

## NOTICE OF SPECIFIED PENALTY

Date of Issue: March 29, 2021		Payment Due Date: April 30, 2021	
MSA File Number	RS2020-284	<b>Specified Penalty Amount<sup>1</sup></b>	<b>\$2,250</b>
Registered Entity Name	TransAlta Generation Partnership		
Reliability Standard	PRC-005-AB1-6 PRC-005-AB2-6 <sup>2</sup>	Self-Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
Requirement	R1	Accepted Mitigation Plan	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
Date of Referral/Self Report	December 4, 2020	Date of Contravention	October 1, 2019 until Mitigation Plan Complete

### EVENT DETAILS

Pursuant to the Alberta Electric System Operator (AESO) Alberta Reliability Standards 2020-2022 Audit Schedule, the AESO conducted a scheduled Q3/2020 compliance monitoring audit of TransAlta Generation Partnership. The applicable audit period with respect to PRC-005-AB1-6 and PRC-005-AB2-6 extended from October 1, 2019 to June 30, 2020. Based upon the AESO's audit findings, the MSA finds that PRC-005-AB1-6 and PRC-005-AB2-6 were contravened as follows:

From October 1, 2019 until the mitigation plan is completed, TransAlta Generation Partnership did not include certain applicable component types in its documented site-specific protection system maintenance program for certain generating units.

PRC-005-AB1-6 and PRC-005-AB2-6 state, in part:

**R1** Each **legal owner** of a **transmission facility**, **legal owner** of a **generating unit**, and **legal owner** of an **aggregated generating facility** must establish a **protection system** maintenance program for its **protection systems**, automatic reclosing, and sudden pressure relaying.

The **protection system** maintenance program must:

**R1.1** identify which maintenance method (a time-based method, the performance-based method per Appendix 2, or a combination of these maintenance methods) is used to address each **protection system**, automatic reclosing, and sudden pressure relaying component type (as identified in Appendix 1). All batteries associated with the station dc supply component type of a **protection system** must be included in a time-based program as described in Table 1-4 and Table 3 of Appendix 1.

**R1.2** include the applicable monitored component attributes applied to each **protection system**, automatic reclosing, and sudden pressure relaying component type consistent with the maintenance intervals specified in Tables 1-1 through 1-5, Table 2, Table 3, Tables 4-1 through 4-3, and Table 5 of Appendix 1, where monitoring is used to extend the maintenance intervals beyond those specified for unmonitored **protection system**, automatic reclosing, and sudden pressure relaying components.

**MR1** Evidence of having a documented protection system maintenance program in accordance with requirement R1 exists. Evidence may include, but is not limited to a documented protection system maintenance program that may include supporting information such as manufacturer's specifications or engineering drawings 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 PRC-005-AB1-6 and PRC-005-AB2-6, requirement R1.

<sup>1</sup> The specified penalty amount is conditional on the completion of the accepted mitigation plan.

<sup>2</sup> PRC-005-AB1-6 was in effect from October 1, 2019 – October 12, 2020 and PRC-005-AB2-6 is in effect starting October 13, 2020.

## MATERIAL FACTS

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

1. Referral from the AESO to the MSA dated December 4, 2020, including the AESO Alberta Reliability Standards Compliance Monitoring Audit Report regarding the AESO Q3-2020 Compliance Monitoring Audit of TransAlta Generation Partnership.
2. Mitigation plan submitted by TransAlta Generation Partnership to the MSA dated March 12, 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](mailto:compliance@albertamsa.ca) and [enforcement@auc.ab.ca](mailto:enforcement@auc.ab.ca). Questions can be directed to [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 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](mailto:compliance@albertamsa.ca).

## SIGNATURE

Signature	"Original Signed"	Signature Date	March 29, 2021
Name	Andrew Wilkins	Title	Director, Compliance