

# NOTICE OF SPECIFIED PENALTY

Date of Issue: June 08, 2026		Payment Due Date: July 08, 2026	
MSA File Number	RS2025-099	<b>Specified Penalty Amount</b>	<b>\$3,750.00</b>
Market Participant Name:	Heartland Generation Ltd.		
Reliability Standard	COM-001-AB-3	Self-Report	Yes: <input checked="" type="checkbox"/> No: <input type="checkbox"/>
Requirement	R8	Accepted Mitigation Plan	Yes: <input type="checkbox"/> No: <input checked="" type="checkbox"/>
Date of Referral / Self Report	June 20, 2025	Date of Contravention:	April 01, 2024 - July 17, 2024

## MSA FINDINGS

Requirement R8.A2 of COM-001-AB-3 states:

R8.A2 Each operator of a generating unit and operator of an aggregated generating facility shall have the type of backup voice communication capability, in each control room, as identified in:

- (a) Appendix 1 for communicating with the ISO; and
- (b) Appendix 3 for communicating with its operator of a transmission facility.

Category 3(b) of Appendix 1 and Category 2(b) of Appendix 3 both have the following options of backup communications:

- (1) Utility orderwire service; or
- (2) Satellite telephone service.

The MSA is satisfied that Heartland Generation Ltd. contravened requirement R8.A2 from April 1, 2024, to July 17, 2024, as it did not have the type of backup voice communication capability as identified in Appendix 1 and Appendix 3 at Scotford facility.

The MSA assessed this contravention as a Low severity.

## DELIVERY OF PAYMENT

Payment can be made by electronic funds transfer (EFT). Please reach out to [compliance@albertamsa.ca](mailto:compliance@albertamsa.ca) (<mailto:compliance@albertamsa.ca>) for instructions. When submitting the EFT, please send an email to [AU.FinOps@gov.ab.ca](mailto:AU.FinOps@gov.ab.ca) (<mailto:AU.FinOps@gov.ab.ca>), [compliance@albertamsa.ca](mailto:compliance@albertamsa.ca) (<mailto:compliance@albertamsa.ca>) and [enforcement@auc.ab.ca](mailto:enforcement@auc.ab.ca) (<mailto:enforcement@auc.ab.ca>) noting the MSA file #, market participant name, name as appears on bank account, payment amount and the date of the payment. Questions can be directed to [compliance@albertamsa.ca](mailto:compliance@albertamsa.ca) (<mailto: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 an Alberta 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 unless it qualifies for the public reporting exception for critical infrastructure protection (CIP) contraventions in s. 5.3 of AUC Rule 027. 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](mailto:compliance@albertamsa.ca) (<mailto:compliance@albertamsa.ca>).

**APPROVED BY**

Daniela Cismaru, Advisor, Alberta Reliability Standards on June 08, 2026