

## NOTICE OF SPECIFIED PENALTY

Date of Issue: February 28, 2022		Payment Due Date: March 30, 2022	
MSA File Number	2021-425	<b>Specified Penalty Amount</b>	<b>\$500</b>
Market Participant Name	Capital Power (Genesee) L.P.		
Asset ID (if applicable)	GN1	Self-Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule Section	306.5	Date of Contravention	January 1, 2021
Date of Referral/Self-Report	December 17, 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 January 1, 2021, an Energy Trading System submission for the GN1 asset was entered, indicating that the available capability was 0 MW for the settlement intervals March 18, 2022 HE 24 through April 12, 2022 HE 23. The reason included with this submission did not include the specific nature of the planned outage work to be done. Section 306.5 of the ISO rules states in part:

- 3(1) A pool participant must, in respect of any planned outage, submit to the ISO:
- (a) the dates, times, durations and impact to MW capability for the planned outage;
  - (b) the specific nature of the planned outage work to be done; and
  - (c) a designation of the planned outage as “Derate-Planned” or “Outage-Planned”.
- (2) A pool participant must, by the first (1st) day of every month after the date of energization, submit the information set out in subsection 3(1) to the ISO related to planned outages that, as of the time of the submission, are planned to occur at any time within the next 24 months.
- (3) A pool participant must, with respect to:
- (a) any revisions to the information submitted to the ISO under subsection 3(1); or
  - (b) a planned outage that is not included in the submission set out in subsection 3(2);
- submit such information or planned outage as soon as reasonably practicable.  
[...]

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of section 306.5 of the ISO rules.

### MATERIAL FACTS

- The material facts relied upon by the MSA include the following:
1. AESO available capability and outage data for GN1 for the settlement intervals March 18, 2022 HE 24 through April 12, 2022 HE 23.
  2. AESO information request issued to Capital Power (Genesee) L.P., dated August 13, 2021.
  3. Capital Power (Genesee) L.P.’s response to the AESO information request, dated August 31, 2021.
  4. Referral from the AESO to the MSA dated December 17, 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	February 28, 2022
Name	Andrew Wilkins	Title	Director, Compliance