitoring cash activities and expected outflows through budgeting and maintaining investments that may be converted to cash in the near-term if unexpected cash outflows arise.

**THE CLEAN AIR STRATEGIC ALLIANCE ASSOCIATION****NOTES TO FINANCIAL STATEMENTS (CONT'D)****DECEMBER 31, 2013****11. CONTRACTUAL OBLIGATIONS**

The Association is committed to lease and maintenance costs under lease agreements for computer hardware and software. Lease payments due over the term of the lease area as follows:

2014	\$ 27,114
2015	27,114
2016	<u>24,855</u>
Total	\$ <u>79,083</u>

**12. BUDGET FIGURES**

Budget figures are provided for informational purposes only and are unaudited.



## THE CLEAN AIR STRATEGIC ALLIANCE ASSOCIATION

Schedule 1

## SCHEDULE OF EXPENSES BY OBJECT

FOR THE YEAR ENDED DECEMBER 31, 2013

	<u>2013</u> (Budget) (Note 12)	<u>2013</u> (Actual)	<u>2012</u> (Actual)
Supplies and Services			
Travel	\$ 48,585	\$ 53,424	\$ 47,702
Computer equipment	38,205	29,877	29,419
Meetings	15,860	25,604	28,597
Stakeholder honoraria	61,537	49,129	26,449
Printing	21,176	14,169	25,119
Amortization of intangible assets	-	14,085	11,665
Telecommunications	7,309	6,918	7,006
Subscriptions	5,000	4,058	6,825
Office supplies	6,000	5,925	6,359
Stakeholder development	-	-	4,984
Amortization of property and equipment	-	3,543	4,710
Insurance	3,895	3,954	3,894
Advertising	5,000	1,633	3,312
Bank charges	2,000	1,756	2,105
Records storage	2,361	3,067	2,079
Furniture and equipment	4,000	1,578	1,826
Courier	<u>2,100</u>	<u>1,767</u>	<u>1,240</u>
	<u>223,028</u>	<u>220,487</u>	<u>213,291</u>
Professional Fees			
Consulting	124,000	211,916	220,260
Audit	<u>9,500</u>	<u>10,000</u>	<u>9,551</u>
	<u>133,500</u>	<u>221,916</u>	<u>229,811</u>
Human Resources			
Salaries and wages	598,743	566,583	552,229
Benefits	99,732	90,106	86,146
Staff development	15,825	8,579	16,938
Recruiting	3,000	1,327	4,528
Employee recognition	2,500	3,443	4,475
Contracted services	<u>-</u>	<u>10,691</u>	<u>-</u>
	<u>719,800</u>	<u>680,729</u>	<u>664,316</u>
Total Expenses	<u>\$ 1,076,328</u>	<u>\$ 1,123,132</u>	<u>\$ 1,107,418</u>

**Clean Air Strategic Alliance – Board Meeting  
Telus Sparks Centre  
220 St. George Drive NE  
Calgary, Alberta  
June 5, 2014**

**Draft Agenda**

9:00 – 9:15  
(15 min)                      The Annual General Meeting will be held from 9:00-9:15 am and the business meeting of the board will follow.

	<b>2.0</b>	<b>ADMINISTRATION</b>	<b>2</b>
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9:15 – 9:45 (30 min)	<b>2.1</b>	<b>Convene Business Meeting and Approve Agenda</b> <i>Objective: Convene business meeting and approve agenda.</i>
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	<b>2.2</b>	<b>Minutes and Board Action Items from March 13, 2014</b> <i>Objective: Approve minutes and review the action items from the March 13, 2014 board meeting.</i>
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	<b>2.3</b>	<b>Executive Director's Report/Financial Statements</b> <i>Objective: Receive a report on secretariat activities, income and expense statements and provide any feedback.</i>
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	<b>3.0</b>	<b>STRATEGIC PLANNING</b>	<b>3</b>
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09:45 – 10:15 (30 min)	<b>3.1</b>	<b>Performance Measurement Discussion</b> <i>Objective: Consider the implications of Performance Measures for CASA</i>
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10:15 – 10:30 (15 min)		<b>BREAK</b>
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10:30 – 11:30 (1 hr.)	<b>3.1</b>	<b>Performance Measurement Discussion (continued)</b> <i>Objective: Consider the implications of Performance Measurement for CASA</i>
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	<b>4.0</b>	<b>PROJECT MANAGEMENT</b>	<b>4</b>
11:30 – 12:00 (30 min)	<b>4.1</b>	<b>Electricity Framework Review 2013</b> <i>Objective: Receive for approval an interim report from the EFR team.</i>	
12:00 – 1:00 (1 hr.)		<b>LUNCH</b>	
1:00 – 1:40 (40 min)	<b>4.2</b>	<b>Odour Management Team</b> <i>Objective: Hear an update on project team activities to date and outline various funding scenarios for consideration.</i>	
1:40 – 1:45 (5 min)	<b>4.3</b>	<b>Status Reports</b> <i>Objective: To receive information on project activity.</i>	
		<ul style="list-style-type: none"> <li>• NPS Project Charter Working Group</li> <li>• CASA &amp; AAC Joint Standing Committee</li> </ul>	
	<b>5.0</b>	<b>Risk Management Framework/Plan</b>	<b>5</b>
1:45 – 2:45 (1 hr.)	<b>5.1</b>	<b>Risk Management Framework/Plan</b> <i>Objective: Receive for approval the Risk Management Framework &amp; the Risk Management Plan</i>	
	<b>6.0</b>	<b>COMMUNICAITONS</b>	<b>6</b>
2:45 – 3:00 (30 min)	<b>6.1</b>	<b>Communications Update</b> <i>Objective: Hear an update and discuss the following:</i>	
		<ul style="list-style-type: none"> <li>• CASA's 20 Year Anniversary</li> <li>• Update on Environment Week</li> </ul>	
	<b>7.0</b>	<b>NEW/OTHER BUSINESS</b>	<b>7</b>
3:00 – 3:05 (15 min)	<b>7.1</b>	<b>New/Other Business</b> <i>Objective: Introduce new business and/or complete any unfinished business of the day.</i>	
	<b>7.2</b>	<b>Updated Board Mailing and Membership Lists</b> <i>Objective: Provide up-to-date information on CASA board members.</i>	
	<b>7.3</b>	<b>Project Team &amp; Committee Membership Lists</b> <i>Objective: Provide a current list of members on project teams and committees.</i>	
	<b>7.4</b>	<b>Evaluation Forms</b> <i>Objective: Provide time for board members to fill out their evaluation forms.</i>	

## ***DECISION SHEET***

***ITEM:***                    **2.2    Minutes and Action Items from March 13, 2014**

***ISSUE:***                    Minutes from the March 13<sup>th</sup> board meeting are subject to approval.

***STATUS:***                    Members have received the minutes from the March 13, 2014 board meeting and are invited to report any errors or omissions to the board at its June 5<sup>th</sup> regular meeting. Board members will be asked to give final approval to the minutes of March 13, 2014 and the final version will be posted to the website as per usual practice.

At the March 13, 2014 meeting it was agreed that the board action items be reviewed immediately following the minutes.

***ATTACHMENTS:***        A.     Draft meeting minutes from March 13, 2014 board meeting.  
                                  B.     Board Action Items

***DECISIONS:***            Approve the minutes from the March 13, 2014 board meeting.

# Draft Minutes

Item 2.2 – Attachment A

## *CASA Board of Directors*

**March 13, 2014**

**Edmonton, Alberta**

### **In attendance:**

#### **CASA Board Members and Alternates:**

Brian Ahearn, Petroleum Products  
Leigh Allard, NGO Health  
Humphrey Banack, Agriculture  
Ann Baran, NGO Rural  
Rick Blackwood, Provincial Government  
Environment  
Bill Calder, NGO Urban  
Martin Chamberlain, Provincial Government  
Energy  
Claude Chamberland, Oil & Gas Large  
Producers  
Dawn Friesen, Provincial Government Health  
Brian Gilliland, Forestry  
Jim Hackett, Utilities  
Al Kemmere, AAMDC District 2 Director  
David Lawlor, Alternate Energy  
Yolanta Leszczynski, Chemical  
Manufacturers  
Audrey Murray, Provincial Government  
Energy  
Keith Murray, Forestry  
Peter Noble, Petroleum Products  
Al Schulz, Chemical Manufacturers  
Chris Severson-Baker, NGO Industrial  
Rich Smith, Agriculture  
David Spink, NGO Urban  
Dan Thillman, Mining  
Martin Van Olst, Federal Government  
Don Wharton, Utilities  
Scott Wilson, NGO Consumer  
Transportation  
Ruth Yanor, NGO Industrial

### **Presenters:**

Bob Myrick  
*Item 2.1 – Non-Point Sources Update*  
Martina Krieger, ESRD & Keith Murray,  
Forestry  
*Item 3.1 – Performance Measures*  
*Committee*  
David Lawlor & Rich Smith  
*Item 4.1 – Risk Management Framework*

### **CASA Secretariat:**

Karen Bielech  
Celeste Dempster  
Sarah Hanlon  
Robyn Jacobsen  
Norman MacLeod  
Michelle Riopel

### **Guests:**

Andrew Clayton, ESRD  
Martina Krieger, ESRD  
Gerald Palanca, Alberta Energy Regulator  
Ahmed Idriss, Capital Power Corporation  
Randy Dobko, ESRD  
Bob Myrick, ESRD

### **Regrets:**

Rob Beleutz, Mining  
Holly Johnson-Rattlesnake, Samson Cree  
Tom Burton, Local Government Rural  
Linda Mattern, Provincial Government  
Health  
Audrey Murray, Provincial Government  
Energy  
Janis Seville, NGO Health  
Don Szarko, NGO Consumer Transportation  
Tim Whitford, Local Government Urban  
Bill Werry, Provincial Government  
Environment

**Clean Air Strategic Alliance  
Board of Directors Meeting  
March 13, 2014**

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**Executive Summary**

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The CASA board welcomed the following new members: Cheryl Baraniecki from Environment Canada, Al Kemmere from AAMDC and Bill Werry from Alberta Environment and Sustainable Resource Development.

Several important decisions were reviewed that had been sent electronically to the board in February 2014 – to approve Bill Werry as CASA’s president and also to appoint Rick Blackwood and Bill Werry as signing officers for CASA.

David Lawlor was reconfirmed for a two year term on the Executive Committee and will remain Vice President until March 2016.

Preparations for CASA’s 20<sup>th</sup> Anniversary continue. The Secretariat, the Communications Committee and contract staff (FREE) have all contributed to ensuring the anniversary is a success. It was noted that the anniversary will coincide with Environment Week and CASA will have a significant visibility during this week through a public campaign beginning the week of June 2, 2014. The agenda for the speaker’s series is due to be finalized in the coming weeks. Planned highlights include keynote speaker, Stephen Lewis, Assistant Secretary General of NATO Doug Dempster speaking about conflict and collaboration, and mediator Daniel Johnston exploring collaboration in addressing environmental issues with a panel of advocates. Members of the Calgary Philharmonic Orchestra will illustrate the importance of creativity in the collaborative process.

The board approved the 2013 Audited Financial Statements. They will be included in the 2013 annual report. The board commended the secretariat on its continued good work.

ESRD gave an update on the Non-Point Source Air Emissions file and the board agreed that CASA should convene a working group to create a project charter to be presented to the Board at the September board meeting.

The board received a presentation from the Performance Measures Committee to review CASA’s performance measures and indicators. It was agreed that the Executive Committee should consider the board discussion from this meeting and decide if a more structured review is required in June.

There were a number of status reports received by the Board. Two of these reports were addressed in greater detail: the 2013 Electricity Framework Review Team and the Odour Management Team.

An early draft of the Risk Management Framework was provided for information. The Committee has agreed to continue its work to finalize the Risk Management Framework and develop the Risk Management Plan. The board will receive a Risk Management Plan for approval at the June Meeting.

The remaining board meeting dates for September 18<sup>th</sup> in Edmonton and December 4<sup>th</sup> in Calgary were approved by consensus.

**Clean Air Strategic Alliance  
Board of Directors Meeting  
September 19, 2013**

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**Draft Minutes**

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1 Administration

**1.1 Convene Business Meeting and Approve Agenda**

Chris Severson Baker convened the meeting at 9:40 a.m. and the agenda was approved by consensus.

**1.2 New Representatives**

The board welcomed the following new members and invited them to introduce themselves:

- **Cheryl Baraniecki**, who was unable to attend the meeting, is from Environment Canada. Cheryl has been appointed as the Director representing Federal Government. Cheryl will replace Christine Best.
  
- **Al Kemmere** from AAMDC has been appointed as the Director representing Local Government – Rural. Al will replace Carolyn Kolebaba. Al has been involved in numerous committees, including the Central Alberta Economic Partnership (CAEP), Central Alberta-Access Prosperity, Municipal Area Partnership, Mountain View Waste Commission and he is a member of the AAMDC Standing Issues Committee on Social Issues.
  
- **Bill Werry** from Alberta Environment and Sustainable Resource Development has been appointed as the President and Director representing Provincial Government – Environment. Bill was unable to attend the board meeting. Prior to his appointment as Deputy Minister of Environment and Sustainable Resource Development, he was Deputy Minister of Aboriginal Relations, Advanced Education and Technology and Tourism, Parks and Recreation. He was Assistant Deputy Minister for the Parks, Conservation, Recreation and Sport Division in Alberta Tourism, Parks, Recreation and Culture; and Executive Director of Resource Consultation and Traditional Use in the Department of Alberta Aboriginal Affairs and Northern Development.

Biographies were provided for Cheryl Baraniecki, Al Kemmere and Bill Werry.

**1.3 Electronic Approvals from February 2014**

Several important decisions were sent to board members for approval via electronic means in February 2014. With the departure of Dana Woodworth as CASA President, the board approved Bill Werry as President.

Also, with the resignation of signing officer Dana Woodworth there were no designated directors to sign cheques over \$5000. CASA bylaws require that new signing officers be approved by the CASA board. The board electronically voted to approve Bill Werry and Rick Blackwood as signing officers for the organization.

#### **1.4 CASA Executive Committee Membership**

The board was asked to approve David Lawlor as CASA Vice President for an additional two year term. David has been serving as Vice President since January 2013. This approval reaffirmed David Lawlor as vice president until March 2016.

*By consensus, the board approved David Lawlor as CASA Vice President until March 2016.*

#### **1.5 Minutes and Board Action Items from December 12, 2013**

The minutes and action items from the December 13th meeting were approved by consensus.

#### **1.6 Executive Director's Report/Financial Statements**

The Executive Director's annual meetings with board members have been completed and once again provided the Secretariat with an understanding of important issues that matter to individual CASA stakeholders. Norm noted that board members are supportive of the air quality files CASA project teams are working on, while noting that there are always a few issues not currently being addressed that remain of concern to selected board members. There is also a continuing interest in CASA finding ways in which project team deliverables can be applied at a regional scale. There is also a continuing interest in finding ways to "work smarter" while still producing collaborative outcomes. This may mean that new issues are not necessarily addressed through a conventional project team. Finally, Norm thanked board members for their remarks on the professionalism of the Secretariat.

The process of preparing for CASA's 20<sup>th</sup> anniversary began one year ago. The Secretariat, the Communications Committee and contract staff (FREE) have all contributed to ensuring the anniversary party is a success. CASA's anniversary date coincides with Environment Week and AESRD's theme for Environment Week this year is air. CASA will have a significant visibility during Environment week this year through a public campaign beginning the week of June 2, 2014. 5 artists will be designing 4 posters each in relation to promoting the event. The speaker's agenda for the June 6<sup>th</sup> Speaker Series should be available in the next few weeks, including several noteworthy speakers who are all proponents of collaboration in its various forms. These include Stephen Lewis (keynote), addressing international initiatives that he has shepherded through the UN, Doug Dempster (a past assistant secretary general at NATO and a Canadian Forces commander) speaking to the journey from conflict to collaboration, and Daniel Johnston (one of Canada's foremost mediators) moderating a panel of advocates from the front-lines of Canada's most pressing environmental debates. CASA has also been in discussions with the Calgary Philharmonic Orchestra to demonstrate collaboration through music. The evening gala will showcase an improvisation group and music and dancing.

CASA has also submitted an Emerald Award application for its considerable body of work over the last 20 years.

The Secretariat still requires support from board members at this stage, including sponsorships, registrations, and communicating our message and materials to others. The secretariat is encouraging everyone's participation.

It was suggested that Norm hold discussions at caucus level to ascertain how they can contribute to the 20<sup>th</sup> Anniversary.



## **1.7 2013 Audited Financial Statements**

During the last week of January 2014 the auditors began their annual analysis of CASA records and met with the Executive Committee on February 13, 2014 to review the financial statements, answer questions, and clarify the financial information in the statements. At this time, the board was asked to approve the financial statements for inclusion in CASA's 2013 Annual Report. As a legal requirement, the statements will be tabled at the Annual General Meeting this year in June.

2013 expenditures exceeded the budget by 4.3%, consistent with moving some portion of communications contract funds from 2014 into 2013 to cover anniversary preparations. All costs for 2014 are expected to remain similar to this past year. This will continue to be an issue as the year progresses, as no bridging funds from December 2014 to April 2015 are available. This will need to be discussed by the Executive Committee and Board.

One of the recommendations received by the auditors was to implement a whistleblower program within CASA. This recommendation was introduced for discussion at the board meeting. The board members were assured that CASA is very vigilant in this regard and our financial obligations are treated very seriously. It was also noted that due to the size of the organization and the ability for staff to go to multiple board members or a member of the Executive Committee with concerns it may not be necessary to implement the whistleblower program at this time.

*By consensus, the board approved the 2013 Audited Financial Statements for the purpose of including them in the 2013 Annual Report.*

## **1.8 Remaining 2014 CASA Board Meeting Dates**

The CASA Executive Committee is proposing that the board continue to hold four meetings per year. The confirmed dates for 2014 are March 13<sup>th</sup> in Edmonton and June 5<sup>th</sup> & 6<sup>th</sup> in Calgary. The Executive Committee recommended that the following dates also be approved:

- September 18<sup>th</sup>, Edmonton
- December 4<sup>th</sup>, Calgary

*By consensus, the Board approved the board meeting dates for September 18<sup>th</sup> in Edmonton and December 4<sup>th</sup> in Calgary.*

## **2 Statements of Opportunity**

### **2.1 Non-Point Source (NPS) Air Emissions**

Bob Myrick of AESRD, provided an update on GoA's progress in developing the NPS Statement of Opportunity. Below is a summary of key presentation points:

- Although NPS emissions are an important issue to the GoA, these emissions are difficult to regulate and therefore have not yet been dealt with comprehensively at a provincial level.
- There are a number of existing and emerging initiatives that are relevant to the NPS discussion, including the Cumulative Effects Management System, regional plans under the Land-Use Framework, the National Air Quality Management System, and the Canadian Council of Ministers for the Environment Mobile Sources Working Group.
  - It was clarified that the Mobile Sources Working Group is not looking at rail, air, or boats. Their work will include off-road vehicles, and especially in-use diesel.

- At a regional level, the Capital Region and Red Deer are both preparing management responses for two registered PM and Ozone air quality exceedances:
  - Capital Region Management Response: Management response due by fall 2014
  - Red Deer Management Response: Management response due by winter 2015
- NPS is complex, and part of the challenge is to understand what work is already being done, and find areas where CASA could add value to the overall issue. There needs to be an understanding of what is happening currently.
- The GoA's suggestions for next steps would be for CASA to establish a working group to develop a statement of opportunity for the next board meeting. The NPS Statement of Opportunity could have two focuses:
  - CCME on the Mobile Sources Working Group.
  - Public education – on air quality in general and specifically what individuals can do to improve air quality.

*Discussion Highlights:*

It was noted that a new Statement of Opportunity may not be necessary at this stage, as it is clear that the board feels NPS warrants further consideration by CASA. Members indicated that there was limited interest in continuing with this issue at a board level and agreed to establish a working group to create a NPS project charter, to be presented at the September 2014 board meeting.

The Board requested a presentation of the modeling work being done by the Capital Region Management Response in June 2014.

Points for consideration in developing the project charter:

- The GoA should clearly articulate its views with respect to the areas of the NPS issue where CASA could add value.
- It will be important to liaise with other groups and jurisdictions working on NPS-related issues to avoid overlap and to coordinate where appropriate.
- To ensure that regional issues are taken into account, it will be valuable to connect with the aforementioned regional management response teams. It was noted that these groups are focussed on ambient air quality (including point and non-point sources).
- Any deliverables of a CASA process on NPS should support regional planning initiatives.
- The working group should develop a clear and tight focus for future CASA work.

***By consensus, the board agreed to establish a working group to develop a NPS Project Charter.***

**Action: Secretariat will work with stakeholders to initiate a NPS working group and develop a Project Charter, to be presented to the Board in September 2014.**

### 3 Project Management

#### 3.1 Performance Measures Committee

Martina Krieger, of AESRD, and Keith Murray, of the Alberta Forest Products Association, presented the 2013 Performance Measures Committee (PMC) Report to the Board. In December 2012, the Board approved the new CASA Performance Measurement Strategy; 2013 is the first year reporting on the new Strategy. In 2013, the PMC was charged with three tasks:

1. To calculate CASA's performance measures and indicators,

2. To review the Strategy after the first calculation and reporting cycle is complete and make any adjustments as required, and
3. To follow-up on low-rated recommendations from previous years.

Overall, CASA met its performance measures targets. Performance indicators are not compared to a target, but rather provide context for the bigger picture in which CASA works. Most of the measures and all of the indicators will be included in the online version of the CASA Annual Report.

After completing the first calculation and reporting cycle, the PMC has recommended six adjustments to help improve the Strategy for the 2014 reporting period.

The PMC collected updates on the low-rated recommendations from previous years which are tracked in a living document called the low-rated recommendations matrix. In light of this information, the PMC recommends that: 1) one recommendation be closed because it is complete, 2) one recommendation be closed because it is being addressed in other ways, and 3) two recommendations be closed because there is no implementing agency.

Highlights of the Board's discussion include:

- The report provides useful information that can help the Board to evaluate CASA as an organization (performance measures) and to have a conversation about CASA's agenda (performance indicators).
- The Board would like to have an in-depth conversation in June to discuss the results that focuses on:
  - What does each measure/indicator tell us (both factually and in terms of the Board's expectations)?
  - Is this information indicative of a problem?
    - If so, what is the issue and does CASA have a role in the solution?
  - Are there changes to the measure/indicator that might give more useful results?
- The Board would also like to use the performance indicator results to inform CASA's annual conversation about its strategic direction and agenda. The results can be used to identify emerging issues.
- Of specific note and interest at the meeting were the performance indicator results for the change in flaring and venting and the percentage of monitoring stations implemented from the 2009 Ambient Monitoring Strategic Plan.
  - It was noted that the Board should consider looking at conservation efficiency rather than the change in flaring and venting as an indicator going forward.
  - The GoA indicated that the changes in flaring and venting are on their radar and there are on-going discussions with CAPP.

***By consensus, the Board approved the 2013 Performance Measures Committee Report and recommendations.***

**Action: The Executive Committee will schedule a structured discussion about the performance measure and indicator results at the June 2014 Board meeting.**

## **3.2 Status Reports**

### Electricity Framework Review

In addition to the status report provided, Don Wharton gave a verbal update of the team's most recent meeting on February 24, 2014. The team spent much of their time discussing whether the *Emissions*

*Management Framework for the Alberta Electricity Sector* should be opened for a full structural review. A full review would be triggered by either the economic trigger or the environmental trigger (Recommendations 34 and 25) being exceeded. There is general agreement that the team is unlikely to reach consensus on the economic trigger. As such, the team has agreed to prepare a non-consensus report describing the impasse and including a description of the interests of each party regarding the issues that have given rise to the impasse. This report will be as detailed and robust as possible to capture the value of the team's work to-date. It will be presented to the Board at their meeting on June 5, 2014. The team has agreed to continue working on the outstanding tasks for the 5 Year Review.

### Odour Management Team

In addition to the status report provided, David Spink gave a verbal update of the team's most recent meeting on March 11<sup>th</sup>, 2014. Currently there are three task groups working on three out of seven areas of work identified in the project charter. At the meeting, the team discussed how to action the remainder of their Project Charter. The team aims to complete all task group work by the end of 2014 and to bring the final report before the Board in June 2015. This is an ambitious schedule but the team is working hard and confident that they can achieve the timelines outlined. The team has not received as much funding as was originally anticipated and, as such, at their last meeting envisioned what work might be completed under the four remaining areas and then prioritized what could be done based on funding availability. The team plans to give a presentation to the Board in June detailing the work that has happened so far as well as their plan to complete the remaining work from the Project Charter. The Board noted that the team could outline various funding scenarios for the Board to consider.

### CASA and AAC Joint Standing Committee (JSC)

There was no status report provided for the JSC, however, there was a questions as to whether the JSC has been keeping abreast of the work of the new Alberta Environmental Monitoring, Reporting and Evaluation Agency (AEMERA). The JSC plans to meet with AEMERA in the near future and the Secretariat is currently working to coordinate a meeting where the JSC could hear an update on AEMERA's work and discuss how the JSC could provide input. It was suggested that the Board would find an update about AEREMA would be useful.

In relation to all project work, a concern was raised by Board members regarding the coordination of funding requests. It was felt that project charters coming forward for the Board's approval should include detailed budgets. It was further suggested that it may be prudent for project teams to wait to receive all the required funding before initiating their work. There was a concern that waiting 3 to 4 months to get funding in place could result in missed opportunities for teams.

## 4 Strategic Planning

### **4.1 Risk Management Framework**

In September 2013, the Board struck a Risk Management Committee to develop CASA's risk management planning process. The committee established the scope of their work as follows:

1. Develop a Risk Management Framework: this document provides a uniform process to identify, measure, respond to, and report on risks as part of measuring CASA's performance (the how-to manual).
2. Develop a Risk Management Plan: this document describes the scope of the risks to be managed, as well as the risk assessment, and strategies for managing risks.

To-date, the committee has completed an initial draft of the Risk Management Framework, which was presented to the Board. Highlights of the presentation are as follows:

- Through CASA's strategic planning process, both opportunities and threats will be identified. Opportunities should be incorporated into CASA's 5-Year Strategic Plan. Threats should be incorporated into CASA's Risk Management Plan (appended to the 5-Year Strategic Plan).
- The Risk Management Framework focusses on enterprise risk management, looking comprehensively at the organization and its activities. Project teams should undertake their own risk management process to identify specific risks and management responses.
- The Risk Management Framework consists of 4 stages: identifying risks; assessing risks; manage risks; and monitoring evaluation, and reporting. The committee will work through these 4 stages to develop the Risk Management Plan.

Highlights of the Board's discussion included:

- The committee should be aware that risks rated as "moderate" or "low" priority have the potential to create a domino effect if they are materialize concurrently.
- When assessing risks, CASA's ability to influence the likelihood or impact of the risk should be considered. CASA should not be expending a lot of effort to manage a risk that we have little control over. It was noted that even if we don't have much control of a risk occurring, we should still develop a response plan to manage the risk in the event that it does occur.

**Action: The final Risk Management Framework as well as the Risk Management Plan will be presented for the Board's approval in June 2014.**

## 5 Communications

### 5.1 2013 Annual Report

The Board reviewed the year end highlights suggested for inclusion in the 2013 Annual Report and suggested that the work of the 2013 Electricity Framework Review be added.

*By consensus, the Board authorized the CASA Executive Committee to approve the 2013 Annual Report for final content and format after comments from the Board are received and incorporated.*

## 6 New/Other Business

### 6.1 New/Other Business

No new/other business was introduced.

### 6.2 Updated Board Mailing and Membership Lists

Members were asked to provide the secretariat with up-to-date information on CASA board membership.

### 6.3 Evaluation Forms

Members were asked to complete evaluation forms for the December 12, 2013 meeting. These responses are valued and will be reviewed by the Executive Committee at its next meeting.

### 6.4 Appointment of a New Signing Officer

CASA bylaws require that new signing officers be approved by the CASA board. The board is asked to approve David Lawlor, CASA Vice President, as a signing authority for the organization.

***By consensus, the board has approved David Lawlor as a signing authority for CASA.***

The meeting adjourned at 3:05 p.m.

The next CASA board meeting will be on June 5, 2014 in Calgary.

## Board Action Items For Discussion – June 5, 2014

Action items	Meeting	Status
<p><b>1.6 - Proposed Schedule for 2014 Board Meetings</b> The Executive Committee will review the remaining 2014 board meeting dates to determine if one or two meetings will be required and will provide a recommendation to the board at the March meeting.</p>	December 12, 2013	Complete
<p><b>2.1 - Non-Point Sources Workshop Update</b> The Government of Alberta, in consultation with other interested parties, will champion the preparation of a Statement of Opportunity for discussion at the March board meeting. Oct 22 workshop outcomes will inform preparation of the Statement. Drafts of the Statement will be shared with other interested parties.</p>	December 12, 2013	Complete. A draft Project Charter will be prepared by a Working Group for presentation at the September 2014 meeting
<p><b>2.1 – Non-Point Sources</b> Secretariat will work with stakeholders to initiate a NPS working group and develop a Project Charter, to be presented to the Board in September 2014.</p>	March 13, 2014	Ongoing
<p><b>3.1 – Performance Measures Indicators</b> The Executive Committee will schedule a structured discussion about the performance measure and indicator results at the June 2014 Board meeting.</p>	March 13, 2014	Scheduled for discussion at June 5, 2014 Board meeting.
<p><b>4.1 – Risk Management Framework</b> The final Risk Management Framework as well as the Risk Management Plan will be presented for the Board’s approval in June 2014.</p>	March 13, 2014	Scheduled for presentation at June 5, 2014 Board meeting.

## Carried Forward

Action items	Meeting	Status
<p><b>1.4 – Executive Director’s Report/Financial Statements</b>            Norm will develop a funding plan/options to address core funding beyond 2014, including partners other than the Government of Alberta, to share with the Board in spring 2014. (Based on the discussion on funding in Agenda Item 3.1, this plan should include options for project funding and the possibility of a more coordinated approach across projects.)</p>	<p>September 19, 2013</p>	<p>Core funding for 2015 has now been provided by Alberta Energy. Discussion regarding project funding (e.g. Odour Mgt) will continue at the June 5 Board meeting. This may lead to a broader discussion about project funding options in general, for referral to the Executive Committee.</p>



## ***INFORMATION SHEET***

***ITEM:***                    2.3    **Executive Director's Report/Financial Statements**

***ISSUE:***                    1.      **Executive Director's Reports**

***ATTACHMENTS:***    A.      Executive Director's Report

***ISSUE:***                    2.      **Financial Reports**

***ATTACHMENTS:***    B.      Core Revenue and Expense Summary – March 31, 2014  
                                  C.      Consolidated Core Expenses – March 31, 2014

# Executive Director's Report

## 1. Key Events and Initiatives

### Overview

- The Executive Director has completed one-on-one meetings with CASA Board members for 2014. The outcome of the remainder of these sessions is largely the same as those reported in February. Namely, that CASA's agenda is broadly supported by the Board, and that every effort should be made to employ a "broader toolkit" directed at producing outcomes as efficiently as possible. A first test of this concept may be rolled out through the Non-Point Source project in 2014, if approved. These exchanges between the ED and members should continue to be held annually, to ensure that Secretariat operations continue to meet member expectations.
- The CASA Data Warehouse continues to be funded by AESRD through an agreement with CASA that sees AESRD provide management direction and funding, while CASA provides financial oversight. At the close of 2013 the Secretariat provided a full accounting of income and expenditures with regard to the warehouse. It shows that there is a significant surplus of CDW funds accumulated over many years. These funds will be used to fund the CDW in 2014, with AESRD covering any shortfall. CASA is currently working with AESRD to clarify CDW assets, their location and use.
- CASA is in the process of "reskinning" and updating the content on our website. Users should expect a much cleaner and easy to navigate site. The finished site (to the extent that any website is ever finished) will be ready to go prior to the 20<sup>th</sup> Anniversary. The new website, together with Clean Air Day, our Anniversary celebration and Emerald Award coverage will provide an opportunity to draw attention to the Alliance's work.

### Finance

- CASA's financial stability and capacity to plan beyond the short term improved significantly with the receipt of \$850,000 in new core funding from Alberta Energy on April 15<sup>th</sup>, 2014. With the new funds, CASA will have the core resources required to provide support to projects through Dec. of 2015 (approx.). The funds will also allow the Secretariat to retain key staff and to seek budget efficiencies across fiscal years. Alberta Environment and Sustainable Resource Development continues to provide office space for CASA; a large in-kind contribution that significantly reduces administration costs.
- As per past practice, the Secretariat will provide a mid-stream budget revision at the end of June, after all invoices and payments associated with the 20<sup>th</sup> Anniversary have been factored in. The revised budget will include an updated estimate of project support requirements.

- Funding of the Odour Management Project Team remains a concern. Once the existing funds are spent on the 3 Task Groups and their associated “good practices guide”, the team will have to decide what, if any, further work is possible without further external funds.
- It was noted at the February Board meeting that any subsequent Project Charter, such as the one being developed for Non-Point Sources, should identify sources of funding to do the work.

#### Communications

- CASA has been named as a finalist for this year’s Emerald Awards in the NGO category. The submission focused on CASA’s 20 year “body of work” and emphasized the number and impact of CASA agreements reached, across a broad range of topics. We also highlighted the 225,000+ stakeholder hours that have been devoted to this work since 1994. In the NGO category CASA is 1 of 5 finalists selected from 24 submissions.
- CASA’s Annual Report for 2012 received an ACE Award of Distinction in the Annual Report category. The Secretariat anticipates using a similar format and content for the 2013 report, subject to the advice of the Communications Committee.
- Final preparations are underway for CASA’s 20<sup>th</sup> Anniversary. Activities related to Clean Air Day, the Emerald Awards, a speaker series and evening reception have all been integrated into a package that is both cost-effective and synergistic. Products from the Emerald Awards and the Clean Air Campaign will provide content for the June 6 celebration. Filming for the CASA Emerald Awards video will draw on high quality video and images we captured during the last Coordination Workshop in 2012. CASA’s social media accounts will be used to sustain interest in the weeks preceding and following June 6<sup>th</sup>.

#### The Secretariat

- The Executive Director has advised the Executive Committee and the Board that he will be resigning in the Fall of 2014, providing sufficient time to recruit a replacement and to facilitate an orderly transition. The time required to recruit and hire for similar positions typically exceeds 4 months. The approach taken for recruitment has varied significantly in the past, from the appointment of an internal selection committee, to the use of a well-known executive search firm. Each approach has its merits and should be evaluated based on several considerations (e.g. cost, urgency, level of member engagement, etc).
- Apart from the ED replacement, choices will have to be made regarding CASA’s overall staff complement and how current resources should be marshalled to meet changing demands (project management, communications, administration, contractors). These decisions should be deferred until the Fall of 2014, after the new Executive Director is in place and once CASA’s agenda is reconfirmed by the Board. This is consistent with the approach that was taken in 2010.

## 2 Board and Standing Committees

### Board

The next regularly scheduled Board meeting is June 5, 2014 in Calgary. CASA's 20 year anniversary celebration will on June 6 in Calgary.

### CASA and AAC Joint Standing Committee

On March 6<sup>th</sup> the JSC met with representatives from the Environmental Monitoring Group and ESRD, including Ernie Hui, to determine how the JSC can provide input and help to inform emerging policy. Following this meeting, the JSC prepared a letter for the environmental monitoring agency to express two requests:

1. To invite the environmental monitoring agency to meet regularly with the JSC as their work continues; and
2. To ask for their feedback about how the JSC could most effectively provide input to ongoing work.

The JSC received a response from Ernie Hui in July which noted that Ernie has met with many of the air sheds individually to discuss several of the issues raised in the JSC letter, including the role of community-based associations and the concern with respect to sustainable funding for air sheds. Ernie also mentioned that he would like to meet with the JSC again in early 2014. Coordination is underway to arrange a meeting between the JSC and the Alberta Environmental Monitoring, Evaluation and Reporting Agency (AEMERA).

### Communications Committee

Design work and preparations continue for CASA's upcoming 20<sup>th</sup> Year Anniversary celebration on June 6, 2014. David Frum has been retained to deliver a keynote speech at the symposium. Other speakers and sessions include Doug Dempster, Daniel Johnston and the Calgary Philharmonic Orchestra. The Premier and key ministers/ministries have also received invitations.

### Performance Measures Committee

The Performance Measures Committee prepared the 2013 annual PMC report, which was approved by the Board on March 14<sup>th</sup>, 2014.

## 1. Project Teams

### 2013 Electricity Framework Review

In November 2013 and January 2014, the team held meetings that focused on options to adapt the Framework to reflect current circumstances. The outcome of these meetings was a range of options that attempted to address the breadth of interests at the table and meet the original spirit and intent of the Framework. However, the team also acknowledged that the economic and environmental triggers (Recommendation 34 or 35) would need to be considered before the Framework could be formally opened for a structural review. Concerns were raised that discussions about the economic trigger would lead to an impasse. The team subsequently decided to prepare a non-consensus report detailing their discussion to-date and including a description of the points of departure. This report will be presented to the Board in June 2014.

#### Odour Management Team

The Odour Management Team has held 7 meetings since they convened in June 2013. The team has prioritized three areas of work – complaints, odour assessment, and health. The team has prepared workplans for these three task groups and the task groups have begun meeting. The team is currently discussing and planning how the remaining four areas of work in the Project Charter will be actioned and funded (prevention/mitigation, enforcement/role of regulation, communication/education/awareness and continuous improvement). The team will meet next on April 30th 2014. The team will provide an update presentation to the Board on June 5<sup>th</sup> 2014.

## **2. Statement of Opportunity Development**

#### Non-Point Source Air Emissions

At the December 2013 board meeting, GoA indicated an interest in championing the NPS issue, and working on the development of a new SoO. An update on GoA's progress was presented to the Board at the March 2014 board meeting. GoA suggested the establishment of a working group to develop a SoO. Board Members indicated that there was limited interest in continuing with this issue at a board level as it is clear that the board feels NPS warrants further consideration by CASA. The Board agreed to establish a working group to develop a project charter to be presented to the Board in September 2014. The secretariat is currently working with interested parties to establish an appropriate focus and approach for proceeding with a NPS working group to develop a Project Charter.

## **3. Other Initiatives**

#### Guide to Managing Collaborative Processes

The Guide to Managing Collaborative Processes is available online and the secretariat is exploring the possibility of a hard copy workbook.

### Strategic Planning

Secretariat tasks for 2013 included reviewing and assessing the current Strategic Plan and developing a 2014 Operational Plan. A risk management framework was presented at the March Board meeting. In the next few months, the committee will use the framework to develop CASA's Risk Management Plan, to be presented at the June Board meeting.

### CASA Case Studies

The CASA secretariat has been developing case studies that highlight the CASA process and significant accomplishments that have been achieved by project teams. Draft case studies have been written about the Electricity Project Team and The Flaring and Venting Project Team.

<u>Revenue</u>	<u>Amount</u>	<u>Note</u>
<b>Grants Carried Forward from 2008</b>	<b>\$578,248</b>	Includes Pre-payment for 2009 Operations from Alberta Environment
Grants Received in 2009		
Alberta Energy - 2nd Quarter Pre-Payment	<b>\$250,000</b>	Intended to be carried forward to future years
Alberta Energy - Annual Contribution	<b>\$1,000,000</b>	Intended for operations to March 31, 2010
<b>Total Grants Received in 2009</b>	<b>\$1,250,000</b>	
<b>Total Expenses 2009</b>	<b>-\$836,590</b>	Year-end actual
<b>Balance End of 2009</b>	<b>\$991,658</b>	
<b>Revenue 2010 -Alberta Energy</b>	<b>\$850,000</b>	For operations to March 31, 2011
<b>Total Expenses 2010</b>	<b>\$928,661</b>	Year end actual
<b>Balance End of 2010</b>	<b>\$912,997</b>	
<b>Revenue 2011-Alberta Energy</b>	<b>\$850,000</b>	For operations to March 31, 2012
<b>Total Expenses 2011</b>	<b>\$983,319</b>	Year end actual
<b>Balance End of 2011</b>	<b>\$779,678</b>	
<b>Revenue 2012-Alberta Energy</b>	<b>\$850,000</b>	For operations to March 31, 2013
<b>Total expenses 2012</b>	<b>\$1,010,114</b>	Year end actual
<b>Balance End of 2012</b>	<b>\$619,564</b>	
<b>Revenue 2013/2014- Alberta Energy</b>	<b>\$1,700,000</b>	Funding to December 2014
<b>Budget expenses June 1, 2013</b>	<b>\$1,076,328</b>	Forecast
<b>Balance End of 2013</b>	<b>\$1,243,236</b>	
<b>Forecasted budget expense 2014</b>	<b>\$1,178,389</b>	Forecast
<b>Balance End of 2014</b>	<b>\$64,847</b>	Forecast
<b>Revenue 2014/2015- Alberta Energy</b>	<b>\$850,000</b>	Funding to December 2015
	<b>\$914,847</b>	Forecast
<b>Forecasted expenses 2015</b>	<b>\$1,000,000</b>	Forecast
	<b>-\$84,153</b>	Forecast December 2015

as of March 31, 2014

**Clean Air Strategic Alliance  
Consolidated Core Expenses  
March 31, 2014**

Item 2.3 - Attachment C

Expense Account	Expenditure to date	Total Budget January 2014	% of Budget
<b>Supplies &amp; Services</b>			
Advertising	1,252	5,000	25
Bank and Finance Charges	426	1,650	26
Computers & IT	7,136	34,105	21
Courier	379	2,280	17
Depreciation			0
Development- Stakeholders	0	0	0
Furniture & Display	0	4,000	0
Office Reconfiguration	0	0	0
Honoraria - Stakeholders	16,676	131,875	13
Insurance	933	4,000	23
Meeting Expenses	12,201	29,770	41
Office Supplies	1,717	6,000	29
Print & Reproduction Services			
Annual Report	0	8,500	0
General	1,004	16,300	6
Repairs & Maintenance	0	500	0
Records Storage	1,150	2,597	44
Subscriptions	1,066	7,000	15
Telecommunications	1,689	8,220	21
Travel			
Consultants	0	625	0
Stakeholders	14,686	55,684	26
Staff	6,906	26,700	26
<b>Total Supplies &amp; Services</b>	<b>67,222</b>	<b>344,806</b>	<b>20</b>
<b>Professional Fees</b>			
Legal Fees	0	3,000	0
Audit	10,000	10,000	100
Consulting Expense			
Alberta Environmental Network	3,500	21,000	17
Consulting for Board/Projects	57,923	84,500	68
<b>Total Professional Fees</b>	<b>71,423</b>	<b>118,500</b>	<b>60</b>
<b>Human Resources</b>			
Salaries & Wages	128,865	587,589	22
Employer Contributions	9,809	23,104	42
Group Benefits	8,769	34,383	26
Group Retirement Savings Plan	9,744	47,007	21
Performance Pay	0	0	0
Employee Recognition	1,176	3,500	34
Staff Development			
Membership Fees	0	1,000	0
Training	4,035	14,000	17
Temporary Staff & Contract Labour	4,960	2,500	198
Recruitment	0	2,000	0
Uncategorized expenses	130	0	0
<b>Total Human Resources</b>	<b>167,487</b>	<b>715,083</b>	<b>23</b>
<b>Total Expenses</b>	<b>306,132</b>	<b>1,178,389</b>	<b>26</b>



## *Information Sheet*

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**Project:** Performance Measurement at CASA

**Background:** In March 2014, the Performance Measures Committee presented the results of CASA's 2013 performance measures and indicators. The report provides useful information that can help the Board to evaluate CASA as an organization (performance measures) and to have a conversation about CASA's agenda (performance indicators). The Board decided that at the June 5th Board meeting they would like to have an in-depth conversation about the performance measure and indicator results and asked the Executive Committee to plan a structured discussion.

**Status:** The attached Performance Measurement Discussion Document outlines the Executive Committee's recommended approach for structuring the results discussion. It focuses the discussion on specific measures and indicators that rose to the top at the last meeting and asks the Board to consider three main questions:

1. What does the measure/indicator tell us?
2. Is this information indicative of a problem?
3. If so, how should it be resolved?

**Attachments:**

- A. 2013 PMC Report (abridged version).
- B. Performance Measurement Discussion Document.
- C. Preliminary Comments from the NGO Caucus.

2013 Performance Measures Committee Report, abridged version for discussing performance measure and indicator results at CASA Board meeting, 5 June 2014



Prepared by the  
Performance Measures Committee  
for the  
Clean Air Strategic Alliance  
Board of Directors

13 February 2014

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## Performance Measures

Table 1 outlines the 2013 performance measures results. Additional information can be found in Appendix 1.

**Table 1: Performance Measures** (\* indicates that the measure will be included only in the PMC Annual Report and NOT in the CASA Annual Report. These measures are for internal consideration only. All other measures will be included in the PMC and CASA Annual Report)

Objective	Performance Measure	Target	Actual	Notes
<i>Secretariat</i>				
Ensure that CASA is financially efficient and accountable.	• Annual operations and cash flows are in accordance with Canadian generally accepted accounting principles (GAAP).	In compliance	In compliance	
	• *Sufficient operating funds are available to bridge CASA's and GoA's fiscal years.	3 months of operating funds	3 months	
Implement the CASA Strategic Plan.	• *Percentage of objectives from the Strategic Plan listed as in progress or complete (according to the Secretariat's colour coded rating system).	100%	81%	The Board designated the objectives under Goal 1 and 2 as the top priorities for CASA. The % of objectives under these two goals listed as in progress or complete is 100%. Most of the objectives not being acted upon are related to communications.
Monitor the implementation of CASA recommendations.	• *Percentage of low-rated recommendations being monitored.	100%	100%	
Provide support to CASA stakeholders.	• Degree of CASA members, partners and stakeholders' satisfaction with CASA.	Maintain or increase	50%	Satisfaction increased by 3% from 47% in 2010.
	• *Project teams' degree of satisfaction with support provided by Secretariat.	Maintain or increase	86%	This is the first year this measure has been calculated.
<i>Board</i>				

Encourage Board member participation in CASA.	<ul style="list-style-type: none"> <li>Percentage of Board attendance at Board meetings by sector.</li> </ul>	75%	Government – 53% Industry – 83% NGO – 95%	The target for government was not met. The government caucus consists of federal, provincial, municipal, First Nations, and Métis representatives.	
	<ul style="list-style-type: none"> <li>*Project teams' degree of satisfaction with support provided by Board member counterparts, by sector.</li> </ul>	Maintain or increase	Government – 86% Industry – 90% NGO – 75%	This is the first year this measure has been calculated.	
<b><i>Strategic Plan Goal 1: To provide strategic advice on air quality issues and the impacts of major policy initiatives on air quality.</i></b>					
Influence and inform AQ policy.	<ul style="list-style-type: none"> <li>Documents produced to inform GoA &amp; other stakeholders which includes a summary of the document and a qualifying description of the anticipated influence on air quality.</li> </ul>	Demonstrate influence	Demonstrated influence	CASA produced seven documents that engaged stakeholders, shaped CASA's policy agenda and focus, and influenced air quality in Alberta. See Additional Information in Appendix 1.	
<b><i>Strategic Plan Goal 2: To contribute to the continued development and implementation of effective and efficient air quality management in Alberta.</i></b>					
Develop reports and recommendations using the CDM process.	<ul style="list-style-type: none"> <li>Degree of satisfaction with project team work by team: <ul style="list-style-type: none"> <li>The Project Charter was completed.</li> <li>The work was completed in a timely manner.</li> <li>The process was collaborative.</li> <li>The team developed SMART (Specific, Measurable, Actionable, Realistic, Time-bound) recommendations.</li> </ul> </li> </ul>	75%	PMOIT 100%	HAHT 86%	PMOIT – Particulate Matter and Ozone Implementation Team HAHT – Human and Animal Health Team The HAHT did not meet the target for completing work in a timely manner or that the team developed SMART recommendations.
		75%	100%	29%	
		75%	100%	86%	
		75%	100%	71%	
<b><i>Strategic Plan Goal 3: To contribute to the development of a reliable, comprehensive, objective knowledge system with respect to air quality, health, and environmental impacts, and management and mitigation mechanisms.</i></b>					
Provide available AQ information.	<ul style="list-style-type: none"> <li>Number of visits to CASA's Information Portal webpage.</li> </ul>	Maintain or increase	No data available	The Information Portal webpage is still in development.	

	<ul style="list-style-type: none"> <li>Number of phone inquiries for information.</li> </ul>	Maintain or increase	No data available	Data collection was unsuccessful. <sup>1</sup>
<b><i>Strategic Plan Goal 4: To communicate information that builds awareness, understanding, and commitment to air quality management in Alberta.</i></b>				
Improve project team knowledge of the CDM process.	<ul style="list-style-type: none"> <li>*Project teams' degree of satisfaction with capacity to participate in collaborative processes.</li> </ul>	Maintain or increase	90%	This is the first year this measure has been calculated.
Increase awareness of CASA, CASA projects and CDM.	<ul style="list-style-type: none"> <li>Number of 3<sup>rd</sup> party requests for CASA assistance.</li> </ul>	Maintain or increase	No data available	Data collection was unsuccessful. <sup>1</sup>
	<ul style="list-style-type: none"> <li>Number of return and unique visitors to website.</li> </ul>	Maintain or increase	Return – 2928 Unique – 4597	Return visits decreased from 3480 in 2012. This is the first year that unique visitors has been calculated.
	<ul style="list-style-type: none"> <li>Number of news stories about CASA.</li> </ul>	Maintain or increase	16	This is an increase from 8 in 2012.

<sup>1</sup> The Secretariat is responsible for data collection for these two measures. The method used to collect the data was unsuccessful. The PMC has offered the Secretariat several suggestions to improve data collection for the 2014 reporting period.

## Performance Indicators

Table 2 provides a summary of the 2013 performance indicator results. Additional information can be found in Appendix 2.

**Table 2: Performance Indicators Summary** (all indicators will be included in CASA's Annual Report)

Objective	Performance Indicator	Actual	Notes
Implement CASA recommendations.	<ul style="list-style-type: none"> <li>Percentage of substantive recommendations from 4 years prior (2009) that have been implemented.</li> </ul>	17%	See Additional Information in Appendix 2, Section 1. Note that this % is based on 3 recommendations that were classified as substantive (out of a total of 32 recommendations from 2009). It is also important to note that all 14 recommendations (classified as operational) from the Clear Air Strategy Project Team were incorporated into Alberta's Renewed Clean Air Strategy.
Measure impact of completed project team work.	<ul style="list-style-type: none"> <li>Each completed project team comes up with one specific metric to measure success of team 5 years in the future.</li> </ul>	N/A	No team metrics are scheduled for reporting in 2013.
Improve air quality in Alberta.	<ul style="list-style-type: none"> <li>Annual average ambient concentrations of: NO<sub>2</sub>, SO<sub>2</sub>, PM<sub>2.5</sub>, H<sub>2</sub>S, O<sub>3</sub>, benzene, and wet acid deposition.</li> </ul>	Decrease: Benzene, H <sub>2</sub> S, NO <sub>2</sub> , SO <sub>2</sub> , wet acid deposition Increase: O <sub>3</sub> N/R: PM <sub>2.5</sub>	Data looks at 1994-2012. See Additional Information in Appendix 2, Section 2. N/R: not representative - for this period, there is not enough data available to produce a meaningful trend due to the lack of a sufficiently long period of time using accepted methods at most stations.
	<ul style="list-style-type: none"> <li>Annual peak concentrations of: NO<sub>2</sub>, SO<sub>2</sub>, PM<sub>2.5</sub>, H<sub>2</sub>S, O<sub>3</sub>, and benzene.</li> </ul>	Decrease: Benzene, H <sub>2</sub> S, NO <sub>2</sub> , SO <sub>2</sub> , Increase: O <sub>3</sub> N/R: PM <sub>2.5</sub>	Data looks at 1994-2012. See Additional Information in Appendix 2, Section 2. N/R: not representative - for this period, there is not enough data available to produce a meaningful trend due to the lack of a sufficiently long period of time using accepted methods at most stations.

	<ul style="list-style-type: none"> <li>Percent hourly exceedances of: NO<sub>2</sub>, SO<sub>2</sub> and H<sub>2</sub>S.</li> </ul>	No significant trends	See Additional Information in Appendix 2, Section 3.		
	<ul style="list-style-type: none"> <li>Percentage of stations assigned to action levels defined by the CASA Particulate Matter and Ozone Management Framework based on annual three-year data assessments completed by Alberta Environment.</li> </ul>	%	Data based on 2010-2012 3-year average. See Additional Information in Appendix 2, Section 4. B- Baseline; S-Surveillance; M-Management Plan; E-Canada-wide Standard (CWS) Exceedance		
		B		46	0
		S		25	100
		M		21	0
		E	8	0	
	<ul style="list-style-type: none"> <li>Annual total emissions from power generation for NO<sub>x</sub>, SO<sub>x</sub>, PM<sub>2.5</sub>, and mercury.</li> </ul>	No significant trends	See Additional Information in Appendix 2, Section 5.		
	<ul style="list-style-type: none"> <li>The change in flaring and venting associated with solution gas, well test and coalbed methane.</li> </ul>	Flaring: +13.2% from 2011 Venting: +28.7% from 2011	Latest data is from 2012. See Additional Information in Appendix 2, Section 6.		
Improve capacity to monitor AQ in Alberta.	<ul style="list-style-type: none"> <li>The percentage of monitoring stations and/or parameters implemented from the 2009 Ambient Monitoring Strategic Plan (AMSP).</li> </ul>	Overall: 50%	See Additional Information in Appendix 2, Section 7.		
	<ul style="list-style-type: none"> <li>Geographic percentage of province covered by airshed zone organizations.</li> </ul>	46%			



## Appendix 1: Additional Information for Table 1 (Performance Measures)

Documents produced to inform GoA & other stakeholders which includes a summary of the document and a qualifying description of the anticipated influence on air quality:

<b>Document Title</b>	<b>Document Description</b>	<b>Anticipated Influence on Air Quality</b>
PM and Ozone Implementation Team 2013 Report	This document outlines the rationale for disbanding the team, progress made against the team's terms of reference and implementing the CASA PM and Ozone Framework, and offers advice to the Board on next steps.	The team has worked diligently since 2006 to support and when required, facilitate the timely implementation of the CASA Framework. The high level of implementation of the recommendations from the CASA Framework and the development of three Regional Management Plans testifies to this effort as well as the adoption of the CASA model at the national level (CAAQS). The final report is available on the CASA website.
Electricity Framework Review Project Charter	This document outlines the goals, objectives, and scope of work of the 2013 Electricity Framework Review Team.	The project charter was developed with extensive consultation and involvement from government, industry, and NGO CASA stakeholders. It is a tool that will shape CASA's policy agenda and focus. The outcomes from this project will have noteworthy impacts on Alberta's electricity generation sector. The project charter is available on the CASA website.
Odour Management Team Project Charter	This document outlines the goals, objectives, and scope of work of the Odour Management Team.	The project charter was developed with extensive consultation and involvement from government, industry, and NGO CASA stakeholders. It is a tool that will shape CASA's policy agenda and focus. The outcomes from this project will have noteworthy impacts on industry, government, and communities impacted by odour. The project charter is available on the CASA website.
Climate and Clean Air Coalition Overview	This document was developed for CASA's Executive Committee and provides an overview of UNEP's Climate and Clean Air Coalition and outlines areas of overlap and links between CASA and CCAC activities.	This document generated a protracted discussion by CASA's Executive Committee about CASA's policy reach and the need for integration across levels of government. This document will be refocused and brought to the Board for continued discussion – the outcome of which will shape CASA's policy agenda and focus.
Non-Point Source Emissions Statement	This document provides a summary of stakeholder commentary about the	This document was developed with extensive consultation and involvement from industry, government, and NGO stakeholders. It

of Opportunity	issue of NPS and groups these concerns thematically.	generated a rich Board discussion and shaped CASA’s agenda and focus – acting as the stimulus for a workshop to further scope the issue of non-point source emission management.
Non-Point Source Emissions Workshop Proceedings	This document outlines the discussions and top three priorities to address NPS that were identified at the workshop.	The workshop brought together a wide-range of interested players. The proceedings generated a dynamic Board discussion and will be used to develop a focused Statement of Opportunity for a CASA project team. The proceedings are available on the CASA website.
Human and Animal Health Team Final Report	This document contains the rationale for disbanding the team, outlines the current status of previously incomplete recommendations, and offers advice to the Board on next steps.	The team provided several pieces of advice to the Board to encourage updates around new and ongoing human health initiatives and ensure that ecological health (including animal health) is considered in the terms of references for new project teams. The final report is available on the CASA website.

## Appendix 2: Additional Information for Table 2 (Performance Indicators)

Section 1: Percentage of substantive recommendations from 4 years prior (2009) that have been implemented.

For 2013, the Performance Measures Committee considered the recommendations approved by the CASA Board in 2009. In this year, the CASA Board approved ten recommendations from the Electricity Framework Review Team, fourteen recommendations from the Clean Air Strategy Project Team and eight recommendations from the Enhanced Collaboration with the Water Council Committee. Of these, three recommendations from the Electricity Framework Review Team were deemed substantive by the Committee. The remaining recommendations were deemed either administrative or operational and so are not subject to further evaluation. It is important to note that all 14 recommendations from the Clear Air Strategy Project Team were incorporated into Alberta's Renewed Clean Air Strategy.

Overall, the degree of implementation of CASA recommendations approved in 2009 is 17%.

Table 1 shows the rating of the three substantive recommendations and subsequent calculation of overall implementation of recommendations and Table 2 summarizes the results since 1997.

**Table 1: Rating of Substantive Recommendations**

Project Team (No. of substantive recommendations)	Rating of Recommendations (Original recommendation numbers placed in appropriate rating column)										
	0	1	2	3	4	5	6	7	8	9	10
Electricity Framework Review Team (3)	7, 8					6					
Total number (3)	2					1					
Mean Calculation: $0 \times 2 + 5 \times 1 = 5$											
Overall (average rating) = $5 / 3 = 1.7$ or 17%											
Reviewer(s): Electricity Framework Review Team: Randy Dobko (ESRD)											

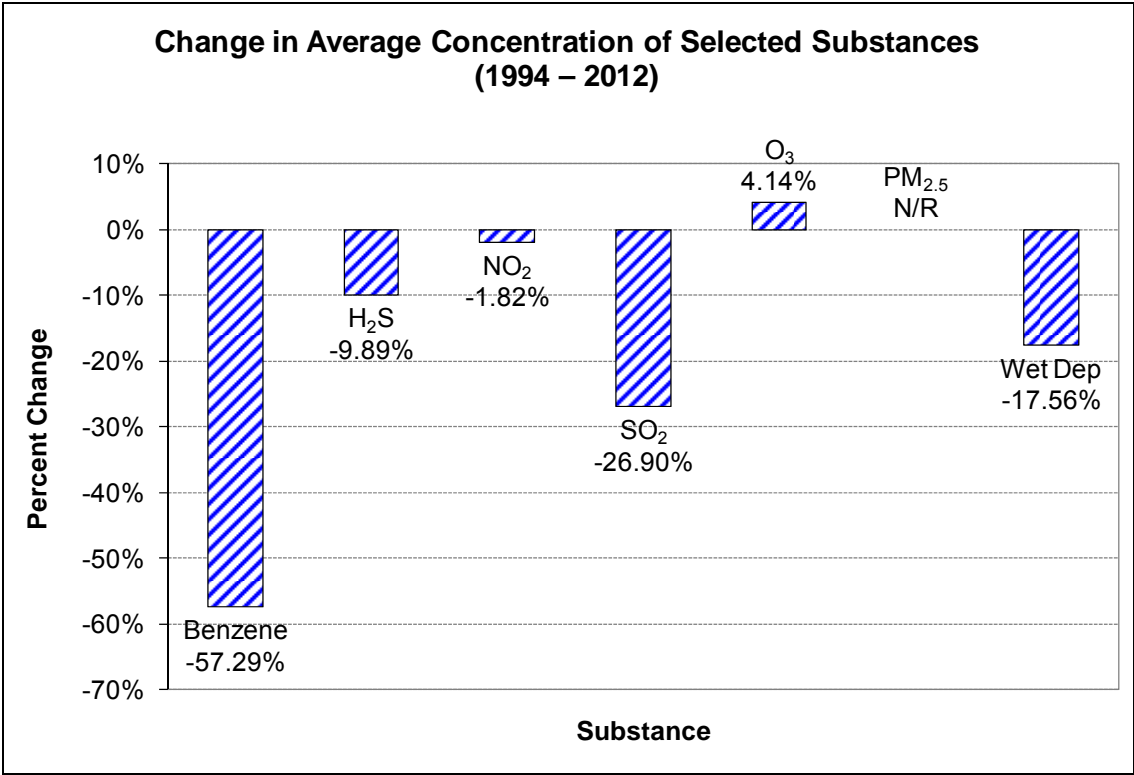
**Table 2: Summary of Results for Recommendation Implementation**

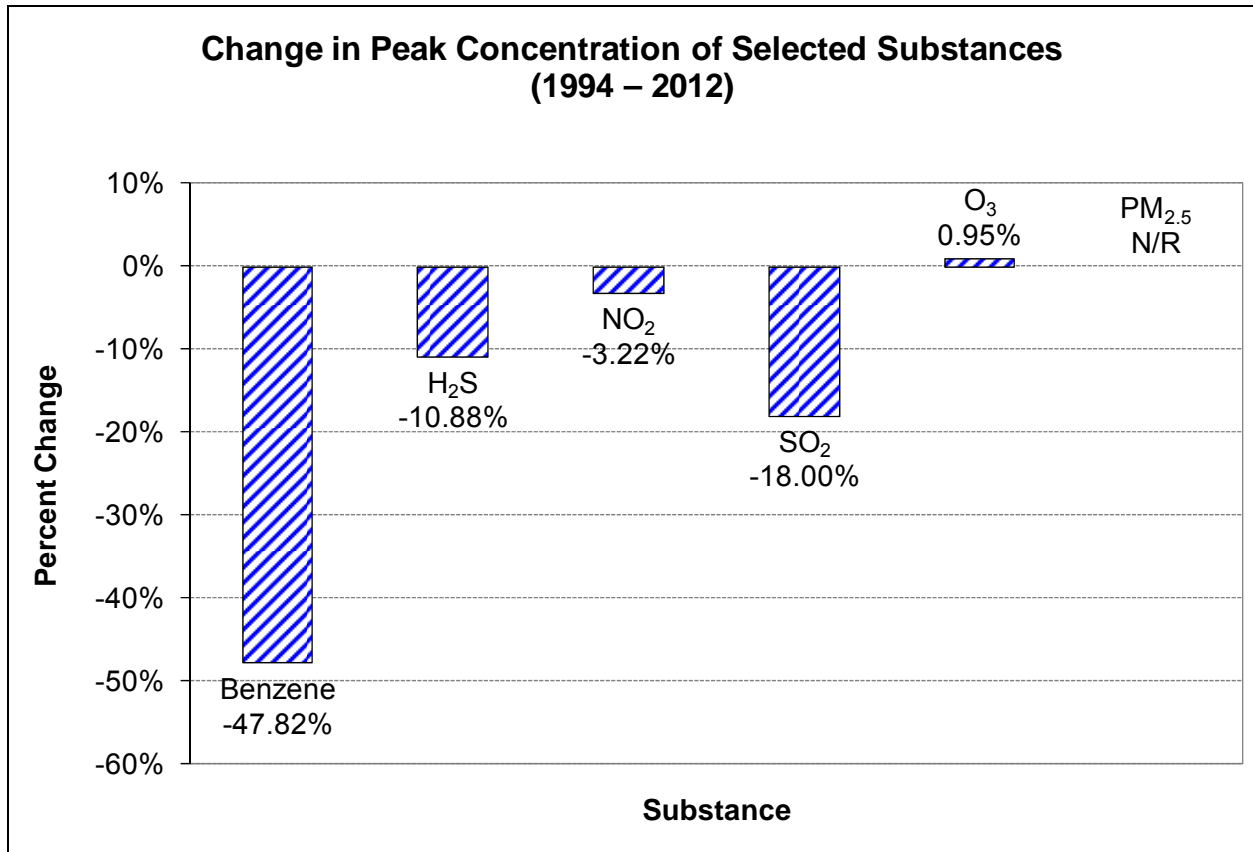
Year Approved by CASA Board	Number of Substantive Recommendations	Degree of Implementation of Substantive Recommendations (%)
1997	25	77
1998	54	76
1999	30	62
2000	0	n/a
2001	5	94
2002	53	74
2003	79	73

2004	47	91
2005	18	77.2
2006	1	100
2007	1	30
2008	2	90
2009	3	17

**Section 2:** Annual average ambient concentrations of: NO<sub>2</sub>, SO<sub>2</sub>, PM<sub>2.5</sub>, H<sub>2</sub>S, O<sub>3</sub>, benzene, and wet acid deposition.

Annual peak concentrations of: NO<sub>2</sub>, SO<sub>2</sub>, PM<sub>2.5</sub>, H<sub>2</sub>S, O<sub>3</sub>, and benzene.





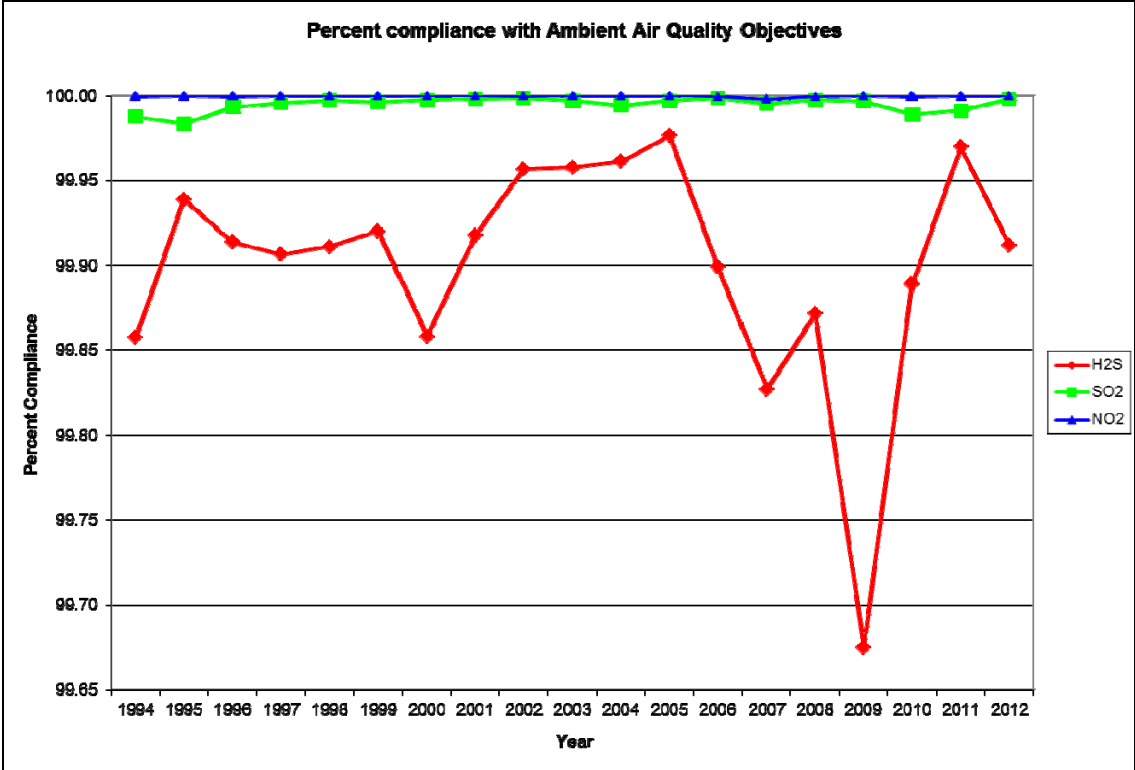
## Notes:

PM<sub>2.5</sub> can only be calculated from five out of thirty-five sites, two of which are continuous, three intermittent. This is because in 2009 and 2010, the monitoring technology was changed at most sites. The results from the new technology are not comparable to the old, so they cannot both be used in the test trend significance. Nor is there a sufficiently long time span with the new technology to be able to determine trend significance. Due to the small number of sites which are available, the results are considered not representative, and are noted with an "N/R" on the chart. Of the five sites that do have a long enough time span, there were no significant trends either increasing or decreasing.

The benzene trend uses data from three sites in Edmonton and Calgary. There is a continuous monitor now installed at Scotford 2 which monitors benzene and other VOCs, however it has only been operating for six years. This is long enough to determine trend significance, and a statistically significant increasing trend was detected in the annual average concentrations at this site, with a percent change of 1789%. However, the percent difference is calculated from a linearization of the trend, and determining the percent change from the first to the last year of this linearization. The linearization for this particular trend had a very low value for the initial year, which caused the percent difference to be very high. Also the absolute concentrations are lower than the other sites in the province for 5 of the 6 years. As such, Scotford 2 was not used in the change calculations for Benzene.

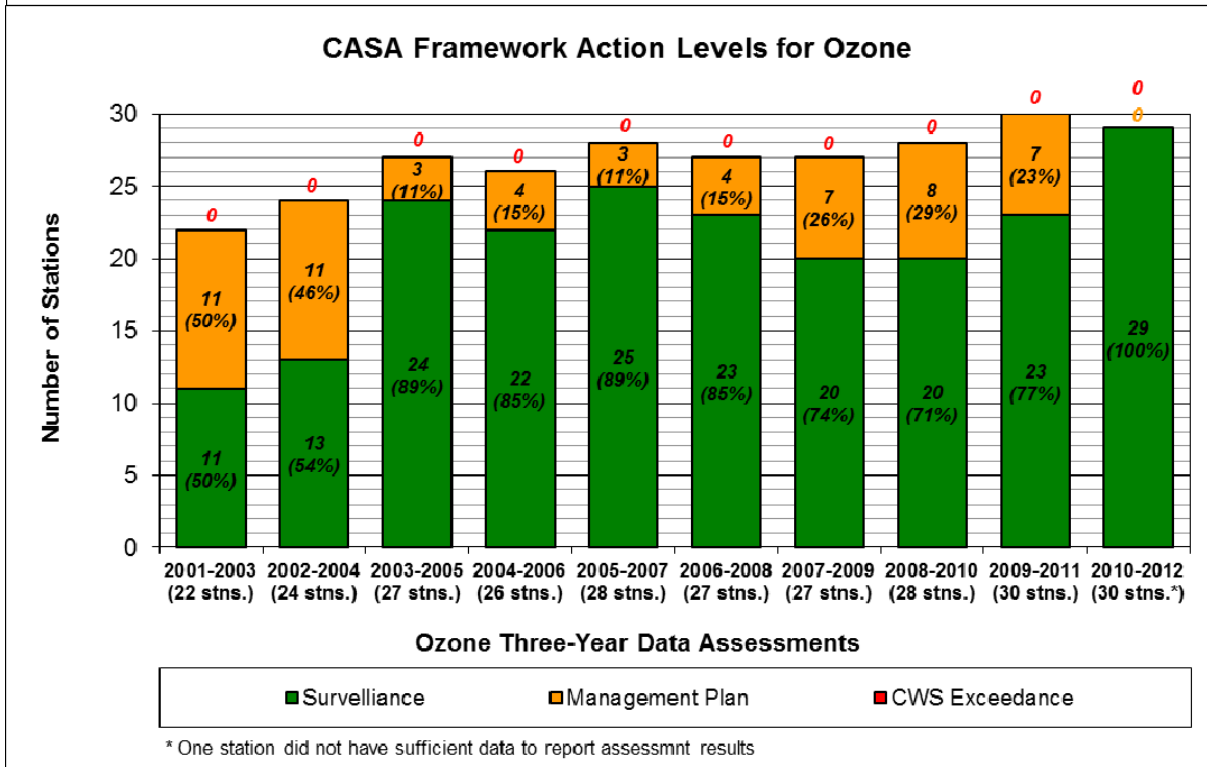
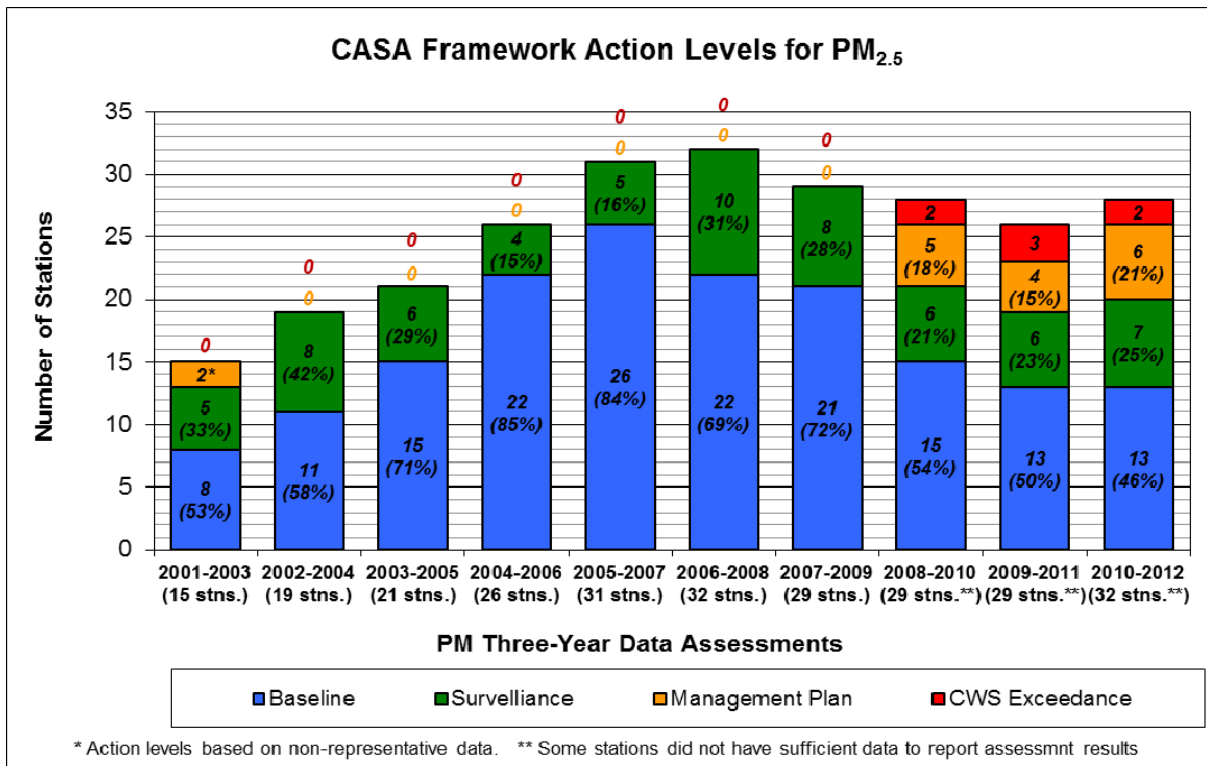
H<sub>2</sub>S may not have been included in the last report, as at the time of that report, there had been a short-term spike in H<sub>2</sub>S concentrations at some sites which had a large influence on the bar for H<sub>2</sub>S in the charts. This spike has shown itself to be a short-term effect, concentrations have fallen back, and the trends have returned to a more normal state.

Section 3: Percent hourly exceedances of: NO<sub>2</sub>, SO<sub>2</sub> and H<sub>2</sub>S.



Notes:  
There are no significant trends in percent compliance with any of the three objectives charted here.

Section 4: Percentage of stations assigned to action levels defined by the CASA Particulate Matter and Ozone Management Framework based on annual three-year data assessments completed by Alberta Environment.



**Notes:**

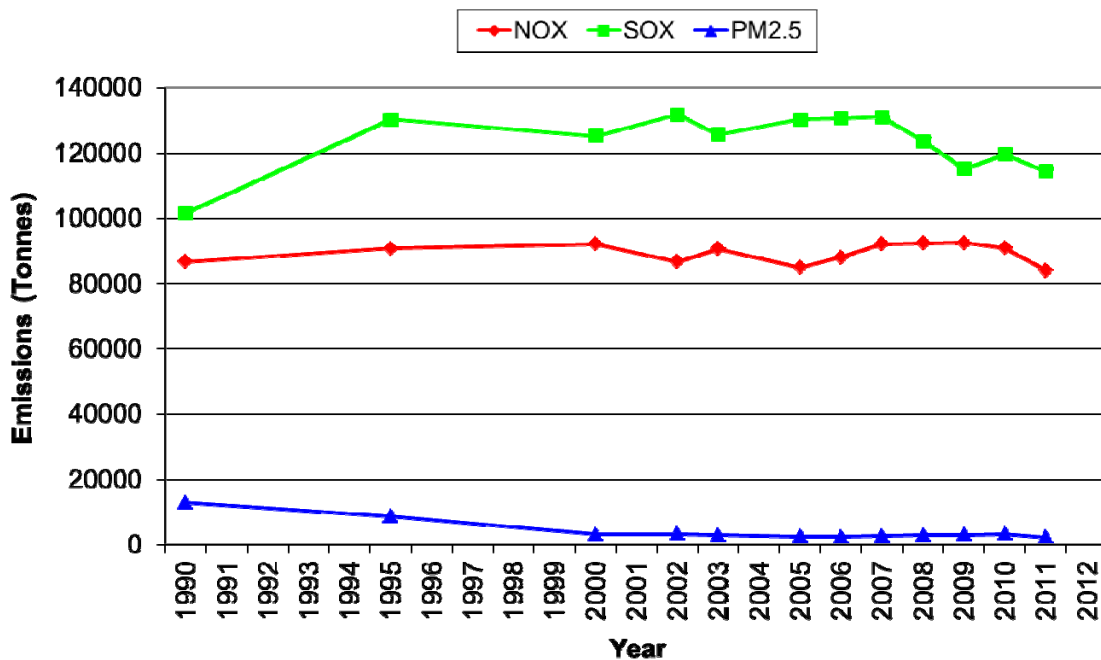
Total number of stations is indicated in the x-axis labels. This number may be higher than the total height of the bar. This is due to some stations having had insufficient data to calculate a three-year average concentration. The sites in question would still be active, and able in future to report a three year average and have an action level assigned to them, however they do not have

such an assignment for the three-year period in question. In 2009, ESRD also determined some sites to be industrial compliance sites, and not suitable for inclusion in the analysis, as they will not be used in Canadian Ambient Air Quality Standards (CAAQS) reporting in the future. As CAAQS reporting is to start with the 2011-2013 period, 2010-2012 is the last period for which ESRD will be assigning action levels under the CASA Framework.

As this measure is based upon data which have been manipulated to remove natural, background, and transboundary influence, it is not appropriate to attempt to determine statistical significance on any trends.

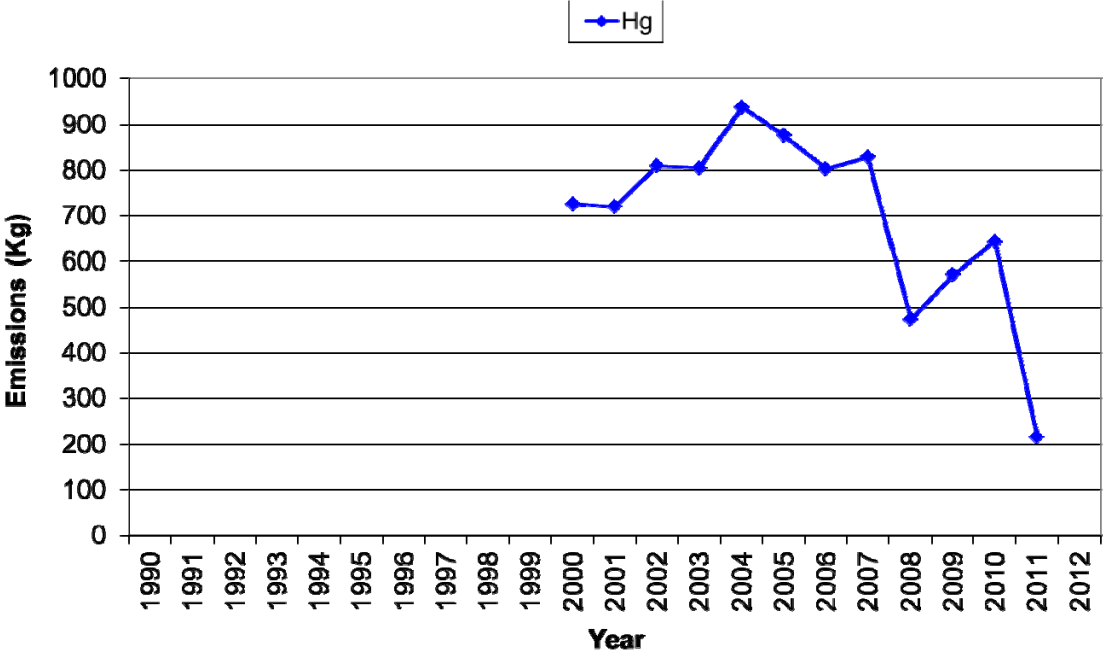
Section 5: Annual total emissions from power generation for NO<sub>x</sub>, SO<sub>x</sub>, PM<sub>2.5</sub>, and mercury.

**CAC Emissions from the Electricity Generation Sector**



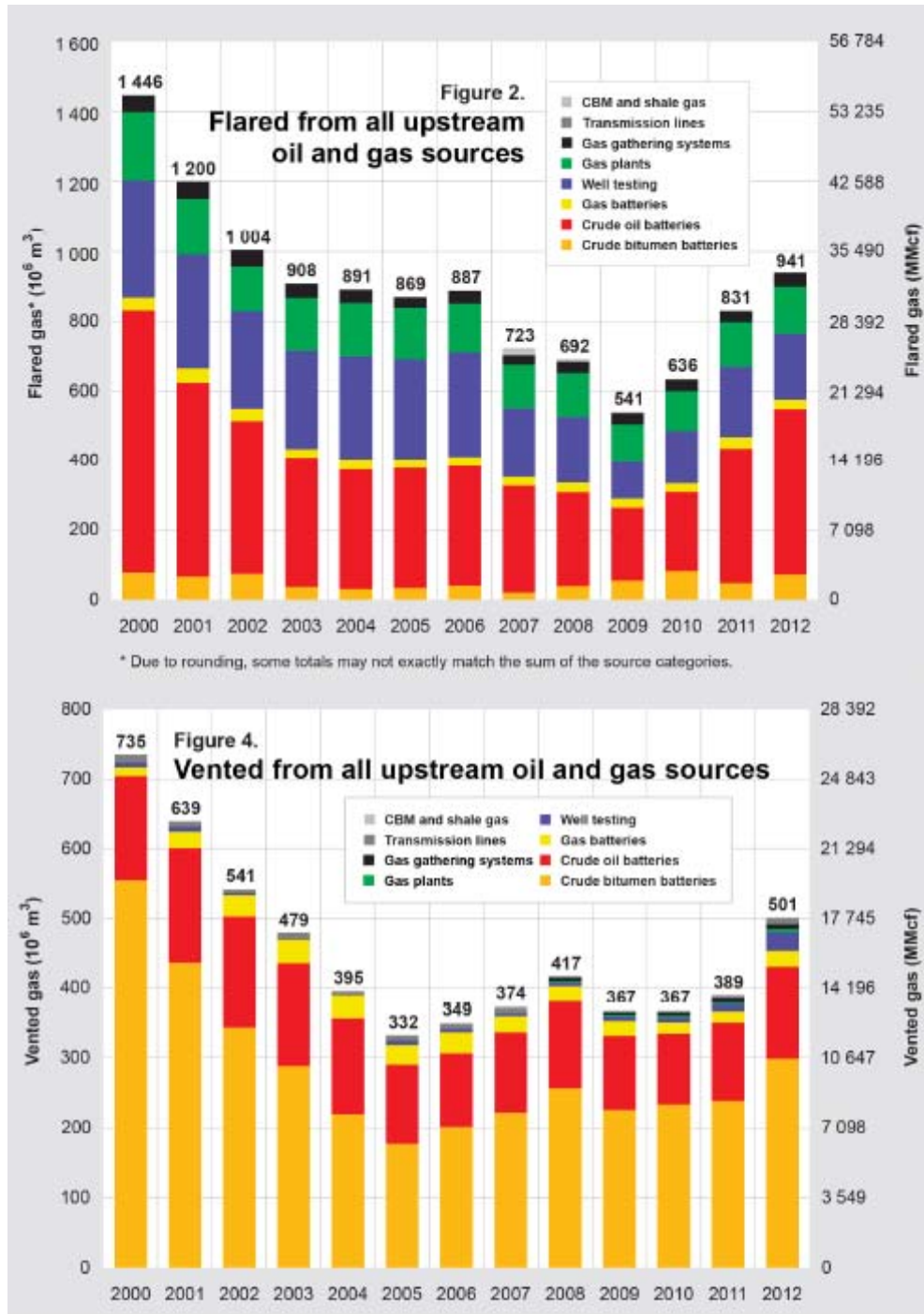


### Mercury Emissions from the Electricity Generation Sector



Notes:  
Due to an increase in the amount of time taken for results to become available, 2012 data are not available for emissions from the electricity sector.  
None of the trends depicted are statistically significant.

Section 6: The change in flaring and venting associated with solution gas, well test and coalbed methane.



Notes:

The total volume flared from all upstream oil and gas sources in 2012 was 941 10<sup>6</sup> m<sup>3</sup> (33 379 MMcf), an increase of 13.2% from 2011.

The total volume vented from all upstream oil and gas sources in 2012 was 501 10<sup>6</sup> m<sup>3</sup> (17 786 MMcf), an increase of 28.7% from 2011.

Section 7: The percentage of monitoring stations and/or parameters implemented from the 2009 Ambient Monitoring Strategic Plan (AMSP).

	2013	2010
<b>1 Population Based Completed:</b>	<b>55%</b>	<b>57%</b>
<b>2 Ecosystem Based Completed:</b>	<b>25%</b>	<b>20%</b>
<b>3 Ozone Completed:</b>	<b>41%</b>	<b>52%</b>
<b>4 Background and Boundary Transport Completed:</b>	<b>44%</b>	<b>44%</b>
<b>5 Pattern Recognition Completed:</b>	<b>47%</b>	<b>40%</b>
<b>Overall Completed:</b>	<b>50%</b>	<b>54%</b>

PLEASE NOTE: In general, this indicator is very subject to interpretation, and misses a lot of the expansion that has happened, simply because the new stations (St. Lina, Bruderheim, upgrades to Edson and Hinton, Anzac, Woodcroft (an Edmonton station operated by Lehigh)) aren't specified by the AMSP. Hopefully there will be some expansion into AMSP specified locations like St. Albert, and a recommissioning of Calgary East by the next PM cycle.

Notes:

1: In 2011, Calgary East was decommissioned in anticipation of relocation. It has unfortunately not yet been brought back online. It's very nearly ready, almost everything is in place, it's just not been finished yet. Hopefully this will be in place in 2014. If it were still in operation, the Population based subprogram would have shown a slight improvement over 2010 with the addition of some parameters at some sites.

2: The Ecosystem subprogram is for acid deposition, and there have been a few new stations including Elk Island, two in WCAS, and a Dry Deposition site at Anzac.

3: ACAA and PAMZ had been doing some work a few years ago in terms of upwind and downwind ozone, however this has not been an ongoing activity and no new permanent sites that would fall into these categories have been placed, therefore there is a decline in this measure.

4: No changes.

5: This count had been a bit of a rough estimate in the past, and has been re-counted for this 2013 report. The original concept was that the province would be covered in passive monitors on a 1° by 1° grid. The number of these grid points that have a passive site located nearer to them than to any other grid point were counted. The original count found that there were 100 such points, and so these were divided up as follows: 40 were estimated to already be covered with SO<sub>2</sub>, NO<sub>2</sub>, and O<sub>3</sub> passives, an additional 40 similar which should be created, and a further 20 which should also monitor H<sub>2</sub>S and NH<sub>3</sub>. The actual count is 110 but some of these (32) are on the border and so their covered area is only half within the province – therefore it's reasonable to leave the total number of stations at 100. According to the 2013 count, 30 grid points have a nearby SO<sub>2</sub>, NO<sub>2</sub>, O<sub>3</sub> monitoring site, in PAS, CRAZ, PAMZ, WBEA, FAP, and LICA. PAZA covers 11 with SO<sub>2</sub>, NO<sub>2</sub>, O<sub>3</sub>, and H<sub>2</sub>S, and WBEA covers 10 with SO<sub>2</sub>, NO<sub>2</sub>, O<sub>3</sub>, and NH<sub>3</sub>. The count found these 21 sites as being 80% implementation of the new ones, giving a total of 40% implementation for the Pattern Recognition program.

**Performance Measurement Discussion – Reviewing the 2013 Performance Measure and Indicator Results**

**Item 3.1 – Attachment B**

At the March 13<sup>th</sup> CASA Board meeting, the Performance Measures Committee (PMC) presented the 2013 Performance Measures Committee Report, which included the results from 2013 performance measures and indicators. The Board commented that the report provides useful information that can help the Board to evaluate CASA as an organization (performance measures) and to have a conversation about CASA’s agenda (performance indicators).

Performance measures and performance indicators differentiate between areas where CASA has a high degree of control over results (measure) and areas where CASA has a lower degree of control over results (indicator). Measures are compared to a target and focus on CASA’s organizational performance. Performance indicators are not compared to a target, but rather provide context for the bigger picture in which CASA works.

The Board decided that at the June 5<sup>th</sup> Board meeting they would like to have an in-depth conversation about the performance measure and indicator results and asked the Executive Committee to plan a structured discussion.

The Executive Committee recommends the following approach:

- Since there is not sufficient time to discuss all the results, the Executive Committee has highlighted a few relevant measure/indicators for the Board’s consideration.
- Then, at the meeting, the Board should engage in a facilitated discussion based on the questions outlined in the tables below.

**Performance Measures for Discussion:**

Measure	What does the measure tell us (both factually and in terms of the Board’s expectations)?	Is this information indicative of a problem that needs to be resolved? If so, what is the issue?	If so, how should it be resolved?
Percentage of objectives from the Strategic Plan listed as in progress or complete (according to the Secretariat’s colour coded rating system).	Target: 100% Actual: 81%		
Degree of CASA members, partners and stakeholders’ satisfaction with CASA.	Target: Maintain or increase Actual: 50% (increase of 3%)		

Performance Indicators for Discussion:

Indicator	What does the indicator tell us (both factually and in terms of the Board's expectations)?	Is this information indicative of a problem? If so, what is the issue and does CASA have a role in the solution?	If so, how should it be resolved?
The change in flaring and venting associated with solution gas, well test and coalbed methane.	Flaring: +13.2% from 2011 Venting: +28.7% from 2011		
Objective: Improve air quality in Alberta. -There are six indicators under this Objective. The intended goal of including this piece is to have a high level conversation about air quality in Alberta and overall implications.	Various results. See abridged 2013 PMC Report.		
The percentage of monitoring stations and/or parameters implemented from the 2009 Ambient Monitoring Strategic Plan (AMSP).	Overall: 50%		
Geographic percentage of province covered by airshed zone organization.	46% of province		

*Food for Thought: Are there any changes to measures/indicators that might provide more useful results that should be flagged for further consideration by the PMC?*

**Performance Measurement Discussion – Preliminary comments from the NGO caucus**

**Item 3.1 – Attachment C**

**Performance Measures for Discussion:**

Measure	What does the measure tell us (both factually and in terms of the Board's expectations)?	Is this information indicative of a problem that needs to be resolved? If so, what is the issue?	If so, how should it be resolved?
Percentage of objectives from the Strategic Plan listed as in progress or complete (according to the Secretariat's colour coded rating system).	Target: 100% Actual: 81%		
Degree of CASA members, partners and stakeholders' satisfaction with CASA.	Target: Maintain or increase Actual: 50% (increase of 3%)	Yes. It should be at least 66% satisfaction.	What are the key issues? Is there a common issue? If it is in CASA's control – address it. If it is not in CASA's control then this is a communications problem – and that can also be fixed.

**Performance Indicators for Discussion:**

Indicator	What does the indicator tell us (both factually and in terms of the Board's expectations)?	Is this information indicative of a problem? If so, what is the issue and does CASA have a role in the solution?	If so, how should it be resolved?
The change in flaring and venting associated with solution gas, well test and coalbed methane.	Flaring: +13.2% from 2011 Venting: +28.7% from 2011	D60 sets limits for flaring and venting at the provincial level that are being exceeded. This means that the framework developed at CASA is no longer working. It was designed to fit a certain set of conditions – those conditions have changed. Should have implemented a 5 year review – but at the time the work seemed entirely	It was raised as an issue at the CASA Board – the CASA Board does not have consensus on the need to address the issue. In that case – CASA continues to monitor and maybe the sectors will agree on a course of action in future.

		unfinished so the committee kept working until it could no longer agree on the need for change.	
Objective: Improve air quality in Alberta.  -There are six indicators under this Objective. The intended goal of including this piece is to have a high level conversation about air quality in Alberta and overall implications.	Various results. See abridged 2013 PMC Report. Some emissions are stable but other emissions are rising. Overall air quality is deteriorating. As more is learned about the health impacts of PM, more stringent ambient objectives and Canada-wide Ambient Air Quality Standards have been established. Even more exceedences in Alberta and many more instances of management monitoring limits being triggered can be expected.	It is hard to see much direct impact on these trends/issues from the work that CASA is currently doing or is planning to do.	The members of CASA should position the organization to make a meaningful contribution to solving this problem.
The percentage of monitoring stations and/or parameters implemented from the 2009 Ambient Monitoring Strategic Plan (AMSP). AND Geographic percentage of province covered by airshed zone organization.	Overall: 50% 46% of province Air monitoring network is incomplete and not fully addressing the need of air management, particularly outside the oilsands region.	CASA helped to establish the first generation of air shed zones in Alberta and ensured that air monitoring and management incorporated stakeholder engagement principals. A new generation of air shed air management systems are being developed and rolled out – without the benefit of stakeholder engagement at the regional or the province level.	There is a role for CASA to assist with the role out of the next generation of air monitoring and management – validate it – communicate it - as well as reinforcing the importance of stakeholder engagement.

*Food for Thought: Are there any changes to measures/indicators that might provide more useful results that should be flagged for further consideration by the PMC?*

- Possible new measure: Degree of funding of approved projects compared to full budgets proposed.
  - Possible target: 100% of budget required for full project work.

## DECISION SHEET

**ITEM:** 4.1 Interim Report – 2013 Electricity Framework Review

**ISSUE:** The Electricity Framework Review (EFR) team could not reach a consensus on the need to review and/or adjust the Alberta Framework given fundamentally divergent views regarding what is required to allow changes to be made to the Framework.

**BACKGROUND:** In March 2013, the Board reviewed a Project Charter for the second Five-Year Review of the Framework that included all the information relevant to the project's parameters and outcomes. The Board approved the Project Charter and established the 2013 EFR project team.

The Project Charter described an initial assessment to assist the team in determining if a review of the structure of the Framework itself was warranted. The initial assessment included three tasks:

1. GHG Regulations: Identify potential implications and emissions management issues for the Alberta Framework created by the implementation of federal GHG Regulations.
2. Emissions Growth Review Trigger (Recommendation 34): Update the emissions forecast and determine if the emissions are 15% higher for a five-year period than projected in the previous Five-Year Review.
3. Economic Review Trigger (Recommendation 35): Determine if the economic assumptions underlying the Framework are significantly different, so as to adversely affect the viability of the electricity sector.

**STATUS:** As the team explored the tasks in the initial assessment, interested parties reached an impasse on some key issues. As such, the team prepared the attached interim report to clearly document key issues and identify points where the team agreed to disagree. In addition, a more detailed account of the various perspectives is appended to the report in the individual submissions from potentially impacted parties.

### Areas of Disagreement

#### GHG Regulations

- There is no agreement on whether there are implications for the Framework created by the implementation of the federal GHG Regulations.
- There is no agreement on how to assess the implications of the implementation of the GHG Regulations.

#### Economic Review Trigger

- There is no agreement on how to interpret the guidance given in Recommendation 35.



- There is no agreement on whether the “viability of the Alberta electricity sector” should consider the macro-level (electricity sector as a whole) or micro-level (plant and company).

#### Relevance of the Framework

- There is no agreement on the factors that should be considered when determining if adjustments to the Framework are warranted.
- Specifically, there is no agreement on whether the Economic Review Trigger and the Emissions Growth Trigger should be the only factors that can create the need for a review.

#### Decision requested from the Government of Alberta

The EFR team did not reach a consensus on the need to review and/or adjust the Framework given fundamentally divergent views regarding what is required to allow changes to be made to the Framework.

As such, the Government of Alberta needs to determine if adjustments to the Framework are warranted, the nature of those adjustments, and a description of the path forward as appropriate.

It should be noted that although the EFR team has been unable to make progress on the above elements of the Five-Year Review, there are some discrete tasks that are in progress as per Recommendation 29.

**ATTACHMENTS:** EFR Interim Report, May 2014

**DECISION:** Approve the EFR Interim Report and forward it the Government of Alberta for a final decision.



**FIVE YEAR REVIEW OF ALBERTA'S  
ELECTRICITY FRAMEWORK**  
Interim Report, May 2014

Prepared by the 2013 Electricity Framework Review Team for the  
CASA Board of Directors

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## 1. Decision Requested

The EFR team did not reach a consensus on the need to review and/or adjust the Alberta Framework given fundamentally divergent views regarding what is required to allow changes to be made to the Framework.

Some parties believe that the five-year review team must demonstrate and agree that either the emissions growth trigger or economic review trigger have been exceeded to proceed with a structural review of the Framework, otherwise the team is not empowered to vary the terms of the current Framework. These stakeholders also believe that the federal GHG Regulations have no substantive implications to the Alberta Framework.

Some parties believe that both the 2013 Project Charter and the Alberta Framework itself allow stakeholders to open the Framework for review. These stakeholders believe that the economic review trigger and emissions growth trigger are not the only factors that should be considered when determining whether a review and/or adjustment of the Framework is necessary. Through an open “interest-based” discussion, the team could agree that a review and/or adjustment of the Framework is warranted based on any number of elements and/or changing circumstances. This agreement would empower the team to make recommendations to the CASA Board as appropriate.

Some parties believe that while the economic trigger has likely not been exceeded, an independent assessment of the economic review trigger would add clarity to the issue of whether the sector is still viable with current and forthcoming environmental regulations facing the sector. This clarity could help settle the non-consensus items and assist in determining the way forward.

Finally, some parties believe that while the emission and economic triggers have likely not been exceeded, they would be prepared to participate in a review and a possible update of the Alberta Framework. These parties also believe that for such a review to proceed, all stakeholders would have to agree by consensus. This agreement could not be reached by the EFR project team.

**As such, the Government of Alberta needs to determine if adjustments to the Framework are warranted, the nature of those adjustments, and a description of the path forward as appropriate.** This should be accompanied by an associated description of the considerations that were applied in reaching the decision.

The EFR team has prepared this interim report to clearly document key issues and identify points where the team agrees to disagree. A more detailed account of the various perspectives is appended in the individual submissions from potentially impacted parties (see Appendix C).

## 2. Background

In January 2002, Hon. Lorne Taylor, Alberta’s Minister of the Environment, asked the Clean Air Strategic Alliance (CASA) to develop a new way to manage air emissions from the electricity sector. The Electricity Project Team developed *An Emissions Management Framework for the Alberta Electricity Sector* (the Alberta Framework). The Alberta Framework was developed through a collaborative, multi-stakeholder process that included the active participation of government, non-government organizations, locally-affected interest groups, and the Alberta electricity sector. The Alberta Framework is a set of 71 consensus recommendations, negotiated by the team and agreed to as a package. These recommendations were adopted by consensus of the CASA Board of Directors in 2003 and subsequently

implemented as regulations in 2004/2005 by the Government of Alberta (see Appendix B) The Alberta Framework represents a creative mix of management strategies that increase long term regulatory certainty for all parties, provide flexibility in reducing emissions and encourage continuous improvement of the overall management system.

To ensure continuous improvement and to keep the Alberta Framework timely and relevant, the Framework recommends a defined multi-stakeholder process to evaluate the performance of the Framework at five-year intervals (see Recommendation 29). The intent of the five-year review is to assess new emission control technologies, update emission limits for new generation units, determine if emission limits for new substances need to be developed, review implementation progress and determine if the Alberta Framework is achieving its emission management objectives. Each Five-Year Review should be a publicly credible, transparent, participatory process that involves stakeholders from all sectors, including the public. If core assumptions are proven wrong, the Framework will be revised.

The first Five-Year Review started in 2008 and the Electricity Framework Review (EFR) Team submitted its report and recommendations to the CASA Board in June 2009. The report contained ten consensus recommendations and one non-consensus item. The consensus items included revisions to the Particulate Matter (PM), Nitrogen Oxides (NO<sub>x</sub>) and Sulphur Dioxide (SO<sub>2</sub>) emission standards for new coal-fired units based on improvements in emission control technologies, effective January 1, 2011. The non-consensus item pertained to NO<sub>x</sub> emission standards for new gas-fired generation for both peaking and non-peaking units. A final report, including the interests and rationale with respect to the non-consensus recommendation, was forwarded to the Government of Alberta in May 2010 for decision.

A sub-group of the EFR team continued to meet to develop a Particulate Matter (PM) System for existing units, as per Recommendation 22 of the Framework. However, in March 2011, the Board put the sub-group into abeyance until the final details of the pending *Reduction of Carbon Dioxide Emissions from Coal-Fired Generation of Electricity Regulations* (GHG Regulations) were available.

During this time, the CASA Board also discussed the potential misalignments between the Alberta Framework, Environment Canada's proposed Base Level Industrial Emissions Requirements (BLIERs) for existing coal-fired electricity generation units, and the proposed federal GHG Regulations. The Board emphasized the need for CASA to respond to these issues in a strategic manner and struck a Working Group to develop a report on the potential misalignments. In December 2011, the working group presented their final report to the Board and, upon the Board's approval, the Government of Alberta committed to presenting the report at the Canadian Council of Ministers of the Environment Champion's table.

On September 12, 2012, the federal GHG Regulations were published in the Canada Gazette, Part II: Official Regulations. As such, the working group updated their report in October 2012 and resubmitted it to the CASA Board and the Government of Alberta.

In March 2013, the Board reviewed a Project Charter for the second Five-Year Review of the Framework that included all the information relevant to the project's parameters and outcomes. The Board approved the Project Charter and established the 2013 Electricity Framework Review (EFR) project team with the following project goal:

To ensure the *Emissions Management Framework for Alberta's Electricity Sector* (the Framework) reflects current circumstances, the project team will conduct a Five-Year Review, as

outlined in Recommendation 29 of the Framework. The team will also consider whether a review of the structure of the Framework itself is warranted and develop recommendations as appropriate.

The Project Charter described an initial assessment to assist the team in determining if a review of the structure of the Framework itself is warranted. The initial assessment included three tasks:

1. GHG Regulations: Identify potential implications and emissions management issues for the Alberta Framework created by the implementation of federal GHG Regulations.
2. Emissions Growth Review Trigger (Recommendation 34): Update the emissions forecast and determine if the emissions are 15% higher for a five-year period than projected in the previous Five-Year Review.
3. Economic Review Trigger (Recommendation 35): Determine if the economic assumptions underlying the Framework are significantly different, so as to adversely affect the viability of the electricity sector.

The project team proceeded with their work based on the following assumptions:

- The GHG Regulations will be implemented, as published in Canada Gazette, Part II: Official Regulations and any inconsistencies with the Alberta Framework will need to be identified, considered, and addressed; and
- Environment Canada's proposed BLIERs for existing coal-fired units will not be implemented in Alberta and need not be considered at this time.

### 3. Current Status

#### 3.1. GHG Regulations

Stakeholders have strongly differing views on the potential implications of the implementation of the GHG Regulations. Some stakeholders believe the implementation of the GHG Regulations has implications for the Alberta Framework that need to be addressed. Others believe the GHG Regulations have no impact on the Alberta Framework.

#### 3.2. Emissions Growth Trigger (Recommendation 34)

Work is still underway on Recommendation 34 to update the emissions forecast and determine if the emissions are 15% higher for a five-year period than projected in the previous Five-Year Review.

#### 3.3. Economic Review Trigger (Recommendation 35)

Stakeholders have strongly differing views on whether the economic assumptions underlying the Framework are significantly different so as to adversely affect the viability of the electricity sector. There is also disagreement on how to interpret the guidance given in Recommendation 35. After discussions about the economic trigger (Recommendation 35), stakeholders raised concerns about a potential impasse if the team continued to discuss whether the economic trigger had been exceeded. The economic trigger has emerged as an issue where strongly divergent views exist.

#### 3.4. Approach Taken

Rather than pursue a discussion that would potentially end in an impasse, there was agreement to shift the team's focus to the potential implications and emissions management issues for the Alberta Framework created by the implementation of GHG Regulations. In November 2013 and January 2014,

the team held meetings that focussed on open “interest-based” discussions, looking for potential win-win solutions to address the implementation of the federal GHG Regulations together with the Alberta Framework, with the following caveats:

- Any discussion of alternative concepts was on a “without prejudice” basis. I.e. Team members would not be viewed as having committed to a particular solution being discussed prior to reaching agreement on a complete package of recommendations.
- Participating in these discussions was not an indication of agreement that the Alberta Framework should be subject to a structural review and/or adapted.

The outcome of these meetings was a range of ideas and concepts proposed by various stakeholders that received limited review and consideration by the team. On a “without prejudice” basis, the team discussed each concept to develop a common understanding of the general nature and key elements of the concept. Detailed discussion on these concepts was subsequently curtailed as the team acknowledged that they had not reached consensus to proceed with a review and/or adjustments to the Framework. These concepts are presented in Section 5 in no particular order and with no specific endorsements from the EFR team.

### 3.5. On-Going Tasks of the 2013 Five-Year Review

Although the EFR team has been unable to make progress on the above elements of the Five-Year Review, there are some discrete tasks that are in progress as per Recommendation 29, as follows:

- A consultant is preparing a review of emission control technologies for gas-fired electricity generation. This report and other relevant information will be used to identify the Best Available Technology Economically Achievable (BATEA) emission limit standards and corresponding deemed credit thresholds for new thermal generation units.
- A consultant is developing an updated emissions and generation forecast. This report will be used to evaluate the emissions growth trigger.
- Literature reviews have been prepared to assist with a review of new information that illustrates potential health and ecological effects associated with emissions from the electricity sector.
- The literature reviews and other relevant information will be used to review the air emissions substances subject to formal limits, including possible new substances.

The following tasks have not been initiated by the 2013 EFR Team:

- The development of a PM Management System for existing units (there is some work from the 2008 EFR team).
- An assessment of the implementation of the Emissions Trading System.
- A review of the implementation of the recommendations.
- The development and implementation of a strategy for communicating and engaging with stakeholders and the public.

In their Project Charter, the team has noted specific areas where federal and provincial air quality management initiatives should be considered.

## 4. Areas of Disagreement

Given that interested parties had reached an impasse on some key issues, the EFR team agreed to employ a broader collaborative approach to clearly document key issues, highlight areas of common

ground, and identify points where the team agreed to disagree. A more detailed account of the various perspectives is appended in the individual submissions from potentially impacted parties.

The key points of departure are:

- There is no agreement on whether there are implications and emissions management issues for the Alberta Framework created by the implementation of the federal GHG Regulations. In addition, there is no agreement on how to assess the implications of the implementation of the GHG Regulations.
- There is no agreement on the interpretation of the Economic Review Trigger and whether the assessment of the trigger and the viability of the Alberta electricity sector should consider the macro-level (electricity sector as a whole) or micro-level (plant and company).
- There is no agreement on the factors that should be considered when determining if adjustments to the Framework are warranted. Specifically, there is no agreement on whether the Economic Review Trigger and the Emissions Growth Trigger should be the only factors that can create the need for a review.

#### 4.1. Implications of the GHG Regulations

The Alberta Framework requires a unit reaching the end of its design life – the later of the expiry of the Power Purchase Agreement (PPA) term or its 40 year anniversary – to shutdown or meet the ‘standard of the day’ for NO<sub>x</sub>, SO<sub>2</sub>, Particulate Matter and Mercury. The implementation of the federal GHG Regulations will require existing coal-fired units to physically meet a ‘clean as gas’ standard for GHG emissions when a unit reaches its 50-year anniversary (or earlier for some units).

Stakeholders have strongly differing views on the potential implications of the implementation of the federal GHG Regulations. The key points of departure are outlined below.

Some stakeholders believe that a review of the Alberta Framework would show that some adjustments are necessary. To comply with the Alberta Framework, a unit reaching 40 years of life or PPA expiry, whichever is later, would be required to use NO<sub>x</sub> or SO<sub>2</sub> credits generated in the Emissions Trading System or make physical improvements. Since there is currently no economically-viable technology to achieve the clean as gas standard and offsets and trading are not options for compliance with the GHG Regulations, it is believed that at 50 years, these units would shutdown to comply with the GHG Regulations. Therefore, the Alberta Framework does not recognize the significant air emissions reductions the federal requirement delivers by truncating the life of coal units. As such, the End of Design Life retrofit required to comply with the Alberta Framework is uneconomic (emissions control retrofit life is also truncated) and unnecessary (similar emissions reductions could be achieved more efficiently).

Other stakeholders feel that the implementation of the GHG Regulations, when assessed in conjunction with the Alberta Framework, have no material impact on the viability of the Alberta electricity sector. Therefore, the team is not empowered to vary the terms of the existing Framework. These stakeholders believe that the purpose of considering the GHG Regulations in the Project Charter was only to highlight the issue as an additional consideration in the team’s overall assessment, and not to trigger a review of the Framework. In addition, it is felt that there are sufficient opportunities within the current system for facilities to take actions now that would generate the NO<sub>x</sub> and/or SO<sub>2</sub> credits necessary to allow units to run to 50 years.



There are some stakeholders that agree that the implementation of the GHG Regulations, when assessed in conjunction with the Alberta Framework, have no material impact on the viability of the Alberta electricity sector. However, these stakeholders support an independent assessment of the implications of the implementation of the GHG Regulations. These stakeholders believe that, based on the results of the independent assessment, the EFR team could determine a suitable path forward.

#### 4.2. Economic Review Trigger (Recommendation 35)

The Economic Review Trigger also emerged as an issue where strongly divergent views exist. Stakeholders have a range of underlying economic concerns, from respecting Alberta's electricity market structure to considerations of market stability to protecting commercial interests and maintaining a level playing field.

One issue is that the Alberta Framework does not provide specific criteria on what "the viability of the electricity sector" means, for the purpose of determining if the economic review trigger has been exceeded. On this issue, the key points of departure are:

- Some members believe that the trigger was intended to evaluate changes at a macro-level (wholesale market sector), and that potential economic impacts on an individual generator basis are already included in the consideration of the broader market and its efficiency.
- Other members believe that plant or company-level economic considerations and economic efficiency should be taken into account when evaluating the economic impact.

To supplement their discussion, the EFR team reviewed the following reports that provided third-party perspectives on Alberta's wholesale electricity market:

1. The Brattle Group. (2011). *Evaluation of Market Fundamentals and Challenges to Long-Term System Adequacy in Alberta's Electricity Market*. Prepared for the Alberta Electricity System Operator.
2. The Brattle Group. (2013). *Evaluation of Market Fundamentals and Challenges to Long-Term System Adequacy in Alberta's Electricity Market*. Prepared for the Alberta Electricity System Operator.
3. Market Surveillance Administrator. (2012). *State of the Market Report 2012: An Assessment of Structure, Conduct, and Performance of Alberta's Wholesale Electricity Market*.
4. EDC Associates. (2013). *Trends in GHG Emissions in the Alberta Electricity Market: Impact of fuel switching to natural gas*. Prepared for the Independent Power Producers Society of Alberta.

Each report takes a slightly different approach to evaluating Alberta's electricity market. The Brattle Group reports (2011, 2013) review resource adequacy; the Market Surveillance Administrator (MSA) report (2012) looks at competitive behaviour and the sustainability of the market; the EDC Associates report (2013) provides projections of potential GHG emissions under different scenarios for Alberta's generation fuel-mix portfolios.

Some members felt that the reports offered conclusions relevant to the team's work and that the reports prepared or commissioned by the AESO and the MSA, must be given consideration, given the legislative mandates and responsibilities of the AESO and MSA in respect of the electricity sector. It was felt that The Brattle Group reports (2011, 2013) conclude that cumulative retirements are unlikely to lead to significant resource adequacy impacts and that there is no compelling or immediate need for major design changes. These members were of the opinion that the MSA report (2012) also concludes that Alberta's wholesale electricity market is effectively competitive and efficient and that there is no need for changes to the policy Framework. These members felt that the reports support their opinion that Alberta's electricity market continues to be viable.

Further, some stakeholders were concerned that, because no final decision has been reached between the Alberta government and Federal government on a potential equivalency agreement for implementing the federal GHG Regulations, this introduced uncertainty as to whether the federal GHG Regulations would contribute to air emission reduction co-benefits.

There were concerns by other members that The Brattle Group reports (2011, 2013) and MSA report (2012) were not specific enough to support the EFR Team's work. The reports were commissioned for specific purposes and did not necessarily offer any conclusions in determining if the underlying economic assumptions of the Alberta Framework were significantly different so as to adversely affect the viability of the electricity sector. Some members felt that the reports oversimplified the mechanism of the PPAs, did not accurately model the impacts of the interaction between the federal GHG Regulations and the Alberta Framework, and oversimplified supply growth in the electricity sector.

Other members felt that further work is required to fully explore the questions raised in the initial review of the economic trigger. They felt that an independent economic analysis of the viability of the electricity sector should be commissioned. This was raised during the team's discussions. Considering the strongly divergent views on this issue, there were concerns regarding the team's ability to reach consensus on the conclusions of an economic analysis.

#### 4.3. [Relevance of the Alberta Framework](#)

A fundamental difference that has hindered discussions was the divergent views on what conditions are necessary to justify reviewing or making adjustments to the Framework.

Some members are of the view that the Five-Year review team would need to agree that either the emissions review trigger (Recommendation 34) or economic review trigger (Recommendation 35) had been exceeded to proceed with a structural review of the Framework. They believe that Recommendations 34 and 35 reflect the agreed-upon terms for future reviews of the Alberta Framework and establish the thresholds for undertaking such reviews. In all other circumstances, the team would not be empowered to vary the terms of the existing Framework. They feel this provides the regulatory certainty necessary to support investment in Alberta's energy-only de-regulated electricity market.

Other members felt that the decision to proceed with a review should not be limited to the economic review trigger or the emissions review trigger, but must also include the implications of the implementation of the GHG Regulation, as well as any additional factors. They believe that these triggers are meant to be indicators that the Alberta Framework may need to be revisited, but are not meant to be the only factors used to determine if a review is warranted. It was suggested that a broader perspective that considers whether or not the Alberta Framework is still relevant in light of changing circumstances is a more appropriate consideration. These members are of the view that the Framework itself anticipates and makes provision for changes to reflect changing circumstances and that each five-year review gives stakeholders the opportunity to determine if a change in circumstances warrants a review of the Framework. They feel that the review process should be directed at maintaining the original spirit and intent of the Framework.

As noted previously, a more detailed account of the various perspectives is appended in the individual submissions from potentially impacted parties.

## 5. Alternative Ideas and Concepts

In keeping with the CASA principles of open “interest-based” discussion, and looking for potential win-win solutions, stakeholders supported and participated in discussions regarding potential ideas and concepts to address the implementation of the federal GHG Regulations together with the Alberta Framework, with the following caveats:

- Any discussion of alternative concepts was on a “without prejudice” basis. I.e. Teams members would not be viewed as having committed to a particular solution being discussed prior to reaching agreement on a complete package of recommendations.
- Participating in these discussions was not an indication of agreement that the Alberta Framework should be subject to a structural review and/or adapted.

The team developed some high level principles to guide the “without prejudice” discussions of the alternative concepts:

### 1. Environmental Outcomes

*Any options that the team considers for adapting the Framework should maintain the same or similar environmental outcomes and expectations of the current Framework.*

### 2. Power Purchase Arrangements (PPAs)

*Any options the team considers for adapting the Framework should maintain the PPAs as described in the 2003 Framework.*

### 3. Regulatory Certainty

*Any options the team considers for adapting the Framework should provide regulatory certainty, efficiency, and outcome predictability over the long-term.*

### 4. Alberta’s Deregulated Energy Market

*Any options the team considers for adapting the Framework should respect the structure of Alberta’s deregulated energy market and not disrupt its reliable operation.*

### 5. Efficient Use of Capital

*Any options the team considers for adapting the Framework should consider cost implications and the efficient use of capital.*

### 6. Social Outcomes

*Any options the team considers for adapting the Framework should result in an improved social outcome.*

On this basis, potential concepts were discussed at EFR meetings in November 2013 and January 2014. The outcome of these meetings was a range of concepts proposed by various stakeholders that received limited review and consideration by the team. On a “without prejudice” basis, the team discussed each concept to develop a common understanding of the general nature and key elements of the concept. Implementation was not discussed. Detailed discussion on these concepts was subsequently curtailed as the team acknowledged that they had not reached consensus to proceed with a review and/or adjustments to the Framework.

The concepts are presented below in no particular order and with no specific endorsements from the EFR team. The stakeholders who proposed these ideas intended that they be designed to potentially improve flexibility in compliance and to maintain the same or similar environmental outcomes and expectations of the current Framework.

1. Mass-based Approach - The mass-based approach proposed replacing the emissions intensity standard (kg/MWh) for generating units with a mass-based standard (kg/hr).
2. Market Mechanism Enhancement - This option proposed a market-based approach to the generation of emissions credits. The method would involve an analysis of the emissions credit requirement over a certain period, the request for proposals from interested parties to supply the emissions credits at some cost, and selection of the party through competitive bid to deliver the required credits.
3. Reasonably Achievable Control Technology (RACT) – In the context of the Alberta Framework, considerations in determining RACT could include assessing what technologies and/or operational changes are possible; the cost of these changes in the context of the federal “End of Useful Life” concept; and the emission reductions that are achievable relative to the cost to achieve these reductions.
4. Combined Integrated Approach - The proposal combined several of the options (mass-based and fleet concepts, NO<sub>x</sub>/SO<sub>2</sub> fungibility, credit for early shutdown and Market Enhancements) into one proposal. Baseline period generation would be used to determine a mass standard, emissions permits are allocated and true-up is required for all unit emissions.
5. Fleet versus Unit Treatment – This option proposed that a company would agree to an emissions profile for its existing units that would establish fleet mass emissions limits for SO<sub>2</sub> and NO<sub>x</sub> between 2013 and 2035.
6. Early Shutdown - This option proposed awarding emissions credits for permanent shutdown of coal units prior to the GHG Regulations End of Useful Life date that could be used in the Alberta Emission Trading System.
7. Temporary Shutdown – This method proposed that actions that result in actual emissions reductions should be recognized.
8. NO<sub>x</sub> / SO<sub>2</sub> Fungibility – This option deems NO<sub>x</sub> and SO<sub>2</sub> emissions credits as interchangeable. Either a NO<sub>x</sub> or SO<sub>2</sub> credit could be used to meet a compliance obligation for NO<sub>x</sub> or SO<sub>2</sub>.
9. Expanded Trading System - The current Emission Trading System is limited to electricity generation. This option would consider expanding the emissions trading system to include other industries and sources of NO<sub>x</sub> and SO<sub>2</sub> emissions.
10. Timing of Reductions – This option proposed recognition for early emissions reductions by using a multiplier for early reductions or applying a discount to future reductions.
11. Renewable Energy or Natural Gas Credits – This method proposed investigating a system similar to the Specified Gas Emissions Framework that would offer NO<sub>x</sub> and SO<sub>2</sub> emissions credits for natural gas and renewable energy as compared to an electricity system average.

## Appendix A: 2013 Electricity Framework Review Team Members

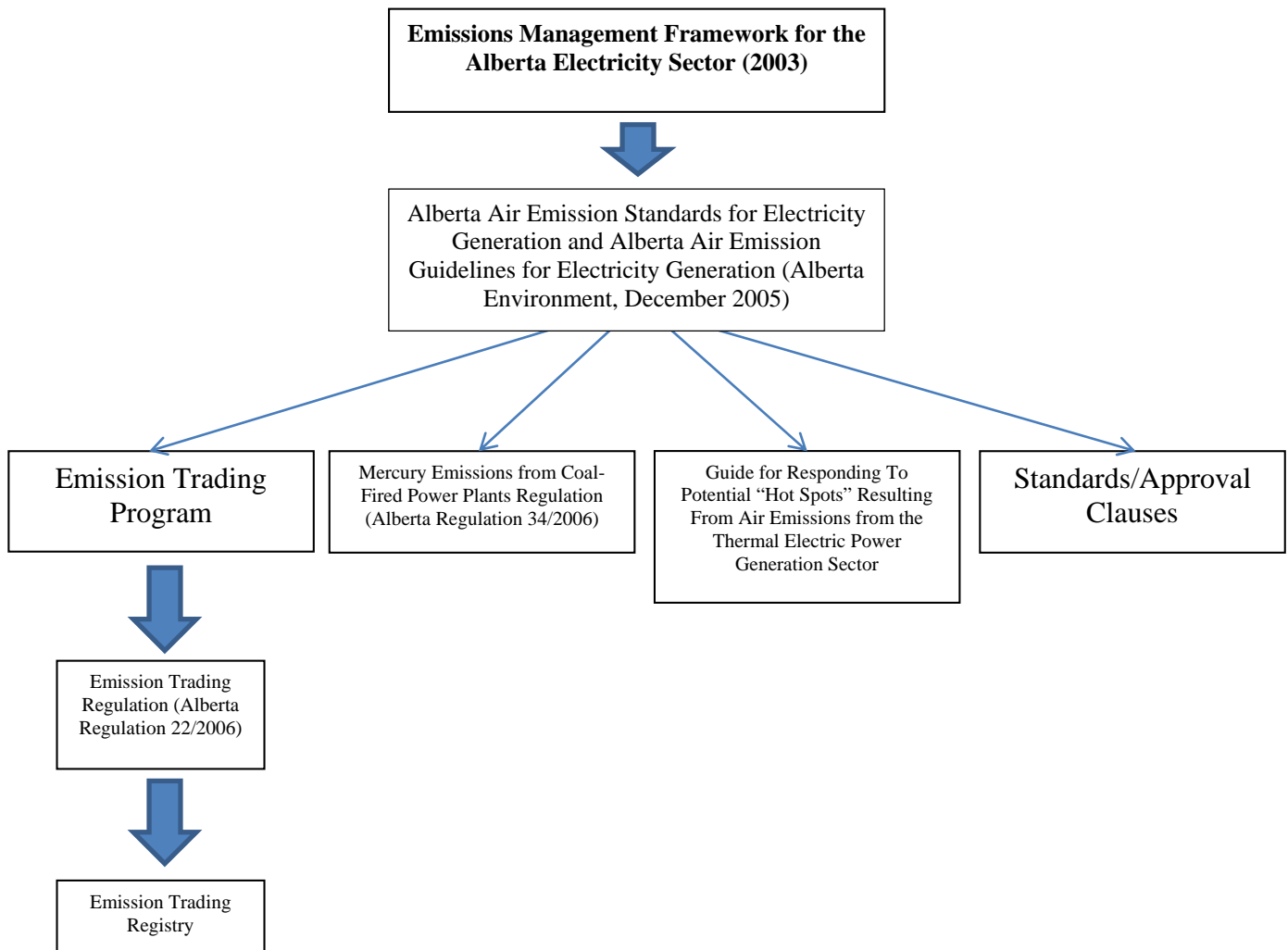
### Team Members

Ahmed Idriss	Capital Power Corporation
Al Schulz	Chemistry Industry Association of Canada (CIAC)
Anamika Mukherjee	Cenovus Energy Inc.
Ben Thibault	Pembina Institute
Brian Jackowich	Alberta Urban Municipalities Association (AUMA)
David Spink	Prairie Acid Rain Coalition
David James	Alberta Energy
David Lawlor	ENMAX
Tom Marr-Laing (Co-Chair)	Pembina Institute
Don Wharton	TransAlta Corporation
Jim Hackett (Co-Chair)	ATCO Power Canada Ltd.
Kristi Anderson	Mewassin Community Council
Njoroge Ngure	TransCanada Energy
Peter Moore	Alberta Energy
Randy Dobko (Co-Chair)	Alberta Environment and Sustainable Resource Development
Rod Crockford	Encana Corporation
Shaun McNamara	Milner Power Inc.
Steven Flavel	Alberta Energy
Vinson Banh	Alberta Energy
Wayne Ungstad	Ponoka Fish and Game
Robyn Jacobsen (Project Manager)	Clean Air Strategic Alliance
Celeste Dempster (Project Manager)	Clean Air Strategic Alliance

### Alternates and Corresponding Members

Glynis Carling	Imperial Oil Resources
Kelly Scott	ATCO Power
Leonard Standing on the Road	Ponoka Fish & Game
Lynn Meyer	Capital Power
Oliver Bussler	TransAlta
Rob Watson	Maxim Power
Srikanth Venugopal	TransCanada Energy
Sushmitha Gollapudi	Alberta Environment & Sustainable Resource Development
Brian Gilliland	Weyerhaeuser Company Ltd.
Brian Norgaard	Alta Gas
Brian Ahearn	Canadian Fuels Association
Krista Phillips	Canadian Association of Petroleum Producers
Merry Turtiak	Alberta Health
Paul DiJulio	Slave Lake Pulp
Tasha Blumenthal	Alberta Association of Municipal Districts & Counties (AAMDC)
Tim Whitford	Alberta Urban Municipalities Association (AUMA)
Tim Weis	Canadian Wind Energy Association
Marlo Reynolds	BluEarth Renewables Inc.

## Appendix B: Implementation of CASA Recommendations





May 30, 2014

Robyn-Leigh Jacobsen  
Senior Manager, Program Planning & Delivery  
Clean Air Strategic Alliance  
10<sup>th</sup> Floor, 10035 – 108 Street  
Edmonton, Alberta T5K 2G8

Dear Ms. Jacobsen,

**Re: Structural Review of Alberta Electricity Framework – ATCO Power View**

ATCO Power supports a limited structural review of the Alberta Electricity Emissions Management Framework (CASA Framework). We believe that a review is necessary in light of the federal *Reduction of Carbon Dioxide Emissions from Coal-Fired Generation of Electricity Regulations* (GHG Regulations) that were enacted in 2012 and ongoing regulatory uncertainty.

Additionally, there have been significant changes since the CASA Framework was first developed in 2003 and opportunities exist to achieve similar or even improved environmental outcomes with more certainty and at lower cost. These ought to be explored in order to avoid the risk of creating inefficiencies and higher costs that are not in the public interest.

ATCO Power recommends changing from intensity based emission limits to mass based emissions limits in order to resolve core issues with the original framework while respecting the five guiding principles (Sustainability, Continuous Improvement, Inclusiveness, Policy Efficiency and Transparency) of Alberta's Renewed Clean Air Strategy. There are no barriers to prevent CASA stakeholders from discussing and agreeing to continuous improvement of the CASA Framework. Most elements of the framework do not need to be changed.

**Case for Change**

The CASA Framework indirectly controls emissions from coal-fired generating units by imposing emission intensity standards on them. This format was selected in 2003 to accommodate the significant growth that was expected in the electricity sector to allow expansion (much of it coal generation) while mitigating the associated environmental impacts.

However, the federal GHG Regulations prohibit the expansion of conventional coal-fired generation and mandates the shutdown or conversion of existing units. The GHG Regulations will phase-out about 70% of Alberta coal units and their associated emissions by 2030. Accordingly, the context in which the CASA Framework was developed and expected to operate has been substantially affected and it could even be argued that for coal units the framework has been effectively superseded by the Federal GHG Regulations.



It was expected that the CASA Framework would drive investment in emissions control technology that in turn would supply emissions credits into a system to provide generators with flexible compliance mechanisms and cost effective emissions reductions. However, this has not happened so adjustments are required to ensure success.

Of the four owners of coal-fired units in Alberta, three have brought forward concerns with the CASA Framework and suggested modifications to it with a vision that a solution could be found using the CASA consensus-based decision making process. Unfortunately, the Electricity Review Team was unable to progress past the initial step of determining if the framework can be opened. ATCO Power urges Alberta Environment and Sustainable Resource Development and Alberta Energy to recognize the impacts of the federal GHG Regulations on the CASA Framework, to explore the opportunities available to gain greater efficiencies and to consider the suggestions proposed by the affected plant owners.

### **Ability to Review the CASA Framework**

ATCO Power believes that stakeholders are allowed to open the CASA Framework for reasons other than the Economic Review and Emissions Growth Review Triggers, as per the following:

- CASA embraced the original Alberta Clean Air Strategy (1991) and this guided the development of the original CASA Framework in 2003. The Province has acknowledged that many things had changed since the original strategy was developed and in recognition of this they developed Alberta's Renewed Clean Air Strategy in 2012. Because CASA embraces the five Guiding Principles (Sustainability, Continuous Improvement, Inclusiveness, Policy Efficiency and Transparency) of the new strategy, the CASA Framework should be renewed to acknowledge the changed conditions.
- The CASA Framework itself permits stakeholders to re-open the CASA Framework. Recommendation 29 of the CASA Framework sets out six specific elements that every five-year review must undertake. The Recommendation also states that the multi-stakeholder group should "conduct an initial scoping to determine which if any of the elements identified in the review process described in the above recommendation warrant a detailed review".
- The 2013 Electricity Framework Review Project Charter ("Charter") permits the stakeholders to re-open the CASA Framework. The Charter is clear that there are three areas (GHG Regulation impacts, Emissions Growth Review Trigger and Economic Review Trigger) to test in the initial assessment to assist with the determination if a structural review is required. The Project Goal directs the group to also consider whether a review of the Framework is warranted in addition to the five-year review tasks.

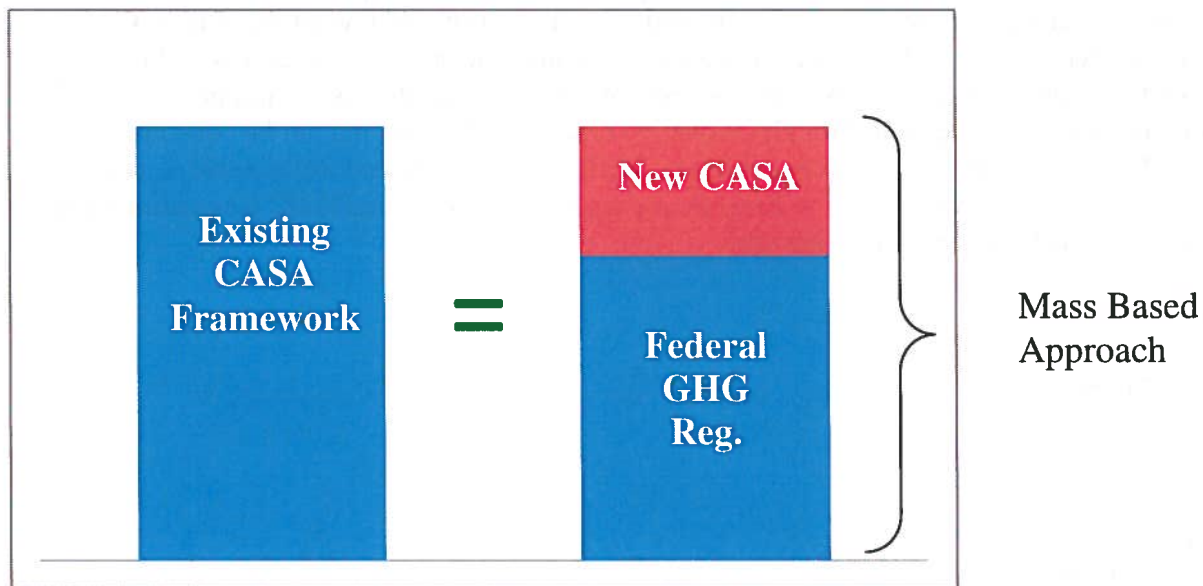
Policy stability is an important objective but should not impede reasonable responses to significant changes in circumstances (like the federal GHG Regulations), mandate inefficient investment or force the retirement of plants for competitive reasons.



## Description of Mass Based Approach to Achieve Emissions Reductions Targets

ATCO Power proposes that the current coal-fired generating unit intensity based emission limits be replaced with mass emission limits. Adding this flexibility to the CASA framework could be achieved through minor changes to the Emissions Trading Regulations and facility approvals. The mass based approach recognizes the co-benefits of the Federal GHG Regulations which results in improved cost efficiency and environmental outcomes. Consistent with the CASA Framework, these limits would be set to avoid impacts to the PPAs. Beyond the CASA End of Design Life, the units' mass emission limits would be set to achieve a similar (or better) overall environmental outcome from the coal-fired generating fleet as the CASA Framework was expected to deliver when it was implemented. Figure 1 illustrates the substantial co-benefit of air emissions reductions from the Federal GHG Regulations that when combined with further reductions from coal-fired generators will equal the emissions reductions using the current CASA Framework.

Figure 1: Cumulative Mass Emissions Reductions (2030)



By recognizing the environmental benefits of all actions that reduce actual emissions (rather than just those that reduce emission intensity), mass emission limits would afford coal-fired generating units greater flexibility to meet their environmental obligations while assuring desired environmental objectives. This is particularly important in light of the already shortened useful lives of conventional coal-fired generating units mandated by the GHG Regulations, which reduce the cost-effectiveness of the capital intensive investments typically required to achieve significant emission intensity reductions. The mass based approach would recognize and guarantee the environmental benefit associated with the unit shutdowns or conversions mandated by the GHG Regulations.

### Benefits of the Mass Based Approach

By aligning well with the federal GHG Regulations and recognizing permanent air emissions reductions of SO<sub>2</sub>, NO<sub>x</sub>, PM<sub>2.5</sub>, Mercury and other emissions, the mass based approach

provides the following benefits:

1. **Consumer** - Additional flexibility allows more cost efficient compliance options and retains low cost generation on the grid, which ultimately provides lower cost electricity to consumers
2. **Environment** - Encourages early action and provides a better long term environmental outcome through permanent reductions in all coal-fired plant emissions (including GHGs)
3. **Market Participants** – Facilitates a smooth transition to low and non-emitting generation while respecting the Alberta Electricity Market and supporting a Fair, Efficient, Open and Competitive market.

The majority of Alberta coal unit owners have raised concerns about the misalignment of the CASA Framework with the federal GHG Regulation by not recognizing the reductions that the federal framework achieves. ATCO Power supports a mass based approach to address the misalignment and to provide more efficient emissions reductions than what the current CASA Framework recognizes. CASA's Mission aims to recommend strategies to assess and improve air quality in Alberta using a consensus process. We believe that the discussion process should seek continuous improvement through innovative efficient solutions and not be constrained. ATCO Power welcomes a timely decision by Alberta Environment and Sustainable Resource Development and Alberta Energy to consider the impacts of the federal GHG Regulations and to update and adjust the CASA Framework.

Yours truly,

ATCO Power



Bob Piro  
Sr. Vice President  
Regulatory and Compliance

May 30<sup>th</sup>, 2014

Robyn-Leigh Jacobsen  
Senior Project Manager  
Clean Air Strategic Alliance  
10<sup>th</sup> Floor, 10035 – 108 St. N.W.  
Edmonton, Alberta T5J 3E1

Dear Ms. Jacobsen

**RE: Capital Power Comments Regarding the 2013 Five-Year Review of the Emissions Management Framework for the Alberta Electricity Sector**

Capital Power submits this letter for inclusion in the June 2014 report that the Electricity Framework Review Project Team (“EFR”) has prepared and will be providing to the Clean Air Strategic Alliance (“CASA”) Board of Director (“CASA Board”) to advise on the non-consensus issues that emerged as part of the recent Electricity Framework Review process.

The CASA report confirms that stakeholders were unable to achieve consensus on two central issues relating to the Emissions Management Framework for the Alberta Electricity Sector (“Alberta Framework”). The first is whether the “sector viability” threshold established by Recommendation 35 of the Alberta Framework has been met such that a full review of the Framework is warranted. The second is whether the introduction of the Federal Reduction of Carbon Dioxide Emissions from Coal-Fired Generation of Electricity Regulations (“GHG Regulations”) creates a misalignment with the Alberta Framework that impacts sector viability or otherwise warrants a review of the Alberta Framework.

In respect of these key issues, Capital Power’s position has been and remains that the threshold under Recommendation 35 to trigger a review has not been met, and that the implementation of the GHG Regulations does not create any issues to warrant a review of the Alberta Framework. Moreover, Capital Power strongly believes the Alberta Framework remains the most appropriate and effective framework for addressing emissions associated with Alberta’s generation in a manner that balances the various interests of all stakeholders, including facility owners, investors, environmental constituents, the Government, and Albertans. As such, the Alberta Framework should be maintained in its current form.

Capital Power also respectfully submits that a decision to re-open the Alberta Framework is unwarranted and would have several adverse repercussions for the market and environmental framework governing Alberta’s electricity sector. The “Alternative Concepts” that have been discussed would simply delay the timing for emissions reductions from coal units to the detriment of Alberta’s environmental performance objectives as well as the credibility of Alberta’s emissions management framework. In addition, the Alternative Concepts would undermine the efficiency and effectiveness of Alberta’s competitive wholesale market as they would prolong the operation of less environmentally efficient generating units, limiting the dispatch and delaying the market entry of more efficient generating units. A change to the Alberta Framework at this time would also introduce a new element of policy uncertainty that could undermine investor confidence.

Capital Power’s positions in these respects are described in detail in the sections that follow. An Executive Summary providing a more detailed overview of the key elements of Capital Power’s position is first provided, followed by sections providing additional commentary and discussion on specific issues.

## 1. Executive Summary

Capital Power believes that the Alberta Framework that has existed since 2003 remains appropriate and effectively balances the interests of all stakeholders. The clear thresholds that were established to determine whether to undertake a review have not been met, nor are there any compelling reasons to do so. Any decision to nevertheless alter the framework would have adverse repercussions for Alberta's environmental objectives, electricity market, and the credibility of Alberta's emissions management policies and framework. In support of its positions in these respects, Capital Power submits the following:

- Implementation of the GHG Regulations, when assessed in conjunction with the Alberta Framework, has no material impact on the viability of the Alberta electricity sector. Therefore, a structural review of the Alberta Framework is not warranted or needed, nor are any "minor adjustments". The EFR is not empowered to vary the terms of the existing Alberta Framework, including the terms governing the threshold that must be met to trigger a structural review.
- The end of life provisions of the Alberta Framework have been in place since 2003. The issue raised by the more recent introduction of the GHG Regulations and their definition for End of Useful Life ("EoUL") will affect all coal generators, including Capital Power. However, Capital Power submits that these individual commercial implications must be considered in the context of the broader benefits that the Alberta Framework provides for Alberta, including continued progress towards Alberta's emissions reduction targets, regulatory certainty with respect to the emissions management framework that facilitates a more stable investment climate, and a framework that recognizes the unique features of Alberta's electricity market design.
- The "sector viability" threshold established in Recommendation 35 ("Economic Trigger") of the Alberta Framework relates to the viability of the electricity sector as a whole (macroeconomics). It was not intended to relate to the circumstances of any particular generating unit (micro economics), nor can it reasonably be interpreted in this manner. Potential impacts on individual generators would only be sufficient to lead to a finding of adverse effect for the electricity sector if the aggregate impact for the sector was so severe as to "affect the viability" of the sector, which Capital Power submits is not the case in this instance. In this regard, recent reports prepared by or for the Alberta Electricity System Operator ("AESO") and Market Surveillance Administrator ("MSA") affirm the viability and sustainability of Alberta's electricity market and these must be given significant weight to consideration of "sector viability" within the CASA context. Any determinations arising from the CASA review that suggest the Alberta market is not "viable" would be contrary to the findings of the AESO and MSA reports – both of which have been referred to by the Government in support of the market – and could have far-reaching implications for investor confidence in Alberta's market. Further support for the expected viability of the electricity sector is provided by the various proposals for new generation projects that are being advanced by various parties (including parties that are questioning sector viability within the CASA context).
- Altering the Alberta Framework would effectively reward inaction on the part of individual generators who have not made changes to their fleets in anticipation of the regulations made pursuant to the Alberta Framework, and of which they have been aware since 2003. At the same time, altering the Alberta Framework would unfairly penalize responsible operators who took early action to invest in improving Alberta's air quality under the existing Alberta Framework.
- All of the "Alternative Concepts" that were briefly discussed by the EFR team on a "without prejudice" basis are common in that they would all allow coal units to continue to operate without making additional efforts beyond business as usual to reduce emissions after the Alberta Framework End of Design Life ("EoDL"). Some of the discussed alternative concepts would have negative impacts for the efficiency of Alberta's electricity market and would not achieve environmental outcomes at the same level of the Alberta Framework, while others are not based on sound scientific analyses or good public policy. Adopting any of these options would be a regressive step from an emissions reduction perspective.
- Alberta Environment and Sustainable Resource Development ("AESRD") is seeking an Equivalency Agreement ("EA") with the Federal Government relating to the GHG Regulations. It is understood that the EA is being developed to avoid duplication of efforts in controlling Greenhouse Gas ("GHG") emissions, respect provincial jurisdictions, and create flexibilities for compliance with

GHG targets. In light of these ongoing EA discussions and the flexibility that may be provided with respect to GHG “end of life” compliance mechanisms, re-opening the Alberta Framework at this time to address the differences between it and the GHG Regulations with respect to end-of-life definitions would be premature and inappropriate.

- The Government of Alberta (“GOA”), when making its decision regarding the Alberta Framework, must be mindful of the risk of Federal intrusion with respect to regulation of air emissions from the electricity sector via the Base Level Industrial Emission Requirements (“BLIERs”), which would negate much of the existing Alberta Framework while resulting in no net (and probably negative) environmental gain or benefits.
- The Alberta Framework is a consensus-based Framework that was approved by the CASA Board. Altering the Alberta Framework without following the governance structure presented in Recommendations 34 and 35 in the Alberta Framework would risk undermining the entire CASA consensus process. Stakeholders may question the value of the consensus process and reconsider the extent of their participation in future consensus initiatives if past consensus outcomes can be changed without following the review process that stakeholders have agreed upon, particularly the clear thresholds and criteria established to govern whether and when a review is warranted.

## **2. Implications of the GHG Regulations**

The EFR project charter for the current review directed the EFR to consider the potential implications of the GHG Regulations in the context of the possible need for structural changes to the Alberta Framework. The final GHG Regulations were published in September 2012 and incorporated an EoUL concept.

The purpose of the inclusion of the GHG Regulations in the project charter was only to highlight this issue as an additional consideration in the overall assessment of sector viability, but not to create a new trigger in and of itself. The CASA working group that developed the project charter had no mandate to change the original consensus-based framework and add a new “GHG Regulations” trigger to potentially initiate a structural review of the Alberta Framework. The GHG Regulations should have no impact on the Alberta Framework unless its implementation results in one of the trigger conditions under Recommendations 34 or 35 being met. Capital Power does not believe the trigger conditions have been met taking into account the Federal GHG Regulations.

Capital Power acknowledges the difference in the determination of the “end of life” for an asset between the Alberta Framework and the GHG Regulations. However, it must be noted that the final EoUL of under the GHG Regulations is on average 3.5 years longer than what had been initially been proposed. The revision to the EoUL term was made in part to respond to the advocacy of certain Alberta parties who are now advocating that the threshold for review of the Alberta Framework should be based on individual adverse economic impacts. Those parties knew, or ought to have known, that the GHG Regulations would apply in the context of the Alberta Framework, which address a different suite of air emissions and timelines. In this regard, it would be inappropriate to alter the Alberta Framework at this time to address individual generating unit issues that the owners of those units have in large part created themselves.

Some stakeholders claim that the GHG Regulations will have a co-benefit of air emissions reduction that must be considered in the Alberta Framework. This is incorrect. There is a significant time difference between the Alberta Framework EoDL and the GHG Regulation EoUL during which retrofits will be needed to bridge the time gap to reduce air pollutants and GHG. Without such retrofits pursuant to the Alberta Framework, air emissions will increase as older inefficient uncontrolled coal units will continue to operate to EoUL, inhibiting entry into the market of more efficient generating units and displacing efficient natural gas-fired generation in the merit order. Beyond resulting in inferior emissions performance, this outcome would also undermine the efficiency effectiveness of Alberta’s competitive wholesale market.

These stakeholders also claim that the federal GHG Regulations can make an EoDL retrofit required to comply with the Alberta Framework uneconomic and unnecessary because the GHG Regulations shortened the life of coal units. Respectfully, Capital Power disagrees. The GHG Regulations require coal units that reach EoUL to meet carbon dioxide emission intensity of 420 kilogram per megawatt-hour. The decision to shutdown a coal unit is at the discretion of the operator since the GHG Regulations do not mandate shutdown but do require meeting emission intensity targets. Various options may exist depending



on configuration and circumstance of the unit. It is also possible that the ongoing EA discussions may provide additional compliance flexibility with respect to EoUL.

### **3. Economic Review Trigger - Electricity Sector Viability**

The Economic Trigger includes consideration of the “*viability of the electricity sector.*” Capital Power respectfully submits that a comprehensive assessment of this issue is beyond the capacity and the scope of the EFR given the complexity and unique nature of Alberta’s wholesale electricity market. Instead, Capital Power believes that the EFR review must incorporate and leverage the market studies and assessments undertaken by the AESO and the MSA. Those agencies are in the best position to address the viability of the electricity sector given their legislative mandates and responsibilities in respect of the electricity sector, their expertise and familiarity with the market and factors impacting supply, demand, dispatch and investment, and the processes that each undertake to receive stakeholder input into their assessments of market issues.

In this regard, recent studies prepared by or for the AESO and MSA and which affirm their expectations of the continued viability of the Alberta electricity sector are briefly summarized below.

#### *3.1. AESO Sector Variability Evaluation*

The AESO retained the Brattle Group to provide an assessment of the sustainability of Alberta’s market design, and particularly whether the market structure would continue to attract investment in new generation to ensure resource adequacy. The initial Brattle Report was issued in 2011<sup>1</sup>, with an update released in April 2013<sup>2</sup> that noted the following:

*“Overall, we reiterate our conclusion from 2011—our updated analysis confirms that, from a resource adequacy and generation investment perspective, the Alberta electricity market is generally well functioning based on current market conditions and policies. The current market design should be able to address the identified resource adequacy challenges and there is no compelling or immediate need for major design changes to address these challenges”.*

The 2011 and 2013 reports were comprehensive and addressed the potential impact of key macroeconomic parameters for the sustainability of the Alberta market, particularly with respect to future resource adequacy. The 2013 Brattle report discussed five major points: (i) Environmental Regulations, (ii) Low Gas Prices, (iii) Expiration of Power Purchase Agreements (“PPAs”), (iv) Increasing Wind Penetration, and (v) Investment in New Generation.

#### *3.2. MSA Sector Viability Evaluation*

In December 2012, the MSA released a report entitled “State of the Market Report 2012<sup>3</sup>”, which addressed the main elements of the market and provided a comprehensive assessment of the competitiveness of Alberta’s market framework. The MSA summarized its main conclusions as follows:

*“The Alberta wholesale electricity market is effectively competitive. This conclusion rests on the assessment that over the medium term the market delivers a wholesale price of electricity that is no higher than necessary to secure the reliable supply of electricity to consumers now and in the future. The finding is consistent with the legislative standard of fair, efficient and openly competitive.*

*Wholesale price volatility and price polarity (periods of low prices interspersed with shorter periods of high prices) are an expected outcome in an electricity market such as Alberta’s and consistent with effective competition. In fact, these price signals promote innovation and economic efficiency.*

*Like any market, factors such as market power and barriers to entry can shape the competitive environment in important ways and require the continuing attention of the Market Surveillance Administrator and policy makers. However, there is no need for substantive change to the policy framework, or the Market Surveillance Administrator’s existing enforcement framework. In fact,*

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<sup>1</sup> [www.brattle.com/ documents/UploadLibrary/Upload943.pdf](http://www.brattle.com/documents/UploadLibrary/Upload943.pdf)

<sup>2</sup> <http://www.brattle.com/NewsEvents/NewsDetail.asp?RecordID=1278>

<sup>3</sup> <http://albertamsa.ca/uploads/pdf/Archive/2012/SOTM%20Final%20Report%2020130104.pdf>

*policy continuity and stability has been an important foundation for the success of the Alberta market and will continue to be so in the future”. (Emphasis Added)*

Capital Power submits that the general conclusions of both the AESO and MSA reports regarding the expected sustainability and competitiveness of Alberta’s market should be accepted for the purposes of the EFR review as demonstrating “sector viability” is not an issue.

### 3.3. Proposed New Generation

Several companies have recently filed applications to construct new power plants that would have in-service dates in the 2020 timeframe. The applicants and projects are summarized in the table below and represent a combined total of 4510 MW. Among other drivers, the proposed projects are seeking to add capacity that will be needed to both support continued economic growth in Alberta as well as to replace expected retirements of existing coal units under existing environmental regulations. Capital Power recognizes that submitting an application to the Alberta Utilities Commission (“AUC”) does not necessarily mean that the project will be fully developed or built. However, the various applications filed to date demonstrate continued investor interest in and support for Alberta’s market, and the expected continued viability of the sector under the current Alberta Framework and the GHG Regulations.

Table 1- 2013 and 2014 List of Project and Expected Commercial Operation Dates (“COD”)

<b>Maxim - Milner Expansion</b>	<b>ATCO - Heartland Power Station</b>	<b>Capital Power - Genesee 4 and 5</b>	<b>Shell - Carmon Creek</b>	<b>TransAlta - Sundance 7</b>	<b>Paul First Nation - Great Spirit Power Project</b>
2- 260 MW expected COD May 2017	400 MW expected COD August 2017	Up to 1050 MW expected COD January 2016	690 MW expected COD January 2016	850 MW expected COD June 2018	1000 MW expected COD 2017
Application submitted to AUC in November 2013	Application submitted to AUC in December 2013	Application submitted to AUC in December 2013	Application approved by the AUC in March 2014	Application submitted to the AUC in April 2014	News release in February 2014

## 4. Relevance of the Alberta Framework

The Alberta Framework includes two triggers which would require a review of the full Framework: Recommendation 34 (“Emission Trigger”) requires that a full review of the Framework be undertaken if updated emissions forecasts of pollutants exceed 15%. Recommendation 35 requires that a full review of the Framework be undertaken “*if the economic assumptions underlying the framework are significantly different so as to adversely affect the viability of the electricity sector*”. (Emphasis Added)

The 2003 Alberta Framework minutes of meeting<sup>4</sup> stated “*The [Straw Dog Sub-Subgroup] SDSG agreed it is important to define these “framework openers” very carefully. The discussion should be at a high level, talking about the environmental and economic factors that could cause a re-opening of the management framework*”. This statement, and the plain language of the Economic Trigger, reflect the concerns of stakeholders that have existed since the outset about the terms for re-opening the Alberta Framework, and particularly the strong desire to establish a clear and specific threshold for undertaking structural reviews in order to provide the regulatory certainty necessary to support investment in Alberta’s market.

In this regard, the threshold for the Economic Review contemplated by Recommendation 35 clearly states that it was only to consider issues that may “*adversely affect the electricity sector.*” It was not to consider the economic circumstances or viability of individual units (micro economics). In all other circumstances, the EFR would not be empowered to vary the terms of the Alberta Framework, in particular changing the basis upon which a determination of whether a review of the structure of the Framework is warranted is to be undertaken.

<sup>4</sup> Straw Dog Sub-Subgroup (SDSG), Meeting #25, August 21, 2003

Given the foregoing considerations, Capital Power submits that potential impacts on individual generators must not be used to a finding of adverse effect on the electricity sector, and were never intended to be used as such. The Economic Review Trigger was intended to evaluate changes at the sectoral level, not at an individual asset or company-specific level. It is simply not credible for parties to assert that “sector viability” is equivalent to the circumstances of specific generating assets that have pending compliance obligations under the Alberta Framework and which have been known since 2003.

## **5. Issues with Alternative Concepts**

The EFR agreed that any discussion of alternative concepts would be only on a “without prejudice” basis and the discussion of alternative concepts would be only in the context of those potentially available to address the implementation of the GHG Regulation. Capital Power has been consistent in its view that the GHG Regulation does not result in the Alberta Framework review trigger conditions being met. However, Capital Power nevertheless participated in the without prejudice discussions regarding potential alternative concepts in the spirit of the CASA principles of open “interest based” discussion, and looking for potential win-win solutions.

The EFR discussed a range of alternative concepts that their proponents claimed might address potential issues related to the implementation of the federal GHG Regulations together with the Alberta Framework. Capital Power submits that all of the discussed alternative concepts are driven primarily to enable older coal units to continue to operate without making any additional efforts beyond business as usual to reduce emissions after unit EoDL. As discussed below, some of the discussed alternative concepts will not achieve environmental outcomes at the same level of the Alberta Framework and will likely have a negative impact on the efficiency of the electricity market, while other alternative concepts are not based on sound scientific analyses or consider the additionality principle for generation of emission credits. None of the alternative concepts would achieve the same benefits as the Alberta Framework, and all should be rejected.

### *5.1. The Mass-Based Approach, Combined Integrated Approach, Fleet versus Unit Treatment, and Temporary Shutdown Alternative Concepts*

The Mass-Based Approach, Combined Integrated Approach, Fleet versus Unit Treatment, and Temporary Shutdown alternative concepts would set unit generation at a pre-determined value based on unit history, rather than using the actual annual generation. Unit de-rates and reduced operating hours would be compliance options. Under these alternative concepts, older inefficient coal units that reach EoDL will continue to operate without emission control technologies. As such efficient natural gas-fired generation may not be dispatched or built, resulting in increased air pollutants and GHG.

The structure of Alberta’s electricity power pool is that prices are allowed to reflect market supply-demand fundamentals, including conditions of scarcity or surplus. For example, during off peak demand electricity hours, merchant power generators may reduce their generation to the minimum operational level to avoid uneconomic electricity generation. Given this context, under these alternative concepts, units de-rated to avoid market-driven uneconomic operational hours could create emission credits, violating the emission reduction additionality principle. This accepted principle provides that emitters cannot generate emission credits by simply conducting business without any efforts beyond business as usual. A policy that adopted these alternative concepts would create a windfall of emission credits when units are simply avoiding uneconomic conditions.

Furthermore, the proposed alternative concepts assume that unit generation will be set at a pre-determined value based on unit history. Older coal units capacity factor decreases with time and units reaching EoDL are unlikely capable of generating at historical levels. As a result, using historical generation will instantaneously allow older vintage units to generate emission credits because their baseline emission is based on historical generation that is unlikely to be achieved in the future.

The Combined Integrated and Fleet versus Unit Treatment Approaches may also undermine the PPAs and create disputes between Owners and Buyers regarding entitlements and obligations relating to the de-rates that would be incented under the alternate concepts.



## 5.2. The NO<sub>x</sub> / SO<sub>2</sub> Fungibility Alternative Concept

The NO<sub>x</sub> / SO<sub>2</sub> Fungibility alternative concept is not based on sound scientific analyses or good public policy. The NO<sub>x</sub> / SO<sub>2</sub> Fungibility alternative concept assumes that NO<sub>x</sub> and SO<sub>2</sub> emissions credits are interchangeable. NO<sub>x</sub> and SO<sub>2</sub> have different environmental and health impacts, which are reflected in the values of the Alberta Ambient Air Quality Objects (“AAAQO”). So it is incorrect to develop interchangeability between NO<sub>x</sub> and SO<sub>2</sub> based on AAAQO. NO<sub>x</sub> is a precursor to ground level ozone, Fine Particulate Matter (“PM2.5”) and acid rain, while SO<sub>2</sub> is a precursor to PM2.5 and acid rain. The atmospheric chemistry that controls ozone, PM2.5 and acid rain is very complicated and highly impacted by NO<sub>x</sub> and SO<sub>2</sub> ratios in the atmosphere and other emissions such as volatile organic compounds. Extensive air quality modelling and monitoring are needed to establish NO<sub>x</sub> and SO<sub>2</sub> interchangeability based on PM2.5 and acid rain.

The proposed approach must account for NO<sub>x</sub> and SO<sub>2</sub> emissions from other sectors to determine the interchangeability. Therefore, the resulted interchangeability will be limited to specific geographic location and a single value for the entire electricity cannot be used. In addition, such approach does not address the environmental and health impacts of NO<sub>x</sub> and SO<sub>2</sub> in local areas. Moreover, it is unlikely that the Federal Government will accept NO<sub>x</sub> / SO<sub>2</sub> Fungibility alternative concept as equivalent policy to the BLIERs, which is an emission performance policy that is based on emission reduction technologies.

### *The Early Shutdown Alternative Concept*

The Early Shutdown alternative concept proposes to award emissions credits for NO<sub>x</sub> and SO<sub>2</sub> permanent shutdown of coal units prior to the GHG Regulation End of Useful Life (EoUL) date. Such an alternative violates the emission reduction additionality principle, where emitters cannot generate emission credits by simply complying with the regulatory requirements or conducting their business without any efforts beyond business as usual. The proposed alternative concept is not aligned with Alberta’s policies in this fundamental respect.

Despite the fact that the Specified Gas Emitter Regulation (“SGER”) addresses GHG and the Alberta Framework covers air pollutions, the additionality principle must be consistent between the two policies. Under the SGER, Emission Performance Credits (“EPCs”) and offset projects must be additional to business as usual activities, sector common practice, and regulatory and other emission reduction requirements. Capital Power respectfully submits that the GOA cannot credibly have two different additionality principles, which would put at risk the SGER’s EPCs and offsets. Moreover, It is also highly questionable that the Federal Government would accept the Early Shutdown credits as a mechanism to deliver emission reductions equivalent to BLIERs.

## 6. Implementation of the GHG Regulations in Alberta

The EFR drafted the Project Charter with uncertainty regarding federal/national initiatives, so the EFR assumed that the GHG Regulations will be implemented, as published in Canada Gazette, Part II. However, AESRD in the last few months, after the EFR started its deliberations, communicated to stakeholder in numerous public sessions that the GOA is pursuing a GHG Equivalency Agreement (“EA”), under Section 10 of the *Canadian Environmental Protection Act, 1999* (“CEPA”), with the federal government relating to the GHG Regulations. The EA is developed to avoid duplication of efforts in controlling GHG emissions and to respect provincial jurisdictions. AESRD officials stated in numerous occasions that:

- Alberta is currently working on a draft equivalency agreement with Environment Canada on the Coal-Fired Electricity Regulation starting with a Memorandum of Understanding.
- Equivalency could offer increased flexibility and jurisdictional authority; however, Alberta will ensure equivalency leads to better outcomes before signing any agreement.
- In order to sign an equivalency agreement, Alberta will need to modify its current Specified Gas Emitters Regulation to achieve the same environmental outcome as the federal regulation. This would be done in alignment with the provincial policy renewal.

The GOA main goal is to maintain jurisdiction over GHG emission and have enough flexibility to achieve target emission reductions. In order for the GOA to maintain jurisdiction, it must develop or adapt a provincial regulation that can deliver an equivalent emission reduction to GHG Regulations in Alberta. The

current SGER is based on emission intensity reduction and flexible compliance mechanisms cannot deliver equivalent emission reductions to the GHG Regulations. Therefore, the SGER must be amended to accommodate the GHG Regulations or a new provincial regulation must be developed. AESRD wants to manage the electricity GHG emission using a toolbox of policy options that may include but are not limited to, more stringent SGER compliance requirements, carbon tax, intra-sector trading, or a combination of some of the previously mentioned options.

Some generators have argued that individual adverse economic impacts are due to the different definitions of “end of life” under the GHG Regulations and the Alberta Framework. If the GOA and federal government develops an EA for the electricity sector based that may include flexibilities, individual units may not have to meet 420 kilogram per megawatt-hour as per the current GHG Regulations. In this case, the different definitions of “end of life” become a moot point, since individual units are no longer impacted by the GHG Regulations, and cannot be used to argue adverse economic impacts. Capital Power submits respectfully that it is premature and inefficient use of resources to consider a structural review of the Alberta Framework before the GOA makes a decision about the implementation of the GHG Regulations.

## **7. Conclusion**

Capital Power believes that the CASA Board and the Government of Alberta should continue the existing Alberta Framework on the basis that the Economic Trigger threshold for a full structural review of the Alberta Framework has not been reached.

The issue of “sector viability” is of fundamental importance to this finding, and in this respect Capital Power notes that upholding the Alberta Framework and the affirmation of sector viability will be consistent with findings of Alberta’s key wholesale market agencies, and comments of the Government of Alberta, articulating the expected continued viability and sustainability of Alberta’s market.

Maintaining and enforcing the Alberta Framework will reaffirm the importance of regulatory/policy certainty, prevent federal intrusion into provincial regulation through the imposition of BLIERS, and achieve long-established environmental performance targets agreed to by all stakeholders.

Please feel free to contact me at (780) 392-5172 if you have any questions.

Yours,



Ahmed Idriss, Ph.D., P.Eng.  
Senior Advisor, Environment Policy  
Capital Power Corporation

cc

L. Meyer, Capital Power

D. Jurijew, Capital Power

# ENMAX Comments - 2013 Five-Year Review of the Emissions Management Framework for the Alberta Electricity Sector

## ENMAX

ENMAX is a vertically-integrated company with over 1800 employees and \$4.6 Billion in assets. We own or control approximately 2000 MW of thermal power generation, 219 MW of wind generation and 35 MW of installed thermal capacity for district heating. We have an additional 800 MW thermal power generation under construction or in the regulatory phase and we have approximately 460,000 metered customers and 870,000 customers under contract or the regulated rate.

## Support for the Alberta Framework

ENMAX fully supports and is committed to the continuation of the current Alberta Framework. The framework has guided our investment decisions and actions since 2003 and has become an integral part of our investment strategy. Investment in electricity sector assets is capital intensive and requires long planning horizons. We have made major investments in the market which are consistent with the certainty provided by the current Alberta Framework. This certainty drives our investment actions and those of many other participants across the province.

## Electricity Framework Review (EFR)

CASA has built 5 year reviews into its framework to ensure that continuous improvement in environmental performance is maintained and that the electricity sector as a whole remains viable. The 2013 EFR is the second since the inception of the CASA-based framework in 2003. Participants have spent significant time and resources on the 2013 EFR. It has provided tremendous collaborative discussions and workshops. ENMAX is pleased with the overall participation of the EFR team and will continue to work towards building consensus agreements going forward. On rare topics where consensus has not been reached, it has proven to add value to the discussion and often conclusions have landed just outside a consensus decision. This reveals the highly collaborative nature of the process and the commitment of the EFR team. Of the few items on which we did not reach consensus, the rich discussion will provide the Government of Alberta with great industry insight as they make the final determination on those points of contention.

## Framework Openers

The current CASA framework provides certainty for generators and investors within Alberta. Maintaining this certainty is a foundation for the electricity market and for delivering superior environmental benefits across the province. We have seen massive investment in generation since 2003, and this is a testament to the confidence that generators have in the current framework. However, it was

determined that this certainty cannot come at the expense of either continued environmental improvement, or, overall electricity sector viability. As such, the 2003 EFR Project Team created two important framework openers with strong tests as the only mechanisms to allow for structural changes to it. It was recognized that making structural changes to the framework would serve to potentially erode clarity and confidence in the market. Also, it was understood that changes could have long-lasting negative consequences, so the openers were created with the upmost clarity and respect for the market.

Recommendation 34 – sets specific environmental performance thresholds beyond which the framework must be reopened. ENMAX believes that the Framework has delivered superior environmental performance and accepts that this is also the consensus of the larger group.

Recommendation 35 – ENMAX is clear that the Framework has resulted in orderly investment in the Alberta electricity market, which is the clearest indicator of a healthy electricity market. Since 2003, there has been 5000MW of new generation added, with another 4500MW to be added between 2014 and 2020.

ENMAX believes that the Recommendation 34 and Recommendation 35 openers have not been met, and therefore the current Alberta Framework should not to be endangered by a potentially disruptive structural review.

## Alternatives

Numerous alternatives have been presented (without prejudice) for consideration and debate within the EFR team. Largely, these have been adequately debated and documented in the course of our discussions and documented in the EFR non-consensus report. One of the alternatives presented, deemed the *Mass-based Approach*, deserves mention here. This approach would introduce a disruptive “dormant” capacity element into the market. If units are allowed to temporarily withhold from the market under the auspices of maintaining a fleet or unit emission cap, this dormant capacity would distort the signals that generators rely on to time the construction of new facilities – putting many of the projects already announced at risk. This leads to the unintended consequences of a higher emission intensity source delaying the construction of a lower emission intensity source.

## Industry Investment

The investment decisions, project timelines, and technology demonstrated by investors within the Alberta market exhibits the confidence in the current market structure and the Framework. It also underscores the efficient and proper functioning of a healthy electricity sector. This is consistent with both the AESO and the MSA who after extensive research, have concluded that Alberta’s electricity market is “well-functioning” and “effectively competitive”. ENMAX has put significant and material capital to developing new power generation. The following chart is only the capacity of under construction or announced power generation. ENMAX has coal assets under PPAs and since 2003 has developed or purchased 120 MW of natural gas simple cycle (peaking) capacity, 470 MW of NGCC.

Company	Technology	Size(MW)	Est COD
Shell-Carmon Creek	NGCC	690	2014
ENMAX/CP - Shepard	NGCC	800	2015
CP/ENMAX – Genesse 4/5	NGCC	1050	2016
Maxim – Milner	NGCC	520	2017
Atco – Heartland	NGCC	400	2017
Paul First Nation	NGCC	1000	2017
TransAlta – Sundance 7	NGCC	850	2018

ENMAX is a vertically integrated utility that through subsidiaries retails electricity in the competitive retail market. As a retailer ENMAX knows the value of ensuring long term supply of reasonably priced electricity for Albertans. The existing Framework fits with the competitive nature of the market at the same time will lead to emissions reductions.

## Summary

ENMAX has invested significantly in the Alberta electricity sector using the current Alberta Framework as a cornerstone in our strategic planning process. Our sector is viable and healthy. It is competitive and environmentally responsible. The current framework is working, and it must be allowed to continue to work. Though we may occasionally agree to disagree, the diverse collection of stakeholders in the industry has demonstrated remarkable collaboration and agreement on many difficult issues. ENMAX is pleased with the overall participation and progress of the EFR team and will continue to work towards building consensus agreements going forward. We look forward to many more years of participation and collaboration with CASA as we make the transition to a cleaner and more sustainable future.

## **Environmental Non-Government Organizations' Comments on the 2013 Electricity Framework Review, May 29, 2014**

For the past decade, Alberta ENGOs have remained committed to the Alberta Framework and its promise of substantial and timely reductions of NO<sub>x</sub> and SO<sub>2</sub> emissions. This commitment to an Alberta-based agreement was exemplified in our strong defense of the Alberta Framework in the face of Government of Canada proposals to modify pollution control rules for existing coal plants during the National BLIERS discussions (2009-2012). Our commitment to the Framework is further demonstrated by active participation in the previous and current 5-Year Review processes.

One of the essential benefits of the Alberta Framework is that it provides long-term certainty and predictability of outcomes for the expectations of environmental performance from Alberta's existing fleet of coal (and gas) units. When the Framework agreement was reached in 2006, Industry lauded the importance of such certainty in guiding their investment decisions. Similarly, Government, ENGOs and other Public members were also pleased with the certainty that the Framework would bring to regulatory decision-making processes.

The existence of the Framework and its broadly-held consensus has played a critical role in managing public expectations for the environmental performance of the Electric Power Generation sector (coal units in particular) since the contentious new coal plant hearings in 2001-2002. Such environmental certainty is an key component of the "public license" to operate that the EPG sector has largely enjoyed during the past decade.

One of the key compromises conceded to by the ENGOs, as part of the overall Framework consensus, was to respect the Power Purchase Agreements (i.e. no NO<sub>x</sub> or SO<sub>2</sub> modifications to pollution controls on plants under PPAs). With the imminent expiry of the PPA terms, the environmentally-meaningful period of the Alberta Framework is about to come into effect. Now is the time when critical decisions regarding substantive reductions in pollution from coal units are to be implemented. ENGOs are gravely concerned that economic interests will lobby for further delays in these long anticipated environmental improvements.

It is the ENGO view that, regardless of the impact of the Federal GHG regulations on coal plants, the anticipated NO<sub>x</sub> and SO<sub>2</sub> reductions from the coal units must be realized in the timeframe agreed to by all parties a decade ago. It is our view that the environmental outcomes of both the Alberta Framework and the Federal GHG regulations can be achieved without any modification to the Framework. We reject arguments that the Framework has been superseded, and the same environmental outcomes achieved, by the Federal GHG regulation.

Regarding the current 5-Year Process, ENGOs are of the view that no information was provided to demonstrate that Recommendation 35 (the "Economic Trigger") was indeed triggered by environmental policies. Although incumbent owners of coal units have raised concerns, several reports produced

by public entities demonstrate that such policies would have no discernible effect on the economic viability of the sector as a whole, nor upon the power pricing experienced by consumers.

Although the issue has many complexities, we view the lack of consensus experienced by the EFR team on this matter to be driven by competing economic interests between various power generators. Fundamentally, this is about the opportunity for existing coal plant unit owners to generate revenues by running their old plants for a few more years without new investment in pollution-control technologies versus the interest of other power generators to be able to build new, environmentally-cleaner, gas-fired units.

Although timely transition from old coal to new gas is clearly environmentally preferable, ENGOs are not shareholders of the power generating companies and thus have no financial interest in who "wins" or "loses". Our primary interest is to ensure that Albertans do not lose the benefits of the environmental promises made by the Alberta Framework so many years ago just as those benefits are about to be realized. Recognizing that responsible environmental protection must be sensitive to cost, we also believe that those benefits can be realized without material economic impact to consumers.

ENGOs are also concerned that the CASA-based model of pro-active, consensus-based environmental management policy development – a model that has reaped many benefits for Alberta's environment, economy and social standing – will be undermined. What value is there for any stakeholder to participate in the development of such policies if they are not honored in their implementation?

ENGOs remain committed to good faith discussions with industry and government regarding this issue. Although we believe that the existing Framework is broad enough to accommodate many (but not all) interests around the CASA table, we were willing to go beyond/outside of the existing Framework to consider modifications if other stakeholders were prepared to. We actively participated in this process until consensus could not be reached on continuing this work.

ENGOs remain committed to the existing Framework. We recommend to the Government of Alberta that it is in the broader interests of all Albertans that no modifications be applied to this "made-in-Alberta" environmental policy. We also recommend that work continue with the rest of the current 5-Year Review.

ENGOs would note that, if the current Framework is changed by the Government of Alberta without consensus support of all stakeholders, then the Alberta Framework will no longer be a consensus Framework. Under those circumstances, ENGOs will be free to pursue other options at the provincial and federal levels to address their interests regarding air emissions from the Alberta Electric Power Generation sector.

**Submission to the Electricity Framework Review (EFR)  
by the The Mewassin Community Council**

**The EFR Process**

The second review of the Alberta Framework for managing emissions from the electricity industry (the Framework) began in May of 2013. Until now, the project team has focused a large part of its time and resources on listing alternatives to deal with potential implications and management issues for the Framework created by the implementation of Canada's greenhouse gas (GHG) Regulations. As a result of the narrow focus by the project team, several tasks that the project team is mandated to complete have been relegated very little of the total time allocated to the process.

As a result, the process could be criticized for appearing to have been directed by a small group of industry representatives interested in preserving their capital investments in light of the introduction of the federal GHG regulations. By limiting the time for the remaining tasks, the process could also be criticized for not focusing adequate attention on tasks that could result in continuous improvement of the management of air emissions from electricity generation in this province. Additionally, the City of Edmonton has been identified as a PM hot spot and the Wabamun region has the potential to become a hot spot following the construction of two combined cycle natural gas generators in the area. This is therefore the first time that the *Guide for Responding to Potential "Hot Spots" Resulting from the Thermal Electric Power Generation Sector* will be tested, thus setting the conditions to assess the effectiveness of the Guide. To date, the project team has not discussed this task.

**Critique of Proposals Presented to the Project Team**

Several proposals for altering the Framework were developed by some of the industry representatives in order to introduce flexibility to the Framework in light of the introduction of the federal GHG regulations. These proposals have not been rigorously tested against the criteria developed by the project team. In particular it is unknown whether any of these proposals would lead to a reduction in air emissions. In the absence of a systematic review of the proposals by the team, additional clarification of some of the criteria may be necessary for outside observers. For example, the "Environmental Outcomes" criterion is intended to incorporate the principle of continuous improvement (environmental expectations). The "Social Outcomes" criterion was left intentionally vague in order to capture a range of positive social outcomes, such as improved health for area residents and reduced health care costs for the province. Weighing the costs and benefits of proposals would likely require the development of some quantifiable factors within this criterion.

*Mass-based Approach:*

Moving from an intensity standard to an absolute standard could have merit if the standard was set at a level stringent enough to result in emission reductions additional to what is anticipated to be achieved by the Framework. However, as the proposal is presented, the standard from the Framework is significantly relaxed by approximately 60-64%. As presented, the underlying assumptions are also out of step with both industry analyst and public expectations, specifically that coal plants are assigned a 60 year life and that 450 MW of new coal are added every five years. In addition, the method used for



totaling emissions would have to be evaluated to ensure that no emissions are excluded from each facility's full amount.

*Market Mechanism Enhancement:*

There are two cautions that should be heeded when making adjustments to the emissions trading market. Firstly, the market must not incent delayed action. In other words, it must not allow the creation of future credits that are applied in the present without corresponding emission reductions in the present. Secondly, an enhanced market should have provisions to ensure that location issues are managed. That is, that the enhanced market does not result in the creation of regional hot spots.

*Reasonably Achievable Control Technology (RACT):*

The emission reductions achieved by the Framework require installation of Best Available Technology Economically Achievable (BATEA). Installation of RACT would be insufficient to obtain equivalent or better emission reductions at the end of design life. However, the Framework is already compatible with the installation of RACT prior to the facility end of life as a way to generate credits.

*Fleet Approach:*

Introducing a standard at the fleet level rather than at the facility level would result in some facilities being fitted with emission abatement technology while others would continue to pollute unabated. Additional conditions would need to be imposed to ensure that this approach does not result in the creation of pollution hotspots.

*Early Imposed End of Life Credit:*

Facilities that are forced to shut down by the federal GHG regulation should not be rewarded with credits for pollution abatement. If such an action were taken, the co-benefits of implementing the GHG regulation would be nullified – resulting in a deception of the Canadian public, and electricity generators would be rewarded for inaction. Potential action in the future should not be awarded credit in the present. In keeping with the principles of the Framework, only real emission reductions should be awarded credits.

*SO<sub>2</sub>/NO<sub>x</sub> Fungibility:*

Reduction of both substances is important for maintaining human health and ecosystem health. Therefore, trading credits between the two becomes problematic and likely would result in inadequate emission reductions of one substance or the other.

*Expanded Trading System:*

Trading with other industries that produce NO<sub>x</sub> and SO<sub>2</sub> may offer the potential to reduce overall emissions and manage regional hot spots and areas in danger of becoming hot spots. However, in order for such a market to function properly, adequate resources will have to be invested into collection of emissions data and oversight of the market.

*Renewable Energy or Natural Gas Credits:*

This proposal has merit but should be considered with the following provisos. Real emission reductions generated by renewable energy should be credited at a higher rate than for natural gas in recognition of the direct emission reduction benefit and the co-benefits related to renewable energy (ie. low environmental impact, long-term, low or no GHG emitting electricity production). The second proviso is that introduction of such a measure should not represent the province's sole strategy to promote the development of renewable energy.

**Changes to the Framework**

A key principle to the development of the Framework is long-term regulatory certainty. Therefore changes to the Framework should not be entered into lightly but if changes are made they must reflect the Clean Air Strategic Alliance's goals for air quality: protect the environment; optimize economic performance and efficiency; and seek continuous improvement.

Any revisions to the Framework should start with the process of "visioning". Albertans involved in this process need to develop a vision for the kind of future that we want for ourselves, our children and our grandchildren. This should be the starting point for working backwards to set in place the conditions that we need to achieve our vision, rather than being reactionary or perpetuating the *status quo*.



May 30, 2014

Robyn-Leigh Jacobsen  
Clean Air Strategic Alliance  
Senior Manager, Program Planning & Delivery  
10th floor, 10035 - 108 Street  
Edmonton, AB T5J 3E1

Dear Robyn,

Maxim Power Corp. ("MAXIM") is a TSX listed, independent power producer headquartered in Calgary, Alberta. MAXIM owns and operates the HR Milner ("Milner") generating station, a 150 MW coal-fired facility located 20 kilometres north of Grande Cache, Alberta. MAXIM is committed to being an environmentally responsible, low-cost power producer, and to developing and operating projects in response to the energy needs of the consumers in the markets we serve.

Milner was brought into commercial service in 1972. Because it has been operational for more than 40 years, it must adhere to the CASA post-design life annual emissions intensity limits for NO<sub>x</sub> and SO<sub>2</sub> for coal-fired facilities effective January 1, 2013. Prior to that date, MAXIM pursued a number of projects to address the emissions objectives. Among these projects was the installation of a Selective Non Catalytic Reduction (SNCR) system in 2009 to proactively generate NO<sub>x</sub> credits leading up to the commencement of Milner's post-design life period. Milner's SNCR system has resulted in more than a 25% reduction in NO<sub>x</sub> emissions and demonstrates the positive impact retrofitted abatement technologies can have on unit air emissions.

In September 2012, Environment Canada released its Greenhouse Gas (GHG) Regulation which stipulates that unless an operator can reduce its GHG emissions intensity level to the equivalent of a high-efficiency natural gas-fired unit, a coal-fired generator must cease base loaded operation on December 31, 2019 or after 50 years for units commissioned prior to 1975, whichever is earlier. As Milner was commissioned in 1972, this will require the unit to cease base loaded operation at the end of 2019, its 47<sup>th</sup> year of commercial operation. It is important to recognize that this is 3 years less than the 50-year life afforded to other Alberta based coal-fired facilities, which impacts investment decisions.

Despite the effectiveness of the SNCR system, further reductions in NO<sub>x</sub> emissions are required for Milner to meet its CASA obligations. While there are other proven technologies available to meet those targets, the truncation of Milner's deemed operating life following the implementation of the federal GHG regulation effectively prevents Milner from recovering investments in further abatement technologies.

May 30, 2014

**Company**

Page 2 of 2

Although the Emissions Trading Regulation provides a solid foundation for market-driven transactions, we believe it has had limited success in providing the necessary liquidity to foster a healthy market. During the CASA EFR meetings held in December and January, MAXIM actively advocated reopening the framework to create emissions trading market enhancements to enable funds directed at proven abatement technologies to be invested in longer-life assets where it will provide measurable environmental benefit.

Milner remains a strong supporter of the CASA EFR process, that said, market participants currently are impacted by the misalignment of the Federal and Provincial regulations. A timely solution must be implemented to avoid unintended consequences.

We believe that the implementation of the federal GHG Regulation and subsequent misalignment is sufficient reason to reopen the CASA framework, and should be the basis upon which the EFR team should determine next steps.

Yours truly

A handwritten signature in blue ink, appearing to be 'Rob Watson', written in a cursive style.

Rob Watson  
Director, Canadian Facilities

## The Requirement to Change the CASA Electricity Framework TransAlta Corporation

A fundamental change has occurred. The implementation of the federal GHG regulations promulgated in September 2012, completely undermines one of the principal premises upon which the 2003 CASA consensus agreement was based, and upon which the current CASA regulatory framework rests. The premise was that owners of coal-fired generation would have sufficient productive lives of their units to recover the costs of installing emission control technology. By cutting short the lifespan of coal units, the federal GHG regulation makes it impossible to achieve cost recovery and effectively subjects companies to punitive and substantial costs, which was never the intent of the CASA agreement.

More importantly, the current CASA framework would require major capital investments that will provide little incremental environmental benefit beyond the air pollutant emission reductions achieved by the effect of the federal GHG regulations alone. TransAlta, as the Province's largest generator, will achieve NO<sub>x</sub> and SO<sub>2</sub> emission reductions of over 90% of current levels by 2029 – simply through unit closures required by the GHG rules. Unchanged, CASA would require the expenditure of literally billions of dollars sector-wide to address the remaining fraction of reductions. This is not only poor environmental policy but also highly wasteful of precious capital that can be better spent on much more sustainable investments such as building cleaner generation, including renewables, to both replace retiring coal assets and meet Alberta's electricity demand growth.

We were disappointed that CASA stakeholders could not come to agreement on the need to re-examine the CASA framework in light of the major paradigm shift created by the federal GHG regulations. Our observation was that the majority of stakeholders supported some degree of adjustment to the framework, but consensus was blocked by a few who insisted on no change.

This CASA report accurately identifies the areas of disagreement between stakeholders, though not the weighting of support for one view or the other.

The CASA stakeholders debated a variety of elements related to this issue. We will provide a short commentary on them subsequently, but there is a more fundamental, central question that must be considered by the Government that was not adequately addressed in the stakeholder process: **Does it make economic and environmental sense to maintain the CASA structure unchanged in light of the massive impact of the federal GHG regulations?** TransAlta's view is no, it does not make sense to not adjust Alberta's environmental policy in light of such a major change. The emission profile from Alberta's coal-fired electricity sector will change fundamentally to deliver large reductions. And the cost/benefit of investing billions of dollars for a small and temporary additional reduction is not justifiable under any logic. These facts are unarguable.

It is also unfortunate that we have had this debate in the absence of a science-based context. We should be able to answer the question "Would applying the current CASA requirements for coal-fired generation, on top of the effects of the federal GHG regulations, have a measureable air quality benefit?" CASA cannot answer this question. Therefore our stakeholder discussions devolved to opinions about the "rules" and about the "expectations" of stakeholders. TransAlta's view is that, in the spirit of the original CASA stakeholder process and agreement, Alberta's environmental policy ought to be about sensible rules resulting in lasting improvements in the Province's air quality.

There is a corollary question “Would the costs to industry of imposing the current CASA requirements be better deployed elsewhere with greater and more sustainable effects?” Our view is yes. Whether that’s investment in cleaner, replacement generation, or in supporting other environmental initiatives with greater emission reduction potential, there are clearly better uses of capital than building short-lived control technologies on the back-end of plants forced to retire shortly thereafter. As an estimate, the current CASA regulations will cost roughly \$2000-\$3000/tonne of NOx reduced and \$4000-\$6000/tonne of SO2 reduced. At these cost levels there are numerous opportunities to reduce emissions in more cost-effective ways and potentially in areas of the Province where air quality is in greater need of attention.

To address more specifically some of the areas of stakeholder disagreement on the matter of changing the CASA framework:

**1. Emissions and economic triggers**

CASA stakeholders struggled with the question of whether either the emissions trigger or the economic trigger, as described in the CASA framework, had been exceeded through the effect of the federal coal regulations and therefore should formally open the framework for review. In TransAlta’s view the fact that neither could be categorically answered was a troubling comment on the vagueness of the framework language. But more importantly, we believe that good environmental policy must be both responsive to change and based on sound logic consistent with the Government’s objectives. The micro-focus on triggers was a distraction to the real issue – does it make sense to adjust a regulation when external factors make it redundant and costly to the economy of Alberta. Our view is yes, regardless of language written a decade ago.

**2. Regulatory certainty**

A few stakeholders held that the CASA regulations could not be changed because that would disrupt the regulatory “certainty” that CASA has provided. We strongly disagree. It is naïve to expect that there is ever regulatory certainty regardless of external developments. Did CASA contemplate in 2003 that the federal government would arbitrarily shorten the lives of Alberta coal units? No. TransAlta for one would never have agreed to the original CASA consensus agreement if we had known that would transpire. Industry recognizes that we must be prepared to respond to changing business and regulatory environments, and we expect the same of our Government. CASA is a case in point.

**3. Potential for early action**

A few stakeholders held that companies that are operators of coal-fired generation have had ample time to take early action to reduce emissions and mitigate the costs of CASA compliance. This is not true, for several reasons. Firstly, the operations of coal-fired generation is governed first and foremost by the PPA’s, a regulatory construct, that provides the buyers of PPA’s the right to determine how units are dispatched and establishes minimum levels of availability, below which the owners are subject to penalties. It is simply not feasible to expect that owners such as TransAlta could unilaterally take units out of service for extended periods of time to install control equipment, bearing the costs of the equipment, the risks to operations, and the associated penalties. Further, Alberta had established an emission trading mechanism coincident with the CASA regulations, with the idea that an emission credit market would emerge and allow companies to acquire credits for compliance. That system has been moribund. There has not been one trade executed under the market.

#### **4. Flexibility mechanisms**

CASA stakeholders did some innovative work to develop a series of flexibility mechanisms that could address the gap between the emission reductions achieved by the federal GHG regulations alone and the current CASA regulations. Essentially these mechanisms would substantially reduce the costs/tonne of pollutants reduced while still delivering reductions. It would be unfortunate if the value of these options was lost in a disagreement about whether the CASA framework should be changed or not. They make sense in their own right and deserve attention under any circumstance.

To conclude, TransAlta would request that the Government initiate a fundamental change to the current CASA regulatory framework, in the interests of maintaining sound economic and environmental policy. The CASA framework as it currently exists has been made redundant given the federal actions, it is no longer necessary to maintain good air quality in the regions surrounding coal-fired power plants, and it is now an economically punitive and an inefficient mechanism to achieve emission reductions. We support continuous improvement of the emissions profile of the electricity sector in Alberta, and believe we are on that track without additional CASA requirements.



May 30, 2014

**TransCanada's Submission to the May 2014 Interim Report on the CASA 2013 Electricity Framework Review**

Presented in this submission are TransCanada's views on the May 2014 Interim Report developed by the Electricity Framework Review Team (EFR).

**Background on TransCanada**

TransCanada is a leader in the responsible development and reliable and safe operation of energy infrastructure in North America. We own and/or operate 68,500 km of natural gas pipelines, 3,467 km of oil pipelines, 406 bcf of natural gas storage and 11,800 MW of power generation. Our generation interests include natural gas, nuclear, coal, wind, hydro and solar across Canada and the United States.

**Support for the CASA Framework**

TransCanada would like to reiterate that we fully support the existing CASA Framework. The collaborative and multi-stakeholder approach of the framework represents a novel way to limit environmental and health impacts of air pollutants. Even when the CASA process does not lead to consensus, the work conducted as part of the review process provides the Government of Alberta (GOA) with the tools it needs to effectively chart the way forward.

Alberta's electricity sector is unlike those of other provinces/territories in Canada. By fully deregulating electricity generation, Alberta took the bold step of letting Alberta electricity prices reflect the true economic value of electric generation in Alberta. Since deregulation, electricity prices in Alberta have remained competitive compared to other jurisdictions in North America. The CASA Framework came into place after the market was deregulated and it has given investors sufficient regulatory clarity that has seen over 5,500 MW of generation added to the market since 2003.

The cloud of Federal mid-life Base Level Industrial Emissions Requirements (BLIERS) continues to hang above the electricity sector in Alberta. Federal mid-life BLIERS under the (Canadian Environmental Protection Act (CEPA) is one example of environmental regulation that does not consider local market realities such as the deregulated electricity market in Alberta. CASA on the other hand delivers emissions reductions contemplated in mid-life BLIERS in a way that respects local market realities. Significant diversion away from the existing Framework will potentially leave capital stranded and give an opportunity for the Federal Government to seek jurisdiction on air pollutants. Consequently, it is imperative for the Government of Alberta to



continue sending the message that it is committed to CASA and will not make changes that could undermine the environmental outcomes expected from the framework.

### **Electricity Framework Review**

A key feature of the 2003 CASA Framework is the periodic 5 year review in accordance with Recommendation 29. In addition, Recommendations 34 and 35 gave specific tests, environmental and economic respectively, for determining whether an overhaul of the framework is warranted. The EFR Project Team has completed a significant amount of work over the past months. Much of this work was on the technical, health and scientific aspects of CASA. The EFR Project Team members were not in agreement on whether the Economic Review Trigger, per Recommendation 35, had been met.

### **Recommendation 35: Economic Trigger**

TransCanada's view is that Recommendation 35 provides sufficient guidelines to allow for an independent economic analysis that would answer the question: are the "economic assumptions underlying the framework different so as to adversely affect the viability of the electricity sector" in Alberta? As mentioned above, the electricity sector has and continues to add new generation in Alberta. The failure by the EFR Project Team to commission an independent assessment of Recommendation 35 is a lost opportunity to independently assess the viability of the electricity sector given existing and forthcoming environmental regulations. An independent assessment of Recommendation 35 can add clarity and support consensus building.

To ensure this issue is resolved, TransCanada recommends that an independent assessment of Recommendation 35 be done by a qualified consultant that has knowledge of the Alberta electricity market and its environmental regulations, including the Federal Coal GHG Regulations to determine whether the trigger mechanism has been reached.

### **Federal Mid-life BLIERS Regulation**

Industry's latest discussions with the Federal Government indicate that it continues efforts to implement a National Air Quality Management System (AQMS). Of the many components of the AQMS, mid-life BLIERS is a major concern for existing coal units. The Federal Government has on many occasions indicated that they are unclear as to the emissions reductions projected from the CASA Framework. CASA must ensure that there is clarity and transparency for stakeholders like the Federal Government to easily understand the emissions reductions forecast by the Framework. It is therefore imperative that the technical aspects of the CASA work that is currently underway continue along to a conclusion, so that it provides clarity on the expected emissions trajectory. Failing to complete this effort could cast doubt on the Framework and its environmental outcomes leading to the Federal Government taking jurisdictional authority on these issues.

### **Alberta's Electricity Market is Working and has Investor Confidence**

As mentioned above, the Alberta market has seen addition of over 5,500 MW since 2003. In addition, over 4,500 MW of new generation is expected between now and 2020 based on

applications made to the AUC (see table below). This demonstrates that investor confidence continues to validate the long term viability of Alberta’s electricity sector. Furthermore, recent independent reports by the Brattle Group<sup>1,2</sup> (2011, 2013) (commissioned by the Alberta Electricity System Operator (AESO)), the Market Surveillance Administrator<sup>3</sup> (MSA 2013) and consultant EDC Associates<sup>4</sup>, have all concluded that the Alberta electricity market is working as expected. For this to continue, market rules and regulations need to provide investors with the stability needed to ensure continued investment decisions over the long term.

### List of Projects and Start Dates

Company	Technology	Size (MW)	Expected Start Date
Capital Power, Genesee 4-5	NGCC	1050	January, 2016
Shell Carmon Creek	Cogen/NGCC	690	January, 2016
Maxim Milner	NGCC	520	May, 2017
ATCO Heartland	NGCC	400	August, 2017
Paul Nation Great Spirit	NGCC	1000	2017
TransAlta Sundance 7	NGCC	850	June, 2018
<b>Total</b>		<b>4510</b>	

### Recommendations

Alberta’s electricity sector is unique in Canada and the Government of Alberta should maintain jurisdiction over issues that impacts the sector including air pollutants.

The CASA Framework provides an excellent vehicle to guide air pollutant regulation(s) in Alberta. The EFR Project Team has done a lot of good work on the technical and scientific elements of the Framework and should be allowed to complete this work. We recommend that the Government of Alberta take the following actions:

1. Direct the EFR Project Team to complete its work on the emissions projections and other technical elements of the Framework review, within a definitive time period.
2. Commission an independent assessment of the Recommendation 35 to assess the impacts of existing and forthcoming environmental regulations on the electricity sector and its participants, to be completed within a definitive time period.
3. Communicate the findings of the assessment and provide specific directions to the EFR Project Team.

<sup>1</sup> The Brattle Group (2011). Evaluation of Market Fundamentals and Challenges to Long-Term System Adequacy in Alberta’s Electricity Market: Prepared for the AESO.

<sup>2</sup> The Brattle Group (2013). Evaluation of Market Fundamentals and Challenges to Long-Term System Adequacy in Alberta’s Electricity Market: 2013 Update

<sup>3</sup> Market Surveillance Administrator (2012). State of the Market Report 2012: An Assessment of Structure, Conduct, and Performance of Alberta’s Wholesale Electricity Market.

<sup>4</sup> EDC Associates (2013). Trends in GHG Emissions in the Alberta Electricity Market: Impact of fuel switching to natural gas. Prepared for the Independent Power Producers Society of Alberta.

## **DECISION SHEET**

**ITEM:** 4.2 Odour Management Team

**ISSUE:** Approve next steps for the four remaining areas of work in the Odour Management Team's Project Charter.

**BACKGROUND:** In March 2013, the Board approved the odour management project charter and directed the Secretariat to coordinate the formation of an odour management team. The project charter outlines seven areas of work for the team, and, in accordance with advice received from the Board, the team prioritized complaints, odour assessment, and health as the first areas where work would begin.

**STATUS:** The team prepared workplans for the three prioritized areas of work and convened three task groups to undertake the work. These task groups regularly report on their progress to the team, who provide additional direction and guidance as required. The task groups began meeting in October/November 2013. Tasks for the task groups include:

- Complaints Task Group:
  - Developing a baseline understanding of the complaints landscape in Alberta, including gaps and strengths.
  - Conducting a cross-jurisdictional review of best practices outside Alberta relating to complaint response and tracking mechanisms.
  - Developing tools to help address gaps and to highlight strengths in the Alberta system.
- Odour Assessment Task Group:
  - Evaluating odour assessment tools and their possible application in Alberta.
  - Developing a user-friendly tool that links different odour issues to appropriate odour assessment tools and practices.
- Health Task Group:
  - Developing tool(s) for tracking health-related impacts of odour.
  - Summarizing background material on odour and health.

The team has discussed how to action the remaining four areas of work from their Project Charter: prevention/mitigation, enforcement/role of regulation, education/communication/awareness, and continuous improvement. The last two areas will be taken on at the team level. The team anticipates that the work under prevention/mitigation will be taken on by the Odour Assessment Task Group and a new task group will be formed to undertake the work under enforcement/role of regulation that would begin work in June 2014. The team expects all task group work to be complete by the end of 2014.

The level of detail of the work that can be achieved for the remaining work depends on the resources available. The team has received \$150,000 from Alberta Environment and Sustainable Resource Development and \$15,000 from CAPP. Currently, there is no funding available to complete work under the four remaining areas. The OMT has outlined three possible paths forward for the work under areas 4-7 which vary depending on what additional funding is available. *The OMT strongly recommends Scenario #3 as the preferred path forward.*

**ATTACHMENTS:** Summary of Budget Scenarios.

**DECISIONS:** 1. Approve next steps for the four remaining areas of work in the Odour Management Team's Project Charter.

Odour Management Team, Summary of Budget Scenarios for Next Steps, CASA Board meeting, 5 June 2014:

The Odour Management Team (OMT) has discussed how to action the four remaining areas of work in their Project Charter (areas 4-7). Their ability to undertake work is dependent on the financial resources that are available. Ultimately, the OMT is working towards two deliverables:

- A final report and recommendations, and
- A Good Practice Guide for assessing and managing odour in Alberta.

The OMT has outlined three possible paths forward for the work under areas 4-7 which vary depending on what additional funding is available, *with Scenario #3 as the strongly preferred option.*

Highlights of Budget Scenarios:

- The work under areas 1-3 (Odour Assessment, Complaints & Health) that is already underway will continue as scheduled unchanged under each budget scenario. This work is being completed by three task groups.
- The work under areas 6 & 7 is the same under each budget scenario and the work will be completed at the team level.
- The work under areas 4 & 5 changes under each budget scenario both in the level of detail of the work that can be completed and how the work will be completed. If additional funding is received, this work will be completed at the task group level; otherwise it will be completed at the team level.
- The OMT anticipates that all task group work will be completed by the end of 2014 and plan to bring their final deliverables before the CASA Board in June 2015.
- The Odour Management Team *strongly recommends Scenario #3 as the best path forward* as it will produce the highest quality work in the timeliest manner.

Budget Scenarios:

<i>Work that can be Completed Under:</i>	<u><i>Scenario #1: Status Quo</i></u> <i>The OMT receives \$0 in additional funding.</i>	<u><i>Scenario #2: “DIY”</i></u> <i>The OMT receives \$20,000 in additional funding.</i>	<u><i>Scenario #3: Consultants</i></u> <i>The OMT receives \$60,000 in additional funding.</i>
4. Prevention/Mitigation & 5. Enforcement/Role of Regulation	– The team will have a high level conversation and provide recommendations/advice about future work under Prevention/Mitigation and Enforcement/Role of Regulation.	– The team will use two task groups to complete work under Prevention/Mitigation and Enforcement/Role of Regulation. – Each task group will gather information by leveraging expertise available at the team/task group level and hire a technical writer to compile the information into a summary report. – Each task group will use the summary report to have a conversation about gaps and may make recommendations accordingly.	– The team will use two task groups to complete work under Prevention/Mitigation and Enforcement/Role of Regulation. – Each task group will prepare a final report with a high level of detail using a consultant who will complete a comprehensive review.
6. Education /Communication /Awareness	– The team will prepare a communications plan to distribute the Good Practice Guide.	– The team will prepare a communications plan to distribute the Good Practice Guide.	– The team will prepare a communications plan to distribute the Good Practice Guide.
7. Continuous Improvement	– The team will leverage task group and team expertise to provide some high level advice/strategies about continuous improvement.	– The team will leverage task group and team expertise to provide some high level advice/strategies about continuous improvement.	– The team will leverage task group and team expertise to provide some high level advice/strategies about continuous improvement.

## *Status Report*

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**Project:** Non-Point Source Air Emissions

**Task:** To provide an update on CASA's work on non-point source air emissions (NPS).

**Background:** At the December 2013 board meeting, the Government of Alberta (GoA) committed to championing the NPS issue, and subsequently convened internal cross-agency discussions, directed at the development of a new Statement of Opportunity (SoO). The GoA reported on their progress at the March 2014 Board meeting and suggested that a working group be convened to further develop the SoO. The Board agreed that the NPS file warrants further consideration by CASA and directed the Secretariat to establish a working group to develop a project charter, to be presented to the Board in September 2014. It was further suggested that the project charter should identify how the project would be resourced/funded.

**Status:** The Secretariat has since continued to meet with potentially interested parties (some of whom have not been previously involved) to: brief them on the history of the NPS file; describe and inquire about NPS issues of common interest, including the apparent convergence around certain tasks that emerged from the 2013 workshop; describe the content and process of project charter development, and; to determine their interest, capacity and availability to participate in project charter development.

The Secretariat has also canvassed the CASA Executive, requesting the appointment of representatives to the working group. Once these are known, the working group may be "rounded out" with the addition of any key parties who are not part of the existing CASA network. Ultimately, it will fall to the working group to ensure that all key interests are engaged, prior to presentation of a draft project charter to the Board. As per the Odour Management Team experience, a small working group of 6 – 8 individuals is thought to be optimal.

**Attachments:** None.

# Status Report

**Project:** CASA and AAC Joint Standing Committee (JSC)

**Task:** To provide an update on the CASA and AAC Joint Standing Committee.

**Background:** The JSC was struck to implement the recommendations made by the Airshed Zones Board Committee as well as to strengthen the relationship between the Alberta Airsheds Council (AAC), the airshed zones and CASA.

In 2012, the JSC prioritized key task 3\* as its focus for work and contracted two consultants to write a discussion paper to inform the Committee's deliberations about roles, responsibilities and relationships regarding Alberta's AQMS. The discussion paper provides information about:

- functional components of Alberta's Air Quality Management System,
- roles and responsibilities of the organizations delivering aspects of the system;
- relationships among organizations;
- government initiatives related to the delivery of air quality management; and
- strengths, issues or inconsistencies that the Committee may wish to address.

\*Key task 3 - Identify, discuss and make recommendations related to:

- policies and strategies that could potentially affect CASA and AAC and its members,
- overall policy pressures resulting from government initiatives, and pressures coming from stakeholders or the public with respect to air quality management, and
- further clarification of the roles, interests and relationship between AAC, airshed zones and CASA.

**Status:** On March 6<sup>th</sup> 2013, the JSC met with Ernie Hui, CEO of the Alberta Environmental Monitoring, Evaluation and Reporting Agency, as well as representatives from ESRD to review the discussion paper and discuss ways in which the JSC could contribute to evolving monitoring initiatives. Following this meeting, the JSC prepared a letter to Alberta Environmental Monitoring, Evaluation and Reporting Agency requesting that the agency:

1. Meet regularly with the JSC as their work continues; and





2. Provide feedback about how the JSC could most effectively provide input to the agency's ongoing work.

The JSC received a response to the letter on July 10, 2013 which proposed a follow-up meeting in late fall 2013 or early 2014 "to provide an update on progress towards the creation of the arms-length agency and an enhanced provincial environmental monitoring system".

The timing of this next meeting has been subject to the roll-out of the Alberta Environmental Monitoring, Evaluation and Reporting Agency (AEMERA) and the availability of sufficient information to warrant JSC feedback. The Secretariat has been in contact with AEMERA and is working to coordinate a meeting as soon as possible.

**Attachments:** None.

## DECISION SHEET

- ITEM:** 5.1 Risk Management Framework and Risk Management Plan
- ISSUE:** The Risk Management Committee has developed of a Risk Management Framework, and subsequently, a Risk Management Plan, for CASA. The final versions of both documents are being presented for the Board's approval.
- BACKGROUND:** The Board embarked on a strategic planning initiative in November 2010 to review its corporate mission and business plan. Among a number of related initiatives, this work included a strategic planning retreat in June 2011. As a result, the 2012 Strategic Plan was developed and subsequently approved by the Board at their March 2012 meeting. At this time, the Strategic Plan contained a placeholder for the development of a Risk Management Plan.
- In September 2013, the Board struck a Risk Management Committee to develop CASA's risk management planning process. The committee held their first meeting in January 2014 and established the scope of their work as follows:
1. Develop a Risk Management Framework: this document will provide a uniform process to identify, measure, respond to, and report on risks as part of measuring CASA's performance (the how-to manual).
  2. Develop a Risk Management Plan: this document describes the scope of the risks to be managed, as well as the risk assessment, and strategies for managing risks.
- STATUS:** The committee has completed the development of the Risk Management Framework and the Risk Management Plan for the Board's review and approval.
- ATTACHMENTS:** A. CASA's Risk Management Framework  
B. 2014 Risk Management Plan  
***Attachments will be provided in a supplementary package.***
- DECISIONS:** 1. Approve CASA's Risk Management Framework and the 2014 Risk Management Plan.

## Risk Management Framework ~ Clean Air Strategic Alliance, May 2014

### Introduction

The Clean Air Strategic Alliance (CASA) is a multi-stakeholder partnership composed of representatives selected by industry, government, and non-government stakeholders. As such, CASA is in a unique position in relation to our partner organizations, in that we are dependent on the support of our partners and are vulnerable to changes in this support.

CASA's success relies on the ability to both recognize and leverage opportunities as well as identify and manage risks on an ongoing basis. The key tools used to support this work will be strategic planning (identifying opportunities) and risk management planning (identifying risks). The results of this work will be integrated into one document – CASA's 5-Year Strategic Plan – respecting the inherent connection of the two.

The Risk Management Framework described in this document provides a uniform process to identify, measure, respond to, and report on risks as part of measuring CASA's performance. The risk management framework focuses on enterprise risk management rather than risks to specific projects and will look comprehensively at the organization and its activities.

### The Framework

Risk management is a continuous process based on an overall framework that consists of four stages, as shown in the following figure:



#### 1. Risk Identification

Risk identification is the process of determining which risks may affect the organization and documenting their characteristics. Identifying risks is an iterative process, as new risks may emerge from year to year. Risks should be identified, grouped into categories, and recorded on a risk register that will be maintained and updated over the long-term.

In CASA's strategic planning cycle, opportunity and risk identification should be undertaken in a comprehensive manner every 3 years, during strategic plan renewal. A time-limited Strategic Planning Committee should be struck to oversee this process. Identified opportunities and risks will feed into the strategic planning process and the risk management process, respectively.

In 2014, risk identification and the preparation of the risk register will be undertaken by the Risk Management Committee, drawing on input from the September 2013 Board Meeting. After initial

development of the Risk Management Plan, it should become part of the Strategic Plan and be renewed as part of CASA’s strategic planning process.

See Appendix A for a template to guide the identification of risks and the development of the risk register.

**1.1. Risk Register**

The risk register forms the central repository for information about each of the risks, their ranking, management strategies, and status. Every three years, during CASA’s strategic planning review, the existing risk register should be verified and supplemented as necessary by the Strategic Planning Committee, with input from all Board Members. New risks should be added and old risks archived when no longer applicable (e.g. because of changes in the external environment, or because they have been fully mitigated).

**1.1.1. Information Gathering Techniques**

It may be important to use a variety of approaches, techniques, and participants to ensure the bases are covered and all pertinent risks are identified. Some possible options include:

- SWOT Analysis: A scan of the internal and external environment is an important part of the strategic planning process. Generally, a Strength-Weakness-Opportunity-Threat (SWOT) analysis occurs before the strategic plan is developed and/or renewed. The SWOT analysis provides information that is helpful in identifying the internal and external factors that are favourable and unfavourable to achieving the objective. Favourable factors (opportunities) would contribute to the renewal of the strategic plan and unfavourable factors (risks) would contribute to the renewal of the risk management plan.
- Brainstorming: The goal of brainstorming is to obtain a comprehensive list of risks. Ideas about risk should be generated under the leadership of a facilitator. Pre-determined categories of risk should be used as a framework.
- Delphi technique: A facilitator uses a questionnaire to anonymously solicit ideas about important risks. The responses are summarized and are then recirculated for further comment. Agreement may be reached in a few rounds of this process. The Delphi technique helps reduce bias in the data and keeps any one person from having undue influence on the outcome.
- Interviewing: Interviewing Board members and stakeholders can assist with identifying risks.

**1.2. Risk Register Categories**

In order to ensure that all applicable risks are “on the radar”, it may be helpful to consider categories of risks, such as:

External Risks	Strategic Risks	Operational Risks	Process Risks	Information Risks
<ul style="list-style-type: none"> <li>• Stakeholder needs</li> <li>• Public relations</li> <li>• Funding availability</li> <li>• Reputation</li> </ul>	<ul style="list-style-type: none"> <li>• Business model</li> <li>• Planning</li> <li>• Stakeholder support</li> <li>• Governance</li> </ul>	<ul style="list-style-type: none"> <li>• Physical assets</li> <li>• Human resources</li> <li>• Legal</li> <li>• Budget implementation</li> </ul>	<ul style="list-style-type: none"> <li>• Service delivery</li> <li>• Efficiency</li> <li>• Capacity</li> </ul>	<ul style="list-style-type: none"> <li>• IT Systems</li> <li>• Information management</li> </ul>

### 1.3. Outputs of Risk Identification

#### 1.3.1. Risk Register

The Risk identification stage provide the initial entries for the risk register. The risk register ultimately includes the results of all the phases of work, as they are conducted. However, the preparation of the risk register begins in the risk identification phase with the following information:

- **Risk Categories:** Risk categories provide a structure and systematic way of identifying risks. Risks can be categorized by sources of risk, the area of work the risk affects, or other useful categories to determine areas most exposed to the effects of uncertainty, or common root causes. Grouping risks by common root causes can assist with the development of effective risk responses.
- **List of identified risks:** The identified risks are described in as much detail as is useful. A simple structure for risks in the list may be applied, such as event-impact or cause-event-consequence.
- **List of potential responses:** Potential responses to risks may sometimes be identified during the risk identification phase. These responses may be useful as inputs into the last phase of work, managing risks.

## 2. Risk Assessment

Risk assessment is the process of prioritizing risks for further analysis or action. Every three years, the Strategic Planning Committee should assess CASA’s risks and develop a risk rating for each risk, based on the pre-determined criteria. Developing a risk rating for each identified risk is a means of establishing priorities for planning responses and managing risks. It should also be considered that risks are interconnected and that impact from one risk may affect the assessment of other risks.

### 2.1. Risk Assessment Criteria

A probability and consequence matrix will be used to prioritize risks according to their potential to affect CASA’s goals and objectives. Probability assessment investigates the likelihood that a specific risk will occur. Consequence assessment investigates the potential effect on CASA’s objectives such as [CASA Criteria A, CASA Criteria B, CASA Criteria C].

As demonstrated in Appendix B, specific combinations of probability and consequence would lead to a risk being rated as “high”, “moderate”, or “low.”

### 2.2. Expert Judgment

It is recognized that risk assessment and prioritization will be somewhat subjective and expert judgment should be incorporated in the assessment of each risk. Along with the quantitative risk rating, expert judgment will be a significant input into the risk prioritization process.

### 2.3. Outputs of Risk Assessment

#### 2.3.1. Risk Register Updates

The risk register was started during the risk identification phase. The risk register is updated with the information from risk assessment. The risk register updates include:

- **Risk rating:** The risk assessment criteria and expert judgment are used to classify risks according to their individual significance. Using combinations of each of the criteria, risks will be prioritized relative to each other by sorting them into groups of “high”, “moderate”, and “low.” The prioritized list will serve to focus attention on those risks of high significance.
- **High priority risks:** This list includes those risks that pose the greatest threat for CASA. In the next phase of work, Manage Risks, risk responses should be developed for those risks determined to be of the highest priority (based on the risk rating and expert judgment).

- Low priority risks: Risks that are not assessed as being immediately threatening can be placed on a low-priority list for continued monitoring. This list should be reviewed annually by the CASA Executive Committee.
- List of risks requiring immediate attention: Those risks that require an urgent response and those that can be handled at a later date may be put into different groups.
- List of risks for additional analysis: Some risks might warrant further analysis before a decision can be made.

### 3. Risk Management

Managing risks is the process of developing risk responses – the options and actions to reduce threats to CASA’s goals and objectives. This phase of work addresses risks based on their priority and includes the documentation of roles and responsibilities for implementing risk responses. The planned risk response should be appropriate to the significance of the risk, cost effective, realistic, agreed to by all parties, timely, and owned by a responsible person.

#### 3.1. Strategies for Risk Responses

Several risk response strategies are available. The strategy or mix of strategies most likely to be effective should be selected for each risk.

- Avoid: Make a fundamental change to eliminate the threat entirely (e.g. extending the schedule, changing the strategy, or reducing the scope). Some risks can be avoided by clarifying requirements, obtaining information, improving communication, or acquiring expertise.
- Transfer: Share some or all of the effects of the risk to a third party. Transferring the risk simply gives another party responsibility for its management – it doesn’t eliminate it. Transferring liability for risk is most effective in dealing with financial risks (e.g. insurance, warranties, or guarantees).
- Mitigate: Reduce the probability and/impact of the risk to be within acceptable threshold limits. This could include developing procedures with checks and balances to detect and reduce the severity of risks. Taking early action to reduce the probability and/or impact of the risk is often more effective than trying to repair the damage after the risk occurs.
- Accept: Accept that the risk may be realized and therefore accept the consequences. This strategy may be active or passive. Passive acceptance requires no action except to document the strategy. Active acceptance could include establishing a contingency reserve, including time, money, or resources.

#### 3.2. Plan Risk Responses

As a result of this process, the risk register should be updated to include the appropriate risk management strategies and the implications for resources (both monetary and human). The cost of managing a risk should generally be compatible with its potential consequences. Components of the risk register at this point should include:

- Risk categories, identified risks, and their descriptions.
- Risk ownership, i.e. roles and responsibilities for each risk.
- Output from the risk assessment (i.e. the risk rating).
- Agreed-upon response strategies.
- Timeline for implementation of the chosen strategy.
- Timeline for review to evaluate the effectiveness of the response strategy.

### 4. Monitoring, Evaluation, and Reporting

Good risk management is part of a system of continuous improvement. For continuous improvement, feedback is essential. This means understanding the past, measuring what has happened, setting targets for improvement, and monitoring progress.

Monitoring, evaluation, and reporting is the phase of implementing risk response plans, tracking identified risks, identifying new risks, and evaluating risk management process effectiveness.

#### **4.1. Roles & Responsibilities**

- The Board of Directors is responsible for:
  - *Risk governance*, including strategic decision-making and risk oversight.
- The Executive Committee is responsible for:
  - *Risk infrastructure*, including developing, implementing and maintaining an effective risk management plan.
  - Implementing risk responses and regular reviews of the risk register.
  - An annual review of the risk register to determine if anything has changed.
  - Initiating a Strategic Planning Committee to undertake a comprehensive review of the Strategic Plan and appended Risk Management Plan every three years.
- The secretariat is responsible for:
  - *Risk ownership*, including identifying, measuring, monitoring, and reporting on specific risks.
  - Day-to-day risk management.

#### **4.2. Risk Management Plan Review**

- A discussion on risk management will become a standing item on the Executive Committee agenda, to be discussed regularly. The Executive Committee could bring issues to the attention of the Board as necessary.
- The Executive Committee will review the Risk Management Plan annually a prepare a report to the Board, noting any perceived changes.
- As part of CASA's strategic planning process, the risk management plan will undergo a comprehensive review every 3 years, on the same cycle as the Strategic Plan.

## Appendix A: Risk Register Template

Category:	
Risk:	
Linkages to Strategic Plan goals and objectives:	
Risk Rating (H, M, L):	
Risk Response (actions required):	Responsibility



Appendix B: Risk Assessment Criteria

**Probability Assessment:** Probability/likelihood that a risk will occur.

Level	Descriptor	Probability
1	Rare	Less than 2%
2	Unlikely	2-15%
3	Possible	15-50%
4	Likely	50-85%
5	Very likely	85-100%

**Consequence:** If any of the conditions occur or can occur then rank them accordingly.

Level	Stakeholder Confidence <i>(Internal)</i>	Reputation <i>(External)</i>	Capacity to Deliver	Finance
1 <i>Insignificant</i>	Easily addressed. Quickly forgotten.	Local media mention only. Quickly forgotten.	Minimal impact on non-core operations.	Internal budget not affected,
2 <i>Negligible</i>	Isolated issue. Low level of management required.	Short-term local media concern.	Some impact on organizational capability. Can be dealt with at a secretariat level.	Some impact on core activities.
3 <i>Moderate</i>	Recurring and/or serious challenge.	Persistent local/regional concern. Sector concern.	Impact on organization resulting in reduced performance. Survival of organizational is not threatened.	Reduction in core activities or project teams
4 <i>Extensive</i>	Widespread loss of support. Severe challenge.	Persistent public, political, and media concern. Long term 'brand' impact.	Breakdown of key activities.	Significant restriction of core activities. Reduction of staff and organizational capacity. Continued operation at risk.
5 <i>Catastrophic</i>	Irreparable loss of support.	Persistent, high disrepute. Brand image significantly affects organizational abilities.	Critical failure preventing core activities from being performed. Survival of organization threatened.	Insufficient funds to continue operations.

**Risk Rating:** Rank the probability and the consequence to determine the risk rating.

Probability	Consequence				
	5	4	3	2	1
5	High	High	High	Medium	Medium
4	High	High	High	Medium	Medium
3	High	High	Medium	Low	Low
2	High	Medium	Low	Low	Low

1	High	Medium	Low	Low	Low
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## Risk Management Plan ~ Clean Air Strategic Alliance, May 2014

### Introduction

Risk Management is the systematic process of identifying, analyzing, and responding to risks. It includes maximizing the probability and consequences of positive events and minimizing the probability and consequences of adverse events to project objectives. A risk management plan defines how risks will be managed.

In early 2014, CASA's Risk Management Committee developed a Risk Management Framework. This document provided a uniform process to identify, measure, respond to, and report on risks as part of measuring CASA's performance (the how-to manual). Further to that, the committee developed this Risk Management Plan, describing the scope of the risks to be managed, as well as the risk assessment, and strategies for managing risks.

### Risk Management Framework

Risk management is a continuous process based on an overall framework that consists of four stages, as shown in the following figure:



#### 1. Risk Identification – CASA's Key Risks

Risk identification is the process of determining which risks may affect the organization and documenting their characteristics. Identifying risks is an iterative process, as new risks may emerge from year to year. Risks should be identified, grouped into categories, and recorded on a risk register that will be maintained and updated over the long-term.

CASA's key risks, as identified by the Risk Management Committee in May 2014 can be found in Appendix A.

#### 2. Risk Assessment

Risk assessment is the process of prioritizing risks for further analysis or action. Every three years, the Strategic Planning Committee should assess CASA's risks and develop a risk rating for each risk, based on the pre-determined criteria. Developing a risk rating for each identified risk is a means of establishing priorities for planning responses and managing risks. It should also be considered that risks are interconnected and that impact from one risk may affect the assessment of other risks.

A probability and consequence matrix is used to establish a risk rating and prioritize risks according to their potential to affect CASA's goals and objectives. CASA's risk assessment matrix can be found in Appendix B.

Based on the risk rating and expert judgment, CASA's key risks were categorized as follows:

- **High priority risks:** This list includes those risks that pose the greatest threat for CASA. The Risk Management Plan includes risk responses for each of the high priority risks.
- **Low priority risks:** Risks that were not assessed as being immediately threatening were placed on a low-priority list for continued monitoring. This list should be reviewed annually by the CASA Executive Committee.

As per the Risk Management Committee's determination, CASA's high priority risks are as follows:

1. CASA's work does not meet stakeholder needs
2. Stakeholders do not recognize CASA's value as a forum for multi-stakeholder dialogue and process and CASA's success is judged only on its ability to reach consensus.
3. The Government of Alberta terminates its core funding and/or support for CASA.
4. Non-core funding is not available for project teams.
5. CASA's annual core funding is reduced.
6. Loss of experienced CASA leadership affects the continuity of on-going projects and knowledge transfer.
7. Loss of experienced secretariat staff affects the continuity of on-going projects and knowledge transfer.
8. Failure of IT systems and record management systems results in a permanent loss of information and decreased productivity.

### 3. Risk Management

Managing risks is the process of developing risk responses – the options and actions to reduce threats to CASA's goals and objectives. The Risk Management Committee has developed risk responses for each of CASA's high priority risks. Appendix C includes the risk register and risk response strategies.

As the Risk Management Committee developed the risk responses, it became evident that there were some recurring actions that would reduce a range of risks. The Risk Management Committee consider these actions to be foundational for successful risk management at CASA and advises that efforts be focused on implementing these key risks responses, as follows:

- Consider timing and requirements of both the Government of Alberta and industry partners' budget cycles and budget preparation processes when planning CASA's budget (i.e. timing of funding requests, etc.).
- Explore harmonizing CASA's fiscal year with the Government of Alberta's fiscal year (i.e. April 1 to March 31 vs. January 1 to December 31).
- Meet with Board Members annually to review their priorities and seek alignment with CASA's agenda.
- Consider the recommendations arising from the Government of Alberta's evaluation of Integrated Resource Management and the role of partners.

#### 4. Monitoring, Evaluation, and Reporting

Good risk management is part of a system of continuous improvement. For continuous improvement, feedback is essential. This means understanding the past, measuring what has happened, setting targets for improvement, and monitoring progress.

##### **Risk Management Plan Review**

- A discussion on risk management will become a standing item on the Executive Committee agenda, to be discussed regularly. The Executive Committee could bring issues to the attention of the Board as necessary.
- The Executive Committee will review the Risk Management Plan annually and prepare a report to the Board noting any perceived changes.
- As part of CASA's strategic planning process, the risk management plan will undergo a comprehensive review every 3 years, on the same cycle as the Strategic Plan.

## Appendix A: Key Risks faced by CASA, May 2014

Strategic Risks	Prob-ability	Conse-quence	Risk Rating
1. CASA's work does not meet stakeholder needs	3	4	High
2. Stakeholders do not recognize CASA's value as a forum for multi-stakeholder dialogue and process and CASA's success is judged only on its ability to reach consensus.	4	3	High
3. The Government of Alberta terminates its core funding and/or support for CASA.	2	5	High
4. Non-core funding is not available for project teams.	4	3	High
5. CASA's annual core funding is reduced.	3	3	Medium
6. The constituencies of CASA Directors and project team members lack an understanding of CASA process and projects.	3	3	Medium
7. CASA isn't adaptive or responsive to emerging air quality issues.	2	4	Medium
8. CASA isn't a timely and effective mechanism to achieve stated project team objectives.	3	3	Medium
9. Government, non-government organizations, and industry sectors that have a stake in air quality management in Alberta, but are not CASA members, are not aware of/do not support CASA.	3	1	Low
<i>Note:</i> Not supporting CASA may include not electing to send representatives to CASA's project teams.			
10. CASA's Board membership is not representative of the range of players interested in air quality in Alberta	2	3	Low
11. CASA doesn't deliver on strategic plan goals and objectives within the anticipated timelines.	3	2	Low
<i>Note:</i> It should be understood that changing circumstances could shift the focus of CASA's work to priorities not anticipated in the strategic plan (e.g. a natural disaster or emerging issue).			
In addition, it is acknowledged that not delivering on all the goals and objectives could be significant. However, this risk was evaluated			

in the context of CASA achieving at least some of the goals and objectives.

12. Stakeholders don't have the resources to participate in CASA.	2	3	Low
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*Note:* Resources could include representatives to participate on the Board/project teams, the ability to cover costs for travel and accommodation, etc.

Operational Risks	Prob- ability	Conse- quence	Risk Rating
13. Loss of experienced CASA leadership affects the continuity of on-going projects and knowledge transfer.	4	3	High
14. Loss of experienced secretariat staff affects the continuity of on-going projects and knowledge transfer.	3	3	Medium
15. Failure of IT systems and record management systems results in a permanent loss of information and decreased productivity.	2	4	Medium
16. In-kind support of physical office space and boardrooms is lost.	1	4	Medium
17. Human resource policies, business policies, and business continuity planning is inadequate.	2	2	Low
18. Legal infractions open CASA to lawsuits.	1	2	Low
19. Directors are held personally liable for malfeasance.	1	2	Low

## Appendix B: Risk Assessment Criteria

**Probability Assessment:** Probability/likelihood that a risk will occur.

Level	Descriptor	Probability
1	Rare	Less than 2%
2	Unlikely	2-15%
3	Possible	15-50%
4	Likely	50-85%
5	Very likely	85-100%

**Consequence:** If any of the conditions occur or can occur then rank them accordingly.

Level	Stakeholder Confidence <i>(Internal)</i>	Reputation <i>(External)</i>	Capacity to Deliver	Finance
1 <i>Insignificant</i>	Easily addressed. Quickly forgotten.	Local media mention only. Quickly forgotten.	Minimal impact on non-core operations.	Internal budget not affected,
2 <i>Negligible</i>	Isolated issue. Low level of management required.	Short-term local media concern.	Some impact on organizational capability. Can be dealt with at a secretariat level.	Some impact on core activities.
3 <i>Moderate</i>	Recurring and/or serious challenge.	Persistent local/regional concern. Sector concern.	Impact on organization resulting in reduced performance. Survival of organizational is not threatened.	Reduction in core activities or project teams
4 <i>Extensive</i>	Widespread loss of support. Severe challenge.	Persistent public, political, and media concern. Long term 'brand' impact.	Breakdown of key activities.	Significant restriction of core activities. Reduction of staff and organizational capacity. Continued operation at risk.
5 <i>Catastrophic</i>	Irreparable loss of support.	Persistent, high disrepute. Brand image significantly affects organizational abilities.	Critical failure preventing core activities from being performed. Survival of organization threatened.	Insufficient funds to continue operations.

**Risk Rating:** Rank the probability and the consequence to determine the risk rating.

Probability	Consequence				
	5	4	3	2	1
5	High	High	High	Medium	Medium
4	High	High	High	Medium	Medium
3	High	High	Medium	Low	Low
2	High	Medium	Low	Low	Low



1	High	Medium	Low	Low	Low
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Appendix C: Risk Register, May 2014

- 1. CASA’s work does not meet stakeholder needs.....8
- 2. Stakeholders do not recognize CASA’s value as a forum for multi-stakeholder dialogue/process and success is judged only on the ability to reach consensus. ....9
- 3. The Government of Alberta terminates its core funding and/or support for CASA. .... 10
- 4. Non-core funding is not available for project teams..... 11
- 5. CASA’s annual core funding is reduced. .... 12
- 6. Loss of experienced secretariat staff affects the continuity of on-going projects and knowledge transfer..... 13
- 7. Loss of experienced CASA leadership affects the continuity of on-going projects and knowledge transfer..... 14
- 8. Failure of IT systems and record management systems results in a permanent loss of information and decreased productivity. .... 15

Category					
External Risk					
Risk					
1. CASA’s work does not meet stakeholder needs					
Linkages to Strategic Plan goals and objectives					
Probability	3	Consequence	4	Risk Rating (H, M, L)	H
Risk Response (actions required)					Responsibility
1. The strategic plan is evergreen and is renewed every 3 years.					Executive Director
2. Meet with Board Members annually to review their priorities and seek alignment with CASA’s agenda.					Executive Director
3. Review the annual results of Performance Measures & Indicators and discuss implications for CASA priorities. (This includes the Stakeholder Satisfaction Survey, every 3 years.)					Executive Committee & Board Members
4. Initiate the Performance Evaluation with all 3 caucuses, every 3 years.					Executive Committee
5. Consider the recommendations arising from the Government of Alberta’s evaluation of Integrated Resource Management and the role of partners.					Executive Director to liaise with CASA President
6. Ensure that CASA’s priorities align with the implementation of the Alberta Environment and Sustainable Resource Development “Renewed Clean Air Strategy” and “Action Plan”.					Executive Committee & Board Members

<b>Category</b>					
External Risk					
<b>Risk</b>					
2. Stakeholders do not recognize CASA’s value as a forum for multi-stakeholder dialogue/process and success is judged only on the ability to reach consensus.					
<b>Linkages to Strategic Plan goals and objectives</b>					
<b>Probability</b>	4	<b>Consequence</b>	3	<b>Risk Rating (H, M, L)</b>	H
<b>Risk Response (actions required)</b>					
1. Ensure that Project Charters include an explicit description of about the decision-making model to be used by the project team, including which decisions will require consensus of the parties.					Working Group
2. Meet with Board Members annually to review their priorities and seek alignment with CASA’s agenda.					Executive Director
3. Consider shifting the CASA brand to focus on the broader collaborative toolkit, with less focus on the consensus model.					Communications Committee
4. Develop a best practices guide for managing and documenting non-consensus outcomes – a companion piece to the Guide to Managing Collaborative Processes.					Executive Director Secretariat

<b>Category</b>					
External Risk					
<b>Risk</b>					
3. The Government of Alberta terminates its core funding and/or support for CASA.					
<b>Linkages to Strategic Plan goals and objectives</b>					
<b>Probability</b>	2	<b>Consequence</b>	5	<b>Risk Rating (H, M, L)</b>	H
<b>Risk Response (actions required)</b>					
1. Consider timing and requirements of both the Government of Alberta and industry partners’ budget cycles and budget preparation processes when planning CASA’s budget (i.e. timing of funding requests, etc.).					Executive Director
2. Explore harmonizing CASA’s fiscal year with the Government of Alberta’s fiscal year (i.e. April 1 to March 31 vs. January 1 to December 31).					Executive Director
3. Consider the recommendations arising from the Government of Alberta’s evaluation of Integrated Resource Management and the role of partners.					Executive Director to liaise with CASA President
4. Liaise with the Government of Alberta to gain a better understanding of the Results Based Budgeting initiative and consider aligning CASA’s work with these expectations (i.e. Linking CASA’s work more directly to budgetary provisions).					Executive Director to liaise with CASA President
5. Ensure that funding is discussed quarterly with the Board of Directors.					Executive Director
6. Review the CASA Wind Down Fund and adjust annually to ensure it is sufficient.					Executive Committee

<b>Category</b>					
External Risk					
<b>Risk</b>					
4. Non-core funding is not available for project teams.					
<b>Linkages to Strategic Plan goals and objectives</b>					
<b>Probability</b>	4	<b>Consequence</b>	3	<b>Risk Rating (H, M, L)</b>	H
<b>Risk Response (actions required)</b>					
1. Meet with Board Members annually to review their priorities and seek alignment with CASA’s agenda.					Executive Director
2. Consider timing and requirements of both the Government of Alberta and industry partners’ budget cycles and budget preparation processes when planning CASA’s budget (i.e. timing of funding requests, etc.).					Executive Director
3. Ensure that project charters include specific budget projections and that Board approval of the Project Charter includes a discussion of the budget.					Working Group Executive Committee
4. Explore alternatives for providing sustainable, predictable funding for CASA project teams.					Industry Caucus Government Caucus

<b>Category</b>					
External Risk					
<b>Risk</b>					
5. CASA’s annual core funding is reduced.					
<b>Linkages to Strategic Plan goals and objectives</b>					
<b>Probability</b>	3	<b>Consequence</b>	3	<b>Risk Rating (H, M, L)</b>	M
<b>Risk Response (actions required)</b>					
1. Develop CASA budget scenarios that reflect strategic priorities, while exploring efficiencies and anticipating contingencies.				Executive Director	
2. Explore alternate sustainable funding models that would increase revenue from sources other than the Government of Alberta.				Executive Director	
3. Explore possibilities for the secretariat to work more efficiently.				Executive Director, Secretariat staff	
4. Link specific CASA initiatives more directly to budget provisions.				Executive Director	
5. Consider timing and requirements of both the Government of Alberta and industry partners’ budget cycles and budget preparation processes when planning CASA’s budget (i.e. timing of funding requests, etc.).				Executive Director	
6. Explore harmonizing CASA’s fiscal year with the Government of Alberta’s fiscal year (i.e. April 1 to March 31 vs. January 1 to December 31).				Executive Director	

<b>Category</b>					
External Risk					
<b>Risk</b>					
6. Loss of experienced secretariat staff affects the continuity of on-going projects and knowledge transfer.					
<b>Linkages to Strategic Plan goals and objectives</b>					
<b>Probability</b>	3	<b>Consequence</b>	3	<b>Risk Rating (H, M, L)</b>	M
<b>Risk Response (actions required)</b>					
1. Ensure strategies are in place to increase staff retention and maintain a positive and inviting CASA secretariat culture.					
2. Consider timing and requirements of both the Government of Alberta and industry partners’ budget cycles and budget preparation processes when planning CASA’s budget (i.e. timing of funding requests, etc.).					Executive Director
3. Facilitate secondments from government or industry on an as-needed basis, as appropriate.					Executive Director
4. Maintain a database of appropriate and reputable consultants for hire on an as-needed basis.					Executive Director
5. Encourage and facilitate cross-training of existing members of the secretariat.					Executive Director
6. Plan for succession in the secretariat.					Executive Director

<b>Category</b>					
External Risk					
<b>Risk</b>					
7. Loss of experienced CASA leadership affects the continuity of on-going projects and knowledge transfer.					
<b>Linkages to Strategic Plan goals and objectives</b>					
<b>Probability</b>	4	<b>Consequence</b>	3	<b>Risk Rating (H, M, L)</b>	H
<b>Risk Response (actions required)</b>					
1. Ensure that the annual meeting with Board Members includes a discussion on about the need for continuity within each of the caucuses.					Executive Director Board Members
2. Provide training sessions in collaborative processes for new Board and project team members.					Secretariat
3. Ensure that records management is thorough and enduring.					Secretariat



<b>Category</b>					
External Risk					
<b>Risk</b>					
8. Failure of IT systems and record management systems results in a permanent loss of information and decreased productivity.					
<b>Linkages to Strategic Plan goals and objectives</b>					
<b>Probability</b>	3	<b>Consequence</b>	4	<b>Risk Rating (H, M, L)</b>	H
<b>Risk Response (actions required)</b>					
1. Ensure that the current back-up procedures for electronic files are sufficient.				Executive Director	
2. Audit CASA’s IT and records management system periodically.				Executive Director	

## **INFORMATION SHEET**

**ITEM:**                    **6.1     Communications Update**

**BACKGROUND:**     The CASA Communications Committee and the Secretariat have devoted much of the previous calendar year and early 2014 to several activities designed specifically to raise CASA's visibility, refresh its brand, and perhaps most importantly, celebrate the contribution of CASA's stakeholders at a 20<sup>th</sup> Anniversary celebration. These activities have culminated in several outcomes that are consistent with CASA's strategic communication goals:

- A "reskinned" and updated CASA website that will ensure all project work and related documents are current and are displayed using a common format.
- A 20<sup>th</sup> anniversary celebration, featuring a Speakers Series of thought leaders and an evening reunion/gala for CASA stakeholders.
- A legacy book for anniversary registrants that includes air-related original poster art, a list of CASA's accomplishments over 20 years and an accompanying list of all organizations that have participated in CASA projects.
- A submission to the Emerald Awards for CASA's "body of work" over the past 20 years

**STATUS:**

1. The new website will be operational on or before June 6<sup>th</sup>. Webpages for some older projects may not yet be current but work will continue through to completion this summer.
2. Sponsorship funding for anniversary events has now exceeded \$75,000.00 from CASA members. Registration for the Speakers Series was last tallied at approx. 140, while the evening reunion was at approx.120. These numbers are likely to increase in the final weeks before June 6<sup>th</sup>. The response from both current and past CASA members has been notable.
3. CASA has been selected as one of 5 finalists in the Non-profit category, drawn from 24 submissions. Award winners will be announced the evening of June 5<sup>th</sup>.

**ATTACHMENTS:**

- A.     New CASA website design – Home Page & Inside Pages
- B.     Speakers Series Agenda
- C.     Biographies of Speakers
- D.     Emerald Awards Application





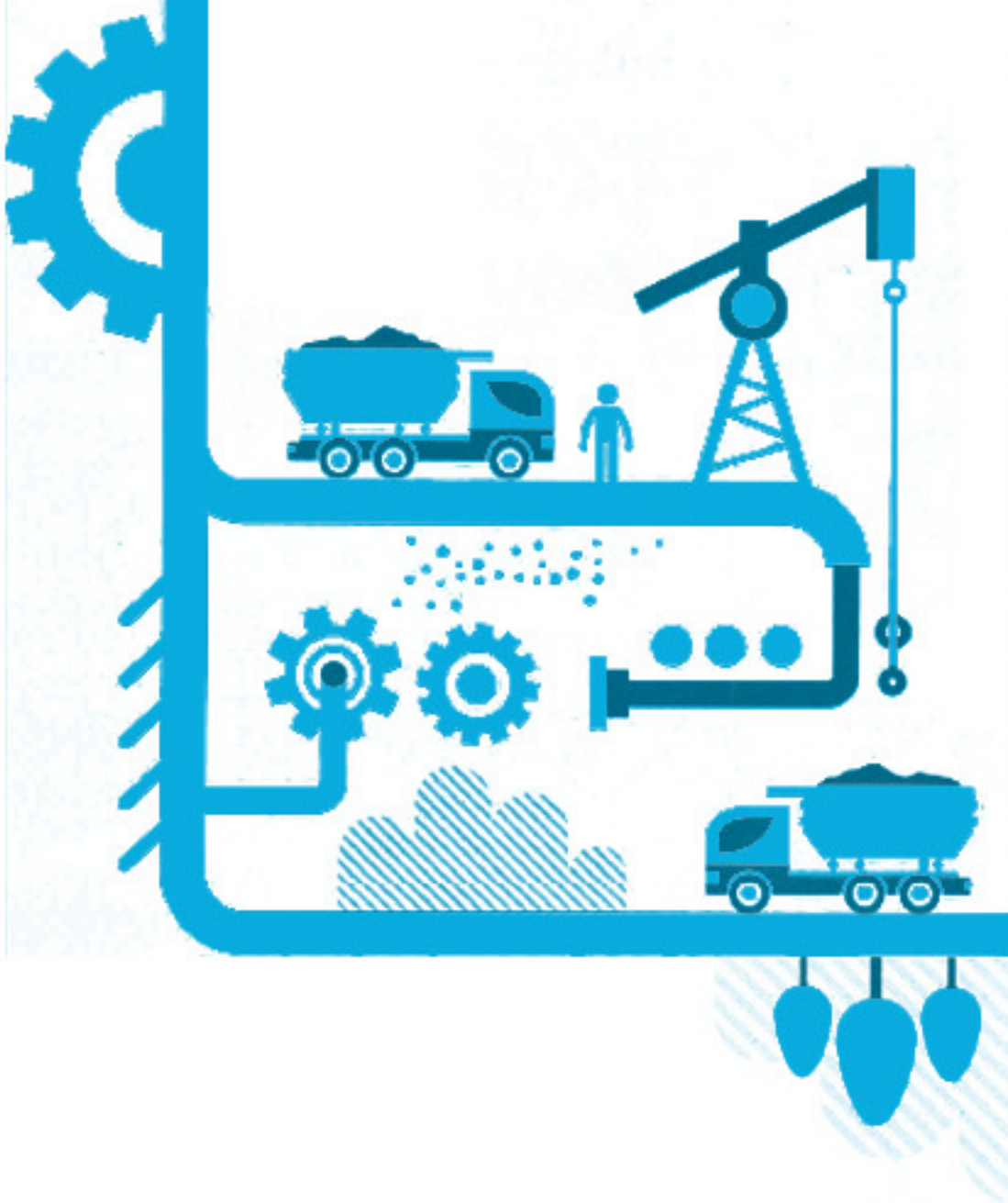
ABOUT  
CASA

CONSENSUS  
PROCESS

PARTNERS  
& LINKS

PROJECTS  
& AWARDS

CURRENT  
INITIATIVES



## CLEAN AIR STRATEGIC ALLIANCE

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READ MORE →



### ABOUT CASA

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### CONSENSUS PROCESS

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### CURRENT INITIATIVES

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## COMMUNICATIONS COMMITTEE

This multi-stakeholder committee provides direction and advice for the organization. It develops communications policy and sets strategic direction for CASA communications.

### MAJOR TASKS INCLUDE:

- developing the annual strategic communications plan, and
- administering Performance Measure 5 (Degree of recognition of CASA as a major vehicle for delivering improved air quality management for Alberta).

This long-term board committee includes both active and corresponding members.

Learn more about the Communications Committee through its [Terms of Reference](#) and [Communications Plan](#).

## ABOUT CASA

CC_Mtg42Minutes_06AUG2009	<a href="#">Click to Download</a>
CC_Mtg43Minutes_13OCT2009	<a href="#">Click to Download</a>
CC_Mtg44Minutes_20NOV2009	<a href="#">Click to Download</a>
CC_Mtg45Minutes_27JAN2010	<a href="#">Click to Download</a>
CC_Mtg46Minutes_16FEB2010	<a href="#">Click to Download</a>
CC_Mtg47Minutes_24FEB2010	<a href="#">Click to Download</a>
CCmtg41FINALminutes-28JAN2009	<a href="#">Click to Download</a>
CCmtg48FinalTminutes-7APR2010	<a href="#">Click to Download</a>
CCmtg49Finalminutes-29APR2010	<a href="#">Click to Download</a>
CCmtg50Finalminutes-3JUN2010	<a href="#">Click to Download</a>

1 2

## DOCUMENTS

2012 Strategic Communications Plan	<a href="#">Click to Download</a>
CASA_Communications_Plan_2004	<a href="#">Click to Download</a>
CASA_Communications_Plan_2005-2006	<a href="#">Click to Download</a>
CASA_Communications_Plan_2006	<a href="#">Click to Download</a>
CC-RecognitionresultsFINAL17mar2005	<a href="#">Click to Download</a>
Strategic_Communications_Plan_2007	<a href="#">Click to Download</a>
Strategic_Communications_Plan-2008	<a href="#">Click to Download</a>

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THE CLEAN AIR STRATEGIC ALLIANCE  
20 years of Collaboration  
Speakers Series Agenda

7:30 Reception and Breakfast

8:30 *Welcome and Introductions*

**Robyn Jacobsen** Master of Ceremonies

**Norm MacLeod** Executive Director / CASA

**Bill Werry** Deputy Minister, Alberta Environment and Sustainable Resource Development and CASA President

9:00 *On Creative Collaboration*

The **Calgary Philharmonic Orchestra** is a metaphor for a dynamic organization and collaborative processes. Whether it is through inspiring a shared vision, modeling leadership, solving problems creatively, or enabling others to act, the interface of musicians with the conductor reflects the need for an organization and its leaders to work together. Our audience will work with **Adam Johnson** the CPO's resident conductor and musicians to perform a musical work – the "CASA Concerto"!

9:45 *On Culture and Collaboration*

**Dallas Smith** is President and Founder of the Nanwakolas Council and Executive Chairman and was the Lead Negotiator of First Nations of the North Island and Central Coast during the development of the Central Coast Land Use Plan. He serves as a member of the Minister's Council for Employment for People with Disabilities and a member of the BC Premier's Advisory Committee on the Environment. Dallas will provide an experiential perspective on the evolution of multi-stakeholder negotiations, from the perspective of a leader of 9 coastal First Nations.

10:30 Networking Break

11:00 *Daring to Disagree – a TED talk*

Most people instinctively avoid conflict, but as **Margaret Heffernan** shows us, good disagreement is central to progress. She illustrates (sometimes counterintuitively) how the best partners aren't echo chambers — and how great research teams, relationships and businesses allow people to deeply disagree.

11:15 ***On Conflict and Collaboration***

From the 1997 Manitoba floods through a 2010 cyber-attack on NATO Headquarters, **Doug Dempster** will describe the path toward building a collaborative response in the face of highly-charged and fast-moving events. Doug is the Executive Director of the Centre for Executive Leadership at the University of Ottawa. Doug was previously the NATO Assistant Secretary General for Executive Management, a Deputy Commander of Canada's army and chief strategy officer of the Defence Department in the four years following the 9/11 attacks.

12:00 Lunch

1:00 ***The Political Landscape – A Keynote Address***

Described by the Wall St Journal and the New York Times as one of his generation's leading political commentators and most influential analysts, **David Frum** has transitioned from being Special Assistant to George W Bush, to finding himself a frequent and vocal critic of those who seek to steer conservatism away from the middle class. A frequent contributor to Newsweek, the Daily Beast and CNN, he is equally well-informed about the political landscape in Canada and he is uniquely positioned to offer his insights to those of us with an interest in developing public policy.

2:00 ***Multi-stakeholder Collaboration***

Described by the National Post as one of Canada's top twenty natural resource lawyers, **Daniel Johnston** is considered by many to be the Dean of environmental mediation. With his help, parties have developed the Great Bear Rainforest Agreement, the Canadian Boreal Forest Agreement and many other multiparty agreements in Canada and abroad. Dan will moderate a panel discussion of well-known advocates from the front-line of Canada's environmental arena. The panel will share what it means to be an effective player in highly visible multi-stakeholder processes. Panelists include:

- |                        |   |
|------------------------|---|
| <b>Linda Coady</b>     | Chief Sustainability Officer, Enbridge  |
| <b>Tzeporah Berman</b> | Campaign strategist and former Co-director of Greenpeace's Climate and Energy Program |
| <b>Steve Carr</b>      | Deputy Minister of LNG Development, BC  |
| <b>Janet Sumner</b>    | Executive Director of the Canadian Parks and Wilderness Society, Wildlands League     |

**Mark Hubert**

Vice President of Environmental Leadership, Forest  
Products Association of Canada

3:45

*- ADJOURN -*

## Speakers Biographies

### **The Calgary Philharmonic Orchestra**

A cornerstone of Calgary's multi-faceted arts community since 1955, the CPO is one of North America's finest and most versatile live music ensembles. A repertoire that is extensive and broad in scope consistently attracts acclaimed guest artists and conductors. From classical giants to rock and roll hits and family favourites, the CPO offers an average of 80 concerts per season designed to fit all musical tastes.

The CPO was created in the 1955 merger of the Alberta Philharmonic and the Calgary Symphony. Performing in Calgary's Grand Theatre to a small but enthusiastic audience at first, the CPO gained wider attention in 1957 with the completion of its first home, the Jubilee Auditorium. As the audience grew and public acclaim heightened, in 1985 the CPO moved to its permanent home in the EPCOR CENTRE for the Performing Arts' Jack Singer Concert Hall.

### **Adam Johnson**

In the 2013/2014 Season, Adam Johnson steps up to the podium for his first season as the CPO's Resident Conductor. Originally from Hinton, Alberta, Mr. Johnson holds a Doctorate in Piano Performance from the Université de Montréal and a Prize in Orchestral Conducting from the Conservatoire de Musique de Montréal.

A recipient of grants from the Alberta Foundation for the Arts, the Alberta Arts Graduate Scholarships, the Fonds de la Fondation les Amis de l'Art and the Bourses d'excellence from the Université de Montréal, he has also studied conducting at the National Arts Centre in Ottawa and the Pierre Monteux School in Maine. He was assistant conductor of l'Orchestre Philharmonique des Musiciens étudiants de Montréal (OPMEM) for the 2012-2013 season.

As a pianist he has participated in masterclasses at the Banff Centre for the Arts, the Orford Arts Centre, and the Morningside Music Bridge in Calgary. He has performed across Canada, as well as in France and Japan. Highly in demand as a pedagogue, he joined the faculty of the McGill Conservatory in 2010, and the Université de Québec à Montréal faculty in 2013, as well as teaching a large studio of private students. He has also taught harmony, analysis, and chamber music, and translated a major treatise on harmonic analysis from French to English.

### **Dallas Smith**

As the son of a hereditary Chief Dallas grew up knowing he would be a leader. He has worked for his people since 1995 after recovering from a life changing motorcycle accident in which he became an amputee. He most enjoys spending time with his family and practicing his culture, as they are drivers for both his professional work and his volunteer work for the disabled community. He is the Founder, President and CEO of Nanwakolas Council which is a cutting edge First Nations organization that protects and manages First Nation cultural values while building strategic opportunities and partnerships with both Government and Industry to increase



sustainable opportunities and employment for the region. His pragmatic and straight forward approach has made him a welcome addition to several Boards and Committees ranging from the Island Coastal Economic Trust, Coast Sustainability Trust and the Coast Opportunity Fund (totaling \$200 million) to Government advisory committees like the Premiers Council on the Environment and the Ministers Council on Employment for Peoples with Disabilities. He also serves as the Vice President of the BC Amputee Golf Association, and works with both the Wounded Warriors program and First Swing clinics with military veterans who have returned from war as amputees. He is a member of the World Disabled Golf Team and has competed and won golf tournaments all over the world.

Nanwakolas in Kwakwaka'wakw means “a place we go to find agreement”. The Nanwakolas Council is comprised of seven First Nations whose traditional territories are located on Northern Vancouver Island and adjacent South Central Coast areas of British Columbia. The Council is the vehicle through which the member First Nations pursue land and marine resource planning and management and resource-based economic development activities.

### **Margaret Heffernan / TED Talk**

An entrepreneur, Chief Executive and author, she was born in Texas, raised in Holland and educated at Cambridge University. She worked in BBC Radio for five years where she wrote, directed, produced and commissioned dozens of documentaries and dramas. As a television producer, she made documentary films for Timewatch, Arena, and Newsnight. She was one of the producers of *Out of the Doll's House*, the prize-winning documentary series about the history of women in the twentieth century. She designed and produced a thirteen part series on *The French Revolution* for the BBC and A&E. She also produced music videos with Virgin Records and the London Chamber Orchestra to raise attention and funds for Unicef's Lebanese Fund.

She served as Chief Executive Officer for InfoMation Corporation, ZineZone Corporation and iCAST Corporation. She was named one of the Internet's Top 100 by Silicon Alley Reporter in 1999, one of the Top 25 by Streaming Media magazine and one of the Top 100 Media Executives by The Hollywood Reporter. Her "Tear Down the Wall" campaign against AOL won the 2001 Silver SABRE award for public relations.

Her third book, *Wilful Blindness*, was a finalist for the Financial Times/Goldman Sachs Best Business Book award. Her most recent book *A Bigger Prize* will be published in spring 2014.

### **Doug Dempster**

Executive Director of the Centre for Executive Leadership at the University of Ottawa, Doug is responsible for the Telfer Executive MBA and non-degree Executive Programs, as well as for an emerging practice in thought leadership. He was recently the NATO Assistant Secretary General for Executive Management in Brussels, where he led a turnaround to reposition this international organization for agility, relevance and a changing global environment. Prior to that, as a Major-General in the Canadian Forces, he served as Deputy Commander of Canada's army and then as chief strategy officer of the Defence department in the four years following the 9/11 attacks. He brings extensive general management experience, with a passion for strategic

leadership, cross-cultural relations, sound decision-making and building high performance organizations.

## **David Frum**

David Frum was born in Toronto in 1960. He received simultaneous B.A. and M.A. degrees in history from Yale in 1982 and was appointed a visiting lecturer in history at Yale in 1986. In 1987, he graduated *cum laude* from the Harvard Law School, where he served as president of the Federalist Society.

Frum's first book, *Dead Right* (1994), was described by William F. Buckley as "the most refreshing ideological experience in a generation," and by Frank Rich of the *New York Times* as "the smartest book written from the inside about the American conservative movement." In 1996, *The Wall Street Journal* acclaimed him as "one of the leading political commentators of his generation." His memoir of the Bush administration, *The Right Man*, was a *New York Times* bestseller. *The Daily Telegraph's* 2007 and 2009 surveys named Frum as one of America's 50 most influential conservatives.

In 2001-2002, David Frum served as a special assistant to President George W. Bush and in 2007-2008, he served as senior foreign policy adviser to the Rudy Giuliani presidential campaign.

He is the editor of [FrumForum.com](http://FrumForum.com) and a contributor to CNN and the National Post.

## **Daniel Johnston**

Dan is a lawyer and Counsel to Gowling Lafleur Henderson, LLP, Barristers and Solicitors. As a conflict resolution specialist, Dan is routinely retained in an independent capacity to undertake conflict assessments, to design multi-stakeholder negotiations, to lead strategic planning sessions, and to serve as the neutral chairperson of multi-sectoral advisory committees. Referred to by the National Post in 2006 as one of Canada's top twenty natural resource lawyers, Dan has led over 75 major multi-stakeholder negotiations involving large numbers of participants representing a wide variety of interests.

Examples of Mr. Johnston's mediation work that have received significant attention both in Canada and abroad include successful completion in the mid 90's of a multi-stakeholder national mining strategy in Canada known as the Whitehorse Mining Initiative; the successful resolution of the over decade-long conflict in relation to the Great Bear Rainforest of coastal British Columbia; the successful completion of the Canadian Roundtable on Corporate Social Responsibility and Canadian Extractive Industries Operating in Developing Countries; and the Canadian Boreal Forest Agreement announced in May 2010. Mr. Johnston has also served as the chair of BC Hydro's Electricity Conservation and Efficiency Stakeholder Advisory Committee since 2006. Most recently, Mr. Johnston has been increasingly involved in conflict assessment work associated with the conflict surrounding the development of Alberta's oil sands resources.

## **Linda Coady**

Linda Coady is Chief Sustainability Officer (CSO) for Calgary-based Enbridge Inc., a North American leader in energy transportation, distribution and generation. The company owns and operates Canada's largest gas distribution system and the world's longest crude oil and liquids pipeline. Enbridge also has a growing position in power transmission, clean energy technologies and generation of renewable energy, including solar, wind and geothermal. Ms. Coady's position is new enterprise-wide role with responsibility for oversight on social and environmental performance issues.

Prior to joining Enbridge in 2013, Ms. Coady was Vice-President of Sustainability for the Vancouver Organizing Committee for the 2010 Winter Olympic and Paralympic Games. She is a former Vice-President, Pacific Region, for World Wildlife Fund Canada (WWF-Canada) and a former Vice-President, Environment, for BC forest companies MacMillan Bloedel and Weyerhaeuser. Linda's work has been recognized with awards from Canadian Business for Social Responsibility, the Ecological Society of America and the Globe Foundation for Business and Environment. From 2010 -2012 she was a Distinguished Fellow at the Liu Institute for Global Issues at UBC and taught Corporate Social Responsibility (CSR) in the MBA Program at the Sauder School of Business.

Enbridge is included in the Global 100 Most Sustainable Corporations in the World ranking, the Dow Jones Sustainability Index and the CDP Global 500 Carbon Disclosure ranking.

## **Mark Hubert**

Vice-President of Environmental Leadership for the Forest Products Association of Canada (FPAC). He has been involved in the forest sector in Canada for over 20 years, working in both the public and private sectors. As the Vice-President of Environmental Leadership, he is focused on the strategic positioning of the forest sector in the context of market, political and regulatory challenges and opportunities that exist at the intersection of environmental, economic and social matters. He is the lead for industry in its engagement in the historic Canadian Boreal Forest Agreement, and was the first co-Executive Director of the Agreement itself following its signing in 2010. He is the former Director of Sustainable Forest Management for FPAC and prior to joining industry was an advisor with the British Columbia Ministry of Forests Economics and Trade division, International Relations Unit. Mark has an operational forestry background in fire management, has worked for various forest companies in Canada, assisted governments in countries around the world and holds a degree in International Relations from the University of British Columbia.

## **Tzeporah Berman**

Tzeporah Berman has been designing and winning environmental campaigns in Canada and abroad for 20 years. She currently works as a strategic advisor for dozens of environmental organizations, First Nations and philanthropic organizations. She is the former co-director of Greenpeace International's Global Climate and Energy Program, Executive Director and Co-

founder of PowerUp Canada and Co-founder and Campaign Director of ForestEthics.

Tzeporah was appointed by the Premier of British Columbia to the Green Energy Task Force in 2009 to design recommendations for the development of renewable energy; was one of the experts in Leonardo Di Caprio's environmental documentary *11th Hour*; and was one of six Canadian nominees for the Schwab Social Entrepreneur of the Year Award. She was one of 50 visionaries profiled as changing the world in the *Utne Reader* and was honoured by inclusion in the BC Royal Museum permanent exhibit of 150 people who have changed the face of British Columbia. In 203 *Corporate Knights* named Tzeporah one of the Top Women in Sustainability (Canada) and she was nominated for Climate Woman of the Year by Responding to Climate Change.

Tzeporah coordinated one of the largest civil disobedience actions in Canada's history, the logging blockades in Clayoquot Sound, during which she was arrested and charged with 857 counts of criminal aiding and abetting. Tzeporah was one of the creators and lead negotiators of the Great Bear Rainforest campaign as well as the Canadian Boreal Forest Agreement. Her work has contributed to the protection of over 40 million hectares of old growth forests. More recently Tzeporah helped to design Greenpeace International's Arctic campaign, the Volkswagen campaign in Europe and the Clean Our Cloud campaign that led to Apple and Facebook becoming international leaders in using renewable energy for their data centers. Last year Tzeporah was awarded an Honorary Doctorate from the University of British Columbia. Her first book, ***This Crazy Time: Living Our Environmental Challenge*** was published by Knopf Canada. [www.tzeporahberman.com](http://www.tzeporahberman.com).

## **Steve Carr**

In June 2013, Steve Carr was appointed as Deputy Minister of the Ministry of Natural Gas Development as well as the Chair of the Board of the Oil and Gas Commission.

Prior to this assignment, Steve had 27 years of public sector experience working with a variety of Ministries including: Ministry of Forests; Ministry of Sustainable Resource Management; Land and Water BC; Ministry of Environment; Integrated Land Management Bureau; Ministry of Natural Resource Operations; and most recently for the Ministry of Energy, Mines and Natural Gas as Deputy Minister.

After receiving a diploma in Forest Management from the British Columbia Institute of Technology, Steve went on to receive a degree in Economics from the University of Victoria and a Master of Science degree in Resource Management from the University of Edinburgh.

Steve has had extensive experience with collaborative stakeholder processes throughout his public sector career, most notably with a number of Land and Resource Management Plans (LRMP's) developed in British Columbia and with the land use decision regarding the Great Bear Rainforest.

## Janet Sumner

Janet has 25 years' experience as an environmentalist. She began her career with Pollution Probe in 1989 and has been the Executive Director of the Canadian Parks and Wilderness Society, Wildlands League since 2003.

She has led the CPAWS team in the establishment of: the *Provincial Protected Areas and Conservation Reserves Act (2007)*; *Mining Act (2009)*; *Far North Act (2010)*; and *Endangered Species Act (2007)*

Janet is an accomplished negotiator, strategist and communicator, with considerable policy reform experience. Her successful engagement of the oil & gas industry, mining companies and forestry giants is supported by her belief that business solutions that are first and foremost ecologically viable and that meet the bottom line are at the heart of our sustainable future.

Before working for CPAWS Wildlands League, Janet was the Communications Director for the Pembina Institute. While at Pembina she led several social change projects on climate change, including the oneslesstone.ca challenge and climatechangesolutions.org.

Janet's work experience has touched on many environmental issues, from pesticide use and climate change to waste reduction and pollution in the Great Lakes. The last ten years have been dedicated to forestry and mining.

In her boreal focused work is the intersection of her two great passions; the carbon cycle and traditional wilderness conservation. She believes that solutions to climate change must include preserving the world's most vast terrestrial carbon stores of the Boreal ecosystem. Further, she sees maintaining Canada's Boreal ecosystems as a buffer to the impacts of climate change.

Janet currently is lead for the Canadian Parks and Wilderness Society (CPAWS) to the Canadian Boreal Forest Agreement (CBFA). She is a steering committee member for CBFA and a member of the regional working groups in AB/BC, ON, and advisor to the QC, MB & SK regional working group.

Her work was profiled in [War for the Woods](#), in the Jan/Feb issue of Canadian Geographic.

## The Nomination

### Summary:

In June of 2014 the Clean Air Strategic Alliance (CASA) will celebrate 20 years as a non-profit organization committed to sustaining air quality in Alberta. CASA is an advisory group, created under ministerial order and charged with bringing together industries, non-government organizations and all levels of government to develop policy advice using a consensus-based approach. CASA projects have engaged over 900 stakeholders in multi-stakeholder negotiations spanning a quarter of a million hours. Taken together, CASA's policy advice and regulatory frameworks have had a lasting influence on the management of air quality in Alberta. Over 80% of CASA's recommendations have been implemented by governments, addressing issues such as: flaring and venting in the oil and gas industry, particulate matter and ozone, emissions from electricity production, vehicle emissions and confined feeding operations. CASA members have also helped many other multi-stakeholder groups develop their own consensus-building skills.

### Environmental Benefits and Outcomes:

CASA Project Teams have developed many frameworks and policy recommendations that have been demonstrated to improve air quality outcomes in Alberta. CASA regularly assesses air quality outcomes as part of its performance measurement strategy, modelled on best practices from the Auditor General of Canada. Notable examples of improved air quality outcomes have included: a 70% reduction in flaring and venting since the development of the CASA Framework in 2003 through 2010; a PM and Ozone Framework that triggers the development of remedial action plans as and where required and an Electricity Framework that provides for continuous improvement in the emissions of power producers. While all such frameworks have a shelf-life, it is a testament to the original design of these frameworks that they have significantly shaped regulation in Alberta and are only now being revisited, many years after they were developed. Many team members have continued to participate in these projects through several iterations over 10 or more years (through implementation and framework reviews). These CASA frameworks have had a remarkable influence on the regulatory architecture in Alberta. There are few, if any, jurisdictions that have consistently empowered stakeholders to develop such regulatory frameworks, and even fewer instances where the outcomes have been successfully implemented over such a long horizon.

### Commitment:

The requirements of participation in CASA projects regularly test the commitment of CASA stakeholders. Apart from the extraordinary commitment of hours (please see response to #4 Sharing), each new project proposal requires CASA stakeholder organizations to consider their willingness to fund associated studies, financially support their members, evaluate CASA participation against other priorities, consider the likelihood that the policy being discussed will affect their members, and finally, consider the likelihood that government(s) will implement final recommendations. These considerations weigh heavily on our members in an environment of ever more scarce stakeholder "sweat equity". Each CASA project typically lasts 2 years or more and many run concurrently with other CASA projects. It's also true that each of our members are regularly asked to participate on project teams whose recommendations will have a limited effect on their lives, but that dramatically affect the lives of their fellow members. They do this knowing that CASA members will reciprocate on issues important to them. This shared sense of

purpose is unusual and an important measure of their commitment to collaboration and the environment. Our stakeholders participate in these complex negotiations because they know the impact their work has had on our air quality. They know that their work has typically shaped the air-related policies and regulatory frameworks that affect Albertans on a daily basis and govern the way we work, live and play.

**Sharing:**

CASA projects have engaged over 900 stakeholders in the development of detailed policy recommendations to government. These participants have been involved in multi-stakeholder negotiations spanning over a quarter of a million hours, each participant contributing an average of 280 hours. CASA's board of directors is drawn from 22 member organizations divided into three caucuses; government, industry and NGOs. At the project level, CASA has unfailingly taken an inclusive approach, involving literally any interested stakeholder in the development of policy advice about air quality. In 2013, CASA drew on the financial and in-kind support of 71 organizations across all industries, levels of government, selected First Nations and Metis communities and NGOs. A single Alberta citizen can suggest that CASA address a particular air quality issue, and once board support is secured, all 22 member organizations participate in addressing that issue. Once air quality recommendations are complete, all of our member organizations support the implementation of outcomes. CASA's approach is simple, accessible, transparent, democratic and successful. The investment we make in engaging all parties results in durable agreements, most of which remain in place years after their conclusion. The value of these outcomes is regularly demonstrated by their adoption in other jurisdictions and by other levels of government. During the design, execution and implementation of CASA projects, we systematically promote a broader public understanding of air quality policy issues, communicating why they matter to the public and how they can get involved.

**Innovation:**

At the outset of each CASA project, participants are provided with targeted training in both interest-based negotiation and CASA's collaborative process. We create teams that are encouraged to set aside biases and assumptions, and to focus on developing innovative solutions that are subsequently reflected in "SMART" recommendations. Many of our participants feel that CASA's approach to building consensus and engaging in an informed dialogue on contentious issues is itself a new way of doing business. That aside, our approach typically results in solutions that require a distributed approach to implementation. That is, each party owns part of the issue and part of the solution. Often CASA's policy recommendations are viewed as innovative, not because of any particular technological advance, but more often because of the development and sharing of the best available information, coupled with a realization that the most "innovative" remedies are built on the collected strengths of our members. CASA's reports are frequently used as templates by other multi-stakeholder groups working on non-air related issues because we build policy frameworks that put existing tools together in new ways that can be replicated and applied in an evolving environmental landscape. Finally, the CASA board evaluates each of our projects in the context of its capacity to demonstrate leadership and to leave a legacy, not simply to solve a particular air quality issue.

**Why is the nominated project Emerald Award Worthy:**

The AEF celebrates environmental leadership in Alberta, seeking examples of environmental excellence for others to follow. CASA members have a keen understanding of what that requires. Our organization is about to begin its 21st year with a membership that reflects the expectations of a changing demographic, new generations and progressively more complicated air quality management issues. But our job is not to solve any singularly challenging air quality issue or to trumpet past success. At CASA we believe our obligation is to consistently set the table for new committed stakeholders who care deeply about Alberta and its natural attributes; stakeholders that are willing to have the tough discussions, listen carefully to other points of view, who doggedly seek scientific guidance and commit their organizations to shared solutions. Martha Kostuch, a CASA founder, believed that we were smarter when we worked together. Martha was right, as are all existing CASA stakeholders who understand that leadership and environmental excellence often flow from an understanding that “we are all in this together”. We submit that it is not any individual CASA project that is Emerald Award worthy. It is the 900 hundred foot soldiers, past and present, who have kept Alberta in the forefront of air quality management over the past 20 years....and it is their contribution that deserves recognition.



**PLACEHOLDER**

**ITEM:**            7.1    **New/Other Business**

**ISSUE:**            At the time of printing there was no other new business.

**CASA Board of Directors  
Mailing List**

<b>Member Representative</b>	<b>Alternate</b>	<b>Sector</b>
<b>Brian Ahearn</b> , Vice President – Western Division Canadian Fuels Association 2100, 350 – 7th Avenue SW Calgary Alberta T2P 3N9 Bus: (403) 266-7565 brianahearn@canadianfuels.ca	<b>Peter Noble</b> Imperial Oil PO Box 2480, Station M Calgary, Alberta T2P 3M9 Bus: (403) 237-4144 Fax: (403) 237-2168 Peter.c.noble@esso.ca	Petroleum Products
<b>Leigh Allard</b> President & CEO The Lung Association, AB & NWT P.O.Box 4500, Stn South Edmonton, AB T6E 6K2 1-888-566-5864 x 2241 Fax: (780) 488-7195 lallard@ab.lung.ca	<b>Janis Seville</b> Director of Health Initiatives The Lung Association, AB & NWT P.O.Box 4500, Stn South Edmonton, AB T6E 6K2 1-888-566-5864 x 2234 Fax: (780) 488-7195 jseville@ab.lung.ca	NGO Health
<b>Ann Baran</b> Southern Alberta Group for the Environment Box 243 Turin, AB T0K 2H0 Bus: (403) 738-4657 couleesedge1@hotmail.com	<b>Vacant</b>	NGO Rural
<b>Cheryl Baraniecki</b> , Associate Regional Director General, West & North Environment Canada 9250-49 Street Edmonton, Alberta T6B 1K5 Bus: (780) 951-8687 Fax: (780) 495-3086 Cheryl.Baraniecki@ec.gc.ca	<b>Martin Van Olst</b> , Senior Analyst Regional Analysis and Relationships Environment Canada 9250-49 Street Edmonton, Alberta T6B 1K5 Bus: (780) 951-8958 Fax: (780) 495-3086 Martin.vanOlst@ec.gc.ca	Federal Government
<b>Rob Beleutz</b> , Environmental, Health and Safety Manager Graymont Western Canada Inc. 200, 10991 Shellbridge Way Richmond, BC V6X 3C6 Bus: (604) 249-1911 rbeleutz@graymont.com	<b>Dan Thillman</b> , Plant Manager Lehigh Cement 12640 Inland Way Edmonton, AB T5V 1K2 Bus: (780) 420-2691, Fax: (780) 420-2528 dthillman@lehighcement.com	Mining
<b>Martin Chamberlain</b> , Assistant Deputy Minister Resource Development Policy Division Alberta Energy 8th fl Petroleum Plaza NT 9945 - 108 Street Edmonton, AB T5K 2G6 Bus: (780) 422-1045, Fax (780) 427-7737 Martin.chamberlain@gov.ab.ca	<b>Audrey Murray</b> , Branch Head Environment and Resource Services Alberta Energy 12th Floor, Petroleum Plaza North Tower 9945 - 108 Street Edmonton, AB T5K 2G6 Bus: (780) 427-6383, Fax (780) 422-3044 Audrey.murray@gov.ab.ca	Provincial Government - Energy
<b>Claude Chamberland</b> , President Canadian Association of Petroleum Producers c/o Chamberland Consulting Ltd. #226, 30 Cranfield Link S.E. Calgary, AB T3M 0C4 Cell: (403) 824-6478; Fax (403) 261-4622 claudech@telus.net	<b>Vacant</b>	Oil & Gas – large producers
<b>Brian Gilliland</b> , Manager, International Environmental Affairs, Canada Weyerhaeuser Co. Ltd. 201, 2920 Calgary Trail Edmonton, Alberta T6J 2G8 Bus: (780) 438-2569 Fax: (780) 780-3125 brian.gilliland@weyerhaeuser.com	<b>Keith Murray</b> , Director, Forestry & Environment Alberta Forest Products Association 900, 10707 100 Ave. Edmonton, AB T5J 3M1 Bus: (780) 392-0756, Fax: (780) 455-0505 kmurray@albertaforestproducts.ca	Forestry
<b>Al Kemmere</b> AAMDC District 2 Director 2510 Sparrow Drive, Nisku, AB T9E 8N5 Bus: (403) 507-3345, Fax: (780) 955-3615		Local Government - Rural

Member Representative	Alternate	Sector
akemmere@aamdc.com		
<b>David Lawlor</b> , Director, Environmental Affairs ENMAX 141 50th Avenue SE Calgary, Alberta T2G 4S7 Bus: (403) 514.3296, Fax: (403) 514.6844 dlawlor@enmax.com	<b>Vacant</b>	Alternate Energy
<b>Holly Johnson Rattlesnake</b> Samson Cree Nation PO Box 159 Hobema, AB T0C 1N0 Bus: (780) 585-3793 ext. 291, Fax: (780) 585-2256 hjrattlesnake@gmail.com	<b>Vacant</b>	Aboriginal Government - First Nations
<b>Yolanta Leszczynski</b> , P.Eng SD/ Env Regulatory Coordinator Shell Scotford Manufacturing PO Bag 22 Fort Saskatchewan, AB T8L 3T2 Bus : (780) 992-3972 Yolanta.Leszczynski@shell.com	<b>Al Schulz</b> , Regional Director Chemistry Industry Association of Canada 97-53017, Range Road 223 Ardrossan, Alberta T8E 2M3 Bus: (780) 922-5902, Fax: (780)-922-0354 alschulz@telusplanet.net	Chemical Manufacturers
<b>Linda Mattern</b> , Assistant Deputy Minister Acute Care & Population Health Division Alberta Health 24 <sup>th</sup> Floor, Telus Plaza NT 10025 Jasper Avenue Edmonton, AB T5J 1S6 Bus: (780) 422-2720 linda.mattern@gov.ab.ca	<b>Dawn Friesen</b> , Executive Director Health Protection Alberta Health 23rd fl Telus Plaza NT 10025 Jasper Avenue Edmonton, AB T5J 1S6 Bus: (780) 415-2818, Fax: (780) 427-1470 dawn.friesen@gov.ab.ca	Provincial Government - Health
<b>Mary Onukem</b> , Environmental Coordinator Métis Settlements General Council Suite 101, 10335-172 Street Edmonton, AB T5S 1K9 Bus: (780) 822-4075, 1(888) 213-4400 monukem@msgc.ca	<b>Vacant</b>	Aboriginal Government - Metis
<b>Chris Severson-Baker</b> , Managing Director Pembina Institute Suite 200, 608 - 7th Street SW Calgary, Alberta T2P 1Z2 Bus: (403) 269-3344 ext. 101, Fax: (403) 269-3377 chrissb@pembina.org	<b>Ruth Yanor</b> Mewassin Community Council RR 1 Duffield, AB T0E 0N0 Bus : (780) 504-5056 ruth.yanor@gmail.com	NGO Industrial
<b>David Spink</b> , Environmental Sciences and Policy Consultant Prairie Acid Rain Coalition 62 Lucerne Crescent St. Albert, AB T8N 2R2 Bus: (780) 458-3362, Fax: (780) 419-3361 dspink@shaw.ca	<b>Bill Calder</b> Prairie Acid Rain Coalition 139 Calico Drive Sherwood Park, AB T8A 5P8 Bus: (780) 464-9996 bacalder@telusplanet.net; bacalder@icloud.com	NGO Urban
<b>Rich Smith</b> , Executive Director Alberta Beef Producers 165, 6815 - 8th Street NE Calgary, AB T2E 7H7 Bus: (403) 451-1183, Fax: (403) 274-0007 richs@albertabeef.org	<b>Humphrey Banack</b> Alberta Federation of Agriculture RR #2 Camrose, AB T4V 2N1 Bus: (780) 672-6068 Fax: (780)679-2587 gumbo_hills@hotmail.com	Agriculture
<b>Don Szarko</b> , Director Advocacy and Community Services Alberta Motor Association Box 8180, Station South Edmonton, AB T6J 6R7 Bus: (780) 430-5733, Fax: (780) 430-4861 don.szarko@ama.ab.ca	<b>Scott Wilson</b> , Senior Policy Analyst Advocacy and Community Services Alberta Motor Association Box 8180, Station South Edmonton, AB T6J 6R7 Bus: (780) 430-5523 Fax: (780) 430-4861 scott.wilson@ama.ab.ca	Consumer/Transportation

<b>Bill Werry</b> , Deputy Minister Alberta Environment & Sustainable Resource Development 11 <sup>th</sup> Floor, South Petroleum Plaza 9915 – 108 Street Edmonton, Alberta, T5k 2G8 Bus: (780) 427 1799, Fax (780) 415-9669 Bill.werry@gov.ab.ca	<b>Rick Blackwood</b> , Assistant Deputy Minister Alberta Environment & Sustainable Resource Development 11th Floor, South Petroleum Plaza 9915 - 108 Street Edmonton, Alberta T5K 2G8 Bus: (780) 427-1139, Fax: (780) 427-8884 rick.blackwood@gov.ab.ca	Provincial Government - Environment
<b>Don Wharton</b> , Vice President Sustainable Development TransAlta Corporation 110 - 12th Avenue SW P.O. Box 1900, Station M Calgary, Alberta T2P 2M1 Bus: (403) 267-7681, Fax: (403) 267-7372 don_wharton@transalta.com	<b>Jim Hackett</b> , Director, Aboriginal Relations, Health, Safety Security & Environment ATCO Group, Utilities 800, 919 - 11 Avenue S.W. Calgary, AB T2R 1P3 Bus: (403) 245-7408, Fax: (403) 209-6920 jim.hackett@atcopower.com	Utilities
<b>Tim Whitford</b> , Councillor Town of High River Alberta Urban Municipalities Association 435 Riverside Green NW High River, AB T1V 2B6 Bus: (403) 336-1137 tfwhit@telus.net	<b>Vacant</b>	Local Government – Urban
<b>Norman MacLeod</b> , Executive Director Clean Air Strategic Alliance 10 <sup>th</sup> Floor, Centre West 10035-108 Street Edmonton, Alberta T5J 3E1 Bus: (780) 427-9193, Fax: (780) 422-1039 nmacleod@casahome.org		
<b>Vacant</b>	<b>Vacant</b>	Oil & Gas – small producers

**Board Members with Different Courier Addresses:**

Leigh Allard  
 Carolyn Kolebaba  
 Yolanta Leszczynski  
 Don Szarko

**Board Members Electronic Version Only:**

Brian Ahearn  
 Dawn Friesen  
 Jim Hackett  
 Chris Severson-Baker  
 Don Szarko  
 Martin Van Olst  
 Tim Whitford  
 Scott Wilson

**Board Support to Receive Board Book:**

Martina Krieger (to receive Bill Werry, Rick Blackwood and Sharon Willianen's Board Books)  
 Sharon Willianen  
 CASA Staff

\*\*\* Send Yolanta's by courier\*\*\* Follow up a few days after sending.

**Clean Air Strategic Alliance  
List of Stakeholder Groups and Representatives**

<b>Stakeholder Group</b>	<b>Sector</b>	<b>Member</b>	<b>CASA Board Representative</b>	
			<b>Director, Association/Affiliation</b>	<b>Alternate Director, Association/Affiliation</b>
Industry	Petroleum Products	Canadian Fuels Association (formerly CPPI)	<b>Brian Ahearn</b> , Vice President – Western Division Canadian Fuels Association	<b>Peter Noble</b> – Senior Regulatory Affairs Manager Imperial Oil
NGO	NGO Health	The Lung Association - Alberta & NWT	<b>Leigh Allard</b> , President & CEO The Lung Association - Alberta & NWT	<b>Janis Seville</b> , Director of Health Initiatives The Lung Association – Alberta & NWT
NGO	NGO Rural	Southern Alberta Group for the Environment	<b>Ann Baran</b> Southern Alberta Group for the Environment	<b>Vacant</b>
Industry	Mining	Alberta Chamber of Resources	<b>Rob Beleutz</b> , Environmental, Health and Safety Manager Graymont Western Canada Inc.	<b>Dan Thillman</b> , Plant Manager Lehigh Cement
Government	Federal	Environment Canada	<b>Cheryl Baraniecki</b> , Associate Regional Director General, West & North Environment Canada	<b>Martin Van Olst</b> , Senior Analyst Environment Canada
Government	Provincial Government – Energy	Alberta Energy	<b>Martin Chamberlain</b> , Assistant Deputy Minister Alberta Energy	<b>Audrey Murray</b> , Branch Head Environment and Resource Services Alberta Energy
Industry	Oil & Gas – Large Producers	Canadian Association of Petroleum Producers	<b>Claude Chamberland</b> , President Canadian Association of Petroleum Producers	<b>Vacant</b>
Industry	Forestry	Alberta Forest Products Association	<b>Brian Gilliland</b> , Manager International Environmental Affairs Weyerhaeuser Co. Ltd.	<b>Keith Murray</b> , Director Environmental Affairs Alberta Forest Products Association
Government	Local Government - Rural	Alberta Association of Municipal Districts & Counties	<b>Al Kemmere</b> , District 2 Director AAMDC	<b>Vacant</b>
Industry	Alternate Energy		<b>David Lawlor</b> , Director Environmental Affairs ENMAX	<b>Vacant</b>
Aboriginal Government	First Nations	Samson Cree Nation	<b>Holly Johnson Rattlesnake</b> Samson Cree Nation	<b>Vacant</b>
Industry	Chemical Manufacturers	Chemistry Industry Association of Canada (CIAC)	<b>Yolanta Leszczynski</b> , SD/ Env Regulatory Coordinator Shell Scotford Manufacturing	<b>Al Schulz</b> , Regional Director Chemistry Industry Association of Canada (CIAC)

**Clean Air Strategic Alliance**  
**List of Stakeholder Groups and Representatives**

Government	Provincial Government – Health	Alberta Health	<b>Linda Mattern</b> , Assistant Deputy Minister Acute Care & Population Health Division Alberta Health	<b>Dawn Friesen</b> , Executive Director Health Protection Alberta Health
Aboriginal Government	Métis	Métis Settlements General Council	<b>Mary Onukem</b> , Environmental Coordinator Métis Settlements General Council	<b>Vacant</b>
NGO	NGO Industrial	Pembina Institute	<b>Chris Severson-Baker</b> , Managing Director Pembina Institute	<b>Ruth Yanor</b> Mewassin Community Council
NGO	NGO Urban	Prairie Acid Rain Coalition	<b>David Spink</b> Prairie Acid Rain Coalition	<b>Bill Calder</b> Prairie Acid Rain Coalition
Industry	Agriculture	Alberta Beef Producers	<b>Rich Smith</b> , Executive Director Alberta Beef Producers	<b>Humphrey Banack</b> Alberta Federation of Agriculture
NGO	Consumer Transportation	Alberta Motor Association	<b>Don Szarko</b> , Director Alberta Motor Association	<b>Scott Wilson</b> , Senior Policy Analyst Alberta Motor Association
Government	Provincial Government – Environment	Alberta Environment Sustainable Resource Development	<b>Bill Werry</b> , Deputy Minister Alberta Environment and Sustainable Resource Development	<b>Rick Blackwood</b> , Assistant Deputy Minister Alberta Environment and Sustainable Resource Development
Industry	Utilities	TransAlta Corporation	<b>Don Wharton</b> , Vice President Sustainable Development TransAlta Corporation	<b>Jim Hackett</b> , Director, Health, Safety, Security & Environment Health & Safety, Environment ATCO Group, Utilities
Government	Local Government – Urban	Alberta Urban Municipalities Association	<b>Tim Whitford</b> , Councillor Town of High River Alberta Urban Municipalities Association	<b>Vacant</b>
Industry	Oil & Gas – Small Producers	Vacant	<b>Vacant</b>	<b>Vacant</b>

## CASA Project Team and Committee Membership

*As of May 5, 2014*

### Base Case Working Group (EFR)

First Name	Last Name	Organization Name	Title
Oliver	Bussler	TransAlta	Member
Randy	Dobko	Alberta Environment and Sustainable Resource Development	Member
Colin	Dumais	ENMAX	Member
Jim	Hackett	ATCO Power Canada Ltd.	Member
Ahmed	Idriss	Capital Power Corporation	Member
Robyn	Jacobsen	Clean Air Strategic Alliance	Project Manager
Tom	Marr-Laing	Pembina Institute	Member
Peter	Moore	Alberta Energy	Member
Anamika	Mukherjee	Cenovus Energy Inc.	Member
Njoroge	Ngure	TransCanada	Member

### CASA & AAC Joint Standing Committee

First Name	Last Name	Organization Name	Title
Rick	Blackwood	Alberta Environment & Sustainable Resource Development	Co-Chair
Nadine	Blaney	Fort Air Partnership	Alternate
Jill	Bloor	Calgary Region Airshed Zone (CRAZ)	Alternate
Bill	Calder	Prairie Acid Rain Coalition	Alternate
Celeste	Dempster	CASA	Project Manager
Carolyn	Kolebaba	Alberta Association of Municipal Districts & Counties	Member
Norman	MacLeod	CASA	Member
Kevin	Percy	Wood Buffalo Environmental Association	Corresponding Member
Gary	Redmond	Alberta Capital Airshed	Alternate
Al	Schulz	Chemistry Industry Association of Canada (CIAC)	Member
Bob	Scotten	West Central Airshed Society/Palliser Airshed Zone	Co-Chair
Chris	Severson-Baker	Pembina Institute	Member
Kevin	Warren	Parkland Airshed Management Zone	Member
Sharon	Willianen	Alberta Environment and Sustainable Resource Development	Observer

### CASA Risk Management Committee

First Name	Last Name	Organization Name	Title
Ann	Baran	Southern Alberta Group for the Environment	Member
Bill	Calder	Prairie Acid Rain Coalition	Member
Robyn	Jacobsen	Clean Air Strategic Alliance	Project Manager
David	Lawlor	ENMAX	Member
Norman	MacLeod	CASA	Member
Al	Schulz	Chemistry Industry Association of Canada (CIAC)	Member
Rich	Smith	Alberta Beef Producers	Member
Lisa	Sadownik	Environment and Sustainable Resource Development	Member
Krista	Phillips	Canadian Association of Petroleum Producers	Member

**Communications Committee**

First Name	Last Name	Organization Name	Title
Patricia	Adams	Canadian Association of Petroleum Producers	Member
Leigh	Allard	The Lung Association AB & NWT	Chair
Ann	Baran	Southern Alberta Group for the Environment	Member
Bob	Curran	Energy Resources Conservation Board	Corresponding Member
Renee	Hackney	Alberta Environment & Sustainable Resource Development	Member
Ogho	Ikhalo	Alberta Environment and Sustainable Resource Development	Alternate
Yolanta	Leszczynski	Shell Scotford Manufacturing	Member
Norman	MacLeod	CASA	Project Manager
Kelly	Morrison	Petroleum Services Association of Canada	Member
Carly	Steiger	Alberta Environment & Sustainable Resource Development	Member
Gloria	Trimble	Environment Canada	Corresponding Member
Ruth	Yanor	Mewassin Community Council	Member

**Complaints Task Group (OMT)**

First Name	Last Name	Organization Name	Title
Ron	Axelson	Intensive Livestock Working Group	Member
Ann	Baran	Southern Alberta Group for the Environment	Member
Michael	Bisaga	LICA	Member
Roxane	Bretzlaff	Canadian Natural Resources Limited	Member
Celeste	Dempster	CASA	Project Manager
Keith	Denman	Alberta Environment & Sustainable Resource Development	Member
Francisco	Echegaray	Natural Resources Conservation Board	Corresponding Member
Christian	Felske	City of Edmonton	Member
Jennifer	Fowler	Hinton Pulp, A Division of West Fraser Ltd	Co-Chair
Joseph	Hnatiuk	Canadian Society of Environmental Biologists (CSEB)	Member
Sandi	Jones	Alberta Agriculture and Rural Development	Alternate
Carolyn	Kolebaba	Alberta Association of Municipal Districts & Counties	Member
Jim	Lapp	City of Edmonton	Alternate
Tanya	Moskal-Hebert	Alberta Agriculture and Rural Development	Co-Chair
Ludmilla	Rodriguez	Alberta Health Services	Member
Merry	Turtiak	Alberta Health	Member
Dalene	Wilkins	Alberta Energy Regulator	Member

**Control Technologies & Review Strategies 2013 (EFR)**

First Name	Last Name	Organization Name	Title
Vinson	Banh	Alberta Energy	Member
Colin	Dumais	ENMAX	Member
Sushmitha	Gollapudi	Alberta Environment & Sustainable Resource Development	Member
Jim	Hackett	ATCO Power Canada Ltd.	Member
Ahmed	Idriss	Capital Power Corporation	Member
Robyn	Jacobsen	Clean Air Strategic Alliance	Project Manager
Anamika	Mukherjee	Cenovus Energy Inc.	Member
David	Spink	Prairie Acid Rain Coalition	Member
Wayne	Ungstad	Ponoka Fish and Game	Member



## Electricity Framework Review 2013 Project Team

First Name	Last Name	Organization Name	Title
Kristi	Anderson	Mewassin Community Council	Member
Brian	Ahearn	Canadian Fuels Association	Corresponding Member
Vinson	Banh	Alberta Energy	Member
Tasha	Blumenthal	Alberta Association of Municipal Districts & Counties (AAMDC)	Corresponding Member
Oliver	Bussler	TransAlta	Alternate
Glynis	Carling	Imperial Oil Resources	Alternate
Andre	Chabot	City of Calgary	Member
Rod	Crockford	Encana Corporation	Member
Celeste	Dempster	CASA	Co-Project Manager
Paul	DiJulio	Slave Lake Pulp	Corresponding Member
Randy	Dobko	Alberta Environment and Sustainable Resource Development	Member
Steven	Flavel	Alberta Energy	Member
Brian	Gilliland	Weyerhaeuser Company Ltd.	Corresponding Member
Sushmitha	Gollapudi	Alberta Environment & Sustainable Resource Development	Alternate
Jim	Hackett	ATCO Power Canada Ltd.	Member
Ahmed	Idriss	Capital Power Corporation	Member
Brian	Jackowich	Alberta Urban Municipalities Association (AUMA)	Alternate
Robyn	Jacobsen	Clean Air Strategic Alliance	Project Manager
David	James	Alberta Energy	Member
David	Lawlor	ENMAX	Member
Tom	Marr-Laing	Pembina Institute	Co-Chair
Shaun	McNamara	Milner Power Inc.	Member
Lynn	Meyer	Capital Power	Alternate
Peter	Moore	Alberta Energy	Member
Anamika	Mukherjee	Cenovus Energy Inc.	Member
Njoroge	Ngure	TransCanada	Member
Brian	Norgaard	Alta Gas	Corresponding Member
Krista	Phillips	Canadian Association of Petroleum Producers	Corresponding Member
Marlo	Raynolds	BluEarth Renewables Inc.	Member
Al	Schulz	Chemistry Industry Association of Canada (CIAC)	Member
Kelly	Scott	ATCO Power	Alternate
David	Spink	Prairie Acid Rain Coalition	Member
Leonard	Standing on the Rd	Ponoka Fish and Game	Alternate
Ben	Thibault	Pembina Institute	Member
Merry	Turtiak	Alberta Health	Corresponding Member
Wayne	Ungstad	Ponoka Fish and Game	Member
Srikanth	Venugopal	TransCanada Transmission	Alternate
Rob	Watson	Maxim Power	Alternate
Tim	Weis	Canadian Wind Energy Association	Corresponding Member
Don	Wharton	TransAlta Corporation	Member
Tim	Whitford	Alberta Urban Municipalities Association (AUMA)	Corresponding Member

**Health and Ecological Assessment Task Group ( EFR)**

First Name	Last Name	Organization Name	Title
Kristi	Anderson	Mewassin Community Council	Member
Alison	Anaka	ENMAX Corporation	Member
Debra	Hopkins	Alberta Environment & Sustainable Resource Development	Member
Robyn	Jacobsen	Clean Air Strategic Alliance	Co - Project Manager
Merry	Turtiak	Alberta Health	Member
Colin	Soskolne	University of Alberta	Member
Michelle	Riopel	CASA	Project Manager

**Health Task Group (OMT)**

First Name	Last Name	Organization Name	Title
Irena	Buka	Mother Rosalie Health Services Centre	Corresponding Member
Laurie	Cheperdak	Environment and Sustainable Resource Development	Co-chair
Celeste	Dempster	CASA	Project Manager
Raquel	Feroe	Alberta Environmental Network	Member
Alvaro	Osornio-Vargas	University of Alberta	Member
Cindy	Quintero	Hinton Pulp, A division of West Fraser Mills Ltd.	Member
Bob	Scotten	West Central Airshed Society/Palliser Airshed Zone	Member
Brendan	Schiewe	Alberta Health	Member
Opel	Vuzi	Health Canada Alberta Region	Member

**Odour Assessment Task Group**

First Name	Last Name	Organization Name	Title
Atta	Atia	Alberta Agriculture and Rural Development	Alternate
Ron	Axelson	Intensive Livestock Working Group	Member
Phyllis	Chui	Alberta Environment & Sustainable Resource Development	Member
Celeste	Dempster	CASA	Project Manager
Ike	Edeogu	Alberta Agriculture and Rural Development	Member
Gerald	Palanca	Alberta Energy Regulator	Member
Michelle	Riopel	CASA	Co-Project Manager
Tracy	Smith	Shell Canada Limited	Co-Chair
David	Spink	Prairie Acid Rain Coalition	Co-Chair
Abena	Twumasi-Smith	The Wood Buffalo Environmental Association	Member
Kevin	Warren	Parkland Airshed Management Zone	Alternate

**Odour Management Team**

First Name	Last Name	Organization Name	Title
Brian	Ahearn	Canadian Fuels Association	Corresponding Member
Humphrey	Banack	Alberta Federation of Agriculture	Co-Chair
Ann	Baran	Southern Alberta Group for the Environment	Member
Roxane	Bretzlaff	Canadian Natural Resources Limited	Alternate
Celeste	Dempster	CASA	Project Manager
Keith	Denman	Alberta Environment & Sustainable Resource Development	Co-Chair
Mandeep	Dhaliwal	Calgary Region Airshed Zone	Corresponding Member
Francisco	Echegaray	Natural Resources Conservation Board	Member
Brian	Gilliland	Weyerhaeuser Company Ltd.	Alternate
Joseph	Hnatiuk	Canadian Society of Environmental Biologists (CSEB)	Member
Holly	Johnson-Rattlesna	Samson Cree Nation	Member
Sandi	Jones	Alberta Agriculture and Rural Development	Alternate
Christine	King	Alberta Energy	Corresponding Member
Carolyn	Kolebaba	Alberta Association of Municipal Districts & Counties	Member
Tanya	Moskal-Hebert	Alberta Agriculture and Rural Development	Member
Gerald	Palanca	Alberta Energy Regulator	Corresponding Member
Gary	Redmond	Alberta Capital Airshed	Member
Michelle	Riopel	CASA	Co-Project Manager
Steve	Rozee	The City of Lethbridge	Member
Norine	Saddleback	Samson Cree Nation	Alternate
Al	Schulz	Chemistry Industry Association of Canada (CIAC)	Member
Janis	Seville	The Lung Association, AB & NWT	Member
Tracy	Smith	Shell Canada Limited	Member
David	Spink	Prairie Acid Rain Coalition	Co-Chair
Gord	Start	Hinton Pulp, a division of West Fraser Mills Ltd.	Member
Alan	Stuart	Alberta Food Processors Association	Member
Merry	Turtiak	Alberta Health	Alternate
Angella	Vertzaya	The City of Edmonton	Member
Kevin	Warren	Parkland Airshed Management Zone	Member

**Operations Steering Committee/Ambient Air Quality**

First Name	Last Name	Organization Name	Title
Michael	Bisaga	LICA	Member
Glynis	Carling	Imperial Oil Resources	Member
Tom	Dickson	Alberta Environment	Chair
Shane	Lamden	NOVA Chemicals Corporation	Member
Norman	MacLeod	CASA	Project Manager
Rachel	Mintz	Environment Canada	Member
Keith	Murray	Alberta Forest Products Association	Member
Bob	Myrick	Alberta Environment & Sustainable Resource Development	Member
Janine	Ross	Alberta Environment & Sustainable Resource Development	Member
Bob	Scotten	West Central Airshed Society/Palliser Airshed Zone	Member
Merry	Turtiak	Alberta Health	Member
Kevin	Warren	Parkland Airshed Management Zone	Member

<b>Performance Measures Committee</b>			
<b>First Name</b>	<b>Last Name</b>	<b>Organization Name</b>	<b>Title</b>
Celeste	Dempster	CASA	Project Manager
Robyn	Jacobsen	Clean Air Strategic Alliance	Co-Project Manager
Martina	Krieger	Environment & Sustainable Resource Development	Member
Keith	Murray	Alberta Forest Products Association	Member
Ruth	Yanor	Mewassin Community Council	Member

# Meeting evaluation form



Meeting: CASA Board Meeting  
Date of meeting: June 5, 2014  
Meeting place: Telus Sparks Centre,  
220 St. Georges Drive NE  
Calgary, Alberta

10035 108 ST NW FLR 10  
EDMONTON AB T5J 3E1  
CANADA

1. Were the objectives as listed in the agenda accomplished?          Yes  
No

2. The objectives we did not accomplish are:

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3. How can future meetings be improved?

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4. Did the board book (decision sheets, attachments, reports) provide you with the information needed to make informed decisions?          Yes  
No

Comments/Suggestions:

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5. Do you have any other feedback you would like the Executive Committee to consider?          Yes  
No

Comments/Suggestions:

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6. How do you feel about the value of this meeting for the time you spent here?

Comments/Suggestions:

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Name (optional): \_\_\_\_\_