

NOTICE OF SPECIFIED PENALTY

Date of Issue: November 18, 2019		Payment Due Date: December 19, 2019	
MSA File Number	2019-399	Specified Penalty Amount	\$1,250
Registered Entity Name	Balancing Pool		
Asset ID (if applicable)	KH1	Self-Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule Section	203.4	Date of Contravention	September 3, 2019
Date of Referral/Self Report	September 12, 2019	This is the second contravention by this asset for this section of the ISO rules within a rolling 12 month period.	

EVENT DETAILS

On September 3, 2019, the KH1 asset was dispatched to provide 385 MW of energy for HE 19. For two 10 minute clock periods from 18:30 through 18:49, KH1 varied its average generation from this energy dispatch by more than its allowable dispatch variance. 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.
[...]

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, generation and energy offer data for KH1 for September 3, 2019.
2. Self-report submitted by the Balancing Pool to the MSA dated September 12, 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	November 18, 2019
Name	Andrew Wilkins	Title	Director, Compliance