

## NOTICE OF SPECIFIED PENALTY

Date of Issue: June 30, 2021		Payment Due Date: August 3, 2021	
MSA File Number	2021-115	<b>Specified Penalty Amount</b>	<b>\$500</b>
Market Participant Name	TA Alberta Hydro LP		
Asset ID (if applicable)	BIG	Self-Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule Section	205.3	Date of Contravention	October 19, 2020
Date of Referral/Self Report	March 12, 2021	This is the first contravention by this asset for this section of the ISO rules within a rolling 12 month period.	

### EVENT DETAILS

On October 19, 2020, at approximately 16:33, TA Alberta Hydro LP (TransAlta) communicated to the AESO that they had lost supervisory control over the BIG generating asset. Starting at 16:36:51, TransAlta submitted a series of energy market restatements so that the available capability, minimum stable generation and Block 0 offer volume were equal, and therefore BIG would not have been able to deliver the 20 MW of active supplemental reserves supplied by generation (SUPG) that the asset was contracted to provide. At 18:02:57, an operating reserve restatement was made, which changed the volume from 20 MW to 0 MW starting for the HE 19 settlement interval; however, no restatements were made for HE 17 and HE 18. Information available to the MSA indicates that TransAlta did not submit a restatement to represent the operating state of the pool asset, or do so as soon as reasonably practicable. 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 203.3 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 BIG for October 19, 2020.
2. AESO information request issued to TransAlta dated January 14, 2021.
3. TransAlta's response to the AESO information request, dated February 10, 2021.
4. Referral from the AESO to the MSA dated March 12, 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](mailto:compliance@albertamsa.ca) and [enforcement@auc.ab.ca](mailto:enforcement@auc.ab.ca). Questions can be directed to [compliance@albertamsa.ca](mailto: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](mailto:compliance@albertamsa.ca).

**SIGNATURE**

Signature	"Original Signed"	Signature Date	June 30, 2021
Name	Andrew Wilkins	Title	Director, Compliance