

## NOTICE OF SPECIFIED PENALTY

Date of Issue: February 7, 2020		Payment Due Date: March 9, 2020	
MSA File Number	2019-530	<b>Specified Penalty Amount</b>	<b>\$500</b>
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	205.3	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, TransAlta Generation Partnership had sold 45 MW of standby regulating reserve from the BRA asset, for the HE 15 settlement interval. At approximately 13:47, TransAlta Generation Partnership submitted an available capability restatement for the BRA asset, from 340 MW to 0 MW, affecting the HE 15 through HE 24 settlement intervals. Information available to the MSA indicates that TransAlta Generation Partnership did not make restatements and or substitutions, for its full 45 MW regulating reserve commitment for HE 15. Section 205.3 of the ISO rules states in part:

- 3(4) A pool participant that submits an offer must, as soon as reasonably practicable, submit a restatement to represent the operating state of the pool asset if:
- (a) the pool asset is no longer able to deliver the MW set out in the offer; or
  - (b) the pool participant is not able to meet the requirements set out in Section 205.4 of the ISO rules, *Regulating Reserve Technical Requirements and Performance Standards*, Section 205.5 of the ISO rules, *Spinning Reserve Technical Requirements and Performance Standards* or Section 205.6 of the ISO rules, *Supplemental Reserve Technical Requirements and Performance Standards*, as applicable.

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of section 205.3 of the ISO rules.

### MATERIAL FACTS

- The material facts relied upon by the MSA include the following:
1. AESO available capability, dispatch, generation and offer 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](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	February 7, 2020
Name	Andrew Wilkins	Title	Director, Compliance