

## NOTICE OF SPECIFIED PENALTY

Date of Issue: January 26, 2022		Payment Due Date: February 28, 2022	
MSA File Number	RS2021-260	<b>Specified Penalty Amount<sup>1</sup></b>	<b>\$3,750</b>
Registered Entity Name	Suncor Energy Inc.		
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	R3	Accepted Mitigation Plan	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
Date of Referral/Self Report	October 14, 2021	Date of Contravention	April 1, 2020 to September 5, 2021

### EVENT DETAILS

Pursuant to the Alberta Electric System Operator (AESO) Alberta Reliability Standards 2021-2023 Audit Schedule, the AESO conducted a scheduled Q2-2021 compliance monitoring audit of Suncor Energy Inc. The applicable audit period with respect to PRC-005-AB1-6 and PRC-005-AB2-6 extended from April 1, 2020 to March 31, 2021. Based upon the AESO's audit findings, the MSA finds that PRC-005-AB1-6 and PRC-005-AB2-6 were contravened as follows:

- 1) From August 1, 2020 to August 4, 2020, Suncor Energy Inc. did not maintain its protection systems, automatic reclosing, and sudden pressure relaying for one component in accordance with the maintenance activities intervals prescribed within Table 1-2.
- 2) From April 1, 2020 to September 5, 2021, Suncor Energy Inc. did not maintain its protection systems, automatic reclosing, and sudden pressure relaying for five components in accordance with maintenance activities intervals prescribed within Table 1-4(b).

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

**R3** Each legal owner of a transmission facility, legal owner of a generating unit, and legal owner of an aggregated generating facility that uses time-based maintenance program(s) must maintain its protection system, automatic reclosing, and sudden pressure relaying components that are included within the time-based maintenance program in accordance with the minimum maintenance activities and maximum maintenance intervals prescribed within Tables 1-1 through 1-5, Table 2, Table 3, Tables 4-1 through 4-3, and Table 5 of Appendix 1.

**MR3** Evidence of maintaining protection system, automatic reclosing, and sudden pressure relaying components in accordance with the minimum maintenance activities and maximum maintenance intervals as required in requirement R3 exists. Evidence may include, but is not limited to, dated maintenance records, dated maintenance summaries, dated check-off lists, dated inspection records, or dated work orders 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 R3.

### MATERIAL FACTS

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

1. Referral from the AESO to the MSA dated October 14, 2021, including the AESO Alberta Reliability Standards Compliance Monitoring Audit Report regarding the Q2-2021 Compliance Monitoring Audit of Suncor Energy Inc.
2. Completed Mitigation Plan submitted by Suncor Energy Inc. to the MSA dated October 22, 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).

<sup>1</sup> Specified penalty amount 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 became effective on October 13, 2020.

**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	January 26, 2022
Name	Andrew Wilkins	Title	Director, Compliance