

## NOTICE OF SPECIFIED PENALTY

Date of Issue: October 10, 2017		Payment Due Date: November 9, 2017	
MSA File Number	2017-372	<b>Specified Penalty Amount</b>	<b>\$750</b>
Registered Entity Name	Balancing Pool		
Asset ID (if applicable)	SD5	Self-Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule	203.4	Date of Contravention	August 21, 2017
Date of Referral/Self Report	September 18, 2017	This is the first contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

At the start of the HE 16 settlement interval on August 21, 2017, the generating asset SD5 was in generating asset steady state. At approximately 15:06, the MW delivered to the grid by SD5 was outside of its allowable dispatch variance. At approximately 15:19, an available capability (AC) restatement was submitted modifying the AC from 400 to 370 MW, prompting an energy dispatch for 370 MW effective immediately. SD5 did not move towards the 370 MW dispatch within 10 minutes of the time specified in the dispatch, nor did SD5 reach generating asset steady state in the time specified in subsection 4(2)(a) of section 203.4 of the ISO rules. No AC restatement was submitted between approximately 15:19 and 15:53, after which time the MW delivered to the grid by SD5 reached its allowable dispatch variance. Section 203.4 of the ISO rules states, in part:

- 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

[...]

5(3) A pool participant must, if an operational deviation extends for twenty (20) minutes or longer, submit an available capability restatement or MW restatement for the generating source asset that represents the operational capability of the generating source asset and must do so no later than twenty (20) minutes after the commencement of the operational deviation.

### 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:
1. AESO available capability, dispatch and generation data for SD5 for August 21, 2017.
  2. Self-report submitted by the Balancing Pool to the MSA dated September 18, 2017.

### 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 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](mailto:compliance@albertamsa.ca), with copy to the following AUC personnel: Jeremy Smith (Financial Accountant) [Jeremy.Smith@auc.ab.ca](mailto:Jeremy.Smith@auc.ab.ca), and Greg Andrews (Investigator) [Greg.Andrews@auc.ab.ca](mailto: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](mailto:compliance@albertamsa.ca).

## SIGNATURE

Signature	"Original Signed"	Signature Date	October 10, 2017
Name	Andrew Wilkins	Title	Manager, Compliance