

NOTICE OF SPECIFIED PENALTY

Date of Issue: September 20, 2012

Payment Due Date: October 22, 2012

MSA File Number:	RS2010-024	Specified Penalty Amount:	\$ 7,500
Registered Entity Name:	Syncrude Canada Limited		
Reliability Standard :	CIP-001-AB-1	Self Report:	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
Requirement:	R3	Accepted Mitigation Plan:	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
Date of Referral/Self Report:	December 9, 2011	Date of Contravention:	April 12, 2010 to March 31, 2011

EVENT DETAILS

A contravention of R3 of CIP-001-AB-1 was initially self-reported by Syncrude Canada Limited ("Syncrude") on November 24, 2010. Two self-report resubmissions and mitigation plans were submitted on January 13, 2011 and March 11, 2011. The mitigation plan was certified by Syncrude as completed March 25, 2011. Subsequently, the Alberta Electric System Operator conducted a scheduled Q2 2011 compliance monitoring audit of Syncrude. The audit period was from the effective date of the standard (April 12, 2010) until March 31, 2011. The evidence provided within the audit indicated that 22 operating personnel completed an internal training course titled "Electricity Regulation Compliance Training" during March 2011. However, the submitted evidence describing this training course did not demonstrate that operating personnel received sabotage event response procedures. R3 of Alberta Reliability Standard CIP-001-AB-1 states "Each responsible entity must annually provide its operating personnel with sabotage event response procedures, including personnel to contact, for reporting sabotage events".

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of Reliability Standard CIP-001-AB-1, requirement 3. Additionally no penalty reduction regarding the previously submitted mitigation plan was made in recognition of the audit results.

MATERIAL FACTS

The material facts relied upon by the MSA include the following:

1. Syncrude's self-report sent on November 24, 2010.
2. Syncrude's self-report resubmission and mitigation plan sent on January 13, 2011 (dated January 12, 2011).
3. Syncrude's self-report resubmission and mitigation plan sent on March 11, 2011.
4. Syncrude's mitigation plan completion form sent on April 12, 2012.
5. The AESO's Alberta Reliability Standards Compliance Monitoring Audit Report dated December 9, 2011 based upon the audit evidence collected by the AESO.
6. The MSA's information request to the AESO dated April 5, 2012.
7. The AESO's April 24, 2012 response to the MSA's information request.
8. The MSA's explanation request to the AESO dated June 29, 2012.
9. The AESO's August 16, 2012 response to the MSA's explanation request.

DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* to issue a Notice of Specified Penalty where the MSA is satisfied that a person has contravened a reliability standard. Specified penalties are set out in AUC Rule 027.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a Notice of Specified Penalty or failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

In accordance with s. 5(1) of AUC Rule 027 this Notice of Specified Penalty will be made public no earlier than 30 days and no later than 45 days after issuance. The MSA will, if applicable, also post on its website the link to any decision of the AUC respecting the specified penalty.

If your organization disputes the issuance of this Notice of Specified Penalty, or if you have any other questions or comments regarding this matter, please contact the MSA compliance team at compliance@albertamsa.ca.

SIGNATURE

Signature:		Signature Date:	September 20, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: March 30, 2012

Payment Due Date: April 30, 2012

MSA File Number:	RS2011-029	Specified Penalty Amount:	\$ 3,750
Registered Entity Name:	Canadian Natural Resources Ltd.		
Reliability Standard :	PRC-001-AB-1	Self Report:	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
Requirement:	R1	Accepted Mitigation Plan:	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
Date of Referral/Self Report:	July 26, 2011	Date of Contravention:	January 13, 2011 to present

EVENT DETAILS

Canadian Natural Resources has not completed training of staff who operate protection system schemes including any RASs applicable within their system. R1 of Alberta Reliability Standard PRC-001-AB-1 states " The operating personnel of the ISO, TFO's and operators of generating units must each be familiar with the purpose and limitations of protection system schemes applied in its area.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of Reliability Standard PRC-001-AB-1, requirement 1.

MATERIAL FACTS

The material facts relied upon by the MSA include the following:

1. Canadian Natural Resources Ltd. self report to the MSA dated July 26, 2011.
2. The MSA's conditional forbearance dated September 22, 2011, to Canadian Natural Resources Ltd. pending the submission of an acceptable mitigation plan to correct the non compliance.
3. Canadian Natural Resources Ltd. mitigation plan to the MSA dated October 20, 2011.
4. The MSA's email dated February 29, 2012 requesting a mitigation plan completion form for the October 20, 2011 mitigation plan with a completion date of February 28, 2012.
5. Canadian Natural Resources Ltd updated mitigation plan and extension request submitted to the MSA dated March 12, 2012.
6. Failure to request an extension of the accepted mitigation plan as per section 4.8.3 of the MSA's Compliance Process.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	March 30, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: September 20, 2012

Payment Due Date: October 22, 2012

MSA File Number:	RS2012-009	Specified Penalty Amount:	\$ 5,000
Registered Entity Name:	Syncrude Canada Limited		
Reliability Standard :	PRC-001-AB-1	Self Report:	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
Requirement:	R1	Accepted Mitigation Plan:	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
Date of Referral/Self Report:	December 9, 2011	Date of Contravention:	January 13, 2011 March 31, 2011

EVENT DETAILS

The Alberta Electric System Operator conducted a scheduled Q2 2011 compliance monitoring audit of Syncrude Canada Limited ("Syncrude"). The audit period was from the effective date of the standard (January 13, 2011) until March 31, 2011. Syncrude provided the following documents as evidence of compliance for R1 of PRC-001-AB-1: two versions of the "Protection System Coordination Compliance Program", "RAS Training Package for Operations", "RAS Single-Line Cheat Sheet", slides of the "Electrical Distribution Training HTUPEZZ009", an "Electrical Distribution System" presentation titled "Base Plant Electrical Distribution, Protection & Operation", printed training records titled "Worker Info" and an email titled "Syncrude Training Course Descriptions". The two versions of the "Protection System Coordination Compliance Program", "RAS Training Package for Operations", and "RAS Single-Line Cheat Sheet" did not appear in the submitted training records pertaining to Syncrude's operating personnel. Additionally, the slides of the "Electrical Distribution Training HTUPEZZ009" and the "Electrical Distribution System" presentation titled "Base Plant Electrical Distribution, Protection & Operation" did not provide information related to the protection systems and RAS applicable in its area. Consequently, no information was identified and/or provided to demonstrate that operating personnel were familiar with the purpose and the limitation of protection system schemes applied in its area. R1 of Alberta Reliability Standard PRC-001-AB-1 states "The operating personnel of the ISO, TFO's and operators of generating units must each be familiar with the purpose and limitations of protection system schemes applied in its area".

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of Reliability Standard PRC-001-AB-1, requirement 1.

MATERIAL FACTS

The material facts relied upon by the MSA include the following:

1. The AESO's Alberta Reliability Standards Compliance Monitoring Audit Report dated December 9, 2011 based upon the audit evidence collected by the AESO.
2. The MSA's information request to the AESO dated April 5, 2012.
3. The AESO's April 24, 2012 response to the MSA's information request.
4. The MSA's explanation request to the AESO dated June 29, 2012.
5. The AESO's August 16, 2012 response to the MSA's explanation request.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:		Signature Date:	September 20, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: September 5, 2012

Payment Due Date: October 5, 2012

MSA File Number:	RS2012-016	Specified Penalty Amount:	\$ 5,000
Registered Entity Name:	AltaLink L.P., by its general partner AltaLink Management Ltd.		
Reliability Standard :	PRC-001-AB-1	Self Report:	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
Requirement:	R6	Accepted Mitigation Plan:	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
Date of Referral/Self Report:	May 2, 2012	Date of Contravention:	January 13, 2011 to present

EVENT DETAILS

The Alberta Electric System Operator conducted the scheduled Q3 2011 compliance monitoring audit of AltaLink L.P., by its general partner AltaLink Management Ltd. The audit period was the effective date of the standard (January 22, 2010) until June 20, 2011. For the audit period two cases of protection system changes were identified where no clarification notifications were sent:

- 0103S Goose Lake including 164L A21/L11 and 164L B21/79/L11 dated May 26, 2011;
- 899S Edgerton T3 including A87/5051/51NN/T3 (SEL) and B87/5051/51NN/T3 (GE) dated Feb 2, 2011.

R6 of Alberta Reliability Standard PRC-001-AB-1 states "Each TFO must coordinate all protection systems including existing, new and modified protection systems with adjacent TFOs, affected GFOs, affected interconnected transmission operators and the ISO.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of Reliability Standard PRC-001-AB-1, requirement 6.

MATERIAL FACTS

The material facts relied upon by the MSA include the following:

1. The AESO's Alberta Reliability Standards Compliance Monitoring Audit Report dated May 2, 2012 based upon the audit evidence collected by AESO.
2. The MSA's information request to AESO dated July 26, 2012.
3. The AESO's August 14, 2012 response to the MSA's information request.
4. Email dated August 22, 2012 from AltaLink L.P., by its general partner AltaLink to the MSA.

DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	September 5, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: November 28, 2012

Payment Due Date: December 28, 2012

MSA File Number:	RS2012-030	Specified Penalty Amount:	\$ 5,000
Registered Entity Name:	Canadian Hydro Developers Inc.		
Reliability Standard :	PRC-001-AB-1	Self Report:	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
Requirement:	R1	Accepted Mitigation Plan:	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
Date of Referral/Self Report:	October 10, 2012	Date of Contravention:	January 13, 2011 to June 30, 2011

EVENT DETAILS

The Alberta Electric System Operator (AESO) conducted a scheduled Q3 2011 compliance monitoring audit of Canadian Hydro Developers Inc. The applicable audit period with respect to PRC-001-AB-1 was the effective date of the standard (January 22, 2010; January 13, 2011 per R1) until June 30, 2011. R1 of PRC-001-AB-1 states "The operating personnel of the ISO, TFO's and operators of generating units must each be familiar with the purpose and limitations of protection system schemes applied in its area." Audit findings of the AESO indicated that training materials presented as evidence for compliance with R1 were generic and did not meet the specific requirement of ensuring familiarity with protection systems applied in the entity's area.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of Reliability Standard PRC-001-AB-1, requirement R1.

MATERIAL FACTS

The material facts relied upon by the MSA include the following:

1. The AESO's Alberta Reliability Standards Compliance Monitoring Audit Report dated September 27, 2012 based upon the audit evidence collected by AESO.

DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	November 28, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: November 28, 2012

Payment Due Date: December 28, 2012

MSA File Number:	RS2012-033 RS2012-034 RS2012-035	Specified Penalty Amount:	\$ 3,750
Registered Entity Name:	TransAlta Corporation		
Reliability Standard :	PRC-001-AB-1	Self Report:	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
Requirement:	R1 (1 of 2) R1 (2 of 2) R2	Accepted Mitigation Plan:	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
Date of Referral/Self Report:	October 10, 2012	Date of Contravention:	January 13, 2011 to June 30, 2011 January 13, 2011 to January 18, 2011 March 19, 2011 to March 21, 2011

EVENT DETAILS

The Alberta Electric System Operator (AESO) conducted a scheduled Q3 2011 compliance monitoring audit of TransAlta Corporation. The applicable audit period with respect to PRC-001-AB-1 was the effective date of the standard (January 22, 2010; January 13, 2011 per R1) until June 30, 2011. R1 of PRC-001-AB-1 states "The operating personnel of the ISO, TFO's and operators of generating units must each be familiar with the purpose and limitations of protection system schemes applied in its area." Audit findings of the AESO indicated that training materials presented as evidence for compliance with R1 were generic and did not meet the specific requirement of ensuring familiarity with protection systems applied in the entity's area.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the events were contraventions of Reliability Standard PRC-001-AB-1, requirements R1 and R2.

MATERIAL FACTS

The material facts relied upon by the MSA include the following:

1. The AESO's Alberta Reliability Standards Compliance Monitoring Audit Report dated September 27, 2012 based upon the audit evidence collected by AESO.

DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	November 28, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: November 28, 2012

Payment Due Date: December 28, 2012

MSA File Number:	RS2012-038	Specified Penalty Amount:	\$ 5,000
Registered Entity Name:	TransAlta Generation Partnership		
Reliability Standard :	PRC-001-AB-1	Self Report:	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
Requirement:	R1	Accepted Mitigation Plan:	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
Date of Referral/Self Report:	October 10, 2012	Date of Contravention:	January 13, 2011 to June 30, 2011

EVENT DETAILS

The Alberta Electric System Operator (AESO) conducted a scheduled Q3 2011 compliance monitoring audit of TransAlta Generation Partnership. The applicable audit period with respect to PRC-001-AB-1 was the effective date of the standard (January 22, 2010 ; January 13, 2011 per R1) until June 30, 2011. R1 of PRC-001-AB-1 states "The operating personnel of the ISO, TFO's and operators of generating units must each be familiar with the purpose and limitations of protection system schemes applied in its area." Audit findings of the AESO indicated that training materials presented as evidence for compliance with R1 were generic and did not meet the specific requirement of ensuring familiarity with protection systems applied in the entity's area.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of Reliability Standard PRC-001-AB-1, requirement R1.

MATERIAL FACTS

The material facts relied upon by the MSA include the following:

1. The AESO's Alberta Reliability Standards Compliance Monitoring Audit Report dated September 27, 2012 based upon the audit evidence collected by AESO.

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