

NOTICE OF SPECIFIED PENALTY

Date of Issue: January 30, 2020		Payment Due Date: March 2, 2020	
MSA File Number	2019-529	Specified Penalty Amount	\$1,500
Registered Entity Name	TransAlta Generation Partnership		
Asset ID (if applicable)	BRA	Self-Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule Section	203.3	Date of Contravention	May 9, 2019
Date of Referral/Self Report	December 6, 2019	This is the first contravention by this asset for this section of the ISO rules within a rolling 12 month period.	

EVENT DETAILS

On May 9, 2019, at approximately 13:47, TransAlta Generation Partnership submitted an available capability restatement from 340 MW to 0 MW for HE 15 through HE 24 for the BRA asset, with the reason "Forced Derate". At approximately 14:43, TransAlta Generation Partnership submitted an available capability restatement from 0 MW to 340 MW for HE 15 through HE 24 for the BRA asset, with the reason "Forced Derate". Information available to the MSA indicates that TransAlta Generation Partnership did not accurately submit reasons for these restatements. 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.
- (3) A pool participant must submit the reason or reasons for submitting an available capability restatement for a source asset.

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 and generation data for BRA for May 9, 2019.
 2. AESO information request issued to TransAlta Generation Partnership, dated October 17, 2019.
 3. TransAlta Generation Partnership's response to the AESO information request, dated November 4, 2019.
 4. Referral from the AESO to the MSA dated December 6, 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	January 30, 2020
Name	Andrew Wilkins	Title	Director, Compliance