

NOTICE OF SPECIFIED PENALTY

Date of Issue: October 10, 2017		Payment Due Date: November 9, 2017	
MSA File Number	2017-375	Specified Penalty Amount	\$750
Registered Entity Name	Balancing Pool		
Asset ID (if applicable)	SD4	Self-Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule	203.4	Date of Contravention	August 21, 2017
Date of Referral/Self Report	September 18, 2017	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

At approximately 10:59 on August 21, 2017, the generating asset SD4 received an energy dispatch for 380 MW, effective immediately, and was in generating asset steady state shortly thereafter. However, from approximately 11:52 to 12:38, the MW delivered to the grid by SD4 was outside of its allowable dispatch variance, and no available capability restatement was submitted during this period. Section 203.4 of the ISO rules states, in part:

3(1) A pool participant must not, during generating asset steady state, vary the average MW it delivers from a generating source asset in any 10 minute clock period from the dispatch MW by more than the allowable dispatch variance.

[...]

5(3) A pool participant must, if an operational deviation extends for twenty (20) minutes or longer, submit an available capability restatement or MW restatement for the generating source asset that represents the operational capability of the generating source asset and must do so no later than twenty (20) minutes after the commencement of the operational deviation.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 203.4.

MATERIAL FACTS

The material facts relied upon by the MSA include the following:

1. AESO available capability, dispatch and generation data for SD4 for August 21, 2017.
2. Self-report submitted by the Balancing Pool to the MSA dated September 18, 2017.

DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be directed to the AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Jeremy Smith (Financial Accountant) Jeremy.Smith@auc.ab.ca, and Greg Andrews (Investigator) Greg.Andrews@auc.ab.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	October 10, 2017
Name	Andrew Wilkins	Title	Manager, Compliance