

NOTICE OF SPECIFIED PENALTY

Date of Issue: October 15, 2021		Payment Due Date: November 15, 2021	
MSA File Number	RS2021-153	Specified Penalty Amount¹	\$2,250
Registered Entity Name	ATCO Electric Ltd.		
Reliability Standard	PER-005-AB-2	Self-Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
Requirement	R5	Accepted Mitigation Plan	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
Date of Referral/Self Report	July 16, 2021	Date of Contravention	April 1, 2018 until Mitigation Plan completed

EVENT DETAILS

Pursuant to the Alberta Electric System Operator (AESO) Alberta Reliability Standards 2021-2023 Audit Schedule, the AESO conducted a scheduled Q1-2021 compliance monitoring audit of ATCO Electric Ltd. (ATCO Electric). The applicable audit period with respect to PER-005-AB-2 extended from April 1, 2018 to December 31, 2020. The MSA finds that PER-005-AB-2 was contravened as follows:

From April 1, 2018 until the applicable mitigation plan activities are completed, ATCO Electric didn't have evidence to demonstrate that ATCO Electric identified operations support personnel subject to R5, therefore ATCO Electric didn't use a systematic approach to develop and implement training for the operations support personnel. PER-005-AB-2 R5 states, in part:

R5 The **ISO** and each **operator** of a **transmission facility** must use a systematic approach to develop and implement training for its identified **operations support personnel** on how their job function(s) impact those **bulk electric system** company-specific **real time** reliability-related tasks that it has identified pursuant to requirement R1.1.

R5.1 The **ISO** and each **operator** of a **transmission facility** must conduct an evaluation each calendar year of the training established in requirement R5 to identify and implement changes to the training.

MR5 Evidence of using a systematic approach to develop and implement training for identified **operations support personnel** as required in requirement R5 exists. Evidence may include, but is not limited to, training records showing employee name, date of training and completion of training, or other equivalent evidence.

MR5.1 Evidence of conducting an evaluation each calendar year of the training established in requirement R5 and that any identified changes were implemented as required in requirement R5.1 exists. Evidence may include, but is not limited to, instructor observations, trainee feedback, course evaluations, meeting minutes, training program document revision history or other equivalent evidence.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of Reliability Standard PER-005-AB-2, requirement R5.

MATERIAL FACTS

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

1. Referral from the AESO to the MSA dated July 16, 2021, including the AESO Alberta Reliability Standards Compliance Monitoring Audit Report regarding the AESO Q1-2021 Compliance Monitoring Audit of ATCO Electric Ltd.
2. Mitigation Plan submitted by ATCO Electric to the MSA dated August 10, 2021.

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.

¹ Specified penalty amount conditional on the completion of the accepted Mitigation Plan.

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	October 15, 2021
Name	Andrew Wilkins	Title	Director, Compliance