

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 11, 2019		Payment Due Date: August 12, 2019	
MSA File Number	2019-079	Specified Penalty Amount	\$750
Registered Entity Name	Balancing Pool		
Asset ID (if applicable)	KH1	Self-Report	☒ YES ☐ NO
ISO Rule	203.4	Date of Contravention	January 28, 2019
Date of Referral/Self Report	February 12, 2019	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

At approximately 05:11 on January 28, 2019, the KH1 asset received and accepted an energy dispatch for 383 MW. The KH1 asset began ramping towards the MW level indicated in the dispatch. However, the KH1 asset did not reach generating steady state, within the allowable dispatch variance, within the time contemplated in the ISO Rules. Subsection 4 of section 203.4 of the ISO rules states:

4(1) A pool participant must move the output of a generating source asset which is:

- (a) the subject of a dispatch; and
- (b) ramping

towards the MW level indicated in that dispatch within ten (10) minutes of the time specified in the dispatch but not prior to the time specified in the dispatch.

(2) A pool participant must ensure that each generating source asset reaches generating asset steady state in:

(a) no longer than the period of time calculated as follows:

- (i) divide the change in dispatch MW by the ramp rate the pool participant submits;
- (ii) add forty percent (40%) of the time calculated in subsection 4(2)(a)(i) or five (5) minutes, whichever is greater; and
- (iii) add the ten (10) minutes referred to in subsection 4(1); and

(b) no sooner than the period of time calculated as follows:

- (i) divide the change in dispatch MW by the ramp rate the pool participant submits; and
- (ii) subtract forty percent (40%) of the time calculated in subsection 4(2)(b)(i) or five (5) minutes, whichever is greater.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 203.4.

MATERIAL FACTS

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

- AESO available capability, dispatch, and generation data for KH1 for January 28, 2019.
- Self-report submitted by the Balancing Pool to the MSA dated February 12, 2019.

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: 1400, 600 – 3rd Avenue S.W., Calgary, Alberta, T2P 0G5. Questions in respect of delivery of payment should be directed to the 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: Jeremy Smith (Financial Accountant) Jeremy.Smith@auc.ab.ca, and Greg Andrews (Investigator) Greg.Andrews@auc.ab.ca.

NOTICE

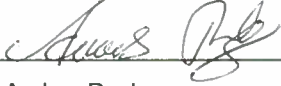
The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* to issue a Notice of Specified Penalty where the MSA is satisfied that a person has contravened an ISO rule. Specified penalties are set out in AUC Rule 019.

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 019 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		Signature Date	July 11, 2019
Name	Anders Renborg	Title	Director, Compliance