

NOTICE OF SPECIFIED PENALTY

Date of Issue: October 3, 2013

Payment Due Date: November 4, 2013

MSA File Number:	2013-322	Specified Penalty Amount:	\$ 500
Market Participant Name:	Balancing Pool		
Asset ID (if applicable):	GN2	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.5.3	Date of Contravention:	June 29, 2013
Date of Referral/Self Report:	September 18, 2013	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On June 29, 2013 at 11:21 the AESO System Controller (SC) directed GN2, via ADaMS, to provide 10 MW of supplemental reserve (SUPG). While the GN2 generation asset responded promptly to the directive and achieved the required output level within the specified time frame, subsequent unit output variations while the directive remained in effect resulted in the failure to maintain the required generation level for the duration of the directive. ISO rule 6.5.3 states "When accepting an ancillary service dispatch and receiving an ancillary service directive, ancillary service providers must meet specific service expectations. 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."

FINDINGS

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

MATERIAL FACTS

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

1. AESO generation and dispatch data for GN2 for June 29, 2013.
2. AESO Information Request to the Balancing Pool dated August 27, 2013.
3. Balancing Pool September 10, 2013 response to the AESO Information Request.
4. AESO letter to the Balancing Pool dated September 18, 2013 notifying the referral of the matter to the MSA.

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, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) 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.

SIGNATURE

Signature:	"Original Signed"	Signature Date:	October 3, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services