

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 31, 2020		Payment Due Date: August 31, 2020	
MSA File Number	2020-129	Specified Penalty Amount	\$250
Market Participant Name	Alberta Electric System Operator		
Asset ID (if applicable)		Self-Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule Section	502.4	Date of Contravention	April 15 through 23, 2020
Date of Referral/Self Report	May 13, 2020	This is the first contravention by this asset for this section of the ISO rules within a rolling 12 month period.	

EVENT DETAILS

From April 15 through 21, 2020, the Alberta Electric System Operator experienced periodic losses of its emergency and back up communications system. The AESO did not give verbal notice to all affected market participants during the period from April 15 through April 23, 2020. Section 502.4 of the ISO rules states in part:

10(1) If either the ISO or a market participant experiences a material disruption or complete loss of any emergency and back up communication systems at a point in time other than during a test period, then verbal notice must be given by:
 (a) the ISO to all affected market participants, if the ISO suffers the disruption of loss; or

[...]

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of section 502.4 of the ISO rules.

MATERIAL FACTS

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

1. Self-report submitted by Alberta Electric System Operator to the MSA dated May 13, 2020.

DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made payable to the "General Revenue Fund c/o Minister of Finance", and delivered to Alberta Energy at: 9945 – 108 Street NW, Edmonton, Alberta, T5K 2G6. The payment should reference this Notice of Specified Penalty and related MSA File #. Electronic copies of the payment and confirmation of delivery should be sent by email to compliance@albertamsa.ca and enforcement@auc.ab.ca. Questions can be directed to compliance@albertamsa.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	July 31, 2020
Name	Andrew Wilkins	Title	Director, Compliance