

NOTICE OF SPECIFIED PENALTY

Date of Issue: September 20, 2019		Payment Due Date: October 21, 2019	
MSA File Number	2019-258	Specified Penalty Amount	\$750
Registered Entity Name	Balancing Pool		
Asset ID (if applicable)	KH1	Self-Report	☒ YES ☐ NO
ISO Rule	203.3	Date of Contravention	May 19, 2019
Date of Referral/Self Report	June 18, 2019	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

Prior to this event Keephills 1 (KH1) was involved in an outage that was scheduled to end at 17:00 on May 28, 2019. At 03:03 on May 19, 2019 an Energy Management Specialist (EMS) at the Energy Management Operations Centre (EMOC) received a declaration file from KH1 that contained a revised start-up time of May 26 at 14:00.

At 03:54 the EMS incorrectly submitted the revised start up time for KH1 as May 28 at 14:00 into the AESO's Energy Trading System (ETS). During routine morning checks an EMS noticed the discrepancy between the declaration file and ETS and called the KH1 operator to confirm. At 10:12 the EMS submitted the correct start up information for KH1 into ETS. Subsection 2 of section 203.3 of the ISO rules states in part:

(2) A pool participant that submits an offer must, if there is a change to the available capability of the source asset as a result of any of the circumstances outlined in subsections 2(1)(a), (b) or (c), submit an available capability restatement revising the available capability for the applicable hours, as soon as reasonably practicable.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 203.3.

MATERIAL FACTS

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

1. AESO available capability data for KH1 for May 1 – June 15, 2019.
2. Self-report submitted by the Balancing Pool to the MSA dated June 18, 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	"Original signed"	Signature Date	September 13, 2019
Name	Anders Renborg	Title	Director, Compliance