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APPENDIX NO. 1

STUDY TEAM
THIRD PARTY REGULATION
CANADIAN POSTAL SYSTEM

BACKGROUND
CONSULTANT REPORTS

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1. BACKGROUND CONSULTANT REPORTS

1. Postal Performance Improvement: Lessons for Canada from International Experience.
2. Lessons from Foreign Postal Services.
3. Strategic Advantage for Canada Post.
4. The National Energy Board: Its Purpose, Powers and Practices.
5. CRTC Regulatory Procedures. Report will not be completed.
6. Alberta Public Utilities Board.
7. The Energy Resources Conservation Board.
8. An Investigation into the Purpose, Powers, Policies and Practices of the Ontario Energy Board.
9. An Investigation into the Purpose, Powers and Practices of Selected Regulatory Agencies: The Canadian Transportation Commission, The National Transportation Agency.
10. The Mandate, Structure and Process of Selected Regulatory Agencies: A Study of the Canadian Radio-television and Telecommunications Commission, Canadian Transport Commission, National Transportation Agency and National Energy Board.
- 11A. Review of the Regulatory Process in the Quebec Telecommunications, Gas and Electricity Sectors.
- 11B. Le processus de réglementation pour les secteurs des télécommunications, du gaz et de l'électricité au Québec.
12. The Saskatchewan Public Utilities Review Commission.
13. The Impact of Revoking Exclusive Privilege.
14. The Canadian Postal Service: Economic Issues and Options for Third Party Regulation.

15. The Role of Public Regulation and Public Ownership of the Post Office.
16. The Economics of Competition in the Provision of Postal Service.
17. A Report on Regulatory Accounting for Postal Rate Regulation.*
18. Costing and Pricing concepts for Regulating a Multi-Product Monopoly: An Application to Canada Post.
19. The CRTC Cost Inquiry and The Practical Application of Theoretical Costing Concepts.
20. Labour Issues and Third Party Regulation of Canada Post.
21. Designing a Third Party Regulator for Canada Post Corporation: Issues and Options.
22. An Assessment of the Shareholder/Corporation Relationship: Canada Post Corporation.
23. Environmental Analysis
24. Introductory Overview on Significant Legal Considerations.
25. Third Party Regulation at Canada Post: A Survey of the Historical Experience.

*NOTE: This report is currently being revised and will be forwarded when finalized.

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STUDY TEAM
THIRD PARTY REGULATION

Reports: Studies Commissioned

<u>Author</u>	<u>Title</u>	<u>Description</u>
A. <u>International Case Studies</u>		
1. McKinsey & Company	Postal Performance Improvement: Lessons for Canada from International Experience (September 1987)	A detailed examination of postal services in the United States, the United Kingdom and Australia, with references to Canada. With appendices.
2. McKinsey & Company	Lessons from Foreign Postal Services (June 1987)	A survey examination of postal services in the United States, United Kingdom, Australia, Federal Republic of Germany, France, Sweden, the Netherlands, and Japan.
B. <u>Competitive Business Dynamics</u>		
3. William M. Mercer, Ltd.	Strategic Advantage for Canada Post (September 1987)	An exploration of the Corporation's competitive position, its preferred competitive strategy and the influence of financial flows on strategic priorities. With concepts from the works of Micheal E. Porter, Gordon Donaldson and J.W. Lorsch.
C. <u>Domestic Case Studies</u>		
4. Harvey Schwartz	The National Energy Board: Its Purpose, Powers and Practices (October 1987)	A detailed and historical review of the purposes, powers and policies of the Board. With bibliography.

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| * 5. The Trade and Transportation Group | A Review of CRTC Regulatory Procedures (October 1987) | A detailed examination of the purposes, powers and practices of the Commission. With bibliography and appendices. |
| 6. G. David Quirin | Alberta Public Utilities Board (APUB) (September 1987) | A review of the policies, practices, structure, process and purpose of the Alberta Public Utilities Board. |
| 7. G. David Quirin | The Energy Resources Conservation Board (October 1987) | A review of the policies, practices, structure, process and purpose of the Energy Resources Conservation Board in Alberta. |
| 8. Ecoanalysis and Associates (editors) | An Investigation into the Purpose, Powers, Policies, and Practices of the Ontario Energy Board (September 1987) | A detailed review of the policies, practices, structure, process and purpose of the Ontario Energy Board, with unique insights into the workings of the Board. With appendices. |
| 9. A.P. Ellison and Associates | An investigation into the purpose, powers and practices of selected regulatory agencies: The Canadian Transportation Commission, the National Transportation Agency (September 1987) | A detailed history of the Canadian Transport Commission, presented through subject matter examination, and with reference to the jurisdiction, structure and policy approaches of the Commission. Includes a section on deregulation in the transport sector, and the emergence of the new National Transportation Agency. With bibliography and appendices. |
| 10. McCarthy & McCarthy | The Mandate, Structure and Process of Selected Regulatory Agencies: A Study of the Canadian Radio-television and Telecommunications Commission, Canadian Transport Commission, National Transportation Agency and National Energy Board (September 1987) | A study on the structure and process of four regulatory agencies, with specific attention to major issues of regulatory process. |

11. Gérald Leblanc

Le processus de réglementation pour les secteurs des télécommunications, du gaz et de l'électricité au Québec (August 1987)

Part A

A detailed review of the policies, practices, structures, process and purpose of La Régie des services publics. With bibliography and appendices.

Part B

A detailed review of the policies, practices, structure, process and purpose of La Régie de l'électricité et du gaz. With bibliography and appendices.

12. R.F. Fernet,
Lobbe Technologies
Ltd.

The Saskatchewan Public Utilities Review Commission (August 1987)

A detailed review of the policies, practices, structure, process and purpose of the Commission, with particular emphasis on the circumstances leading to the phasing out of the Commission.

D. Economics

13. F. Lacasse

The Impact of Revoking Exclusive Privilege

An overview of the implications of removing Canada Post's exclusive privilege protection.

14. D. Lewis
James F. Hickling
Management
Consultants (D.
Lewis)

The Canadian Postal Service: Economic Issues and Options for Third Party Regulation

. An analysis of the economic issues related to pricing and regulation. Recommendation of appropriate costing approaches.

15. A. Kaell

The Role of Public Regulation and Public Ownership of the Post Office

An examination of the advantages and disadvantages of regulating a public monopoly, and the implications for the Post Office.

16. L.R. Christensen

The Economics of
Competition in the
Provision of Postal
Service

An analysis of the characteristics of postal markets with an emphasis on the implications of opening up the letter market to competition. U.S. studies are reviewed and the transferability of these findings to Canada, is considered.

E. Finance & Accounting

17. Thorne Ernst & Whinney

A Report on Regulatory Accounting for Postal Rate Regulation

A review of the regulatory accounting framework required for postal rate regulation, along with an assessment of CPC's capabilities in this area.

18. Daniel Hara

Costing and Pricing Concepts for Regulating a Multi-Product Monopoly: An Application to Canada Post

A review of the literature addressing costing and pricing issues for a regulated monopoly.

19. Daniel Hara

The CRTC Cost Inquiry and The Practical Application of Theoretical Costing Concepts

A review of the CRTC costing principles for telecommunications regulation in light of the theoretical costing literature.

F. Labour

20. D. Nightingale

Labour Issues and Third Party Regulation of Canada Post

A study to examine the following labour issues:

- . remuneration;
- . productivity;
- . organizational practices;
- . role of a regulator.

G. Structure

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| 21. R.J. Schultz and
D.V. Nightingale | Designing a Third Party
Regulator for Canada
Post Corporation:
Issues and Options | Analysis of the role
conflicts associated
with emplacing a
regulator. |
| 22. V. Jog | An Assessment of the
Shareholder/Corporation
Relationship: Canada
Post Corporation | A study to identify,
review and evaluate the
role of major
participants in the
managing, controlling
and monitoring of Canada
Post Corporation. |

**H. Environmental
Analysis**

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| 23. F. Thompson,
C. deLaet,
P. Padbury, and
C. Simmonds | Environmental Analysis | A future-oriented study
identifying the social,
political and
technological trends and
their impacts on the
environment for postal
operations. |
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I. Legal

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| 24. John D. Rooke | Introductory Overview
on Significant Legal
Considerations |
|-------------------|---|

J. History

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| 25. H. McLaughlin | Third Party Regulation
At Canada Post: A
Survey of the
Historical Experience
(July 1987) | A survey of past
analyses and
consideration of third
party regulation for
CPC. |
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NOTE: *Report No. 5

A final text of this report is not available.
Other related research has been used to augment
the Study Team's understanding of CRTC powers
and practices.

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APPENDIX NO. 3

STUDY TEAM
THIRD PARTY REGULATION
CANADIAN POSTAL SYSTEM

EXTERNAL BIBLIOGRAPHY

GENERAL SOURCES

3. EXTERNAL BIBLIOGRAPHY - GENERAL SOURCES

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APPENDIX NO. 2

STUDY TEAM
THIRD PARTY REGULATION
CANADIAN POSTAL SYSTEM

INTERNAL REVIEWS
AND REPORTS
(STUDY TEAM STAFF)

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2. INTERNAL REVIEWS AND REPORTS (STUDY TEAM STAFF)
1. Alternative Organization and Control Arrangements for the Postal Service.
2. A Review of CPC's Cost Base Program.
3. Cross Subsidization.
4. Economic Issues.
5. Exclusive Privilege Products and Products in which CPC has Substantial Market Power.
6. Geneology of Possibilities.
7. Historical Review.
8. Option to Explore: Postal Service Board.
9. Potential Scope for Regulatory Scrutiny.
10. Problems of Monopoly Control.
11. Product Costing at Canada Post: The Annual Cost Study.
12. Regulation: General Considerations.
13. The Pricing of Competitive Postal Services.
14. The Stamp Tax.
15. The Tradeoff Between Efficiency and Labour Stability.
16. Two Regulatory Options for CPC.