

## NOTICE OF SPECIFIED PENALTY

Date of Issue: October 16, 2019		Payment Due Date: November 15, 2019	
MSA File Number	2019-305	<b>Specified Penalty Amount</b>	<b>\$750</b>
Registered Entity Name	Balancing Pool		
Asset ID (if applicable)	GN1	Self-Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule	203.3	Date of Contravention	June 13, 2019
Date of Referral/Self Report	July 11, 2019	This is the first contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

Between approximately 15:20 on June 13, 2019 and 10:08 on June 25, 2019, the available capability (AC) of GN1 was incorrectly declared for July 2, 2019 for settlement intervals HE 01 through HE 03. For these settlement intervals, GN1 was declared to be 40 MW when the AC should have been stated as 400 MW.

Section 203.3 of the ISO Rules states in part:

- 2(1) A pool participant must only submit an available capability restatement revising the available capability of a source asset if such revision is:
- (a) as a result of an acceptable operational reason;
  - (b) in relation to an operational deviation and required under subsection 5(3) of section 203.4 of the ISO rules, *Delivery Requirements for Energy*; or
  - (c) in order to reflect the output of the source asset which is restricted during either one (1) or both of commissioning and testing under section 505.3 of the ISO rules, *Coordinating Synchronization, Commissioning, WECC Testing and Ancillary Services Testing* or under section 505.4 of the ISO rules, *Coordinating Operational Testing*.
- (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 GN1 for June 13, 2019 through July 5, 2019.
  2. Self-report submitted by the Balancing Pool to the MSA dated July 11, 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](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 16, 2019
Name	Andrew Wilkins	Title	Director, Compliance