

NOTICE OF SPECIFIED PENALTY

Date of Issue: February 18, 2014

Payment Due Date: March 20, 2014

MSA File Numbers:	RS2013-064 through RS2013-069	Specified Penalty Amount:	\$7,500
Registered Entity Name:	NOVA Chemicals Corporation		
Reliability Standard :	CIP-001-AB-1	Self Report:	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
Requirement:	R2, R3, R1.1, R4	Accepted Mitigation Plan:	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
Date of Referral/Self Report:	2013-12-20	Date of Contravention:	2010-04-12 – 2012-12-11

EVENT DETAILS

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 NOVA Chemicals Corporation (“NOVA”). 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 was contravened in the instances as follows:

- 1) Findings from the AESO compliance audit indicated that the following deficiencies in CIP-001 procedures over the following periods:
 - For NOVA as a GFO of Joffre Cogen Facility
 - a. From September 13, 2010 to December 11, 2012 the contact information for the *SC* contained in the procedures was incorrect.
 - For NOVA as TFO of the 138kV overhead line
 - b. From April 12, 2010 to November 30, 2010 the procedures in effect did not include any contact information of the *SC*.
 - c. From December 1, 2012 to December 11, 2012 the procedures in effect did not include the appropriate contact information or steps to gather information of the *SC*.

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*.

- 2) Findings from the AESO compliance audit indicated that regarding the provision of CIP-001 procedures:
 - For NOVA as a GFO of Joffre Cogen Facility
 - a. From September 13, 2010 to November 27, 2011 there was insufficient evidence to demonstrate that all applicable operating personnel were provided with sabotage event response procedures.
 - For NOVA as TFO of the 138kV overhead line
 - b. From April 12, 2010 to December 11, 2012 there was insufficient evidence to demonstrate that all applicable operating personnel had been provided with sabotage event response procedures.

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

- 3) Findings from the AESO compliance audit indicated that between April 12, 2010 and December 11, 2012 that the 138kV overhead line procedures in effect did not include sufficient information on how to recognize a sabotage event.

R1 of the standard states the following:

R1 Each responsible entity must document and implement procedures for:
R1.1 Recognizing sabotage events on its equipment.

- 4) Findings from the AESO compliance audit indicated that between April 12, 2010 and November 30, 2011, procedures in effect for the 138 kV overhead line did not include any contact information of ASSIST.

R4 of the standard states the following:

R4 Each responsible entity must:

- o **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);

NOTICE OF SPECIFIED PENALTY

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 R2, R3, R1.1, and R4. A penalty reduction has been applied in recognition of relevant self-reporting. 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. Nova Chemicals Corporation self-report and mitigation plan submitted to the MSA on November 10, 2011.
2. AESO Alberta Reliability Standards Compliance Monitoring Audit Report dated December 20, 2013 based upon the findings of the AESO reliability compliance audit.

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:	February 18, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: March 7, 2014

Payment Due Date: April 7, 2014

MSA File Number:	RS2014-012, RS2014-015, RS2014-017, RS2014-019, RS2014-021	Specified Penalty Amount:	\$7,500
Registered Entity Name:	ATCO Power Canada 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:	2014-02-24	Date of Contravention:	2010-09-13 to 2012-12-31

EVENT DETAILS

A contravention of R3 of CIP-001-AB-1 was initially self-reported to the MSA by ATCO Power Canada Ltd. on April 27, 2011. A revised 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 ATCO Power Canada 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 reliability standards compliance audit indicated the following deficiencies in CIP-001 procedures over the following periods:

As a Generating Facility Owner (GFO) of the Oldman River, Poplar Hill, Rainbow Lake 2, 4, & 5 and Valleyview 1 & 2 facilities

a. From March 7, 2011 to December 31, 2012, there was insufficient evidence to demonstrate that all applicable operating personnel were provided with sabotage event response procedures.

As a Generating Facility Owner (GFO) of the Primrose Facility

b. From December 6, 2010 to December 31, 2012, there was insufficient evidence to demonstrate that all applicable operating personnel were provided with sabotage event response procedures.

As a Generating Facility Owner (GFO) of the Muskeg Facility

c. From October 26, 2010 to December 31, 2012, there was insufficient evidence to demonstrate that all applicable operating personnel were provided with sabotage event response procedures.

As a Generating Facility Owner (GFO) of the Joffre Facility

d. From September 13, 2010 to November 27, 2011, there was insufficient evidence to demonstrate that all applicable operating personnel were provided with sabotage event response procedures.

As a Generating Facility Owner (GFO) of the Scotford Facility

e. From December 1, 2010 to December 31, 2012, there was insufficient evidence to demonstrate that all applicable operating personnel were provided with sabotage event response procedures.

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. ATCO Power Canada Ltd. self-report and mitigation plan submitted to the MSA on April 27, 2011.
2. ATCO Power Canada Ltd. self-report and mitigation plan resubmission to the MSA dated July 15, 2011.
3. AESO Alberta Reliability Standards Compliance Monitoring Audit Report dated February 13, 2014 based upon the findings of the AESO reliability compliance audit.
4. Additional information submitted to the MSA by ATCO Power Canada Ltd. dated February 27, 2014.

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 7, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: March 13, 2014

Payment Due Date: April 14, 2014

MSA File Number:	RS2014-025, RS2014-010	Specified Penalty Amount:	\$ 7,500
Registered Entity Name:	Nexen Inc.		
Reliability Standard :	CIP-001-AB-1, CIP-001-AB1-1	Self Report:	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
Requirement:	R1.2, R4.1	Accepted Mitigation Plan:	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
Date of Referral/Self Report:	2014-03-04	Date of Contravention:	2010-04-12 – 2012-12-31

EVENT DETAILS

Pursuant to the Alberta Electric System Operator (AESO) Alberta Reliability Standards 2011 – 2014 Audit schedule, the AESO conducted a scheduled Q2 2013 compliance monitoring audit of Nexen Inc.. 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 (or CIP-001-AB1-1 after December 11, 2012) was contravened in the instances as follows:

- 1) Findings from the AESO reliability standards compliance audit based on the evidence provided, indicated the following deficiencies in CIP-001 procedures over the following periods:
As a Generating Facility Owner (GFO) and Transmission Facility Owner (TFO) of the Long Lake facility
 - a. From April 12, 2010 to August 14, 2011, procedures that were in effect did not satisfy the specific requirements within R1.2 of the standard.

R1.2 of the standard states the following:

R1.2 Each responsible entity must document and implement procedures for receiving information about sabotage events affecting the Interconnection from the ISO, the local municipal police service if applicable, the Royal Canadian Mounted Police, the Alberta Security and Strategic Intelligence Support Team (ASSIST).

- 2) Findings from the AESO reliability standards compliance audit based on the evidence provided, indicated the following regarding the provision of CIP-001 procedures:
As a Generating Facility Owner (GFO) and Transmission Facility Owner (TFO) of the Long Lake facility
 - a. From April 12, 2010 to December 31, 2012, as procedures that were in effect during the relevant period did not satisfy the specific requirements within R4.1 of the standard.

R4.1 of the standard states the following:

R4.1 Each responsible entity must document sabotage event reporting procedures that identify current communications contacts with the following: the local municipal police service, if applicable; the Royal Canadian Mounted Police; 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 constitute a contravention of Reliability Standard CIP-001-AB-1 (or CIP-001-AB1-1), requirements R1.1 and R4.1. A penalty reduction has been applied in recognition of relevant self-reporting.

MATERIAL FACTS

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

1. Nexen Inc. self-report submitted to the MSA on October 26, 2010.
2. AESO Alberta Reliability Standards Compliance Monitoring Audit Report dated February 27, 2014 based upon the findings of the AESO reliability compliance audit.

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 13, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: April 17, 2014

Payment Due Date: May 20, 2014

MSA File Number:	RS2014-030 through RS2014-033	Specified Penalty Amount:	\$10,000
Registered Entity Name:	Milner Power Limited Partnership		
Reliability Standard :	CIP-001-AB-1 / CIP-001-AB1-1	Self Report:	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
Requirement:	All, R2, R3, R4	Accepted Mitigation Plan:	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
Date of Referral/Self Report:	2014-03-31	Date of Contravention:	April 12, 2010 – March 31, 2013

EVENT DETAILS

Pursuant to the Alberta Electric System Operator (AESO) Alberta Reliability Standards 2011 – 2014 Audit schedule, the AESO conducted a scheduled Q2 2013 compliance monitoring audit of Milner Power Limited Partnership (MPLP). The applicable audit period with respect to CIP-001 extended from the effective date of the standard to March 31, 2013. Based upon AESO audit findings, CIP-001 was contravened in the following instances:

- 1) CIP-001-AB-1, all requirements. From April 12, 2010 to May 30, 2010 there were no written sabotage reporting procedures in place for MPLP.

MR1 through **MR4** of the standard includes: Written procedures exist, content is complete and meets [the] requirement.
- 2) CIP-001-AB-1 / CIP-001-AB1-1, R2. From May 31, 2010 to March 31, 2013, the *SC* contact information included in the written procedure was incorrect. **R2** of the standard states:

R2 Each responsible entity must document and implement procedures for communicating information concerning sabotage events to the SC.
- 3) CIP-001-AB-1 / CIP-001-AB1-1, R3. From May 31, 2010 to December 20, 2012, there was insufficient evidence to demonstrate that operating personnel were provided with the sabotage event response procedure. **R3** of the standard states:

R3 Each responsible entity must annually provide its operating personnel with sabotage event response procedures, including personnel to contact, for reporting sabotage events.
- 4) CIP-001-AB-1 / CIP-001-AB1-1, R4.1. From May 31, 2010 to March 31, 2013, there was insufficient evidence to demonstrate that the current communications contact information was verified within the previous 12 months. **R4.1** and **MR4.1** of the standard state the following:

R4 Each responsible entity must :
 - R4.1** Document sabotage event reporting procedures that identify current communications contacts with the following:
 - the local municipal police service, if applicable;
 - the Royal Canadian Mounted Police; and
 - the Alberta Security and Strategic Intelligence Support Team (ASSIST)
MR4 Measures for this requirement are identified in the subsections below.
MR4.1 Written procedures exist, content is complete and meets the requirements of R4.1. Records indicate that the contact information was verified within the previous 12 months

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the events were contraventions of the applicable versions of Reliability Standard CIP-001, all requirements, R2, R3, and R4 respectively.

MATERIAL FACTS

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

1. AESO Alberta Reliability Standards Compliance Monitoring Audit Report dated March 27, 2014 based upon findings of the AESO Q2/2013 reliability compliance audit.

NOTICE OF SPECIFIED PENALTY

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	April 17, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: April 17, 2014

Payment Due Date: May 20, 2014

MSA File Number:	RS2014-034	Specified Penalty Amount:	\$5,000
Registered Entity Name:	Milner Power Limited Partnership		
Reliability Standard :	PRC-001-AB-1 / PRC-001-AB1-1	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:	2014-03-31	Date of Contravention:	January 13, 2011 - March 31, 2013

EVENT DETAILS

Pursuant to the Alberta Electric System Operator (AESO) Alberta Reliability Standards 2011 – 2014 Audit schedule, the AESO conducted a scheduled Q2 2013 compliance monitoring audit of Milner Power Limited Partnership (MPLP). The applicable audit period with respect to PRC-001 extended from the effective date of the standard to March 31, 2013. Based upon AESO audit findings, PRC-001 was contravened in the following instances:

- 1) PRC-001-AB-1 / PRC-001-AB1-1, R1. From January 13, 2011 up to March 31, 2013, there was insufficient evidence to demonstrate that MPLP's operating personnel were familiar with the purpose and limitations of protection system schemes applied in its area. **R1** of the standard states:

R1 The operating personnel of each of the ISO, the *operator* of a *transmission facility*, the *operator* of a generating unit and the *operator* of an *aggregated generating facility* must be familiar with the purpose and limitations of protection system schemes applied in its area

MR1 Training records are available that indicate training of staff who operate the system in protection system schemes and any RASs applicable within their system.

FINDINGS

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

MATERIAL FACTS

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

1. AESO's Alberta Reliability Standards Compliance Monitoring Audit Report dated March 27, 2014 based upon findings of the AESO Q2/2013 reliability compliance audit.

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:	April 17, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: April 23, 2014

Payment Due Date: May 23, 2014

MSA File Number:	RS2014-038 through RS2014-042	Specified Penalty Amount:	\$10,000
Registered Entity Name:	Air Liquide Canada Inc.		
Reliability Standard :	CIP-001-AB-1 / CIP-001-AB1-1	Self Report:	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
Requirement:	All, R1, R2, R3, R4	Accepted Mitigation Plan:	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
Date of Referral/Self Report:	2014-04-08	Date of Contravention:	April 12, 2010 – March 31, 2013

EVENT DETAILS

Pursuant to the Alberta Electric System Operator (AESO) Alberta Reliability Standards 2011 – 2014 Audit schedule, the AESO conducted a scheduled Q2 2013 compliance monitoring audit of Air Liquide Canada Inc. (ALC). The applicable audit period with respect to CIP-001 extended from the effective date of the standard to March 31, 2013. Based upon AESO audit findings, CIP-001 was contravened in the following instances:

- 1) CIP-001-AB-1, all requirements. From April 12, 2010 to February 28, 2011 there were no written sabotage reporting procedures in place.

MR1 through **MR4** of the standard includes: Written procedures exist, content is complete and meets [the] requirement.
- 2) CIP-001-AB1-1, R1. From March 1, 2011 up to March 31, 2013, written procedures did not include action steps in the event that information is received from one of the entities listed in R1.2. **R1** of the standard states:

R1 Each responsible entity must document and implement procedures for:
 - R1.1** Recognizing sabotage events on its equipment.
 - R1.2** Receiving information about sabotage events affecting the Interconnection from:
 - The *ISO*;
 - the local municipal police service, if applicable;
 - the Royal Canadian Mounted Police; and
 - the Alberta Security and Strategic Intelligence Support Team (ASSIST).
 - R1.3** Making its operating personnel aware of sabotage events on its equipment and sabotage events affecting the Interconnection
- 3) CIP-001-AB1-1, R2. From March 1, 2011 up to March 31, 2013, the *SC* contact information included in the written procedure was incorrect. **R2** of the standard states:

R2 Each responsible entity must document and implement procedures for communicating information concerning sabotage events to the *SC*.
- 4) CIP-001-AB1-1, R3. From March 1, 2011 to March 31, 2013, there were some operating personnel that were not provided with the sabotage event response procedure. **R3** of the standard states:

R3 Each responsible entity must annually provide its operating personnel with sabotage event response procedures, including personnel to contact, for reporting sabotage events.
- 5) CIP-001-AB1-1, R4. From March 1, 2011 to March 31, 2013, the procedures in effect did not include current contact information of ASSIST, and the contact information of ASSIST was not verified within the previous 12 months. **R4** and **MR4.1** of the standard state the following:

R4 Each responsible entity must :
 - R4.1** Document sabotage event reporting procedures that identify current communications contacts with the following:
 - the local municipal police service, if applicable;
 - the Royal Canadian Mounted Police; and
 - the Alberta Security and Strategic Intelligence Support Team (ASSIST)
 - R4.2** Implement the procedures as identified in requirement R4.1 upon the occurrence of a sabotage event.
MR4 Measures for this requirement are identified in the subsections below.
MR4.1 Written procedures exist, content is complete and meets the requirements of R4.1. Records indicate that the contact information was verified within the previous 12 months

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the events described were contraventions of the applicable versions of Reliability Standard CIP-001, all requirements, R1, R2, R3 and R4.

NOTICE OF SPECIFIED PENALTY

MATERIAL FACTS

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

1. AESO Alberta Reliability Standards Compliance Monitoring Audit Report dated April 7, 2014 based upon findings of the AESO Q2/2013 reliability compliance audit.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	April 23, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: April 23, 2014

Payment Due Date: May 23, 2014

MSA File Number:	RS2014-043	Specified Penalty Amount:	\$5,000
Registered Entity Name:	Air Liquide Canada Inc.		
Reliability Standard :	PRC-001-AB-1 / PRC-001-AB1-1	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:	2014-04-08	Date of Contravention:	January 13, 2011 – March 31, 2013

EVENT DETAILS

Pursuant to the Alberta Electric System Operator (AESO) Alberta Reliability Standards 2011 – 2014 Audit schedule, the AESO conducted a scheduled Q2 2013 compliance monitoring audit of Air Liquide Canada Inc. (ALC). The applicable audit period with respect to PRC-001 extended from the effective date of the standard to March 31, 2013. Based upon AESO audit findings, PRC-001 was contravened in the following instance:

- 1) PRC-001-AB-1 / PRC-001-AB1-1, R1. From January 13, 2011 up to March 31, 2013, there was insufficient evidence to demonstrate that ALC's operating personnel were familiar with the purpose and limitations of protection system schemes applied in its area. **R1** of the standard states:

R1 The operating personnel of each of the ISO, the *operator* of a *transmission facility*, the *operator* of a generating unit and the *operator* of an *aggregated generating facility* must be familiar with the purpose and limitations of protection system schemes applied in its area

MR1 Training records are available that indicate training of staff who operate the system in protection system schemes and any RASs applicable within their system.

FINDINGS

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

MATERIAL FACTS

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

1. AESO Alberta Reliability Standards Compliance Monitoring Audit Report dated April 7, 2014 based upon findings of the AESO Q2/2013 reliability compliance audit.

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 the receipt of confirmation of payment from the Commission 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:	April 23, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: May 6, 2014

Payment Due Date: June 6, 2014

MSA File Numbers:	RS2014-046 through RS2014-049	Specified Penalty Amount:	\$7,500
Registered Entity Name:	Shell Canada Limited		
Reliability Standard :	CIP-001-AB-1 / CIP-001-AB1-1	Self Report:	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
Requirement:	All, R1, R3, R4	Accepted Mitigation Plan:	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
Date of Referral/Self Report:	April 10, 2014	Date of Contravention:	April 12, 2010 – March 31, 2013

EVENT DETAILS

Pursuant to the Alberta Electric System Operator (AESO) Alberta Reliability Standards 2011 – 2014 Audit schedule, the AESO conducted a scheduled Q2 2013 compliance monitoring audit of Shell Canada Limited. The applicable audit period with respect to CIP-001 extended from the effective date of the standard to March 31, 2013. Based upon AESO audit findings, CIP-001 was contravened in the following instances:

- 1) CIP-001-AB-1 and CIP-001-AB1-1, all requirements. There were no written sabotage reporting procedures in place for the following units:
 - o Caroline - from April 12, 2010 to March 27, 2011
 - o Scotford Upgrader – from February 14, 2012 to March 31, 2013

MR1 through **MR4** of the standard includes: Written procedures exist, content is complete and meets [the] requirement.

- 2) CIP-001-AB-1 and CIP-001-AB1-1, R1. From March 28, 2011 to March 31, 2013, for the Caroline generating unit:
 - o The procedures in effect during this period did not include action steps in the event information is received from one of the entities listed in R1.2.
 - o The procedures in effect during this period did not include steps to make its operating personnel aware of sabotage events.

R1 of the standard states:

R1 Each responsible entity must document and implement procedures for:

R1.1 Recognizing sabotage events on its equipment.

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

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

R1.3 Making its operating personnel aware of sabotage events on its equipment and sabotage events affecting the Interconnection.

- 3) CIP-001-AB-1 and CIP-001-AB1-1, R3. From March 28, 2011 to March 31, 2013 there were operating personnel who were not provided with the sabotage event response procedures during the following periods:
 - o March 28, 2011 to March 31, 2013 as nine operating personnel identified were not provided with the procedures.
 - o March 28, 2011 to May 31, 2011 and June 1, 2012 to March 31, 2013 as eleven operating personnel were not annually provided with the sabotage procedures.

R3 of the standard states:

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

- 4) CIP-001-AB-1 and CIP-001-AB1-1, R4. From March 28, 2011 to March 31, 2013, for the Caroline generating unit, the procedures in effect during this period did not include any contact information of the entities listed in R4.1. **R4.1** and **MR4.1** of the standard state the following:

R4 Each responsible entity must :

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

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

MR4 Measures for this requirement are identified in the subsections below.

MR4.1 Written procedures exist, content is complete and meets the requirements of R4.1. Records indicate that the contact information was verified within the previous 12 months

NOTICE OF SPECIFIED PENALTY

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the events were contraventions of the applicable versions of Reliability Standard CIP-001, all requirements, R1, R3, and R4 respectively. 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. AESO Alberta Reliability Standards Compliance Monitoring Audit Report dated March 31, 2014 based upon findings of the AESO Q2/2013 reliability compliance audit.
2. Shell Canada Limited self-report of CIP-001-AB-1 contraventions dated November 19, 2010, and accompanying mitigation plan revised on December 13, 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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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:	May 6, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: June 13, 2014

Payment Due Date: July 14, 2014

MSA File Number:	RS2013-049	Specified Penalty Amount:	\$7,500
Registered Entity Name:	Alberta-Pacific Forest Industries		
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:	May 23, 2014	Date of Contravention:	June 14, 2011 – April 10, 2013

EVENT DETAILS

Pursuant to the Alberta Electric System Operator (AESO) Alberta Reliability Standards 2011 – 2014 Audit schedule, the AESO conducted a scheduled Q4/2013 compliance monitoring audit of Alberta-Pacific Forest Industries (ALPAC). The applicable audit period with respect to CIP-001 extended from the effective date of the standard (R3: April 12, 2010) to September 30, 2013. Based upon AESO audit findings, CIP-001 was contravened in the following instance:

- 1) CIP-001-AB-1, R3. From June 14, 2011 up to April 10, 2013, there was insufficient evidence to demonstrate that all of ALPAC's operating personnel received the sabotage event procedures, including personnel to contact, for reporting sabotage events in the abovementioned period.

R3 of the standard states:

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, requirement R3.

MATERIAL FACTS

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

- 1) Alberta-Pacific Forest Industries self-report submitted to the MSA on October 30, 2013.
- 2) The AESO's Alberta Reliability Standards Compliance Monitoring Audit Report dated May 23, 2014 based upon findings of the AESO Q4/2013 reliability compliance audit.

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:	June 13, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: June 13, 2014

Payment Due Date: July 14, 2014

MSA File Number:	RS2013-050	Specified Penalty Amount:	\$3,750
Registered Entity Name:	Alberta-Pacific Forest Industries		
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:	May 23, 2014	Date of Contravention:	June 14, 2011 – August 10, 2013

EVENT DETAILS

Pursuant to the Alberta Electric System Operator (AESO) Alberta Reliability Standards 2011 – 2014 Audit schedule, the AESO conducted a scheduled Q4/2013 compliance monitoring audit of Alberta-Pacific Forest Industries (ALPAC). The applicable audit period with respect to PRC-001 extended from the effective date of the standard (R1: Jan 13, 2011) to September 30, 2013. Based upon AESO audit findings, PRC-001 was contravened in the following instance:

- 1) PRC-001-AB-1, R1. From June 14, 2011 up to August 10, 2013, there was insufficient evidence to demonstrate that all ALPAC's operating personnel were familiar with the purpose and limitations of protection system schemes applied in its area. **R1** of the standard states:

R1 The operating personnel of each of the ISO, the *operator* of a *transmission facility*, the *operator* of a generating unit and the *operator* of an *aggregated generating facility* must be familiar with the purpose and limitations of protection system schemes applied in its area

MR1 Training records are available that indicate training of staff who operate the system in protection system schemes and any RASs applicable within their system.

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) Alberta-Pacific Forest Industries self-report submitted to the MSA on October 30, 2013.
- 2) The AESO's Alberta Reliability Standards Compliance Monitoring Audit Report dated May 23, 2014 based upon findings of the AESO Q4/2013 reliability compliance audit.

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:	June 13, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: May 6, 2014

Payment Due Date: June 6, 2014

MSA File Numbers:	RS2014-050, RS2014-051	Specified Penalty Amount:	\$5,000
Registered Entity Name:	Shell Canada Limited		
Reliability Standard :	PRC-001-AB-1 / PRC-001-AB1-1	Self Report:	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
Requirement:	R1, R5	Accepted Mitigation Plan:	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
Date of Referral/Self Report:	April 10, 2014	Date of Contravention:	January 13, 2011 – March 31, 2013

EVENT DETAILS

Pursuant to the Alberta Electric System Operator (AESO) Alberta Reliability Standards 2011 – 2014 Audit schedule, the AESO conducted a scheduled Q2 2013 compliance monitoring audit of Shell Canada Limited. The applicable audit period with respect to PRC-001 extended from the effective date of the standard to March 31, 2013. Based upon AESO audit findings, PRC-001 was contravened in the following instances:

- 1) PRC-001-AB-1 and PRC-001-AB1-1, R1. From January 13, 2011 up to March 31, 2013, no evidence was seen to demonstrate that Shell Canada Limited's operating personnel were familiar with the purpose and limitations of protection system schemes applied in its area. **R1** of the standard states:

R1 The operating personnel of each of the ISO, the *operator* of a *transmission facility*, the *operator* of a generating unit and the *operator* of an *aggregated generating facility* must be familiar with the purpose and limitations of protection system schemes applied in its area

MR1 Training records are available that indicate training of staff who operate the system in protection system schemes and any RASs applicable within their system.

- 2) PRC-001-AB-1 and PRC-001-AB1-1, R5. From January 22, 2010 to March 31, 2013, no evidence was seen to demonstrate that Shell Canada Limited coordinated all new protection systems and all protection system changes with its interconnecting TFO and the ISO. **R5** of the standard states:

R5 Each *legal owner* of a *generating unit* and *legal owner* of an *aggregated generating facility* must coordinate all new *protection systems* and all *protection system* changes with each interconnecting *legal owner* of a *transmission facility* and the *ISO*.

MR5 Evidence exists including, but not limited to, revised fault analysis study, letters of agreement on settings, notifications of changes, all of which meets the requirements as specified in requirement R5.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the events were contraventions of the applicable versions of Reliability Standard PRC-001, requirements R1 and R5.

MATERIAL FACTS

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

1. AESO Alberta Reliability Standards Compliance Monitoring Audit Report dated March 31, 2014 based upon findings of the AESO Q2/2013 reliability compliance audit.

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 OF SPECIFIED PENALTY

NOTICE

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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 6, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: May 7, 2014

Payment Due Date: June 9, 2014

MSA File Number:	RS2014-057	Specified Penalty Amount:	\$5,000
Registered Entity Name:	Kinder Morgan Canada 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:	April 25, 2014	Date of Contravention:	January 13, 2011 to January 1, 2013

EVENT DETAILS

Pursuant to the Alberta Electric System Operator (AESO) Alberta Reliability Standards 2011 – 2014 Audit schedule, the AESO conducted a scheduled Q3/2013 compliance monitoring audit of Kinder Morgan Canada Inc. (KMC). The applicable audit period with respect to PRC-001 extended from the effective date of the standard (R1: January 13, 2011) to June 30, 2013. Based upon AESO audit findings, PRC-001 was contravened in the following instances:

- 1) PRC-001-AB-1, R1. From January 13, 2011 to January 1, 2013, no evidence was seen to demonstrate that KMC's operating personnel were familiar with the purpose and limitations of protection system schemes applied in its area. **R1** of the standard states:

R1 The operating personnel of each of the ISO, the *operator* of a *transmission facility*, the *operator* of a generating unit and the *operator* of an *aggregated generating facility* must be familiar with the purpose and limitations of protection system schemes applied in its area

MR1 Training records are available that indicate training of staff who operate the system in protection system schemes and any RASs applicable within their system.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of Alberta 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 April 16, 2014 based upon findings of the AESO Q3/2013 reliability compliance audit.

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

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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.

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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 7, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: June 23, 2014

Payment Due Date: July 23, 2014

MSA File Numbers:	RS2014-067 through RS2014-070	Specified Penalty Amount:	\$10,000
Registered Entity Name:	MEG Energy Corp.		
Reliability Standard :	CIP-001-AB-1 / CIP-001-AB1-1	Self Report:	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
Requirement:	All, R1.3, R3, R4.1	Accepted Mitigation Plan:	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
Date of Referral/Self Report:	June 9, 2014	Date of Contravention:	April 12, 2010 – September 30, 2013

EVENT DETAILS

Pursuant to the Alberta Electric System Operator (AESO) Alberta Reliability Standards 2011 – 2014 Audit schedule, the AESO conducted a scheduled Q4 2013 compliance monitoring audit of MEG Energy Corp. The applicable audit period with respect to CIP-001 extended from the effective date of the standard to September 30, 2013. Based upon AESO audit findings, CIP-001 was contravened in the following instances:

- 1) CIP-001-AB-1, all requirements. From April 12, 2010 to September 28, 2010 there was insufficient evidence to demonstrate that there was a sabotage reporting procedure in place.

MR1 through **MR4** of the standard includes: Written procedures exist, content is complete and meets [the] requirement.

- 2) CIP-001-AB-1 and CIP-001-AB1-1, R1.3. From September 29, 2010 to September 30, 2013 the procedures in effect did not include steps to make its operating personnel aware of sabotage events.

R1 of the standard states:

R1 Each responsible entity must document and implement procedures for:

R1.1 Recognizing sabotage events on its equipment.

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

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

R1.3 Making its operating personnel aware of sabotage events on its equipment and sabotage events affecting the Interconnection.

- 3) CIP-001-AB-1 and CIP-001-AB1-1, R3. From September 29, 2010 to September 30, 2013 there was insufficient evidence to demonstrate that operating personnel were provided with the sabotage event response procedures.

R3 of the standard states:

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

- 4) CIP-001-AB-1 and CIP-001-AB1-1, R4.1. From September 29, 2010 to February 11, 2013, there was no evidence to demonstrate that contact information was verified within the previous 12 months. Further, from September 29, 2010 to August 19, 2013, the contact information of ASSIST was not correct.

R4.1 and **MR4.1** of the standard state the following:

R4 Each responsible entity must :

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

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

MR4 Measures for this requirement are identified in the subsections below.

MR4.1 Written procedures exist, content is complete and meets the requirements of R4.1. Records indicate that the contact information was verified within the previous 12 months

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the events were contraventions of the applicable versions of Reliability Standard CIP-001 all requirements, R1.3, R3, and R4.1 respectively.

NOTICE OF SPECIFIED PENALTY

MATERIAL FACTS

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

1. AESO Alberta Reliability Standards Compliance Monitoring Audit Report dated June 9, 2014 based upon findings of the AESO Q4/2013 reliability compliance audit.

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:	June 23, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: June 23, 2014

Payment Due Date: July 23, 2014

MSA File Number:	RS2014-071	Specified Penalty Amount:	\$5,000
Registered Entity Name:	MEG Energy Corp.		
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:	June 9, 2014	Date of Contravention:	January 13, 2011 – Sept 30, 2013

EVENT DETAILS

Pursuant to the Alberta Electric System Operator (AESO) Alberta Reliability Standards 2011 – 2014 Audit schedule, the AESO conducted a scheduled Q4/2013 compliance monitoring audit of MEG Energy Corp. The applicable audit period with respect to PRC-001 extended from the effective date of the standard (R1: Jan 13, 2011) to September 30, 2013. Based upon AESO audit findings, PRC-001 was contravened in the following instance:

- 1) PRC-001-AB-1, R1. From January 13, 2011 up to September 30, 2013, there was insufficient evidence to demonstrate that the applicable operating personnel were familiar with the purpose and limitations of protection system schemes applied in its area. **R1** of the standard states:

R1 The operating personnel of each of the ISO, the *operator of a transmission facility*, the *operator of a generating unit* and the *operator of an aggregated generating facility* must be familiar with the purpose and limitations of protection system schemes applied in its area

MR1 Training records are available that indicate training of staff who operate the system in protection system schemes and any RASs applicable within their system.

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 June 9, 2014 based upon findings of the AESO Q4/2013 reliability compliance audit.

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 23, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 23, 2014

Payment Due Date: August 25, 2014

MSA File Numbers:	RS2014-076 through RS2014-079	Specified Penalty Amount:	\$7,500
Registered Entity Name:	Canadian Natural Resources Ltd..		
Reliability Standard :	CIP-001-AB-1 / CIP-001-AB1-1	Self Report:	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
Requirement:	R1, R2, R3, R4.1	Accepted Mitigation Plan:	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
Date of Referral/Self Report:	June 25, 2014	Date of Contravention:	April 12, 2010 – September 30, 2013

EVENT DETAILS

Pursuant to the Alberta Electric System Operator (AESO) Alberta Reliability Standards 2011 – 2014 Audit schedule, the AESO conducted a scheduled Q4 2013 compliance monitoring audit of Canadian Natural Resources Ltd (CNRL). The applicable audit period with respect to CIP-001 extended from the effective date of the standard (April 12, 2010) to September 30, 2013. Based upon AESO audit findings, CIP-001 was contravened in the following instances:

- 1) Findings from the AESO compliance audit indicated there was insufficient evidence to demonstrate that documented sabotage event related procedures meeting the requirement R1 specifications existed at CNRL sites:
 - o April 12, 2010 – December 5, 2010 for the Primrose site
 - o April 12, 2010 – November 11, 2012 for the Horizon site

MR1 of the standard includes: Written procedures exist, content is complete and meets [the] requirement.

- 2) Findings from the AESO compliance audit indicated there was insufficient evidence to demonstrate that documented procedures for communicating information concerning sabotage events to the SC existed at CNRL sites:
 - o April 12, 2010 to December 5, 2010 for the Primrose site
 - o April 12, 2010 to November 11, 2012 for the Horizon site

R2 of the standard states:

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

- 3) Findings from the AESO compliance audit indicated there was insufficient evidence to demonstrate that all applicable operating personnel at the following sites were provided with sabotage event response procedures:
 - o April 12, 2010 until July 24, 2011 for the Primrose site
 - o April 12, 2010 until May 21, 2013 for the Horizon site

R3 of the standard states:

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

- 4) Findings from the AESO compliance audit indicated there was insufficient evidence to demonstrate that documented sabotage event reporting procedures existed that identified contacts for the local police service, RCMP and ASSIST or there was insufficient evidence to demonstrate that applicable contacts were verified within the previous 12 months:
 - o April 12, 2010 until December 5, 2010 for the Primrose site
 - o April 12, 2010 until November 11, 2012 for the Horizon site
 - o February 16, 2013 until September 30, 2013 for the Primrose site

R4.1 and **MR4.1** of the standard state the following:

R4 Each responsible entity must :

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

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

MR4 Measures for this requirement are identified in the subsections below.

MR4.1 Written procedures exist, content is complete and meets the requirements of R4.1. Records indicate that the contact information was verified within the previous 12 months

NOTICE OF SPECIFIED PENALTY

FINDINGS

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

MATERIAL FACTS

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

1. AESO Alberta Reliability Standards Compliance Monitoring Audit Report dated June 25, 2014 based upon findings of the AESO Q4/2013 reliability compliance audit.
2. Reliability Standards Self Report submitted to the MSA by CNRL on July 27, 2011.

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:	July 23, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 23, 2014

Payment Due Date: August 25, 2014

MSA File Numbers:	RS2014-080 through RS2014-083	Specified Penalty Amount:	\$18,750
Registered Entity Name:	Canadian Natural Resources Ltd.		
Reliability Standard :	FAC-003-AB-1 / FAC-003- AB1-1	Self Report:	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
Requirement:	R1, R1.1, R1.3, R2	Accepted Mitigation Plan:	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
Date of Referral/Self Report:	June 25, 2014	Date of Contravention:	Jan 26, 2010 – Sept 30, 2013

EVENT DETAILS

Pursuant to the Alberta Electric System Operator (AESO) Alberta Reliability Standards 2011 – 2014 Audit schedule, the AESO conducted a scheduled Q4 2013 compliance monitoring audit of Canadian Natural Resources Ltd (CNRL). The applicable audit period with respect to FAC-003 extended from the effective date of the standard (January 26, 2010 per R1 and R2) to September 30, 2013. Based upon AESO audit findings, FAC-003 was contravened in the following instances:

- Findings from the AESO compliance audit indicated that a TVMP either was not in effect or failed to satisfy all requirements specified in R1 between January 26, 2010 and September 30, 2013.

R1 of the standard states the following:

R1 Each legal owner of a transmission facility must prepare a TVMP. This program is to be updated at least annually. The TVMP must include the objectives, practices, approved procedures, and work specifications of the legal owner of a transmission facility.

- Findings from the AESO compliance audit concluded that the CNRL TVMP did not define the type (aerial or ground) of ROW vegetation inspections from June 26, 2012 through September 30, 2013.

R1.1 of the standard states the following:

R1.1 The TVMP must define a schedule for and the type (aerial or ground) of ROW vegetation inspections. This schedule must be flexible enough to adjust for changing conditions. The inspection schedule must be based on the anticipated growth of vegetation and any other environmental or operational factors that could impact the relationship of the vegetation to the transmission facilities of the legal owner of a transmission facility. The legal owner of a transmission facility must perform vegetation inspections as identified in the schedule.

- Findings from the AESO compliance audit indicated that the CNRL TVMP did not include individual qualifications and applicable documentation with respect to personnel directly involved in implementation of the TVMP from June 26, 2012 through September 30, 2013.

R1.3 of the standard states the following:

R1.3 All personnel directly involved in the design and implementation of the TVMP must hold appropriate qualifications and must have taken appropriate training, as defined by the legal owner of a transmission facility, to perform their duties.

- Findings from the AESO compliance audit indicated that there was no evidence that an annual plan for vegetation management work existed prior to June 30, 2011.

R2 of the standard states the following:

R2 The legal owner of a transmission facility must create and implement an annual plan for vegetation management work to ensure the reliability of its transmission facilities. The plan must describe the methods used, such as manual clearing, mechanical clearing, herbicide treatment, or other actions. The plan must be flexible enough to adjust to changing conditions, taking into consideration anticipated growth of vegetation and all other environmental factors that may have an impact on the reliability of the AIES. Adjustments to the plan must be documented as they occur. The plan must include the time required to obtain permissions or permits from landowners or regulatory authorities. Each legal owner of a transmission facility must have systems and procedures for documenting and tracking the planned vegetation management work and ensuring that the vegetation management work was completed according to its work specifications.

NOTICE OF SPECIFIED PENALTY

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the events were contraventions of Reliability Standard FAC-003 R1, R1.1, R1.3, and R2 respectively.

MATERIAL FACTS

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

1. AESO Alberta Reliability Standards Compliance Monitoring Audit Report dated June 25, 2014 based upon findings of the AESO Q4/2013 reliability compliance audit.
2. Reliability Standards Self Report submitted to the MSA by CNRL on July 27, 2011.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	July 23, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: August 5, 2014

Payment Due Date: September 4, 2014

MSA File Number:	RS2014-090/91	Specified Penalty Amount:	\$5,000
Registered Entity Name:	Ghost Pine Windfarm LP		
Reliability Standard :	PRC-001-AB-1 / PRC-001-AB1-1	Self Report:	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
Requirement:	R1, R5	Accepted Mitigation Plan:	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
Date of Referral/Self Report:	July 11, 2014	Date of Contravention:	January 13, 2011 – Sept 30, 2013

EVENT DETAILS

Pursuant to the Alberta Electric System Operator (AESO) Alberta Reliability Standards 2011 – 2014 Audit schedule, the AESO conducted a scheduled Q4/2013 compliance monitoring audit of Ghost Pine Windfarm LP. The applicable audit period with respect to PRC-001 extended from the effective date of the standard (Jan 22, 2010; R1: Jan 13, 2011) to September 30, 2013. Based upon AESO audit findings, PRC-001 was contravened in the following instances:

- 1) PRC-001-AB-1 / PRC-001-AB1-1, R1. From January 13, 2011 up to July 21, 2013, there was insufficient evidence to demonstrate that all applicable operating personnel were familiar with the purpose and limitations of protection system schemes applied in its area. **R1** of the standard states:

R1 The operating personnel of each of the ISO, the *operator* of a *transmission facility*, the *operator* of a generating unit and the *operator* of an *aggregated generating facility* must be familiar with the purpose and limitations of protection system schemes applied in its area

MR1 Training records are available that indicate training of staff who operate the system in protection system schemes and any RASs applicable within their system.

- 2) PRC-001-AB-1, R5. For protection system changes implemented on May 18, 2011 and July 7, 2011, there was insufficient evidence to demonstrate that the changes were coordinated with the AESO. **R5** of the standard states:

R5 Each GFO must coordinate all new protection systems and all protection system changes with its interconnecting TFO and the ISO.

MR5 Evidence exists including, but not limited to, revised fault analysis study, letters of agreement on settings, notification of changes, all of which meets the requirements as specified in R5.

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, requirements R1 and R5.

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 July 10, 2014 based upon findings of the AESO Q4/2013 reliability compliance audit.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	August 5, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: October 2, 2014 Payment Due Date: November 3, 2014

MSA File Number:	RS2014-098	Specified Penalty Amount:	\$3,750
Registered Entity Name:	Canadian Hydro Developers		
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:	September 5, 2014	Date of Contravention:	July 1, 2011 – June 30, 2014

EVENT DETAILS

Based upon Canadian Hydro Developers (CHD) September 5, 2014 self-report, PRC-001 was contravened in the following instance:

- 1) PRC-001-AB-1, R1. From July 1, 2011 up to June 30, 2014, CHD indicated that it has insufficient evidence to demonstrate that all applicable operating personnel were familiar with the purpose and limitations of protection system schemes applied in its area. **R1** of the standard states:

R1 The operating personnel of each of the ISO, the *operator of a transmission facility*, the *operator of a generating unit* and the *operator of an aggregated generating facility* must be familiar with the purpose and limitations of protection system schemes applied in its area

MR1 Training records are available that indicate training of staff who operate the system in protection system schemes and any RASs applicable within their system.

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) Canadian Hydro Developers self-report submitted to the MSA on September 5, 2014, and acknowledgement of the contravention therein.

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:	October 2, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: October 2, 2014

Payment Due Date: November 3, 2014

MSA File Number:	RS2014-099 and RS2014-103	Specified Penalty Amount:	\$3,750
Registered Entity Name:	TransAlta Generation Partnership		
Reliability Standard :	PRC-001-AB-1 / PRC-001-AB1-1	Self Report:	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
Requirement:	R1, R5	Accepted Mitigation Plan:	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
Date of Referral/Self Report:	September 5, 2014	Date of Contravention:	July 1, 2011 – June 30, 2014

EVENT DETAILS

Based upon information provided to the MSA in TransAlta Generation Partnership (TGP) September 5, 2014 self-reports, PRC-001 was contravened in the following instances:

- 1) PRC-001-AB-1 / PRC-001-AB1-1, R1. From July 1, 2011 up to June 30, 2014, TGP indicated that it has insufficient evidence to demonstrate that all applicable operating personnel were familiar with the purpose and limitations of protection system schemes applied in its area. **R1** of the standard states:

R1 The operating personnel of each of the ISO, the *operator of a transmission facility*, the *operator of a generating unit* and the *operator of an aggregated generating facility* must be familiar with the purpose and limitations of protection system schemes applied in its area

MR1 Training records are available that indicate training of staff who operate the system in protection system schemes and any RASs applicable within their system.

- 2) PRC-001-AB1-1, R5. Between January 1, 2013 and September 30, 2013, TGP initiated and carried out a project to upgrade protection and controls at the 20s Ghost substation. During this period, TGP failed to notify and coordinate with the ISO (Alberta Electric System Operator). **R5** of the standard states:

R5 Each *legal owner of a generating unit* and *legal owner of an aggregated generating facility* must coordinate all new *protection systems* and all *protection system* changes with each interconnecting legal owner of a *transmission facility* and the ISO.

MR5 Evidence exists including, but not limited to, revised fault analysis study, letters of agreement on settings, notifications of changes, all of which meets the requirements as specified in requirement R5.

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/PRC-001-AB1-1, requirements R1 and R5.

MATERIAL FACTS

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

- 1) TransAlta Generation Partnership self-reports submitted to the MSA on September 5, 2014 and acknowledgement of the contraventions therein.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	October 2, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: October 23, 2014

Payment Due Date: November 24, 2014

MSA File Number:	RS2014-104 through RS2014-107	Specified Penalty Amount:	\$ 10,000
Registered Entity Name:	FortisAlberta Inc.		
Reliability Standard :	CIP-001-AB-1/CIP-001-AB1-1	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:	September 9, 2014	Date of Contravention:	July 1, 2011 – March 31, 2014

EVENT DETAILS

Pursuant to the Alberta Electric System Operator (AESO) Alberta Reliability Standards 2014 – 2016 Audit schedule, the AESO conducted a scheduled Q2 2014 compliance monitoring audit of FortisAlberta Inc. The applicable audit period with respect to CIP-001 extended from July 1, 2011 to March 31, 2014. Based upon AESO audit findings, CIP-001 was contravened in the following instances:

- 1) CIP-001-AB-1/CIP-001-AB1-1 R1.2. From July 1, 2011 to March 31, 2014, sabotage reporting procedures did not include processes for receiving information about sabotage events from one of the entities listed in R1.2. R1.2 and MR1.2 of the standard states:

R1 Each responsible entity must document and implement procedures for:

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

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

MR1.2 Written procedures exist, content is complete and meets requirement R1.2. Evidence exists that the procedures specified in requirement R1.2 were implemented upon an occurrence of a sabotage event.
- 2) CIP-001-AB-1/CIP-001-AB1-1 R2. From July 1, 2011 to March 31, 2014, sabotage reporting procedures did not include steps to communicate information concerning sabotage events to the SC, nor did those procedures include the contact information of the SC. R2 and MR2 of the standard states:

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

MR2 Written procedures exist, content is complete and meets the requirements of R2. Evidence exists that the procedures specified in requirement R2 were implemented upon an occurrence of a sabotage event.
- 3) CIP-001-AB-1/CIP-001-AB1-1 R3. From July 1, 2011 to November 27, 2013, operating personnel were not provided with sabotage reporting procedures. From November 28, 2013 to March 31, 2014, not all operating personnel were provided with sabotage reporting procedures. R3 and MR3 of the standard states:

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

MR3 Written procedures exist, content is complete and meets the requirements of R3. Records indicate that operating personnel were provided with the sabotage event response procedures and related contact information within the previous 12 months.
- 4) CIP-001-AB-1/CIP-001-AB1-1 R4.1. From July 1, 2011 to March 31, 2013, sabotage reporting procedures did not include contact information for the entities listed under R4.1 of the standard which states:

R4 Each responsible entity must:

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

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

To satisfy this requirement, MR4.1 necessitates:

MR4.1 Written procedures exist, content is complete and meets the requirements of R4.1. Records indicate that the contact information was verified within the previous 12 months.

NOTICE OF SPECIFIED PENALTY

FINDINGS

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

MATERIAL FACTS

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

1. AESO Alberta Reliability Standards Compliance Monitoring Audit Report dated September 8, 2014 based upon findings of the AESO Q2/2014 reliability compliance audit of FortisAlberta Inc.

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 the receipt of confirmation of payment from the Commission 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:	October 23, 2014
Name:	Doug Doll	Title:	Manager Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: September 24, 2014

Payment Due Date: October 24, 2014

MSA File Number:	RS2014-108	Specified Penalty Amount:	\$10,000
Registered Entity Name:	Dow Chemical Canada ULC		
Reliability Standard :	CIP-001-AB-1/CIP-001-AB1-1	Self Report:	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
Requirement:	R3	Accepted Mitigation Plan:	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
Date of Referral/Self Report:	September 18, 2014	Date of Contravention:	April 19, 2012 – October 10, 2012; May 10, 2013 – December 9, 2013

EVENT DETAILS

Pursuant to the Alberta Electric System Operator (AESO) Alberta Reliability Standards 2014-2016 audit schedule, the AESO conducted a scheduled Q2/2014 compliance monitoring audit of Dow Chemical Canada ULC. The applicable audit period with respect to CIP-001 extended from July 1, 2011 to March 31, 2014. Based upon AESO audit findings, CIP-001 was contravened as follows:

- 1) CIP-001-AB-1/CIP-001-AB1-1, R3. From April 19, 2012 up to October 10, 2012 and from May 10, 2013 to December 9, 2013, as during these periods, some operating personnel were not provided with sabotage event procedures and related contact information within the previous 12 months as required by R3. **R3** of the standard states:

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

MR3 Written procedures exist, content is complete and meets the requirements of R3. Records indicate that operating personnel were provided with sabotage event response procedures and related contact information within the previous 12 months.

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.

MATERIAL FACTS

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

- 1) AESO Alberta Reliability Standards Compliance Monitoring Audit Report dated September 18, 2014 based upon findings of the AESO Q2/2014 reliability compliance audit of Dow Chemical Canada ULC.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	September 24, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services