

NOTICE OF SPECIFIED PENALTY

Date of Issue: September 20, 2012

Payment Due Date: October 22, 2012

MSA File Number:	RS2012-009	Specified Penalty Amount:	\$ 5,000
Registered Entity Name:	Syncrude Canada Limited		
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:	December 9, 2011	Date of Contravention:	January 13, 2011 March 31, 2011

EVENT DETAILS

The Alberta Electric System Operator conducted a scheduled Q2 2011 compliance monitoring audit of Syncrude Canada Limited ("Syncrude"). The audit period was from the effective date of the standard (January 13, 2011) until March 31, 2011. Syncrude provided the following documents as evidence of compliance for R1 of PRC-001-AB-1: two versions of the "Protection System Coordination Compliance Program", "RAS Training Package for Operations", "RAS Single-Line Cheat Sheet", slides of the "Electrical Distribution Training HTUPEZZ009", an "Electrical Distribution System" presentation titled "Base Plant Electrical Distribution, Protection & Operation", printed training records titled "Worker Info" and an email titled "Syncrude Training Course Descriptions". The two versions of the "Protection System Coordination Compliance Program", "RAS Training Package for Operations", and "RAS Single-Line Cheat Sheet" did not appear in the submitted training records pertaining to Syncrude's operating personnel. Additionally, the slides of the "Electrical Distribution Training HTUPEZZ009" and the "Electrical Distribution System" presentation titled "Base Plant Electrical Distribution, Protection & Operation" did not provide information related to the protection systems and RAS applicable in its area. Consequently, no information was identified and/or provided to demonstrate that operating personnel were familiar with the purpose and the limitation of protection system schemes applied in its area. R1 of Alberta Reliability Standard PRC-001-AB-1 states "The operating personnel of the ISO, TFO's and operators of generating units must each be familiar with the purpose and limitations of protection system schemes applied in its area".

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 1.

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 December 9, 2011 based upon the audit evidence collected by the AESO.
2. The MSA's information request to the AESO dated April 5, 2012.
3. The AESO's April 24, 2012 response to the MSA's information request.
4. The MSA's explanation request to the AESO dated June 29, 2012.
5. The AESO's August 16, 2012 response to the MSA's explanation request.

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:		Signature Date:	September 20, 2012
Name:	Doug Doll	Title:	Manager Compliance