

NOTICE OF SPECIFIED PENALTY

Date of Issue: October 2, 2014

Payment Due Date: November 3, 2014

MSA File Number:	RS2014-099 and RS2014-103	Specified Penalty Amount:	\$3,750
Registered Entity Name:	TransAlta Generation Partnership		
Reliability Standard :	PRC-001-AB-1 / PRC-001-AB1-1	Self Report:	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
Requirement:	R1, R5	Accepted Mitigation Plan:	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
Date of Referral/Self Report:	September 5, 2014	Date of Contravention:	July 1, 2011 – June 30, 2014

EVENT DETAILS

Based upon information provided to the MSA in TransAlta Generation Partnership (TGP) September 5, 2014 self-reports, PRC-001 was contravened in the following instances:

- 1) PRC-001-AB-1 / PRC-001-AB1-1, R1. From July 1, 2011 up to June 30, 2014, TGP indicated that it has insufficient evidence to demonstrate that all applicable operating personnel were familiar with the purpose and limitations of protection system schemes applied in its area. **R1** of the standard states:

R1 The operating personnel of each of the ISO, the *operator of a transmission facility*, the *operator of a generating unit* and the *operator of an aggregated generating facility* must be familiar with the purpose and limitations of protection system schemes applied in its area

MR1 Training records are available that indicate training of staff who operate the system in protection system schemes and any RASs applicable within their system.

- 2) PRC-001-AB1-1, R5. Between January 1, 2013 and September 30, 2013, TGP initiated and carried out a project to upgrade protection and controls at the 20s Ghost substation. During this period, TGP failed to notify and coordinate with the ISO (Alberta Electric System Operator). **R5** of the standard states:

R5 Each *legal owner of a generating unit* and *legal owner of an aggregated generating facility* must coordinate all new *protection systems* and all *protection system* changes with each interconnecting legal owner of a *transmission facility* and the ISO.

MR5 Evidence exists including, but not limited to, revised fault analysis study, letters of agreement on settings, notifications of changes, all of which meets the requirements as specified in requirement R5.

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/PRC-001-AB1-1, requirements R1 and R5.

MATERIAL FACTS

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

- 1) TransAlta Generation Partnership self-reports submitted to the MSA on September 5, 2014 and acknowledgement of the contraventions therein.

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.

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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 2, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services