

NOTICE OF SPECIFIED PENALTY

Date of Issue: September 14, 2018		Payment Due Date: October 15, 2018	
MSA File Number	2018-219	Specified Penalty Amount	\$500
Registered Entity Name	TransAlta Corporation		
Asset ID (if applicable)	GWW1	Self-Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule	304.3	Date of Contravention	March 30, 2018
Date of Referral/Self Report	June 14, 2018	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On March 30, 2018 at approximately 06:18, GWW1 received a wind power limit pro rata share Supervisory Control and Data Acquisition (SCADA) directive for 40.25 MW. However, GWW1 generated above this directive limit from approximately 06:32 until the directive was cancelled. Subsection 5 of section 304.3 of the ISO rules states, in part:

- (3) If a non-exempt wind aggregated generating facility receives:
- (a) a pro rata share Supervisory Control and Data Acquisition directive signal under subsection 4(3); and
 - (b) a curtailment directive for any other reason;
- then the operator must comply with the subsection 5(3) (b) curtailment directive

[...]

- (4) Subject to the tolerances set out in subsection 18 of section 502.1 of the ISO rules, Wind Aggregated Generating Facilities Technical Requirements, a non-exempt wind aggregated generating facility must, by means of a Supervisory Control and Data Acquisition signal sent to the ISO, comply with a wind power limit pro rata share directive signal no later than ten (10) minutes after the ISO has sent the signal.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 304.3.

MATERIAL FACTS

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

1. AESO generation and SCADA directive data for GWW1 for March 30, 2018.
2. AESO information request issued to TransAlta Corporation dated May 29, 2018.
3. TransAlta Corporation's response to the AESO information request dated June 12, 2018.
4. Referral from the AESO to the MSA dated June 14, 2018.

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	"Original Signed"	Signature Date	September 14, 2018
Name	Doug Doll	Title	Director, Corporate Services and Compliance