

NOTICE OF SPECIFIED PENALTY

Date of Issue: June 10, 2021		Payment Due Date: July 12, 2021	
MSA File Number	2020-389	Specified Penalty Amount	\$500
Market Participant Name	TransAlta Corporation		
Asset ID (if applicable)	CRE3	Self-Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule Section	502.8	Date of Contravention	July 10, 2019 to April 8, 2020
Date of Referral/Self Report	November 18, 2020	This is the first contravention by this asset for this section of the ISO rules within a rolling 12 month period.	

EVENT DETAILS

Information available to the MSA indicates that from July 10, 2019 through April 8, 2020, Supervisory Control and Data Acquisition (SCADA) data pertaining to the CRE3 generating asset was unavailable. Section 502.8 of the ISO rules states, in part:

3(1) Subject to subsection 3(3), the provisions of this Section 502.8 do not apply to the legal owner of a generating unit, aggregated generating facility, transmission facility, or a load facility that was energized and commissioned prior to April 7, 2017 in accordance with a previous technical requirement, technical standard, ISO rule or functional specification, but the legal owner of such an existing generating unit, aggregated generating facility, transmission facility, or a load facility must remain compliant with all the standards and requirements set out in that previous technical requirement, technical standard, ISO rule, or functional specification.

In this case, the relevant specifications are set out in Requirements 5.4 and 5.11 of Technical Standard 003.1 - *Electric Facility Data and Communications for the Alberta Control Area*, which states:

5.4 Real-time data requirements - visibility levels

Real-time data requirements for monitoring aspects of the security of the power systems in the Alberta Control Area are categorized into two visibility levels. The visibility level associated with each facility depends on the individual facility parameters (see Table 2).

Table 2 - Required visibility levels corresponding to individual facility parameters

Facility Parameters (see Note 1)	Required Visibility Level		Visibility Not Required
	Standard	Basic	
Facility generation capability levels			
The facility contains generation totaling less than 5 MW (sum of MCRs)			✓
The facility contains generation totaling 5 MW or greater, but less than 50 MW (sum of MCRs)		✓	
The facility contains generation totaling 50 MW or greater (sum of MCRs)	✓		
Generator (capacity totaling 5 MW or more) that provides ancillary services	✓ (see Note 2)	✓	

5.11 Telemetry data availability specification

The System Controller will track and collect statistics on telemetry data availability/unavailability. The acceptable limits are specified in Table 7.

Table 7 - Availability requirements for the communication path based on the required visibility level

Required Visibility Level	Availability (%)	Upper Limit of Acceptable Values	
		Unavailability (hrs off/year)	Expected Mean Time to Repair
Standard	99.8	17.5	4 hours
Basic			
- without Ancillary Services	98.0	175.2	2 days
- with Ancillary Services	99.8	17.5	4 hours

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of section 502.8 of the ISO rules.

MATERIAL FACTS

- The material facts relied upon by the MSA include the following:
1. AESO generation data for CRE3 from July 10, 2019 to April 8, 2020.
 2. AESO information request issued to TransAlta Corporation, dated July 31, 2020.
 3. TransAlta Corporation's response to the AESO information request, dated August 31, 2020.
 4. Referral from the AESO to the MSA dated November 18, 2020.
 5. Additional information provided by TransAlta Corporation to the MSA dated May 10, 2021.

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	June 10, 2021
Name	Andrew Wilkins	Title	Director, Compliance