

## NOTICE OF SPECIFIED PENALTY

Date of Issue: January 31, 2020		Payment Due Date: March 2, 2020	
MSA File Number	2020-001	<b>Specified Penalty Amount</b>	<b>\$250</b>
Registered Entity Name	Heartland Generation Ltd.		
Asset ID (if applicable)	BR4	Self-Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule Section	205.5	Date of Contravention	December 7, 2019
Date of Referral/Self Report	January 7, 2020	This is the first contravention by this asset for this section of the ISO rules within a rolling 12 month period.	

### EVENT DETAILS

On December 7, 2019, at approximately 17:14:49, the BR4 asset received a directive to provide 15 MW of spinning reserve. Ten minutes following the directive, the increase in real power from BR4 was less than the directed amount. Section 205.5 of the ISO Rules states in part:

- 10(1) A pool participant must, within ten (10) minutes following receipt of a directive to provide spinning reserve, ensure that its pool asset is providing a quantity of real power equal to the instantaneous amount of real power of the pool asset at the time of the directive and the amount of real power set out in the directive.
- (2) A pool participant must ensure that, from the first time its pool asset achieves the response set out in subsection 10(1) to the time fifteen (15) minutes following receipt of the directive, the pool asset is providing an average response equal to or greater than the amount of real power set out in the directive.
- (3) A pool participant must ensure that, for each consecutive ten (10) minute interval beginning fifteen (15) minutes following receipt of a directive, the average response from the pool asset equals the amount of real power set out in the directive, within a tolerance of plus or minus:
- (a) 5 MW for a pool asset with a maximum capability of 200 MW or less; or
  - (b) 10 MW for a pool asset with a maximum capability of greater than 200 MW.

[...]

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 205.5.

### MATERIAL FACTS

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

1. AESO available capability, dispatch, generation and energy offer data for BR4 for December 7, 2019.
2. Self-report submitted by Heartland Generation Ltd. to the MSA dated January 7, 2020.

### 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	January 31, 2020
Name	Andrew Wilkins	Title	Director, Compliance