

NOTICE OF SPECIFIED PENALTY

Date of Issue: May 21, 2013

Payment Due Date: June 21, 2013

MSA File Number:	RS2012-012	Specified Penalty Amount:	\$ 2,500
Registered Entity Name:	Daishowa-Marubeni International Ltd.		
Reliability Standard :	PRC-001-AB-1	Self Report:	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
Requirement:	R2.1	Accepted Mitigation Plan:	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
Date of Referral/Self Report:	July 24, 2012	Date of Contravention:	February 28, 2012

EVENT DETAILS

On February 28, 2012, Daishowa-Marubeni International Ltd. (DMI) experienced a protection system failure (G2 V/Hz trip and Auto Capacitor Bank failure). Requirement 2 of the standard indicates that in the event a protective relay or any equipment of a protection system of a generating unit that measures voltage, current or frequency from the generating unit to the AIES, fails and such failure reduces transmission system reliability, each operator of a generating unit must notify the TFO in its area and the ISO as soon as possible, but not longer than 24 hours after receiving knowledge of such failure (R2.1) and commence as soon as possible, and proceed diligently thereafter, to correct such failure (R2.2).

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that this event establishes a contravention of Reliability Standard PRC-001-AB-1, requirement 2.1.

MATERIAL FACTS

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

1. DMI self-report with mitigation plan submitted to the MSA on July 24, 2012.
2. AESO Compliance Monitoring Audit Report (audit period: April 12, 2010 – June 30, 2012) dated May 8, 2013.

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.

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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:	"Original Signed"	Signature Date:	May 21, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: May 21, 2013

Payment Due Date: June 21, 2013

MSA File Number:	RS2012-039	Specified Penalty Amount:	\$ 5,000
Registered Entity Name:	Daishowa-Marubeni International Ltd.		
Reliability Standard :	CIP-001-AB-1	Self Report:	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
Requirement:	R3	Accepted Mitigation Plan:	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
Date of Referral/Self Report:	October 21, 2012	Date of Contravention:	November 17, 2011 – June 30, 2012

EVENT DETAILS

Daishowa-Marubeni International Ltd. (DMI) initially provided its operating personnel with sabotage event response procedures in November 2010; however, AESO reliability audit findings determined there was no evidence that sabotage event procedures were subsequently provided to operating personnel between November 2010 and the end of the reliability compliance audit period (June 30, 2012). Requirement 3 (R3) of the standard states that 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.

MATERIAL FACTS

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

1. DMI self-report with mitigation plan submitted to the MSA on October 21, 2012.
2. AESO Compliance Monitoring Audit Report (audit period: April 12, 2010 – June 30, 2012) dated May 8, 2013.

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:	May 21, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: May 29, 2013

Payment Due Date: July 2, 2013

MSA File Number:	RS2012-051	Specified Penalty Amount:	\$ 2,500
Registered Entity Name:	Syncrude Canada Ltd.		
Reliability Standard :	PRC-001-AB-1	Self-Report:	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
Requirement:	R3	Accepted Mitigation Plan:	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
Date of Referral/Self Report:	December 6, 2012	Date of Contravention:	January 5, 2012 to Present

EVENT DETAILS

On January 4, 2012 the secondary protection distance relay for the transmission line connecting Syncrude's D05 substation and the Aurora G01 substation failed. While the relay failure did not result in the loss of the transmission circuit, the protection system failure was not reported to the AESO in accordance with R3 of the standard. R3.1 and R3.2 of Alberta Reliability Standard PRC-001-AB-1 indicate that the ISO should have been notified of the failure within 24 hours of detecting such failure and to commence as soon as possible and proceed diligently to correct such failure unless otherwise directed by the ISO. In this case, the failure was confirmed as a reportable event in March 2012; however, the failure was not reported to the ISO or otherwise self-reported to the MSA until December 2012.

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 3.

MATERIAL FACTS

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

1. Syncrude Canada Ltd self-report submitted to the MSA on December 6, 2012.
2. MSA request for additional information issued to Syncrude Canada Ltd. on April 30, 2012.
3. Syncrude Canada Ltd. May 6, 2013 response to the MSA information request.
4. Syncrude Canada Ltd. mitigation plan submitted to the MSA on May 14, 2013.

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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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:	"Original Signed"	Signature Date:	May 29, 2013
Name:	Doug Doll	Title:	Manager Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: March 1, 2013

Payment Due Date: April 1, 2013

MSA File Number:	RS2013-005	Specified Penalty Amount:	\$ 7,500
Registered Entity Name:	Imperial Oil Resources		
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:	February 7, 2013	Date of Contravention:	April 12, 2010 to March 31, 2012

EVENT DETAILS

A contravention of CIP-001-AB-1 (all requirements) was initially self-reported by Imperial Oil Resources (IOR) on June 30, 2010 together with a completed mitigation plan. The self-report indicated non-compliance from the effective date of the standard (April 12, 2010) to June 20, 2010. On the basis of the self-report and mitigation plan, the MSA issued a letter to Imperial Oil on July 29, 2010 indicating it would not be pursuing the matter further. Subsequently, the Alberta Electric System Operator conducted a scheduled Q2 2012 compliance monitoring audit of Imperial Oil Resources. The audit period extended from the effective date of the standard (April 12, 2010) to March 31, 2012. Compliance audit findings indicated that all operating personnel did not receive sabotage event response procedures in accordance with R3 of the standard. 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. Imperial Oil Resources self-report and mitigation plan dated June 30, 2010.
2. AESO referral dated February 7, 2013 including the AESO's Alberta Reliability Standards Compliance Monitoring Audit Report dated February 4, 2013 based upon audit testing of evidence collected by the AESO.
3. Written confirmation from the AESO that the IOR personnel listed in pages 7-9 of the audit report together with dates of initial R3 related training, were designated operating personnel as of April 12, 2010.

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:	March 1, 2013
Name:	Doug Doll	Title:	Manager Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: March 1, 2013

Payment Due Date: April 1, 2013

MSA File Number:	RS2013-011	Specified Penalty Amount:	\$ 5,000
Registered Entity Name:	Imperial Oil Resources Ventures Ltd.		
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:	February 19, 2013	Date of Contravention:	May 19, 2011 to March 12, 2012

EVENT DETAILS

The Alberta Electric System Operator conducted a scheduled Q2 2012 compliance monitoring audit of Imperial Oil Ventures Ltd. The audit period extended from the effective date of the standard (January 22, 2010; January 13, 2011 for R1) to March 31, 2012. Compliance audit findings indicated that the evidence provided to the AESO by Imperial Oil Resources Ventures Ltd. to demonstrate compliance with R1 of the standard insufficiently addressed the purpose and limitations of protection systems applied in the area. Audit findings also indicated that not all operating personnel received training applicable to R1 of the standard. 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. AESO referral dated February 19, 2013 including the AESO's Alberta Reliability Standards Compliance Monitoring Audit Report dated February 14, 2013 based upon audit testing of evidence collected by the 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:	March 1, 2013
Name:	Doug Doll	Title:	Manager Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: June 19, 2013

Payment Due Date: July 19, 2013

MSA File Number:	RS2013-013	Specified Penalty Amount:	\$ 7,500
Registered Entity Name:	Enbridge Pipelines Inc.		
Reliability Standard :	CIP-001-AB-1	Self Report:	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
Requirement:	All requirements	Accepted Mitigation Plan:	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
Date of Referral/Self Report:	October 21, 2012	Date of Contravention:	April 12 2010 – June 30, 2012

EVENT DETAILS

Enbridge Pipelines Inc. (Enbridge) self-reported non-compliance with R4.1 and R4.2 of the standard on November 23, 2010 on the basis that its internal procedures did not satisfy these requirements. On January 27, 2011, the MSA issued a notification of conditional forbearance pending the outcome of an Enbridge application to the AESO regarding applicability of CIP-001-AB-1. In correspondence with the AESO dated August 4, 2011, Enbridge withdrew its exemption request pertaining to CIP-001-AB-1. On December 19, 2011, the MSA requested confirmation from Enbridge of whether an exemption had been obtained. On January 11, 2012, Enbridge acknowledged to the MSA that an exemption had not been received from the AESO. Based upon subsequent acknowledgements from Enbridge to the MSA that the organization was in full compliance with the standard as of August 2011 and that there had been no sabotage events from the effective date of the standard to August 2011, the MSA issued a letter to Enbridge dated March 16, 2012 indicating that the matter would not be pursued further subject to there being no misrepresentation of any material fact and Enbridge meeting the terms and conditions agreed to. Subsequently, AESO reliability compliance audit findings determined that existing Enbridge procedures were non-specific in relation to the recognition and reporting of sabotage events, accordingly, the AESO suspected a contravention of all requirements of the standard for the duration of the audit period (April 12 2010 – June 30, 2012). All requirements of CIP-001-AB-1 (R1-4) require the existence of written procedures that expressly relate to the recognition and reporting of 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, all requirements.

MATERIAL FACTS

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

1. Enbridge self-report to MSA dated November 23, 2010 and related correspondence for MSA matter RS2010-023
2. Enbridge correspondence with AESO dated August 4, 2011 pertaining to exemption request.
3. Enbridge correspondence with MSA dated January 11, 2012 pertaining to status of the exemption request.
4. Enbridge correspondence with MSA dated March 1, 2012 regarding compliance status per CIP-001-AB-1.
5. Enbridge correspondence with MSA dated March 7, 2012 regarding compliance status per CIP-001-AB-1.
6. AESO Compliance Monitoring Audit Report (audit period: April 12, 2010 – June 30, 2012) dated April 19, 2013.

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:	June 19, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: September 11, 2013

Payment Due Date: October 14, 2013

MSA File Number:	RS2013-031	Specified Penalty Amount:	\$5,000
Registered Entity Name:	TransCanada Energy Ltd.		
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:	2013-07-26	Date of Contravention:	2011-01-13 – 2012-09-30

EVENT DETAILS

Pursuant to the Alberta Electric System Operator (AESO) Alberta Reliability Standards 2011 – 2014 Audit schedule, the AESO conducted a scheduled Q4 2012 compliance monitoring audit of TransCanada Energy Ltd. (TCE). The applicable audit period with respect to PRC-001-AB-1 ("the standard") extended from the effective date of the standard (January 13, 2011 per R1) to September 30, 2012. In respect of compliance measurement MR1 of the standard, the AESO randomly selected two operating personnel for verification of applicable training records. No evidence was presented by TCE to demonstrate that the selected personnel had received training in protection system schemes applied in its area. Furthermore, AESO audit findings determined that the training materials provided as evidence to support compliance with R1 did not cover the purpose and limitations of the protection schemes applied in its area. 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."

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the events were contraventions of Reliability Standard PRC-001-AB1-1, 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

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	September 11, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: December 20, 2013

Payment Due Date: January 20, 2014

MSA File Number:	RS2013-058	Specified Penalty Amount:	\$7,500
Registered Entity Name:	Alberta Power (2000) Ltd.		
Reliability Standard :	CIP-001-AB-1 / CIP-001-AB1-1	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:	2013-11-26	Date of Contravention:	2011-12-14 – 2012-12-31

EVENT DETAILS

A contravention of R3 of CIP-001-AB-1 was initially self-reported to the MSA by Alberta Power (2000) Ltd. on April 27, 2011. A revision of the initial self-report was submitted to the MSA on July 15, 2011. Pursuant to the Alberta Electric System Operator (AESO) Alberta Reliability Standards 2011 – 2014 Audit schedule, the AESO conducted a scheduled Q1 2013 compliance monitoring audit of Alberta Power (2000) Ltd. The applicable audit period with respect to CIP-001-AB-1 (“the standard”) extended from the effective date of the standard (April 12, 2010) to December 31, 2012. Based upon AESO audit findings, CIP-001-AB-1 / CIP-001-AB1-1 was contravened as follows:

- 1) Findings from the AESO compliance audit indicated a lack of evidence with respect to 13 operating personnel, to demonstrate that sabotage reporting procedures were provided annually to those personnel. R3 of the standard states the following:

R3 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/ CIP-001-AB1-1, requirement R3. Additionally, no penalty reduction regarding a mitigation plan was made in recognition of the audit results.

MATERIAL FACTS

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

1. Alberta Power (2000) Ltd. self-report and mitigation plan submitted to the MSA on April 27, 2011.
2. Alberta Power (2000) Ltd. self-report and mitigation plan resubmission to the MSA dated July 15, 2011.
3. AESO Alberta Reliability Standards Compliance Monitoring Audit Report dated November 22, 2013 based upon the findings of the AESO reliability compliance audit.
4. Additional information submitted by letter from Alberta Power (2000) Ltd. to the MSA dated December 3, 2013.
5. MSA request to the AESO dated December 17, 2013 for confirmation of evidence applicable to the suspected contravention.
6. AESO response to the December 17, 2013 MSA request for information.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	December 20, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 22, 2013

Payment Due Date: August 22, 2013

MSA File Number:	RS2013-025	Specified Penalty Amount:	\$5,000
Registered Entity Name:	Cenovus FCCL Ltd., as operator for FCCL 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:	July 5, 2013	Date of Contravention:	January 13, 2011 – June 30, 2012

EVENT DETAILS

The Alberta Electric System Operator ("AESO") conducted a scheduled Q3 2012 compliance monitoring audit of Cenovus FCCL Ltd., as Operator for FCCL Partnership ("Cenovus"). The audit period extended from the effective date of the standard (January 13, 2011 for R1) to June 30, 2012. Compliance audit findings for the defined audit period indicated that Cenovus could provide no records to demonstrate training of staff who operate the system in protection system schemes and any RASs applicable within their system. R1 states that 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. The corresponding compliance measure applicable to R1 is the availability of applicable training records indicating training of staff who operate the system in protection system schemes and any RAS applicable within their system.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event is 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. AESO referral dated July 5, 2013 including the AESO's Alberta Reliability Standards Compliance Monitoring Audit Report dated July 4, 2013 based upon audit testing of evidence collected by the 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.

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:	"Original Signed"	Signature Date:	July 22, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: September 11, 2013

Payment Due Date: October 14, 2013

MSA File Numbers:	RS2013-027, RS2013-028, RS2013-029, RS2013-030	Specified Penalty Amount:	\$10,000
Registered Entity Name:	TransCanada Energy Ltd.		
Reliability Standard :	CIP-001-AB-1	Self Report:	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
Requirement:	R1.2, R2, R3, R4.1	Accepted Mitigation Plan:	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
Date of Referral/Self Report:	2013-07-26	Date of Contravention:	2010-04-12 – 2012-07-15

EVENT DETAILS

Pursuant to the Alberta Electric System Operator (AESO) Alberta Reliability Standards 2011 – 2014 Audit schedule, the AESO conducted a scheduled Q4 2012 compliance monitoring audit of TransCanada Energy Ltd. (TCE). The applicable audit period with respect to CIP-001-AB-1 (“the standard”) extended from the effective date of the standard (April 12, 2010) to September 30, 2012. Based upon AESO audit findings, CIP-001-AB-1 was contravened in four instances as follows:

- Findings from the AESO compliance audit indicated a lack of evidence to demonstrate that TCE had procedures in place from April 12, 2010 to January 11, 2012 for receiving information regarding sabotage events affecting the Interconnection from the ISO and the Alberta Security and Strategic Intelligence Support Team (ASSIST).

R1.2 of the standard states the following:

R1 Each responsible entity must document and implement procedures for:

R1.2 Receiving information about *sabotage events* affecting the *Interconnection* from:

- o the *ISO*
- o the local municipal police service, if applicable
- o the Royal Canadian Mounted Police
- o the Alberta Security and Strategic Intelligence Support Team (ASSIST)

- Findings from the AESO compliance audit indicated a lack of evidence to demonstrate that TCE had procedures in place from April 12, 2010 to January 11, 2012 for communicating information concerning sabotage events to the ISO.

R2 of the standard states the following:

R2 Each responsible entity must document and implement procedures for communicating information concerning sabotage events to the SC.

- Findings from the AESO compliance audit indicated a lack of evidence to demonstrate that between December 22, 2010 and July 15, 2012 operating personnel were provided annually with sabotage event response procedures, including personnel to contact, for reporting sabotage events.

R3 of the standard states the following:

R3 Each responsible entity must annually provide its operating personnel with sabotage event response procedures, including personnel to contact, for reporting sabotage events.

- Findings from the AESO compliance audit indicated a lack of evidence to demonstrate that current communications contacts with the Alberta Security and Strategic Intelligence Support Team (ASSIST) were documented from April 12, 2010 to January 11, 2012.

R4.1 of the standard states the following:

R4 Each responsible entity must:

R4.1 Document sabotage event reporting procedures that identify current communications contacts with the following:

- o the local municipal police service, if applicable;
- o the Royal Canadian Mounted Police;
- o the Alberta Security and Strategic Intelligence Support Team (ASSIST)

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the events were contraventions of Reliability Standard CIP-001-AB-1, requirements R1.2, R2, R3, and R4.1.

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 September 27, 2012 based upon the audit evidence collected by AESO
2. Additional information submitted by letter from TCE to the MSA dated August 27, 2013

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 11, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services