

# Memorandum



**Date:** March 8, 2013  
**From:** Norman MacLeod, Executive Director  
**To:** CASA Directors & Alternates  
**Subject:** Board Briefing Package for March 27<sup>th</sup>

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Please find attached the draft agenda and briefing materials for the regular meeting of the CASA Board of Directors, which is scheduled from **9:00 a.m. to 2:45 p.m.** on Wednesday, March 27, 2013.

The meeting will be held at:

McDougall Centre – Rosebud Room  
455 – 6th Street S.W.  
Calgary, Alberta

We look forward to seeing you in Calgary.

Norm MacLeod  
780-427-9793

**March 27, 2013**  
**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.**

**Administration**

**Project Management**

**Communications**

**New/Other Business**

**Clean Air Strategic Alliance – Board Meeting  
McDougall Centre – Rosebud Room  
455 – 6<sup>th</sup> Street S.W.  
Calgary, Alberta**

**March 27, 2013  
Draft Agenda**

	<b>1.0</b>	<b>ADMINISTRATION</b>	<b>1</b>
9:00 – 9:30 (30 min)	<b>1.1</b>	<b>Convene Business Meeting and Approve Agenda</b> <i>Objective: Convene business meeting and approve agenda.</i>	
	<b>1.2</b>	<b>New Representatives</b> <i>Objective: Introduce and welcome new CASA board representatives.</i>	
	<b>1.3</b>	<b>CASA Executive Committee Membership</b> <i>To receive a copy of the board decision that was approved electronically in February regarding the approval of David Lawlor as Industry Vice President for a one year term.</i>	
	<b>1.4</b>	<b>Minutes and Board Action Items from December 13, 2012</b> <i>Objective: Approve minutes and review the action items from the December 13, 2012 board meeting.</i>	
	<b>1.5</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>	
	<b>1.6</b>	<b>2012 Audited Financial Statements</b> <i>Objective: Approve the 2012 audited financial statements.</i>	
	<b>2.0</b>	<b>PROJECT MANAGEMENT</b>	<b>2</b>
9:30 – 10:00 (30 min)	<b>2.1</b>	<b>Odour Management Project Charter</b> <i>Objective: Approve the Odour Management Project Charter.</i>	
10:00 – 10:30 (30 min)	<b>2.2</b>	<b>2013 Electricity Framework Review Project Charter</b> <i>Objective: Approve the 2013 Electricity Framework Review Project Charter.</i>	
10:30 – 10:50 (20 min)		<b>BREAK</b>	
10:50 – 11:20 (30 min)	<b>2.3</b>	<b>Other Project Management Candidates</b> <i>Objective: To clarify the priority and resourcing required to address the project candidates identified at the December meeting.</i>	
11:20 – 11:40 (20 min)	<b>2.4</b>	<b>Performance Measures Committee</b> <i>Objective: Receive and approve the final report and recommendations.</i>	
11:40 – 12:00 (20 min)	<b>2.5</b>	<b>PM and Ozone Implementation</b> <i>Objective: Receive and approve the final report and recommendations.</i>	
12:00 – 1:00 (1 hr)		<b>LUNCH</b>	

1:00 – 1:15  
(15 min)      **2.6 Status Reports**  
*Objective: To receive information on project activity.*

- Alberta Airshed Council
- Calgary Region Airshed Zone
- Fort Air Partnership
- Lakeland Industry and Community Association
- Palliser Airshed Society
- Parkland Airshed Management Zone
- Peace Airshed Zone Association
- West Central Airshed Society
- Wood Buffalo Environmental Association

1:15 – 1:30  
(15 min)      **2.7 2013 Managing Collaborative Processes (MCP) Guide**  
*Objective: To receive the most recent version of the Managing Collaborative Processes (MCP) Guide.*

### **3.0 COMMUNICATIONS** **3**

1:30 – 2:00  
(30 min)      **3.1 2012 Communications Committee Report and the 2013 Strategic Communications Plan**  
*Objective: To receive information with respect to CASA Communications achievements and performance in 2012 and to approve the 2013 Strategic Communications Plan.*

2:00 – 2:30  
(30 min)      **3.2 2013 Annual Report**  
*Objective: To authorize the CASA Executive Committee to finalize the CASA's 2012 Annual Report.*

### **4.0 NEW/OTHER BUSINESS** **4**

2:30 – 2:45  
(15 min)      **4.1 New/Other Business**  
*Objective: Introduce new business and/or complete any unfinished business of the day.*

**4.2 Updated Mailing and Membership Lists**  
*Objective: Provide up-to-date information on CASA board members.*

**4.3 Evaluation Forms**  
*Objective: Receive the results from the last evaluation and provide time for board members to fill out their evaluation forms.*

## INFORMATION SHEET

**ITEM:** 1.2 New Representatives

**ISSUE:** Two new alternate directors have been chosen by their respective member organization as a representative on the CASA board.

**STATUS:** **Elise Bieche** of Canadian Association of Petroleum Producers has been appointed to replace Bill Clapperton as the alternate director representing Industry – Oil & Gas – Large Producers.

John Squarek has resigned as the director of Industry – Oil & Gas – Large Producers and a replacement will be named at a future meeting.

**Bill Calder** of the Prairie Acid Rain Coalition has been appointed to replace Ann Baran as alternate director representing NGO – Urban.

Ann Baran of the Southern Alberta Group for the Environment has been appointed as director representing NGO – Rural.

A biography for Mary Onukem has been included as it was not previously available.

**ATTACHMENTS:**

- A. Biography of New Member(s)
- B. Updated Board Membership List

**Biography**

**Director**

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**Mary Onukem  
Metis Settlements General Council**

Mary Onukem is the Environmental Coordinator of the Metis Settlements General Council. The Metis Settlement General Council is a governing body that enhances preserves and promotes the 8 Metis Settlements collectively, while addressing socio-economic needs through good governance and community involvement. Mary has been involved in various environmental initiatives and is an active board member on:

- Alberta Water Council (AWC)
- Athabasca Watershed Council (AWC-WPAC)
- Lesser Slave Lake Watershed Council (LSWC)

Mary received her Bachelor of Business Administration & Environmental Studies at the University of Winnipeg and certificate in Management Development at Red River College.



**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>
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	
Industry	Petroleum Products	Canadian Fuels Association (formerly CPPI)	<b>Cindy Christopher</b> , Manager Environmental Policy & Planning Imperial Oil Limited	<b>Brian Ahearn</b> , Vice President – Western Division Canadian Fuels Association
Industry	Mining	Alberta Chamber of Resources	<b>Peter Darbyshire</b> , Vice-President Graymont Limited	<b>Dan Thillman</b> , Plant Manager Lehigh Cement
Industry	Forestry	Alberta Forest Products Association	<b>Brian Gilliland</b> , Manager Environmental Affairs Canada Weyerhaeuser Co. Ltd.	<b>Keith Murray</b> , Director Environmental Affairs Alberta Forest Products Association
Industry	Alternate Energy		<b>David Lawlor</b> , Director Environmental Affairs ENMAX	<b>Vacant</b>
Government	Local Government – Urban	Alberta Urban Municipalities Association	<b>Tim Whitford</b> , Councillor Town of High River Alberta Urban Municipalities Association	<b>Vacant</b>
Aboriginal Government	First Nations	Samson Cree Nation	<b>Holly Johnson Rattlesnake</b> Samson Cree Nation	<b>Vacant</b>
Government	Local Government - Rural	Alberta Association of Municipal Districts & Counties	<b>Carolyn Kolebaba</b> , Vice President Reeve, Northern Sunrise County Alberta Association of Municipal Districts & Counties	<b>Tom Burton</b> , Director District 4, MD of Greenview Alberta Association of Municipal Districts & Counties
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>Neil MacDonald</b> , Acting Assistant Deputy Minister Family & Population Health Alberta Health	<b>Dawn Friesen</b> , Executive Director Health Protection Alberta Health
Government	Federal	Environment Canada	<b>Mike Norton</b> , Acting Regional Director Environment Canada	<b>Martin Van Olst</b> , Senior Analyst Environment Canada
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> Wild Rose Agricultural Producers
NGO	Consumer Transportation	Alberta Motor Association	<b>Don Szarko</b> , Director Alberta Motor Association	<b>Vacant</b>
Industry	Utilities	TransAlta Corporation	<b>Don Wharton</b> , Vice President Sustainable Development TransAlta Corporation	<b>Jim Hackett</b> , Senior Manager, Aboriginal Relations, Health & Safety, Environment ATCO Group, Utilities
Government	Provincial Government – Environment	Alberta Environment Sustainable Resource Development	<b>Dana Woodworth</b> , Deputy Minister Alberta Environment and Sustainable Resource Development	<b>Bev Yee</b> , Assistant Deputy Minister Alberta Environment and Sustainable Resource Development
Industry	Oil & Gas – Large Producers	Canadian Association of Petroleum Producers	<b>Vacant</b>	<b>Elise Bieche</b> , Manager Canadian Association of Petroleum Producers
Industry	Oil & Gas – Small Producers	Vacant	<b>Vacant</b>	<b>Vacant</b>

## INFORMATION SHEET

**ITEM:** 1.3 **CASA Executive Committee Membership Electronic Approval**

**ISSUE:** Board members were asked to approve the appointment of David Lawlor as CASA Vice President (IND), by electronic means.

**BACKGROUND:** The CASA Board has an Executive Committee that is comprised of a representative from each stakeholder group; government, industry and non government.


As of February 1, 2013, Cindy Christopher resigned as Vice President (IND) on the CASA Executive Committee. The Industry caucus recommended David Lawlor, Director of Industry – Alternate Energy to replace Cindy on the CASA Executive Committee. Normally approval would be secured at the next meeting of the Board in March, however, the Executive Committee meeting was set for February 21st and required a full committee. Board members were asked to provide their approval, via electronic means, to appoint David Lawlor as CASA Vice President for a one-year term, expiring March 2014.

**ATTACHMENTS:** A. Board approvals for David Lawlor

## Board Approval: Executive Committee Membership



### 1. Do you approve David Lawlor as CASA's Vice President (Industry) to March 2014?

		ResponsePercent	ResponseCount
Yes		100.0%	21
No		0.0%	0
AnsweredQuestion			21
SkippedQuestion			0

### 2. Your Name (required):

	ResponseCount
	21
AnsweredQuestion	21
SkippedQuestion	0

**Q2. Your Name (required):**

1	Dana Woodworth	Feb 4, 2013 1:14 PM
2	Bev Yee	Feb 4, 2013 9:03 AM
3	Martin Chamberlain	Feb 1, 2013 1:53 PM
4	Audrey Murray	Feb 1, 2013 11:08 AM
5	David Spink	Jan 31, 2013 2:08 PM
6	Rich Smith	Jan 31, 2013 9:26 AM
7	Keith Murray	Jan 31, 2013 8:05 AM
8	Peter Darbyshire	Jan 31, 2013 4:07 AM
9	Dana Woodworth	Jan 30, 2013 11:29 PM
10	Ann Baran	Jan 30, 2013 9:26 PM
11	Dawn Friesen	Jan 30, 2013 8:29 PM
12	Humphrey Banack - Wild Rose Agricultural Producers	Jan 30, 2013 7:36 PM
13	Carolyn kolebaba	Jan 30, 2013 4:51 PM
14	Brian Ahearn	Jan 30, 2013 4:36 PM
15	Cindy Christopher	Jan 30, 2013 4:17 PM
16	Yolanta Leszczynski	Jan 30, 2013 4:13 PM
17	Brian Gilliland	Jan 30, 2013 4:05 PM
18	Don Szarko	Jan 30, 2013 3:49 PM
19	Al Schulz	Jan 30, 2013 3:35 PM
20	Tim Whitford	Jan 30, 2013 3:21 PM
21	Dan Thillman	Jan 30, 2013 3:17 PM

## ***DECISION SHEET***

***ITEM:***                    1.4     **Minutes and Action Items from December 13, 2012**

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

***STATUS:***                    Members have received the minutes from the December 13, 2012 board meeting and are invited to report any errors or omissions to the board at its March 6, 2013 regular meeting. Board members will be asked to give final approval to the minutes of December 13, 2012 and the final version will be posted to the website as per usual practice.

At the March 29, 2012 meeting it was agreed that the board action items be reviewed immediately following the minutes.

***ATTACHMENTS:***        A.     Draft meeting minutes from December 13, 2012 board meeting.  
                                  B.     Board Action Items

***DECISIONS:***             Approve the minutes from the December 6, 2012 board meeting.

# Draft Minutes

*Board of Directors*

**December 13, 2012**

**Centre West, 10th Floor Boardroom, 10035 – 108 Street, Edmonton, Alberta**

**In attendance:**

**CASA Board Members and Alternates:**

Brian Ahearn, Petroleum Products  
Leigh Allard, NGO Health  
Humphrey Banack, Agriculture  
Ann Baran, NGO Wilderness  
Cindy Christopher, Petroleum Products  
Peter Darbyshire, Mining  
Dawn Friesen, Provincial Government Health  
Brian Gilliland, Forestry  
Jim Hackett, Utilities  
Carolyn Kolebaba, Local Government Rural  
David Lawlor, Alternate Energy  
Audrey Murray, Provincial Government  
Energy  
Keith Murray, Forestry  
Mary Onukem, Aboriginal Government Métis  
Al Schultz, Chemical Manufacturers  
Chris Severson-Baker, NGO Pollution  
Janis Seville, NGO Health  
Rich Smith, Agriculture  
David Spink, NGO Wilderness  
John Squarek, Oil and Gas Large Producers  
Don Wharton, Utilities  
Tim Whitford, Local Government Urban  
Dana Woodworth, Provincial Government  
Environment  
Ruth Yanor, NGO Pollution  
Bev Yee, Provincial Government  
Environment

**CASA Secretariat:**

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

**Guests:**

Jill Bloor, Calgary Region Airshed Zone  
Ahmed Idriss, Capital Power  
Linda Jabs, ESRD  
Crystal Parrell, ESRD  
Merry Turtiak, Alberta Health  
Sharon Willianen, ESRD

**Regrets:**

Tom Burton, Local Government Rural  
Martin Chamberlain, Provincial Government  
Energy  
Bill Clapperton, Oil and Gas Large Producers  
Holly Johnson-Rattlesnake, Aboriginal  
Government First Nations - Samson  
Yolanta Leszczynski, Chemical Manufacturers  
Neil MacDonald, Provincial Government  
Health  
Mike Norton, Federal Government  
Don Szarko, NGO Consumer Transportation  
Dan Thillman, Mining  
Martin Van Olst, Federal Government

**Presenters:**

**Jillian Flett**, ESRD (*Item 2.1, Clean Air Strategy*)  
**Scott Milligan**, ESRD (*Item 2.4, Land Use Framework*)  
**Wade Clark**, ESRD (*Item 2.3, Regulatory Enhancement Project*)  
**Bev Yee**, ESRD (*Item 2.2, New Environmental Monitoring System*)  
**Robyn Jacobsen**, CASA (*Item 3.1, 2013 Electricity Framework Review Statement of Opportunity*)  
**Peter Darbyshire and David Lawlor**, Graymont and ENMAX (*Item 3.3, Performance Measures Working Group*)  
**Norm MacLeod**, CASA (*Item 1.6, Core Budget for 2012 and Core Funding Background Information*)

**Clean Air Strategic Alliance  
Board of Directors Meeting  
December 13, 2012**

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**Executive Summary**

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The CASA Board welcomed the following new members:

**Audrey Murray** of Alberta Energy representing Provincial Government Energy

**Mary Onukem** of the Metis Settlements General Council representing Aboriginal Government  
Metis

**Janis Seville** of The Lung Association (AB & NWT) representing NGO Health

CASA participated in a social media campaign for the first time to help the Alberta government launch its renewed Clean Air Strategy in October 2012. It was a good opportunity to try out new ways to distribute CASA information.

Government of Alberta representatives provided the board with briefings on four government initiatives that potentially have significant impact on CASA work:

- The Clean Air Strategy
- The Land Use Framework
- The Regulatory Enhancement Project
- The Environmental Monitoring System

Following each briefing, board members discussed how CASA could most effectively contribute to the work being done by government.

Board members agreed to commence the second five-year Electricity Framework Review by forming a multi-stakeholder working group that will further screen and scope the issue and develop a project charter for the board's approval by March 2013.

Status reports were provided on the following project activity:

- Communications Committee
- Confined Feeding Operations (CFO) Project Team
- Odour Management Framework
- Particulate Matter and Ozone
- Statement of Opportunity –Transportation Emissions

The board approved CASA's 2013 core funding budget with the understanding that existing funding levels will not sustain current operations beyond 2014. Work is underway to restore funding to \$1 million annually.



**Clean Air Strategic Alliance  
Board of Directors Meeting  
December 13, 2012**

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**Draft One Minutes**

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1 Administration Part 1

**1.1 Convene Business Meeting and Approve Agenda**

Dana Woodworth convened the business meeting at 9:10 a.m. and the agenda was approved by consensus.

**1.2 New Representatives**

Dana introduced and welcomed the following new CASA board representatives:

**Audrey Murray** of Alberta Energy has been appointed to replace Jennifer Steber as the alternate director representing Provincial Government Energy

**Mary Onukem** of the Metis Settlements General Council has been appointed to replace Louis Pawlowich as the director representing Aboriginal Government Metis

**Janis Seville** of The Lung Association (AB & NWT) has been appointed to replace Eileen Gresl-Young as the alternate director representing NGO Health

**Tim Whitford** of the Alberta Urban Municipalities Association has been appointed to replace Cindy Jefferies as director representing Local Government Urban (Tim was previously an alternate director)

**1.3 Minutes & Action Items from September 27, 2012 Board Meeting**

The minutes and action items from the September 27, 2012 board meeting were approved by consensus.

**1.4 Executive Director's Report/Financial Statements**

Norm MacLeod provided highlights from his Executive Director's Report that was included in the board package. On Oct 10, 2012, the Government of Alberta (GoA) announced Cabinet approval of a renewed Clean Air Strategy (CAS) and Action Plan for Alberta. The GoA, CASA and its stakeholders used social media (e.g., Twitter, Facebook, YouTube), linked webpages, pre-recorded video, e-mail and other platforms to raise awareness of the new strategy and air-related issues. CASA members were invited to help raise awareness of the renewed CAS and CASA's contribution by re-tweeting the messages, posting messages on Facebook, responding to media and providing links on their home pages. On the first day of the launch, Norm provided some pre-recorded remarks that focused on:

- 1) the considerable work done by CASA stakeholders to develop recommendations;
- 2) CASA's consensus-based approach to developing policy advice; and
- 3) the implications of a renewed policy for CASA's work.

Anticipating CASA stakeholder interest in the release, the CASA Secretariat provided board members with a table that compared CASA's original recommendations for a Clean Air Strategy and CASA's 2012 Strategic Plan to the renewed CAS. CASA's website has been updated to include all of this information. This was a good opportunity for CASA's Secretariat and partners to gain experience using social media as a means to distribute information. The board indicated that traditional communication methods should be used along with social media to ensure that all interested parties have an opportunity to get CASA messages.

The renewed CAS along with the announcement of the national Air Quality Management System (AQMS), the Environmental Monitoring Board and *The Responsible Energy Development Act* will have a significant impact on CASA stakeholders and the work of project teams. The secretariat is participating in individual briefings and stakeholder information sessions to gain an understanding of the implications of these new initiatives. Board briefings have also been arranged for today's agenda so that CASA can focus its air quality policy advice accordingly.

The secretariat worked on statements of opportunity (SOO) for an Odour Management Framework, the second five-year review of the Electricity Framework and Transportation Emissions. The SOO process is evolving because it's been some time since an SOO was brought to the board, so the secretariat will be relying on board members for corporate memory and direction on appropriate consultation as this work progresses.

In light of this new work, the secretariat is ensuring that efforts are focused on concluding work that is near completion and allocating resources for work that needs to continue. Plans are in place to recruit a new project manager to assist with this.

Communications and outreach continue to be an important priority and work is being done to establish a community of practice, evaluate and document work done in 2012, and plan for future communications work.

Norm also spoke to the CASA Core Revenue and Expense Summary as of September 30, 2012, provided in the board book. Financial information since 2008 shows that CASA's annual operating funds have historically fallen short of the amounts required to support CASA core operations. These shortfalls have been offset through significant infusions from government as required, when cash balances were low.

## **1.5 New Accounting Standards for Not-for-Profit Organizations**

The Canadian Institute of Chartered Accountants has transitioned from Canadian generally accepted accounting principles (CGAAP – Part IV) to CGAAP – Part III – Accounting Standards for Not-for-Profit Organizations. Norm explained that CASA's auditors have confirmed that CASA is not controlled by government (the defining test), so its financial statements need to be prepared in accordance with CGAAP – Part III for the fiscal year commencing January 1, 2012. There is also a need to rework some of the 2011 numbers for comparison and reporting purposes... These changes will not result in any substantial adjustment to the final 2011 numbers.

***By consensus, the board agreed to approve application of the CGAAP – Part III accounting standards for not-for-profit organizations, effective to CASA as of January 1, 2012.***

**Action: The secretariat to prepare CASA’s 2012 financial statements according to CGAAP – Part III accounting standards for not-for-profit organizations.**

## 2 Government Initiatives

Dana provided introductory comments before the four presentations on government initiatives. He explained that the Premier established three “pods” for dealing with government business in an integrated manner, and the one that concerns CASA is the Natural Resources and Environment Pod that includes the Ministries of: Agriculture and Rural Development, Energy, Environment and Sustainable Resource Development, Health, Aboriginal Relations and Tourism, Parks and Recreation and International and Intergovernmental Relations. All government business that deals with natural resource development and environmental management is discussed at weekly meetings by senior management from these four ministries. To move any initiative through the government decision-making process, these ministries must work together and adopt a coordinated approach. This is changing how senior government management is looking at environmental management, resource extraction and the social licence to develop Alberta’s natural resources. How resources are extracted is as important and may become more important than economic development.

The regional plans generated under the Land Use Framework require significant discussion that addresses all interests, because the final products will have great impact. The connection between the single regulator of the energy industry and government is the new Policy Management Office led by Assistant Deputy Minister Cynthia Farmer. She reports to both Dana (ESRD) and Jim Ellis at Energy. The single regulator will be called the Alberta Energy Regulator (no longer ERCB) and it will handle cradle-to-grave energy management of upstream oil and gas, oilsands and coal in the province. It will have a corporate governance board supported by a CEO, and a very sizeable staff. The regulator will be given broad powers to ensure that all regulation of the energy industry is coordinated. Regarding the division of powers between government and the regulator, responsibility for broad policy frameworks will be retained by government (e.g., thresholds), but place-based point-source emission standards may be set by the regulator. CASA should consider how it can best contribute to the government’s work on the following government initiatives.

### 2.1 Clean Air Strategy

Jillian Flett, Section Head, Strategic Planning and Development, ESRD, made the presentation. Both the Renewed Clean Air Strategy and Action Plan outline the high-level strategic direction the GoA will focus on over the next 10 years, with enhancements to the existing air quality management system, through:

- Coordinated regional air quality management;
- Shared responsibility;
- Integrated monitoring, evaluation and reporting; and
- Knowledge enhancement.

The renewed strategy also incorporates those elements of the national AQMS that will enhance the provincial air management system. The focus of the national AQMS is to:

- Set base level emission standards for specific industry sectors;
- Set Canadian ambient air quality standards;
- Manage air quality on a regional air zone basis; and
- Address mobile emission sources.

An important addition to this renewed strategy is the emphasis on managing non-regulated and non-point source emissions.

Jillian indicated that the GoA is very open to CASA's help with the renewed strategy. She described possible opportunities for CASA in strategy implementation (action plan), evaluation of progress, public awareness and understanding, non-point/non-regulated emission sources, and continuous improvement.

The board identified the following potential opportunities for CASA in the CAS:

- Non-Point and non-regulated sources
  - Consider changing the Transportation Statement of Opportunity to include all non-point and non-regulated sources.
  - Engage airsheds to develop options to understand, prioritize, and manage non-regulated and non-point emission sources
- Integrate land use regional planning process and air management
- Work on odour management should continue.
- Examine flaring and venting at fracking operations and unconventional oil and gas
- Address areas of the province without airsheds and hotspots, as well as considering health effects
- Help operationalize GoA high-level policies. (i.e. CASA should provide the strategic advice that informs operational work).
- Work on the development of strategy and frameworks (not implementation)

## 2.2 Land Use Framework

Scott Milligan, Director, Land Use Framework Branch, ESRD, made the presentation. The Lower Athabasca Regional Plan (Ft. McMurray region) was released in September 2012, and consultation on the advice received from the Regional Advisory Committee on the South Saskatchewan Regional Plan (SSRP) is currently underway. It is anticipated that the SSRP will be completed in 2013, and the GoA intends to make significant progress on plans for the North Saskatchewan, Upper and Lower Peace, Upper Athabasca and Red Deer over the next three years. The national air zones align with the Land Use Framework (LUF) regions. The Canadian Ambient Air Quality Standards will be reflected in regional plans and this will happen first in SSRP. LUF planning focuses on cumulative effects rather than the effects of individual projects. CASA's work on particulate matter and ozone has been foundational. LARP is more focused on point source emissions, while SSRP is more non-point source focussed, which makes sense considering population density.

Scott described possible opportunities for CASA regarding non-point source emissions with respect to education and awareness, tools, and prototype approaches. Help is also needed in determining causal factors.

The board identified the following potential opportunities for CASA in the LUF:

- Alignment of existing airsheds with the AQMS mandated regional air zones
- Considering health effects in regional plans
- Providing advice on best practices for developing regional air management frameworks.
- Development of a comprehensive air quality management framework that could be used as a tool by each regional planning group
- CASA's strength is the consensus, collaborative process. We should examine CASA's role in any initiative through this lens.

### **2.3 Regulatory Enhancement Project**

Wade Clark from the Policy Management Office in ESRD made the presentation. The Regulatory Enhancement Project's (REP) intent is to establish a single regulator for upstream energy development including oil and gas, oil sands and coal development in 2013 that will assume the regulatory functions of both Alberta Environment and Sustainable Resource Development (for the resources named) and the Energy Resources Conservation Board. The Policy Management Office (PMO) will ensure the integration of natural resource policies and provide an interface between policy development and policy assurance. It will also focus on enhanced engagement for policy development excellence.

The PMO is essentially the meat in the sandwich between government and the single regulator. Its current initiatives include a policy access system, development of regulations for *The Responsible Energy Development Act*, policy integration, a public engagement process, and performance management.

Many details are still being worked out. The goal is to ensure that the Energy Resources Conservation Board's existing policy capacity is not lost during the move to the single regulator.

- The board noted that CASA could provide the PMO with considerable advice with respect to effective engagement and collaboration approaches.

### **2.4 New Environmental Monitoring System**

Bev Yee, Assistant Deputy Minister, Strategy Division, ESRD, made the presentation on behalf of Ernie Hui, Chief Executive Officer, Environmental Monitoring, ESRD, who was unable to attend. The environmental monitoring landscape has changed and the GoA is moving to a new monitoring system for the province that will build on the strengths of existing work. A newly formed Management Board has begun work to create an arm's-length environmental monitoring agency that will be scientifically rigorous and provide relevant and timely data and information on air, land, water and biodiversity. Environmental monitoring is a foundational pillar of Alberta's Integrated Resource Management System and will address cumulative effects impacts from both provincial and regional perspectives.

Alberta currently has substantial monitoring in place, but it is uncoordinated, done in silos, and often done in response to specific issues that are regionally based. Storage of monitoring results is dispersed and there are knowledge islands that vary based on who owns the data and who is using it. The GoA desires a centrally coordinated system that is integrated across environmental media. It needs to be science-based, open, transparent, credible and easily accessible. Actions currently underway include:

- Appointing a management board in October 2012 to provide advice to the ESRD Minister on how to get the monitoring agency operating and funded beyond one year.
- Determining how to structure a science advisory group.
- Negotiating a memorandum of understanding with Environment Canada on joint monitoring of the oil sands.
- Determining roles for the provincial and federal government, once monitoring moves to the agency for governance. Funding for monitoring the oil sands portion is coming from industry with up to \$50 million annually.

Related discussion and observations:

- There was a question whether the GoA will provide standardized funding and methodology across airsheds. Bev indicated that the geographic boundaries of airsheds and standardized methodologies will be determined by the monitoring agency for the whole province. There are on-going discussions to determine long-term, sustainable funding.
- There is a need to work on non-point sources, but there is a concern that the current CASA Board membership does not represent the full range of interests... The CASA Secretariat is working on a background document to enable a board discussion on membership at their meeting in March 2013.
  - Alternative fuels may be part of the solution for fast-growing communities like Calgary that already have a problem. CASA could play a bigger part in this.
- There seems to be a need to develop an integrated template for air management at the regional level that would help in the implementation of the Land Use Framework.
- There is an opportunity to consider integrated resource development and cumulative effects management in the context of air quality management. CASA could provide a gap analysis and provide advice on best practices for developing frameworks.
- CASA is already scoping new work that dovetails with the government initiatives presented here, but there are also gaps, such as the development of a regional air quality management template. CASA has an effective and tested system to propose new work directed at the creation of project teams. At the same time, individual stakeholders or groups, can ask the secretariat to bring together interested parties if they want to scope issues of interest that are not presently being addressed.

Many of these new initiatives were driven, in part, by related federal government initiatives, yet Environment Canada has had no active board participation for the past year.

**Action: Norm will encourage the participation of Environment Canada on the CASA board by forwarding these minutes, together with a request, to the Regional Director General.**

**Action: The board to determine the most appropriate way for CASA to contribute to the GoA's Clean Air Strategy, Land Use Framework, Regulatory Enhancement Project, and New Environmental Monitoring System.**

### 3 Statement of Opportunity

#### 3.1 Electricity Framework Review

The board received the statement of opportunity (SOO) for review. The commencement of the second five-year Electricity Framework Review requires the board's direction to form a working group that will develop a project charter. It should be noted that the five-year review is a two-step process. Step one is the initial assessment and the development of forecasts to determine if a full review is triggered. Step two, a full review, would be triggered by recommendation 34 (15% increase in emissions from the 2008 emissions forecast), recommendation 35 (economic assumptions are now significantly different), or additional information illustrating potential health effects. A full review would consider changes to the framework to reflect current circumstances.

The electricity sector strongly supports this SOO and feels that this work should be fast-tracked to determine whether a full review is warranted. They indicated that they would be sending three individuals to participate on the Working Group to fully represent the sector's interests.

***By consensus, the board agreed to form a multi-stakeholder working group that will further screen and scope the issue and develop a project charter for the board's approval by March 2013.***

**Action: The secretariat will convene a multi-stakeholder team to develop a project charter for the Electricity Framework Review and report back to the board's March 2013 meeting.**

### 4 Project Management

#### 4.1 Performance Measures Review Working Group

David Lawlor and Peter Darbyshire presented on behalf of the working group. In 2007, the board approved a performance measures review process to be carried out every three years. The last review occurred in 2009. In December 2011, the Performance Measures Committee (PMC) requested input from the board on performance measures and asked for volunteers to help with the 2012 performance measures review. Subsequently, the Performance Measures Review Working Group (PMRWG) was formed.

The work of the PMRWG is presented in two documents: the Performance Measurement Strategy and the 2012 Performance Measures Review Report. The strategy is a stand-alone document which will be used by CASA and the PMC going forward to guide performance measurement and act as a repository of related information.

The strategy is accompanied by the 2012 Performance Measures Review Report, which outlines the results of the 2012 performance measures review and explains how they have been incorporated into the strategy.

***By consensus, the board:***

***1. Approved the 2012 Performance Measures Review Report.***

***2. Approved the Performance Measurement Strategy.***

***3. Directed the PMC to begin implementation of the Performance Measurement Strategy for the 2013 reporting period.***

**Action: The Performance Management Committee to begin implementing the Performance Measurement Strategy for the 2013 reporting period.**

## **4.2 Status Reports**

The Chair asked if there were any questions or comments on the status reports included in the briefing book including the following:

- Communications Committee
- Confined Feeding Operations Project Team
- Odour Management Framework
- Particulate Matter and Ozone Implementation Team
- Statement of Opportunity - Transportation Emissions

Celeste provided an update on the PM and Ozone Implementation Team:

- The PM and Ozone Implementation team co-chairs met on October 24, 2012, to discuss next steps for the team. Then the full team met on November 28, 2012, to discuss:
  - Progress made towards completing the terms of reference;
  - Impacts of the national Air Quality Management System (AQMS) on the PM and Ozone Management Framework; and
  - The future of the team.
- The team will be bringing its final report to a future board meeting and anticipates recommending that the team disband...

## 1 Administration Part II

### **1.6 Core Budget for 2013 and Core Funding Background Information**

Norm prefaced his introduction of CASA's 2013 budget, with a thank you to secretariat staff for their excellent work over the past year, something that he and the board truly appreciate. He then asked for board approval of CASA's 2013 core operating budget which includes: board and project support and coordination, administration and operating expenses, statements of opportunity, strategic planning, and communications. The total budget is \$1,056,330 and represents a net decrease of 1.4% from the revised 2012 budget submitted in July of 2012.

The committed funds from Alberta Energy for 2013 (\$850,000) are sufficient to sustain the current level of secretariat support for existing and planned projects through the second quarter of 2014. However, if core funding levels remain the same in fiscal 2014, CASA's "bridging



fund” would be eroded. It should also be noted that the existing level of core funding does not provide for any new CASA projects arising from implementation of the Renewed Clean Air Strategy or the national AQMS.

The financial stability of the alliance is also dependent on the continued commitment of all stakeholders to the original core funding principle and assumptions outlined in 1994 that are detailed in the board book.

The board asked if the creative sentencing option could provide CASA with more funding. Norm explained that this possibility exists as a “one off” but can not be relied on for core funding. NGO’s noted that they do not want to be in competition with CASA for these funds. Norm will be bringing a proposal to the Executive Committee soon to fully fund CASA’s budget in 2014. Funding was reduced by government to \$850,000 in 2010. Board members requested that the Executive Director seek additional core funding from the federal government to help fund CASA’s work.

*By consensus, the board approved CASA’s 2013 core operating budget.*

**Action: The secretariat to bring a proposal to Executive Committee for re-establishing sustainable funding to CASA in 2014.**

## **1.7 Proposed Schedule for 2013 Board Meetings**

The CASA Executive Committee is proposing that the board continue holding four meetings per year. The June meeting would begin with a brief annual general meeting. The proposed CASA board meeting dates for 2013 are:

### **Option 1 (Thursdays):**

1. March 28 (Calgary)
2. June 20 (Edmonton)
3. September 26 (Calgary)
4. December 12 (Edmonton)

### **Option 2 (Wednesdays):**

1. March 27(Calgary)
2. June 19 (Edmonton)
3. September 25 (Calgary)
4. December 11 (Edmonton)

*By consensus, the board approved Option 2 – Wednesdays.*

## 5 New/Other Business

### **5.1 New/Other Business**

No new/other business was introduced.

Norm acknowledged John Squarek's significant contribution to CASA as this is his last meeting, though plans are being made to more formally recognize his work at a future board meeting in Calgary.

**5.2 Updated Board Mailing and Membership Lists**

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

**5.3 Project Team & Committee Membership Lists**

Members were asked to provide the Secretariat with up-to-date information on project team and committee membership lists.

**5.4 Evaluation Forms**

Members were asked to complete evaluation forms for the December 13, 2012 meeting. These responses are valued and will be reviewed by the Executive Committee at its next meeting.

The next CASA board meeting will be March 27, 2013 in Calgary.

The meeting adjourned at 2:50 p.m.

## Board Action Items For Discussion – March 27, 2013

Action items	Meeting	Status
<b>1.5 – New Accounting Standards for Not for Profit Organizations</b> The secretariat to prepare CASA’s 2012 financial statements according to CGAAP – Part III accounting standards for not-for-profit organizations.	December 13, 2012	Completed
<b>1.6 -Core Budget for 2013 and Core Funding Background Information</b> The secretariat to bring a proposal to Executive Committee for re-establishing sustainable funding to CASA in 2014.	December 13, 2012	Carried Forward. Core budget for 2013 approved.
<b>2.0 – Government Initiatives</b> Norm will encourage the participation of Environment Canada on the CASA board by forwarding these minutes, together with a request, to the Regional Director General.	December 13, 2012	Completed
<b>2.0 – Government Initiatives</b> The board to determine the most appropriate way for CASA to contribute to the GoA’s Clean Air Strategy, Land Use Framework, Regulatory Enhancement Project, and New Environmental Monitoring System.	December 13, 2012	Carried forward. Candidate projects to be discussed at March 27 <sup>th</sup> meeting.
<b>3.1 – Electricity Framework Review</b> The secretariat will convene a multi-stakeholder team to develop a project charter for the Electricity Framework Review and report back to the board’s March 2013 meeting.	December 13, 2013	Completed
<b>4.1 – Performance Measures Review Working Group</b> The Performance Management Committee to begin implementing the Performance Measurement Strategy for the 2013 reporting period.	December 13, 2013	Completed

### Carried Forward Action Items

Action items	Meeting	Status
<b>6.2 – Review of CASA’s Membership</b> The board asks that the Executive Committee prepare a proposal for reviewing CASA membership to be presented at the December 2012 meeting.	September 27, 2012	Carried forward. Executive is continuing to consult with new applicants and will report back to the board at the June, 2013 meeting or before.

## ***INFORMATION SHEET***

***ITEM:***                    1.5    **Executive Director's Report/Financial Statements**

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

***ATTACHMENTS:***    A.      Executive Director's Report  
                                  B.      Legal Requirements to December 31, 2012  
                                  C.      Stakeholder Support to December 31, 2012

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

***ATTACHMENTS:***    D.      Core Revenue Forecast  
                                  E.      Consolidated Core Expenses – January 31, 2013

# Executive Director's Report

## Overview of Key Events and Initiatives

### Meetings with Board members

Each year the ED meets with individual board members to gain an appreciation of each stakeholder organization's needs and specific interests in CASA. These have proven to be valuable exchanges over the past two years, generating new ideas and much of CASA's agenda for project work. These meetings are underway and will continue through March of 2013.

### Audit of CASA Financial Practices in 2012

Karen Bielech and the ED have been working closely with Hawkings Epp Dumont LLP to provide the information needed to complete the 2012 CASA audit. That process is now complete and the financial statements and associated findings were provided to the Executive for their consideration at the meeting on Feb. 21<sup>st</sup>, 2013. At this writing, it appears that CASA's financial practices will again fall within prescribed norms. Karen is to be commended for her consistent and professional approach to managing CASA's finances.

This will conclude the 3-year contract of our auditor, requiring that a new RFQ be sent to qualified firms. While we will wait for submitted bids, CASA should also weigh the benefits associated with continuing to use the same firm for the next 3 years vs. the value of a new "set of eyes".

On a related matter, last year the Executive discussed bringing in a Chartered Accountant to review CASA's management of investments and cash flow to determine if we can increase revenues. (In 2012 we received approx. 1% in interest on a balance exceeding \$1,000,000.00). The Secretariat plans on retaining the services of Ron Graham and Assoc. to do this work in April. The work will be staged. They will initially conduct a 1-day assessment of all our investments, after which they will advise us if improvements are possible. If so, they would then provide the Secretariat with specific recommendations on paper. This work must consider CASA's cash flow needs, potential for return on investments and the need for security of principal.

### Alignment of CASA projects with Operating Environment

The rollout of the Clean Air Strategy, single regulator, environmental monitoring system and land use framework will continue to evolve over the next several years. CASA projects must continue to respond to a changing regulatory landscape and, wherever possible, provide useful input to the way in which these government initiatives are implemented. The Secretariat and

project team members are spending considerable time liaising with the program managers for these initiatives, so that our work is aligned with the most recent information available.

### Statements of Opportunity and Project Charter Development

#### Odour Management:

Based on stakeholder discussions and a preliminary literature review and jurisdictional comparison, a Statement of Opportunity was presented to the Board of Directors at their September 27 board meeting. The Board approved the formation of a working group to develop the Project Charter. The working group first met on 14 January 2013. The group is currently working to prepare a Project Charter for an Odour Management Project Team that will be presented to the Board at the March Board meeting.

#### 2013 Electricity Framework Review:

At their December meeting, the Board approved the formation of a working group to develop the project charter for the 2013 Electricity Framework Review. The working group has had four meetings since then to work on developing the project charter. They are currently reviewing the second draft of the project charter and will meet again on February 26. The final project charter will be presented at the March Board meeting

#### Non-point Source Emissions:

At the December 2012 Board meeting, the Board received updates on four government initiatives (the Clean Air Strategy, the Land Use Framework, the Regulatory Enhancement Project, the new Environmental Monitoring System) and discussed CASA's potential contribution to each. The need for non-point source emissions management was a recurring theme. Subsequently, work on a Statement of Opportunity regarding transportation emissions management will now focus on non-point source emissions management. The Statement of Opportunity will then be thoroughly vetted by all interested stakeholders before being forwarded to the Board for decision.

### **Project Team and Committee work**

The implications of the recently announced government initiatives, coupled with the SOOs listed above, requires CASA to complete, expedite and/or clarify the work of existing project teams. The Secretariat is making a concerted effort to consider the limited availability of our stakeholders and to use their time as effectively as possible.

### **CASA and AAC Joint Standing Committee**

Last year, the Committee contracted a consultant to write a discussion paper to form a basis for JSC discussions around policies and strategies affecting airshed zones as well as roles, interests

and relationships between the AAC, airshed zones and CASA. The JSC last met on January 10, 2013 to discuss recent developments in air quality management, review the questions posted in the consultant's discussion paper, provide advice to the CASA Executive Committee on the issue of AAC membership on the CASA Board and next steps. The JSC requested a meeting with the Environmental Monitoring body headed by Ernie Hui, to determine which questions from the consultant's discussion paper the JSC could answer to help inform emerging policy. The JSC will meet with representatives from the Environmental Monitoring Group and ESRD on March 6<sup>th</sup>.

#### **Communications Committee**

The Communications Committee met on February 12<sup>th</sup> to discuss the annual review (including a new format/distribution approach), the lessons learned document from the 2012 Coordination Workshop, the 2013 tactical plan and the on-going research on a community of practice. The annual review presentation from the Communications Committee will include a summary of the 2012 initiatives, and will provide the Board with an interactive social media walk through at the March meeting.

#### **Operations Steering Committee**

The CASA secretariat has provided a CASA Data Warehouse budget update to current OSC members. Further discussions with OSC members are required to establish the future of this committee, in light of recently announced government initiatives.

#### **Performance Measures Committee**

The Performance Measures Review Working Group completed the 2012 performance measures review and presented their results, and CASA's new Performance Measurement Strategy, to the Board in December and received approval.

The Performance Measures Committee is currently preparing the results of the 2012 performance measures for presentation to the Board in March and inclusion in the CASA Annual Report.

#### **Human & Animal Health Implementation Team**

The team has reviewed the implementation of recommendations from the four previous reports. For recommendations that are not complete, the team discussed their current relevance and the path forward and agreed to create an inventory of how all agencies currently contribute to the CHMS and discuss if and how these inputs can be better coordinated.

## **Particulate Matter & Ozone**

The PM and Ozone Implementation Team last met on November 28, 2012 to discuss progress made towards completing the Terms of Reference and the implications of the CAAQS for the Framework as well as to review the most recent PM & Ozone Assessments from ESRD. At this meeting, the team agreed to disband as the CAAQS now represent the national standard. The team will be bringing forward its final report and two recommendations at the March Board meeting.

## **Guide to Managing Collaborative Processes**

The most recent version of this Guide will be included in the March Board meeting package. This Guide is considered a living document; we do not anticipate there being a ‘final version’ because the guide will be updated based on the experience gained in project teams.

## **Strategic Planning**

Secretariat tasks for 2013 include reviewing and assessing the current Strategic Plan and developing a 2013 operational plan and a risk management plan.

## **The Secretariat**

### Staff Complement

Planned and existing projects at CASA require a high level of informed project support. 2 or more of the emerging Project Teams may include several sub-groups, each of which will also have to be facilitated, supported and managed. The Secretariat currently has 7 staff members. 2 are committed to project management full time; 1 manages a single project plus communications, 1 provides entry level project support and 2 are committed to board support, admin and finance (plus an Executive Director). The reduction in admin staff from 2012 has increased the Secretariat’s capacity to support project work, while maintaining basic admin services. The Secretariat plans to hire 1 additional project manager on April 1st, maintaining the capacity to service both existing and new project work within the reduced budget. This will see the Secretariat fully staffed again.

Subject to interest and supervision requirements, CASA may also ask the Government of Alberta for a secondment, consistent with past practice. Any secondment would likely be assigned to stand alone projects that do not require year-over-year continuity.



### Staff Development

CASA staff have a keen interest in honing their facilitation and mediation skills through pursuing mentoring opportunities with other seasoned practitioners. As opportunities present themselves CASA is pairing our project managers with visiting mediators so that they gain first-hand experience with dispute resolution strategies being used on other files in Alberta and in neighbouring jurisdictions. We believe this will take CASA staff capabilities to a new level, equipping them to handle progressively more difficult challenges. CASA remains uniquely positioned to offer these opportunities to our staff, offsetting the limited opportunities for advancement at CASA.

**Clean Air Strategic Alliance  
Legal Requirements Completed for 2012  
January 1 to December 31 2012**

<b>Description</b>	<b>Requirements</b>	<b>Completion Date</b>
Revenue Canada	Annual Filing of Return & Audited Financial Statements	March 2012
Annual General Meeting	Annual Meeting of Members of the Alliance.  Presentation of CASA's Audited Financial Statements	September 27, 2012  September 27, 2012
Revenue Canada – GST Return	Return Filed Quarterly	April 27, 2012 July 26, 2012 October 29, 2012 January 29, 2013
Revenue Canada – Payroll Deductions	Payment is made on about the 15 <sup>th</sup> of the following month	Feb 15/12- Ceridian- for Jan. Mar 15/12- Ceridian- for Feb. Apr 16/12- Ceridian- for Mar. May 15/12- Ceridian-for Apr. June 15/12- Ceridian-for May. July 16/12- Ceridian- for June. Aug 15/12- Ceridian – for July. Sept 17/12-Ceridian – for Aug. Oct 15/12-Ceridian –for Sept. Nov 15/12-Ceridian – for Oct. Dec 17/12-Ceridian –for Nov. Jan 15/13-Ceridian –for Dec.
Board of Directors Liability Insurance	Annual Payment for Liability Insurance	January 1, 2012 (for 2012)
Alberta Tax Return	Annual Filing	March 2013(for 2012)

**Stakeholder Support  
January 1 to December 31, 2012**

<b>Name</b>	<b>Organization</b>
Leigh Allard	The Lung Association
Ann Baran	Southern Alberta Group for the Environment
Marc Huot	Pembina Institute
Leonard Standing on the Road	Ponoka Fish and Game
Myles Kitagawa	Toxics Watch Society of Alberta
Tom Marr-Laing	Pembina Institute
Beth Nanni	The Lung Association
Louis Pawlowich	Metis
Denis Sauvageau	Friends of an Unpolluted Lifestyle
Chris Severson-Baker	Pembina Institute
David Spink	Prairie Acid Rain Coalition
Wayne Ungstad	Ponoka Fish & Game Association
Ruth Yanor	Mewassin Community Action Council

Note: The above stakeholders received stakeholder support from CASA during 2012. This list also includes stakeholders who received travel support.

## CASA Core Revenue and Expense Summary

<u>Revenue</u>	<u>Amount</u>	<u>Note</u>
<b>Grants Carried Forward from 2008</b>	<b>\$547,730</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>	
Transfers to Projects	<b>-\$55,000</b>	To Martha Workshop and Priority Setting Workshop, as agreed by Alberta Environment
<b>Total Expenses 2009</b>	<b>-\$836,590</b>	Year-end actual
<b>Balance End of 2009</b>	<b>\$906,140</b>	
<b>Revenue 2010 -Alberta Energy</b>	<b>\$850,000</b>	For operations to March 31, 2011
Transfer to external projects	<b>-\$800</b>	
<b>Total Expenses 2010</b>	<b>\$923,410</b>	Year end actual
<b>Balance End of 2010</b>	<b>\$831,930</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>\$698,611</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>\$538,497</b>	
<b>Revenue 2013- Alberta Energy</b>	<b>\$850,000</b>	Funding commitment to March 31, 2014
<b>Budget January 2013</b>	<b>\$1,056,330</b>	Forecast
<b>Balance End of 2013</b>	<b>\$332,167</b>	Forecast

as of January 30, 2013

Clean Air Strategic Alliance  
Consolidated Core Expenses  
January 31, 2013

Expense Account	Expenditure to date	Total Budget January 2013	% of Budget
<b>Supplies &amp; Services</b>			
Advertising	0	5,000	0
Bank and Finance Charges	161	2,000	8
Computers & IT	2,457	37,645	7
Courier	0	2,100	0
Depreciation			
Development- Stakeholders	0	5,125	0
Furniture & Display	0	4,000	
Office Reconfiguration	0		
Honoraria - Stakeholders	1,625	93,524	2
Insurance	328	3,895	8
Meeting Expenses	954	17,293	6
Office Supplies	33	6,000	1
Print & Reproduction Services			
Annual Report	0	8,500	0
General	98	16,140	1
Repairs & Maintenance	0	500	0
Records Storage	172	2,090	8
Subscriptions	400	7,000	6
Telecommunications	522	6,900	8
Travel			
Consultants	0	625	0
Stakeholders	406	35,762	1
Staff	1,070	28,608	4
<b>Total Supplies &amp; Services</b>	<b>8,225</b>	<b>282,707</b>	<b>3</b>
<b>Professional Fees</b>			
Legal Fees	0	3,000	0
Audit	0	9,400	0
Consulting Expense			
Alberta Environmental Network	1,750	21,000	8
Consulting for Board/Projects	4,116	57,000	7
<b>Total Professional Fees</b>	<b>5,866</b>	<b>90,400</b>	<b>6</b>
<b>Human Resources</b>			
Salaries & Wages	41,759	566,730	9
Employer Contributions	3,347	22,029	15
Group Benefits	1,674	26,076	6
Group Retirement Savings Plan	3,340	45,388	7
Performance Pay	0	0	
Employee Recognition	313	2,500	13
Staff Development			
Membership Fees	50	1,000	5
Training	1,529	14,000	11
Temporary Staff & Contract Labour		2,500	0
Recruitment	65	3,000	2
<b>Total Human Resources</b>	<b>52,077</b>	<b>683,223</b>	<b>8</b>
<b>Total Expenses</b>	<b>66,168</b>	<b>1,056,330</b>	<b>6</b>

## ***DECISION SHEET***

***ITEM:***                    1.6    **2012 Audited Financial Statements**

***ISSUE:***                    Approve the 2012 Audited Financial Statements.

***STATUS:***                    During the last week of January 2013, Hawkings Epp Dumont LLP began a yearly analysis of CASA records. On February 21, 2013 Phil Dirks, C.A., Hawkings Epp Dumont LLP met with the Executive Committee to review the financial statements, to answer questions, and to clarify the financial information in the statements.

The financial statements are approved at this time to allow for inclusion in the 2012 Annual Report. As a legal requirement, the statements will be tabled at the Annual General Meeting in June of this year.

The CASA Executive Committee recommends board approval of the 2012 audited financial statements.

***ATTACHMENTS:***        A. 2012 Audited Financial Statements  
                                  B. Management Letter  
                                  C. Engagement Letter

***DECISION:***                    Approve the 2012 Audited Financial Statements for the purpose of including them in the 2012 Annual Report.

**THE CLEAN AIR STRATEGIC  
ALLIANCE ASSOCIATION**

**EDMONTON, ALBERTA**

**FINANCIAL STATEMENTS**

**FOR THE YEARS ENDED DECEMBER 31, 2012 AND DECEMBER 31, 2011**

**DRAFT**

# Hawkings Epp Dumont LLP

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## INDEPENDENT AUDITORS' REPORT

To the Members of The Clean Air Strategic Alliance Association

We have audited the accompanying financial statements of the The Clean Air Strategic Alliance Association, which comprise the statement of financial position as at December 31, 2012, December 31, 2011, and January 1, 2011 and the statements of operations and changes in fund balances and cash flows for the years 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.

### *Auditor's 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 auditor's 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 The Clean Air Strategic Alliance Association as at December 31, 2012, December 31, 2011, and January 1, 2011 and the results of its operations and its cash flows for the years ended December 31, 2012 and December 31, 2011 in accordance with Canadian accounting standards for not-for-profit organizations.

Edmonton, Alberta  
February 21, 2013

HAWKINGS EPP DUMONT LLP  
Chartered Accountants

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**THE CLEAN AIR STRATEGIC ALLIANCE ASSOCIATION**

**STATEMENT OF FINANCIAL POSITION**

**AS AT DECEMBER 31, 2012**

ASSETS

	<u>Core</u>	<u>External Projects</u>	<u>2012</u>	<u>Total 2011</u>	<u>January 2010</u>
<b>Current Assets</b>					
Cash and cash equivalents (Note 4)	\$1,000,574	\$ 191,784	\$1,192,358	\$1,279,536	\$1,373,294
Accounts Receivable (Note 5)	9,068	2,333	11,401	12,782	28,948
Interfund receivable (payable)	(5,985)	5,985	-	-	-
Prepaid expenses	<u>3,260</u>	<u>-</u>	<u>3,260</u>	<u>5,136</u>	<u>4,611</u>
	1,006,917	200,102	1,207,019	1,297,454	1,406,853
<b>Tangible Capital Assets (Note 6)</b>	4,918	7,282	12,200	13,068	5,229
<b>Intangible Assets (Note 7)</b>	<u>6,073</u>	<u>29,479</u>	<u>35,552</u>	<u>31,975</u>	<u>31,455</u>
	<u>\$1,017,908</u>	<u>\$ 236,863</u>	<u>\$1,254,771</u>	<u>\$1,342,497</u>	<u>1,443,537</u>

LIABILITIES AND FUND BALANCES

<b>Current Liabilities</b>					
Accounts payable and accrued liabilities	\$ 52,473	\$ 18,356	\$ 70,829	\$ 57,994	\$ 38,537
Deferred contributions (Note 8)	<u>574,284</u>	<u>181,746</u>	<u>756,030</u>	<u>859,299</u>	<u>1,005,778</u>
	626,757	200,102	826,859	917,293	1,044,315
<b>Long-term Liabilities</b>					
Deferred contributions - Tangible capital and intangible assets (Note 9)	<u>10,990</u>	<u>36,761</u>	<u>47,751</u>	<u>45,043</u>	<u>19,061</u>
	<u>637,747</u>	<u>236,863</u>	<u>874,610</u>	<u>962,336</u>	<u>1,063,376</u>
<b>Fund Balances</b>					
Internally restricted (Note 3 (b))	290,000	-	290,000	290,000	290,000
Unrestricted					
Invested in tangible capital assets	-	-	-	-	17,630
Available for operations	<u>90,161</u>	<u>-</u>	<u>90,161</u>	<u>90,161</u>	<u>72,531</u>
	<u>380,161</u>	<u>-</u>	<u>380,161</u>	<u>380,161</u>	<u>380,161</u>
	<u>\$1,017,908</u>	<u>\$ 236,863</u>	<u>\$1,254,771</u>	<u>\$1,342,497</u>	<u>\$1,443,537</u>

**ON BEHALF OF THE BOARD:**

\_\_\_\_\_ Director

\_\_\_\_\_ Director

**THE CLEAN AIR STRATEGIC ALLIANCE ASSOCIATION**  
**STATEMENT OF OPERATIONS AND CHANGES IN FUND BALANCES**  
**FOR THE YEARS ENDED DECEMBER 31, 2012**

	<u>Core</u>	<u>External Projects</u>	<u>2012</u>	Total <u>2011</u>
Revenue				
Grants (Note 8)	\$ 974,390	\$ 96,579	\$ 1,070,969	\$ 1,063,643
Fee for service	5,932	-	5,932	-
Amortization of deferred contributions - tangible capital assets and intangible assets (Note 9)	4,710	11,665	16,375	15,185
Interest	<u>13,416</u>	<u>726</u>	<u>14,142</u>	<u>14,227</u>
	<u>998,448</u>	<u>108,970</u>	<u>1,107,418</u>	<u>1,093,055</u>
Expenses (Schedule 1)				
Projects	384,453	-	384,453	314,437
General and administrative	393,265	-	393,265	389,703
Board support	100,583	-	100,583	142,168
Communications	99,848	-	99,848	136,285
Other	20,299	-	20,299	3,251
External projects	-	<u>108,970</u>	<u>108,970</u>	<u>107,211</u>
	<u>998,448</u>	<u>108,970</u>	<u>1,107,418</u>	<u>1,093,055</u>
Excess of Revenue over Expenses	-	-	-	-
Fund Balances, Beginning of Year	<u>380,161</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 YEARS ENDED DECEMBER 31, 2012**

	<u>2012</u>	<u>2011</u>
Operating Activities		
Excess of revenue over expenses	\$ -	\$ -
Amortization of tangible capital assets	4,710	2,925
Amortization of intangible assets	11,665	\$ 12,260
Amortization of deferred contributions - tangible capital assets and intangible assets	<u>(16,375)</u>	<u>(15,188)</u>
	-	(3)
Change in non-cash working capital balances related to operations:		
Decrease in accounts receivable	1,381	16,166
Decrease in prepaid expenses	1,876	(525)
Increase (decrease) in accounts payable and accrued liabilities	12,834	19,464
Increase (decrease) in deferred contributions	<u>(103,269)</u>	<u>(146,479)</u>
	<u>(87,178)</u>	<u>(111,377)</u>
Financing Activities		
Deferred contributions received - tangible capital assets and intangible assets	<u>19,083</u>	<u>41,170</u>
Investing Activities		
Purchase of tangible capital assets and intangible assets	<u>(19,083)</u>	<u>(23,551)</u>
Change in Cash and Cash Equivalents During the Year	(87,178)	(93,758)
Cash and Cash Equivalents, Beginning of Year	<u>1,279,536</u>	<u>1,373,294</u>
Cash and Cash Equivalents, End of Year	<u>\$ 1,192,358</u>	<u>\$ 1,279,536</u>
Additional Cash Flow Information:		
Interest received	<u>\$ 14,142</u>	<u>\$ 14,226</u>

## THE CLEAN AIR STRATEGIC ALLIANCE ASSOCIATION

### NOTES TO FINANCIAL STATEMENTS

DECEMBER 31, 2012

#### 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. ADOPTION OF ACCOUNTING STANDARDS FOR NOT FOR PROFIT ORGANIZATIONS

Effective January 1, 2012 the Association adopted the requirements of the Canadian Institute of Chartered Accountants ("CICA Handbook"), electing to adopt the new accounting framework: Canadian accounting standards for not-for-profits ("ASNPO"). The Association's first reporting period using ASNPO is for the year ended December 31, 2012. As a result, the date of transition to ASNPO is January 1, 2011. The Association previously presented its financial statements using the Canadian generally accepted accounting principles ("CGAAP") annually to December 31st of each fiscal year up to, and including, December 31, 2011.

The adoption of ASNPO has had no impact on the previously reported assets, liabilities, or net assets of the Association, and accordingly no adjustments have been recorded in the comparative statement of financial position, statement of operations, statement of net assets, or statement of cash flows. The Association's disclosures included in these financial statements reflect the new disclosure requirements of ASNPO.

#### 3. ACCOUNTING POLICIES

The financial statements have been prepared on a fund accounting basis using the deferral method of accounting for contributions in accordance with ASNPO 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.

(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 tangible capital assets, entitled investment in tangible capital assets 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.

(CONT'D)

**THE CLEAN AIR STRATEGIC ALLIANCE ASSOCIATION**

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

**DECEMBER 31, 2012**

**3. ACCOUNTING POLICIES (CONT'D)**

(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.

(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.

(CONT'D)

**THE CLEAN AIR STRATEGIC ALLIANCE ASSOCIATION**

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

**DECEMBER 31, 2012**

(i) Financial Instruments

The Association initially measures its financial assets and financial liabilities at fair value. The Association subsequently measures all of its financial assets and financial liabilities at amortized cost. Changes in fair value are recognized in the statement of operations in the period incurred.

Financial assets measured at amortized cost include cash, cash equivalents, short term investments, and accounts receivable.

Financial liabilities measured at amortized cost include accounts payable and accrued liabilities.

**4. CASH AND CASH EQUIVALENTS**

	<u>2012</u>	<u>2011</u>	<u>January 2010</u>
Guaranteed Investment Certificates	\$ 910,697	\$ 1,110,155	\$ 63,839
Operating accounts	176,260	118,796	124,070
Savings accounts	<u>105,401</u>	<u>50,585</u>	<u>1,185,385</u>
	<u>\$ 1,192,358</u>	<u>\$ 1,279,536</u>	<u>\$ 1,373,294</u>

Guaranteed Investment Certificates bear interest at rates ranging from 0.90% - 1.4% (2011 - 1.15% - 1.51%) and mature between February 17, 2013 and September 4, 2013.

**5. RECEIVABLES**

	<u>2012</u>	<u>2011</u>	<u>January 2010</u>
Accrued interest	\$ 5,709	\$ 7,265	\$ 50
Goods and Services Tax	5,692	5,517	9,581
Grants	<u>-</u>	<u>-</u>	<u>19,317</u>
	<u>\$ 11,401</u>	<u>\$ 12,782</u>	<u>\$ 28,948</u>

**6. TANGIBLE CAPITAL ASSETS**

	<u>Cost</u>	<u>Accumulated Amortization</u>	<u>2012</u>	<u>Net Book Value 2011</u>	<u>January 2010</u>
Computer equipment	\$ 46,392	\$ 37,015	\$ 9,377	\$ 9,037	\$ 5,199
Furniture and equipment	<u>8,819</u>	<u>5,996</u>	<u>2,823</u>	<u>4,031</u>	<u>30</u>
	<u>\$ 55,211</u>	<u>\$ 43,011</u>	<u>\$ 12,200</u>	<u>\$ 13,068</u>	<u>\$ 5,229</u>

**THE CLEAN AIR STRATEGIC ALLIANCE ASSOCIATION**

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

**DECEMBER 31, 2012**

**7. INTANGIBLE ASSET**

	<u>Cost</u>	<u>Accumulated Amortization</u>	<u>2012</u>	<u>Net Book Value 2011</u>	<u>January 2010</u>
Website	\$ 14,582	\$ 8,509	\$ 6,073	\$ 8,676	12,395
Data warehouse	<u>44,744</u>	<u>15,265</u>	<u>29,479</u>	<u>23,299</u>	<u>19,060</u>
	<u>\$ 59,326</u>	<u>\$ 23,774</u>	<u>\$ 35,552</u>	<u>\$ 31,975</u>	<u>31,455</u>

**8. DEFERRED CONTRIBUTIONS**

(a) Core Fund

During the year, the Association received grants totaling \$850,000 (2011 - \$850,000) from the Province of Alberta. 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>2012</u>	<u>2011</u>
Balance, Beginning of Year	\$ 698,674	\$ 833,995
Grants received and receivable during the year	850,000	850,000
Transfer to deferred contributions - tangible capital assets and intangible assets	-	(22,345)
Revenue recognized to cover expenses during the year	<u>(974,390)</u>	<u>(962,976)</u>
Balance, End of Year	<u>\$ 574,284</u>	<u>\$ 698,674</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>2012</u>	<u>2011</u>
Balance, Beginning of Year	\$ 160,625	\$ 171,783
Grants received and receivable during the year	136,783	108,334
Transfer to deferred contributions - tangible capital assets and intangible assets	(19,083)	(18,825)
Revenue recognized during the year	<u>(96,579)</u>	<u>(100,667)</u>
Balance, End of Year	<u>\$ 181,746</u>	<u>\$ 160,625</u>

**THE CLEAN AIR STRATEGIC ALLIANCE ASSOCIATION**

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

**DECEMBER 31, 2012**

**9. DEFERRED CONTRIBUTIONS RELATED TO TANGIBLE CAPITAL ASSETS AND INTANGIBLE ASSETS**

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

(a) Core Fund

	<u>2012</u>	<u>2011</u>
Balance, Beginning of Year	\$ 15,700	\$ -
Transfer from internal deferred revenue (Note 8)	-	22,345
Amounts recognized during the year	<u>(4,710)</u>	<u>(6,645)</u>
Balance, End of Year	\$ <u>10,990</u>	\$ <u>15,700</u>

(b) External Projects Fund

	<u>2012</u>	<u>2011</u>
Balance, Beginning of Year	\$ 29,343	\$ 19,061
Transfer from external deferred revenue (Note 8)	19,083	18,825
Amounts recognized during the year	<u>(11,665)</u>	<u>(8,543)</u>
Balance, End of Year	\$ <u>36,761</u>	\$ <u>29,343</u>

**10. 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.

**11. FINANCIAL INSTRUMENTS**

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, 2012

*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 extensive budgeting and maintaining investments that may be converted to cash in the near-term if unexpected cash outflows arise.

**12. BUDGET FIGURES**

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

**13. COMPARATIVE FIGURES**

Certain comparative figures have been reclassified to conform with the current year's presentation.



## THE CLEAN AIR STRATEGIC ALLIANCE ASSOCIATION

Schedule 1

## SCHEDULE OF EXPENSES BY OBJECT

FOR THE YEARS ENDED DECEMBER 31, 2012

	<u>2012</u> (Budget) (Note10)	<u>2012</u> (Actual)	<u>2011</u> (Actual)
Supplies and Services			
Travel	\$ 47,661	\$ 47,702	\$ 58,776
Computer equipment	36,445	29,419	31,244
Meetings	34,964	28,597	16,526
Stakeholder honoraria	38,270	26,449	19,374
Printing	30,432	25,119	13,257
Amortization of intangible assets	-	11,665	12,260
Telecommunications	8,100	7,006	6,821
Subscriptions	7,000	6,825	8,854
Office supplies	6,600	6,359	7,069
Stakeholder development	5,125	4,984	1,083
Amortization of tangible capital assets	-	4,710	2,925
Insurance	3,885	3,894	3,868
Advertising	5,000	3,312	4,374
Bank charges	2,100	2,105	1,945
Records storage	2,000	2,079	1,549
Furniture and equipment	6,000	1,826	7,288
Courier	1,935	1,240	2,147
	<u>235,517</u>	<u>213,291</u>	<u>199,360</u>
Professional Fees			
Consulting	308,479	220,260	218,513
Audit	8,952	9,551	9,531
	<u>317,431</u>	<u>229,811</u>	<u>228,044</u>
Human Resources			
Salaries and wages	542,616	552,229	563,383
Benefits	94,529	86,146	83,020
Staff development	17,005	16,938	13,564
Recruiting	3,000	4,528	3,254
Employee recognition	2,500	4,475	2,430
Contracted services	2,500	-	-
	<u>662,150</u>	<u>664,316</u>	<u>665,651</u>
Total Expenses	<u>\$ 1,215,098</u>	<u>\$ 1,107,418</u>	<u>\$ 1,093,055</u>

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

## **DECISION SHEET**

<b>ITEM:</b>	<b>2.1 Odour Management Project Charter</b>
<b>ISSUE:</b>	Approve the Odour Management Project Charter.
<b>BACKGROUND:</b>	<p>The issue of odour management came to the attention of CASA through its government, non-government, and industry stakeholders. The CASA Secretariat, working with various interested parties, subsequently undertook a preliminary assessment of the issue to enable the Board of Directors to determine whether further action through a collaborative, multi-stakeholder process at CASA was advisable.</p> <p>In September 2012, the Board agreed to establish a multi-stakeholder working group that would further screen and scope the issue and develop a project charter for the Board's consideration. In January 2013 the Odour Management Working Group was formed to undertake this task.</p>
<b>STATUS:</b>	<p>The working group worked collaboratively to design a process that would assist a larger group of stakeholders to engage in a discussion on odour management in Alberta. The group considered the broad issue of odour management as well as what could realistically be accomplished by a CASA project team in approximately 18-22 months. This timeline is in keeping with Board direction that project teams should be more nimble and timely. Odour management is a complex issue and the working group discussed the need for a phased approach. As such, the working group developed a vision for odour management in Alberta to guide ongoing and future work as well as a goal for the work of this CASA project team. The group broke down the work of the project team into specific topics and objectives and provided additional process-related guidance, including:</p> <ul style="list-style-type: none"><li>• Complaints</li><li>• Odour Assessment</li><li>• Health</li><li>• Prevention/Mitigation</li><li>• Enforcement/Role of Regulation</li><li>• Education/Communication/Awareness</li><li>• Continuous Improvement</li></ul> <p>This project charter is meant to offer direction and advice to the convening CASA project team, subject to receiving approval from the Board.</p>
<b>ATTACHMENTS:</b>	A. Odour Management Project Charter.
<b>DECISIONS:</b>	<ol style="list-style-type: none"><li>1. Approve the Odour Management Project Charter.</li><li>2. Approve the formation of the Odour Management Project Team, coordinated by the Secretariat. The Board will be canvassed for suggested participants for the team.</li></ol>

## Odour Management Project Charter



Prepared by the  
Odour Management Working Group  
for the  
Clean Air Strategic Alliance  
Board of Directors

6 March 2013



# Draft Project Charter

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# Draft Project Charter

## Introduction

The issue of odour management came to the attention of CASA through its government, non-government, and industry stakeholders. The CASA Secretariat subsequently undertook a preliminary assessment of the issue to enable the Board of Directors to determine whether further action through a collaborative, multi-stakeholder process at CASA was advisable.

In September 2012, the Board agreed to establish a multi-stakeholder working group that would further screen and scope the issue and develop a project charter for the Board's consideration. In January 2013 the Odour Management Working Group was formed to undertake this task. The working group worked collaboratively to design a process that would assist a larger group of stakeholders to engage in a focused discussion directed at advancing odour management in Alberta. The members of the working group also obtained regular feedback from their membership which was incorporated in the project charter. The group considered the broad issue of odour management as well as what could realistically be accomplished by a CASA project team in approximately 18-22 months. This timeline is in keeping with Board direction that project teams should be more nimble and timely. Odour management is a complex issue and the working group discussed the need for a phased approach. As such, the working group developed a vision for odour management in Alberta to guide ongoing and future work as well as a goal for the work of this CASA project team. The group broke down the work of the project team into specific topics and objectives and provided additional process-related guidance. This project charter is meant to offer direction and advice to the convening CASA project team, subject to receiving approval from the Board.

## Background

Air quality can be measured or assessed in many different ways, but sensory perception, e.g. smell, taste, visibility and eye, nose, or throat irritation, is the method most people use to judge air quality. Odours are one of the most common air pollution complaints and can have significant direct and indirect effects on health and quality of life.

There is a subjective element associated with the acceptability or degree of nuisance or offensiveness associated with a particular odour. This subjectivity is related to the circumstances or locations in which the impact is occurring. For example, some level of odour may be tolerated if an individual is travelling through an area of industrial development but that same level of odour may not be tolerated if it occurs in a residential area.

Responses to odour vary from individual to individual and can result in a variety of reportable effects, especially if the odour is noted as problematic and occurs on a frequent basis. Some individuals are able to detect an odour at much lower concentrations than others. In addition, one person may find an odour to be objectionable while another may not.

Odour management is complex. The compounds contributing to odour and sources of odour are diverse and the range of potential adverse effects is varied. Individual odour perception, preferences, and sensitivity, as well as the transient nature of odour, make it challenging to find reliable methods of assessing odour. It is also often difficult to establish a firm link between odour and health and quality of life impacts. Adding to this complexity is the cumulative impact



# Draft Project Charter

of industrial activities and regional considerations, as well as the corresponding array of regulators, interested sectors, and government departments. Lastly, with more people living closer to industrial and agricultural development, the possibility for conflict between odour-producing activities and people is increasing.

Sources of odour in Alberta include development associated with industry, agriculture, and municipalities. Complaints about odour issues are generally most acute at the interface between new or existing development and residents in both urban and rural settings. A great deal of time and resources are expended by Alberta's regulatory agencies in addressing odour-related complaints, which in many cases are not effectively resolved. The satisfactory resolution of these complaints is problematic for a number of reasons: the subjectivity involved in odour complaints, the difficulty in identifying and measuring odourous compounds, the limitations of current legislation, the absence of clear odour management approaches and outcomes, and the lack of clearly defined roles and responsibilities with respect to who is accountable for addressing complaints.

It should be noted that although there are legislative limitations in addressing odour specifically, some air emissions are regulated for other reasons and this may have the co-benefit of reducing odour-causing emissions.

## Project Scope

The work of the project team should focus on odours that are "adverse". Throughout this project charter, wherever the word "odour" is used, it is referring to *adverse* odour. The term adverse is defined according to the Environmental Protection and Enhancement Act as: "*impairment of or damage to the environment, human health or safety or property*". This is in line with the definition of adverse used in CASA's vision for Alberta's air: "*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*".

Odour related compounds and mixtures can have perceived and direct health impacts, i.e. non-odour-related health impacts, and can also cause eye, nose and throat irritation. Depending on the substances involved these impacts can occur above or below odour thresholds. The working group considered these issues and agreed that the project team should only focus on detectable odours and direct/indirect and perceived odour-related health impacts. Health and well-being are drivers of odour management and should be embedded throughout the work of the project team.

The project team should be aware that existing regulatory processes, including facility approvals and associated emissions limits, frequently address odour-related emission sources and/or chemicals. These processes potentially represent an effective source control and preventative approach to odour management. However, this does not preclude evaluating the effectiveness of the regulations. The project team should focus on odourous compounds as a whole and stay at a high level.

The work of the project team should apply to all sectors, no individual sector is meant to be singled out. While some best practices could be sector specific, the project team should focus on



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creating processes (ex. for complaints, odour assessment, etc.) that provide a consistent approach to managing odour in Alberta. It should be recognized that in some instances, all reasonable efforts may have been made to manage a source of odour, but eliminating it may not be feasible.

The working group discussed the need for a phased approach to odour management in Alberta. Odour management is a large, complex issue that cannot be fully dealt with in 18-22 months by this project team. A phased approach would see this project team completing their work as well as identifying next steps. This could include next steps for a CASA project team as well as potential work for other groups. The project team should use the Project Goal to guide their work and the Vision for Odour Management in Alberta to guide next steps and to provide context for the work of this project team within the bigger picture.

## Vision for Odour Management in Alberta

There is a comprehensive framework for odour management in Alberta.

## Project Goal

To create a good practice guide for assessing and managing odour in Alberta.

## Project Objectives

The work of the Project Team can be divided into seven cross-cutting topics. That is, the integrated nature of the work means that in developing the guide the same issue may need to be discussed and addressed under more than one topic. The „Potential Outcomes/Deliverables“ outlined in the shaded boxes under each objective are not meant to be prescriptive or limit the creativity of the project team, but rather to provide additional texture around the intent of the objectives.

1. **Complaints:** *Alberta regulatory agencies, facility operators and municipalities all may receive complaints related to odour concerns. A great deal of time and resources are expended by Alberta's regulatory agencies in addressing odour-related concerns. When odour issues are not satisfactorily addressed, it may result in more protracted issues where complainants and proponents are more polarized and entrenched.*

Objective: To effectively manage odour complaints.

- Understand the current mechanism(s) in place to manage odour complaints (ex. where are complaints coming from, who received the complaint, what information was recorded, how the information was recorded, how the complaint was resolved, what mechanisms for feedback to complainant were used, etc.).
- Clarify roles and responsibilities for responding to odour complaints.
- Develop a predictable, consistent, timely, step-wise, comprehensive process to document, investigate and address odour complaints. The process will incorporate the interests of all parties, be applicable to any odour incidence and include a clear process flow and guidance for decision-making.
  - Develop a mechanism for the complainant and the complaint manager to communicate throughout the process including information exchange at first contact and communicating results at the end of the process.



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- Make information available about the response to odour complaints.
- Consider the role of odour assessment in responding to complaints.

## Potential Outcomes/Deliverables:

- A process to document, investigate and address odour complaints that incorporates the interests of all parties and which incorporates measurement and assessment tools.
- A graphic representation(s) that clearly outlines the process (ex. decision tree, process map, flow chart, etc.)
- Guidance for phone operators/respondents responding to complaints.
- Guidance for regulators and complainants including roles and responsibilities and coordination of the various aspects of the complaints management system.

Objective: To monitor long-term trends in odour complaints.

## Potential Outcomes/Deliverables:

- A documentation process (ex. database, odour report card, etc.) for tracking complaints as they move through the system to resolution.
- An understanding of the distribution and concentration of odour complaints as a means to develop proactive management mechanisms (e.g. identifying hotspots, cumulative effects).

2. **Odour Assessment:** *Effective response to odour complaints requires practical, credible and appropriate tools to assess odour. The results of an odour assessment can be used to determine the appropriate type and level of response to address an odour issue.*

Objective: To provide information on options, tools and recommended action for odour assessment.

## Potential Outcomes/Deliverables:

- A review of protocols and criteria for investigating and characterizing odour and how they are applicable in Alberta (e.g. FIDOL - Frequency, Intensity, Duration, Offensiveness, Location).
- An assessment of available and practical options for assessing (measuring, monitoring, modeling, etc.) odour and how they might be applicable in Alberta.
- An understanding of when it is appropriate/not appropriate to use each option.
- Protocols and criteria for investigating and assessing odour and its impacts.
- An understanding of the role of odour assessment in odour management.

3. **Health:** *Health and well-being are drivers of odour management and are embedded throughout the work of this Project Team. Many odour issues are driven by health-related concerns (real or perceived). There is a large body of literature which examines the relationship between odour and health that could be used to inform the work of the team.*





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**Objective:** To improve the management of odour and odour complaints by identifying, understanding, and developing tools and strategies to address health concerns and issues.

## Potential Outcomes/Deliverables:

- A review of best management practices for tracking health impacts of odour and how they are applicable in Alberta.
- A record keeping tool that allows individuals to track the health-related impacts of odour in a standardized, quantifiable way.
- A summary of the way in which the most recent odour and health literature informed the work of the team and influenced the development of recommendations.<sup>1</sup>
- Options, gaps, and opportunities for management of health and odour complaints.

4. **Prevention/Mitigation:** *Exposure to odours can be assessed using the source-pathway-receptor model<sup>2</sup>. By anticipating where odour issues may occur it is possible to prevent and/or minimize odour as well as odour-related conflicts/complaints.*

**Objective:** To provide a suite of tools to help prevent odour issues from arising that can be applied at the source, the pathway and the receptor.

- o Conduct a cross-jurisdictional review to identify best practices for preventing and minimizing odour and odour-related conflicts/complaints at the source, pathway and receptor.
- o Review best practices for managing odour at the interface between odour-causing activities and residents.
- o Analyze best practices to determine their applicability to Alberta.

## Potential Outcomes/Deliverables:

- An inventory of best practices for preventing and minimizing odour and odour-related conflict/complaints at the source, through the pathway and at the receptor.
- Recommendations related to the implementation of best practices.

5. **Enforcement/Role of Regulation:** *Odour related regulation and associated enforcement of these regulations is one of many odour management tools. In order for enforcement to effectively resolve or prevent odour issues, it must be based on a set of comprehensive and appropriate regulations. For discussion purposes, regulation here refers to any law, bylaw, rule, code, standard, objective or other order prescribed by a government authority (federal, provincial or municipal) that regulates or guides conduct and provides oversight. The objective under this topic applies to all odour-producing sources and is not meant to single out any particular source.*

<sup>1</sup> Alberta Health has recently completed a literature review on odour and health.

<sup>2</sup> In the source-pathway-receptor model, the source is the location where an odour is produced, the receptor is the person experiencing an odour, and the pathway is the space between the source and receptor. For example, a person exiting their vehicle smells freshly-baked bread. The person is the receptor, the bakery across the street is the source and the physical environment and distance between the two is the pathway.



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**Objective:** To analyze the effectiveness and comprehensiveness of existing regulations, including the roles and responsibilities of federal, provincial, and municipal governments, which address odour in Alberta.

- Conduct a review of the effectiveness of existing regulations that address odour.
- Identify successes, challenges, and learnings of existing regulations that address odour.
- Consider ways to address existing gaps, including examples from other jurisdictions.

**Potential Outcomes/Deliverables:**

- A comprehensive understanding of the regulations that address odour in Alberta and where improvement could be made.
- Lessons learned that can be applied to the development and enforcement of future regulation.

6. **Education/Communication/Awareness:** *Communicating relevant information on odour and odour management will help to encourage more informed decision-making and help stakeholders engage more effectively in a credible and robust approach to the management of odours in Alberta.*

**Objective:** To increase awareness and clarify expectations about odour and odour management in Alberta and describe its importance in air quality management and protection.

**Potential Outcomes/Deliverables:**

- A communication and engagement strategy that increases public and stakeholder awareness about odour which considers:
  - Basic information about odour as well as the relationship between odour and health as well as odour and perceptions of general air quality.
  - Clarity regarding the nature and extent of what is possible for the management of odours in Alberta.
  - Increased understanding of jurisdictional responsibilities (ex. Municipalities don't have influence over facilities outside their boundaries).
  - Increased awareness of odour management strategies.
  - The most appropriate ways and means to communicate with target audiences are identified.
  - Increased awareness of on-going initiatives to assess and manage odour in Alberta.
- A strategy to communicate to stakeholders and the public the implementation work that will result from project team recommendations as well as the process that the team undertook and the Good Practice Guide.
- More informed decision-making.

**Objective:** To increase the capacity of relevant multi-stakeholder groups (Ex. industry associations, synergy groups, airshed zones, etc.) to engage in the management of odours in Alberta.



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## Potential Outcomes/Deliverables:

- Improved relationships, coordination, divisions of responsibility and ways in which established, influential stakeholders can contribute to management of odour in Alberta.

7. **Continuous Improvement:** *CASA is a proponent of continuous improvement in the management of air quality in Alberta. This can be achieved through self evaluation and adaptive management as well as encouraging managers to stay abreast of new developments in emission reduction.*

Objective: To evaluate the implementation of a CASA best practices guide.

## Potential Outcomes/Deliverables:

- A 5-year performance indicator for the work of the project team as described in the CASA Performance Measurement Strategy.

Objective: To foster the continuous improvement of a CASA best practices guide.

## Potential Outcomes/Deliverables:

- A process for the regular review of the best practices guide.
- Recommendations for future odour-related research.
- New information and developments in the field of odour and odour and health as well as any other relevant studies are incorporated into the best practices guide.

Objective: To encourage continuous improvement at odour generating facilities.

- Consider how continuous improvement would be implemented and evaluated.
- Identify and consider continuous improvement options for odour management for odour-generating facilities.

## Potential Outcomes/Deliverables:

- The guide encourages and provides options and recommendations to promote continuous improvement at odour generating facilities.

## **Project Deliverables**

The Project Objectives outline an ambitious amount of work for the project team; the project team should ensure that at the end of the process work has been conducted under each of the seven topics, recognizing that the level of detail of the work may vary by topic. In the allotted timeframe, the project team may be able to delve more deeply into some topics, but may make recommendations for future work in others. This relates to the phased approach described in the Project Scope section. The „Potential Outcomes/Deliverables“ accompanying each objective provide an idea of the types of specific outcomes that could result from the work of the project team. As the project team undertakes their work, they should ensure that they remain focused on creating useable products for managing odour in Alberta that also contribute to the overall deliverables for the project team:



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- Final Report and Recommendations:
  - The project team should prepare a final report which includes a package of SMART (Specific, Measurable, Action-Oriented, Realistic, Time-bound) recommendations generated from the work under the seven categories of objectives.
  - The report should also identify and prioritize any further work.
- Good Practice Guide:
  - In conjunction with the final report and recommendations, the project team should prepare a Good Practice Guide which can be used to communicate the results of project team work as well as the „Toolkit“ resulting from their work. The „Toolkit“ should contain a variety of tools that support odour assessment and management in Alberta as well as an understanding of when it is appropriate to use each of the tools. The Guide should be clear and concise. The purpose of the Guide is that people involved in odour management or an odour issue can easily access the work of the project team and apply it.

## Projected Resources

### **Potential Costs:**

The working group foresees the following potential external costs over the life of the project team. The funds to complete this work would need to be raised. The accompanying figures are estimates ONLY and, as the work of the project team progresses, they would need to create a more detailed budget. It should be noted here that funding for the work of the project team is front-loaded (see Project Structure and Schedule section).

### Studies and Contracts: ~\$150,000-\$200,000

- Possible studies/contracts are described under a number of objectives:
  - Complaints
  - Odour Assessment
  - Prevention/Mitigation
  - Enforcement/Role of Regulation
  - Health
- This work would likely be contracted to consultants, or the project team could determine other ways to gather the information (ex. Students or interns working for project team members).
- Work on the Good Practice Guide as described in the „Deliverables“ section would likely require the assistance of a consultant.

### Consultation/Workshop: ~\$100,000

- Under the Education/Communication/Awareness objective, there are several Potential Outcomes/Deliverables that describe outreach activities. The project team would need to decide what this would look like but it could require funds. For example, at the end of the process could undertake communication with the public, hold a workshop on best practices, etc. to raise the profile of the work and the issue.
- The project team may undertake a consultation process to engage with certain groups (ex. impacted communities)



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- Necessary funds would depend on the activities the project team agrees to undertake.

## Potential Sources of Funding:

The working group identified an initial list of possible sources of funding:

- Government, possibly:
  - Direct funding and grant funding
  - Alberta Environment and Sustainable Resource Development
  - Alberta Health
  - Alberta Agriculture and Rural Development
  - Alberta Energy
- Industry
- Federal Government (Health Canada, Environment Canada)
- Sewage treatment facilities

## Project Structure and Schedule

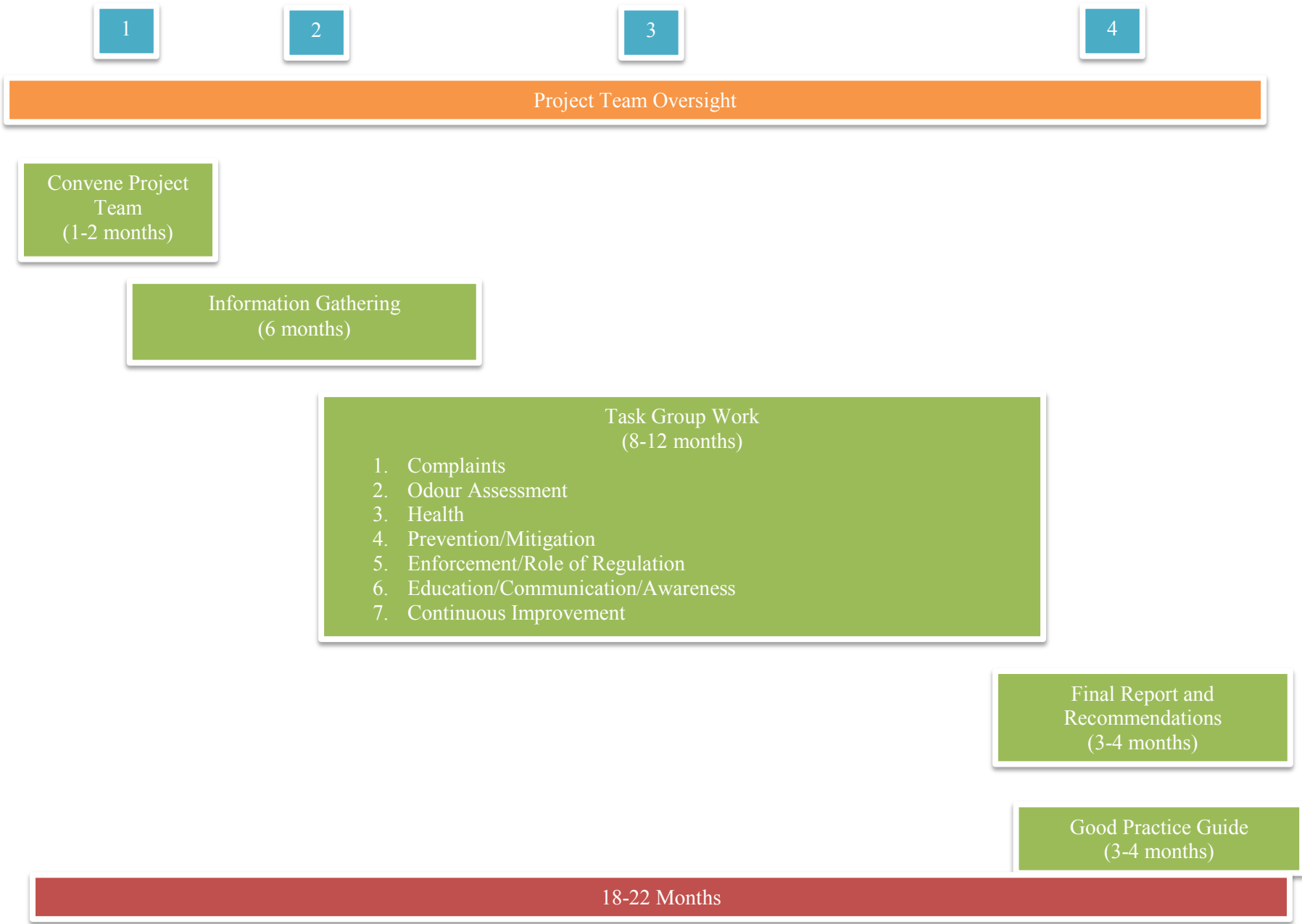
The working group broke down the work of the project team into four phases and provided suggested timelines for each phase.

1. Convene the Project Team ~1-2 months
  - Review the project charter; complete work outlined under the Operational Terms of Reference section
  - Project Team training in collaborative processes and consensus decision-making
  - Identify all information gathering pieces of work from all objectives
  - Determine how these pieces of information should be gathered (ex. consultants)
  - Prepare any Requests for Proposals (RFPs)
  - Project Team designs, and makes available, task groups and task group workplans
    - As the project team designs the task group workplans, they should be mindful of timelines as well as the considerations outlined in the Deliverables section vis-à-vis the level of detail of the work.
2. Information Gathering ~6 months
  - Project Team oversees and coordinates all information gathering efforts
3. Task Group Work ~8-12 months
  - Task group formation may be staggered as information becomes available
  - Project Team oversees and coordinates task group work
  - Task groups prepare reports and consensus recommendations
4. Project Team Agreement on Final Report and Recommendations AND Creation of Good Practice Guide ~3-4 months
  - Project Team reviews task group report and recommendations
  - Project Team prepares and reaches agreement on final report and recommendations
  - The creation of the Good Practice Guide should run parallel to work on the final report and recommendations. This will most likely be done with the help of a consultant.



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It should be noted that funding for the work of the project team is front loaded (see Project Resources section). The timelines as outlined are dependent on this funding being made available. In developing this project charter the working group considered what the project team could realistically accomplish in an 18 month period. The timelines that accompany the four phases allocate the project team 18-22 months (beginning from the date of the first meeting) to complete their work. These phases are not discrete, but rather overlap. The project team should take a staggered approach to the four phases in order to meet the timeline of 18-22 months. The phases and timelines described above are summarized in the graphic below.



The working group also considered the time commitment that would be required from participants based on the outlined project structure and schedule. It is difficult to state how many meetings will be required until the project team is underway. To provide some context for participants, there will be an estimated 12 project team meetings and 50 task group meetings *over the life of the project*. The working group has provided the following information on meeting frequency for participants to consider:

<b>Phase</b>	<b>Timeframe (months)</b>	<b>Meeting Frequency</b>
1: Convene the Project Team	1-2	-The Project Team will need to meet several times over a short period to initiate the project
2: Information Gathering	6	-The Project Team will meet periodically (ex. every 2 months) to monitor information gathering
3: Task Group Work	8-12	-The Project Team will need to meet periodically to monitor and coordinate the work of the task groups -The frequency of the task group meetings will depend partly on the task group design and workplans from phase 1 -Task groups would likely meet once per month -Participants who sit on more than one task group should be prepared to meet more frequently
4: Final Report and Recommendations and Good Practice Guide	3-4	-The project team will need to meet several times over a shorter period of time to finalize the team's report and recommendations and to supervise and finalize the Good Practice Guide

### **Risk Analysis**

The working group identified risks as well as possible mitigation strategies that the project team should consider as they undertake their work. The project team should be aware of the risks that could undermine the success of the project so that they can engage in proactive risk management.

<b>Risk</b>	<b>Possible Mitigation Strategies</b>
Timely funding is not available -funding for the work of the project team is front-loaded -a decision is required quickly with respect to funding	-be open and upfront about funding requirements and timelines -explore a variety of funding sources -understand how funding delays will impact timelines
Project team prioritizes work and subsequently work is not undertaken under all seven topics of objectives	-recognize and understand the interrelated nature of odour management and the seven topics





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Risk	Possible Mitigation Strategies
Unrealistic expectations of what can be accomplished by the project team in the proposed timeframe of 18-22 months	<ul style="list-style-type: none"> <li>-use the project charter to help manage expectations</li> <li>-reference the Vision for Odour Management in Alberta</li> <li>-be open and upfront with participants</li> </ul>
The timeline of 18-22 months is not met	<ul style="list-style-type: none"> <li>-timelines could be impacted for a variety of reasons, some of which are outlined in this risk analysis table</li> <li>-participants should remain aware of how their actions will impact timelines</li> <li>-understand the amount of work detailed in the project charter</li> <li>-regularly track progress against project charter</li> </ul>
Human resources -capacity to staff project team and task groups -identifying qualified people to participate -participants and CASA staff become overwhelmed	<ul style="list-style-type: none"> <li>-be upfront with participants about the level of engagement/work required</li> <li>-Identify early participants with the right skill set to participate</li> <li>-keep work on topic, stay SMART</li> <li>-be supportive of other members, help other members to participate</li> </ul>
Scope creep, remaining on track	<ul style="list-style-type: none"> <li>-use SMART principles to keep participants and work focused</li> <li>-reference guidance from the project charter</li> <li>-remind participants that the Board must approve any changes to the project charter</li> </ul>
Ignoring the cross-cutting nature of the seven topics	<ul style="list-style-type: none"> <li>-recognize and understand the interrelated nature of odour management and the seven topics</li> <li>-be prepared for overlap in discussions</li> </ul>
Unable to hire qualified consultants who can complete information gathering in timely manner	<ul style="list-style-type: none"> <li>-build on work of previous consultant's</li> <li>-access participants networks of contacts to help speed the hiring process</li> <li>-start the hiring process in a timely manner</li> </ul>
Poor communication between task groups, lack of coordination between task groups	<ul style="list-style-type: none"> <li>-the project team is regularly updated on the work of the task groups, the project team provides oversight</li> <li>-cross participation between task groups</li> <li>-cross participation between task groups and the project team</li> <li>-regular coordination meetings between task group co-chairs</li> </ul>
Lack of communication and coordination with	-ensure participants are aware of the



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<b>Risk</b>	<b>Possible Mitigation Strategies</b>
CASA caucuses during task group work affecting their ability to reach consensus	requirement to coordinate with CASA caucuses -regular communication between task groups and CASA caucuses -the secretariat can provide communication and coordination support -regular Board updates
Task groups do not complete their work on time	-good communication between task groups -communication and coordination with CASA caucuses -prepare clear workplans for the task groups -be open and upfront about timelines
Participants narrow their focus to the oil and gas sector (or any other specific odour producing source)	-refer participants to the Scope section of the project charter -participants should focus on approaches to odour management that apply to all sectors, not just oil and gas
Outputs of the project team are not useable and do not directly support odour assessment and management in Alberta	-the project team should consider how the products they produce will be used to ensure that the project team remains focused on creating useful and useable products -refer participants to the Deliverables section of the project charter
Implementers are not aware of their role in implementing the project team's recommendations	-Ensure that implementers fully understand their role in implementing the recommendations of the project team -Implementers should be members of the project team and involved in creating the consensus agreement - Ensure that recommendations are SMART (clearly outline responsibilities and expectations)



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## Operating Terms of Reference

The project team should discuss and reach consensus on the following items that describe how they will work together:

- Requirements for quorum
- Frequency of project team meetings
- Frequency of updates and reports to the CASA Board
- Meeting protocols
- Ground Rules
- Protocols for handling media requests
- Protocols for providing updates to interested parties
- Any other considerations for working together

## Stakeholder Analysis and Engagement Plan

The working group identified a draft list of stakeholders for involvement with this project team. As the project team proceeds with their work they will need to review this list and make any changes as required. The working group identified three categories of stakeholders:

- Project Team: Stakeholders who are required at the table to reach a consensus agreement
- Task groups: Stakeholders who have specific interests or expertise and can be engaged in a more focused way
- Engaged in Other Ways: Stakeholders who can be engaged as required in ways other than participation on the project team or task groups (ex. consultation, giving presentations, providing advice, etc.)

It should be noted that there has been a high level of interest in this subject from many stakeholders. The project team may wish to consider methods to help provide updates to interested parties.

**Project Team:** *Project team members should consist of those stakeholders who are required to reach a consensus agreement. The project team will oversee and direct the work of the task groups. The project team should promote coordination amongst stakeholders wherever possible to help keep the number of project team members at manageable levels.*

### Government:

- Alberta Environment and Sustainable Resource Development
- Alberta Agriculture and Rural Development
- Alberta Energy
- Alberta Health
- Alberta Urban Municipalities Association
- Alberta Association of Municipal Districts & Counties
- First Nations

### Industry:

- Chemical Industry
  - Chemistry Industry Association of Canada
- Oil and gas industry/Petroleum producers



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- Canadian Association of Petroleum Producers
- Canadian Fuels Association
- Small Explorers and Producers Association of Canada
- Agriculture (rendering and processing, CFOs)
- Food Manufacturers
  - Ex. Alberta Food Processors Association
- Forestry (Pulp and Paper)
- Waste management/composting
- Wastewater management entities/Municipal sewage treatment
  - Ex. Epcor

## NGOs:

- ENGOs:
  - Alberta Environmental Network
    - Ex. Pembina Institute
- Health NGOs:
  - The Lung Association

## Other:

- Alberta Airshed Council/Airshed Zones

## Corresponding Members:

- Health Canada
- Environment Canada
- Alberta Health Services
- Energy Resources Conservation Board/Single Regulator
- Natural Resources Conservation Board
- Alberta Transportation
- Alberta Infrastructure

**Task groups:** *The working group identified some groups that may be able to provide specific expertise. It would be more effective to engage these groups in a more focused way on a task group to take advantage of their expertise. As described in the Project Structure and Schedule section, the project team will need to design the membership of the task groups based on the work that they have been assigned.*

- Health Canada
  - First Nation and Inuit Health – respond to complaints on reserve
  - Safe Environments – have technical/scientific expertise
- Alberta Health Services
  - Medical Officers of Health – respond to odour complaints in the community, would be interested in tools to track the health related impacts of odour (ex. Odour diary)
  - Environmental and Public Health
    - Health Inspectors



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- Science group and field staff – conduct risk assessment, support field staff, and conduct work in the field
- Alberta Conservation Association – may be able to provide technical expertise
- Environmental Law Centre – may be able to provide expertise on odour regulations
- Alberta Public Health Association – provide communications and health expertise
- Alberta Medical Association – provide health expertise
- City of Edmonton – variety of technical expertise ex. planning, municipal waste management, etc.
- Research Institutions/Academic Community – provide specific expertise (ex. odour assessment, health impacts, etc.)
- Communications experts – provide expertise while discussing Education/Communication/Awareness
- Energy Resources Conservation Board/Single Regulator – provide technical expertise
- Natural Resources Conversation Board – provide technical expertise

**Engaged in Other Ways:** *The working group identified some groups that could provide valuable input to the work of the project team but can be engaged in ways other than project team or task group participation.*

- Impacted communities/individuals – the experiences of those impacted by odour is an important piece of input, could be engaged through outreach and consultation work
- Association/Societies who are engaged in odour management (ex. Cumulative Environmental Management Association, Sundre Petroleum Operators Group) – the project team should liaise with these groups to coordinate and avoid duplicating efforts
- Research Institutions/Academic Community – could be engaged through contracts, conferences, workshops, guest speakers, etc.
- Professional associations – could be engaged with research or communication channels to workers/association members
- Smaller odour producing industries (ex. dry cleaners) as well as non-point sources of odour – could be asked to provide input or presentations on their experiences, or as specific issues arise



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## Appendix A: Additional Working Group Discussions on Objectives

The Odour Management Working Group worked collaboratively to develop a project charter and design a process that would allow a larger group of stakeholders to engage in a discussion on odour management in Alberta. While completing this work, the working group members engaged in wide-ranging and forward-thinking discussions about objectives and work for a CASA project team as well as odour management in Alberta. The working group wanted these discussions to be made available to the convening project team to provide them with additional context and insight into the development of the project charter. These discussions are not part of the project charter, but all members of the working group viewed them as invaluable conversations starters and texture for the consideration of the convening project team. The working group understands that the discussions in Appendix A will be reviewed and considered by the convening project team, and acknowledges that many other factors will need to be contemplated as work progresses. The discussions in Appendix A are not meant to be part of the consensus agreement but represent the breadth of views and perspectives that were provided by working group members during the development of the Project Charter. Material for Appendix A has been drawn from meeting minutes.

### 1. Complaints:

- Need a standardized approach that can produce results and add credibility to the system. This system should be both reactive and proactive. A process map would be helpful to reinforce the desired approach.
- The current process needs to be clarified and better understood, including clarification of roles and responsibilities.
- There should be better communication with the community and the process should be iterative, but there needs to be an end-point.
- There needs to be communication between government departments.
- A triage system that determines what level of response may be required could be beneficial.
- Establishing levels of complaints, depending on the risks associated with the odour, would be a management tool, triggering what type of response may be necessary. Addressing complaints will require a variety of responses, whether that is prevention, education, enforcement etc. Complaints can also be used to focus and prioritize management efforts as well as identify hotspots.
- As a part of the complaints process, the person receiving the initial complaint should understand how to manage complaints and provide the complainant with all the information they need through the use of specific messaging. In turn, they should solicit all relevant information needed to follow up on the complaint.

### 2. Odour Assessment:

- The working group discussed updating an inventory of tools to assess odours.
  - Review the tools available in Alberta and other jurisdictions.
  - Tools should be practical in terms of human resources and financial cost.
  - Tools could be used for assessing complaints from receptors, managing the source (e.g facilities), monitoring, etc.



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- Need to provide information on when certain tools are appropriate or not appropriate.
  - The working group discussed the characterization of odours
    - There should be the ability to identify the source.
    - A means to quantify the odour.
    - Determine the impact of the odour on the individual.
    - Quantify the objective vs. subjective impacts of odour.
  - Thresholds and baselines could be used similar to the PM and Ozone Framework.
3. Health:
- Health is embedded in all of the objectives and should be taken into consideration when approaching each objective.
  - Work under this objective could include reviewing the work that has been done on odour in the broader context and the effects of odour on health.
    - How do we “action” existing literature reviews of odour?
    - What could be done with this information?
    - How will this information fit into the framework?
    - (There is work currently being done by Alberta Health.)
  - Could use health concerns to prioritize odour management efforts.
  - Currently there is no method for individuals to track health impacts from odour.
  - There are examples out there that we can apply to the Alberta situation. (E.g. odour diary). Health could turn into a lot of work for the project team, so the scope of this objective should try to be realistic.
4. Prevention/Mitigation:
- Review best practices in other jurisdictions, considering what worked and what did not work.
  - There needs to be better planning at the interface (where residential development meets potential odour sources) as well as personal responsibility for choosing where individuals decide to reside.
  - Cumulative effects of clustering odour intensive industry in certain areas will need to be addressed. Effective management will need to consider the region as a whole rather than each source individually.
  - Prevention and mitigation efforts could consider source, pathway and receptor organized according to:
    - The source (what actually emits the odour).
    - The pathway (what is between the source and the receptor).
    - The receptor (the person becoming aware of the odour).
5. Enforcement/Role Regulation:
- The group discussed that in some cases regulations are being enforced, but in other cases, the regulation is vague in specific reference to odour, making enforcement difficult. For example, AAQOs are not being exceeded, but people are still complaining about an odour being a nuisance.



# Draft Project Charter

- Work under this objective could include doing a review and gap analysis of existing regulations, such as EPEA, Municipal Bylaws, The Public Health Act etc.
  - The team should consider that enforcement is only one possible outcome of a complaints process.
  - One suggestion was for the project team to develop criteria for enforcement.
  - There should be transparency around enforcement and the response should be timely.
6. Education/Communication/Awareness:
- Information to the public should be transparent, timely, responsive, and easy to understand.
  - Fundamental awareness material should be made available to help people make informed decisions and could include:
    - Basic factsheets on odours, as well as how odour might impact health.
    - Balanced information.
    - Potential management strategies.
    - Information about what can realistically be expected from odour management (i.e. that there will likely never be „zero“ odour)?
  - Public consultation could be used to inform the framework and make sure the public's concerns are addressed, as well as promoting awareness of what the CASA odour management team is doing Cooperation with Industry associations, Synergy groups, and Airsheds should be encouraged.
7. Continuous Improvement:
- The team could develop a five year performance indicator for the overall work of the Project Team as described under the new CASA performance measurement strategy.
    - The performance indicator could act as a report card for the CASA odour framework.
  - Promote continuous improvement of the CASA odour framework for example through future audits or reviews.
  - Encourage continuous improvement of odour management best practices and approaches to stakeholders.





# Draft Project Charter

## Appendix B: Background Information – Reading Materials

The working group has compiled a brief list of reading materials which were found to be useful background information for understanding and framing odour. This list is by no means exhaustive, but rather is a starting for project team members who are looking for some initial reading on the topic. All material is available online (except the Frasnelli presentation) or can be requested in electronic format from the CASA Secretariat.

Axel, Richard. October 1995. The Molecular Logic of Smell. Scientific American: p.154-159.

Bokowa, Anna H. 2010. Review of Odour Legislation. Chemical Engineering Transactions (23): p.31-36.

Frasnelli, Johannes. November 2011. Presentation: Our Chemical Environment, Our Brain and Our Health. Odour Workshop, Calgary.

Ministry for the Environment, New Zealand. 2003. Good Practice Guide for Assessing and Managing Odour in New Zealand.

Nicell, Jim A. 2009. Assessment and Regulation of Odour Impacts. Atmospheric Environment (43): p.196-206.

Policy and Planning Department, Greater Vancouver Regional District. 2005. GWRD Odour Management Strategy.

RWDI AIR Inc. 2005. Final Report Odour Management in British Columbia: Review and Recommendations. BC Ministry of Water, Land and Air Protection.

Scottish Environment Protection Agency. 2010. Odour Guidance 2010.

## DECISION SHEET

<b>ITEM:</b>	<b>2.2 Project Charter– 2013 Electricity Framework Review</b>
<b>ISSUE:</b>	Review and discuss the Project Charter for a CASA project team to undertake the next scheduled Five-Year Review of the <i>Emissions Management Framework for the Alberta Electricity Sector</i> .
<b>BACKGROUND:</b>	<p>The <i>Emissions Management Framework for the Alberta Electricity Sector</i> recommends that a formal review of the framework be undertaken every five years. This review should include a multi-stakeholder group consisting of industry, government, non-government organizations, and communities with an interest in the electricity sector.</p> <p>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 Framework is achieving its emission management objectives.</p> <p>The Five-Year Review is a two step process. Step one is the initial assessment and the development of forecasts to determine if a full structural review is triggered. Step two, a review of the structure of the Framework itself, would be triggered by the environmental and health factors noted in recommendation 34 (15% increase in emissions from the 2008 emissions forecast) and recommendation 35 (economic assumptions are now significantly different).</p> <p>A structural review may include the identification of possible issues and opportunities for Framework renewal and the development of general terms for the agreement based on emerging themes. The development of a suite of management options for Framework renewal and the evaluation of the various options using the economic and environmental base cases may also be part of this work</p> <p>The first Five-Year Review occurred in 2008 and the second Five-Year Review should commence in 2013. At the December 13<sup>th</sup> 2012 board meeting, the board reviewed and approved the statement of opportunity for the Electricity Framework Review and formed a working group.</p> <p>The working group's task was to draft a Project Charter that describes the scope, deliverables, outcomes, projected resources and costs, timelines, stakeholder analysis and plan for engagement and high level communication plan.</p>

#### *Alignment with Federal/National Initiatives*

Two Federal initiatives have been flagged as having a potential impact on the CASA electricity framework. The mid-life Base Level Industrial Requirements (BLIERS) for existing coal-fired electricity generation units and the federal *Reduction of Carbon Dioxide Emissions from Coal fired Generation of Electricity Regulations* (GHG Regulations).

Due to some uncertainty regarding federal/national initiatives, the project team should proceed 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 CASA Framework will need to be identified, considered and addressed.
- A mid-life BLIERS for existing units will not be implemented in Alberta and need not be considered at this time.

#### **STATUS:**

The Board has received the Project Charter for review. The commencement of the third Five-Year Electricity Framework Review requires the Board's approval of the Project Charter and the formation of a project team.

#### *Timing*

It is anticipated by the Government of Alberta that federal-provincial discussions regarding the implementation of the GHG Regulations will conclude at the end of 2013. To provide effective input to these discussions, the project team would have to provide recommendations before that date.

It should be noted that insufficient and/or delayed funding will have a significant impact on the project's timeline.

#### **ATTACHMENTS:**

- A. Project Charter – 2013 Electricity Framework Five-Year Review.
- B. Road map of potential work for the project team.

#### **DECISIONS:**

1. Approve the Electricity Framework Review Project Charter.
2. Approve the formation of the Electricity Framework Review Project Team, coordinated by the Secretariat. The Board will be canvassed for suggested participants for the team.

**Project Charter**  
2013 Five-Year Review of the Emissions Management Framework  
for the Alberta Electricity Sector



Prepared by the  
Electricity Framework Review Working Group  
for the  
Clean Air Strategic Alliance  
Board of Directors

Match 4, 2013

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## 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.

## Background

In January 2002, Alberta Environment asked the Clean Air Strategic Alliance (CASA) to develop a new way to manage air emissions from the electricity sector. Using a multi-stakeholder collaborative approach, CASA developed innovative solutions in the form of 71 recommendations comprising a management framework and presented it to the Government of Alberta in November 2003. The report, *An Emissions Management Framework for the Alberta Electricity Sector*, was accepted by the Government of Alberta and implemented through regulations, standards and facility approvals (see Appendix I). The first emission standards were effective January 1, 2006.

To ensure continuous improvement and to keep the Framework timely and relevant, a formal review of the framework is to be undertaken every five years (Recommendation 29). This review should include a multi-stakeholder group consisting of industry, government, non-government organizations, and communities with an interest in the electricity sector. The intent of the Five Year Review is to assess new emission control technologies, update emission standards for new generation units, determine if emission standards for new substances need to be developed, review implementation progress, and determine if the Framework is achieving its emission management objectives.

A full review of the structure of the Framework itself would be triggered by the environmental and health factors noted in recommendation 34 (emission forecast is 15% higher than projected in the previous Five Year Review) and the economic factors noted in recommendation 35 (economic assumptions are significantly different so as to adversely affect the viability of the electricity sector). A full structural review would consider changes to the Framework to reflect current circumstances.

### *First Five Year Review*

The first Five Year Review started in 2008 and the Electricity Framework Review Team submitted their 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. At the June 2009 meeting, the Board directed the team to continue work to reach consensus. This work provided further clarification of the issues, but the participants could not reach consensus. 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 team continued to meet to develop a Particulate Matter (PM) System for existing units, as per Recommendation 22 of the Framework. In June 2010, the Federal Minister of Environment announced a proposed regulation for CO<sub>2</sub> emissions from coal-fired power plants. The specific details of the proposed federal coal regulation were not to be available until it was published in the Canada Gazette, making it difficult for the sub-group to reach agreement on a PM management system for existing coal units. As such, the Board put the sub-group into abeyance until the details of the proposed regulation were available.

#### *Electricity Working Group*

At the same time, the CASA Board was alerted to the potential misalignments between the Framework, the proposed Base Level Industrial Requirements (BLIERs) for existing coal-fired electricity generation units (as part of the Air Quality Management System), and the proposed federal regulation for CO<sub>2</sub> emissions from coal-fired power plants (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, including suggestions on addressing these issues in a collaborative way. 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.

## **Project Objectives**

The project charter serves as guidance for the scope and direction of the project. At the convening meeting of the project team, members should engage in a review of the project charter with a view to reach agreement on each of the components of the charter which together make up the foundation for their process. This agreement signals their buy-in and ownership for the process and their commitment to effective collaboration.

#### *Initial Assessment*

An initial assessment will assist the team in determining if a review of the structure of the Framework itself is warranted. A structural review would involve a renewal of the Framework to reflect current circumstances, as appropriate.

1. Identify potential implications and emissions management issues for the CASA Framework, created by the implementation of Canada's GHG Regulations.

Inputs may include:

- The Regulations are published in the Canada Gazette, Part II, Vol. 146, No. 19, September 12, 2012.

2. Update the emissions forecast for NO<sub>x</sub>, SO<sub>2</sub>, PM and Mercury and determine if the emissions are 15% higher for a five-year period than projected in the previous Five-Year Review.

3. Determine if the economic assumptions underlying the framework are significantly different, as to adversely affect the viability of the electricity sector.

#### *Structural Review*

Based on the results of the initial assessment, team members would determine if a full structural review of the Framework is warranted. A structural review may include the identification of possible issues and opportunities for Framework renewal and the development of general terms for the agreement based on emerging themes. The development of a suite of management options for Framework renewal and the evaluation of the various options using the economic and environmental base cases may also be part of this work.

#### *Information Collection/Analysis*

The team should carry out the tasks described in Recommendation 29 (Five-Year Review) and Recommendation 22 (PM Management System) in the Framework, and Recommendation 1 of the 2010 Five-Year Review Report (implementation status of emissions trading recommendations), including commissioning information gathering, as required. If a structural review is not deemed necessary, the team should develop recommendations to update the elements of the Framework described in Recommendation 29, based on this information. If a structural review is deemed necessary, the team may still need to develop recommendations to update the elements of the Framework described in Recommendation 29, subject to the nature and scope of any structural changes that may arise.

#### Control Technologies and Reduction Strategies

4. Determine emission standards and corresponding deemed credit threshold for new thermal generation units, including gas-fired new peaking units, based on the Best Available Technology Economically Achievable (BATEA).

Inputs may include:

- A technical review of current emission control technology.
- Potential implications and emissions management issues for the Framework, created by the implementation of Canada's GHG Regulations.

5. Determine emission standards for new reciprocating engines and diesel engines for electrical generation, based on the Best Available Technology Economically Achievable (BATEA), with consideration for any related work of the reciprocating engine BLIERS group.
6. If available, review the proposed BLIERS for the electricity sector and consider if/how they will impact the Framework (i.e. new reciprocating engines, new gas turbines, new non-utility heaters and boilers, and new coal-fired units).



7. Review the electricity sector Continuous Improvement Report relative to the previous continuous improvement goal statements and propose, where appropriate, recommendations for modifications to the framework that result in improved opportunities for supporting continuous improvement efforts.

Inputs may include:

- Industry to provide an update to the 2009 Continuous Improvement Report.

#### Substance Review

8. Review air emission substances emitted by the electricity sector that are subject to formal control, including existing List 2 substances and possible new substances. Identify if further action is required.

Key Tasks may include:

- Review new/emerging information related to:
  - Air emission substances subject to standards, limits or formal management in Alberta, including List 2 substances.
  - Possible new air emission substances not yet regulated in Alberta.

9. Form a multi-stakeholder group with appropriate representation to oversee a review to identify any new and relevant studies or research findings regarding potential environmental or health effects from air emissions from electricity generation, including an independent peer review on the results.<sup>1</sup>

Inputs may include:

- United States Environmental Protection Agency National Air Toxics Assessments.
- United States Environmental Protection Agency Mercury and Air Toxics Standards for Power Plants.

#### PM Management System

10. Develop a PM Management system for existing units.<sup>2</sup>

Inputs may include:

- *Evaluation of Existing Particulate Matter Management in Alberta*. September 2010. Prepared by Eastern Research Group for CASA.
- Minutes of CASA PM Management System Task Group, July 2010 to February 2011, including discussions on a straw-dog PM Management Plan.

<sup>1</sup> Recommendation 5. *Report on the First Five Year Review of the Emissions Management Framework for the Alberta Electricity Sector*. May 2010.

<sup>2</sup> Recommendation 22. *Emissions Management Framework for the Alberta Electricity Sector*. November 2003.

### Emissions Trading System

11. Complete an assessment of the implementation of Recommendation 8, regarding the NO<sub>x</sub> and SO<sub>2</sub> emissions management approach<sup>3</sup>.

This work may include reviewing whether the Emissions Trading System is achieving, and will continue to achieve, the intended objectives of providing incentives and rewards for better than required or expected performance, encouraging early shutdown of older units, and encouraging implementation of new emissions controls at existing units.

12. Complete an assessment of the implementation of Recommendation 9, regarding the implementation of the Management Approach for NO<sub>x</sub> and SO<sub>2</sub><sup>4</sup>.

### *Review of Implementation of Recommendations*

13. Review the 2010 report on the implementation of recommendations from the 2003 Framework and make updates as appropriate.
14. Review the implementation of recommendations in the 2010 report.

### *Public Consultation*

The consensus-based process at CASA incorporates consultation in many forms. Public consultation for this project would be determined by the scope of work being undertaken (e.g. a structural review may require more extensive public engagement). Public consultation should, at the least, increase awareness of the Electricity Framework.

15. Develop and implement a strategy and action plan for communicating and engaging with stakeholders and the public. Consider timing for public consultation.

### *Potential Future Work*

If revisions are made to the Framework, the project team should update the October 2012 report from the Electricity Working Group. The team should re-evaluate the projected outcomes of the mid-life BLIERs for existing coal units and the Framework, including the environmental and economic gains and losses if the proposed mid-life BLIERs were to be applied in Alberta.

Inputs may include:

- Electricity Working Group Report, prepared for the CASA Board of Directors, October 5, 2012.
- Information/documentation on the most recent Environment Canada proposal for BLIERs for existing coal units.

<sup>3</sup> Recommendation 1. *Report on the First Five Year Review of the Emissions Management Framework for the Alberta Electricity Sector.*

<sup>4</sup> Recommendation 1. *Report on the First Five Year Review of the Emissions Management Framework for the Alberta Electricity Sector.*

## Project Scope

To ensure the Framework reflects current circumstances, a formal review of the framework is to be undertaken every five years (Recommendation 29).

### *Requirements*

#### **Recommendation 29 (2003)**

This recommendation outlines the following elements of the Framework that must be reviewed by the project team:

1. A technology review to identify the Best Available Technology Economically Achievable (BATEA) emission standards
2. The air emission substances subject to limits or formal management,
3. Co-benefits for priority substances and List 2 substances;
4. A review of economic and environmental triggers as set out in the framework in recommendations 34 and 35;
5. Additional information that illustrates potential health effects associated with emissions from the electricity sector; and
6. A report from the electricity sector on continuous improvement.

#### **Recommendation 22 (2003)**

This recommendation states that if mercury control does not provide the anticipated co-reduction of primary particulate matter, then the Five-Year Review should develop a primary particulate matter management system for existing units.

#### **Recommendation 1 (2010)**

This recommendation states that the 2013 Five-Year Review team should complete an assessment of the implementation of Recommendations 8 and 9 of the 2003 Framework, regarding the Emissions Trading System.

Further, the project team must identify the implications of the implementation of Canada's GHG Regulations. It is anticipated by the Government of Alberta that federal-provincial discussions regarding the implementation of the GHG Regulations will conclude at the end of 2013. To provide effective input to these discussions, the project team would have to provide recommendations before that date.

It should also be noted that the 2003 Framework was a set of consensus recommendations, negotiated by the team and agreed to as a package. All elements were considered to be equally important.

### *Assumptions*

Due to some uncertainty regarding federal/national initiatives, the project team should proceed with their work based on the following assumptions:

- The GHG Regulation will be implemented, as published in Canada Gazette, Part II: Official Regulations and any inconsistencies with the CASA Framework will need to be identified, considered, and addressed; and

- Mid-life BLIERS for existing units will not be implemented in Alberta and need not be considered at this time.

## Project Deliverables

A final report and recommendations for updating and/or revising the Framework.

## Project Structure and Schedule

- See road map.
- The project team should develop a thorough project schedule (e.g. Gantt Chart) when they convene.

## Project Risk Analysis

Identifying, analyzing and mitigating project risks is a key component to executing a successful project. Incorporating proactive risk management into the project that includes strategies to manage risks will assist in minimizing potential impacts to the project's scope, schedule and costs.

<b>Risks</b>	<b>Possible Mitigation Strategies</b>
The team's work schedule does not align with that of the mid-life BLIERS and GHG Regulations discussions. (It is anticipated by the Government of Alberta that these discussions will conclude at the end of 2013.)	<ul style="list-style-type: none"> <li>• Focus on existing coal units first. (The GHG Regulation and mid-life BLIERS both apply only to existing coal units).</li> <li>• Compress the anticipated work schedule.</li> </ul>
Mid-life BLIERS for existing coal units is required to be implemented in Alberta.	<ul style="list-style-type: none"> <li>• Remain up-to-date on developments for mid-life BLIERS.</li> <li>• Update the Electricity Working Group report (comparing the outcomes of the Framework and mid-life BLIERS).</li> <li>• Develop a contingency plan.</li> </ul>
Funding is not sufficient or not timely.	<ul style="list-style-type: none"> <li>• Be clear about funding requirements.</li> <li>• Be aware of how funding delays will impact timelines and plan accordingly.</li> </ul>
The work can not be completed in the required timeframe.	<ul style="list-style-type: none"> <li>• Seek clarity from key stakeholders about their anticipated timeframes.</li> <li>• Be prepared to prioritize objectives and tasks.</li> <li>• Explore the possibility of updating previous reports rather than starting over.</li> <li>• Be aware that timely completion of the project is heavily reliant on some preliminary information gathering. This work should be started as soon as possible.</li> </ul>

<b>Risks</b>	<b>Possible Mitigation Strategies</b>
The schedule of Board of Directors meetings causes delays.	<ul style="list-style-type: none"> <li>• Seek Executive Committee input when appropriate.</li> </ul>
CASA Secretariat and/or CASA stakeholders do not have the capacity (i.e. human resources) to participate effectively.	<ul style="list-style-type: none"> <li>• Be prepared to prioritize objectives and tasks.</li> <li>• Consider that key tasks may happen sequentially, rather than in parallel.</li> </ul>
Consultant contracts take longer than anticipated and/or reaching agreement on consultant reports is difficult.	<ul style="list-style-type: none"> <li>• Ensure that Terms of Reference for consultants provide clarity and have a high level of endorsement from team members.</li> <li>• Consider consultant reports as one input into the final decision.</li> </ul>
Key stakeholders are not engaged until late in the process.	<ul style="list-style-type: none"> <li>• Identify all interested parties, including those that have a vital interest in electricity generation.</li> <li>• Ensure all interested parties understand the options available to be engaged, including active participation if they have a vital interest in electricity generation.</li> </ul>
Information gathered does not contribute to reaching a final agreement.	<ul style="list-style-type: none"> <li>• Consider how the information gathered will be used.</li> <li>• Ensure that Terms of Reference for consultants are clear.</li> </ul>
Updates to the Framework misalign with initiatives on water and/or the Land Use Framework and regional plans.	<ul style="list-style-type: none"> <li>• Remain up-to-date on developments in related initiatives.</li> </ul>
Framework updates/revisions do not offer equivalent or better environmental outcomes than mid-life BLIERS.	<ul style="list-style-type: none"> <li>• Provide justification for the overall Framework approach representing a more justifiable and practical approach to emissions management.</li> </ul>

## Projected Resources

The working group foresees the following potential external costs over the life of the project team, consistent with the objectives outlined in this document. The accompanying figures are estimates and as the work of the project team progresses a clear idea of the required resources will emerge.

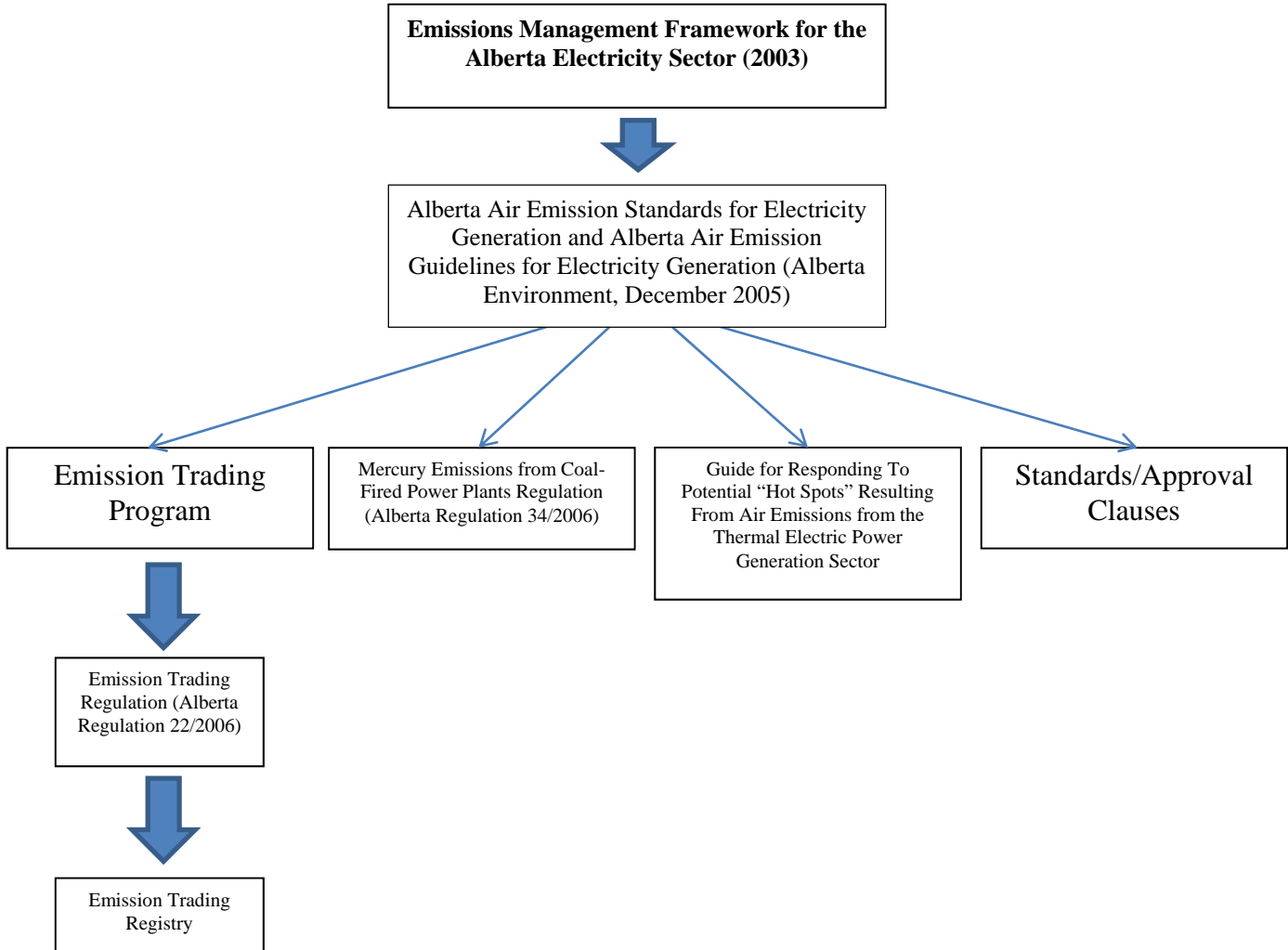
<b>Key Task</b>	<b>2008 Budget</b>	<b>2013 Budget</b>
Economic Analysis (Recommendation 35)		\$80,000
Emissions Growth (Recommendation 34)	\$24,000 \$10,000 (2009 update, based on new recommendations)	\$35,000

<b>Key Task</b>	<b>2008 Budget</b>	<b>2013 Budget</b>
BATEA Review	\$160,000	\$60,000
Environmental Effects Literature Review	\$10,000	\$20,000
Health Effects Literature Review	\$10,000	\$20,000
PM Management System consideration		\$20,000
Other consultant work, as required		\$20,000
Public Consultation	\$35,000	\$60,000
<b>TOTAL</b>	<b>\$249,000</b>	<b>\$315,000</b>
NOx/Co-Gen Review * The CASA Board directed the team to undertake this work in an attempt to reach consensus. These were extenuating circumstances and this additional cost is not anticipated for the 2013 Five-Year Review.	\$192,000	
<b>TOTAL</b>	<b>\$441,000</b>	

### **Stakeholder Analysis and Engagement Plan**

Following due process, the CASA Board of Directors would be asked to propose interested parties to be engaged in the project team. Please see Appendix II for a list of previous participants, for both the 2003 Electricity Project Team and the 2008 Electricity Framework Review team.

## Appendix I – Managing Air Emissions in the Electricity Sector



## Appendix II – Past Participants on the 2003 Electricity Project Team and the 2008 Electricity Framework Review Team

<b>Government</b>		
Federal	Environment Canada	Project Team
Provincial	Alberta Energy	Project Team
	AB Environment & Sustainable Resource Development	Project Team
	Alberta Health	Project Team
	Alberta Energy and Resource Conservation Board	
	Alberta Utilities Commission	Project Team
Local	AB Association of Municipal Districts & Counties	Project Team
	Alberta Urban Municipalities Association	Project Team
Aboriginal	First Nations Energy Task Force	
	Metis	

<b>Industry</b>		
Agriculture	Wild Rose Agricultural Producers	Project Team
Alternate Energy	Vision Quest Wind Electric	Project Team
	Howell-Mayhew Engineering	Sub-Group
	ENMAX	Project Team
Chemical Manufacturers	Chemistry Industry Association of Canada (formerly CCPA)	Project Team
Forestry	Calpine Canada Alberta Forest Products Association	Project Team
Mining	Coal Association of Canada Luscar	Project Team
Oil and gas (large producers)	CAPP	Project Team
Oil and gas (small producers)		
Petroleum Products	Canadian Fuels (formerly Canadian Petroleum Products Institute)	Project Team
Utilities	TransAlta Corporation ATCO Power Canada Ltd Capital Power TransCanada	Project Team
Other	Power Purchase Arrangement Buyers	Project Team



<b>Non-Government Organizations</b>		
Health Issues	Canadian Public Health Association	Project Team
Pollution Issues	Pembina Institute Mewassin Community Council Lake Wabamun Enhancement Protection Association Toxics Watch	Project Team
Wilderness Issues	Prairie Acid Rain Coalition Western Canadian Wilderness Committee	Project Team Sub-Group
Consumer/Transportation	Climate Change Central	Project Team
Members of Affected Communities (MACs)	There were two MACs on the 2008 Electricity Framework Review team	Project Team
Other	Environmental Law Center	Project Team
	Sierra Club	Project Team
	Residents for Accountability in Power Industry Development	Sub-Group

# Road Map for 2013 Electricity Framework

Item 2.2 – Attachment B

April 2013 – June 2013  
**INITIAL ASSESSMENT**

June 2013 – Nov. 2013  
**INFORMATION COLLECTION / ANALYSIS**

Dec. 2013 – Aug. 2014

**BUILDING RECOMMENDATIONS AND AGREEMENT**

Sept. 2014  
**RATIFICATION**

- Alignment with Federal/National Initiatives
- Review environmental triggers
- Review economic trigger

Executive Committee/Board information briefing

Is there a need for a "structural" review?

YES

List of issues and opportunities

Emerging themes for Framework review

Develop management options

Develop economic and emissions base

Evaluate Options using:  
1. Economic base case  
2. Emissions base

Are there additional recommendations required?

NO

YES

- Control Technology Review (including reciprocating & diesel engines)
- Continuous Improvement Report (from industry)
- Substance Review & Health/Environmental Effects
- Evaluate existing PM management in Alberta
- Review the implementation of the Emissions Trading System
- Review the Implementation of recommendations

Develop recommendations on:

- BATEA emissions standards
- Air emissions substances subject to limits or formal management
- Co-benefits for priority substances
- Continuous improvement



Develop a PM Management System for existing units

Final report and recommendations

Board approval

Recommendation 10 (2010)  
Pre-consultation Phase focused on public outreach about CASA and the review

Test stakeholder expectations

- Board
- Executive Committee
- Caucuses

Public Engagement

## **INFORMATION SHEET**

**ITEM:**                    **2.3    Other Project Management Candidates**

**ISSUE:**                    At the Dec. 13, 2012 meeting of the board, directors were asked to identify air quality issues and/or projects that may be candidates for further work by the Alliance. These candidates were generally related to one or more of the 4 government presentations provided on Dec 13, 2012: the Land Use Framework, the Regulatory Enhancement Project, the Clean Air Strategy and the Environmental Monitoring System.

Several of the suggested project candidates are currently being addressed by CASA. Two working groups are nearing completion of project charters for Odour and the 2013 Electricity Framework Review and a Statement of Opportunity is being developed for Non-point Source Emissions.

However, two other project candidates were raised for which no activities are planned. These are:

1. The development of a comprehensive air quality management framework that would: a) be provincially consistent, and b) provide a template for application at the regional level to assist in the implementation of the Land Use Framework.
2. An examination of flaring and venting at fracking and other unconventional oil and gas operations.

CASA has an effective and tested system that provides for the creation of new project teams to address air quality issues if one or more stakeholders champion the development of a Statement of Opportunity. However, the creation of new project teams must also consider the capacity of stakeholder groups and the Secretariat to fully participate in, and support, new discussions.

The Executive recommends that the Board revisit these issues at the March 2013 meeting, with a view to clarifying the priority of these items with regard for both new and existing work and to provide any further direction to the Secretariat.

**ATTACHMENTS:**        None.

## **DECISION SHEET**

- ITEM:** 2.4 Performance Measures Committee 2012 Report
- ISSUE:** Approve the 2012 Performance Measures Committee Report
- BACKGROUND:** In 2012, the Performance Measures Committee undertook two tasks:
1. To calculate Performance Measure 3 (Number of recommendations through Comprehensive Air Quality management System implemented), and
  2. To follow-up on low-rated recommendations from previous years.
- The Committee was also charged with reporting the results of Performance Measure 5 (Degree of recognition by emitters and general public of CASA as a major vehicle for delivering improved air quality management for Alberta), which is calculated annually by the Communications Committee.
- STATUS:** The results are presented in the 2012 Performance Measures Committee Report. There are five recommendations for the Board to approve.
- ATTACHMENTS:** A. 2012 Performance Measures Committee Report.
- DECISIONS:**
1. Approve the 2012 Performance Measures Committee Report.
  2. Determine next steps to follow-up on recommendation 3 from the 2002 Acidifying Emissions Management Implementation Team.

2012 Performance Measures Committee Report



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

13 February 2013

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## **Acknowledgements**

The Committee would like to thank various CASA team members and implementers for their assistance reviewing the implementation of past CASA project team recommendations.

The members of the Committee are: Peter Darbyshire (Graymont Western Canada Inc.), Crystal Parrell (Alberta Environment and Sustainable Resource Development), Ruth Yanor (Mewassin Community Council), and Celeste Dempster (CASA Secretariat) and former member Bob Myrick (Alberta Environment and Sustainable Resource Development).

## CASA's Performance Measures

Performance Measure	Indicator(s)
1a Improved air quality indicators in areas of CASA action	<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> <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> <li>• Percent hourly exceedances of: NO<sub>2</sub>, SO<sub>2</sub> and H<sub>2</sub>S</li> <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>
1b Change in emissions of substances of concern in areas of CASA action	<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> <li>• The change in flaring and venting associated with solution gas, well test and coalbed methane</li> </ul>
1c Energy use as an indirect measure of air quality in areas of CASA action	<ul style="list-style-type: none"> <li>• Electrical power capacity based on renewable and alternative energy sources</li> </ul>
2 Capability to measure air quality effects on humans and the ecosystem	<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>
3 Number of recommendations through Comprehensive Air Quality Management System implemented	<ul style="list-style-type: none"> <li>• Percentage of substantive recommendations from 4 years ago, being 2008, that have been implemented</li> </ul>
4 Degree of CASA members, partners and clients' satisfaction with the CASA approach	<p>Satisfaction with CASA's:</p> <ul style="list-style-type: none"> <li>• Overall approach</li> <li>• Openness and transparency</li> <li>• Implementation of recommendations</li> <li>• Resources for teams</li> <li>• Achievements</li> <li>• Support to airshed zones</li> <li>• Communication between teams</li> </ul>
5 Degree of recognition of CASA as a major vehicle for delivering improved air quality management for Alberta	<ul style="list-style-type: none"> <li>• Return visitors to website</li> <li>• News stories about CASA</li> <li>• Quality of news stories about CASA</li> </ul>



## Executive Summary

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In 2012, the Performance Measures Committee was charged with two tasks:

1. To calculate Performance Measure 3 (Number of recommendations through Comprehensive Air Quality management System implemented), and
2. To follow-up on low-rated recommendations from previous years.

The Committee is also charged with reporting on Performance Measure 5 (Degree of recognition by emitters and general public of CASA as a major vehicle for delivering improved air quality management for Alberta), which is calculated annually by the Communications Committee.

With respect to Performance Measure 3, the Committee found that there were two substantive recommendations from the year 2008. Overall, the degree of implementation of CASA recommendations approved in 2008 is 90%. The Committee recommends that the Board accept these results for inclusion in the 2012 CASA Annual Report.

The Committee 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 Committee recommends that two recommendations be closed because they are complete, two recommendations be sent to the Human and Animal Health Team for consideration under their mandate because they fit with the team's current work and one recommendation be reassessed.

The Communications Committee calculated Performance Measure 5, which reports on the number of repeat visitors to the website, number of news stories about CASA and the quality of CASA's coverage in the news. The Performance Measures Committee recommends that the Board accept these results for inclusion in the 2012 CASA Annual Report.

## Introduction

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CASA has five Performance Measures. Performance Measure 1, 2 and 4 are calculated every three years while Performance Measure 3 and 5 are calculated annually. Performance Measure 1, 2 and 4 were last calculated in 2010.

In 2012, the Performance Measures Committee was charged with two tasks:

1. To calculate Performance Measure 3 (Number of recommendations through Comprehensive Air Quality management System implemented), and
2. To follow-up on low-rated recommendations from previous years.

This report will also present the results of Performance Measure 5 (Degree of recognition by emitters and general public of CASA as a major vehicle for delivering improved air quality management for Alberta), which is calculated annually by the Communications Committee.

## Performance Measure 3

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Performance Measure 3 expresses, as a percentage, the degree of implementation of the substantive recommendations approved by the CASA Board from four years previous.

For 2012, the Performance Measures Committee considered the recommendations approved by the CASA Board in 2008. In this year, the CASA Board approved ten recommendations from the Confined Feeding Operations Project Team and two recommendations from the Human and Animal Health Team. Of these, two recommendations from the Confined Feeding Operations Project Team were deemed substantive by the Committee. The remaining recommendations were deemed either administrative or operational and so are not subject to further evaluation.

Overall, the degree of implementation of CASA recommendations approved in 2008 is 90%. Table 1 below shows the rating of the two substantive recommendations and subsequent calculation of Performance Measure 3.

**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
Confined Feeding Operations Project Team (2)									8		7
Total number (2)									1		1
Mean Calculation: $8 \times 1 + 10 \times 1 = 18$											
<b>Overall (average rating) = <math>18 / 2 = 9</math> or 90%</b>											
Reviewer(s): Confined Feeding Operations Project Team: Ron Axelson (ILWG), Sandi Jones (AARD), Jim McKinley (NRCB)											

Table 2 below summarizes the results for Performance Measure 3 since 1997.

**Table 2: Summary of Results for Performance Measure 3**

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

**Recommendation 1: Approve Performance Measure 3 result.**

The Performance Measures Committee recommends that the Board approve the results from Performance Measure 3 for inclusion in the 2012 CASA Annual Report.

## Review of Low-rated Recommendations

In June 2008 the CASA Board identified the need to follow-up on low-rated recommendations on a longer term basis, rather than just the one year snapshot provided by Performance Measure 3. The Committee developed a matrix of all low-rated recommendations since 1997 as well as a Decision Tree for assessing low-rated recommendations which was approved by the Board in 2009 (see Appendix 1). The matrix is intended to be a living document that will be updated as the Committee gathers information from implementers. The Committee will then use this information to advise the CASA Board on appropriate follow-up for the low-rated recommendations.

The Performance Measures Committee would like to submit five (5) low-rated recommendations to the Board for follow-up. The Committee recommends that two (2) recommendations be closed because they are complete, two (2) recommendations be sent to the Human and Animal Health Team for consideration under their mandate because they fit with the team's current work and one (1) recommendation be reassessed.

The CASA Board has the final decision whether to consider a recommendation closed (i.e. CASA no longer pursues information on its implementation). There are three criteria to weigh in the decision that were approved by the Board in September 2009:

1. Priority level: Is the current importance of the issues and/or recommendation high, medium or low?
2. Need for the recommendation: Given legal, technological, societal and economic changes since the recommendation was made, is the action prescribed still needed?
3. Practical challenges: Given the current work of the implementing body, are the necessary resources and capacity available to implement the recommendations?

### **Recommendation 2: Consider previously low-rated recommendations complete.**

The Performance Measures Committee recommends that the CASA Board deem the following two (2) low-rated recommendations closed because they are complete:

**Table 3: Low-rated Recommendations Deemed Complete**

Recommendation	Original Rating	Recommendation from PMC
1998		
<i>Flaring and Venting Team</i>		
36. Alberta Health develop methods and, if feasible, implement a program for measuring personal exposure to compounds of concern emitted by flares and interpret the results.	3	<p><u>Recommendation</u>: Close.</p> <p><u>Reason</u>: Complete.</p> <p>The PMC obtained an update from Alberta Health which was shared with the HAHT to help assess recommendation implementation. The HAHT reviewed the update and</p>

		determined that the recommendation has been satisfied.
2003		
<b><i>Animal Health Team</i></b>		
4. The AHPT recommends that research be encouraged, supported and funded by the Alberta Government in the following areas: <ul style="list-style-type: none"> <li>• Chemistry, toxicity, interaction and cumulative effects of mixtures of pollutants.</li> <li>• Effects of air pollution on reproduction and immunology.</li> <li>• Identification of biomarkers.</li> <li>• Exposure level assessment.</li> </ul>	3	<u>Recommendation</u> : Close.  <u>Reason</u> : Complete.  The HAHT reviewed this recommendation and agreed that it should be considered complete.

**Recommendation 3: Send low-rated recommendations to the HAHT for consideration.**

The Performance Measures Committee recommends that the CASA Board send the following two (2) low-rated recommendations to the Human and Animal Health Team for consideration, because they seem relevant to that team's Terms of Reference.

**Table 4: Low-rated Recommendations for Consideration by the HAHT**

<b>Recommendation</b>	<b>Original Rating</b>	<b>Recommendation from PMC</b>
1998		
<b><i>Flaring and Venting Team</i></b>		
30. The Energy and Utilities Board, Alberta Environmental Protection, Alberta Health and Alberta Agriculture, Food and Rural Development establish processes and linkages to relate data on oil and gas wells, and solution gas flaring and venting with data on pollutants, environmental receptors, and human and animal health.	3	<u>Recommendation</u> : Send to HAHT for consideration under their mandate.  <u>Reason</u> : Seems relevant to the HAHT's Terms of Reference.  The PMC obtained an update from Alberta Health and AARD: -The Community Exposure and Health Effects Assessment Programs (CEHEAPs) is used to collect information from communities close to oil and gas operations. -AARD co-funded the Western Interprovincial Scientific Studies Association (WISSA) which investigated links between animal health effects associated with exposure to emissions from oil and natural gas field facilities. -AARD has the Alberta Veterinary Surveillance Network (AVSN) which allows veterinarians to report disease and non-disease related data including oil and

		<p>gas exposures on a real-time basis via the internet.</p> <p>This update was shared with CASA’s Human and Animal Health Team (HAHT) to help assess recommendation implementation. The team’s reviews were mixed – some felt the recommendation had been satisfied while others felt more work was required because:</p> <ul style="list-style-type: none"> <li>-CEHEAPs is a limited data grab of one week’s duration and is further constrained by gathering data on healthy individuals between the ages of 18 and 65.</li> </ul> <p>The HAHT is currently reviewing the implementation of all Human Health Team, Animal Health Team, and HAHT recommendations. This includes a review of the Comprehensive Human Health Monitoring System (CHHMS) – an original recommendation from the HAHT team – which the team originally thought would be covered off by the Alberta Real Time Syndromic Surveillance Network (ARTSSN). Based on the most recent update on ARTSSN, this is not the case as ARTSSN does not fulfill all the original goals of the CHHMS. The HAHT is currently working to determine the best path forward to advance progress on this work.</p>
2003		
<i>Data Issues Group</i>		
<p>8-1 Approve and implement the human health monitoring framework (tool for detecting trends and associations between air quality and health-related variables).</p>	<p>3</p>	<p><u>Recommendation:</u> Send to HAHT for consideration under their mandate.</p> <p><u>Reason:</u> This earlier recommendation seems related to the HAHT’s Terms of Reference.</p> <p>This recommendation consolidates and brings forward recommendations from the 1997 Human Health Resource Group and one recommendation from the 2001 Human Health Project Team. The 2003 DIG report provided the following considerations with respect to the implementation of recommendation 8-1:</p> <ul style="list-style-type: none"> <li>• The process consists of ongoing, systematic collection, analysis, and interpretation of selected data on health outcomes, air quality parameters, and population exposure;</li> <li>• Need to include: symptoms and public health complaints; known human health effects of air contaminants; ambient air quality monitoring</li> </ul>

		<p>data; human health effects monitoring data; meteorological data; information on seasonal variability of allergies; information on population exposure; information on relevant event occurrences</p> <p>The Human Health Resource Group was not a project team, but in March 1997 prepared a proposal for a Human Health Monitoring System and recommended that a CASA project team be formed to develop an implementation plan for the system. The Board approved the formation of a Human Health Team to implement this system. Work on this item has continued and evolved into the Comprehensive Human Health Monitoring System (CHHMS), a focus of the current HAHT.</p> <p>In March 2008 the CASA Board agreed to a HAHT proposal that the CHHMS be implemented through a project being piloted by Alberta Health &amp; Wellness – the Alberta Real Time Syndromic Surveillance Network (ARTSSN). More recently, the HAHT has determined that ARTSSN does not fulfill all of the original CHHMS goals and is working to find the best path forward.</p> <p>The former co-chairs of the DIG agreed with an update from Alberta Health that this recommendation (8-1) would be covered off by ARTSSN – if ARTSSN was implemented as described.</p>
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**Recommendation 4: Reassess low-rated recommendation.**

The Performance Measures Committee recommends that the CASA Board reassess the following one (1) low-rated recommendation to determine if more work is required. If so, the Board should decide on next steps; if not, the recommendation should be deemed satisfied and closed (i.e. no longer requires continued follow-up through the low-rated recommendation matrix):

**Table 5: Low-rated Recommendation to be Reassessed**

Recommendation	Original Rating	Recommendation from PMC
2002		
<i>Acidifying Emissions Management Implementation Team</i>		
3. Alberta Environment should lead an evaluation of the acidifying emissions management system every two to three years based on the evaluation process that has been	0	<p><u>Recommendation</u>: Reassess.</p> <p><u>Reason</u>: Implementation differs from wording in recommendation.</p>

<p>established by AEMIT. Evaluation results should be reported to the CASA Board and the next evaluation should be done in 2003. This task would require Alberta Environment to complete the forms that AEMIT has developed and used to conduct its evaluation; these are:</p> <ul style="list-style-type: none"> <li>• the goals, objectives and performance measures table, and</li> <li>• the evaluation protocols table.</li> </ul>	<p>Alberta Environment and Sustainable Resource Development completed the 2004 review and are currently conducting the 2009 assessment. A five-year interval was used to correspond with new emissions data. However, the evaluation did not use the forms developed by the AEMIT. A former co-chair was available for comment and felt that to fulfill the intent of this recommendation, the evaluation forms of Appendix C-2 and the performance measures of C-3 needed to be completed.</p>
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## Performance Measure 5

Performance Measure 5 looks at the degree of recognition by emitters and the general public of CASA as a major vehicle for delivering improved air quality management for Alberta. It is calculated annually by the Communications Committee. The information below has been provided to the Performance Measures Committee by the Communications Committee:

In 2012, the number of repeat web visitors increased slightly from 2011. 3480 Return Visits represents 39.25% of 8866 Total Visitors.

Of 3480 Return Visits, 2814 visitors were from Alberta, 440 from the rest of Canada and 226 were international visitors. Figure 1 below shows repeat visitors over the past seven years.

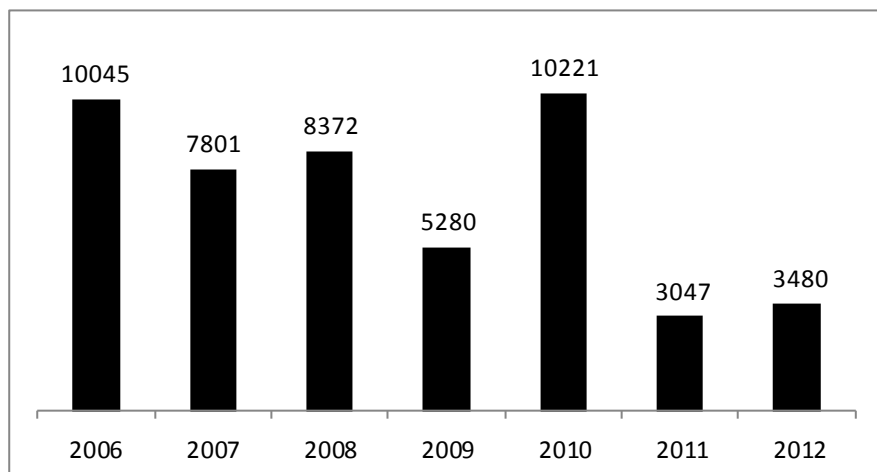
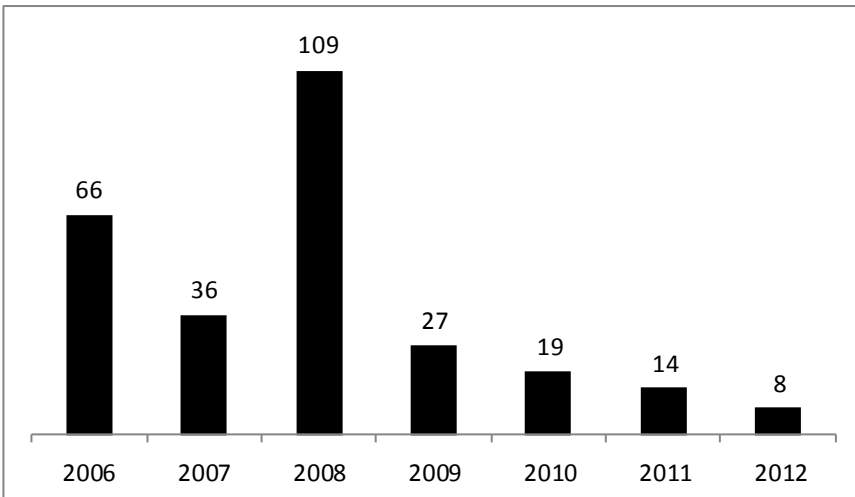


Figure 1



One news story indicator, as set out in Figure 2, measures the number of news stories about CASA in the Alberta news media (print, television, radio, magazines, etc.) each year. The number of news stories is proportional to newsworthy activity by CASA.



**Figure 2**

In 2012, the total number of news stories dropped. The majority of news articles made reference to CASA as an organization rather than to specific project information. Out of the 8 news stories, 4 had a neutral tone, and 4 had a positive tone. The quality of news stories has been described qualitatively while in the past it was represented graphically as a percentage based on a score calculated using the Media Relations Rating Points (MRP)<sup>TM</sup> system. CASA is currently in a transition period towards new Performance Measures. The new Performance Measurement Strategy will look at CASA's Communications efforts in a more comprehensive way, ensuring an overview of all programs including social media. Since the score determined by the MRP will not be used as a Performance Measure moving forward, it has not been calculated for 2012.

**Recommendation 5: Approve Performance Measure 5 result.**

The Performance Measures Committee recommends that the Board approve the results from Performance Measure 5 for inclusion in the 2012 CASA Annual Report.

## Summary of Recommendations

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### **Recommendation 1: Approve Performance Measure 3 result.**

The Performance Measures Committee recommends that the Board approve the results from Performance Measure 3 for inclusion in the 2012 CASA Annual Report.

### **Recommendation 2: Consider previously low-rated recommendations complete.**

The Performance Measures Committee recommends the CASA Board deem the following two (2) low-rated recommendations closed because they are complete:

- 1998:
  - Flaring and Venting Team: #36
- 2003:
  - Animal Health Team: #4

### **Recommendation 3: Send low-rated recommendations to the HAHT for consideration.**

The Performance Measures Committee recommends that the CASA Board send the following two (2) low-rated recommendations to the Human and Animal Health Team for consideration under their mandate because they fit with the team's current work:

- 1998:
  - Flaring and Venting Team: #30
- 2003:
  - Data Issues Group: #8-1

### **Recommendation 4: Reassess low-rated recommendation.**

The Performance Measures Committee recommends that the CASA Board reassess the following one (1) low-rated recommendation to determine if more work is required. If so, the Board should decide on next steps; if not, the recommendation should be deemed satisfied and closed (i.e. no longer requires continued follow-up through the low-rated recommendation matrix):

- 2002:
  - Acidifying Emissions Management Implementation Team: #3

### **Recommendation 5: Approve Performance Measure 5 result.**

The Performance Measures Committee recommends that the Board approve the results from Performance Measure 5 for inclusion in the 2012 CASA Annual Report.

## **Appendix 1: Decision Tree for Low-rated Recommendations**

After three years of implementation, CASA assesses the implementation of recommendations by engaging stakeholders involved in the original team and/or the implementing agency. Assessors are asked to rate the degree of implementation on a scale of 0-10. Low rated recommendations are defined as recommendations receiving a 0-3 rating.

The Decision Tree, as illustrated on the next page, is intended to provide guidance on how to follow-up on low-rated recommendations. The Decision Tree will only be used for low-rated recommendations. The Committee will first follow-up with the implementer for information why a recommendation was not implemented. If no implementer is discernable, the Committee approaches a CASA team (if available) for information. Should neither be available, the Committee can make a recommendation to the CASA Board. Recommendations, whether from the implementer, CASA team or Committee, could include:

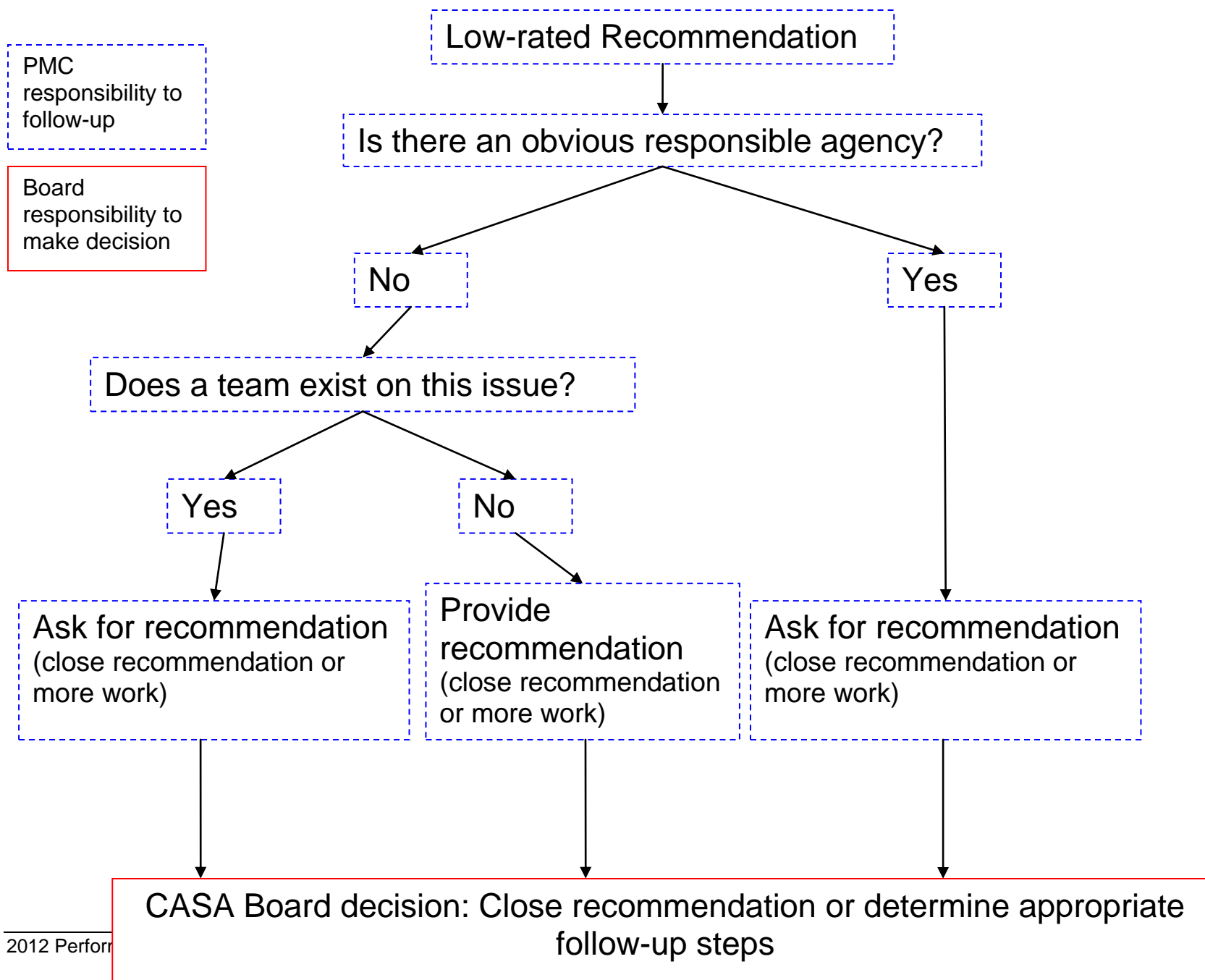
- Close the recommendation, and document the explanation
- More work that could be required, such as an implementation team, new work for an existing team, Board involvement, etc
- More information the Board would require to make its decision regarding follow-up or closure of the recommendation.

### **CASA Board Decision**

The Performance Measures Committee will use the information to advise to the CASA Board on appropriate follow-up for the low-rated recommendation. The CASA Board has decision-making power whether to follow-up or to close the recommendation (i.e. render the recommendation no longer required).

There are three criteria to inform the board's decision to close a recommendation:

1. Priority level: Is the current importance of the issue and/or recommendation high, medium or low?
2. Need for the recommendation: Given legal, technological, societal, and economic changes since the recommendation was made, is the action prescribed still needed?
3. Practical challenges: Given the current work of the implementing body, are the necessary resources and capacity available to implement the recommendation?



## **DECISION SHEET**

**ITEM:** 2.5 PM and Ozone Implementation Team 2013 Report

**ISSUE:** Approve the PM and Ozone Implementation Team 2013 Report.

**BACKGROUND:** In September 2003, the CASA board approved the CASA PM & Ozone Management Framework and the PM & Ozone team was subsequently disbanded. In March 2006, the Terms of Reference for the PM & Ozone Implementation Team was approved. The goal of this team is to support and when required, facilitate the timely implementation of the 2003 Alberta Particulate Matter and Ozone Management Framework. The key tasks for this team are to:

1. Review and assess regularly the progress made towards implementing the PM and Ozone Framework.
2. Identify appropriate mechanisms for tracking and reporting progress.
3. Develop reports on progress of implementation of the PM and Ozone framework.
4. Discuss and provide advice on plans, including timelines, for implementation work.
5. Identify needs for future implementation work and make recommendations to fill the gaps.
6. Liaise with relevant stakeholders, including CASA project teams, governments, airshed zones and other stakeholders involved in particulate matter and ozone management.
7. Determine if any public consultation activities are required.
8. Report to the board.
9. Report to stakeholders.

**STATUS:** The team met on Wednesday November 28<sup>th</sup>, 2012 to discuss:

- Progress made towards completing the Terms of Reference;
- Impacts of the national AQMS on the CASA Framework; and
- The future of the team.

At this time, the team agreed that the national Air Quality Management System (AQMS) superseded the CASA Framework and, as such, the Terms of Reference for this team are no longer relevant. The team also noted that much PM and Ozone expertise has accumulated at CASA during the life of the PM and Ozone Project Team, as well as the PM and Ozone Implementation Team, which could be useful during the implementation of the national AQMS and the Canadian Ambient Air Quality Standards (CAAQS).

There are two recommendations for the Board to approve.

**ATTACHMENTS:** A. PM and Ozone Implementation Team 2013 Report.

***DECISIONS:***

1. Approve the PM and Ozone Implementation Team 2013 Report.
2. Disband the PM and Ozone Implementation Team.

# PM and Ozone Implementation Team 2013 Report



Prepared by the  
PM and Ozone Implementation Team  
for the  
Clean Air Strategic Alliance  
Board of Directors

11 February 2013

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## **Acknowledgements**

The PM and Ozone Implementation Team would like to thank all current and past team members for their hard work and dedication over the life of the team.

### PM and Ozone Implementation Team Members

<b>Name</b>	<b>Organization</b>
Sara Barss	TransCanada
Elise Bieche	CAPP
Jill Bloor	Calgary Region Airshed Zone
Claude Chamberland (Co-chair)	Shell Canada Energy
Andrew Clayton	Alberta Environment and Sustainable Resource Development
Long Fu (Corresponding)	Alberta Environment and Sustainable Resource Development
Marc Huot	Pembina Institute
Ahmed Idriss	Capital Power Corporation
Shane Lamden (Corresponding)	NOVA Chemicals Corporation
Rachel Mintz	Environment Canada
Keith Murray	Alberta Forest Products Association
Bob Myrick (Co-chair)	Alberta Environment and Sustainable Resource Development
Beth Nanni (Co-chair)	The Lung Association
Crystal Parrell	Alberta Environment and Sustainable Resource Development
Brad Park	City of Calgary
Mike Pawlicki	Lafarge Canada Inc.
Ludmilla Rodriguez	Alberta Health Services
Karina Thomas	Alberta Health
Darcy Walberg	Agrium
Kevin Warren	Parkland Airshed Management Zone
Celeste Dempster	CASA

## Executive Summary

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In March 2006, the Terms of Reference for the PM and Ozone Implementation Team was approved by the CASA Board. The goal of this team was to support and when required, facilitate, the timely implementation of the 2003 Alberta Particulate Matter and Ozone Management Framework (the CASA Framework).

According to its Terms of Reference, the PM and Ozone Implementation Team was required to review the need for the continuation of the team every two years. On November 28<sup>th</sup> 2012, the team held a full day meeting to discuss its future and to prepare advice for the CASA Board.

At this meeting, the team noted that the majority of the recommendations from the CASA Framework have been met and the majority of the Terms of Reference have been completed very successfully. In addition, the team agreed that, based on the recent announcement from the Canadian Council of Ministers of the Environment (CCME) on the national Air Quality Management System (AQMS), the question to consider going forward is not „Are there any outstanding issues from the Terms of Reference“ but rather „Given the new national AQMS, is the Terms of Reference still relevant?“.

After thoughtful consideration and discussion, the team agreed that the national AQMS supersedes the CASA Framework and, as such, the Terms of Reference for this team are no longer relevant. The team also noted that much PM and Ozone expertise has accumulated at CASA during the life of the PM and Ozone Project Team as well as the PM and Ozone Implementation Team which could be useful during the implementation of the national AQMS and the Canadian Ambient Air Quality Standards (CAAQS). As such, the team agreed to put forward two recommendations to the CASA Board:

**Recommendation 1: Disband the PM and Ozone Implementation Team.**

The PM and Ozone Implementation Team recommends that the team be disbanded.

**Recommendation 2: Provide access to CASA PM and Ozone expertise during the implementation of the AQMS as it pertains to the CAAQS.**

The PM and Ozone Implementation Team recommends that, during the transition period to the CAAQS, if requested, CASA could form one-time group(s) with tailored membership to provide specific advice on PM and Ozone to the Government of Alberta.

## 1. Introduction

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According to its Terms of Reference, the PM and Ozone Implementation Team should review the need for the continuation of the team every two years. On November 28<sup>th</sup> 2012, the team held a full day meeting to discuss its future and to prepare advice for the CASA Board. This report:

- provides a brief history of the PM and Ozone Implementation Team,
- discusses progress made against the Terms of Reference, and
- presents and explains the team's final recommendations regarding the future of the PM and Ozone Implementation Team.

## 2. Background Information

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The Multi-stakeholder Group for PM and Ozone was established by CASA in 1998 to provide input to Alberta Environment on the development of a Canada-wide Standard (CWS) for particulate matter and ozone. Following the signing of the CWS in 2000, Alberta Environment asked CASA to form the PM and Ozone Project Team in November of 2000.

At the September 2003 CASA Board meeting, members approved the Particulate Matter and Ozone Project Team's report and recommendations (the CASA Particulate Matter and Ozone Management Framework or the CASA Framework) and disbanded the team. Later, concerns were raised by CASA stakeholders as to whether the implementers of the CASA Framework were making sufficient progress on implementation. Subsequently, in June 2005 the CASA Board accepted the recommendation to create a PM and Ozone Implementation Team to assess and report on progress in implementing the Framework.

In March 2006, the Terms of Reference for the PM and Ozone Implementation Team was approved by the CASA Board. The goal of this team was to support and when required, facilitate the timely implementation of the 2003 Alberta Particulate Matter and Ozone Management Framework. The key tasks for this team were to:

1. Review and assess regularly the progress made towards implementing the PM and Ozone Framework.
2. Identify appropriate mechanisms for tracking and reporting progress.
3. Develop reports on progress of implementation of the PM and Ozone Framework.
4. Discuss and provide advice on plans, including timelines, for implementation work.
5. Identify needs for future implementation work and make recommendations to fill the gaps.
6. Liaise with relevant stakeholders, including CASA project teams, governments, airshed zones and other stakeholders involved in particulate matter and ozone management.
7. Determine if any public consultation activities are required.
8. Report to the CASA Board.
9. Report to stakeholders.

The most recent substantive work of the team occurred in 2011 where they met several times to:

- Prepare lessons learned documents for the CCME to contribute to their discussions on the national AQMS;
- Discuss progress made towards completing the Terms of Reference;
- Receive updates on the national AQMS and considered the impacts on the CASA Framework and the team;
- Hear the results of the latest annual PM and Ozone assessments; and
- Receive updates on progress towards air quality management in areas assigned to the Management Plan action level for ozone according to the CASA Framework.

The team met most recently on November 28<sup>th</sup>, 2012 to continue the discussion on progress made towards completing the Terms of Reference and the impacts of the national AQMS on the CASA Framework and the team, as well as to prepare advice to the CASA Board as to the future of the team.

### **3. Progress Towards Completing the Terms of Reference**

#### **a) Progress**

During the last few team meetings of 2011, the team discussed progress made towards completing the Terms of Reference. During this discussion, the team noted that the majority of the recommendations from the CASA Framework have been met and the majority of the Terms of Reference have been completed. This was re-iterated by team members at the meeting on November 28<sup>th</sup>, 2012 as they continued this discussion.

There are two outstanding recommendations that remain from the Framework:

Recommendation	Status Update
1c) Management Framework Review: It is recommended that the PM and & Ozone Management Framework, including the process for annual analysis of ambient data, simplified mechanisms, and trigger levels, be reviewed by Alberta Environment after three years of practical application and implementation experience, and in conjunction with or immediately following the review of the Canada Wide Standard in 2006. This review should involve interested stakeholders and members of the public.	In September 2009, the team discussed both the reviews and determined that they should be postponed until a full cycle (3 years) of implementation of the management plans was completed.  NB: The Capital Region Ozone Management Plan, the CRAZ Particulate Matter and Ozone Management Plan and the PAMZ Ozone Management Plan were completed in 2008.  NB: The CWS for particulate matter and ground-level ozone were reviewed by the CCME in 2005 and it was decided that the existing CWS for PM <sub>2.5</sub> and Ozone should be retained and implemented as planned by 2010.
8c) Future Reviews: It is recommended that the <i>Guidance Document for the Management of Fine Particulate and Ozone in Alberta</i> (GDAD) be reviewed and updated in conjunction with the review of the PM & Ozone Management	

<p>Framework in 2006/07. Alberta Environment shall coordinate the review and involve interested stakeholders.</p>	
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While the review of the Framework and the GDAD are not complete, recent related team activities have contributed to the development of the Canadian Ambient Air Quality Standards (CAAQS) for PM<sub>2.5</sub> and Ozone, a component of the national AQMS:

- In 2011, the PM and Ozone Implementation Team created two Lessons Learned documents. The first document, dated 10 February, provided observations with respect to the technical elements of framework design and captured the experiences of a multistakeholder team. The document was submitted to the CCME and Air Management Committee (AMC) to contribute to their discussions on the design of the national AQMS.
- The second Lessons Learned document, dated 30 September 2011, reflected the comments of the PM and Ozone Implementation Team on the *Proposed Guidance Document for the Achievement Determination of PM<sub>2.5</sub> and Ozone CAAQS* (now published as *Guidance Document for the Achievement Determination for the CAAQS for Fine Particulate Matter and Ozone*). This Lessons Learned document was also submitted to the CCME and AMC to contribute to their discussions on the design of the national AQMS.

The team also noted that there is one outstanding recommendation from the GDAD:

Recommendation	Status Update
<p>G 10.2 Provide an annual report on Achievement of the CWS by each jurisdiction in a standardized “report card” format. The format to be developed and agreed to by all jurisdictions, and provided to Ministers and the public by 20 September of each year beginning in 2011.</p>	<p>At the last team update in 2010, conversations at the federal level on this item had not yet started to develop at reporting format. In October 2010, the CCME agreed to move forward with a new collaborative air management approach to better protect human health and the environment (now known as the national AQMS). It is likely that these discussions may have superseded any discussions around the CWS report card.</p> <p>CCME has developed a report called “2011 Progress Report on the Canada-wide Standards for Particulate Matter and Ozone”. This report has not yet been publicly released.</p>

The team remarked that much successful work has been accomplished and the group has demonstrated the value of multistakeholder processes. 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 Management Plans testifies to this effort as well as the adoption of the CASA model at the national level (CAAQS). The team has tracked the implementation of all the recommendations from the CASA Framework, seeking out regular updates and liaising with implementers. The team has also acted as a forum for sharing

information and discussions amongst stakeholders including receiving the results of the PM and Ozone assessments and updates on the PM and Ozone Management Plans on a regular basis. The team has provided support to those groups developing management plans and helped to facilitate, when necessary, the cooperation and communication between implementers of the CASA Framework. The team also used their expertise to provide input to the national process and development of the CAAQS.

## b) Relevancy

During the discussion on progress made towards completing the Terms of Reference, the team agreed that, based on the recent announcement from the CCME on the national AQMS (see „Quick Facts“ box below), the question to consider going forward is not „Are there any outstanding issues from the Terms of Reference“ but rather „Given the new national AQMS, is the Terms of Reference still relevant?“.

At the last few team meetings in 2011, it was noted that there were many uncertainties with respect to the development of the national AQMS which needed to be considered going forward. Since these meetings, there is new information available on the national AQMS which was shared with the team at the meeting on November 28<sup>th</sup>, 2012 by Alberta Environment and Sustainable Resource Development (ESRD). The team used this information to consider whether the Terms of Reference is still relevant and to determine what advice should be given to the CASA Board as to the future of the team.

### Quick Facts - National AQMS and CAAQS:

- On October 11, 2012, the CCME announced that jurisdictions (with the exception of Quebec) had agreed to begin implementing the new national AQMS in 2013.
- The new CAAQS will be the drivers of the system and set the bar for outdoor air quality management across the country.
- The CAAQS will be established as objectives under the Canadian Environmental Protection Act 1999.
- Standards for fine PM and Ozone have been developed and are based on the CASA Framework.
- The CAAQS will replace and be more stringent than the CWS for PM and Ozone.
- The CAAQS for PM and Ozone will come into effect in 2015 and detailed information for provinces, territories and stakeholders on methodologies, procedures, and requirements that need to be satisfied to determine the achievement status of the CAAQS in air zones can be found in the *Guidance Document for the Achievement Determination for the CAAQS for Fine Particulate Matter and Ozone*.
- Reporting on the AQMS will begin in 2014 with the reporting of air quality in air zones against CAAQS (based on 2011-2013 data).
- The rationale is to start reporting in 2014 so that provinces and territories would know where they stand before the achievement date of 2015.

## 4. Conclusions and Recommendations

The CAAQS are modeled on the CASA PM and Ozone Framework. The team remarked that they should feel proud that their work to successfully implement the CASA Framework in Alberta has contributed to the adoption of the Framework at the national level. The team has also contributed to the CCME's development of the CAAQS through the two lessons learned

documents produced in 2011. The CWS, that are used in the CASA Framework, will be replaced by the CAAQS and new, more stringent standards have already been developed for PM and Ozone. After consideration of the CAAQS, the team agreed that the national AQMS supersedes the CASA Framework and as such the Terms of Reference for this team have also been superseded and are no longer relevant. By this logic, the outstanding recommendations from the CASA Framework and the GDAD have also been superseded by the implementation of the CAAQS. Given the reasoning above, the team agreed to present a recommendation to the Board to disband the team.

**Recommendation 1: Disband the PM and Ozone Implementation Team.**

The PM and Ozone Implementation Team recommends that the team be disbanded.

The team also noted that much PM and Ozone expertise has accumulated at CASA during the life of the PM and Ozone Project Team and the PM and Ozone Implementation Team which could be useful during the implementation of the national AQMS. During the transition from the CASA PM and Ozone Framework to the CAAQS, there may be opportunities to share this expertise and provide input to the Government of Alberta. Examples of such opportunities could include providing technical advice on achievement determination of the ambient air standards and providing input into a Government of Alberta Jurisdictional Implementation Plan. As such, the team agreed to put forward a second recommendation to the Board which states that: during the transition period to the CAAQS, CASA could convene stakeholders to provide specific advice on PM and Ozone to the Government of Alberta if requested. This would not be a standing group but rather would come together to provide targeted advice over a shorter timeframe. The membership of the group would be tailored based on the advice/input being requested.

**Recommendation 2: Provide access to CASA PM and Ozone expertise during the implementation of the AQMS as it pertains to the CAAQS.**

The PM and Ozone Implementation Team recommends that, during the transition period to the CAAQS, if requested, CASA could form one-time group(s) with tailored membership to provide specific advice on PM and Ozone to the Government of Alberta.



## *Status Report*

**Item:** 2.6 Alberta Airshed Council Update

**Task:** To provide an update to the CASA Board.

**Co-Chairs:** Jill Bloor and Bob Scotten

**Status:** The Alberta Airsheds Council provides a forum to identify and advocate for the common interests of the nine established airshed zones.

2012 has been a challenging year for the Airsheds. Finances have been a major issue for many of the Airsheds. Voluntary contributions are down and Government grants were slow to be approved. The need for sustainable funding is critical for the Airsheds to provide continuing service. Airsheds are seeking a mechanism to provide assured long term funding including clarity and certainty of government grants, consistent requirements for emitters to contribute and financial expectations of other stakeholders such as municipalities.

Uncertainty of future roles for the Airsheds has resulted in some discomfort and considerable speculation. The AAC and its members look forward to the timely resolution of airshed roles and responsibilities so that we can effectively participate in Alberta's new monitoring program. We anticipate the AESRD will provide definitive guidance on this issue in 2013.

The CASA Joint Standing Committee (JSC) has provided a good opportunity to discuss issues with CASA, AESRD, Industry and ENGOs. The JSC has helped the AAC identify solutions to some issues and has provided a communications conduit.

For more information, go to [www.albertairshedsCouncil.ca/](http://www.albertairshedsCouncil.ca/).

## *Status Report*

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**Item:** 2.6 **Calgary Region Airshed Zone Update**

**Task:** To provide an update to the CASA Board.

**Executive Director:** Jill Bloor

**Status:** CRAZ welcomed a new member to our team. Mandeep Dhaliwal was hired in August as the Air Quality Program Manager. The addition of Mandeep to CRAZ has brought enhanced technical experience and knowledge to the organization.

During 2012, CRAZ expanded the passive air monitoring network to 40 sites across the region. All reports are available on the CRAZ website, [www.craz.ca](http://www.craz.ca).

CRAZ continued to work on siting the Southeast ambient air monitoring station and this seems to be moving to completion in 2013. The Central station is also moving along as CRAZ works with the City of Calgary and AESRD on confirming a new location and incorporating the education/outreach component into this station.

CRAZ, AESRD and the City of Airdrie are working together to secure a site for a fourth monitoring station in the CRAZ region.

The Particulate Matter/Ozone Management Committee commissioned work on a geospatial allocation project from the All Source Emissions Inventory. The committee continued the Community Based Social Marketing project in 2012 focusing on all commuter options.

In the 2012-2014 Strategic Plan, CRAZ committed to having a delegation present to each Municipal Council once every three years and in 2012 we began this action.

The Education/Outreach program continued this year. The Photo Contest and attending the Mayor's Environment Expo were among our efforts. CRAZ continued to offer the Gauge 'n Save program at gas stations in conjunction with Calgary Co-op. The volunteers attended 27 gas stations. It is through the Education programs that we both increase the awareness of the organization by the public and deliver specific techniques that anyone can incorporate into their life style to ensure we continue to enjoy the air quality we have.



In 2012, CRAZ received analyzers for the Mobile Air Monitoring Lab (MAML). This vehicle was deployed in 2012 to follow up on data collected from the passive network. The MAML will be used for monitoring as well as education/outreach in the region.

CRAZ completed an agreement in 2012 with the Alberta Winter Games Sustainability Committee to implement an Idle Free program for the Games in 2014. We will be working with Canmore and Banff High Schools on the project.

CRAZ continued to work with our Industry members to develop an Emissions-Based Funding Formula for the organization.

The CRAZ Board, staff and volunteers are excited about building on the accomplishments made in the coming year. Learn more at [www.craz.ca](http://www.craz.ca).

## Status Report

**Item:** 2.6 Fort Air Partnership Update

**Task:** To provide an update to the CASA Board.

**Executive Director:** Nadine Blaney

**Status:** In 2012 Fort Air Partnership (FAP) continued its transition toward a regional air monitoring network. Operating a regional network (rather than fence line monitoring) gives a more well-rounded characterization of regional air quality. It provides the ability to measure the cumulative impact of all pollutant sources, taking into consideration regulated industrial emissions, as well as non-regulated emission sources such as urban, oil and gas, and agricultural activities.

A network assessment was completed by a third-party contractor in early 2012. Sonoma Technology Incorporated made a series of recommendations about the monitoring program to more effectively meet our network objectives. The recommendations made in this report were presented at a stakeholder workshop and the report finalized in March of 2012. These recommendations will form the basis for a long term monitoring plan, which is being developed by a sub-committee of the FAP Technical Working Group. Work on this monitoring plan began in late 2012 and will continue into 2013. Public information sessions will take place once the plan has been completed.

FAP reduced its passive monitoring network for SO<sub>2</sub> and H<sub>2</sub>S and eliminated the NO<sub>2</sub> and O<sub>3</sub> network in 2012, in response to the network assessment recommendations related to redundancies in monitoring. This is the first step in allowing FAP to concentrate on strategically developing a monitoring network that meets regional monitoring objectives.

### Equipment Upgrades

Equipment upgrades in 2012 included in-situ calibrators at two stations, a new ammonia analyzer, updated wind monitoring equipment and equipment for improved safety at the stations. FAP also worked toward a full complement of backup analyzers to ensure we continue to meet network operational uptime requirements.

### Particulate Monitoring

FAP conducted some short-term studies on particulate monitoring technology in use throughout the network. Each particulate monitoring technology detects particles masses according to a different physical principle and corresponding assumptions about particle density. There are variances in results, depending upon the composition of the particles monitored and the conditions under which it was monitored.

To understand possible bias (differences) in the methods, FAP undertook two studies; one was to co-locate standard reference monitors with two of the continuous monitors in the network. Another was to co-locate two different monitoring technologies at the Fort Saskatchewan station. The data collected in these studies will inform FAP as to how PM data collected will vary when upgrading technology throughout the network.

### Capital Region Air Quality Management Framework

Throughout the year, Fort Air Partnership was actively involved in the Capital Region Air Forum. This multi-stakeholder group developed a Capital Region Air Quality Management Framework in 2012, which is now in the process of being implemented. FAP is also involved in the development of a PM Management Plan under this framework, work on which began in 2012 and will continue into 2013.

### Public Communication

FAP's continuing communications included the distribution of annual reports and a quarterly e-bulletin, plus presentations to industry groups and county councils. FAP also provided continued support for the Life in the Heartland (LITH) initiative which is a collaborative effort between organizations in the Industrial Heartland to keep residents informed about issues regarding industrial development. As part of this support FAP served as LITH Chair for 2012.

# Status Report

**Item:** 2.6 Lakeland Industry and Community Association Update

**Task:** To provide an update to the CASA Board.

**Executive Director:** Charmaine Code  
(Report provided by Mike Bisaga, Airshed Program Manager)

**Status:** Monitoring Programs Overview

In 2012, the LICA airshed monitoring network consisted of 4 continuous monitoring stations, 26 passive monitoring stations, 2 volatile organic compound and polycyclic aromatic hydrocarbon samplers, and 3 soil acidification monitoring plots.

### Soil Acidification Impacts

Since 2010, LICA has been identifying suitable locations for long-term soil acidification sampling plots. LICA's 2007 Potential Acidification Impacts study provided a means for targeting potential monitoring sites because it compiled information about sensitive soil locations as well as current levels of exposure to acidic deposition. Modeled after ESRD's protocol for long term soil monitoring, the new sites are intended to provide insight on the spatial variation of soil acidification across the region. The last of the three sites was established in 2012 south west of Tucker Lake in a 'high potential acidification effects' area near in situ thermal oil sands operations. In 2014, LICA intends to return to the site established in 2010 at Moose Lake Provincial Park to resample; the results of the 2014 sampling event will be compared to the soil analyses from 2010 and should provide insight on any potential soil acidification impacts. Similar comparisons will be made in 2015 when LICA returns to the Whitney Lakes Provincial Park soil plot and in 2016 when LICA returns to the Tucker Lake soil plot.

### Regional Environmental and Surface Water Acidification Impacts

In 2007, an exploratory study was conducted in the LICA area to assess the levels of deposition of acidic and acidifying substances, and to assess their potential impacts on the environment in general and specifically surface waters. The effects of potential emissions of oxides of nitrogen (NO<sub>x</sub>) and sulphur dioxide (SO<sub>2</sub>) on acid deposition in the LICA region were examined. In 2012, the LICA Airshed updated the 2007 study which included recalculating acid deposition based on new data collected by Airshed monitoring network and other sources. Trend analysis over time was also examined in the 2012 update and similar to the 2007 study, the potential acidification impacts on surface water was also inferred. Some general observations were noted in acid deposition:

- Acid deposition estimates showed temporal and spatial variability
- At all monitoring locations, potential acid input decreased between 2003 and 2011

- Deposition was higher in winter than in summer.

Potential acid deposition levels are higher at locations between Leming and Marie Lakes, the Town of Bonnyville, and near Fort George/Elk Point Airport; the values appear to be isolated and are likely related to local sources such as thermal in situ oil sands operations, home heating, vehicle exhaust, and cold heavy oil production.

The surface water component of the study assessed lakes within and bordering the LICA area for sensitivity to acidification. Sensitivity was evaluated through an analysis of water quality variables and comparison with estimated potential acid inputs. Water quality data were compiled from the late 1990s to 2011 for 64 lakes within and bordering the LICA area and assessed using an acid sensitivity rating system. Some general observations were noted in surface water acidification:

- Most study lakes were assessed as having high buffering capacity.
- A few lakes bordering the LICA area with small surface areas had higher sensitivity to acidification.

In 2013, LICA will be working on developing a monitoring action plan to address the findings in the updated study.

#### **Improving VOC and PAH Sampling and Analyses**

Over the past 5 years, the LICA Airshed Zone has been conducting VOC and PAH sampling at selected monitoring locations. The introduction of this type of monitoring to the network was largely in response to air quality concerns regarding emissions from an expanding cold heavy oil production (CHOP) sector. In late 2012, LICA switched its analytical service provider to a laboratory that can provide improved low-level detection of speciated hydrocarbons. This change, along with the addition of a methane/non-methane analyzer which will be used to 'trigger' VOC samples during high concentration non-methane events, will greatly improve the robustness of LICA's hydrocarbon monitoring program.

#### **Education and Outreach**

As in 2012, the LICA Airshed Zone's 2013 showpiece public education and outreach event was the 'Green Your Ride' vehicle emissions testing clinic. The clinic included free tests of tailpipe emissions, tire pressure, and the vehicle's gas cap seal. Nearly 60 vehicles were tested during the half-day event, and drivers were provided with insight regarding the 'environmental performance' of their vehicle.

#### **Policy**

In 2012, LICA participated in several meetings and workshops hosted by ESRD regarding the future of environmental monitoring in Alberta. The most immediate changes that LICA sees happening in 2013 & 2014 that will have a direct impact on our organization include the transition of responsibility for monitoring to an arm's length commission, implementation of the Joint Oil Sands Monitoring Plan (JOSMP), and funding allocations for the monitoring program and particularly JOSMP. LICA recognizes that the process is still in the early stages of planning and transition, but LICA intends to continue its involvement with this process and be fully engaged during its evolution.

# Status Report

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**Item:** 2.6 Parkland Airshed Management Zone Update

**Task:** To provide an update to the CASA Board.

**Co-Chairs:** Kevin Warren

**Status:**

2012 marked the fifteenth anniversary of the Parkland Airshed Management Zone and the thirteenth year of operation of its Air Quality Monitoring (AQM) Program.

The Martha Kostuch Portable AQM Station supported a number of air quality investigations, including odour concerns in the Hamlet of Mirror and issue follow-up monitoring in Delburne. The David McCoy returned to the City of Lacombe for the first time since 2005, to characterize current air quality and assess any trends.

Replacement of the monitoring network's aging data acquisition and control systems was completed with installation of new systems in PAMZ's two portable stations.

On June 6, PAMZ, working with partnership organizations Alberta Environment & Sustainable Resources Development (ESRD), The City of Red Deer, NOVA Chemicals and Parkland Mall, held a motor vehicle emissions testing clinic on Clean Air Day. It was the first such clinic for PAMZ since it hosted a series of Environment Canada "Let's Drive Green" clinics over five years ago. The event was a total success and will be run again in 2013.

Late in 2012, monitoring began at a temporary candidate location in the Lancaster subdivision of Red Deer. This monitoring is part of an initiative to establish a second permanent monitoring station in the city and plan for the future of the current site which has been collecting data alongside Riverside Drive since 2001.

The 2009-11 Canada Wide Standards Assessment conducted by ESRD and released in late 2012 found the Red Deer station's PM<sub>2.5</sub> levels were above the Exceedance Trigger under the CASA Framework. Starting in 2013, ESRD will begin working with local stakeholders, especially PAMZ, to develop a plan to reduce particulate matter concentrations.



## *Status Report*

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**Item:** 2.6 Palliser Airshed Society Update

**Task:** To provide an update to the CASA Board.

**Executive Director:** Bob Scotten

**Status:** 2012 has been a challenging year for PAS. Our funding drive was less productive than expected. Extra effort was put into membership improvement and an aggressive collection campaign; however a shortage of funding was the reality. A grant from Alberta Environment and Sustainable Resource Development was slow to be awarded which contributed to financial uncertainty.

Program adjustments had to be made; the operation of the rover station was cut for 2012.

In recognition of decreasing funding the Board implemented a plan to increase awareness of air quality and the value of the organization. A communications consultant was contracted in July to increase connection with the communities in the region, as well as current and possible stakeholders. PAS has developed communications on twitter, Facebook and flickr. Monthly newsletters and fact sheets have been developed. Numerous open house and trade shows have been booked. Promotional supplies for AQHI and a survey for air quality literacy have been developed. PAS will be piggy backing communications with other regional organizations such as PRAXIS and SEAWA. Updates to the PAS website are ongoing.

PAS has plans for expanding the region west to the BC border. This makes sense from an air monitoring point of view, and it may enhance the possibility of developing sustainable funding. The first phase of the plan will be to include the Lethbridge air monitoring station into the PAS network. The second phase will be to step up communications with municipality's, potential industry stakeholders, ENGO's and people of interest in the expanded region. The third step will be to include people and organizations from the expanded region into a larger PAS organization. Implementation of an expanded monitoring program is the target.

## *Status Report*

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**Item:** 2.6 Peace Airshed Zone Association Update

**Task:** To provide an update to the CASA Board.

**Executive Director:** Shelly Pruden

**Status:** PAZA entered 2012 in a position of strength. In the previous year, the multi-stakeholder Board of Directors approved a new funding formula to position PAZA for sustainable funding. Both required and voluntary industry, municipalities, and stakeholders contributed financially to the purpose and support of PAZA.

The early months of 2012 were spent planning and organizing Grande Prairie's first ever Emissions Clinic. This event was held over a two day period (June 5-6) where we saw over 100 vehicles at the clinic evaluated. There was much to learn as we continue our efforts to educate and engage non-point sources, the City and residents of Grande Prairie and area. PAZA thanks AESRD for their grant support of this project.

Mid-year, PAZA experienced some down-time due to a change in staff, which resulted in a shift in priorities and scheduled activities. New staff was hired and trained and PAZA is resuming efforts to grow public awareness of Air Quality monitoring and the role each sector of the community plays.

PAZA was approached by one of our industry members, Long Run Exploration Ltd., to partner with them in the design, construction and installation of a new air quality monitoring station in the community of Falher. This is a proactive and voluntary initiative in the vicinity of an area that is currently experiencing public distrust of industry action and development. This is an excellent example of mutli-stakeholder collaboration. As part of this initiative, PAZA also participated in an Open House in the area to raise awareness of Air Quality and our role in it. Residents in this area, of the Peace River Oil Sands Development, continue to contact PAZA for information and advice on responding to and addressing air quality concerns. PAZA supports the recent formation of the CASA Odour Working Group and we hope the work of this group will examine and look at odour management in this area and throughout the province.

PAZA continues to promote public awareness of Alberta's Air Quality Health Index (AQHI). With the expansion of AQHI monitoring to the rover station in 2012, we hope to commence AQHI reporting in communities of



rover monitoring, early this year. PAZA's plans to conduct a full Network Assessment were stalled due to lack of sufficient resources and staff changes. Plans for the Network Assessment have commenced with anticipated completion by the end of 2013. This strongly positions PAZA to move forward with the continued implementation of Alberta's enhanced Air Quality Management System.

For more information, please visit [www.paza.ca](http://www.paza.ca)

## *Status Report*

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**Item:** 2.6 West Central Airshed Society Update

**Task:** To provide an update to the CASA Board.

**Executive Director:** Bob Scotten

**Status:** The West Central Airshed Society is now in its eighteenth year of operations. WCAS continues to operate twelve continuous air monitoring stations and fourteen passive sites. In 2012 the WCAS Board decided to decommission the Hightower air monitoring station. This was not an easy decision as the station provided background data for many years. The deciding factors were related to the unreliability of the off grid power systems and the high cost of operating the station. AESRD agreed with the Board decision to designate the Steeper air monitoring station as the NAPS station. Steeper will be the new background station. The Steeper station data has been very similar to the Hightower station with the exception of ozone data. The Hightower location was at a much higher elevation than the Steeper station.

WCAS continues to participate in a number of regional and provincial initiatives. A great deal of time has been devoted to the Capital Region / Industrial Heartland Multi-stakeholder Air Forum steering Committee, the Capital Airshed Partnership ( PM and Ozone Management), the Alberta Airshed Council and the CASA Joint Steering Committee. WCAS is committed to participate in the development of the future of air quality monitoring and management in the province.

WCAS continued to support a special ozone monitoring program in the Capital region. Three continuous monitoring stations with ozone and NO<sub>x</sub> analyzers plus meteorological equipment were operated, in Barrhead, New Serepta and Sedgewick. The Barrhead and New Serepta stations also sampled VOC's for the summer months in 2012.

Declining financial support continues to challenge the sustainability of the monitoring program. Under the current funding mechanism WCAS can only plan to continue for two more years. This is a result of reduction of emissions, the rapid pace of tracking facility acquisitions, and the nature of voluntary contributions from most emitters in the region.

## *Status Report*

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**Item:** 2.6 Wood Buffalo Environmental Association Update

**Task:** To provide an update to the CASA Board.

**Executive Director:** Dr. Kevin Percy

**Status:** 2012 was another year of evolution and growth for the Wood Buffalo Environmental Association. This year was the first full year of in-house air network operation/maintenance. We welcomed one new WBEA member, and hired one junior air technical staff member. Among the notable achievements were:

- WBEA published the peer-reviewed text book "Alberta Oil Sands: Energy, Industry and the Environment." The 496 page book comprises 19 chapters authored by the WBEA team of international scientists. The book (<http://www.elsevier.com/books/alberta-oil-sands/percy/978-0-08-097760-7#>) includes content on air quality, specialized ppt level simultaneous RSC/VOC measurement, forest health, dispersion modeling, Hg, Pb, S, N isotope tracers for fate of emissions, and natural, fixed, mobile, fugitive source apportionment through receptor modeling.
- WBEA was heavily engaged with both governments in planning/execution under the air component of the Canada-Alberta Joint Plan for Implementation of Oil Sands Monitoring
- Two new permanent forest health monitoring plots were installed bringing the network to 25 across a spatial gradient of pollutant mixtures. Five plots are now equipped with 30 meter tall continuous meteorological towers operated on solar power with satellite data uplink. This network, when completed, will give WBEA capacity to directly link cause and effect.
- Eighteen new forest edge, early warning plots were established.
- WBEA continued to work cooperatively with Environment Canada in continuous ambient mercury (2 stations), continuous BTEX/VOC (1 station), and wet/dry PAC (3 stations) measurements.
- WBEA completed an external expert scientific assessment of its air monitoring network, completed by former managers of Environment Canada/US EPA national networks. Member engagement followed with prioritization of network enhancements going forward.

- WBEA completed a follow-on PM workshop with technical experts/members leading to a plan for expanded and specialized PM monitoring including the need for more chemical speciation for source apportionment purposes.
- WBEA continued, with active collaboration from AESRD, to digitally stream hourly the AQHI values from 4 stations onto its web, the headquarters building, and several locations in town.
- WBEA launched its AQHI app developed in house for members and the public.
- WBEA increased its provincial and national outreach through regular newsletters, community reports, and national events.
- WBEA moved its main server to the highly secure Q9 facility in Calgary, and installed two new back-up servers.
- WBEA developed software interfaces to its PI data historian to enable members to gain instant access to all current/historical integrated data such as PAH, VOC's, metals etc. The system will be moved over to the public web side in 2013.
- WBEA data processing/management specialists improved internal Doc-It and other in-house developed DMS to improve efficiency/documentation in operations, including at remote locations.
- WBEA purchased and equipped one new continuous monitoring station, and one portable station.
- All continuous historical 1-hour, and 5-minute data were entered into the PI database.
- Overall network performance for the 15 stations in 2012 averaged 98.5% in 2012, with many months being above 99%.
- WBEA provided constructive feedback to CASA to improve on detection and precision levels when submitting data to the CASA Data Warehouse.
- WBEA attended meetings, and actively participated in the Alberta Airsheds Council.

## **INFORMATION SHEET**

**ITEM:** 2.7 **CASA's Guide to Managing Collaborative Processes (MCP)**

**ISSUE:** The Board will receive the updated version of CASA's Guide to Managing Collaborative Processes

**BACKGROUND:** CASA's Guide to Managing Collaborative Processes provides guidance on Interest Based Negotiation while incorporating experience gained from CASA project teams. It serves as an integral part of CASA's community of practice, consistent with CASA's Strategic Goals 3 and 4.

Since its inception in June 2011, the document has been significantly reworked and tested with internal Project Teams, as well as interested external parties. A beta-version was recently distributed to interested participants at CASA's 2012 Coordination Workshop and at the 2012 Synergy Alberta conference.

Editorial work has been completed, adjusting the overall tone and voice of the document in order to increase readability. The document will be branded and made available on-line for free distribution. The expectation is that CASA will undertake another review of the Guide to MCP in 2014.

**ATTACHMENTS:** A. January, 2013 version of the Guide to Managing Collaborative Processes

# CLEAN AIR STRATEGIC ALLIANCE

*GUIDE TO MANAGING*

*COLLABORATIVE PROCESSES*





\*Editorial Note:

This *CASA Guide to Managing Collaborative Processes* will forever be a work in progress. Lessons Learned and Feedback Received will continue to shape and enhance the content of this compendium, while practitioners and participants alike may add to its margins.

Enjoy.

February 2013

**■** An implicit benefit of the consensus process is that mutual understanding and respect develops as people search together for the best solutions. Participants work together to get tough on the problem, rather than getting tough with each other.”

*- from the Consensus Decision-Making Toolkit*

*A Martha Kostuch Legacy*

Martha Kostuch was a nationally recognized environmental activist who made a significant contribution to our understanding of consensus decision-making and how it can lead to innovative and sustainable solutions.

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## **The Clean Air Strategic Alliance**

### **OUR 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.*

### **OUR VISION FOR ALBERTA:**

*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.*

## EXECUTIVE SUMMARY

This *Guide to Managing Collaborative Processes* supplements several earlier works developed by CASA stakeholders:

- *CAMS: CASA's Decision-making Process*;
- *the Consensus Decision-making Toolkit: A Martha Kostuch Legacy*; and
- *Beyond Consultation: Making Consensus Decisions*.

Each of these documents has helped CASA stakeholders improve their capacity to work together and arrive at decisions through collaboration. This guide builds on that work, applying interest-based negotiation theory and practice to CASA's tested and successful approach to reaching agreement.

It has been said that successful collaboration is as much art as science, and many of us have had the experience of working on teams when the group seemed to "gel", experiencing growing trust and a commitment to work together. While it is certainly true that collaboration is as much about the orientation of the people involved as it is process, the work is made easier if we accept that there is much we can learn from other practitioners and processes. More difficult discussions in particular will benefit from a roadmap that helps teams work through challenging issues, before trust is developed.

The guide will be equally useful to both project managers and participants, providing specific advice that will help the reader lead, or work within, multi-stakeholder teams. For project managers the guide describes specific activities and techniques that can be used to encourage an interest-based (vs. positional) dialogue. These are presented within a step-wise decision-making process that moves teams from the convening stage through to ratification of a completed agreement. Similarly, participants can draw on suggestions that will help them effectively present their interests, work with other stakeholder groups and develop solutions that meet their needs.

The guide is just that; it provides guidance. It is not a manual. It can't be applied without regard for the unique circumstances that develop in each multi-stakeholder process. Project managers will find that most collaborative processes require constant reassessment and they must use their judgment to decide how best to help a group make progress. Still, many of the same recurring challenges are seen in multi-stakeholder processes. Where possible, the guide provides examples of these common challenges and suggests ways to overcome them. The list of challenges is not comprehensive, but it does include typical obstacles that many readers will find familiar.

While the guide may be useful for training project managers and participants it was not prepared for that purpose. In future editions it may be cross-referenced to a training workbook, so that students and participants can relate experiential learning to the various stages of a multi-stakeholder collaborative process. Meanwhile, we hope that interested stakeholders use the guide to further their interests and to build better, more effective teams.

## SETTING THE CONTEXT

Effective management of Alberta's air quality requires a broad range of stakeholders to work together to ensure that policy is responsive to societal needs. Needs related to economic prosperity, a clean environment and thriving communities must be accommodated and integrated in order to provide the kind of sustainable future Albertans expect. This is a simple and unassailable idea, but one that is very challenging to achieve in practice. Each of us may place greater or lesser importance on economic or environmental priorities, but we understand the value of a common approach to the planning, management and regulation of air quality.

The Clean Air Strategic Alliance (CASA) has a long and successful history of building collaborative solutions to important air quality issues, developing policy recommendations for the Government of Alberta's consideration. We provide a forum for our members to explore each other's interests, propose regulatory options, test and evaluate new approaches and secure a joint commitment to implementation. Most importantly, we reach agreement through consensus.

At CASA, reaching consensus has become the norm rather than exception and our individual stakeholders believe that their investment of time and energy will be rewarded through new, innovative agreements. There is an expectation that CASA teams will be run effectively, providing a forum for informed respectful discussion, consistent with the following guiding principles for collaborative consensus building.

CASA project teams typically require a diverse group of stakeholders to work collaboratively, developing consensus agreements on complex public policy issues. This approach recognizes that *people are not the problem*, and that we're better able to reach an amiable solution when we accept the task as a mutual problem.

## PRINCIPLES FOR COLLABORATIVE DECISION MAKING

CASA negotiations align with the following **guiding principles for collaborative consensus building**:

**Purpose Driven** - *People need a reason to participate in the process.*

**Inclusive not exclusive** - *All parties with a significant interest in the issue should be involved in the consensus process.*

**Voluntary Participation** – *The parties who are affected or interested participate voluntarily.*

**Self design** – *The parties design the consensus process.*

**Flexibility** - *Flexibility should be designed into the process.*

**Equal Opportunity** - *All parties must have equal access to relevant information and the opportunity to participate effectively throughout the process.*

**Respect for Diverse Interests** – *Acceptance of the diverse values, interests, and knowledge of the parties involved in the consensus process is essential*

**Accountability** – *The parties are accountable to both their constituencies and the process that they have agreed to establish*

**Time Limits** – *Realistic deadlines are necessary throughout the process*

**Implementation** – *A shared understanding of what implementation will mean for all parties is essential. Commitment to implementation and effective monitoring may also be a part of any agreement.*

The process and steps these teams use to reach agreement closely parallel interest-based negotiation theory, which will be discussed later in this guide.

This document will also outline the steps for successful collaboration:

1. Clarify the issue
2. Identify each party's underlying interests
3. Collect independent information
4. Generate scenarios and options
5. Develop integrated solutions
6. Agree on a package of solutions
7. Commit to shared implementation of agreements

This Guide is not directed at changing the general manner in which CASA Project Teams develop policy recommendations, but rather aims to enhance the experience and craft of project managers and stakeholders, by applying best practices to each step of CASA's collaborative process.

## WHO IS THIS GUIDE FOR?

This Guide is for the Project Managers facilitating multi-stakeholder Project Teams as well as for those who participate in the process. Not intended to be exhaustive of all skills required, it provides a description of the tools and steps fundamental to collaborative decision making and integrates more structure and discipline into the process. With that in place, participants may feel better equipped to find mutually satisfactory solutions to air quality issues.



The processes and steps described in this Guide are intended to help multi-stakeholder teams:

- Strengthen cross-sector stakeholder relationships and networks
- Ensure that decisions fit stakeholders interests
- Increase innovation and creativity in decision making
- Improve project deliverables including developing sustainable solutions for air quality

### WHEN AND HOW DOES CASA BECOME INVOLVED IN RESOLVING ISSUES?

Air quality issues come to CASA's attention through either a public submission or as an emerging issue identified by government, non-government organizations, or industry stakeholders. After an issue is proposed for consideration, CASA undertakes an analysis to determine how well the issue fits within the CASA mandate. The appropriateness of the fit also determines the level and extent of CASA's involvement.

### DETERMINING WHETHER AN ISSUE IS SUITABLE FOR A COLLABORATIVE PROCESS

The analysis also considers whether collaboration would be the most appropriate approach to resolving the issue—or whether a less intensive approach such as consultation or information distribution would be warranted. The key focus however, is providing a platform for effective collaboration where challenging issues can be constructively discussed and innovative and integrated solutions can be developed.

Collaboration is appropriate and likely to be successful if:	Collaboration is not likely to be successful if:
<ul style="list-style-type: none"> <li>• Stakeholders are confident that collaboration is the most suitable process to effectively address and manage the issue</li> <li>• The issue is complex and impacts multiple stakeholders;</li> <li>• Stakeholders are interdependent on each other for the solution</li> <li>• The status quo has unacceptable</li> </ul>	<ul style="list-style-type: none"> <li>• A decision has already been made</li> <li>• The responsible agency does not require or want additional input or information</li> <li>• Key stakeholders are not willing to engage in a collaborative process</li> <li>• The issue is not urgent enough to warrant the time, energy and resources that would be required for a collaborative decision-</li> </ul>

<p>consequences for all stakeholders</p> <ul style="list-style-type: none"><li>• All stakeholders have a sense of urgency and</li><li>• Resources are available to support the process.</li></ul>	<p>making process.<sup>1</sup></p>
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<sup>1</sup> Susskind, McKernan, & Thomas-Larmer, 1999

# SECTION 1- BUILDING A PLATFORM FOR COLLABORATION

Let's begin with the end in mind. The ultimate goal is a win-win resolution to a dispute, or a mutually satisfactory solution to a challenging issue.

It's not about one side winning and the other side losing. It's about finding a solution that recognizes and integrates the interests of everyone at the negotiating table and a solution based on objective criteria, not personal opinion or position. It must be a solution that all parties can agree to. The advantage to a consensus process is that it ensures that all interests are represented and respected; gives all parties a say in the outcome; and promotes better understanding and respect for different viewpoints.

Consensus means all parties agree—or *consent*—to the final decision. Sometimes, however, consensus may be conditional. For example, a “working consensus” may indicate that agreement on a solution depends on the resolution to another related issue. And “final consensus” may mean that there is full agreement on everything or that there is agreement on the package of solutions some of which would not be agreed to if the solutions stood alone.

Before that can happen, it's important to set the stage for effective collaboration. That means creating a safe and trusting environment where people feel comfortable in expressing opinions, ideas, and concerns. The environment must be without prejudice or censure. It should encourage candor, honesty, respect, trust—and even a bit of fun.

Participants should know what's expected of them throughout the collaborative process. Everyone must know and trust the process—even in those instances where trust has yet to develop. To foster and support this trust, it's important for multi-stakeholder teams to establish and follow a set of shared rules (see *Section 2, Step 3* for more on developing ground rules).

## UNDERSTANDING NEGOTIATION

Negotiation is a communication process where two or more parties discuss an issue in order to reach an agreement. Negotiation is a process where each party involved in negotiating tries to gain an advantage for themselves by the end of the process.

In a multi-stakeholder context, it is helpful to understand two different approaches to negotiation:

1. Positional negotiation
2. Interest-based negotiation

### POSITIONAL NEGOTIATION

In *positional* negotiation, each party demands or requires that there be a specific outcome and defends their position. In this type of negotiation, the parties often perceive themselves as adversaries. They may be unaware of what is really important to each other. Parties negotiating for position may:

- Reserve important information and demand more than they expect to receive
- Measure success in terms of an adversary's displeasure
- Avoid asking questions for which they don't know the answer
- Question their adversaries' motivation

Positional negotiation tends to result in win-lose outcomes in which one party gains at the expense of another. Where no party can win, positional negotiation often results in compromise midway between two fixed positions, with limited consideration of whether a different result would produce greater benefits for both parties.

### INTEREST-BASED NEGOTIATION

In interest-based negotiation, the parties seek to develop a common understanding of each other's motivating interests. Negotiating parties advocate for a decision that is motivated by their needs, concerns, fears, hopes, and aspirations. In this type of negotiation, the parties assume that their interests are interdependent and that mutually beneficial outcomes are possible. Instead of adopting positions, the parties communicate openly—asking questions and clarifying their interests. Once all interests

“Consensus processes involve internal thought as much as team dynamics. Participants need to do some soul-searching to discover their own underlying interests before they can articulate them to others.”

-from the *Consensus Decision-Making Toolkit*  
*A Martha Kostuch legacy*

are clear, they can be used as the basis for exploring options that accommodate the full range of interests.

Interest-based negotiators are willing to consider any potential solution that addresses their interests. This requires participants to:

- Establish a structured and collaborative process to deal with the issues.
- Identify the interests that must be accommodated to achieve agreement.
- Negotiate on the basis of accommodating or reconciling interests rather than compromising positions.
- Carefully consider alternatives to a negotiated agreement and recognize that these influence the potential for agreement.

## BELOW THE SURFACE: UNDERSTANDING INTERESTS

Understanding what motivates—or interests—a negotiating party is like viewing an iceberg. On the surface, the interest may seem obvious, but below the waterline is a much bigger picture. For example, a buyer negotiating the price of a new car may seem only interested in getting a good price. But below the surface, the buyer—who is also a new father—is worried about getting too far into debt and being unable to provide for his family. Deeper still may be his ego and desire to be seen in a vehicle that reflects positively on his status in life. The point is, in order to effectively negotiate in a manner that integrates all parties' interests, it's important to understand the values, needs, fears, concerns, hopes and dreams that underlie each party's position.

A classic example of the need to understand a party's interests is illustrated in the story of two sisters quarreling over the last remaining orange in the refrigerator. They finally agree to divide the orange in half. The first sister eats her half of the orange and throws the peel away. The second sister peels her half of the orange, throws the *fruit* away and keeps the peel to use in a cake recipe. Had the sisters taken time to learn each other's interests, they could have reached an agreement that would have been better for each of them.

As is often the case in negotiation, the *currency*—that is, what one party considers valuable—may not necessarily be valuable to the other party: the peel had no currency for the sister wanting only to eat the orange, but it was very important to the sister wanting to bake a cake. The currencies (the *peel* and the *orange*) are a reflection of each party's interest. Neither party could come to a win-win agreement by negotiating away their interest. That's true of all negotiation.

Take for example, a positional negotiation about the purchase of a car. The agreement may be about:

- The price
- The time frame and amount of payments
- The length of the warranty
- Additional features – heated leather seats, high quality tires, better suspension, etc.
- Whether there is the perception of a “good deal.”

In this negotiation, the *currencies* are money, the car and its features, the warranty, and the perception that the price is fair or even inexpensive. This agreement could be between a private individual and a company that sells cars.

“The ability to integrate ideas and interests from others into one solution is a key skill for success and requires focusing on the issue in the spirit of teamwork.”

-from the *Consensus Decision-Making Toolkit*  
A Martha Kostuch Legacy

If the issue is *the use of a public resource*—such as air—for the purposes of emitting waste gas or smoke from an industrial process, the *agreement* may be:

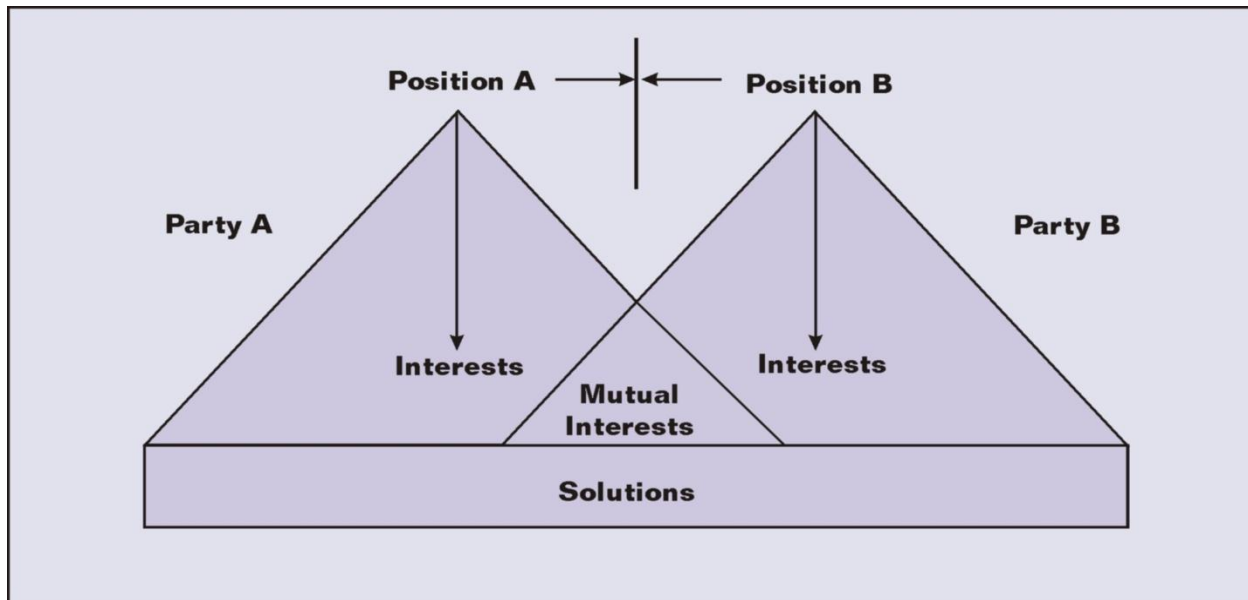
- A recommendation regarding the air quality standard
- How this standard should be monitored
- The consequences if the standard is not maintained and
- Public and political support for establishment of the standard

In this case, the *currencies* are:

- The range of economic, social, and environmental impacts
- The costs and benefits of achieving and maintaining the air quality standard
- Information and expertise that may be held by one or more of the affected interests
- The public and political support for establishing the standard.

Figure 1 below depicts an effective interest-based negotiation where parties are not face-to-face adversaries, but equal partners seeking solutions that satisfy their mutual interests. Both Party A and Party B have both moved from their respective positions to a place of mutual interest.

*FIGURE 1: INTEREST-BASED NEGOTIATION*



## DIFFERENT TYPES OF INTERESTS

In multi-stakeholder negotiation, there are three types of interests:

1. *Substantive interests* are tangible and meaningful—such as money, goods, and resources.
2. *Procedural interests* are the need for things to be done a certain way.
3. *Psychological interests* related to perceptions and relationships.

It's important to understand how these interests influence a negotiating party's position. For example, Figure 2 below illustrates the relationship between the positions and interests that could be associated with a dispute between a gas flaring installation and local farmers whose livelihoods are affected by the flaring process. Note that even parties with strongly opposing positions may have common interests—in this instance, both parties are interested in achieving air quality standards that ensure public health. Both need to achieve this in order to remain viable. Identifying common interests is often an important starting point in the interest-based negotiation process as it provides the parties with increased confidence that joint solutions may be possible. Once the full range of interests is identified, solutions can be formulated that integrate those interests.

FIGURE 2: RELATIONSHIP BETWEEN POSITIONS AND INTERESTS

<b>Gas Company Position</b> Continue flaring gas	<b>Farmer's Position</b> Stop flaring gas
<b>Gas Company Interests</b> <ul style="list-style-type: none"> <li>• Consistent pollution control standards that maintain viable economic opportunity</li> <li>• Sufficient time to amortize investments in technology and infrastructure</li> <li>• Recognition of the company's contribution to economic welfare.</li> </ul>	<b>Farmer's Interests</b> <ul style="list-style-type: none"> <li>• Viable farm</li> <li>• Nontoxic air quality</li> <li>• Safe agricultural products for market.</li> </ul>
<b>Areas of Mutual Interest</b> Air quality standards that ensure public health	

As noted in example above, different types of interests come into play during negotiations. Concerns about environmental impacts and profitability are **substantive interests**. The need for sufficient time to amortize investment in technology is a **procedural interest** and the desire to be acknowledged as a contributor to the local economy and the need to have agricultural products be perceived as safe is a **psychological interest**.

Understanding and integrating all of these types of interests into solutions is the key to an effective interest-based negotiation process.

## NEGOTIATING PUBLIC POLICY ISSUES

While positional negotiation may be effective in situations involving a few parties and a small number of easily defined issues—such as the purchase price of a new vehicle—this type of negotiation is much less effective in complex public policy conflicts that typically involve multiple parties. These conflicts typically involve many variables and require extensive and constructive discussion of the potential solutions. An interest-based approach to negotiation that takes into account the underlying interests of each party and tries to find a solution that everyone can live with would be much more effective in a complex, multi-party negotiation. Table 1 illustrates the benefits of an interest-based approach in public policy conflicts.



*TABLE 1: COMPARISON BETWEEN POSITIONAL AND INTEREST-BASED NEGOTIATION*

<b>Positional Negotiations</b>	<b>Interest-Based Negotiations</b>
Obtain the largest possible share of a fixed quantity of resources	Achieve a high level of satisfaction for all parties
Produce win-lose results	Produce results that meet underlying needs of all parties to the extent possible
Adversarial relationship between parties	Foster a collaborative mutually supportive relationship between parties
Parties perceive their interests as conflicting	Parties look for shared concerns or common ground and then seek ways of accommodating each other's interests in solutions
Parties uncover as much as possible about the other side and simultaneously mislead and conceal information	Parties are willing to jointly identify their interests and determine the extent to which they can be integrated
Parties begin with high initial demands and modify their positions reluctantly	Parties focus on interests not positions
Parties use threats and arguments to overcome each other	Parties use reason and experience to address the problem

## THE PROJECT TEAM

The CASA Project team is made up of a Project Manager, team members and the Co-chairs—each of them playing an essential and complementary role in collaborative problem solving and interest-based negotiation. Their roles are outlined below.

### CASA PROJECT MANAGER

The CASA Project Manager, appointed by CASA, is a neutral facilitator who encourages shared understanding and dialogue in order to reach consensus. He or she does not advocate for a particular outcome or set of interests but advocates for an effective process and the integrity of the project charter (see *Section 2, Step 2*). By maintaining this impartiality and effective process, the Project Manager will gain the participants' respect and confidence. This will enable constructive dialogue and increase the team's capacity to work through difficult challenges.

This Project Manager should have specialized skills in the following areas:

- Creating collaborative relationships and developing partnerships
- Planning group processes
- Creating and sustaining a collaborative environment by:
  - Demonstrating effective interpersonal communication and group facilitation skills.
  - Recognizing diversity and ensuring inclusivity.
  - Managing group conflict.
- Guiding the group to consensus and desired outcomes.
- Using a variety of approaches to shift people from positions to interests and to focus on collaborative interaction.

### *PROJECT MANAGER ROLES AND RESPONSIBILITIES*

1. Provides strategic and administrative support to assigned teams:
  - Anticipating and monitoring issues
  - Coordinating the production of publications
  - Drafting and reviewing background, policy and communications materials
  - Tracking progress on workplans and “making things happen”
  - Facilitating meeting processes, arranging meeting logistics, and preparing agendas and minutes
  - Providing advice on process, communications, roles, guiding principles, and feedback and evaluation mechanisms.

2. Liaises and shares responsibilities with the team co-chairs:
  - Providing support and strategic direction to the co-chairs on process and meeting structure.
  - Collaborating with the co-chairs to facilitate the management and resolution of issues.
  - Enabling co-chairs to participate fully in the discussion, without having to play the dual role of sector representative and facilitator.
  
3. Administers the financial activities of assigned teams:
  - Preparing and monitoring of budgets, workplans and schedules
  - Providing regular budget updates to co-chairs
  - Assisting in the development of requests for proposals for professional services contracts, ensuring clear and appropriate terms of reference
  - Coordinating the evaluation of bids and administering the resulting contracts
  - Monitoring and seeking approval for the disbursement of project funds
  
4. Provides support, analysis, and liaison for the CASA Executive Committee:
  - Ensuring material moves in timely fashion upwards to the Executive Committee, and providing appropriate liaison from the Executive Committee to teams.
  - Communicating on significant and developing issues with the Executive Director in a regular and timely manner

The team members continue to develop confidence in the Project Manager as they observe the Project Manager dealing with all the necessary project management requirements and intervening in the discussions and process in a constructive manner. Project managers should recognize when the group needs assistance and when it needs to struggle.

This dual role – Project Manager and facilitator – can be a challenge for CASA Project Managers because they are neither the boss nor the secretary for the team. If they exercise too much leadership, they risk undermining the commitment of the team members and potentially alienating them. If they exercise too little leadership, they may fail to deliver on the project charter.

“Taking the time to carefully plan the agenda and establish good practices during the meeting will save time in the long run.”

-from the *Consensus Decision-Making Toolkit*  
A Martha Kostuch Legacy

“Always find ways to talk about these behaviours and allow people the freedom to explain before assumptions are made.”

-from the *Consensus Decision-Making Toolkit*  
A Martha Kostuch Legacy

To be effective, the Project Team needs to have clear goals, decision-making authority, clearly outlined accountability and responsibility, effective leadership, training and development, provision of resources, organizational support, and rewards for team success. By focusing on these areas, the Project Manager can help the team develop effective processes.

The Project Manager should also foster continuous improvement in the process. For example, at the end of a meeting, the Project Manager should engage members in an evaluation process by going around the table and allowing each person to comment on the process or offer any additional thoughts or perspectives to improve the meeting or project approach. This will assist in increasing shared responsibility for the process and collectively ensuring the project is moving forward as planned. It will also contribute to openness, trust among participants, continuous improvement, and ensure each participant attends to any unfinished business prior to leaving the meeting.

### *PROJECT MANAGER'S ROLE IN OVERCOMING CHALLENGES*

The Project Manager assists the team in overcoming challenges. The issues undertaken by CASA are complex, requiring stakeholders with potentially conflicting interests in the resolution of an issue to reach consensus on a solution.

At times frustration and tension are necessary and valuable dimensions of the process—not an indication that the Project Manager should intervene and attempt to ease the tension. As an impartial and influential participant in the team, the Project Manager is in a position to help the team articulate and investigate difficult questions. He or she can help build a foundation of trust and openness by working with team members individually and collectively to fully articulate their interests and explore options that integrate all interests.

Regardless of the effectiveness of the processes in place, however; the team may experience challenges that can inhibit progress. For example:

## PROJECT CHAMPION

Each team should include a Project Champion. Typically, the project champion would be a member of the Board of Directors and act as a liaison between the project team and the Board. The Project Manager, project co-chairs, and champion would engage in regular updates and discussions to ensure project success.

### *PROJECT CHAMPION ROLES AND RESPONSIBILITIES*

1. Ensures availability
  - Being readily available and accessible for consultation with project manager.
  - Supporting the project manager and team to overcome roadblocks and watching for scope and schedule creep.
2. Keeps project on track
  - Meeting regularly with project manager to review project objectives, deliverables, timelines, key milestones, and outstanding issues.
  - Sharing accountability for the project.
  - Attending team meetings when required to keep project on track.
3. Assures Project is in line with CASA's strategic goals
  - Confirming project direction and advocate for the project
  - Monitoring political environment to help project adjust, if necessary
4. Provides or locates resources for the project
  - Aiding the project manager in lining up, getting commitment from, and managing resource needs.
  - Actively engaging in project budget creation and validation and efforts to secure external funding.
5. Helps the project manager navigate CASA's Board
  - Providing backing of the project to the Board.
  - When a decision can not be reached by the team, securing the assistance of the Board to resolve the issue at hand in a timely manner.
6. Provides clarity about the expected outcome
  - Owning the statement of opportunity
  - Helping to define the scope, schedule, and resource needs. Ensuring the project is delivering on outcomes, not just outputs.
  - Contributing to post-evaluation key learnings.

## THE CASA TEAM MEMBERS

Team members are responsible for working collaboratively together to reach consensus. Each member should:

- Contribute to group cohesion and a positive culture
- Adhere to ground rules
- Demonstrate commitment to the project and to the team
- Contribute to the effectiveness of meetings and the project overall.
- Take individual and collective responsibility for success.

In order to build solutions that they can all support, the team members need to develop a shared understanding of the issues and related interests as well as the range of potential solutions. They must engage in open and honest interest-based discussions and negotiations in search of solutions that deliver on the interests of all parties. Through collaborative dialogue, sharing information and exploring new solutions, team members will foster mutual respect and trust, strengthening cross-sector relationships.

### *A COMMITMENT TO WORK COLLABORATIVELY INVOLVES:*

“Inappropriate use of ‘blocks’ is a common cause of failure in consensus processes so it is incumbent upon good processes to have ways of addressing this.”

-from the *Consensus Decision-Making Toolkit*  
A Martha Kostuch legacy

- Seeking to understand the interests of other parties
- Clearly articulating the interests of the stakeholders you represent
- Asking lots of questions rather than making statements in an effort to persuade others that your point of view is the correct one
- Working constructively with other team members even if you do not agree with them or share their perspective
- Striving to find solutions that address the interests of all parties, not just your own
- Where it is not possible to agree to a proposal, offering an explanation and alternative that would address the deficiency while also addressing the other interests at stake

Team members should also establish effective communication with the decision makers in the organizations/groups they represent, so that information and feedback can be solicited. It is each team member’s responsibility to bring their constituency along and ensure that they can demonstrate to other team members that they are endeavouring to do this.

To enable effective communication, team members must be open and honest. They should be prepared to test their own assumptions about other team members before speaking up. As well, they should observe how others receive their contributions and whether these contributions are

having the desired impact. By challenging the status quo and individual assumptions, new insights, perspectives and solutions will emerge. By taking risks in attempting to find solutions, team members encourage other team members to do the same. By revealing interests, identifying common ground and acknowledging shared learning, team members build trust and a foundation for creative problem solving.

Mutual respect and trust will also evolve by members building an understanding for the diversity of interests, attitudes, and values that exist in the team. Demonstrating a willingness to share information and knowledge, and investing time to understand differences, also contributes to building mutual respect and trust.

Team members also need be aware and accept that differences of opinion and perspective are natural and expected and that the tension between differing perspectives can be used positively to help generate solutions. Finally, all team members need to actively participate and display a commitment and responsibility for the well-being of the team and the success of the process, including keeping the team on task and on track by:

- Appropriately managing and resolving issues
- Taking action when additional information no longer contributes to the richness of the discussions and the team has reached the saturation point;
- Providing feedback, clarity or direction when the team is distracted or getting off side;
- Providing input to the agenda and ongoing feedback to strengthen the team's processes;
- Ensuring milestones and project deliverables are met as reflected in project schedule and associated work plans rather than assuming that this is the Project Manager's responsibility; and
- Being committed and prepared to attend all the meetings.

All members can contribute the team's effectiveness by being curious and aware of the team's dynamics and patterns of interaction, and by being constructive and responsible in all interactions.

## THE CO-CHAIRS

Teams often have three co-chairs, one from each stakeholder group. In addition to the roles and responsibilities noted below, each co-chair is expected to assume responsibility for representing and reporting back to their stakeholders. There may be some overlap between this role and the role of a project champion.

Co-chairs are often key stakeholders in the issue and this means they have the responsibility of being an effective co-chair while simultaneously effectively engaging as a representative of their constituency. The co-chair and project manager should work together to find a balance in

meeting management so that co-chairs have the opportunity to participate fully in the discussion, without having to play the role of sector representative and facilitator.

*CO-CHAIRS ROLES AND RESPONSIBILITIES:*

- Provides leadership by guiding and directing the collaborative process, and centering the work of the project team on the mandate and desired outcomes outlined in the project charter.
- Works with the Project Manager to develop agendas, meeting materials, work plans, and resource needs.
- Oversees meeting management:
  - Presiding over team meetings in a manner that encourages collaborative participation and information sharing while moving the team toward timely closure and prudent decision-making.
  - Opening meetings and keeping meetings on schedule to complete the agenda
- Acts as a spokesperson for the team, including:
  - Liaising with other CASA teams.
  - Representing the team at the CASA Board of Directors meetings and obtaining feedback from the Board. Representing the team in public participation processes and responding to media inquiries.



## SECTION 2: THE COLLABORATIVE DECISION-MAKING PROCESS

The first half of this guide outlines the theory behind and principles of effective collaborative decision making. With this foundation in place, the next steps are to put theory into practice.

Because each CASA project is slightly different, the process steps outlined below can be adapted to fit each new project. Although the steps are described in sequence, many are overlapping, and some adjustments may be required as the discussion, analysis and negotiation begins to generate possible solutions.

The steps and the related decision-making process are based on CASA's *Comprehensive Air Quality Management System* (CAMS), an objective and defensible process that clearly describes the criteria and step used by the CASA board in fulfilling its mandate. The system is intended to ensure that finite human, financial and technical resources are used efficiently to address high priority air quality management issues in a manner that is credible, consistent, transparent and objective.

The Table and Flow chart below provide an overview of the collaborative decision-making process and show how its evolution and enhancement from the *Comprehensive Air Quality Management System*.

FIGURE 3: CASA COLLABORATIVE DECISION-MAKING PROCESS STEPS

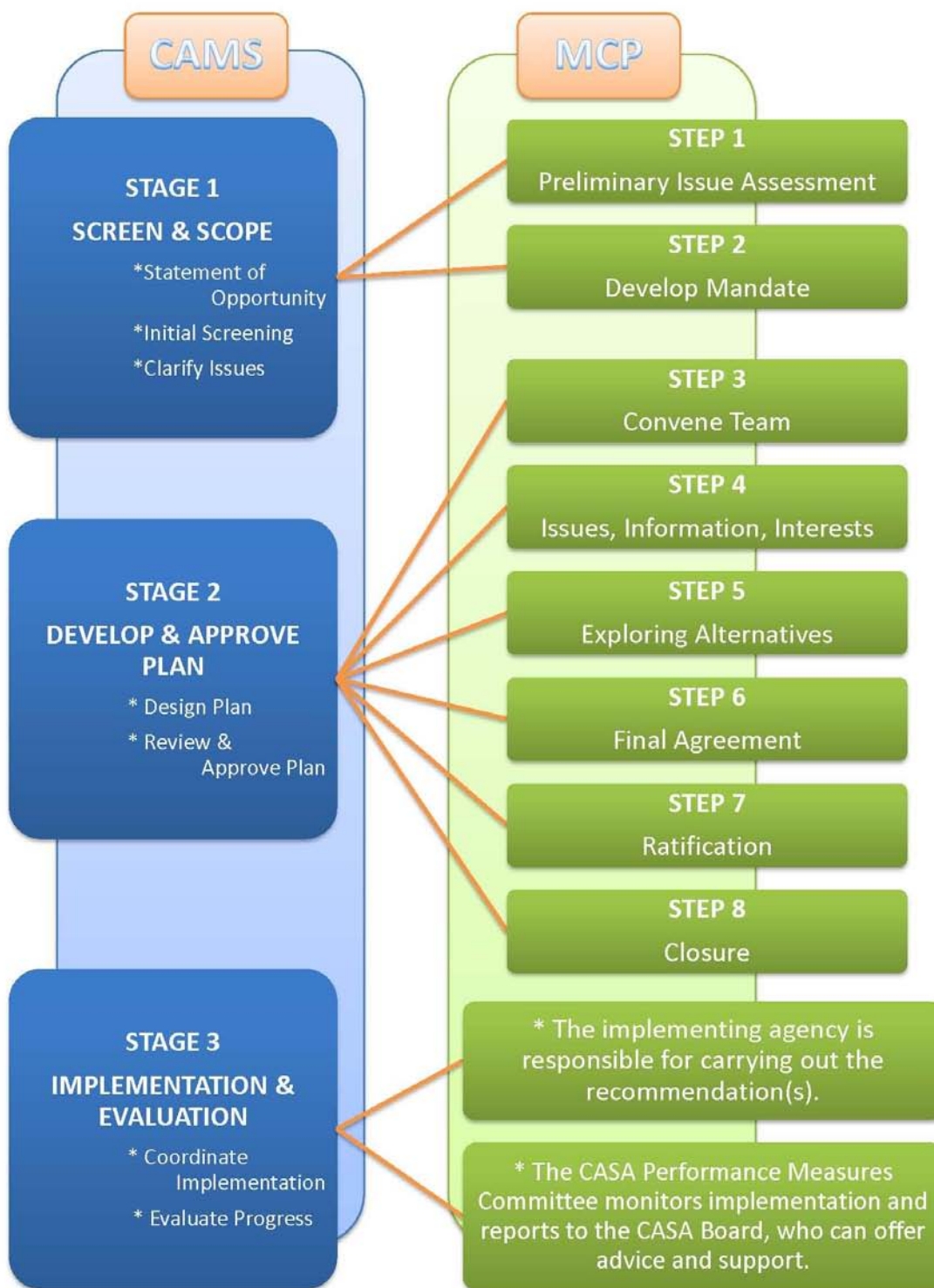
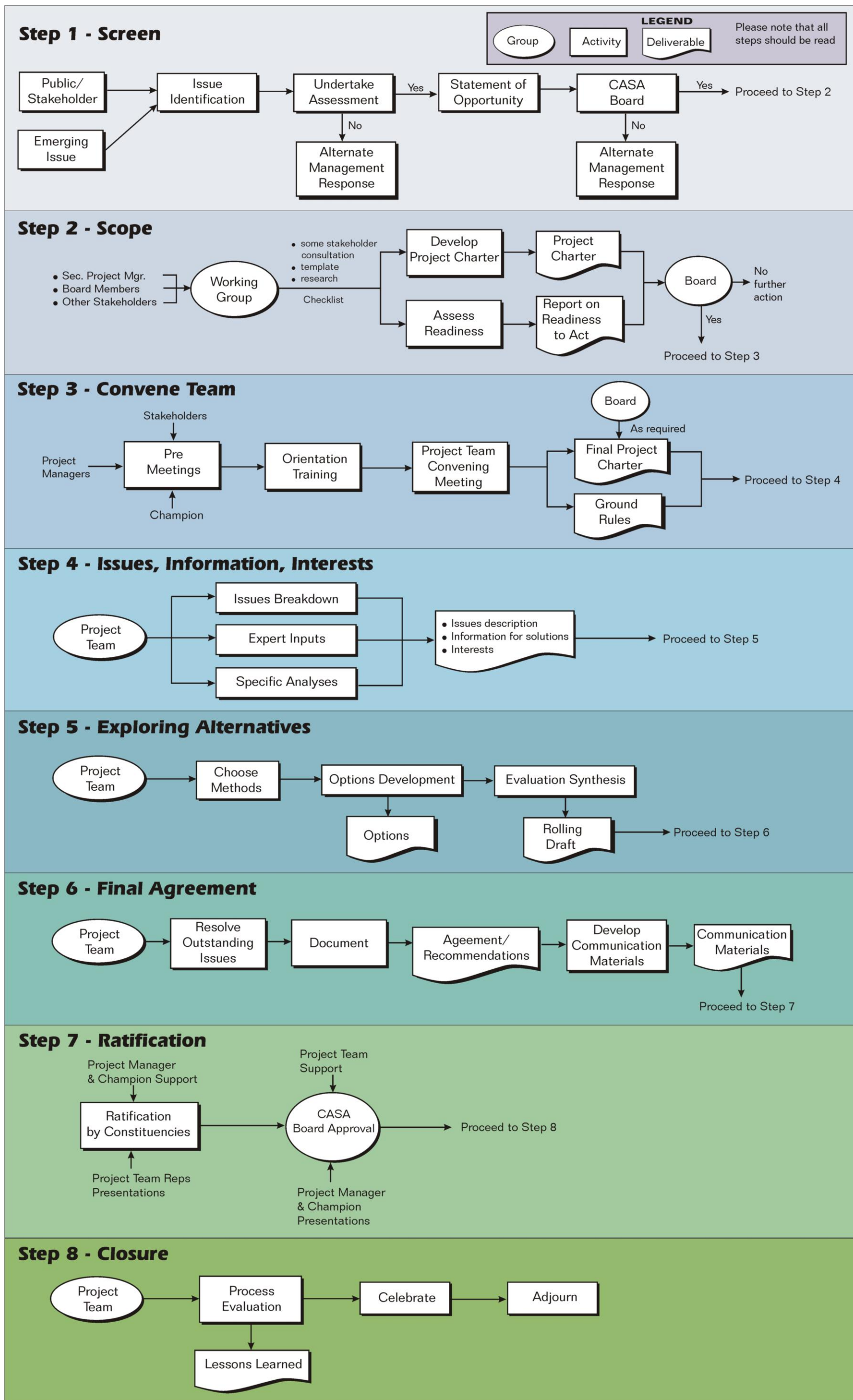
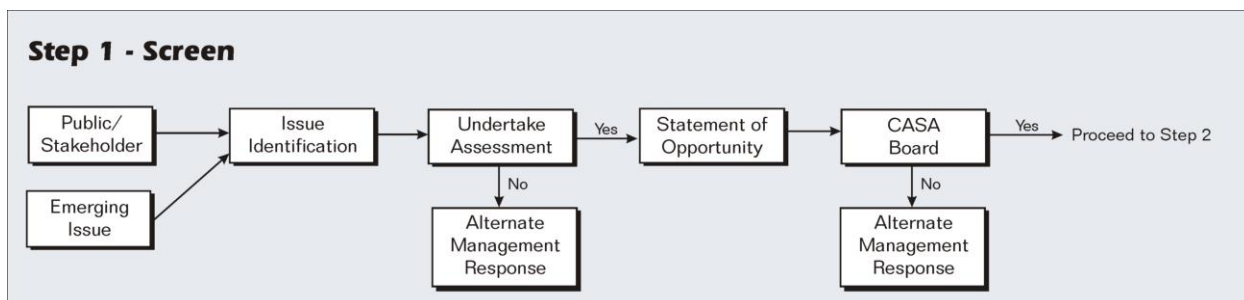


TABLE 3: CASA COLLABORATIVE DECISION-MAKING PROCESS STEPS

MCP STEP	Activities	Who is Involved	Deliverables	Decisions
1 - Screen	Develop a Statement of Opportunity Assess how well issue fits CASA mandate Confirm that CASA can potentially contribute to resolution	Secretariat Some Stakeholders/Board Members CASA Exec	Statement of Opportunity Assessment	CASA Exec decides whether to proceed or refer the issue to another agency
2 - Scope	Develop Draft Charter Secure necessary resources and logistical support Confirm willingness of stakeholders to engage	Working Group of Secretariat and Board Members Some Stakeholders CASA Exec and Board	Draft Charter Readiness report	Stakeholders willing to Participate Board approval of draft Charter
3 - Convene Team	Pre-meetings with Stakeholders Orientation and Training Finalize Charter Develop Ground rules	Stakeholders CASA Sec, Exec and Board	Final Project Charter Ground rules	Team agreement on Project Charter and Ground rules Board approval of final Charter
4 - Issues, Information and Interests	Breakdown the issues and gather relevant information Identify interests that need to be incorporated into solutions Receive input from experts Undertake analyses	Project Team	Description of the issues Statement of the interests that need to be accommodated in potential solutions Information relevant to developing solutions	Team agreement on interests that need to be addressed in potential solutions
5 - Exploring Alternatives /Options	Investigate and select methods for developing alternatives Develop and evaluate alternative solutions Develop Rolling Draft	Project Team	Options or alternatives Rolling Draft	Team agreement on Rolling Draft
6 - Develop Final Agreement	Resolve outstanding issues Document recommended solution Develop communication materials	Project Team	Recommended solution Communication materials on recommended solution	Team agreement on recommended solution and supporting communication materials
7 - Ratification and Approval	Team members seek ratification from constituencies Presentation of Recommended solution to CASA Board	Project Team Constituencies CASA Exec and Board	CASA approved Recommendations	Team member constituencies endorse recommendations CASA Board Approves recommendations
8 - Closure	Evaluate process and document lessons learned for consideration in future CASA processes. Team adjourns and celebrates	Project Team	Lessons Learned Report	Team agreement on lessons learned report

FIGURE 4: RELATIONSHIP OF CASA COLLABORATIVE DECISION-MAKING PROCESS STEPS TO CAMS





## STEP 1: PRELIMINARY ISSUE ASSESSMENT – SCREEN

Step 1 focuses on assessing an issue to determine whether or not it should be addressed through CASA. Initially, air quality issues come to CASA’s attention through either a public submission or as an emerging issue identified by government, non-government organizations, or industry stakeholders. Once an issue is identified, an initial screening will be carried out to determine whether it is appropriate to undertake further steps in the collaborative process, or whether some other process would be more appropriate.

### Deliverables

The key deliverables for step 1:

- Issue Identification; and
- Statement of Opportunity.

### ACTIVITIES

#### *IDENTIFYING THE ISSUE*

The Issue Identification template below would be completed by a CASA stakeholder or an interested party through the public submission process. This initial screening is a coarse filter that helps to determine whether it is appropriate to undertake further action on an issue in a collaborative process, or whether some other process would be more appropriate.

TABLE 4: ISSUE IDENTIFICATION TEMPLATE

## ISSUE IDENTIFICATION (STEP 1): GAINING APPROVAL TO ANALYZE THE ISSUE.

What is the issue?	Why is this an issue?
<ol style="list-style-type: none"> <li>1. What is the nature of the issue or problem?</li> <li>2. What is the history of the issue?</li> <li>3. What is the current situation? How is this issue affecting Albertans?</li> </ol>	<ol style="list-style-type: none"> <li>1. What aspects of the issue are important to you and why?</li> <li>2. What other individuals or organizations have a stake in the issue?</li> <li>3. What are the interests and concerns of those individuals or organizations, as you see them?</li> </ol>
What would be gained by addressing this issue in a collaborative process?	What are the risks associated with not addressing this issue?
<ol style="list-style-type: none"> <li>1. How would a multi-stakeholder collaboration contribute to resolving this issue?</li> <li>2. Is there a shared perception that something needs to happen?</li> </ol>	<ol style="list-style-type: none"> <li>1. Is there a potential risk to the environment?</li> <li>2. Is there a potential risk to human health?</li> <li>3. Is there a potential risk to the resource base or the economy?</li> </ol>

**Identified by:**

Name:

Title:

Phone:

Email:

Date:

After a completed issue identification template is forwarded to CASA, the material should be reviewed by the secretariat and the Executive Committee to determine whether or not to proceed.

The secretariat and the Executive Committee consider a number of factors in deciding if CASA is the most appropriate agency to address the issue, including:

- Is CASA's collaborative approach the most appropriate way to deal with issue?
- Does the issue require a strategic approach?
- Does the issue have provincial implications?
- Is there a range of stakeholders that have an interest in addressing the issue?

If the answers to these questions are "yes," then it is likely to be an appropriate issue for the CASA Board to consider. The secretariat should proceed to the next step of the process – developing the Statement of Opportunity.

#### *DEVELOPING THE STATEMENT OF OPPORTUNITY*

To maximize the opportunity to address the issue, a project champion should also be established. The champion(s) acts as the project sponsor and provide credible leadership and representation for the project as a whole. The project champion(s) should be one or two members of the CASA Board who will work with the Project Team to manage issues, strengthen accountability and contribute to the project's success.

The CASA secretariat works closely with the project champion to develop the Statement of Opportunity, a more in-depth analysis of the issue presented in the Issue Identification process. A comprehensive Statement of Opportunity ensures that all key stakeholders are identified and all key issues are included. This document frames the issue for further discussion by the Board of Directors.

The Statement of Opportunity should:

- Identify and define the issue
- Examine the context
- Identify key stakeholders
- Identify potential resources needs (information, expertise, as well as funding).
- Identify the obstacles

After completing the Statement of Opportunity, the Secretariat will provide a report to the CASA Board of Directors. The Board will decide whether to continue to the next step of the process, which may include:



- Forming a working group to develop a project charter
- Directing the secretariat to provide more information or conduct further stakeholder discussions
- Referring the issue to another agency, potentially including recommendations for action;
- Not addressing the issue at this time
- Some other action as determined by the Board

If the Board decides that the issue is appropriate for CASA to address, it establishes a multi-stakeholder working group. This working group will be charged with further defining the scope of the issue and proposing a Project Charter (step 2) for a project team.

**If CASA is not the most appropriate agency to deal with the issue**, it may need to be addressed through one of the options described below:

- Referral to an agency with a mandate to address the issue (potentially including recommendations for action)
- Enforcement of existing regulations or requirements
- Some other action as determined by the Executive Committee (e.g. propose a consultative process).

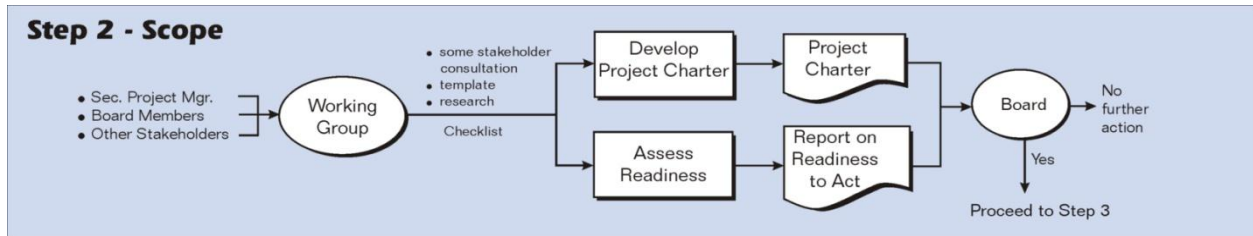
## COMMON CHALLENGES

**Challenge:** CASA's Executive Committee and or key CASA stakeholders may be uncertain about their commitment to proceed.

**Overcoming the challenge:** Continue to step 2 with a conditional commitment pending further evidence of the group's willingness to collaborate. The informal stakeholder consultations that will occur in step 2 and the discussions at the working group will reveal deeper insights into the question of whether all parties are prepared to proceed.

**Challenge:** Interested parties who have been involved in the initial screening want to move prematurely to addressing elements of the project charter before there is clarity around the nature and dimension of the issue.

**Overcoming the challenge:** Reassure interested parties that the Statement of Opportunity is an early approximation of the project scope and serves only to clarify and validate the issue. The objective of Step 2 is to develop the Project Charter that addresses all the relevant interests.



## STEP 2: DEVELOP THE MANDATE - SCOPE

“While many participants will want to dive directly into the content of the issue, taking the time to lay the foundation will allow the process to be more efficient.”

-from the *Consensus Decision-Making Toolkit*

*A Martha Kostuch Legacy*

The next step requires a working group to further screen and scope the issue and gain approval from CASA’s Board to move forward with the project. The Working Group would be led by a Project Manager from CASA’s Secretariat and have at least one Board member prepared to act as a project champion (*Section 1, Project Team*). The Working Group should also include a small group of representatives from government, industry and non-government organizations knowledgeable about the issue and collaborative decision-making processes.

### WORKING GROUP DELIVERABLES

- *A draft Project Charter*, including the scope, objectives and participants in a project. It serves as a guidance document for the future of the project. The terms of reference is usually part of the project charter.
- *Analysis of readiness to take action*

These deliverables are essential to the project’s success as the information defines the project including establishing basic parameters for stakeholder engagement and ensuring that sufficient resources are available to complete the project effectively.

## ACTIVITIES

### *DEVELOPING THE PROJECT CHARTER*

The Project Working Group develops the Project Charter which is the collection of all information relevant to informing the project’s parameters and outcomes. Specifically, the charter describes the scope, deliverables, outcomes, projected resources and costs, timelines, stakeholder analysis and plan for engagement, a high level communication plan and draft ground rules for the Project Team. The Project Charter serves several different purposes:

- It is used to obtain support and approval from CASA’s Board;
- It defines the scope of the project and provides a starting point for discussion and further analysis by the Project Team; and
- It communicates the project scope to stakeholders.

### **Key areas to be addressed in the project charter:**

- Project goal: a high level statement identifying why the project is being initiated.
- Background: Previous work related to the issue, including a scan of local and international research. This would assist to further clarify the concern, identify considerations and potential approaches to addressing the issue.
- Project objectives: High level statements identifying what the project will accomplish. The objectives should be specific, measurable, action-oriented, realistic and time framed (SMART).
- Project scope: A few clear statements that describe the significant components of the project—including what is not included. This critical piece of work will establish the project boundaries, assist in the evaluation of what should be included, and facilitate buy-in from stakeholders and decision makers on the project and deliverables.
- Project deliverables: identifies the tangible results including the products and services that will be provided.
- Project structure: Breaks the project down into phases, activities and tasks and summarizes them so the project can be more easily understood, managed, tracked and controlled. Additional task information can be further included in the project work plan or the project schedule.
- Project Schedule: The project schedule (e.g. Gantt Chart) is a critical tool for monitoring progress and ensuring the project is progressing as intended. It includes all project phases, key activities, tasks, key responsibilities and timelines. Reviewing and refining this document will assist in increasing the project team’s investment and ownership in the project as well as clarify responsibilities.

“Effective communication is critical at all stages of the consensus process. Team members need to communicate with each other, with their stakeholder group, with experts, with the convening agency and possibly with the public.”

-from the *Consensus Decision-Making Toolkit*. A Martha Kostuch Legacy.

- Project risk analysis: Identifying, analyzing and mitigating project risks are a key component to executing a successful project. Incorporating proactive risk management into the project that includes strategies to manage risks will assist in minimizing potential impacts to the projects scope, schedule or costs.
- Projected resources: This includes any associated costs for the project including manpower, travel, etc. In addition, the strategy for obtaining the costs should be identified as well e.g. cost sharing among stakeholders.
- Operating Terms of Reference for Project Team: Describes the specific duties of the team, including roles and responsibilities of specific team members and/or the project manager.
- Stakeholder analysis and engagement plan: This plan should identify stakeholders, clarifying their level of interest and their potential contribution (e.g. expertise, support, influence). It should address stakeholder expectations and ensure stakeholder involvement, including by those not at the \_table.' (See *Appendix A* for more information) The stakeholder analysis will also include:
  - Communication plan for informing stakeholders, decision-makers and the public. The communication plan should clarify communication goals, strategies, tools, audiences, spokespeople, key messages, timelines, and how the plan will be evaluated. Regular status updates should be provided to CASA's Executive Director, Executive Committee and Board to identify and address issues or concerns impacting the project's progress.

#### *SELECTION OF PROJECT TEAM MEMBERS*

While the stakeholder analysis will inform identification of the stakeholder groups that need to be represented on the Project Team, the selection of actual representatives is appropriately the responsibility of the stakeholder groups themselves and this selection process should be guided by the following criteria:

- The representative's capacity to engage in interest-based negotiations and collaborative problem-solving
- The extent to which the representative is respected by the constituency as a knowledgeable representative
- Whether the representative has the time and resources to participate.

#### *ANALYSIS OF READINESS TO TAKE ACTION*

Completion of the draft Project Charter and the engagement plan will assist the Working Group in determining the readiness to take action. The Readiness Assessment Checklist below will help

determine whether the necessary steps have been taken to ensure the success of the project. Many of the items on the list can be confirmed at this step in the process; however some of them, such as general agreement on purpose, outcomes and process, need to wait convening of the Project Team in step 3. Completing the readiness assessment will ensure that all the necessary steps have been taken to successfully proceed, all of which will be important information for the Board to consider when it is deciding whether or not to proceed with the Project.

### Readiness Assessment Worksheet

Critical Elements	Yes	No
Process has effective project champions		
Key resources are budgeted		
Core participants are willing/available		
There is general agreement on purpose and outcomes		
There is general agreement on how to proceed		
Scope of planning effort is reasonable		
Staff and technical support have been identified		
The project charter has been completed		
Purpose and benefits are well-understood		
Participants understand the collaborative process		
Desired Elements	Yes	No
All needed resources are in place		
Outside technical assistance has been or will be lined up		
Participation and the organizational structure is clear		
Roles and responsibilities are clear		
A planning process has been specified		
Time frames have been specified in the work plan		

Adapted from "Readiness assessment worksheet," MAPP: Mobilizing for action through partnership and planning, retrieved May 5, 2007 from [http://mapp.naccho.org/ofsapd/ofsapd\\_ws\\_ra.asp](http://mapp.naccho.org/ofsapd/ofsapd_ws_ra.asp)

#### *REQUEST FOR APPROVAL FROM CASA BOARD TO PROCEED*

Upon completing the screening and scoping process, the draft Project Charter proceeds through the appropriate channels for approval. This includes gaining sanction from the Executive

Director of CASA and Executive Committee, and approval from the CASA Board. The project champion would typically endorse the project charter to the Board and promote it throughout the organization.

## COMMON CHALLENGES

**Challenge:** Stakeholders may not view the issue as a priority.

### **Overcoming the challenge:**

Help stakeholders understand whether the status quo is no longer acceptable and if the benefits that may result from addressing the issue outweigh the costs of not addressing it. Research indicates that when 75 per cent of leadership identifies the status quo as being unacceptable, then urgency has been established and the opportunity is ripe for change<sup>2</sup>. Stakeholders that do not share a sense of urgency for change (the other 25 per cent) may need assistance in understanding why the majority of stakeholders are pushing for change and how it may benefit them to be involved in the process rather than trying to resist it. This assistance needs to be delivered as objective analysis of the pros and cons of action and participation versus any kind promotional approach which may be misinterpreted as a bias towards the views of the stakeholders advocating for change. In developing the draft project charter, the working group will be consulting with stakeholder groups and will be in a position to assess their level of interest and if there is a large majority interested in proceeding (i.e. more than 75 per cent) the working group will need to explore the implications of this interest in change with those groups that are less committed.

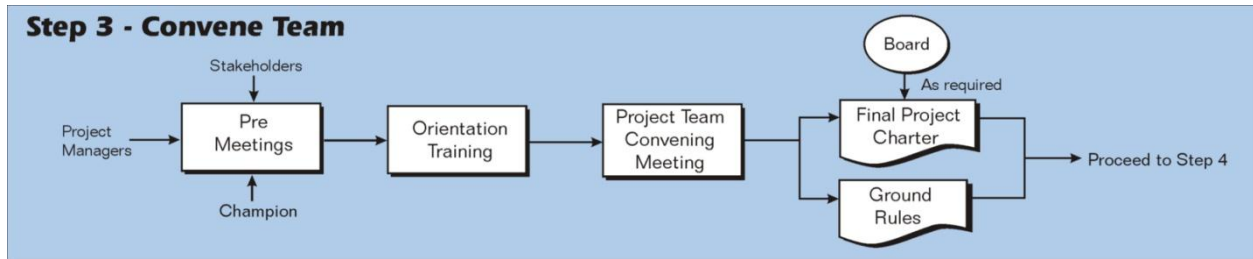
**Challenge:** Too many stakeholders want to be a member of the Project Team.

### **Overcoming the challenge:**

When the number of potential participants exceeds that which would allow an effective exchange, the engagement strategy should provide credible alternatives to direct participation. It may be necessary to organize stakeholders into like-minded caucuses which are represented at the table. Or, create workshops and subcommittees to provide other opportunities for meaningful involvement. The definition of consensus and the procedures for dealing with disagreement should help potential participants to realize they do not need to “outnumber” the opposition in order to be heard and ensure that decisions do not compromise their interests.

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<sup>2</sup> Kotter, 1996



## STEP 3: CONVENING THE TEAM

Step 3 focuses on convening the Project Team in a manner that facilitates the members' collective buy-in and ownership of the process, while capitalizing on their knowledge of the issues, and their willingness to engage in collaborative decision making. Effective convening positions the whole process for success.

### DELIVERABLES

The key deliverables in this step include team consensus on:

- Participation ground rules including a collective commitment to effective interest-based collaboration
- The Final Project Charter

### ACTIVITIES

#### *PRE-CONVENING MEETINGS*

Prior to bringing the team together at a convening meeting, the Project Manager and champion(s) meet with the stakeholders that will be represented on the Project Team to:

- Review the draft charter
- Discuss the collaborative process and what they can expect at each of the steps in the process
- Ensure stakeholders' commitment to interest-based collaboration
- Ensure stakeholders are aware that the project team is an optimal opportunity and best avenue to meet their needs
- Advise them on the criteria they should consider in selecting their representative
  - *The representative's capacity to engage in interest-based negotiations and collaborative problem-solving*
  - *The extent to which the representative is respected by the constituency as a knowledgeable representative*
  - *Whether the representative has the time and resources to participate.*

## **Collaborative Decision-Making (CDM) Process Orientation and Training in Interest-Based Negotiation (IBN)**

An effective way to begin to convene the team is to provide all team members and some of their sector colleagues with orientation to the CDM process and training in interest-based negotiation. The process orientation will assist the sectors in developing a common understanding of what to expect during the various steps in the process. And well-structured training in interest-based negotiation can significantly expedite the collaborative process by:

- Emphasizing the effectiveness of an interest-based approach when dealing with complex natural resource policy issues
- Explaining the dysfunction of positional approaches to complex natural resource policy issues
- Enabling the participants to distinguish between the positions and interests
- Creating a collaborative environment that is relatively safe and without prejudice to the forthcoming negotiations
- Strengthening the participants' communication skills to enable interest-based negotiation and constructive dialogue. When they practice these skills together, it often results in positive expectations for how they will communicate with each other during the actual process.
- Engaging the participants in hypothetical but realistic role-play negotiations. This enables them to explore alternative solution models and the different ways that interests can be integrated within them.
- Helping participants understand process design elements and procedural ground rules that are conducive to interest-based negotiation and constructive collaboration. Reaching acceptance of ground rules is necessary to ensuring everyone becomes a protector of the process.
- Developing a small group within each sector/constituency that can support their representative in adopting an interest-based—rather than a positional—approach to negotiation and problem solving. This will help to prevent instructions from the caucus to the representative such as —~~td~~ them our position and don't back off...”
- Providing an enjoyable and non-threatening forum where the participants can get to know each other and have a bit of fun while they learn about the critical issues and interests and how to address them through interest-based negotiation.



This process orientation and training session will take 1 to 1.5 days and should be delivered by a practitioner experienced in CDM and IBN training and processes that have resulted in substantive outcomes. This practitioner should work closely with the Project Manager to help the process manager to build their own capacity and credibility to continue to facilitate the process to the standards that are set in the orientation and training.<sup>3</sup>

### *CONVENING MEETING*

Either as an extension of the CDM Orientation and IBN training session or as an immediate follow up, the team convening meeting should engage the team members in a review of the project charter. The members should be encouraged to apply the IBN and communication skills from the training as well as the general orientation to CDM in order to reach agreement on each of the components of the charter which together make up the foundation for their process. This agreement signals their buy in and ownership for the process and their commitment to effective collaboration and continuous improvement. The participants will already have a draft project charter to work from as a single text.<sup>4</sup>

### *GROUND RULES*

The importance of the ground rules will have been addressed in the IBN training. At a minimum the ground rules should establish the tone and culture of shared leadership within the team while addressing process issues. Ground rules describe how team members can productively interact, discuss challenging issues and develop agreements in an interest-based manner. Ground rules may address:

- the orientation and responsibilities of facilitators
- a shared team commitment to focus on interests
- tools and techniques consistent with an interest-based approach
- ways in which information will be gathered, managed and applied
- requirements for communicating within a representative's constituency
- communication protocols with other team members and external parties
- procedures and approaches that can be used to deal with conflict or impasse
- ratification protocols
- prohibitions or cautions regarding unproductive or inappropriate behaviors

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<sup>3</sup> Some project managers may already have sufficient track record and credibility however reinforcement from an external source can help build momentum.

<sup>4</sup> Use of a single text should have been addressed in the orientation and IBN training

- other elements unique to a particular project team.

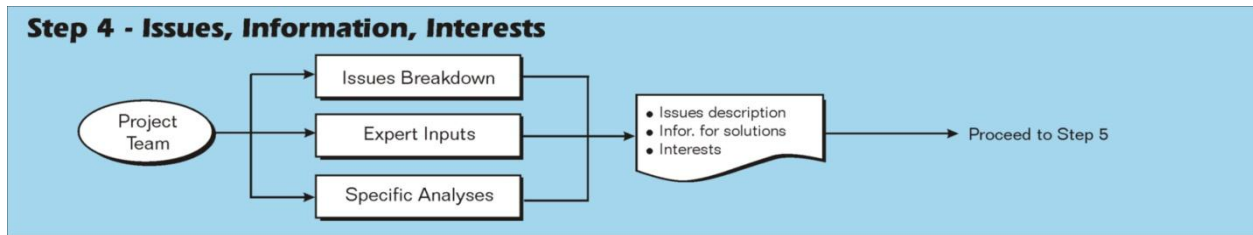
Ground rules may vary, depending on the nature of a particular project team—for example, the size of the team, duration of the project or complexity of issues.

A working group may prepare a draft set of ground rules before convening a project team. Once a project team is established, participants can then “internalize” the ground rules and amend them as necessary. The project team should ratify the finalized ground rules. This requirement is often met in concert with training sessions provided during initial team meetings. Subsequent “experiential learning” can then follow, with the project manager modeling ground rule requirements during team discussions.

### COMMON CHALLENGES

**Challenge:** Team members attempt to refine the charter and design the ground rules in a manner that is oriented to achieving outcomes biased towards addressing their interests as a higher priority or at the expense of others.

**Overcoming the challenge:** Ensure that the prospect of challenging the charter is explicitly addressed in training. Demonstrate how the process ensures that participants cannot be forced into agreeing to something that is not in their interests. The ground rules discussion and content should enable the participants to take risks in problem solving without any risk that their efforts will be used against them; knowing that they can trust the process.



## STEP 4: ISSUES, INFORMATION AND INTERESTS

Building on the foundation created by their agreement on the Project Charter, participants need to develop a common information base that they can rely upon to support collaborative problem solving and interest-based negotiation. This involves three inter-related activities:

1. Discussion of the issues, related interests and information sources
2. Expert presentations and inputs
3. Specific analyses and information development initiatives.

### DELIVERABLES

- Detailed description of the issues
- Information and analysis that is collectively required to support solution building
- Detailed understanding of the interests that need to be addressed in a resolution to the issues.

“When solutions cannot be found, the team members are responsible for standing up for their interests, but in a way that respects the work of the group.”

-from the *Consensus Decision-Making Toolkit*

### ACTIVITIES

#### *UNDERSTANDING THE ISSUES, INTERESTS AND RELATED INFORMATION*

Developing understanding of the issues, interests and related information is like peeling the layers off an onion. Each layer reveals more. This ‘peeling’ process will continue until the team has reached consensus and agreed upon a solution—and even then the information gathering is not over. Even final monitoring implementation will reveal new information that requires further analysis and may result in adjustments to the solution. The process requires intense discussion to determine:

- What participants understand about the issues and why
- What are participants’ interests in resolution to the issues – how they may be affected positively and negatively

- What information sources participants have to support their understanding and why those sources may differ from other sources.

Critical to finding a solution and developing options is the process of defining the *interests* that must be addressed. In many respects, these interests are like criteria or objectives for the purposes of developing and evaluating solutions. The Project Manager or Chair or a team member should be able to say once the interests have been clarified: “so if I understand the interest correctly, what we are looking for is a solution that satisfies and or addresses Interest A, interest B, Interest C, etc.”

If participants all agree, then they will have a neutral goal statement to guide the next step in the process. If one of the participants responds with something like: “well, you are close but we also need to include Interest X and Y and Z,” - the facilitator or any of the other actors should be able to respond: “ok, so if we find a solution that satisfies all of these interests then it must have some potential to contribute to or even become our agreed-upon recommendations?” The team should affirm or engage in another round of revealing additional interests that need to be factored into solution building.

It can be helpful at this stage for the team members to articulate and document their interests in a short *interest statement*.” The resulting interest statements from all stakeholders can then be consolidated in a single document that may provide an early indication of synergy and the potential to build solutions. Development of these statements has an added benefit of bringing constituencies along in the interest-based approach as they will need to approve of the statements.

“Part of the process is to increase people’s knowledge. (People don’t come to the table with all of the knowledge).”

-from the *Consensus Decision-Making Toolkit*

A Martha Kostuch Legacy

### *EXPERT INPUTS*

Use of experts to enrich the discussion of issues can be very helpful provided some basic principles are followed. The team should:

- Jointly engage the experts
- Agree on the terms of reference for engaging the expert
- Clarify whether the team is interested in the expert’s recommendations
- Avoid pitting one expert against another in favour of a collaborative approach

- Ensure that assumptions are made explicit
- Ensure that analysis and sources are transparent
- Ensure that uncertainty and associated risk is explicitly addressed in information products.

In addition to sharing the knowledge about the issue, experts can also explain how the issues may have been addressed elsewhere—although a duplicate solution may not be acceptable, since the issues and stakeholders in this time and place may have unique characteristics that need to be addressed in a unique manner. They can also assist in scoping additional analyses, modelling or scenario work that may be helpful in exploring alternative solutions, the next step in the process.

### COMMON CHALLENGES

**Challenge:** Participants remain positional about issues, insisting that the only viable solution is the one that is promoted by their sector or agency.

**Overcoming the challenge:** Ask a lot of questions rather than arguing:

- What is the issue from your perspective? (reveals how the individual defines the issue)
- How would you resolve this issue? (reveals their position)
- If that solution were implemented how would it resolve the issue? (reveals some underlying interests)
- If an alternative solution were implemented, how would you be affected? (reveals more interests which can then be queried)
- Invite the party to explain how restating their position is intended to move the group towards a solution
- Refer back to the ground rules and experience in the interest-based negotiation training where this issue should have been addressed;
- Recognize that it may not be possible to resolve the issue by agreement but that is what the process is intended to do
- Agree to disagree for the time being and move on
- Employ the dispute resolution procedure in the ground rules

**Challenge:** Team members may be unwilling to share information.

**Overcoming the challenge:** Recognize that team members may withhold information for a variety of reasons:

- Commercial or proprietary interest in the information
- Perception that information is power and withholding it will increase leverage

- Fear that release of the information will undermine positions

In order to address this challenge, first determine why the information is being withheld and focus on addressing this motivation. This could include developing confidentiality protocols, accessing the information in a different manner or from a different source, and referring to the ground rules where this should be addressed.

**Challenge:** Participants are uncomfortable engaging and do not reveal their interests or the information to which they have access.

**Overcoming the challenge:** Sometimes—for personal or cultural reasons—participants are reluctant or unable to articulate their interests or share information. The Project Manager and Co-chairs (as well as other team members) need to be aware of this possibility and develop strategies for helping the team member having difficulty engaging. This may involve:

- changing the setting by taking a field trip that emphasizes the team member’s background and knowledge
- eliciting stories from the member that reveal interests and information
- inviting input from expert advisors who are knowledgeable about the team member’s interests and background.
- applying active listening skills to help the member articulate their interests either in a one-on-one setting or in a small group.

**Challenge:** Participants are unable to agree on electing consultants and determining their terms of reference.

**Overcoming the challenge:** Consider the following steps in order to avoid the potential conflicts associated with information gathering.

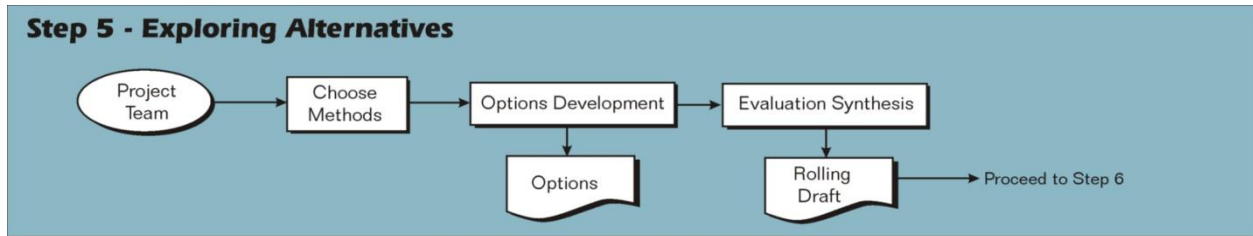
- Have the team jointly determine the questions that need answers
- flesh out these questions into clear terms of reference using standard project management protocols – purpose, objectives, deliverables etc.
- establish explicit criteria for evaluating proposals
- invite multiple proposals from qualified consultants and evaluate them jointly *or appoint an agreed-upon subcommittee to do the evaluation?*
- interview top candidates if there is uncertainty about the best proposal; and
- balance the input from a team member’s “in-house” expert or expert closely aligned to their organization or sector with the input from an expert known to have a different point of view.

**Challenge:** Participants use information requirements as a means to avoid or delay solution building.

**Overcoming the challenge:** The following inter-related strategies can help to address this challenge:

- ask questions to determine what interests are affected by the information gap – e.g. what would be the consequence if this information is not gathered? Then focus on alternative ways to address the interest or integrate that interest into the framework for solution building in step 5
- confront the issue of avoidance and delay and discuss how the team should address it
- establish joint expectations for dealing with uncertainty. This may include a commitment to adaptive management; and
- recognize that uncertainty is unlikely to ever disappear and that there will probably always be more information that it would be helpful to have and that the team has to make recommendations in a timely manner in order to succeed.

To a certain extent, this problem can be pre-empted by addressing it during the development of the ground rules, which should include a commitment to sharing information and maintaining confidentiality where required, and in the IBN training, where a simulation exercise on resolving an information dispute through interest-based negotiation can model the approach that needs to be applied to the real situation.



## STEP 5: EXPLORING ALTERNATIVES

Using the interests and related information identified in step 4 as a framework, team members are now positioned to explore alternative solutions to the issues. Exploring alternatives is important to generate other feasible options that address the range of interests to be accommodated in order to develop consensus within the team.

### DELIVERABLES

The key deliverables from step 5 are:

- Options and/or scenarios that address the range of relevant interests to varying degrees, including implementation requirements, costs and challenges
- Rolling draft or outline of potential solutions, based on analysis of the collected interests.

Many participants will have engaged in brainstorming exercises. The process of generating new ideas is often viewed as very sensitive, particularly if there are significant interests at stake. Participants may be afraid to reveal information that may be harmful to them in some way and they may listen in search of information that gives them an advantage. Because the topics are often controversial and participants may have much to gain or lose, there is often a very critical atmosphere that surrounds the brainstorming process. Participants often dismiss or limit new ideas because they:

- contain elements of another idea they have already dismissed
- do not immediately address important interests
- think they have a better idea and they have been waiting for the opportunity to express it
- do not understand the new ideas
- have a conflict or dispute with the person that has expressed the new idea
- had an idea that they expressed which was dismissed
- focus their attention on what might be wrong with the new ideas rather than trying to identify what might be creative and valuable
- do not explore and record the important dimensions of new ideas accurately and they get lost.



To make the brainstorming process far more effective, it's helpful to adopt simple procedural rules that limit the potential for a destructive and unproductive dynamic to undermine the process. These rules include:

- Ensure all members are committed to a “without prejudice” discussion – i.e. making or discussing a proposal does not mean that you agree with it and the fact that you proposed it or discussed it cannot be used as leverage to get you to agree to it or something else later on.
- Postpone evaluation until after all ideas have been tabled.
- Be systematic about generating ideas by shifting from one approach to problem solving, and all the options associated with it, to the next.
- Ensure evaluation identifies what might be good about an idea in addition to what is wrong with it.
- Accurately record the ideas for use in problem solving and negotiation without attribution.

## ACTIVITIES

### *CHOOSE AN APPROACH TO GENERATING AND ANALYZING ALTERNATIVES*

Listed below are different approaches to generating and analyzing alternatives. Team members should decide which approach they wish to take and determine how they may benefit from the advice provided by experts involved in step 4.

Simulation models are realistic and simplified representations of the systems and context associated with the issues. These models provide an analytical framework for investigating the impacts of alternative approaches and demonstrate how decisions today may trigger or contribute to future system conditions.

Structured decision-making models define all of the key decision points associated with resolving the issues and link them together in a rational and objective framework or model. Participants can then test alternative decisions and consider the impacts and the implications for other related decisions.

Scenario development tools enable consideration of alternative futures. Some take a set of parameters and forecast them out into the future based on known relationships. Others back cast from a preferred future state and attempt to trace the decisions required to create that future while accounting for the physical relationships that are integral to the system being considered. Other scenario tools focus on identifying the key factors limiting the full range of options which can then become the focus of alternatives analysis.

Multiple accounts analysis and full cost accounting are analytical approaches for assessing the impacts of alternatives. They do not generate alternatives as the other methods outlined do; rather, they provide a framework for assessing the impacts. Both approaches go well beyond more conventional economic analysis which attempts to monetize all relevant parameters and

ascertain the most efficient or beneficial option. The range of interests of concern will be key to defining the various analytical accounts in a multiple accounts analysis and full cost accounting.

#### *DEVELOP AND EVALUATE THE OPTIONS OR ALTERNATIVES*

Apply the chosen methods to develop the alternatives or options and to evaluate them. It may be possible to prioritize and or rank the options paying particular attention to the joint gains or “win wins” and the implementation issues. To assist in prioritizing and choosing the best option, some basic criteria include:

- It meets everyone’s interests.
- It solves the issue.
- It is implementable

The review of the options against the criteria will ensure that the option chosen accounts for the resources and capabilities required for successful implementation. Also, it will contribute to the options being realistic, coordinated and aligned with the needs of all stakeholders involved.

#### *START A ROLLING DRAFT*

After the range of alternatives has been considered and discussed, participants should be able to outline how the solution should look like in general terms (e.g. table of contents for their report and recommendations). If one of the options is clearly much better than the rest, it would be the basis for moving forward in step 6 - Negotiating a Final Agreement. This outline or the preferred option forms the basis of a rolling draft which includes those “consensus elements” that participants agree (conditionally or without any conditions) should be part of the solution and those items that are still outstanding. During the analysis and discussion of alternatives, crucial elements of solutions will be identified—elements that all team members agree must be part of the solution. These “consensus elements” become the initial substantive components of the rolling draft. Agreement on the rolling draft itself is a significant milestone for the collaborative process.

#### *DEVELOPING RECOMMENDATIONS*

For CASA teams, solutions usually take the form of recommended actions for various implementing agencies who have taken part in the process. Teams should ensure their recommendations are SMART (Specific, Measurable, Action-oriented, Realistic, and Time-bound). SMART recommendations are more likely to be implemented and make it easier to monitor progress made on implementation.

FIGURE 5: SMART STANDARDS

<b>Example 1: Meets SMART Standards</b>	<b>Example 2: Does not meet SMART standards</b>
The Alberta Department of Energy should extend the Otherwise Flared Solution Gas (OFSG) program to include bitumen wells by 2011.	Alberta Agriculture, Food and Rural Development (ARD) improve the collection of animal health data respecting the impacts of solution gas flaring.
This recommendation states specifically who is the implementer, what they are expected to accomplish and by when. The action required is reasonable and can realistically be accomplished in the time allowed. In the future, when the recommendation is reviewed, there is no ambiguity as whether the recommendation has been implemented.	The wording of this recommendation is not time-bound. It does name the implementer and request an action but the action is not specific or measurable. Rather it is ambiguous as to what needs to be accomplished in order to consider this recommendation implemented. What is considered improvement? What is considered enough improvement? How is this wording to be accomplished? As such the wording is not realistic either. In the future, when the recommendation is reviewed, it will be unclear whether the recommendation has been implemented and opinions on implementation will be subjective and possibly conflicting. A better solution would be to specifically describe what actions ARD will do to improve the collection of data and when this will be accomplished.

### COMMON CHALLENGES

**Challenge:** Participants become positional and attempt to prevent options from being considered.

**Overcoming the challenge:** Remind everyone that:

- solutions must address the range of interests. Rather than preventing an option from being proposed, ask: how will this option address the full range of interests including those of the team member who is objecting to the option being considered.

- there will be no consensus if everyone does not agree, which will not occur if interests are not met
- the ground rule offer provisions for confidentiality, without prejudice discussion etc. These should enable participants to discuss options without implying that they might agree with the options. In other words, the fact that a team member constructively discusses an option cannot be used as a means to convince them to agree to it.

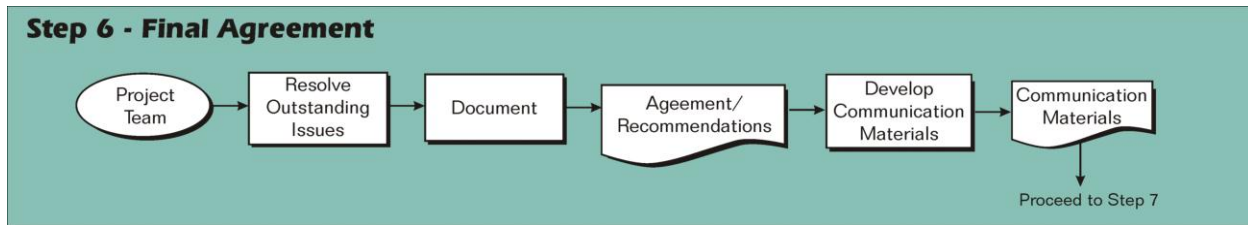
This should help shift the focus from preventing options from getting to the table to how any and all options address the full range of interests.

**Challenge:** Implementation issues are not adequately considered when evaluating options.

**Overcoming the challenge:** The process of uncovering interests should reveal interests associated with implementation. These interests often relate to matters such as the time frame for implementation and who will be responsible for monitoring. It may be worthwhile to have an explicit discussion about implementation interests before the options development process. That way, implementation interests can be more fully considered in the options themselves rather than be treated as a subsequent consideration. This consideration of implementation interests and challenges can be assisted by engaging representatives of agencies or other groups that may be involved in implementation, but not necessarily represented on the team. They may be able to provide valuable insights into implementation strategies that are more or less streamlined effective, efficient etc., while also revealing implementation challenges that have not been considered or anticipated by the team.

“Probe and explore to determine if the member’s concern is valid. Test with the team—do others have a similar concern?”

-from the *Consensus Decision-Making Toolkit*



## STEP 6: NEGOTIATING A FINAL AGREEMENT

Negotiating a final agreement is the central focus of this step. This involves working through the outstanding issues in the rolling draft and finding solutions. Precise documentation is essential and communication materials may need to be prepared to assist team members in briefing their caucuses.

### DELIVERABLES

The key deliverables from step 6 are:

- Team consensus on a solution to the issue(s) fully documented
- Communication materials to support presentations to constituencies.

### ACTIVITIES

#### *RESOLVE OUTSTANDING ISSUES*

Team members should work through and resolve any outstanding issues by addressing the interests that are integral to a solution. In some cases, it may be possible to resolve an outstanding issue by accommodating the range of relevant interests – that is, find a balanced approach or the “middle ground”. For example, agreement on an ambient air quality standard or target may balance risks to human health and the environment with economic considerations.

“Look for  
common  
ground.”

-from the *Consensus  
Decision-Making Toolkit*  
A Martha Kostuch

Agreement on the standard may also be linked to other substantive issues and interests such as compensation for rapid compliance. By integrating relevant interests and the solutions to related issues, the team members shift the focus from compromise to adding value or mutual benefit. Overall, the team is developing an integrated package of solutions or solution elements that are mutually reinforcing.

Various team members may not be in a position to agree to a specific key element of the package if it were to stand alone, but they are able to agree to it if it is packaged together with the other elements. In order to facilitate this packaging and integration process it may be necessary for the team to have different definitions of consensus built into their ground rules<sup>5</sup>. For example, a “working consensus” may indicate that agreement on a solution to a specific issue depends on the resolution to another related issue. And “final consensus” may mean that there is full agreement on everything or that there is agreement on the package of solutions, some of which would not be agreed to if they were proposed separately. Given these subtleties, how the team is canvassed for consensus can make a big difference to the outcome. The team should agree on how the question will be posed to them and this should be consistent with their ground rule provisions regarding consensus. A few examples of alternative questions:

- Does anybody agree with this as a “working consensus” or “final consensus”?
- Is there anyone who cannot live with this as our final outcome?
- Do we have consensus on this as our final package of solutions and recommendations?

Once the team has worked through all of the outstanding issues, they may find that they are still unable to find solutions to one or two issues. If this occurs, it may be productive for the project manager and co-chairs to work directly with key caucus members, and to take a much more active role in shuttling proposals and counterproposals between the caucuses. In some instances, it may even be helpful to draw on the services of an experienced independent mediator to resolve persistent issues, given the considerable investment in time and resources of the engaged stakeholders.

#### *CREATING A 5-YEAR METRIC TO EVALUATE LONG-TERM SUCCESS OF TEAMS:*

After the team has resolved any outstanding issues and reached agreement on their recommendations, CASA teams are asked to create a single, specific metric that can be used to assess the overall success of the project team five years in the future. This allows CASA to evaluate the overall impact of completed project team work and demonstrate the value of the project to stakeholders.

In developing this metric, teams should consider: “Five years from now, how will we know if our work has been successful?” The team should try to make their metric as specific as possible, taking into consideration data availability. They should provide clear instructions for follow-up

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<sup>5</sup> The definition of consensus should be addressed in the development of the ground rules and the interest based negotiation training during the convening step.

on the metric in the future. Teams should also ensure that the metric meets the SMART criteria (Specific, Measurable, Action-oriented, Realistic, Time-bound).

### *CAREFULLY DOCUMENT THE AGREEMENT*

It is very important that the details of the team consensus are accurately documented. Subtle changes in specific words and phrases can have major implications for the overall impact of the agreement on the team members' constituencies. The team may have developed understandings of what various terms and phrases mean that are not common and would not be correctly interpreted without explanation. At this point, the team not only needs to ensure that their agreement says what they think it says but also that others will interpret it the same way.

### *DEVELOP COMMUNICATION MATERIALS*

Once the agreement is clearly and accurately documented, communication materials may need to be prepared to support presentations to constituencies during the ratification and approval process in step 7. These materials need to highlight:

- The details of the agreement;
- The underlying rationale for why this approach makes sense for all relevant interests; and
- The due diligence and effort that went into to developing the solution including attention to implementation requirements and risk analysis.

### COMMON CHALLENGES

**The challenge:** Team Members may test the potential to circumvent the process by lobbying the responsible agency/regulator or the CASA Board.

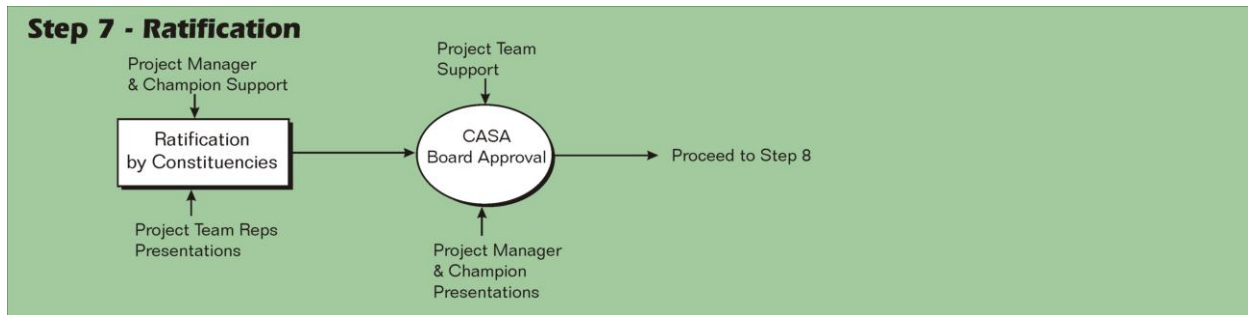
**Overcoming the challenge:** The prospect of “end runs” should be discussed during the convening step and addressed in the team ground rules. There should be an explicit commitment in the ground rules to avoiding these tactics. If end-run tactics do occur, team members should assert the ground rules and seek backing from the CASA Board if necessary. Reporting any rumours about these tactics should be part of the team's standard operating procedure.

**Challenge:** Team Members may reach an impasse.

**Overcoming the challenge:** There are a range of approaches that the team can take if they are unable to overcome an impasse:

- Follow the dispute resolution procedures in the ground rules which should include provisions such as: document the outstanding issue, the proposed solution, and how those proposals are intended to address the relevant interests; bring in an independent mediator; seek direction from the CASA Board. The dispute resolution procedures in the ground rules should be designed to push the participants towards building an agreement themselves rather than simply giving up and assuming that they will not reach agreement.
- Postpone resolution of the issue and design a process for dealing with it or recommend that a new Team addresses it. For example, it may be necessary to study the issue in order to resolve it.
- Find out if there are some other interests that have not been expressed or addressed. For example, psychological and political interests are often very important in the final stages of a negotiation and they may have little to do with the substance. These other interests may need to be addressed in order to secure an agreement.





## STEP 7: RATIFICATION AND APPROVAL

Once the team has reached agreement on their recommended solutions they need to seek ratification for those recommendations from their constituencies and approval from the CASA Board. The constituencies and the Board should have been regularly updated on the team’s progress so there should not be any surprises at this point. Ratification involves formal endorsement by constituencies rather than any further negotiation of the content. Similarly, approval by the CASA Board involves the Board formally agreeing to recommend and promote the proposed solutions to the relevant government authorities for implementation.

### DELIVERABLES

The key deliverables from step 7 are:

- Clear and documented support for the consensus recommendations from the constituencies represented on the Team; and
- Board approval of the final recommendations.

### ACTIVITIES

#### *PRESENT THE AGREEMENT TO CONSTITUENCIES FOR FORMAL APPROVAL.*

Throughout the process, each team member is responsible for keeping their constituents informed—and for actively promoting informal constituency support for the agreement negotiated during Step 6.

If obtaining constituency ratification is a challenge, it may be helpful for multiple team members—particularly those with previously differing positions—to co-present the proposed solution in constituency briefings. This will permit constituency members to actually witness consensus by hearing directly from those they would expect to disagree with the solution—a stronger case than what might be made by their own representative proposing the solution alone.

### *PRESENT THE PROPOSED SOLUTION TO THE CASA BOARD*

Once all of the constituencies represented on the Team have formally endorsed the Team's recommendations the package can be presented to the CASA Board for approval. Any members of the CASA Board that have a substantive interest in the issues will have been represented on the Team and may have already endorsed the recommendations as a constituent of the Team. The CASA Board approval is CASA's shared commitment to formally recommend and work toward the implementation of these solutions.

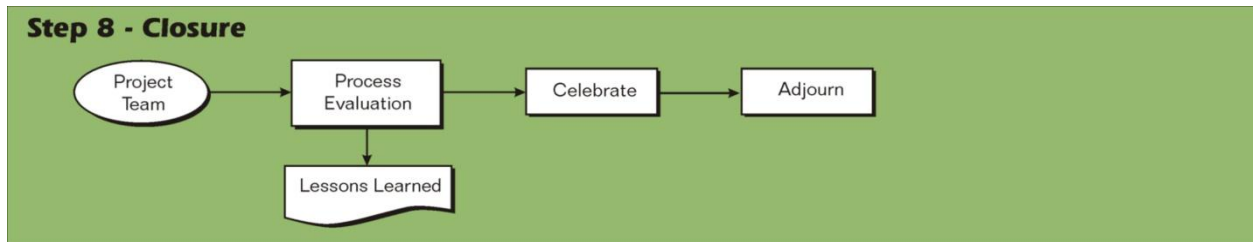
### COMMON CHALLENGES

**Challenge:** Some participants may attempt to leverage last minute concessions.

**Overcoming the challenge:** Ensure that sufficient time was taken to secure the agreement during step 6 and that the prospect of this occurring is explicitly discussed during the convening stage and the development of the ground rules. If a participant attempt last-minute concessions, the participant should be reminded of the ground rules and invited to consider the implications for their credibility if this was to come to the attention of the CASA board and their constituents.

**Challenge:** Media misconstrues or misrepresents the consensus.

**Overcoming the challenge:** The team should be proactive with the media throughout the process so that appropriate reporters understand what the team has been doing and how they have been working together. Once the solution is agreed to and ratified, the press should be jointly briefed and talking points discussed and agreed to in advance of the briefing. The prospect of leaks and poor reporting should be anticipated and preventive responses agreed to in advance as well.



## STEP 8: CLOSURE, CELEBRATION, REFLECTION AND EVALUATION

Reaching this final step—the development of an agreement that addresses the issue that brought parties together in the first place—is cause for celebration. Reflecting upon the project’s success can be intrinsically rewarding for each team member, and can reinforce the value of doing business this way. It’s also important to acknowledge and validate each team member’s contribution and time commitment and to encourage them to continue to act as champions for the project and the collaborative decision-making process.

The valuable lessons learned along the way can lead to more informed decisions in future projects down the road. Team members should debrief, and ‘soften the hard edges’ around the experience and team dynamics—documenting any advice they would have for future Project Teams to make the process more efficient and effective. As part of this process, Co-Chairs and team members should provide candid feedback about the process and outcome.

### DELIVERABLES

The key deliverable for this step is:

- documented lessons learned for consideration by the CASA Board and secretariat as well as future Project Teams.

### ACTIVITIES

#### *EVALUATE THE PROCESS*

Team members’ perception of the process’s effectiveness and success will continue to evolve after the project concludes—however; it’s worthwhile for the team to discuss and document lessons learned. This will include identifying what worked and what didn’t work, identifying results, successes, mistakes, and level of satisfaction among members. The identification of lessons learned, debriefing the process and acknowledging the end of the project’s phase will support closure for the Project Team.

*CELEBRATE*

The Project Manager and Chair(s) should acknowledge and thank the team and others for their commitment and hard work, and celebrate the achievement of the project's outcomes and deliverables. Not only is this an opportunity for the team to celebrate the project's successful completion, but will assist in the continual commitment to the implementation.

**FOLLOWUP/MONITORING**

In addition to convening collaborative decision-making processes to develop recommendations to resolve air management issues, CASA also takes responsibility for monitoring what happens to the recommendations—including their effectiveness if they are implemented. This monitoring function falls under the CASA Performance Measures Committee.

## IN CLOSING

Those who have an interest in this guide will understand that multi-stakeholder discussions are limited only by the participants' willingness to collaborate and their ability to respond to evolving needs and current information. This guide provides a snapshot of an approach that has served CASA well, but it is a constantly changing picture. The authors believe that the guide should be updated frequently, to reflect new ideas and circumstances.

The stakeholders who participate in the Clean Air Strategic Alliance have a long and successful track record, developing consensus agreements that have helped to shape Alberta's regulatory landscape. For newly engaged stakeholders and their leaders, we hope this guide will make their work a little easier. For veterans of multi-stakeholder discussions, we hope the guide will serve as a reminder of an approach that works, an approach based on a shared desire to learn more about and accommodate each other's interests.

## APPENDIX A

### STAKEHOLDER ENGAGEMENT PLAN PROCESS:

- Identify all stakeholders based on whether they are affected, invested or interested in the issue and potential outcome of the project. This includes government and non-government organizations, industry and Aboriginal representatives as needed.
- Complete the typology of stakeholders and consider the project's purpose for stakeholder involvement - for example, to gain expert knowledge; obtain sanction; obtain support. The analysis will assist in recognizing that stakeholders have different levels of power, interests and resources. By those involved in the project being aware of these differences, strategies can be developed to level the playing field and enable interaction to occur on a more equitable and genuinely collaborative basis.
- The analysis should be completed by selecting a minimum of two criteria such as:
  - Level of support for managing the issue. This will assist in identifying those stakeholders who will take action to support or derail the project.
  - Expertise that could support the management of the issue.
  - Level of influence or power in managing the issue or the project.
  - Level of interest in the issue.
  - Level of concern.
  - Level of impact.

By assessing and categorizing stakeholders based on these criteria, stakeholder needs can be more fully understood, and effective strategies for engagement can be developed that align with the purpose of involvement and project outcomes.

- Through the stakeholder analysis, identify opportunities or strategies to engage stakeholders and align their interests with the project outcomes. When the interests of stakeholders are included in some manner that reflect their needs and the project outcomes, the results can transcend the posturing of single interest politics to a place where trust is built and open communication is facilitated. The project's governance structure needs to consider how and in what format stakeholders will be involved.
- The following identifies some of the opportunities for engagement:
  - Membership on the Project Team or sub-team. The sub-team would complete specific areas of work and report to the Project Team.
  - Individual stakeholder participation through one-on-one meetings with the Project Manager or Project chair, or Co-chair. The intent would be to facilitate

- communication, manage issues, ensure alignment of interests with project outcomes, as well as leverage specific required information or skills.
- Ongoing group meetings involving multiple stakeholders to facilitate communication and sharing of information.
  - Issue-specific meetings involving a sector of stakeholders with expertise in a particular area to provide a structured dialogue on a facet of the problem.
  - Incorporate an evaluation component into the plan that identifies new points of differentiation for involvement, and ensure engagement throughout the project. By mapping different ways for stakeholders to have meaningful involvement, transparency, credibility and the creation of common ground for issues and solutions will be enhanced.

By completing the analysis and plan, the Working Group will be able to further understand stakeholder needs and develop a range of opportunities for stakeholders to be engaged. The analysis will also help determine which groups need to be represented on the Project Team and ensure that all members have an opportunity to contribute. Sub-teams may also need to be formed to complete specific areas of the project and report to the Project Team.

Participation on the Project Team is not the only way to be meaningfully engaged in a project. Other options like workshops, open houses and surveys can provide some stakeholders and the public with sufficient opportunities to be involved.

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## **INFORMATION SHEET**

**ITEM:** 3.1a 2012 Annual Communications Committee Report

**ISSUE:** The Board will receive information with respect to CASA Communications achievements and performance in 2012.

**STATUS:** The Communications Committee has completed its review of communications achievements and performance in 2012. Highlights from 2012 include:

- Participating in both Environment Week and Clean Air Day events in Edmonton
- Hosting the 2012 Coordination Workshop and distribution of CASA's Guide to Managing Collaborative Processes
- Presenting at the International Association of Public Participation
- Presenting at the Synergy Alberta Conference and distribution of CASA's Guide to Managing Collaborative Processes
- Supporting the Government of Alberta's soft launch - Renewed Clean Air Strategy
- Initiating of CASA's virtual presence
- Analyzing the potential for a Community of Practice

A 2013 Tactical Communications Plan has been drafted, with planned tactics reflecting activities at little or no cost to CASA.

**ATTACHMENTS  
TO FOLLOW:**

None. A presentation will be provided at the Board meeting.

## **DECISION SHEET**

- ITEM:** 3.1b Strategic Communications Plan
- ISSUE:** Approve the 2013 CASA Strategic Communications Plan developed by the Communications Committee.
- BACKGROUND:** The 2013 CASA Strategic Communications Plan is the overarching roadmap designed to reconcile communication activity with the CASA vision for clean air, the Communications Committee's terms of reference and the accomplishments arising from the work of CASA project teams through the Comprehensive Air Quality Management System (CAMS).
- STATUS:** Communications goals and priorities within the Strategic Communications Plan have been updated, to reflect an increased focus on implementation.
- FUNDING/  
IMPLEMENTATION:** There are no budget considerations included in the strategic plan itself. However, several communication activities outlined in the tactical plan rising out of this overall strategic plan are ongoing and financing is included in the CASA core budget (e.g. updating the CASA website and the production and distribution of the *Annual Report*). Some activities rise from project team communications plans (e.g. public consultation and news conferences) which require incremental funding. In those cases, external funding, usually from stakeholders, will be secured before proceeding.
- ATTACHMENT:** A. Revised 2013 CASA Strategic Communications Plan
- DECISION:** Approve and endorse the CASA Strategic Communications Plan 2013 on the condition that communications activities requiring incremental funding proceed only if full funding is acquired.



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## STRATEGIC COMMUNICATIONS PLAN 2013

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### Executive Summary

A communications plan is an important part of CASA's daily operations. A living document, it frames our media activities, clarifies our priorities, and identifies resource requirements. It sets strategic directions for indicating what we communicate to whom, both inside and outside of CASA itself. It is driven by our vision, mission, values and beliefs. It is also a vehicle for delivery of strategic goals.

This strategic communications plan supports and contributes to CASA's business plan and strategic direction. It outlines strategic communications to CASA members, and through them, to their own stakeholders.

A key component of the 2013 strategic communications plan is implementation. Strategic pieces have accumulated over the last number of years (Goal 4 – CASA's Strategic Plan, the Benchmarking Survey (2011), updated key messages, etc.) and 2013 will focus on putting them into practice.

This over-arching communications plan is supplemented by specific communications plans for each CASA project. Targeted outreach included in those plans meets direction provided at the Board's strategic planning workshop.

An annual tactical communications plan is also developed by the Communications Committee and the CASA Secretariat. It outlines detailed actions required to achieve the strategic communications goals, and identifies resources required to carry out this plan.

The Communications Committee determined key priorities based on the strategic planning now underway. Those priorities were validated by results of the benchmarking exercise.

### Guiding principles for communication

The CASA communications plan is guided by the following principles:

1. Our communication efforts will focus on stakeholders and initiatives.
2. We will encourage informed dialogue between stakeholders and invite feedback.
3. We acknowledge the diversity of opinions of our stakeholders.
4. We will use simple, easily understood language that promotes a common understanding of CASA, its goals and accomplishments.
5. We will support members in their role as communicators for CASA.
6. We will evaluate the effectiveness of our communications plans and ensure continuous improvement.
7. Communications related expenditures will be cost effective and focused on results.

## Communications goals

The overall communications goals of the 2013 strategic communications plan are:

1. Increase Albertans' awareness, understanding and support for CASA. (The term "Albertan" includes CASA stakeholders, their constituents, and the general public.)
2. Develop and assess the effectiveness of the tools necessary to enable CASA to deliver on its strategic goals.
3. Identify opportunities for improvement of internal communications within CASA.

## Communications Priorities for 2013

The Communications Advisor and Secretariat execute CASA's communications plan and the Board's Communications Committee oversees that implementation. Each year, the Board of Directors approves the strategic communications plan and receives a progress report. In addition, project teams approve a communications plan with key messages, measureable tactics and strategies specific to each project's charter.

Because the 2013 goals are sequential, each priority rests on the successful completion of the previous step.

Communications Goals	Priorities for 2013
Goal 1: Raise Albertans' awareness of, understanding of, and support for CASA.	1) Implement 2013 Tactical Plan.
Goal 2: Develop and assess the effectiveness of the tools necessary to enable CASA to deliver on its strategic goals.	1) Use the identified audiences template to optimize outreach opportunities. 2) Track CASA's communications tools and/or initiatives to ensure messages reach intended audiences.
Goal 3: Identify opportunities for improvement of internal communications within CASA.	1) Identify and promote synergies between CASA Project Teams.

## Overarching Key Messages

These key messages answer three key questions that CASA members and their stakeholders often ask. In totality, they describe what CASA is, how we work, and show our successes.

- 1) CASA is a dynamic multi-stakeholder partnership providing leadership and strategies to address air quality issues in Alberta.

- 2) At CASA, government, industry and non-government organizations use a collaborative consensus process to develop innovative solutions to complex air quality issues.
- 3) With over 15 years experience, CASA has a proven track record of achievements:
  - a) Our Flaring and Venting project won both an Emerald Award and a CCME Pollution Prevention Award
  - b) Another Emerald Award went to our Electricity project.
  - c) Our consensus process was awarded the Arthur Kroeger Award for Policy Leadership.

Messaging related to specific air quality issues will be developed by the appropriate CASA Project Team, consistent with CASA communications policy.

## Evaluation

CASA incorporates tracking and evaluation into its communications planning process, but without an accurate benchmark, that evaluation is often subjective and anecdotal. CASA's tactical communications plan will specify measureable tactics and strategies to achieve the above strategic communications goals. More information about that performance measure is available on the CASA website at

<http://www.casahome.org/Projects/Currentboardcommittees/PerformanceMeasuresCommittee/PerformanceMeasuresIndicators.aspx>.

## **DECISION SHEET**

**ITEM:** 3.2 2012 Annual Report

**ISSUE:** The 2012 CASA Annual Report is ready for Board review.

**BACKGROUND:** The 2012 Annual Report is tabled to give the Board the opportunity to review it and offer suggestions prior to finalization by the Executive Committee.

**STATUS:** Board members are being asked to review the report for accuracy, tone, content, and structure, and to provide comments directly to the Secretariat by Wednesday, April 3, 2013. Once the comments have been incorporated, the final draft will be forwarded to the Executive Committee for final review and approval.

The version attached in this briefing package is a draft only. Final layout and design will be determined once the content is approved. The auditor's report will also be added after Board approval.

**ATTACHMENT:** A. 2012 CASA Annual Report draft copy

**DECISION:** Authorize the CASA Executive Committee to approve the 2012 Annual Report for final content and format selection after comments from the Board are received and incorporated.



## **Cover** *(Includes CASA logo)*

## **Contents** *(Table of contents will be inserted after layout is complete)*

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ISBN: 978-1-896250-78-6

## **About CASA**

Since its creation by ministerial order in 1994, CASA has operated as a multi-stakeholder partnership committed to providing recommendations that enhance air quality in Alberta. Partnering government, industry and non-government organizations makes recommended solutions more long-lasting and creative than might otherwise be possible.

Every group and team includes government, industry and non-government representation. Decisions and recommendations are made by consensus, with participants working together as equals toward actions or outcomes acceptable to all.

If consensus cannot be achieved, alternatives are provided to the Government of Alberta for decision. Those alternatives reflect the extent of consensus and areas of agreement, the specific issues about which there is no consensus, and the reasoning behind the differing views.

Responsibility for specific air quality planning is shared among stakeholders. Regulatory implementation, licensing, compliance, control and enforcement remain with existing government agencies.

## **Vision & Mission** *(Mission/Vision can be pulled out & used as graphic elements)*

### **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.

## **Highlights from 2012**

(An expansion of the following 6 highlights will be drafted for Executive approval)

- Renewed Clean Air Strategy; all 14 CASA recommendations incorporated
- 2 New Statements of Opportunity; Working Groups are now focused on Electricity Framework Review and Odour Management. Work underway on Non-point Source Emissions.
- Several project teams and related groups completed their work and developed consensus recommendations. ( i.e. the Confined Feeding Operations PT, the Particulate

Matter and Ozone PT, the Electricity Working Group and the Performance Measures Review Working Group

- Outreach through a 2-day Coordination Workshop, Environment Week and Clean Air Day, Synergy presentations and many other individual presentations.
- Launch of *Managing Collaborative Processes*: a guide for practitioners
- New virtual presence through updated web content and new social media accounts; used to pilot the Clean Air Strategy launch.

## Messages

(These introductory messages to the Annual Report will be drafted for Executive approval prior to inclusion in the Annual Report)

### Message from the President

*(Insert photo)*

#### Key Messages from the President

- Very pleased to accept this role with CASA; an organization with a history of achievement.
- Longstanding personal belief in setting an organization's goals, then reaching them through teamwork.
- Respect for stakeholders who choose to devote their time to reaching durable outcomes through collaborative dialogue. CASA stakeholders have repeatedly demonstrated their ability to address complex air quality issues.
- It has never been more important for industry, government and NGOs to come together to build agreement on air quality policies. Albertans want to know that their resources are being developed within accepted environmental standards.
- The Government of Alberta is committed to engaging all parties in the development of policy and regulatory frameworks. This is clearly set out in Alberta's Renewed Clean Air Strategy.
- We will be looking to the Clean Air Strategic Alliance to help inform the implementation of the Land Use Framework, Environmental Monitoring System and the National Air Quality Management System.

*(Insert signature)*

## Message from the Executive Director

*(Insert photo)*

### Key Messages from the Executive Director

- Welcome new President Dana Woodworth. Thank you to Ernie Hui for his service.
- 2012 marked a transition in CASA's strategic planning cycle. Our stakeholders are redirecting their efforts, from recently concluded projects, to new more-pressing air quality issues.
- An appreciation for the thousands of hours spent by CASA stakeholders building collaborative agreements. The Renewed Clean Air Strategy alone represents the culmination of over 6000 stakeholder hours spent discussing and negotiating air quality policy in Alberta.
- The Secretariat continues to enhance its capability to manage complex projects, facilitating informed and collaborative stakeholder discussion. Our staff are dedicated professionals that take pride in "leading from behind", learning to produce outcomes by consensus, on time and within prescribed Terms of Reference.
- CASA has had a real influence in shaping air quality policy and regulatory frameworks in Alberta and, more recently, in Canada. This is not simply good fortune; it is the result of many years of hard work being recognized on a larger stage.

*(Insert signature)*

## Board of Directors and Secretariat

(As of December 31, 2012)

### Industry Stakeholder Groups (by sector)

- Agriculture
  - Director - Rich Smith, Alberta Beef Producers
  - Alternate Director - Humphrey Banak, Wild Rose Agricultural Producers
- Alternate Energy
  - Director – Vacant
  - Alternate Director - David Lawlor, ENMAX
- Chemical Manufacturers
  - Director – Yolanta Leszczynski, Scottford Manufacturing
  - Alternate Director - Al Schulz, Chemistry Industry Association of Canada
- Forestry
  - Director - Brian Gilliland, Weyerhaeuser Co. Ltd.
  - Alternate Director - Keith Murray, Alberta Forest Products Association
- Mining
  - Director - Peter Darbyshire, Graymont Limited
  - Alternate Director - Dan Thillman, Lehigh Cement

- Oil & Gas – Large Producers
  - Director - John Squarek, Oasis Energy Inc.
  - Alternate Director - Bill Clapperton, Canadian Natural Resources Limited
- Oil & Gas – Small Producers
  - Director – Vacant
  - Alternate Director – Vacant
- Petroleum Products
  - Director - Cindy Christopher, Imperial Oil
  - Alternate Director – Brian Ahearn, Canadian Fuels Association **(NO PHOTO AVAILABLE)**
- Utilities
  - Director - Don Wharton, TransAlta Corporation
  - Alternate Director - Jim Hackett, ATCO Power Canada Ltd.

### **Government Stakeholder Groups (by sector)**

- Aboriginal (First Nations)
  - Director - Holly Johnson-Rattlesnake, Samson Cree Nation
  - Alternate Director - Vacant
- Aboriginal (Métis)
  - Director – Mary Onukem – Métis Settlements General Council
  - Alternate Director - Vacant
- Federal
  - Director – Mike Norton, Environment Canada
  - Alternate Director – Martin Van Olst, Environment Canada **(NO PHOTO AVAILABLE)**
- Local (Rural)
  - Director - Carolyn Kolebaba, Alberta Association of Municipal Districts & Counties
  - Alternate Director - Tom Burton, Alberta Association of Municipal Districts & Counties
- Local (Urban)
  - Director – Tim Whitford, Alberta Urban Municipalities Association
  - Alternate Director – Vacant
- Provincial – Energy
  - Director – Martin Chamberlain, Alberta Energy
  - Alternate Director – Audrey Murray, Alberta Energy **(NO PHOTO AVAILABLE)**
- Provincial – Environment
  - Director – Dana Woodworth, Alberta Environment and Sustainable Resource Development
  - Alternate Director - Bev Yee, Alberta Environment and Sustainable Resource Development
- Provincial – Health
  - Director – Neil MacDonald, Alberta Health **(NO PHOTO AVAILABLE)**
  - Alternate Director – Dawn Friesen, Alberta Health

### **Non-Government Organization Stakeholder Groups (by sector)**

- Consumers/Transportation
  - Director - Don Szarko, Alberta Motor Association
  - Alternate Director - Vacant
- Health
  - Director – Leigh Allard, The Lung Association - Alberta & NWT
  - Alternate Director – Janis Seville, The Lung Association - Alberta & NWT
- Pollution A
  - Director – Vacant
  - Alternate Director – Vacant
- Pollution B

Director - Chris Severson-Baker, Pembina Institute  
Alternate Director - Ruth Yanor, Mewassin Community Council

- Wilderness  
Director - David Spink, Prairie Acid Rain Coalition  
Alternate Director - Ann Baran, Southern Alberta Group for the Environment

### **CASA Secretariat**

Director – Norman MacLeod

### **Past Members**

Thank you to these past board members, who helped lead us in 2012:

- Eileen Gresl Young                      COPD & Asthma Network of Canada
- Ernie Hui                                      Alberta Environment & Sustainable Resource Development
- Cindy Jefferies                              Alberta Urban Municipalities Association
- Margaret King                                Alberta Health and Wellness
- Myles Kitagawa                                Toxics Watch Society of Alberta
- Gary Leach                                      Small Explorers and Producers Association of Canada
- Dwayne Marshman                              Wild Rose Agricultural Producers
- Rachel Mintz                                    Environment Canada
- Louis Pawlowich                                Metis Settlements General Council
- Jennifer Steber                                 Alberta Energy

### **Secretariat**

**Vision:** CASA is a recognized leader in coordinating multi-stakeholder groups as they build consensus strategies to improve air quality.

**Mission:** The CASA Secretariat supports and coordinates our partners as they work towards the CASA vision. We are trusted to provide expertise, knowledge and best practices in each of our service-oriented roles.

Executive Director –	Norman MacLeod
Executive Assistant –	Alison Hughes
Senior Manager –	Robyn-Leigh Jacobsen
Project Managers –	Celeste Dempster, Kaylyn Airey ( <i>from May</i> )
Program Coordinator –	Asia Szkudlarek ( <i>until August</i> ), Struan Robertson ( <i>from December</i> )
Administrative Assistant –	Jillian Kaufman ( <i>until August</i> )
Financial Administrator –	Karen Bielech

## Evaluating and Measuring CASA's Performance

CASA believes strongly in "what gets measured gets done". Accordingly, a strong system for measuring and evaluating performance is in place. That includes setting priorities, evaluating organizational performance and performance measures.

### Performance Evaluation

Article 16 of CASA bylaws states "The performance of the Society will be evaluated upon the expiration of three years from the date of its incorporation, or the date of its last performance evaluation, by the Members of the Society." Performance evaluation occurred in 1997, 2001, 2004, and 2007 and 2010.

### Performance Measures

CASA has five performance measures, with multiple indicators for each measure. All performance measures and their calculated results are approved by consensus of the CASA board. Performance Measures 1, 2 and 4 are calculated every three years, most recently for the 2010 report. Performance Measures 3 and 5 are calculated annually with those results included here.

Performance measures, with their corresponding indicators include:

Performance Measure	Indicator(s)
1a Improved air quality indicators in areas of CASA action	<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> <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> <li>• Percent hourly exceedances of: NO<sub>2</sub>, SO<sub>2</sub> and H<sub>2</sub>S</li> <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>
1b Change in emissions of substances of concern in areas of CASA action	<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> <li>• The change in flaring and venting associated with solution gas, well test and coalbed methane</li> </ul>
1c Energy use as an indirect measure of air quality in areas of CASA action	<ul style="list-style-type: none"> <li>• Electrical power capacity based on renewable and alternative energy sources</li> </ul>
2 Capability to measure air quality effects on humans and the ecosystem	<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>
3 Number of recommendations through Comprehensive Air Quality Management System implemented	<ul style="list-style-type: none"> <li>• Percentage of substantive recommendations from 4 years ago, being 2008, that have been implemented</li> </ul>
4 Degree of CASA members, partners and clients' satisfaction with the CASA approach	Satisfaction with CASA's: <ul style="list-style-type: none"> <li>• Overall approach</li> <li>• Openness and transparency</li> <li>• Implementation of recommendations</li> <li>• Resources for teams</li> <li>• Achievements</li> <li>• Support to airshed zones</li> <li>• Communication between teams</li> </ul>
5 Degree of recognition of CASA as a major vehicle for delivering improved air quality management for Alberta	<ul style="list-style-type: none"> <li>• Return visitors to website</li> <li>• News stories about CASA</li> <li>• Quality of news stories about CASA</li> </ul>

**Performance Measure 3: (Waiting for approval of results from Board)**

Performance Measure 3 in an annual calculation to determine the extent to which CASA recommendations were implemented three years after their submission by the CASA Board.

For 2012, the Performance Measures Committee considered the recommendations approved by the CASA Board in 2008. In this year, the CASA Board approved ten recommendations from the Confined Feeding Operations Project Team and two recommendations from the Human and Animal Health Team. Of these, two recommendations from the Confined Feeding Operations Project Team were deemed substantive by the Committee. The remaining recommendations were deemed either administrative or operational and so are not subject to further evaluation.

Overall, the degree of implementation of CASA recommendations approved in 2008 is 90%. Table 1 below shows the rating of the two substantive recommendations and subsequent calculation of Performance Measure 3.

**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
Confined Feeding Operations Project Team (2)									8		7
Total number (2)									1		1
Mean Calculation: $8 \times 1 + 10 \times 1 = 18$											
Overall (average rating) = $18 / 2 = 9$ or 90%											
Reviewer(s): Confined Feeding Operations Project Team: Ron Axelson (ILWG), Sandi Jones (AARD), Jim McKinley (NRCB)											

Table 2 below summarizes the results for Performance Measure 3 since 1997.

**Table 2: Summary of Results for Performance Measure 3**

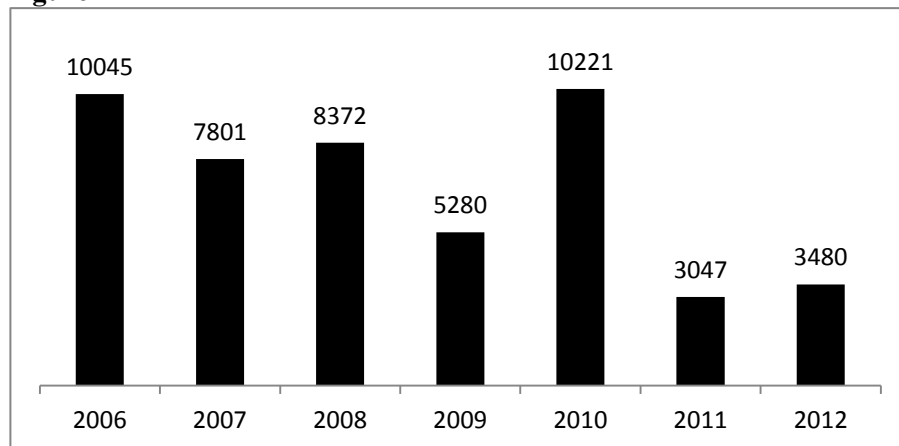
Year Approved by CASA Board	Number of Substantive Recommendations	Degree of Implementation of Substantive Recommendations (%)
1997	25	77
1998	54	76
1999	30	62
2000	0	n/a
2001	5	94
2002	53	74
2003	79	73
2004	47	91
2005	18	77.2
2006	1	100
2007	1	30
2008	2	90

**Performance Measure 5: (Waiting for approval of results from Board)**

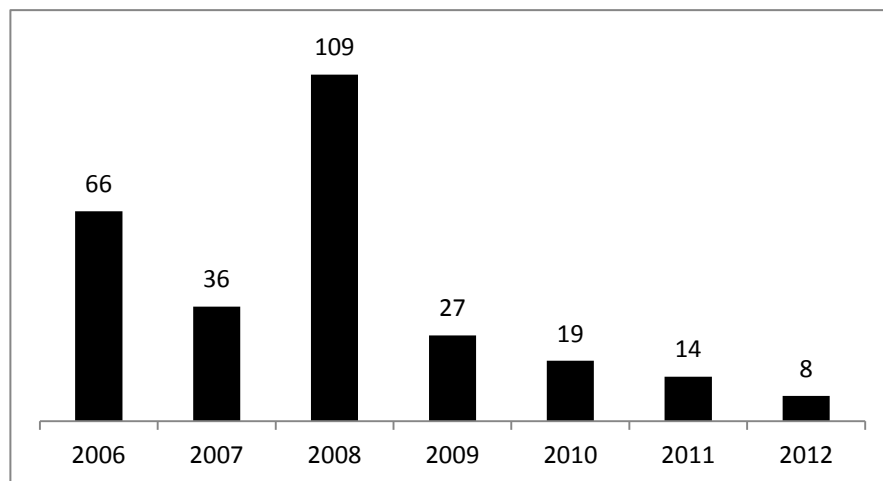
Performance Measure 5 looks at the degree of recognition of CASA as a major vehicle for delivering improved air quality management for Alberta.

In 2012, the number of repeat web visitors increased slightly from 2011. 3480 Return Visits represents 39.25% of 8866 Total Visitors. Of 3480 Return Visits, 2814 visitors were from Alberta, 440 from the rest of Canada and 226 were international visitors. Figure 1 below shows repeat visitors over the past seven years.

**Figure 1**



One news story indicator, as set out in Figure 2, measures the number of news stories about CASA in the Alberta news media (print, television, radio, magazines, etc.) each year.



**Figure 2**

In 2012, the total number of news stories dropped. The majority of news articles made reference to CASA as an organization rather than to specific project information. Out of the 8 news stories, 4 had a neutral tone, and 4 had a positive tone. The quality of news stories has been described qualitatively while in the past it was represented graphically as a percentage based on a score calculated using the Media Relations Rating Points (MRP)<sup>TM</sup> system. CASA is currently in a transition period towards new Performance Measures. The new Performance Measurement Strategy will look at CASA's Communications efforts in a more comprehensive way, ensuring an overview of all programs including social media. Since the score determined by the MRP will not be used as a Performance Measure moving forward, it has not been calculated for 2012.



## CASA Teams

### CASA & AAC Joint Standing Committee

This Committee works to strengthen the relationship between CASA, the Alberta Airsheds Council and the individual airshed zones, and provides a forum for discussing and addressing strategic issues around effective air quality management in Alberta.

#### **Highlights**

The Committee prioritized its key tasks and worked to examine policies, pressures, and strategies influencing CASA, the Alberta Airshed Council and airshed zones as well as further clarification of the roles, interests, and relationships between these groups. The Committee contracted a consultant to write a foundational piece to guide discussions on these topics, which has been useful to drive work forward.

#### **Members:**

Al Schulz	Chemical Industry Association of Canada
Bev Yee (co-chair)	Alberta Environment and Sustainable Resource Development
Bill Clapperton	Canadian Natural Resources Ltd.
Bob Scotten (co-chair)	West Central Airshed Society
Carolyn Kolebaba	Alberta Association of Municipal Districts & Counties
Celeste Dempster	CASA
Chris Severson-Baker	Pembina Institute
Elise Bieche	Canadian Association of Petroleum Producers
Gary Redmond (alternate)	Alberta Capital Airshed
Jill Bloor (alternate)	Calgary Region Airshed Zone
John Squarek	Canadian Association of Petroleum Producers
Kevin Warren	Parkland Airshed Management Zone
Myles Kitagawa	Toxics Watch Society of Alberta
Nadine Blaney (alternate)	Fort Air Partnership
Norman MacLeod	CASA
Sharon Willianen (observer)	Alberta Environment and Sustainable Resource Development
Shelly Pruden	Peace Airshed Zone Association

#### **Corresponding member:**

Kevin Percy	Wood Buffalo Environmental Association
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### Communications Committee

This committee develops communications policy and direction for recommendation to the board of directors. The team provides direction and advice to strategic internal and external communications initiatives, plans and priorities in support of the CASA mission and vision. Its responsibilities also include administration of performance measure five (Degree of recognition of CASA).

#### **Highlights**

This year, the committee successfully hosted the 2012 Coordination Workshop, participated in a number of outreach activities and established the foundation for CASA's social media presence.

#### **Members:**

Ann Baran	Southern Alberta Group for the Environment
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Asia Szkudlarek	CASA
Christine King	Alberta Energy
Jean Moses	CASA
Kaylyn Airey	CASA
Kelly Morrison	Petroleum Services Association of Canada
Kimberly Gray	Canadian Association of Petroleum Producers
Leigh Allard (chair)	The Lung Association, AB & NWT
Ogho Ikhala	Alberta Environment
Ruth Yanor	Mewassin Community Council
Yolanta Leszczynski	Shell Canada – Scottford Manufacturing

*Corresponding members:*

Bob Curran	Energy Resources Conservation Board
Gloria Trimble	Environment Canada
Tom Neufeld	Energy Resources Conservation Board

## **Performance Measures Committee**

This committee is charged with developing a process for calculating and assessing CASA's performance. It also oversees the calculation of performance indicators related to those measures.

### ***Highlights***

In 2012, a subgroup, the Performance Measures Review Working Group (PMRWG), was formed to complete the CASA 3 year performance measures review. Following these discussions the PMRWG created a Performance Measurement Strategy document that will guide for all aspects of performance measurement at CASA. The document captures all the elements of performance measurement and helps to bring order to a complex subject and ensure that these resources are readily available.

### ***Performance Measures Committee Members:***

Bob Myrick	Alberta Environment and Sustainable Resource Development
Celeste Dempster	CASA
Crystal Parrell	Alberta Environment and Sustainable Resource Development
Peter Darbyshire	Graymont Western Canada Inc.
Ruth Yanor	Mewassin Community Council

### ***Performance Measures Review Working Group Members:***

Ann Baran	Southern Alberta Group for the Environment
Bob Myrick	Alberta Environment and Sustainable Resource Development
Carolyn Kolebaba	Alberta Association of Municipal Districts & Counties
Celeste Dempster	CASA
Cindy Christopher	Imperial Oil
Crystal Parrell (co-chair)	Alberta Environment and Sustainable Resource Development
David Lawlor	ENMAX
Peter Darbyshire (co-chair)	Graymont Western Canada Inc.
Robyn Jacobsen	CASA
Ruth Yanor (co-chair)	Mewassin Community Council

## Confined Feeding Operations Project Team

In 2012 the Confined Feeding Operations (CFO) project team reconvened to review the implementation of the recommendations from their 2008 report “Managing Air Emissions from Confined Feeding Operations in Alberta” and to advise the CASA Board as to the future of the CFO project team.

### Highlights

The team presented their final report regarding the implementation of team recommendations from 2008 to the Board in September 2012. Team members felt that the current CFO project team had completed its Terms of Reference and recommended that the team be disbanded. It was recognized that there may still be work needed with respect to air emissions from CFOs in Alberta. However, this team has fulfilled its mandate.

### Members:

Ann Baran (co-chair)	Southern Alberta Group for the Environment
Albert Kamps (co-chair)	Alberta Milk
Ashley Rietveld	Alberta Poultry Producers
Bob Barss	Alberta Association of Municipal Districts & Counties
Darcy Fitzgerald	Alberta Pork
Denis Sauvageau	Friends of an Unpolluted Lifestyle
Jenny Graydon (alternate)	Alberta Health
Jim McKinley	Natural Resources Conservation Board
Kevin Warren	Parkland Airshed Management Zone
Laura Blair	Alberta Environment and Sustainable Resource Development
Leonard Standing on the Road (alternate)	Ponoka Fish and Game
Lynn Que	Alberta Health Services
Martin Van Diemen	Alberta Milk
Martin Zuidhof	Alberta Cattle Feeders Association/Alberta Beef
Opel Vuzi	Health Canada
Rich Smith	Alberta Beef Producers
Robyn Jacobsen	CASA
Ron Axelson	Intensive Livestock Working Group
Sandi Jones (co-chair)	Alberta Agriculture and Rural Development
Tanya Mrowietz (alternate)	Alberta Health Services

### Corresponding member:

Darren Bruhjell	Agriculture and Agri-Foods Canada
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## Electricity Working Group

This group’s responsibility was to respond to the difference between the *Emissions Management Framework for the Alberta Electricity Sector* (the Alberta Framework), the Environment Canada proposal for Base Level Industrial Emissions Requirements (BLIERs) for existing coal-fired electricity generation units, and *Canada’s Reduction of Carbon Dioxide Emissions from Coal-Fired Generation of Electricity Regulations* (CO<sub>2</sub> Regulation).

### 2012 Highlights

The group presented a report to the Board in December 2011. However, when the GHG Regulation was published in the Canada Gazette, Part II in September 2012, the group agreed to update their report with the details of the GHG Regulation. The Alberta Framework was assumed to proceed in its current

state alongside the GHG Regulation to allow the Alberta Framework and the BLIERs proposal to be compared in a similar setting. All CASA stakeholders were concerned that the requirement to implement BLIERs at existing coal-fired facilities would have the effect of negating much of the existing Alberta framework. The group concluded that the Alberta Framework will achieve equivalent or better environmental outcomes than BLIERs for existing coal-fired units in a more cost-effective manner and with less disruption to the Alberta electricity system.

**Members:**

Ahmed Idriss	Capital Power Corporation
David Lawlor	ENMAX
David Spink	Prairie Acid Rain Coalition
Don Wharton	TransAlta Generation Partnership
Jim Hackett	ATCO Group, Utilities
Randy Dobko	Alberta Environment
Robyn-Leigh Jacobsen	CASA
Tom Marr-Laing	Pembina Institute
Srikanth Venugopal	TransCanada Transmission

## Human and Animal Health Implementation Team

This team's responsibility is to create an implementation plan for previous recommendations from the Human Health Project and Animal Health (HAHT) Project teams.

### 2012 Highlights

In December 2011, the Board agreed to reconvene the HAHT to coordinate with Alberta Health and Wellness and Alberta Health Services on what could be done to fulfill the intention of the team's recommendations. In 2012, the team:

- reviewed the implementation of recommendations from the four previous reports. For recommendations that were not complete, the team discussed their current relevance and the path forward.
- agreed to create an inventory of how all agencies currently contribute to the Comprehensive Human Health Monitoring System and discuss if/how these inputs can be better coordinated.

**Members:**

Beth Nanni	The Lung Association - AB & NWT
Brenda Woo	Health Canada
Dawn Friesen (co-chair)	Alberta Health
Gary Sargent	Canadian Association of Petroleum Producers
Ila Johnston	PAMZ Parkland
Joe Kendall	Alberta Agriculture and Rural Development
Judy Huntley	Bert Riggall Environmental Foundation
Laura McLeod	Alberta Health Services
Leigh Allard	The Lung Association AB & NWT
Long Fu	Alberta Environment and Sustainable Resource Development
Mark Boulton	Suncor
Merry Turtiak	Alberta Health
Robyn-Leigh Jacobsen	Clean Air Strategic Alliance
Ruth Yanor (co-chair)	Mewassin Community Council

## Particulate Matter and Ozone Management Implementation

This team monitors the implementation of the 2003 PM and Ozone Management Framework and provides stakeholder advice on implementation as required.

### **Highlights**

In 2012 the team met to review progress made towards completing their Terms of Reference, discuss the impacts of the national Air Quality Management System, discuss the future of the team, and to hear the latest PM and Ozone assessment results. Subject to Board approval, the team proposed that it disbanded and plans to present its final report and recommendations to the CASA Board in March 2013.

### **Members:**

Ahmed Idriss	Capital Power Corporation
Andrew Clayton	Alberta Environment and Sustainable Resource Development
Beth Nanni (co-chair)	The Lung Association
Bob Myrick (co-chair)	Alberta Environment and Sustainable Resource Development
Brad Park	City of Calgary
Celeste Dempster	CASA
Claude Chamberland (co-chair)	Shell Canada Energy
Crystal Parrell	Alberta Environment and Sustainable Resource Development
Darcy Walberg	Agrium
Elise Bieche	Canadian Association of Petroleum Producers
Jill Bloor	Calgary Region Airshed Zone
Karina Thomas	Alberta Health and Wellness
Keith Murray	Alberta Forest Products Association
Kevin Warren	Parkland Airshed Management Zone
Ludmilla Rodriguez	Alberta Health Services
Marc Huot	Pembina Institute
Mike Pawlicki	Lafarge Canada Inc.
Myles Kitagawa (co-chair)	Toxics Watch Society of Alberta
Rachel Mintz	Environment Canada
Sara Barss	TransCanada

### **Corresponding members:**

Long Fu	Alberta Environment and Sustainable Resource Development
Shane Lamden	NOVA Chemicals Corporation

## Statements of Opportunity

Air quality issues come to CASA's attention through either a public submission or as an emerging issue identified by government, non-government organizations or industry stakeholders. Once an issue is identified, a Statement of Opportunity would be developed to determine whether it is appropriate to undertake further steps in the collaborative process, or whether some other process would be more appropriate.

### **2012 Highlights**

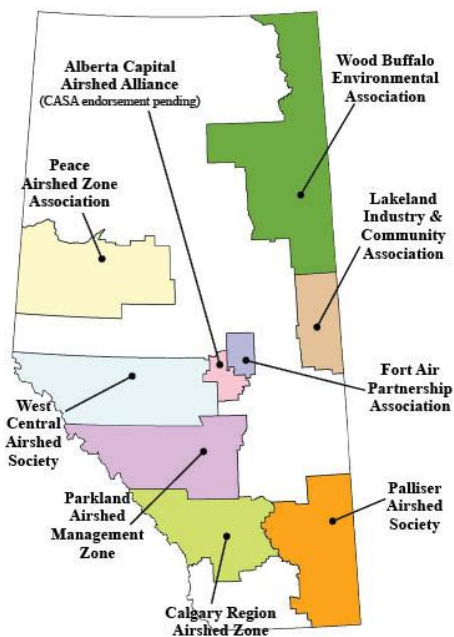
1. During July and August of 2012, a Statement of Opportunity for odour management in Alberta was developed, with input from interested stakeholders. The proposed work would result in a document that could guide actions across the province and reduce the frequency, intensity, and duration of

odour events. In September 2012, the Board approved the formation of a working group to further screen and scope the issue and develop a Project Charter.

2. In December 2012, the Board reviewed and discussed a Statement of Opportunity for CASA to undertake the next scheduled Five-Year Review of the *Emissions Management Framework for the Alberta Electricity Sector*. The Board approved the formation of a working group to further screen and scope the issue and develop a Project Charter.
3. The issue of air emissions related to transportation has been identified during strategic discussions with CASA stakeholders. In addition, the release of the Government of Alberta's *Renewed Clean Air Strategy*, which contains numerous references to non-point source emissions and transportation, spurred the development of a Statement of Opportunity for managing non-point source emissions in Alberta. This Statement of Opportunity will be finalized and presented to the Board early in 2013.

## Airshed Zones

In Alberta, non-profit societies or associations conduct passive and/or continuous ambient air quality monitoring as airshed zones.



Formed by local stakeholders to deal with air quality issues in a specific region, they are funded by the partners in each airshed zone.

CASA provides guidelines for formation and operation, but each airshed zone operates independently as a non-profit society or association. All endorsed airshed zones are consensus-based and support the CASA vision.

CASA has endorsed eight airsheds throughout the province. This document includes short reports from each of those eight airsheds. The Alberta Capital Airshed Alliance (Edmonton and area) is included in the map here, with endorsement by CASA pending.

## Alberta Airsheds Council (AAC)

The Alberta Airsheds Council provides a forum to identify and advocate for the common interests of the nine established airshed zones.

2012 has been a challenging year for the Airsheds. Finances have been a major issue for many of the Airsheds. Voluntary contributions are down and Government grants were slow to be approved. The need for sustainable funding is critical for the Airsheds to provide continuing service. Airsheds are seeking a mechanism to provide assured long term funding including clarity and certainty of government grants, consistent requirements for emitters to contribute and financial expectations of other stakeholders such as municipalities.

Uncertainty of future roles for the Airsheds has resulted in some discomfort and considerable speculation. The AAC and its members look forward to the timely resolution of airshed roles and responsibilities so that we can effectively participate in Alberta's new monitoring program. We anticipate the AESRD will provide definitive guidance on this issue in 2013.

The CASA Joint Standing Committee (JSC) has provided a good opportunity to discuss issues with CASA, AESRD, Industry and ENGOS. The JSC has helped the AAC identify solutions to some issues and has provided a communications conduit.

For more information, go to [www.albertaairshedsCouncil.ca/](http://www.albertaairshedsCouncil.ca/).

## **Calgary Region Airshed Zone (CRAZ)**

CRAZ welcomed a new member to our team. Mandeep Dhaliwal was hired in August as the Air Quality Program Manager. The addition of Mandeep to CRAZ has brought enhanced technical experience and knowledge to the organization.

During 2012, CRAZ expanded the passive air monitoring network to 40 sites across the region. All reports are available on the CRAZ website, [www.craz.ca](http://www.craz.ca).

CRAZ continued to work on siting the Southeast ambient air monitoring station and this seems to be moving to completion in 2013. The Central station is also moving along as CRAZ works with the City of Calgary and AESRD on confirming a new location and incorporating the education/outreach component into this station.

CRAZ, AESRD and the City of Airdrie are working together to secure a site for a fourth monitoring station in the CRAZ region.

The Particulate Matter/Ozone Management Committee commissioned work on a geospatial allocation project from the All Source Emissions Inventory. The committee continued the Community Based Social Marketing project in 2012 focusing on all commuter options.

In the 2012-2014 Strategic Plan, CRAZ committed to having a delegation present to each Municipal Council once every three years and in 2012 we began this action.

The Education/Outreach program continued this year. The Photo Contest and attending the Mayor's Environment Expo were among our efforts. CRAZ continued to offer the Gauge 'n Save program at gas stations in conjunction with Calgary Co-op. The volunteers attended 27 gas stations. It is through the Education programs that we both increase the awareness of the organization by the public and deliver specific techniques that anyone can incorporate into their lifestyle to ensure we continue to enjoy the air quality we have.

In 2012, CRAZ received analyzers for the Mobile Air Monitoring Lab (MAML). This vehicle was deployed in 2012 to follow up on data collected from the passive network. The MAML will be used for monitoring as well as education/outreach in the region.

CRAZ completed an agreement in 2012 with the Alberta Winter Games Sustainability Committee to implement an Idle Free program for the Games in 2014. We will be working with Canmore and Banff High Schools on the project.

CRAZ continued to work with our Industry members to develop an emissions-based funding formula for the organization.

The CRAZ Board, staff and volunteers are excited about building on the accomplishments made in the coming year.

For more information, go to [www.craz.ca](http://www.craz.ca).



## **Fort Air Partnership (FAP)**

In 2012 Fort Air Partnership (FAP) continued its transition toward a regional air monitoring network. Operating a regional network (rather than fence line monitoring) gives a more well-rounded characterization of regional air quality. It provides the ability to measure the cumulative impact of all pollutant sources, taking into consideration regulated industrial emissions, as well as non-regulated emission sources such as urban, oil and gas, and agricultural activities.

A network assessment was completed by a third-party contractor in early 2012. Sonoma Technology Incorporated made a series of recommendations about the monitoring program to more effectively meet our network objectives. The recommendations made in this report were presented at a stakeholder workshop and the report finalized in March of 2012. These recommendations will form the basis for a long term monitoring plan, which is being developed by a sub-committee of the FAP Technical Working Group. Work on this monitoring plan began in late 2012 and will continue into 2013. Public information sessions will take place once the plan has been completed.

FAP reduced its passive monitoring network for SO<sub>2</sub> and H<sub>2</sub>S and eliminated the NO<sub>2</sub> and O<sub>3</sub> network in 2012, in response to the network assessment recommendations related to redundancies in monitoring. This is the first step in allowing FAP to concentrate on strategically developing a monitoring network that meets regional monitoring objectives.

### Equipment Upgrades

Equipment upgrades in 2012 included in-situ calibrators at two stations, a new ammonia analyzer, updated wind monitoring equipment and equipment for improved safety at the stations. FAP also worked toward a full complement of backup analyzers to ensure we continue to meet network operational uptime requirements.

### Particulate Monitoring

FAP conducted some short-term studies on particulate monitoring technology in use throughout the network. Each particulate monitoring technology detects particle masses according to a different physical principle and corresponding assumptions about particle density. There are variances in results, depending upon the composition of the particles monitored and the conditions under which it was monitored.

To understand possible bias (differences) in the methods, FAP undertook two studies; one was to co-locate standard reference monitors with two of the continuous monitors in the network. Another was to co-locate two different monitoring technologies at the Fort Saskatchewan station. The data collected in these studies will inform FAP as to how PM data collected will vary when upgrading technology throughout the network.

### Capital Region Air Quality Management Framework

Throughout the year, Fort Air Partnership was actively involved in the Capital Region Air Forum. This multi-stakeholder group developed a Capital Region Air Quality Management Framework in 2012, which is now in the process of being implemented. FAP involvement in the development of a PM Management Plan under this framework, which began in 2012, will continue in 2013.

### Public Communication

FAP's continuing communications included the distribution of annual reports and a quarterly e-bulletin, plus presentations to industry groups and county councils. FAP also provided continued support for the

Life in the Heartland (LITH) initiative which is a collaborative effort between organizations in the Industrial Heartland to keep residents informed about issues regarding industrial development. As part of this support FAP served as LITH Chair for 2012.

For more information, go to [www.fortair.org](http://www.fortair.org).

## **Lakeland Industry and Community Association (LICA)**

### **Monitoring Programs Overview**

In 2012, the LICA airshed monitoring network consisted of 4 continuous monitoring stations, 26 passive monitoring stations, 2 volatile organic compound and polycyclic aromatic hydrocarbon samplers, and 3 soil acidification monitoring plots.

### **Soil Acidification Impacts**

Since 2010, LICA has been identifying suitable locations for long-term soil acidification sampling plots. LICA's 2007 Potential Acidification Impacts study provided a means for targeting potential monitoring sites because it compiled information about sensitive soil locations as well as current levels of exposure to acidic deposition. Modeled after AESRD's protocol for long term soil monitoring, the new sites are intended to provide insight on the spatial variation of soil acidification across the region. The last of the three sites was established in 2012 south west of Tucker Lake in a 'high potential acidification effects' area near in situ thermal oil sands operations. In 2014, LICA intends to return to the site established in 2010 at Moose Lake Provincial Park to resample; the results of the 2014 sampling event will be compared to the soil analyses from 2010 and should provide insight on any potential soil acidification impacts. Similar comparisons will be made in 2015 when LICA returns to the Whitney Lakes Provincial Park soil plot and in 2016 when LICA returns to the Tucker Lake soil plot.

### **Regional Environmental and Surface Water Acidification Impacts**

In 2007, an exploratory study was conducted in the LICA area to assess the levels of deposition of acidic and acidifying substances, and to assess their potential impacts on the environment in general and specifically surface waters. The effects of potential emissions of oxides of nitrogen (NO<sub>x</sub>) and sulphur dioxide (SO<sub>2</sub>) on acid deposition in the LICA region were examined. In 2012, the LICA Airshed updated the 2007 study which included recalculating acid deposition based on new data collected by Airshed monitoring network and other sources. Trend analysis over time was also examined in the 2012 update and similar to the 2007 study, the potential acidification impacts on surface water was also inferred. Some general observations were noted in acid deposition:

- Acid deposition estimates showed temporal and spatial variability
- At all monitoring locations, potential acid input decreased between 2003 and 2011
- Deposition was higher in winter than in summer.

Some general observations were noted in surface water acidification:

- Most study lakes were assessed as having high buffering capacity.
- A few lakes bordering the LICA area with small surface areas had higher sensitivity to acidification.

In 2013, LICA will be working on developing a monitoring action plan to address the findings in the updated study.

### **Improving VOC and PAH Sampling and Analyses**

Over the past 5 years, the LICA Airshed Zone has been conducting VOC and PAH sampling at selected monitoring locations. The introduction of this type of monitoring to the network was largely in response to air quality concerns regarding emissions from an expanding cold heavy oil production (CHOP) sector. In late 2012, LICA switched its analytical service provider to a laboratory that can provide improved low-level detection of speciated hydrocarbons. This change, along with the addition of a methane/non-methane analyzer which will be used to 'trigger' VOC samples during high concentration non-methane events, will greatly improve the robustness of LICA's hydrocarbon monitoring program.

### **Education and Outreach**

As in 2012, the LICA Airshed Zone's 2013 showpiece public education and outreach event was the 'Green Your Ride' vehicle emissions testing clinic. The clinic included free tests of tailpipe emissions, tire pressure, and the vehicle's gas cap seal. Nearly 60 vehicles were tested during the half-day event, and drivers were provided with insight regarding the 'environmental performance' of their vehicle.

### **Policy**

In 2012, LICA participated in several meetings and workshops hosted by AESRD regarding the future of environmental monitoring in Alberta. The most immediate changes that LICA sees happening in 2013 and 2014 that will have a direct impact on our organization include the transition of responsibility for monitoring to an arm's length commission, implementation of the Joint Oil Sands Monitoring Plan (JOSMP), and funding allocations for the monitoring program and particularly JOSMP. LICA recognizes that the process is still in the early stages of planning and transition, but LICA intends to continue its involvement with this process and be fully engaged during its evolution.

For more information, go to [www.lica.ca](http://www.lica.ca).

## **Palliser Airshed Society (PAS)**

2012 has been a challenging year for PAS. Our funding drive was less productive than expected. Extra effort was put into membership improvement and an aggressive collection campaign; however a shortage of funding was the reality. A grant from AESRD was slow to be awarded which contributed to financial uncertainty.

Program adjustments had to be made; the operation of the rover station was cut for 2012.

In recognition of decreasing funding the PAS Board implemented a plan to increase awareness of air quality and the value of the organization. A communications consultant was contracted in July to increase connection with the communities in the region, as well as current and possible stakeholders. PAS has developed communications on twitter, Facebook and flickr. Monthly newsletters and fact sheets have been developed. Numerous open house and trade shows have been booked. Promotional supplies for AQHI and a survey for air quality literacy have been developed. PAS will be piggy backing communications with other regional organizations such as PRAXIS and SEAWA. Updates to the PAS website are ongoing.

PAS has plans for expanding the region west to the BC border. This makes sense from an air monitoring point of view, and it may enhance the possibility of developing sustainable funding. The first phase of the plan will be to include the Lethbridge air monitoring station into the PAS network. The second phase will be to step up communications with municipalities, potential industry stakeholders, ENGOs and

people of interest in the expanded region. The third step will be to include people and organizations from the expanded region into a larger PAS organization. Implementation of an expanded monitoring program is the target.

For more information, go to [www.palliserairshed.com](http://www.palliserairshed.com).

## **Parkland Airshed Management Zone (PAMZ)**

2012 marked the fifteenth anniversary of the Parkland Airshed Management Zone and the thirteenth year of operation of its Air Quality Monitoring (AQM) Program.

The Martha Kostuch Portable AQM Station supported a number of air quality investigations, including odour concerns in the Hamlet of Mirror and issue follow-up monitoring in Delburne. The David McCoy Portable AQM Station supported returned to the City of Lacombe for the first time since 2005, to characterize current air quality and assess any trends.

Replacement of the monitoring network's aging data acquisition and control systems was completed with installation of new systems in PAMZ's two portable stations.

On June 6, PAMZ, working with partnership organizations AESRD, The City of Red Deer, NOVA Chemicals and Parkland Mall held a motor vehicle emissions testing clinic on Clean Air Day. It was the first such clinic for PAMZ since it hosted a series of Environment Canada "Let's Drive Green" clinics over five years ago. The event was a success and will be run again in 2013.

Late in 2012, monitoring began at a temporary candidate location in the Lancaster subdivision of Red Deer. This monitoring is part of an initiative to establish a second permanent monitoring station in the city and plan for the future of the current site which has been collecting data alongside Riverside Drive since 2001.

The 2009-11 Canada Wide Standards Assessment conducted by AESRD and released in late 2012 found the Red Deer station's PM2.5 levels were above the Exceedance Trigger under the CASA PM and Ozone Framework. Starting in 2013, AESRD will begin working with local stakeholders, especially PAMZ, to develop a plan to reduce particulate matter concentrations.

For more information, go to [www.pamz.org](http://www.pamz.org).

## **Peace Airshed Zone Association (PAZA)**

PAZA entered 2012 in a position of strength. In the previous year, the multi-stakeholder Board of Directors approved a new funding formula to position PAZA for sustainable funding. Both required and voluntary industry, municipalities, and stakeholders contributed financially to the purpose and support of PAZA.

The early months of 2012 were spent planning and organizing Grande Prairie's first ever Emissions Clinic. This event was held over a two day period (June 5-6) where we saw over 100 vehicles at the clinic evaluated. There was much to learn as we continue our efforts to educate and engage non-point

sources, the City and residents of Grande Prairie and area. PAZA thanks AESRD for their grant support of this project.

Mid-year, PAZA experienced some down-time due to a change in staff, which resulted in a shift in priorities and scheduled activities. New staff was hired and trained and PAZA is resuming efforts to grow public awareness of Air Quality monitoring and the role each sector of the community plays.

PAZA was approached by one of our industry members, Long Run Exploration Ltd., to partner with them in the design, construction and installation of a new air quality monitoring station in the community of Falher. This is a proactive and voluntary initiative in the vicinity of an area that is currently experiencing public distrust of industry action and development. This is an excellent example of multi-stakeholder collaboration. As part of this initiative, PAZA also participated in an Open House in the area to raise awareness of Air Quality and our role in it. Residents in this area, of the Peace River Oil Sands Development, continue to contact PAZA for information and advice on responding to and addressing air quality concerns. PAZA supports the recent formation of the CASA Odour Working Group and we hope the work of this group will examine and look at odour management in this area and throughout the province.

PAZA continues to promote public awareness of (AQHI). With the expansion of AQHI monitoring to the rover station in 2012, we hope to commence AQHI reporting in communities of rover monitoring, early this year. PAZA's plans to conduct a full Network Assessment were stalled due to lack of sufficient resources and staff changes. Plans for the Network Assessment have commenced with anticipated completion by the end of 2013. This strongly positions PAZA to move forward with the continued implementation of Alberta's enhanced Air Quality Management System.

For more information, please visit [www.paza.ca](http://www.paza.ca)

## **West Central Airshed Society (WCAS)**

The West Central Airshed Society is now in its eighteenth year of operations. WCAS continues to operate twelve continuous air monitoring stations and fourteen passive sites. In 2012 the WCAS Board decided to decommission the Hightower air monitoring station. This was not an easy decision as the station provided background data for many years. The deciding factors were related to the unreliability of the off grid power systems and the high cost of operating the station. AESRD agreed with the Board decision to designate the Steeper air monitoring station as the NAPS station. Steeper will be the new background station. The Steeper station data has been very similar to the Hightower station with the exception of ozone data. The Hightower location was at a much higher elevation than the Steeper station.

WCAS continues to participate in a number of regional and provincial initiatives. A great deal of time has been devoted to the Capital Region / Industrial Heartland Multi-stakeholder Air Forum steering Committee, the Capital Airshed Partnership ( PM and Ozone Management), the Alberta Airshed Council and the CASA Joint Steering Committee. WCAS is committed to participate in the development of the future of air quality monitoring and management in the province.

WCAS continued to support a special ozone monitoring program in the Capital region. Three continuous monitoring stations with ozone and NOx analyzers plus meteorological equipment were operated, in Barrhead, New Serepta and Sedgewick. The Barrhead and New Serepta stations also sampled VOC's for the summer months in 2012.

Declining financial support continues to challenge the sustainability of the monitoring program. Under the current funding mechanism WCAS can only plan to continue for two more years. This is a result of reduction of emissions, the rapid pace of tracking facility acquisitions, and the nature of voluntary contributions from most emitters in the region.

For more information, go to [www.wcas.ca](http://www.wcas.ca).

## Wood Buffalo Environmental Association (WBEA)

2012 was another year of evolution and growth for the Wood Buffalo Environmental Association. This year was the first full year of in-house air network operation/maintenance. We welcomed one new WBEA member, and hired one junior air technical staff member. Among the notable achievements were:

- WBEA published the peer-reviewed text book "Alberta Oil Sands: Energy, Industry and the Environment." The 496 page book comprises 19 chapters authored by the WBEA team of international scientists. The book (<http://www.elsevier.com/books/alberta-oil-sands/percy/978-0-08-097760-7#>) includes content on air quality, specialized ppt level simultaneous RSC/VOC measurement, forest health, dispersion modeling, Hg, Pb, S, N isotope tracers for fate of emissions, and natural, fixed, mobile, fugitive source apportionment through receptor modeling.
- WBEA was heavily engaged with both governments in planning/execution under the air component of the Canada-Alberta Joint Plan for Implementation of Oil Sands Monitoring
- Two new permanent forest health monitoring plots were installed bringing the network to 25 across a spatial gradient of pollutant mixtures. Five plots are now equipped with 30 meter tall continuous meteorological towers operated on solar power with satellite data uplink. This network, when completed, will give WBEA capacity to directly link cause and effect.
- Eighteen new forest edge, early warning plots were established.
- WBEA continued to work cooperatively with Environment Canada in continuous ambient mercury (2 stations), continuous BTEX/VOC (1 station), and wet/dry PAC (3 stations) measurements.
- WBEA completed an external expert scientific assessment of its air monitoring network, completed by former managers of Environment Canada/US EPA national networks. Member engagement followed with prioritization of network enhancements going forward.
- WBEA completed a follow-on PM workshop with technical experts/members leading to a plan for expanded and specialized PM monitoring including the need for more chemical speciation for source apportionment purposes.
- WBEA continued, with active collaboration from AESRD, to digitally stream hourly the AQHI values from 4 stations onto its web, the headquarters building, and several locations in town.
- WBEA launched its AQHI app developed in house for members and the public.
- WBEA increased its provincial and national outreach through regular newsletters, community reports, and national events.
- WBEA moved its main server to the highly secure Q9 facility in Calgary, and installed two new back-up servers.
- WBEA developed software interfaces to its PI data historian to enable members to gain instant access to all current/historical integrated data such as PAH, VOC's, metals etc. The system will be moved over to the public web side in 2013.
- WBEA data processing/management specialists improved internal Doc-It and other in-house developed DMS to improve efficiency/documentation in operations, including at remote locations.

- WBEA purchased and equipped one new continuous monitoring station, and one portable station.
- All continuous historical 1-hour, and 5-minute data were entered into the PI database.
- Overall network performance for the 15 stations in 2012 averaged 98.5% in 2012, with many months being above 99%.
- WBEA provided constructive feedback to CASA to improve on detection and precision levels when submitting data to the CASA Data Warehouse.
- WBEA attended meetings, and actively participated in the Alberta Airsheds Council.

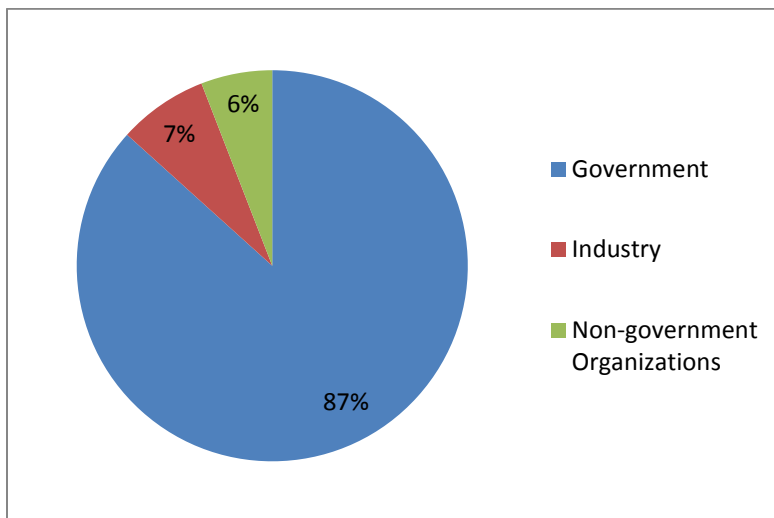
For more information, go to <http://wbea.org>.

## Funding

Core operations of CASA were supported by a financial contribution from Alberta Energy. Industry, government and non-government organizations provided additional funding and in-kind support for CASA projects.

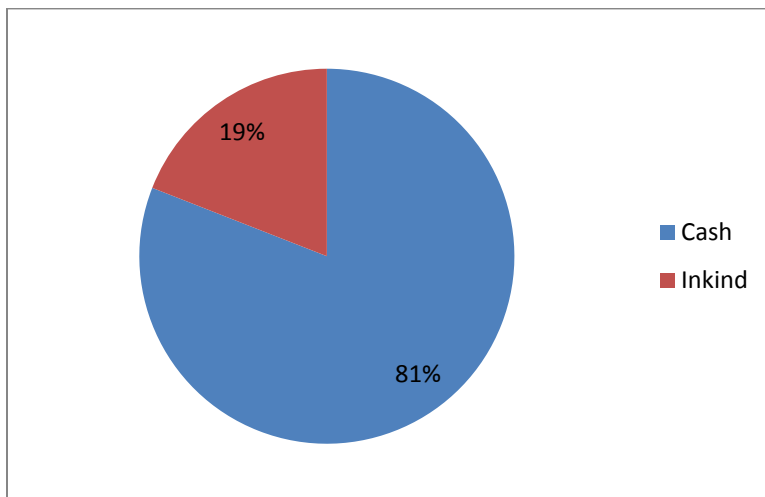
A dollar figure has been placed on the support and assistance provided by each sector, including both cash and in-kind contributions. In-kind contributions include time spent in meetings, time spent preparing for meetings, and travel costs. A dollar figure representing the time and resources that each sector invests in CASA can not accurately depict the true value of stakeholder contributions. However, these figures are presented here in order to acknowledge and recognize our partners' involvement in CASA.

### Cash and In-kind Contributions by Stakeholder Group



Government	\$1,056,845.93
Industry	\$90,500.00
NGO	\$71,850.00
<b>Total</b>	<b>\$1,219,195.93</b>

### Total Cash and In-kind Contributions



Cash	\$986,783.43
In-Kind	\$232,412.50
<b>Total</b>	<b>\$1,264,175.00</b>



## The Organizations

Without the help of the many organizations who support those sitting at the board table and/or on project teams. Thanks to these organizations providing financial and in-kind contributions of time and expertise, ensuring a CASA's continuing success.

### In-kind and Financial Support for 2012

Agrium Inc.

Alberta Agriculture and Rural Development
Alberta Association of Municipal Districts & Counties
Alberta Beef Producers
Alberta Capital Airshed Alliance
Alberta Cattle Feeders/Alberta Beef
Alberta Energy
Alberta Environment & Sustainable Resource Development
Alberta Forest Products Association
Alberta Hatching Egg Producers
Alberta Health
Alberta Health Services
Alberta Health Services-Calgary Zone
Alberta Milk
Alberta Motor Association
Alberta Pork
Alberta Urban Municipalities Association
ATCO Power Canada Ltd.
Balancing Pool
Bert Riggall Environmental Foundation
Calgary Region Airshed Zone (CRAZ)
Canadian Association of Petroleum Producers (CAPP)
Canadian Fuels Association (formerly the The Canadian Petroleum Products Institute)
Canadian Natural Resources Limited.
Capital Power Corporation
Chemistry Industry Association of Canada (CIAC)
COPD & Asthma Network of Canada
Devon Canada Corporation
Energy Resources Conservation Board
ENMAX
Environment Canada
EPCOR
Fort Air Partnership
Graymont Western Canada Inc.
Health Canada
Health Canada Alberta Region
Imperial Oil Limited
Intensive Livestock Working Group

Kamps Dairy Ltd.
Lafarge Canada Inc.
Lakeland Industry & Community Association (LICA)
Lehigh Cement
Matthew Dance Consulting
Metis Settlements General Council
Mewassin Community Council
NOVA Chemicals Corporation
Oasis Energy
PAMZ Parkland
Palliser Airshed Zone
Parkland Airshed Management Zone
Peace Airshed Zone Association
Pembina Institute
Petro Canada
Petroleum Services Association of Canada
Prairie Acid Rain Coalition
Samson Cree Nation
Shell Canada Energy
Shell Scotford Manufacturing
Small Explorers and Producers Association of Canada (SEPAC)
Southern Alberta Group for the Environment
Suncor
The City of Calgary
The City of Edmonton
The Lung Association, AB & NWT
The Pembina Institute
The Town of High River
Toxics Watch Society of Alberta
TransAlta Corporation
TransCanada
TransCanada Transmission
West Central Airshed Society
Wild Rose Agricultural Producers

# Hawkings Epp Dumont LLP

Chartered Accountants

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## 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, 2012, December 31, 2011, and January 1, 2011 and the statements of operations and changes in fund balances and cash flows for the years 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, 2012, December 31, 2011, and January 1, 2011 and the results of its operations and its cash flows for the years ended December 31, 2012 and December 31, 2011 in accordance with Canadian accounting standards for not-for-profit organizations.



Edmonton, Alberta  
February 21, 2013

HAWKINGS EPP DUMONT LLP  
Chartered Accountants

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## THE CLEAN AIR STRATEGIC ALLIANCE ASSOCIATION

## STATEMENT OF FINANCIAL POSITION

## AS AT

## ASSETS

	<u>Core</u>	<u>External Projects</u>	<u>December 31 2012</u>	<u>December 31 2011</u>	<u>January 1 2011 (Note 2)</u>
Current Assets					
Cash and cash equivalents (Note 4)	\$ 1,000,574	\$ 191,784	\$ 1,192,358	\$ 1,279,536	\$ 1,373,294
Accounts receivable (Note 5)	9,068	2,333	11,401	12,782	28,948
Interfund receivable (payable)	(5,985)	5,985	-	-	-
Prepaid expenses	<u>3,260</u>	<u>-</u>	<u>3,260</u>	<u>5,136</u>	<u>4,611</u>
	1,006,917	200,102	1,207,019	1,297,454	1,406,853
Tangible Capital Assets (Note 6)	4,918	7,282	12,200	13,068	5,229
Intangible Assets (Note 7)	<u>6,073</u>	<u>29,479</u>	<u>35,552</u>	<u>31,975</u>	<u>31,455</u>
	<u>\$ 1,017,908</u>	<u>\$ 236,863</u>	<u>\$ 1,254,771</u>	<u>\$ 1,342,497</u>	<u>\$ 1,443,537</u>

## LIABILITIES AND FUND BALANCES

Current Liabilities					
Accounts payable and accrued liabilities	\$ 52,473	\$ 18,356	\$ 70,829	\$ 57,994	\$ 38,537
Deferred contributions (Note 8)	<u>574,284</u>	<u>181,746</u>	<u>756,030</u>	<u>859,299</u>	<u>1,005,778</u>
	626,757	200,102	826,859	917,293	1,044,315
Long-term Liabilities					
Deferred contributions - tangible capital and intangible assets (Note 9)	<u>10,990</u>	<u>36,761</u>	<u>47,751</u>	<u>45,043</u>	<u>19,061</u>
	<u>637,747</u>	<u>236,863</u>	<u>874,610</u>	<u>962,336</u>	<u>1,063,376</u>
Fund Balances					
Internally restricted (Note 3 (b))	290,000	-	290,000	290,000	290,000
Unrestricted					
Invested in tangible capital assets	-	-	-	-	17,630
Available for operations	<u>90,161</u>	<u>-</u>	<u>90,161</u>	<u>90,161</u>	<u>72,531</u>
	<u>380,161</u>	<u>-</u>	<u>380,161</u>	<u>380,161</u>	<u>380,161</u>
	<u>\$ 1,017,908</u>	<u>\$ 236,863</u>	<u>\$ 1,254,771</u>	<u>\$ 1,342,497</u>	<u>\$ 1,443,537</u>

## ON BEHALF OF THE BOARD:

\_\_\_\_\_ Director

\_\_\_\_\_ Director

**THE CLEAN AIR STRATEGIC ALLIANCE ASSOCIATION**  
**STATEMENT OF OPERATIONS AND CHANGES IN FUND BALANCES**  
**FOR THE YEARS ENDED DECEMBER 31, 2012**

	<u>Core</u>	<u>External Projects</u>	<u>Total 2012</u>	<u>2011</u>
Revenue				
Grants (Note 8)	\$ 974,390	\$ 96,579	\$ 1,070,969	\$ 1,063,643
Other Income	5,932	-	5,932	-
Amortization of deferred contributions - tangible capital assets and intangible assets (Note 9)	4,710	11,665	16,375	15,185
Interest	<u>13,416</u>	<u>726</u>	<u>14,142</u>	<u>14,227</u>
	<u>998,448</u>	<u>108,970</u>	<u>1,107,418</u>	<u>1,093,055</u>
Expenses (Schedule 1)				
Projects	384,453	-	384,453	314,437
General and administrative	393,265	-	393,265	389,703
Board support	100,583	-	100,583	142,168
Communications	99,848	-	99,848	136,285
Other	20,299	-	20,299	3,251
External projects	<u>-</u>	<u>108,970</u>	<u>108,970</u>	<u>107,211</u>
	<u>998,448</u>	<u>108,970</u>	<u>1,107,418</u>	<u>1,093,055</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 YEARS ENDED DECEMBER 31, 2012

	<u>2012</u>	<u>2011</u>
Operating Activities		
Excess of revenues over expenses	\$ -	\$ -
Items not affecting cash:		
Amortization of tangible capital assets	4,710	2,925
Amortization of intangible assets	11,665	12,260
Amortization of deferred contributions - tangible capital assets and intangible assets	<u>(16,375)</u>	<u>(15,188)</u>
	-	(3)
Change in non-cash working capital balances related to operations:		
Decrease in accounts receivable	1,381	16,166
Decrease in prepaid expenses	1,876	(525)
Increase (decrease) in accounts payable and accrued liabilities	12,834	19,464
Increase (decrease) in deferred contributions	<u>(103,269)</u>	<u>(146,479)</u>
	<u>(87,178)</u>	<u>(111,377)</u>
Financing Activities		
Deferred contributions received - tangible capital assets and intangible assets	<u>19,083</u>	<u>41,170</u>
Investing Activities		
Purchase of tangible capital assets and intangible assets	<u>(19,083)</u>	<u>(23,551)</u>
Change in Cash and Cash Equivalents During the Year	(87,178)	(93,758)
Cash and Cash Equivalents, Beginning of Year	<u>1,279,536</u>	<u>1,373,294</u>
Cash and Cash Equivalents, End of Year	<u>\$ 1,192,358</u>	<u>\$ 1,279,536</u>
Additional Cash Flow Information:		
Interest received	<u>\$ 14,142</u>	<u>\$ 14,226</u>

**THE CLEAN AIR STRATEGIC ALLIANCE ASSOCIATION**

**NOTES TO FINANCIAL STATEMENTS**

**DECEMBER 31, 2012**

**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. ADOPTION OF ACCOUNTING STANDARDS FOR NOT FOR PROFIT ORGANIZATIONS**

Effective January 1, 2012 the Association adopted the requirements of the Canadian Institute of Chartered Accountants ("CICA Handbook"), electing to adopt the new accounting framework: Canadian accounting standards for not-for-profits ("ASNPO"). The Association's first reporting period using ASNPO is for the year ended December 31, 2012. As a result, the date of transition to ASNPO is January 1, 2011. The Association previously presented its financial statements using the Canadian generally accepted accounting principles ("CGAAP") annually to December 31st of each fiscal year up to, and including, December 31, 2011.

The adoption of ASNPO has had no impact on the previously reported assets, liabilities, or net assets of the Association, and accordingly no adjustments have been recorded in the comparative statement of financial position, statement of operations, statement of net assets, or statement of cash flows. The Association's disclosures included in these financial statements reflect the new disclosure requirements of ASNPO.

**3. ACCOUNTING POLICIES**

The financial statements have been prepared on a fund accounting basis using the deferral method of accounting for contributions in accordance with ASNPO 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.

(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.

(CONT'D)

**THE CLEAN AIR STRATEGIC ALLIANCE ASSOCIATION**

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

**DECEMBER 31, 2012**

**3. ACCOUNTING POLICIES (CONT'D)**

(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.

(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.

(CONT'D)



## THE CLEAN AIR STRATEGIC ALLIANCE ASSOCIATION

## NOTES TO FINANCIAL STATEMENTS (CONT'D)

DECEMBER 31, 2012**3. ACCOUNTING POLICIES (CONT'D)**

## (i) Financial Instruments

The Association initially measures its financial assets and financial liabilities at fair value. The Association subsequently measures all of its financial assets and financial liabilities at amortized cost. Changes in fair value are recognized in the statement of operations in the period incurred.

Financial assets measured at amortized cost include cash, cash equivalents, short-term investments, and accounts receivable.

Financial liabilities measured at amortized cost include accounts payable and accrued liabilities.

**4. CASH AND CASH EQUIVALENTS**

	December 31 <u>2012</u>	December 31 <u>2011</u>	January 1 <u>2011</u>
Guaranteed Investment Certificates	\$ 910,697	\$ 1,110,155	\$ 63,839
Operating accounts	176,260	118,796	124,070
Savings accounts	<u>105,401</u>	<u>50,585</u>	<u>1,185,385</u>
	<u>\$ 1,192,358</u>	<u>\$ 1,279,536</u>	<u>\$ 1,373,294</u>

Guaranteed Investment Certificates bear interest at rates ranging from 0.90% - 1.4% (2011 - 1.15% - 1.51%) and mature between February 17, 2013 and September 4, 2013.

**5. RECEIVABLES**

	December 31 <u>2012</u>	December 31 <u>2011</u>	January 1 <u>2011</u>
Accrued interest	\$ 5,709	\$ 7,265	\$ 50
Goods and Services Tax	5,692	5,517	9,581
Grants	<u>-</u>	<u>-</u>	<u>19,317</u>
	<u>\$ 11,401</u>	<u>\$ 12,782</u>	<u>\$ 28,948</u>

**6. TANGIBLE CAPITAL ASSETS**

	<u>Cost</u>	<u>Accumulated Amortization</u>	December 31 <u>2012</u>	December 31 <u>2011</u>	January 1 <u>2011</u>
Computer equipment	\$ 46,392	\$ 37,015	\$ 9,377	\$ 9,037	\$ 5,199
Furniture and equipment	<u>8,819</u>	<u>5,996</u>	<u>2,823</u>	<u>4,031</u>	<u>30</u>
	<u>\$ 55,211</u>	<u>\$ 43,011</u>	<u>\$ 12,200</u>	<u>\$ 13,068</u>	<u>\$ 5,229</u>

## THE CLEAN AIR STRATEGIC ALLIANCE ASSOCIATION

## NOTES TO FINANCIAL STATEMENTS (CONT'D)

DECEMBER 31, 2012

## 7. INTANGIBLE ASSETS

	<u>Cost</u>	<u>Accumulated Amortization</u>	<u>December 31 2012</u>	<u>Net Book Value December 31 2011</u>	<u>January 1 2011</u>
Website	\$ 14,582	\$ 8,509	\$ 6,073	\$ 8,676	12,395
Data warehouse	<u>44,744</u>	<u>15,265</u>	<u>29,479</u>	<u>23,299</u>	<u>19,060</u>
	<u>\$ 59,326</u>	<u>\$ 23,774</u>	<u>\$ 35,552</u>	<u>\$ 31,975</u>	<u>31,455</u>

## 8. DEFERRED CONTRIBUTIONS

## (a) Core Fund

During the year, the Association received grants totaling \$850,000 (2011 - \$850,000) from the Province of Alberta. 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>2012</u>	<u>2011</u>
Balance, Beginning of Year	\$ 698,674	\$ 833,995
Grants received and receivable during the year	850,000	850,000
Transfer to deferred contributions - tangible capital assets and intangible assets	-	(22,345)
Revenue recognized to cover expenses during the year	<u>(974,390)</u>	<u>(962,976)</u>
Balance, End of Year	<u>\$ 574,284</u>	<u>\$ 698,674</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>2012</u>	<u>2011</u>
Balance, Beginning of Year	\$ 160,625	\$ 171,783
Grants received and receivable during the year	136,783	108,334
Transfer to deferred contributions - tangible capital assets and intangible assets	(19,083)	(18,825)
Transfer to internal projects	-	-
Revenue recognized during the year	<u>(96,579)</u>	<u>(100,667)</u>
Balance, End of Year	<u>\$ 181,746</u>	<u>\$ 160,625</u>

**THE CLEAN AIR STRATEGIC ALLIANCE ASSOCIATION**

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

**DECEMBER 31, 2012**

**9. DEFERRED CONTRIBUTIONS RELATED TO TANGIBLE CAPITAL ASSETS AND INTANGIBLE ASSETS**

Deferred contributions related to 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>2012</u>	<u>2011</u>
Balance, Beginning of Year	\$ 15,700	\$ -
Transfer from internal deferred revenue (Note 8)	-	22,345
Less: amounts recognized during the year	<u>(4,710)</u>	<u>(6,645)</u>
Balance, End of Year	<u>\$ 10,990</u>	<u>\$ 15,700</u>

(b) External Projects Fund

	<u>2012</u>	<u>2011</u>
Balance, Beginning of Year	\$ 29,343	\$ 19,061
Transfer from external deferred revenue (Note 8)	19,083	18,825
Less: amounts recognized during the year	<u>(11,665)</u>	<u>(8,543)</u>
Balance, End of Year	<u>\$ 36,761</u>	<u>\$ 29,343</u>

**10. 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.

**11. FINANCIAL INSTRUMENTS**

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, 2012.

*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 extensive budgeting and maintaining investments that may be converted to cash in the near-term if unexpected cash outflows arise.

**12. BUDGET FIGURES**

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

**13. COMPARATIVE FIGURES**

Certain comparative figures have been reclassified to conform with the current year's presentation.

# DRAFT CASA 2012 Annual Report

## THE CLEAN AIR STRATEGIC ALLIANCE ASSOCIATION

Schedule 1

### SCHEDULE OF EXPENSES BY OBJECT

#### FOR THE YEARS ENDED DECEMBER 31, 2012

	<u>2012</u> (Budget) (Note10)	<u>2012</u> (Actual)	<u>2011</u> (Actual)
Supplies and Services			
Travel	\$ 47,661	\$ 47,702	\$ 58,776
Computer equipment	36,445	29,419	31,244
Meetings	34,964	28,597	16,526
Stakeholder honoraria	38,270	26,449	19,374
Printing	30,432	25,119	13,257
Amortization of intangible assets	-	11,665	12,260
Telecommunications	8,100	7,006	6,821
Subscriptions	7,000	6,825	8,854
Office supplies	6,600	6,359	7,069
Stakeholder development	5,125	4,984	1,083
Amortization of property and equipment	-	4,710	2,925
Insurance	3,885	3,894	3,868
Advertising	5,000	3,312	4,374
Bank charges	2,100	2,105	1,945
Records storage	2,000	2,079	1,549
Furniture and equipment	6,000	1,826	7,288
Courier	1,935	1,240	2,147
	<u>235,517</u>	<u>213,291</u>	<u>199,360</u>
Professional Fees			
Consulting	308,479	220,260	218,513
Audit	8,952	9,551	9,531
	<u>317,431</u>	<u>229,811</u>	<u>228,044</u>
Human Resources			
Salaries and wages	542,616	552,229	563,383
Benefits	94,529	86,146	83,020
Staff development	17,005	16,938	13,564
Recruiting	3,000	4,528	3,254
Employee recognition	2,500	4,475	2,430
Contracted services	2,500	-	-
	<u>662,150</u>	<u>664,316</u>	<u>665,651</u>
Total Expenses	<u>\$ 1,215,098</u>	<u>\$ 1,107,418</u>	<u>\$ 1,093,055</u>

**PLACEHOLDER**

**ITEM:**            **4.1    New/Other Business**

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

**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>
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
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	Petroleum Products	Canadian Fuels Association (formerly CPPI)	<b>Cindy Christopher</b> , Manager Environmental Policy & Planning Imperial Oil Limited	<b>Brian Ahearn</b> , Vice President – Western Division Canadian Fuels Association
Industry	Mining	Alberta Chamber of Resources	<b>Peter Darbyshire</b> , Vice-President Graymont Limited	<b>Dan Thillman</b> , Plant Manager Lehigh Cement
Industry	Forestry	Alberta Forest Products Association	<b>Brian Gilliland</b> , Manager Environmental Affairs Canada Weyerhaeuser Co. Ltd.	<b>Keith Murray</b> , Director Environmental Affairs Alberta Forest Products Association
Industry	Alternate Energy		<b>David Lawlor</b> , Director Environmental Affairs ENMAX	<b>Vacant</b>
Government	Local Government – Urban	Alberta Urban Municipalities Association	<b>Tim Whitford</b> , Councillor Town of High River Alberta Urban Municipalities Association	<b>Vacant</b>
Aboriginal Government	First Nations	Samson Cree Nation	<b>Holly Johnson Rattlesnake</b> Samson Cree Nation	<b>Vacant</b>
Government	Local Government - Rural	Alberta Association of Municipal Districts & Counties	<b>Carolyn Kolebaba</b> , Vice President Reeve, Northern Sunrise County Alberta Association of Municipal Districts & Counties	<b>Tom Burton</b> , Director District 4, MD of Greenview Alberta Association of Municipal Districts & Counties
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>Neil MacDonald</b> , Acting Assistant Deputy Minister Family & Population Health Alberta Health	<b>Dawn Friesen</b> , Executive Director Health Protection Alberta Health
Government	Federal	Environment Canada	<b>Mike Norton</b> , Acting Regional Director Environment Canada	<b>Martin Van Olst</b> , Senior Analyst Environment Canada
Aboriginal Government	Métis	Métis Settlements General Council	<b>Mary Onukem</b> , Environmental Coordinator Métis Settlements General Council	<b>Vacant</b>
NGO	NGO Pollution	Pembina Institute	<b>Chris Severson-Baker</b> , Managing Director Pembina Institute	<b>Ruth Yanor</b> Mewassin Community Council
NGO	NGO Wilderness	Prairie Acid Rain Coalition	<b>David Spink</b> Prairie Acid Rain Coalition	<b>Ann Baran</b> Southern Alberta Group for the Environment
Industry	Agriculture	Alberta Beef Producers	<b>Rich Smith</b> , Executive Director Alberta Beef Producers	<b>Humphrey Banack</b> Wild Rose Agricultural Producers
NGO	Consumer Transportation	Alberta Motor Association	<b>Don Szarko</b> , Director Alberta Motor Association	<b>Vacant</b>
Industry	Utilities	TransAlta Corporation	<b>Don Wharton</b> , Vice President Sustainable Development TransAlta Corporation	<b>Jim Hackett</b> , Senior Manager, Aboriginal Relations, Health & Safety, Environment ATCO Group, Utilities
Government	Provincial Government – Environment	Alberta Environment Sustainable Resource Development	<b>Dana Woodworth</b> , Deputy Minister Alberta Environment and Sustainable Resource Development	<b>Bev Yee</b> , Assistant Deputy Minister Alberta Environment and Sustainable Resource Development
Industry	Oil & Gas – Large Producers	Canadian Association of Petroleum Producers	<b>Vacant</b>	<b>Elise Bieche</b> , Manager Canadian Association of Petroleum Producers
NGO	NGO Pollution	Toxics Watch Society of Alberta	<b>Vacant</b>	<b>Vacant</b>
Industry	Oil & Gas – Small Producers	Vacant	<b>Vacant</b>	<b>Vacant</b>

**CASA Board of Directors  
Mailing List**

<b>Member Representative</b>	<b>Alternate</b>	<b>Sector</b>
<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
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<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
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<b>Vacant</b>	<b>Vacant</b>	NGO Pollution
<b>Vacant</b>	<b>Vacant</b>	Oil & Gas – small producers

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