

NOTICE OF SPECIFIED PENALTY

Date of Issue: November 18, 2015

Payment Due Date: December 18, 2015

MSA File Number:	RS2015-062	Specified Penalty Amount:	\$ 7,500
Registered Entity Name:	Imperial Oil Resources Ventures Limited		
Reliability Standard :	CIP-001-AB1-1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
Requirement:	R3	Accepted Mitigation Plan:	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
Date of Referral/Self Report:	October 9, 2015	Date of Contravention:	October 1, 2012 to January 12, 2015

EVENT DETAILS

Pursuant to the Alberta Electric System Operator (AESO) Alberta Reliability Standards 2015-2017 audit schedule, the AESO conducted a scheduled Q2/2015 compliance monitoring audit of Imperial Oil Resources Ventures Limited. The applicable audit period with respect to CIP-001-AB1-1 extended from April 1, 2012 to March 31, 2015. Based upon AESO audit findings, CIP-001-AB1-1 was contravened as follows:

- Between October 1, 2012 and January 12, 2015, several operating personnel were not provided with sabotage reporting procedures prior to becoming operating personnel. Furthermore, in June 2014, two operating personnel were not annually provided with sabotage reporting 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.

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.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of Reliability Standard CIP-001-AB1-1, requirement R3.

MATERIAL FACTS

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

- AESO Alberta Reliability Standards Compliance Monitoring Audit Report dated October 9, 2015 based upon findings of the AESO Q2/2015 reliability compliance audit of Imperial Oil Resources Ventures Limited.
- Mitigation Plan from Imperial Oil Resources Ventures Limited to the MSA dated November 17, 2015.

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 Andrew Davison (Senior Market Analyst) andrew.davison@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.

NOTICE OF SPECIFIED PENALTY

SIGNATURE

Signature:	"Original Signed"	Signature Date:	November 18, 2015
Name:	Doug Doll	Title:	Director Corporate Services and Compliance