

Alberta Reliability Standards Self-Certification Letter Template Guide

Date: December 15, 2015
Version: 2.1

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1 Introduction

1.0 BACKGROUND

The *Alberta Reliability Standards Compliance Monitoring Program* specifies that the AESO, as the Compliance Monitoring Authority, “ensures that the appropriate compliance procedures and required forms templates for the reliability standards being evaluated are maintained and available to the market participants”.

To achieve this goal, the AESO has developed the *Alberta Reliability Standards Self-Certification Letter Template*. This document complements the template.

1.1 PURPOSE OF THIS GUIDE

This guide defines the steps for completing the *Alberta Reliability Standards Self-Certification Letter Template*. The end goal of developing this document is to establish a common understanding and to ensure a consistent implementation of the self-certification process.

1.2 APPLICABILITY

This guide applies to all registered market participants in the Alberta Reliability Standards Registry.

2 About this Guide

2.0 SECTIONS

This guide is divided into 5 sections:

Section 1: Introduction

Provides the background, purpose and applicability of this document.

Section 2: About this Guide (this section)

Provides information on how to use this document.

Section 3: Procedures

Provides information on what the registered market participant needs to do in order to complete the *Alberta Reliability Standards Self-Certification Letter Template*:

- 3.0 Self-certification letter template
- 3.1 Cover Sheet form
- 3.2 Applicable Standards form
- 3.3 Officer's Certificate form
- 3.4 Master Standards form
- 3.5 Submitting the self-certification letter

Section 4: Guidelines

The associated guidelines for the template are found in section 4 of the document titled *Alberta Reliability Standards Self-Certification Guide*.

Section 5: Related Documents and Revision History

Provides links to documents referenced in this document and the revision history.

2.1 NAVIGATING THE ELECTRONIC VERSION

The electronic version of this guide contains useful navigation tools that can be used to find pertinent information without searching through each section.

Table of contents

The table of contents shown prior to section 1 can be used as a means of navigating to any section or subsection in the guide.

To jump to a section or subsection, simply click on any line item in the table of contents.

Underlined text

Text that is underlined in blue is used to indicate a link to related topics within the guide or to documents on the internet.

To use the link, click on the underlined text.

3 Procedures

The purpose of this section is to give registered market participants instructions related to completing the *Alberta Reliability Standards Self-Certification Letter Template*.

3.0 SELF-CERTIFICATION LETTER TEMPLATE

The *Alberta Reliability Standards Self-Certification Letter Template* is used to create the necessary documents that need to be submitted for self-certification.

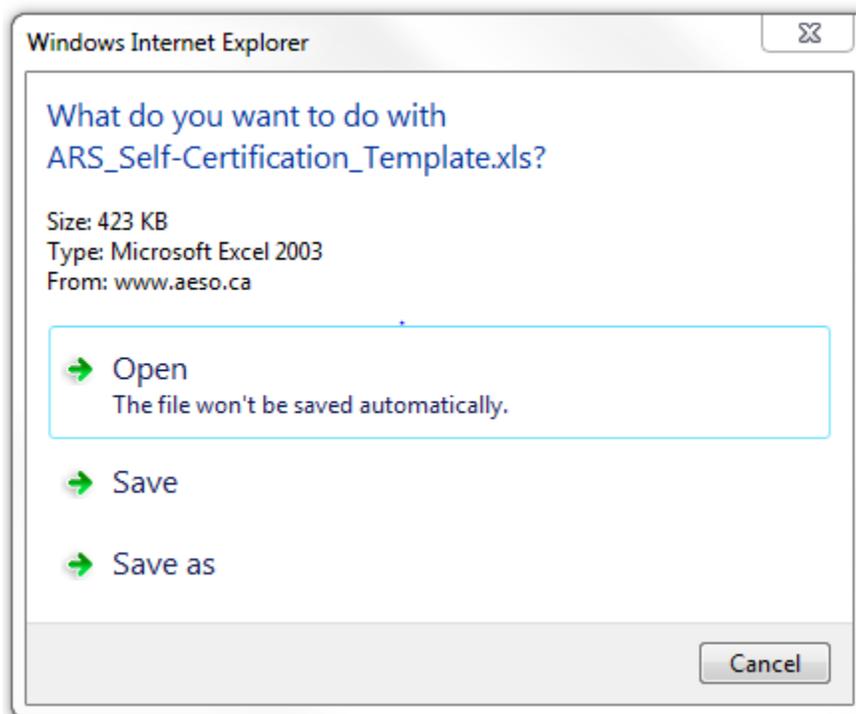
Procedures:

1. Obtain the latest version of the Self-Certification Letter Template

The latest version of the *Alberta Reliability Standards Self-Certification Letter Template* can be found on the AESO's website under: Rules, Standards and Tariff > Compliance > Alberta Reliability Standards compliance > Self-Certification. To download the template, click [here](#) to access the page and then click on the template.

2. Save the template to your computer

Once you have clicked on the template, a dialogue box may open requesting you to either "Open", "Save" or "Save as".



Save the document to your computer.

3.1 COVER SHEET FORM

The Cover Sheet form provides the framework for recording registered market participants' self-certification and contact information. In addition, it allows for the identification of applicable standards and requirements by selecting functional entity types and providing the self-certification period. After completion, this form must be included in the self-certification letter.

Procedures:

1. Open the file that you saved in the previous step

Once you open the document, the following screen should appear:

| Please provide your entity name below | | | |
|--|--|---------|---------|
| Self-Certification For: | [Legal name of the registered market participant] | | |
| Please provide the Self-certification period and the Functional Entity types below | | | |
| Self-Certification Period: | [Start date: MMM DD, YYYY] TO [End date: MMM DD, YYYY] | | |
| Functional Entity Types: <small>In the spaces provided next to the numbers on the right, select all functional entity types that are included in this Self-Certification.</small> | 1 | 7 | 13 |
| | 2 | 8 | 14 |
| | 3 | 9 | 15 |
| | 4 | 10 | 16 |
| | 5 | 11 | 17 |
| | 6 | 12 | 18 |
| Please provide contact information below. | | | |
| Reported By: | [Name] | [Phone] | [Email] |
| <small>Please ensure that the contact information reflects one of the individuals listed on the ARS Registration Form</small> | | | |

2. Do not alter the Cover Sheet structure

The Cover Sheet is used to gather information that will be used to generate the other forms within the template. Altering the Cover Sheet structure may result in the template becoming unusable. Should the template become unusable, simply download a new copy.

3. Fill out the Cover Sheet template

There are four areas that need to be filled out:

1) Self-Certification For:

In the area labeled [Legal name of the registered market participant], enter the legal company name as provided on your registration form.

2) Self-Certification Period:

In the area labeled [Start date: MMM DD, YYYY], enter the start date of the self-certification period.

In the area labeled [End date: MMM DD, YYYY], enter the end date of the self-certification period.

Although most date formats will be accepted, the preferred format is MMM DD, YYYY. An example of this format is: JAN 01, 2015. The spreadsheet will change the date you enter to a format that is more useable – e.g., JAN 01, 2015 becomes January 1, 2015.

3) Functional Entity Types:

In the numbered area, list all the functional entity types applicable to your company for the self-certification period. The functional entities are selected as follows:

- For each cell next to a number, click on the arrow and select a functional entity type from the dropdown list. You may need to scroll within the dropdown list to reveal all possible functional entity types.
- Repeat the above step until you have entered all functional entity types applicable to your company for the self-certification period.

Always start with the cell next to the number 1 and continue selecting in order thereafter. Do not leave a blank numbered cell between entries.

4) Reported By:

In the areas labeled [Name, Phone, Email, Title], enter the contact information for one of the individuals listed on your registration form.

4. Generate the self-certification letter

Information you provide on the Cover Sheet will be used to generate other spreadsheets that you will fill out and submit for self-certification. Errors on the Cover Sheet will produce errors in the subsequent spreadsheets and you may need to start over by downloading a new copy of the template.

Once you have completed entering information on the Cover Sheet, click on the gray button labeled “Generate Self-Certification Letter” that is found in the top right hand corner of the sheet.

Based on the information you provided on the Cover Sheet, the template will create a new workbook with four tabs:

- 1) Cover Sheet
- 2) Applicable Standards
- 3) Officer’s Certificate
- 4) Master Standards

5. Save the newly generated workbook

The newly created workbook contains the spreadsheets that you will submit for self-certification. Save the file using the following naming convention:

CompanyName_SCLetter_Cycle#_YYYY

From this point forward you will use the new workbook.

3.2 APPLICABLE STANDARDS FORM

The Applicable Standards form displays all your applicable reliability standards and requirements, based on the information provided in the initial Cover Sheet form.

The picture below presents an example of the Applicable Standards form:

| COMPLIANCE MONITORING PROGRAM Alberta Reliability Standards Self-Certification - Applicable Standards Confidential | | | | | | | | | | |
|--|------------------------------|--------------------|--|----------------------|--------------------|---------------|-------------------------------------|--|-----------------------|---------------------|
| Reliability Standard Number | Reliability Standard Name | Requirement Number | Applicable To | Effective Begin Date | Effective End Date | Applicability | Fully Compliant (for entire period) | Non-Compliant (violation for part of period) | Violation Type Source | Additional Comments |
| Resource Demand and Balancing | | | | | | | | | | |
| BAL-005-AB-0.2b | Automatic Generation Control | R10.2 | Legal owner of a transmission facility | 2014-04-01 | 2015-06-30 | | | | | |
| BAL-005-AB-0.2b | Automatic Generation Control | R20 | Legal owner of a transmission facility | 2014-04-01 | 2015-06-30 | | | | | |
| BAL-005-AB-0.2b | Automatic Generation Control | R20 | Legal owner of a generating unit | 2014-04-01 | 2015-06-30 | | | | | |
| BAL-005-AB-0.2b | Automatic Generation Control | R21 | Legal owner of a transmission facility | 2014-04-01 | 2015-06-30 | | | | | |
| BAL-005-AB-0.2b | Automatic Generation Control | R21 | Legal owner of a generating unit | 2014-04-01 | 2015-06-30 | | | | | |
| BAL-005-AB1-0.2b | Automatic Generation Control | R12.2 | Legal owner of a transmission facility | 2015-07-01 | 2999-12-31 | | | | | |
| BAL-005-AB1-0.2b | Automatic Generation Control | R17 | Legal owner of a transmission facility | 2015-07-01 | 2999-12-31 | | | | | |
| BAL-005-AB1-0.2b | Automatic Generation Control | R17 | Legal owner of a generating unit | 2015-07-01 | 2999-12-31 | | | | | |
| Critical Infrastructure Protection | | | | | | | | | | |
| CIP-001-AB11 | Sabotage Reporting | R1 | Operator of a generating unit | 2012-12-12 | 2999-12-31 | | | | | |
| CIP-001-AB11 | Sabotage Reporting | R1 | Operator of a transmission facility | 2012-12-12 | 2999-12-31 | | | | | |

Procedures:

1. Verify that the Applicable Standards form is accurate

To open the Applicable Standards form, click on the tab labeled “Applicable Standards”.

Any input error on the Cover Sheet may cause the list of applicable standards and requirements to be incorrect. If the information is not correct, delete this file and correct the information on the Cover Sheet of the downloaded template.

2. Fill out the Applicable Standards form

Once you have verified that the form is accurate, fill in the last five columns for each applicable requirement. Remember that some requirements may be repeated due to applicability for multiple functional entity types and/or new version(s) of the reliability standard. All repeated items will have either a different functional entity type or effective start/end dates.

The five columns should be filled out as follows:

1) Applicability:

- Click on a cell in the Applicability column. A pop up message will show brief instructions on how to make the appropriate selection in this column:

| Applicability | Fully Compliant (for entire period) | Non-Compliant (violation for part of period) | Violation Type Source | Additional Comments |
|---------------|-------------------------------------|--|-----------------------|---------------------|
| | | | | |
| ▼ | | | | |
| | | | | |
| | | | | |
| | | | | |

Applicability
 If the requirement is applicable to you, select Applicable.
 If the requirement is not applicable to you, indicate whether it is Not Applicable-Self-Assessed, or Not Applicable-AESO CMP review.
 Provide Additional Comments in column K as required.

- Select the arrow next to the cell to reveal the dropdown list. There are **three** choices:
 - **Applicable** – Select this option if the requirement is applicable to you.
 - **Not Applicable-Self-Assessed** – Select this option if you are self-assessing that the requirement is not applicable to you. Type in a brief description of your reason for this self-assessment in the “Additional Comments” column (e.g., not on WECC path). Evidence related to your description will be required during an audit.
 - **Not Applicable-AESO CMP review** – Select this option if you have requested an applicability assessment and received a response from the AESO indicating that the requirement is not applicable. Indicate the AESO’s reply correspondence date in the “Additional Comments” column. Evidence of the correspondence will be required during an audit.
- Remember that you are self-certifying for the functional entity type and self-certification period within the effective dates of the particular requirement shown on the same row.

2) Fully Compliant (for entire period):

- Click on a cell in the Fully Compliant (for entire period) column. A pop up message will show brief instructions on how to make the appropriate selection in this column:

| Fully Compliant (for entire period) | Non-Compliant (violation for part of period) | Violation Type Source | Additional Comments |
|-------------------------------------|---|-----------------------|---------------------|
| | | | |
| <input type="checkbox"/> | <input type="checkbox"/> | | |
| <input type="checkbox"/> | <p>Fully Compliant Please select "Yes" to indicate if you have been compliant for every day within self-certification period. Please select "No" to indicate if you have non-compliant for any or all days in the self-certification period.</p> | | |
| <input type="checkbox"/> | | | |
| <input type="checkbox"/> | | | |
| | | | |

- Select the arrow next to the cell to reveal the dropdown list. There are **two** choices:
 - **Yes** – Select this option only if you are self-certifying that you were compliant for the entire period.
 - **No** – Select this option if you are self-certifying that you were non-compliant for all or part of the self-certification period.
- Remember that you are self-certifying for the functional entity type and self-certification period within the effective dates of the particular requirement shown on the same row.

3) Non-Compliant (violation for part of period):

- Click on a cell in the Non-Compliant (violation for part of period) column. A pop up message will show brief instructions on how to make the appropriate selection in this column:

| nt | Non-Compliant (violation for part of period) | Violation Type Source | Additional Comments |
|----|--|-----------------------|---------------------|
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |

Non-Compliant
 If compliant for any part of the self-certification period, select "Compliant for Part of the Period". If non-compliant for ALL days within the self-certification period, select "Non-Compliant for entire Period".

- If you have selected "Yes" in the Fully Compliant (for entire period) column, LEAVE THIS CELL BLANK.
- If you have selected "No" in the Fully Compliant (for entire period) column, select the arrow next to the cell to reveal the dropdown list. There are **two** choices:
 - **Non-compliant for entire period** – Select this option if you were non-compliant for the entire period.
 - **Compliant for part of the period** – Select this option if you are self-certifying that you were compliant for part of the period. Indicate the period of compliance or non-compliance in the Additional Comments column.
- Remember that you are self-certifying for the functional entity type and self-certification period within the effective dates of the particular requirement shown on the same row.

4) Violation Type Source:

- Click on a cell in the Violation Type Source column. A pop up message will show brief instructions on how to make the appropriate selection in this column:

| it | Non-Compliant (violation for part of period) | Violation Type Source | Additional Comments |
|----|--|-----------------------|---------------------|
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |

Violation Type Source
 If violation discovered during Self -Certification review, select "New Report." Visit MSA Compliance Process for Self-Reporting. If previously reported on either Self -Certification or Self-Report include the date of discovery in the additional comments.

- If you have selected “Yes” in the Fully Compliant (for entire period) column, LEAVE THIS CELL BLANK.
- If you have selected “No” in the Fully Compliant (for entire period) column, select the arrow next to the cell to reveal the dropdown list. There are **three** choices:
 - **New Report** – Select this option if you have not previously reported this violation.
 - **Previous Self-Certification** – Select this option if you reported the violation during a previous self-certification.
 - **Previous Self-Report to MSA** – Select this option if you self-reported the violation to the MSA.
- Remember that you are self-certifying for the functional entity type and self-certification period within the effective dates of the particular requirement shown on the same row.

3.3 OFFICER'S CERTIFICATE FORM

The *Alberta Reliability Standards Compliance Monitoring Program* states that the registered market participant “accepts ownership and accountability to comply with the reliability standards”. This form has been developed to support the acknowledgment of this responsibility.

An example of the Officer's Certificate form as it appears in the spreadsheet is presented in the picture below.

| | A | B |
|----|---|---|
| | <u>OFFICER'S CERTIFICATE</u> | |
| 1 | TO: Independent System Operator, operating as AESO (“AESO”) | |
| 2 | FROM: [ABC Company Limited] | |
| 3 | RE: Self-Certification for the Alberta Reliability Standards Compliance Monitoring Program | |
| 4 | <hr/> | |
| 5 | The undersigned, being the [Insert Title] of [ABC Company Limited], hereby certifies for and on behalf of [ABC Company Limited] that: | |
| 6 | 1. [ABC Company Limited] is familiar with and understands the self-certification process as provided in Section 6.2 of the Alberta Reliability Standards Compliance Monitoring Program (the “Self-Certification Process”). | |
| 7 | 2. [ABC Company Limited] has completed the Self-Certification Process including: | |
| 8 | a. determining its compliance with all applicable Alberta reliability standards approved by the Alberta Utilities Commission pursuant to Section 19 of the Transmission Regulation . | |
| 9 | b. completing this Officer's Certificate together with the cover sheet and the applicable standards worksheet attached hereto (collectively referred to as the “Self-Certification”) in accordance with the Self-Certification Process. | |
| 10 | 3. [ABC Company Limited] understands the implications of the Self-Certification not being: | |
| 11 | a. complete, accurate or true, or | |
| 12 | b. provided to the AESO on or before the self-certification due date as stated in notification letter provided by the AESO to [ABC Company Limited], | |
| 13 | as set forth in Section 6.2 of the Alberta Reliability Standards Compliance Monitoring Program. | |
| 14 | 4. To the best of the undersigned's knowledge and information, based on the foregoing process undertaken by [ABC Company Limited], the Self-Certification is complete, true and accurate. | |
| 15 | Signed at [City/Town], [Province/State] this [DD] day of [Insert Month], 201[4]. | |
| | Name: _____ Title: [Insert Title] | |

Procedures:

1. Open the Officer's Certificate for editing

The Officer's Certificate form is embedded in the Excel spreadsheet. To open the form and allow editing of the certificate:

- Click on the tab labeled “Officer’s Certificate”.
- Double-click anywhere on the Officer’s Certificate.

2. Edit the Officer’s Certificate

Once you have opened the form for editing, enter the following information:

- On the “FROM” heading line, in the space shown as **[ABC Company Limited]**, enter the legal name of your company.
- In the first sentence after the heading, in the space shown as **[Insert Title]**, enter the officer’s job title.
- In each space shown as **[ABC Company Limited]** in the Officer’s Certificate letter contents, enter the legal name of your company.
- On the last sentence, in the spaces shown as **[City/Town]**, **[Province/State]**, **[DD]**, **[Insert Month]** and 201**[4]**, enter the location and date that the Officer’s Certificate is signed.
- Below the signature line, in the spaces shown as **[Insert Name]** and **[Insert Title]**, enter the officer’s name and job title.

Close the form by clicking outside of the certificate window.

3. Have the officer sign the Officer’s Certificate

The Officer’s Certificate should be printed out and signed by the authorized entity officer as identified on your registration form. Alternatively, the Officer’s Certificate may be signed electronically; however, you may be requested to provide proof that your company processes enable electronic signatures.

The officer may designate signing authority to another person within your company. If the officer has designated someone else to sign on his/her behalf, please provide a delegation of authority letter and submit it with the self-certification letter.

3.4 MASTER STANDARDS FORM

The Master Standards form contains all reliability standards, their applicable functional entities and effective periods. It is provided in the template only as a reference and should not be included in the self-certification letter submission.

3.5 SUBMITTING THE SELF-CERTIFICATION LETTER

Once you have completed all forms you will need to submit the self-certification letter.

Procedures:

1. Prepare documents for submission

All documents must be submitted in both, Portable Document Format (PDF) **and** Excel format (XLS or XLSX).

The self-certification letter must be named using the following naming convention: **CompanyName_SCLetter_Cycle#_YYYY**.

The revisions of the self-certification letter must be named using the following naming convention: **CompanyName_SCLetter_Cycle#_YYYY_revision#**.

Evidence of compliance should not be sent with the self-certification submission.

2. Submitting the self-certification

The following documents must be included in the submission:

- 1) The Cover Sheet in both PDF and Excel format
- 2) The Applicable Standards sheet in both PDF and Excel format
- 3) The signed Officer's Certificate in PDF format and the unsigned copy in Excel format
 - If the officer has delegated signing authority to someone else, a delegation of authority letter must be included with the submission

Submissions should be sent to: rscpliance@aeso.ca.

4 Guidelines

The guidelines that were used in the creation of the template are found in the *Alberta Reliability Standards Self-Certification Guide* that can be obtained on the AESO website by following the path: Rules, Standards and Tariff > Compliance > Alberta Reliability Standards compliance > Self-Certification.

5 Related Documents and Revision History

5.0 RELATED DOCUMENTS

Documents referenced in this guide can be found by clicking on the following website page links:

[Alberta Reliability Standards Compliance Monitoring Program](#)

[Alberta Reliability Standards Self-Certification Guide](#)

5.1 REVISION HISTORY

This document is a compliance monitor information document and guide, and not an authoritative document. Revisions to this document may be made from time to time by the AESO Compliance group. Registered market participants will be notified of revisions through the AESO Stakeholder Newsletter.

| Revision | Issue Date | Comments |
|----------|-------------------|---|
| 1.0 | December 1, 2009 | Initial version of the Self-Certification Letter Template Guide |
| 2.0 | December 18, 2012 | Updated to incorporate major revisions to the template |
| 2.1 | December 15, 2015 | Updated to incorporate minor revisions |
| | | |
| | | |