

NOTICE OF SPECIFIED PENALTY

Date of Issue: December 14, 2017		Payment Due Date: January 15, 2018	
MSA File Number	2017-466	Specified Penalty Amount	\$1,250
Registered Entity Name	Balancing Pool		
Asset ID (if applicable)	SD4	Self-Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule	203.4	Date of Contravention	November 5, 2017
Date of Referral/Self Report	December 1, 2017	This is the second contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On November 5, 2017 at approximately 04:32, the generating asset SD4 received an energy dispatch for 301 MW, effective immediately. By approximately 04:57, SD4 reached the MW specified in the energy dispatch minus its allowable dispatch variance. However, for each of the 10 minute clock periods in the HE 06 settlement period, the average MW SD4 delivered varied from the amount specified in the energy dispatch by more than its allowable dispatch variance. An available capability restatement from 301 MW to 250 MW was made at approximately 05:58. SD4 received an energy dispatch for 250 MW at approximately 06:00, effective immediately. Section 203.4 of the ISO rules states, in part:

3(1) A pool participant must not, during generating asset steady state, vary the average MW it delivers from a generating source asset in any 10 minute clock period from the dispatch MW by more than the allowable dispatch variance.

[...]

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 SD4 for November 5, 2017.
2. Self-report submitted by the Balancing Pool to the MSA dated December 1, 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, 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	"Original Signed"	Signature Date	December 14, 2017
Name	Andrew Wilkins	Title	Manager, Compliance