

## NOTICE OF SPECIFIED PENALTY

Date of Issue: June 28, 2013

Payment Due Date: July 29, 2013

MSA File Number:	2013-207	<b>Specified Penalty Amount:</b>	\$ 500
Market Participant Name:	Capital Power PPA Management Inc.		
Asset ID (if applicable):	SD5	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.5.3	Date of Contravention:	March 5, 2013
Date of Referral/Self Report:	June 4, 2013	This is the first contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

On March 5, 2013 at 15:31, SD5 was issued an ancillary services directive to provide 25 MW of spinning reserve (SR) and 55 MW of supplemental reserve (SUPG). At 15:33, Capital Power Energy Management Operations Center contacted the AESO System Controller to communicate that the unit was slow to ramp, but would achieve the directive. Information available to the MSA revealed that in the period between 15:41 and 15:43 SD5 failed to meet the MW volume requirement associated with the ancillary services directive. ISO rule 6.5.3 indicates that the system controller will expect from the ancillary service providers that have accepted an ancillary service dispatch, that when the system controller directs them to deliver an ancillary service, it will be delivered up to the ancillary service dispatched level. ISO rule 6.5.3 further indicates that for spinning reserve, supplemental reserve generation and supplemental reserve load (SR, SUPG, SUPL), the amount of MW stated in the ancillary service dispatch will be provided within 10 minutes of an ancillary service directive unless there is immediate risk to personnel or equipment safety.

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of 6.5.3.

### MATERIAL FACTS

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

1. AESO generation and dispatch data for SD5 on March 5, 2013.
2. Referral from the AESO to the MSA dated June 4, 2013.

### 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 addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to [compliance@albertamsa.ca](mailto:compliance@albertamsa.ca), with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) [sabi.ghavami@auc.ab.ca](mailto:sabi.ghavami@auc.ab.ca), and Darin Lowther (Director, Market Rules) [darin.lowther@auc.ab.ca](mailto:darin.lowther@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 30 days 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 28, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services