

NOTICE OF SPECIFIED PENALTY

Date of Issue: August 14, 2020		Payment Due Date: September 15, 2020	
MSA File Number	RS2018-317 and RS2018-318	Specified Penalty Amount	\$2,250
Registered Entity Name	Pembina NGL Corporation		
Reliability Standard	COM-001-AB1-1.1	Self-Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
Requirement	R5 and R7	Accepted Mitigation Plan	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
Date of Referral/Self Report	November 7, 2018	Date of Contravention	July 1, 2015 to October 26, 2016

EVENT DETAILS

Pursuant to the Alberta Electric System Operator (AESO) Alberta Reliability Standards 2018–2020 Audit Schedule, the AESO conducted a scheduled Q3/2018 compliance monitoring audit of Pembina NGL Corporation. The applicable audit period with respect to COM-001-AB1-1.1 extended from July 1, 2015 to June 30, 2018. Based upon the AESO's Audit findings, COM-001-AB1-1.1 was contravened as follows:

- 1) From July 1, 2015 to October 26, 2016 there was insufficient evidence submitted by Pembina NGL Corporation to demonstrate that Pembina NGL Corporation had provided a means to coordinate voice and message telecommunications with the ISO. COM-001-AB1-1.1 states, in part:

R5. Each operator of a transmission facility must provide a means to coordinate voice and message telecommunications with the ISO and adjacent interconnected transmission operators, which coordination must include the ability to investigate and recommend solutions to voice and message telecommunications problems within Alberta.

MR5. Evidence of providing a means to coordinate voice and message telecommunications as required in requirement R5 exists. Evidence may include a documented procedure in place which identifies a process for coordinating telecommunications and a process for investigating and recommending solutions to telecommunications problems.
- 2) From July 1, 2015 to October 26, 2016 there was insufficient evidence submitted by Pembina NGL Corporation to demonstrate that Pembina NGL Corporation had written operating instructions and procedures in place, for continued operation of the interconnected electric system during the loss of voice and message telecommunications facilities. COM-001-AB1-1.1 states, in part:

R7. The ISO and each operator of a transmission facility must have written operating instructions and procedures to enable continued operation of the interconnected electric system during the loss of voice and message telecommunications facilities.

MR7. Evidence of having written operating instructions and procedures as required in requirement R7 exists. Evidence may include electronic or hard copy of the operating instructions and procedures.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of Reliability Standard COM-001-AB1-1.1, requirements R5 and R7.

MATERIAL FACTS

- The material facts relied upon by the MSA include the following:
1. Referral from the AESO to the MSA dated November 7, 2018, including the AESO Alberta Reliability Standards Compliance Monitoring Audit Report on the AESO Q3/2018 compliance monitoring audit of Pembina NGL Corporation.
 2. Completed Mitigation Plan submitted on November 1, 2019 by Pembina NGL Corporation to the MSA.

DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made payable to the "General Revenue Fund c/o Minister of Finance", and delivered to Alberta Energy at: 9945 – 108 Street NW, Edmonton, Alberta, T5K 2G6. The payment should reference this Notice of Specified Penalty and related MSA File #. Electronic copies of the payment and confirmation of delivery should be sent by email to compliance@albertamsa.ca and enforcement@auc.ab.ca. Questions can be directed to compliance@albertamsa.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 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	August 14, 2020
Name	Andrew Wilkins	Title	Director, Compliance