

## NOTICE OF SPECIFIED PENALTY

Date of Issue: December 18, 2019		Payment Due Date: January 27, 2020	
MSA File Number	2019-470	<b>Specified Penalty Amount</b>	<b>\$500</b>
Registered Entity Name	TransAlta Corporation		
Asset ID (if applicable)	CRE3	Self-Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule Section	201.7	Date of Contravention	May 17, 2019
Date of Referral/Self Report	October 25, 2019	This is the first contravention by this asset for this section of the ISO rules within a rolling 12 month period.	

### EVENT DETAILS

Between approximately 15:48 and 15:56 on May 17, 2019, four consecutive dispatches for the CRE3 asset went unacknowledged within two minutes, resulting in four response timeouts. These response timeouts were the result of IT issues with the market participant's Automated Dispatch and Messaging System (ADaMS). However, the AESO was not contacted by the market participant to report their inability to acknowledge dispatches. Section 201.7 of the ISO Rules states in part:

5 A pool participant must acknowledge receipt of a dispatch:

(a) in the case of an automated message and unless the pool participant has notified the ISO of an unavailability in accordance with subsection 4(1)(a) by responding via the Automated Dispatch and Messaging System:

(i) within two (2) minutes for an intra-Alberta transaction...

4(1) If a pool participant is unable to acknowledge a dispatch electronically due to an unavailability at its facilities of the Automated Dispatch and Messaging System or other electronic or communication systems, then the pool participant must verbally notify the ISO of the unavailability immediately after becoming aware of the unavailability and as soon as practicable, must also:

- (a) provide the reasons for the unavailability;
- (b) provide an estimate of the duration of the unavailability;
- (c) provide the details of an action plan to resolve the unavailability; and
- (d) notify the ISO when the unavailability is over.

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 201.7.

### MATERIAL FACTS

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

1. AESO available capability, generation and dispatch data for CRE3 for May 17, 2019.
2. AESO information request issued to TransAlta Corporation, dated October 8, 2019.
3. TransAlta Corporation's response to the AESO information request, dated October 21, 2019.
4. Referral from the AESO to the MSA dated October 25, 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	December 18, 2019
Name	Andrew Wilkins	Title	Director, Compliance