

NOTICE OF SPECIFIED PENALTY

Date of Issue: March 31, 2021		Payment Due Date: May 3, 2021	
MSA File Number	2020-331	Specified Penalty Amount	\$500
Market Participant Name	TransAlta Generation Partnership		
Asset ID (if applicable)	SD4	Self-Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule Section	304.4	Date of Contravention	June 28, 2020
Date of Referral/Self Report	September 30, 2020	This is the first contravention by this asset for this section of the ISO rules within a rolling 12-month period.	

EVENT DETAILS

At approximately 11:56 on June 28, 2020, the set point for the SD4 generating asset's reactive power resource was adjusted. Information available to the MSA indicates that the MVAR set point change was made without a directive or instruction to do so. Between approximately 13:01 and 13:03 on the same day, the SD4 set point for the reactive power resource was adjusted again. Information available to the MSA indicates that the MVAR set point change was made without a directive or instruction to do so. Section 304.4 of the ISO rules states in part:

- 2 The operator of a generating unit, operator of an aggregated generating facility and operator of a transmission facility must not adjust:
- (a) the set point of the automatic voltage regulator or voltage regulating system;
 - (b) the on-load tap changer that is manually operated; or
 - (c) the set point or status of the controllable reactive power resource,
- unless in response to a directive or instruction to do so, or unless first advising the ISO of the reason for the adjustment and obtaining approval from the ISO to make the adjustment.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of section 304.4 of the ISO rules.

MATERIAL FACTS

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

1. AESO available capability, dispatch, generation, reactive power, and offer data for SD4 for June 28, 2020.
2. AESO information request issued to TransAlta Generation Partnership, dated September 2, 2020.
3. TransAlta Generation Partnership's response to the AESO information request, dated September 11, 2020.
4. Referral from the AESO to the MSA dated September 30, 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	March 31, 2021
Name	Andrew Wilkins	Title	Director, Compliance