

NOTICE OF SPECIFIED PENALTY

Date of Issue: February 28, 2023		Payment Due Date: March 30, 2023	
MSA File Number	2022-339	Specified Penalty Amount	\$500
Market Participant Name	Windrise Wind LP		
Asset ID (if applicable)	WRW1	Self-Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule Section	306.5	Date of Contravention	June 9 through October 31, 2021
Date of Referral/Self Report	November 24, 2022	This is the first contravention by this asset for this section of the ISO rules within a rolling 12-month period.	

EVENT DETAILS

From June 9 through October 31, 2021, information available to the MSA indicates that the planned outage (commissioning) work to be done, including the impact to the WRW1 asset's MW capability, was not updated in the Energy Trading System as soon as reasonably practicable. Section 306.5 of the ISO rules states in part:

2(1) A pool participant must, for any outage that results or will result in a change in available capability of 5 MW or greater, comply with the notification requirements set forth in subsections 3, 4 or 5, as applicable.

[...]

(3) A pool participant must submit information required to be provided to the ISO pursuant to this Section 306.5 via the Energy Trading System.

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".

[...]

(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, dispatch, generation, outage, and offer data for WRW1 for June 9 through October 31, 2021.
2. AESO information request issued to Windrise Wind LP, dated September 26, 2022.
3. Windrise Wind LP's response to the AESO information request, dated October 13, 2022.
4. Referral from the AESO to the MSA dated November 24, 2022.
5. Additional information provided by Windrise Wind LP to the MSA dated December 8, 2022.

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	February 28, 2023
Name	Andrew Wilkins	Title	Director, Compliance