

NOTICE OF SPECIFIED PENALTY

Date of Issue: December 17, 2021		Payment Due Date: January 21, 2022	
MSA File Number	2021-272	Specified Penalty Amount	\$500
Market Participant Name	Alberta Electric System Operator		
Asset ID (if applicable)		Self-Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule Section	502.4	Date of Contravention	March 17, 2019 through August 2, 2021
Date of Referral/Self-Report	June 15, 2021	This is the first contravention by this asset for this section of the ISO rules within a rolling 12 month period.	

EVENT DETAILS

From March 17, 2019 through August 2, 2021, the Alberta Electric System Operator ("AESO") did not provide notifications of the test schedule to any of the operators of a market participant whose system was to be tested. In addition, in October 2020, the AESO did not provide verbal notification of an emergency and backup communication test failure to the affected operator. Section 502.4 of the ISO rules states in part:

9(1) The ISO must conduct tests for all emergency and back up communication systems on a reasonable basis and the testing schedule time and date must be made known reasonably in advance to the operator of a market participant whose system will be tested.

(2) If the test is a success then the ISO will not notify the operator, but if the test is a failure then the ISO will verbally notify the operator of the failure no later than twenty four (24) hours after the test in [sic] completed.

[...]

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. MSA information request issued to the AESO dated June 15, 2021.
2. Response submitted by the AESO to the MSA dated July 6, 2021.
3. Additional MSA information request issued to the AESO dated September 22, 2021.
4. Response submitted by the AESO to the MSA dated October 8, 2021.
5. Additional information submitted by the AESO to the MSA dated October 28, 2021.
6. Additional information submitted by the AESO to the MSA dated December 9, 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	December 17, 2021
Name	Andrew Wilkins	Title	Director, Compliance