

NOTICE OF SPECIFIED PENALTY

Date of Issue: August 31, 2016

Payment Due Date: September 30, 2016

MSA File Number:	2016-258	Specified Penalty Amount:	\$ 500
Market Participant Name:	Balancing Pool		
Asset ID (if applicable):	GN1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	205.3	Date of Contravention:	May 12, 2016
Date of Referral/Self Report:	August 24, 2016	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

At 05:17 on May 12, 2016, the GN1 generating asset's available capability (AC) was restated to 0 MW following a unit trip, however, GN1 remained dispatched for 40 MW of spinning reserve until 06:24 when an ancillary services offer restatement was made. From 05:17 until 06:24, GN1 was not able to meet the performance requirements set out in ISO rule section 205.5, Spinning Reserve Technical Requirements and Performance Standards. ISO rule 205.3 indicates that a pool participant that submits an offer must, as soon as reasonably practicable, submit a restatement to represent the operating state of the pool asset if: a) the pool asset is no longer able to deliver the MW set out in the offer; or b) the pool participant is not able to meet the requirements set out in section 205.5 of the ISO rules.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO Rule 205.3.

MATERIAL FACTS

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

1. AESO dispatch and available capability data for GN1 for May 12, 2016.
2. AESO information request issued to Balancing Pool dated August 2, 2016.
3. Balancing Pool's response to the AESO information request dated August 12, 2016.
4. Referral from the AESO to the MSA dated August 24, 2016.

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 Andrew Davison (Senior Market Analyst) andrew.davison@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:	"Original Signed"	Signature Date:	August 31, 2016
Name:	Doug Doll	Title:	Director Corporate Services and Compliance