

Alberta Reliability Standards Compliance Portal Guide

Date: January 25, 2024

Version: 2.0

Classification: Public

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1. About This Guide

The 'AESO Enterprise Data Portal' is a suite of online portals meant to provide a unified platform for secure information exchange with external stakeholders. The 'ARS Compliance Portal' is part of that suite, meant for exchange of data related to the Alberta Reliability Standards (ARS) compliance monitoring program. The registered market participant (MP) will use this portal to perform ARS Compliance Monitoring processes and submissions to the AESO.

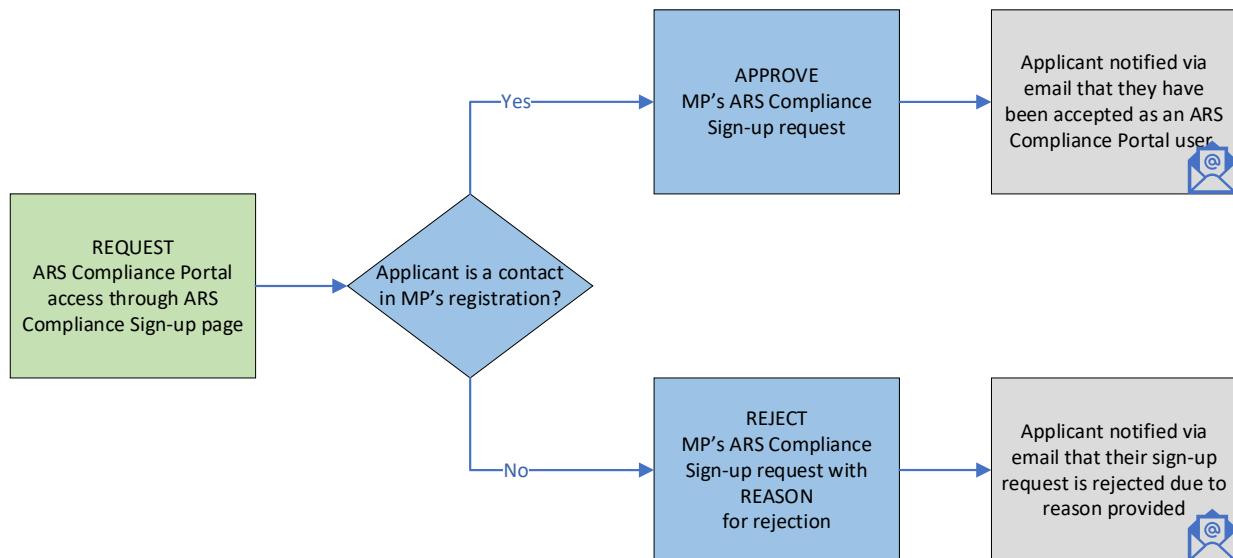
This guide is currently for users of the 'ARS Compliance Portal', who are responsible for submissions related to the self-certification (SC) process within ARS compliance monitoring program. The document will provide guidance on:

- **Sign-Up**, to be a portal user
- **Sign-In**, to make self-certification submissions to AESO
- **View and update market participant registration**
- **Create and view DDP contracts**
- **Create, Submit and Download self-certification record**
- **Use of Communication Channel within self-certification**
- **View master list of ARS**
- **View functional entity types**
- **Things to remember about the compliance process and the ARS portal**

Note: In this document, the ARS Compliance Portal will be referred as Portal. Screenshots have been created using dummy data and users and usernames have been stricken-off for privacy reasons.

2. Sign-up

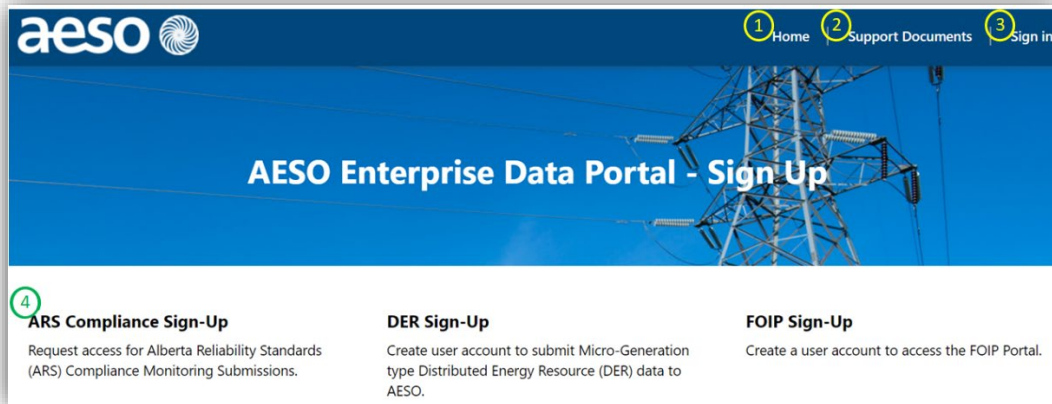
The market participant's primary, alternate and authorizing officer contacts that are registered with the ARS compliance monitoring program can request access to the portal via the sign-up process. The 'ARS Admins', which are part of the AESO's ARS compliance monitoring team, verify the sign-up requests against the market participant's registration. Approval is only granted if the requestor is a registered contact for the market participant. Hence, a new requestor should make sure that their market participant registration and their contact details are updated with the AESO before signing up for the portal. Due to the verification process, the sign-up turnaround time is dependent on when the request is approved by the 'ARS Admin'.



2.1. Request Access

Steps to sign-up for the ARS Compliance portal:

1. Go to the 'AESO Enterprise Data Portal' homepage, using the URL provided in the Appendix.



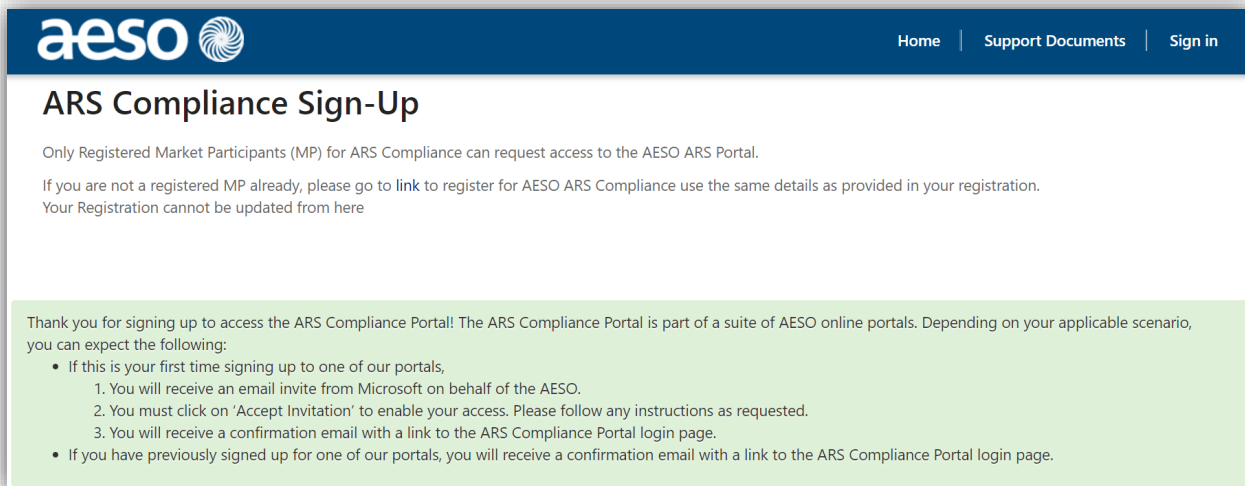
Note: Production URL will be different than the URL for testing. See Appendix.

As per the above screenshot,

- 1- Homepage – as shown above
- 2- Support Documents – contains documents like user guides, templates etc. to help you access and navigate within the portal for data exchange.
- 3- Sign In – brings up the Sign In page
- 4- ARS Compliance Sign-Up – link to the sign-up form for ARS Compliance Portal

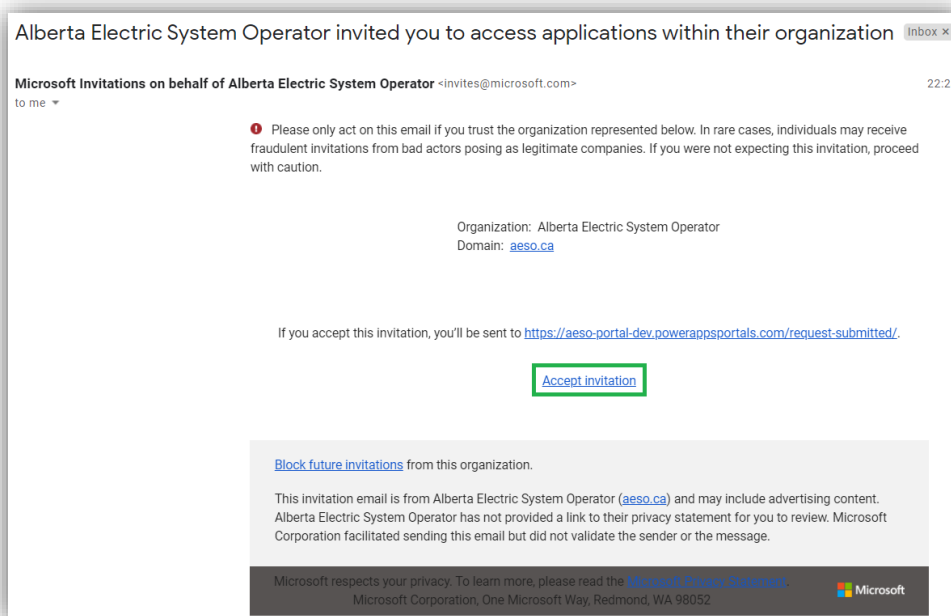
2. Click on the ARS Compliance Sign-Up link. An empty ARS Compliance Portal sign-up form will open:

3. Complete the sign-up form, click 'Submit' button at the bottom of the page.
Note: The MP users can request access to the portal only after their MP registration is created in the portal (section 4.1). MPs can verify that by looking up their corporate name in the 'Organization' field on the form.
4. The sign-up request is sent to the AESO's ARS Admin and a submission successful message will be displayed on the page with details of what to expect next, as shown, below.



The screenshot shows the 'ARS Compliance Sign-Up' page on the AESO website. The header includes the AESO logo and navigation links for Home, Support Documents, and Sign in. The main heading is 'ARS Compliance Sign-Up'. Below it, a message states: 'Only Registered Market Participants (MP) for ARS Compliance can request access to the AESO ARS Portal. If you are not a registered MP already, please go to [link](#) to register for AESO ARS Compliance use the same details as provided in your registration. Your Registration cannot be updated from here'. A green box contains a thank-you message and a list of expectations: 'Thank you for signing up to access the ARS Compliance Portal! The ARS Compliance Portal is part of a suite of AESO online portals. Depending on your applicable scenario, you can expect the following:'. The list includes: 'If this is your first time signing up to one of our portals, 1. You will receive an email invite from Microsoft on behalf of the AESO. 2. You must click on 'Accept Invitation' to enable your access. Please follow any instructions as requested. 3. You will receive a confirmation email with a link to the ARS Compliance Portal login page.' and 'If you have previously signed up for one of our portals, you will receive a confirmation email with a link to the ARS Compliance Portal login page.'

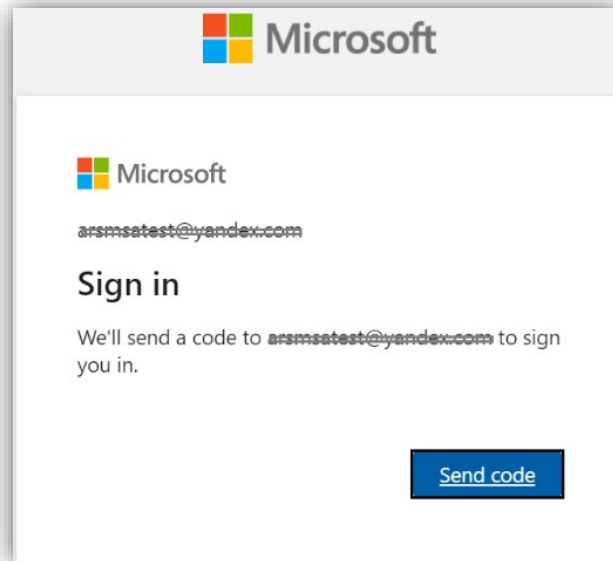
5. If the access is 'Approved' by the ARS admin, then,
 - 5.1. the applicant will receive a Microsoft Invitation email, on behalf of the AESO to be included in the AESO's Azure Active Directory. The applicant must 'Accept Invitation'.



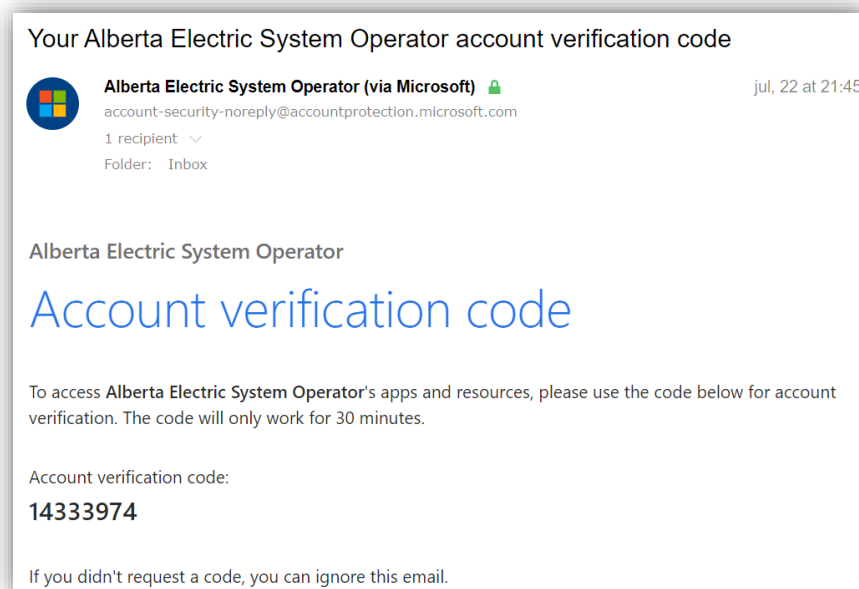
The screenshot shows a Microsoft Invitation email. The subject is 'Alberta Electric System Operator invited you to access applications within their organization'. The sender is 'Microsoft Invitations on behalf of Alberta Electric System Operator <invites@microsoft.com>'. The email body includes a warning: 'Please only act on this email if you trust the organization represented below. In rare cases, individuals may receive fraudulent invitations from bad actors posing as legitimate companies. If you were not expecting this invitation, proceed with caution.' It then lists the organization as 'Alberta Electric System Operator' and the domain as 'aeso.ca'. A link is provided: 'If you accept this invitation, you'll be sent to <https://aeso-portal-dev.powerappsportals.com/request-submitted/>'. A green box highlights the 'Accept invitation' button. At the bottom, there is a section for 'Block future invitations from this organization' and a footer with Microsoft's privacy statement and logo.

5.2. 'Accept Invitation' will take user to either of the two pages mentioned below depending on Microsoft verification:

5.2.1. If Microsoft does not trust the email domain, then a Microsoft Sign in page for code verification will appear.



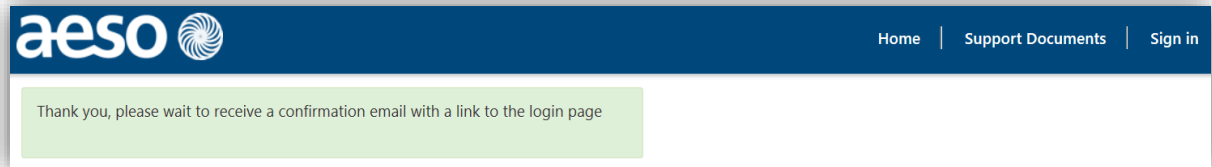
The applicant will need to follow the steps to verify the email by sending code. An example of an 'Account verification code' email is given below.



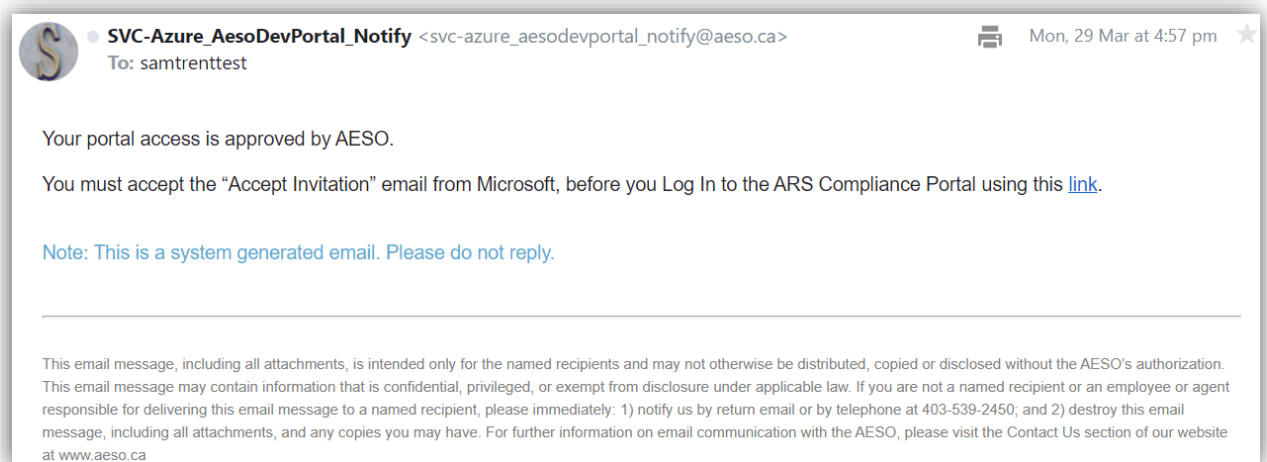
After account verification is complete the page mentioned in 5.2.2 will be displayed.

5.2.2.If Microsoft trusts the email domain, then the user will need to verify their email address.

They will be directed to a page instructing user to wait for a 'Access approved' confirmation email in their mailbox.



5.3. The applicant will then be approved to be an ARS compliance portal user and will receive a confirmation email with link to the sign in. Once you have received the below email, access has been granted and you may access the Portal using the "Sign In" button on the right corner of the webpage. The confirmation email will look like this:



6. If the access is 'Rejected' by the ARS admin, then, the applicant will receive an email with reason for rejection.



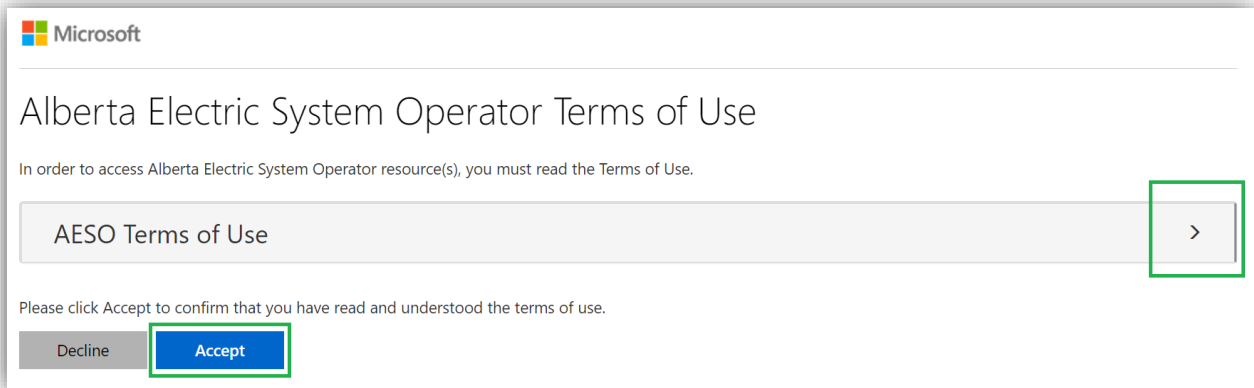
Note: If the user represents more than one market participant, they will need to sign-up multiple times, using each company name to sign-up.

3. Sign-In

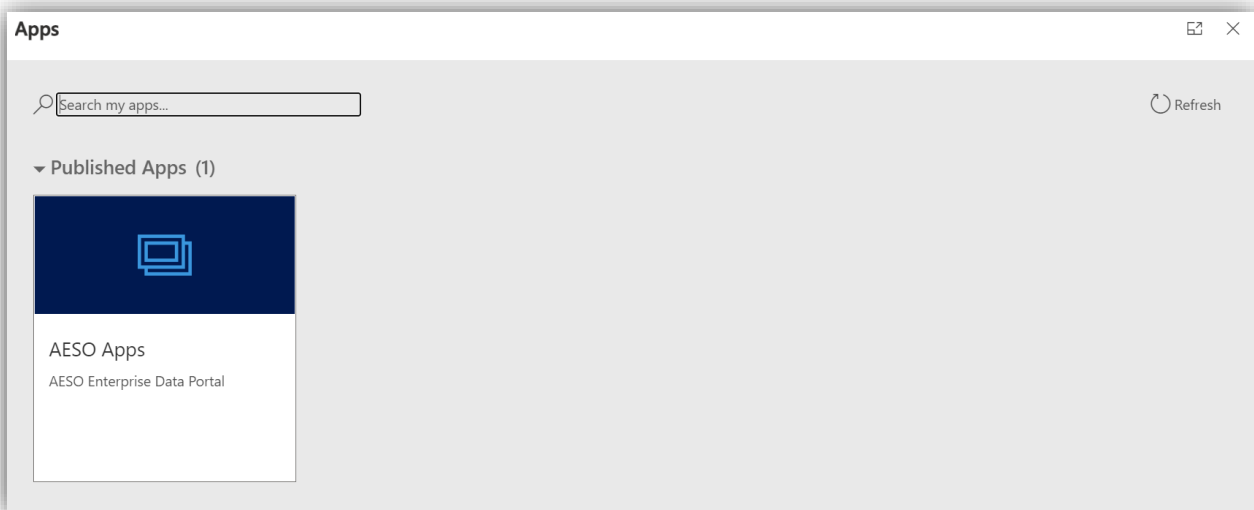
After receiving the confirmation email the user can Sign-In to the portal using the link provided in the email or to go to the portal using the URL provided in Appendix.

On sign in, user will be asked to accept AESO's terms of use if its their first sign in.

Please expand the terms of use and ACCEPT to move forward.

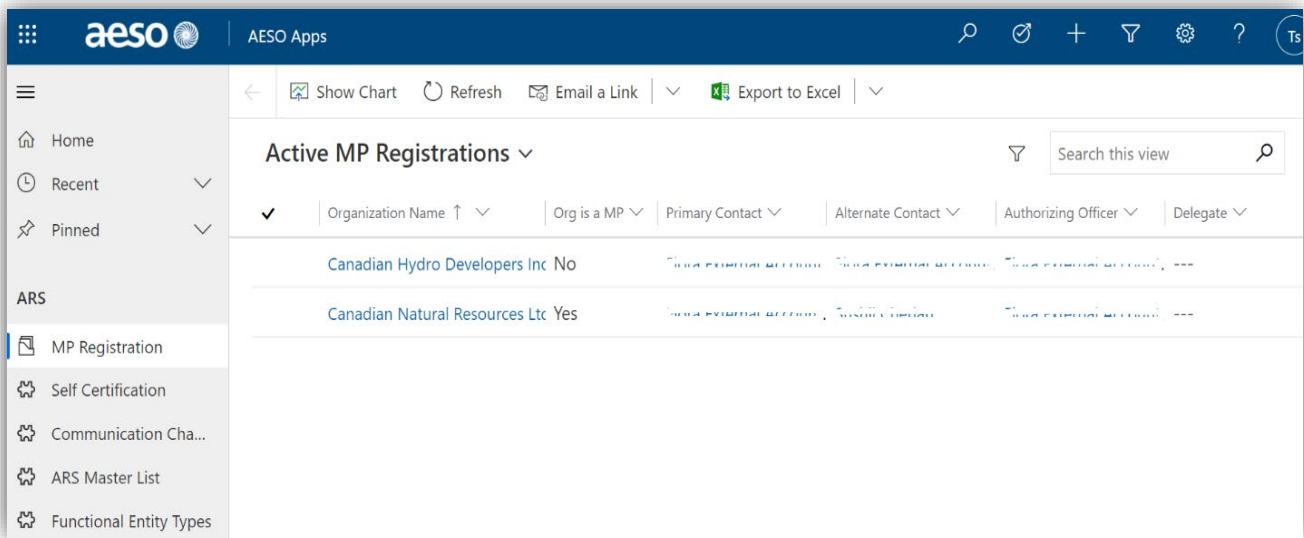


After the user has accepted the terms of use and on subsequent sign in, the user will see this landing page:

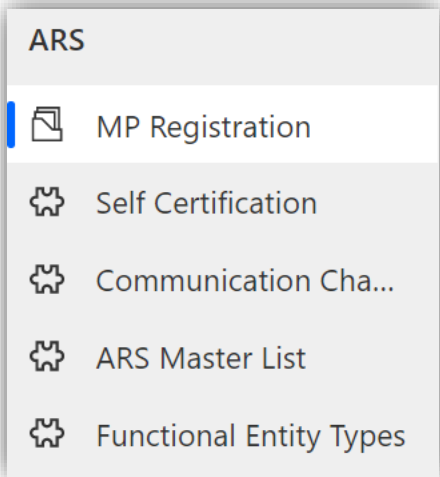


Click on 'AESO Apps' box will take user to the Summary page of market participant 's registration. It will show all the market participant registrations that the user is a contact for. (Note: The test contacts have

been stricken-off in the screenshots for privacy reasons.)



The panel on the left of the screen is called the ‘site map’ or ‘menu’. It presents the menu of compliance functions that the user can navigate to, as needed.



4. Market Participant Registration

4.1. Create, view and update market participant registration

Market participants cannot create their registration, but they can view it and, update their contact information (contacts, address, etc.) after it is created by the ARS Compliance Team in the portal.

4.1.1. Create MP Registration

MP registration is a must for an MP to participate in the AESO's Compliance Monitoring Program. Follow these steps to create MP Registration:

- The MP must go to **Registration** section on the AESO website (<https://www.aeso.ca/rules-standards-and-tariff/compliance-monitoring/alberta-reliability-standards/>)
- Open and download the Registration Form.
- Fill the details in the registration form.
- Email the completed registration form to ARS Compliance Team at rscompliance@aeso.ca
- ARS Compliance Team will create and/or update the market participant information in the portal

Once MP registration is created in the portal, MP's corporate name starts appearing in the 'Organization' field of the 'ARS Compliance Sign-up' form on the portal page.

4.1.2. View MP Registration

After the MP registration is completed and MP user has signed-up for the MP, they can sign-in to view their registration.

To view MP registration, go to 'Market Participant Registration' on the 'Site Map'/ left menu. It is the same view that is presented when user clicks on the 'AESO Apps' on landing page, after sign-in. It will show all the market participant registrations that the user is a contact for.

Home

Recent

Pinned

ARS

MP Registration

Self Certification

Communication Cha...

ARS Master List

Functional Entity Types

Show Charts

Refresh

Create a Link

Export to Excel

Active MP Registrations

Search this view

Organization Name	Org is a MP?	Primary Contact	Alternate Contact	Authorizing Officer	Delegate	Last Modified Date
766429 Alberta Ltd.	Yes	Portal ARS MP	Samuel Trent	Portal User ARS	---	3/31/2021 9:53...

Double click on the record, which will open the details of market participant's registration.

Jane Test Company - Saved Account

Summary Documents Related ▾

ORGANIZATION INFORMATION

Corporate Name * (Legal Name)

Operating / Other Name Acronym *

Corporate Address *

City * Province / State * Postal Code *

Compliance Primary Contact * Compliance Alternate Contact

Functional Entity Types

Functional Entity Type 1 ▾	MP Effectivity Begin ▾	MP Effectivity End ▾	Org is Provider for... ▾	Org is Registered f... ▾	DDP Information ▾	MP Comments ▾	Modified By ▾	Modified On ▾	AESO Comments ▾
<input type="checkbox"/> Legal owner of a generating unit	1/1/2020	12/30/9999	No	Yes			Jane Mahlom	5/2/2023 7:59 AM	---
<input type="checkbox"/> Legal owner of an aggregated generating facility	1/9/2020	12/30/9999	Yes	Yes			SVC-Azure D365-Je...	1/9/2024 5:47 PM	---
<input type="checkbox"/> Legal owner of an electric distribution system	1/9/2020	12/30/9999	Yes	Yes			SVC-Azure D365-Je...	1/9/2024 5:47 PM	---
<input type="checkbox"/> Market Participant	1/9/2020	12/30/9999	Yes	Yes		Test	SVC-Azure D365-Je...	1/9/2024 5:51 PM	---

Rows: 4

Authorizing Officer's Delegate

Authorizing Officer's Delegate *

Effective From Effective To

Delegate Contact

Additional Contacts

Full Name 1 ▾ Email ▾ Address 1: Phone ▾ Job Title ▾

Refresh Flow Export MP Functional ... Export Contacts See associated records

The market participant registration shows registration details of the MP, which include:

- Organization Information – MP's Name, Address, and Names of the Primary, Alternate and Authorising Officer (AO) contacts, which should be populated before a user signs up.
- Functional entity (FE) types – The FEs that the company is registered with along with any Designation of Documentation Provider (DDP) contract that they have with other MP/ MPs. It is the basis on which a market participant's self-certification applicable standards list is generated. It is advised that market participants validate their registration details before starting their self-certification.
- Market participant users can verify the details of the functional entities applicable to them by double clicking the functional entity (FE) records in their registration application.
- Authorising Officer's Delegate – Details of the If Authorising Officer's delegate, if any
- Additional Contacts – List of all the additional contacts, other than the Primary, Alternate and AO. The contact's name should be added here before it signs up for the portal.

New MP Functional Entity Types - Saved Happy Power Company Ltd. Organization

MP Functional Entity Types

General Related ▾

Organization *

Functional Entity * Type

MP Effectivity * Begin

MP Effectivity * End

Org is Provider for FE ☒

Org is Registered for FE ☒

MP Comments

DDP Information Refresh

☐ DDP Information ↑ ▾

☐ [DDP-SPC-HPC-011924-01](#)

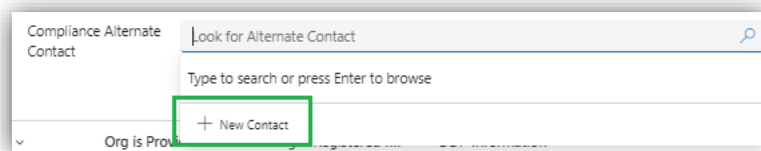
☐ [DDP-SPC-HPC-011924-03](#)

- **The MP effectivity begin, and end dates** show the dates for which the Market Participant is registered for the functional entity.
- **Org is Provider for FE** is Yes if the organization is provider for compliance documentation related to that functional entity type.
- **Org is Registered for FE** is Yes if the organization is a registered market participant with that functional entity type.
- **MP Comments** is the field for MPs to provide any comments/ details about their registration.

4.1.3. **Update MP Registration**

Only the Primary, Alternate, Authorizing Officer (or their Delegate) have the permissions to modify certain fields in their registration but for any other changes they need to contact AESO's ARS Compliance Team. The fields that they can modify are:

- Corporate Address details
- Contacts Primary, Alternate, Authorizing Officer, and additional contacts. MP's can also create new contacts if already not present in the portal. Using the '+New Contact' button.



- Delegate for Authorizing Officer section
- MP Comments under FE Details – as a good practice, MP should use this field to provide notes on the updates they make to their registration

Note: MPs are not allowed to make any changes to their FE details. For any updates required in their FE, they must contact AESO ARS Compliance Team. Also, additional contacts cannot update their registration.

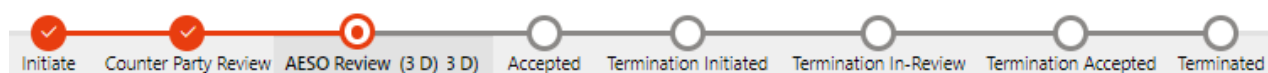
4.2. Designation of Documentation Provider (DDP)

The designation of documentation provider (DDP) is a contract between two MPs for providing compliance process documentation to the AESO for the FE they are registered for. This Information shows up next to the FEs in the MP registration. The “**Org is a Provider for FE**” flag is set to Yes/No based-on MP’s DDP status for a specific FE, as shown in the table below. It is advised that market participants validate the status of this flag before starting any of their compliance processes.

DDP Status	Org is a Provider for FE
DDP Provider of one or more assets	Yes
DDP Designator for all assets	No
No DDP	Yes

4.2.1. DDP Workflow

A market participant can establish or terminate a Designation of Documentation Provider (DDP) with another market participant by accessing the ‘ARS DDP’ application in the portal. To do that the user must understand the DDP workflow in the portal as described below:



Stage	Stage Description	User permissions
Initiate	MP's Primary/ Alternate/ Authorizing Officer (AO) contact initiate a new DDP as a designator or provider.	<p>Read/ Write DDP form (Stage Owner) – Initiating MP's Primary/ Alternate/ AO</p> <p>Read-only DDP form – Initiating MP's Additional contact AESO's ARS admin</p> <p>DDP not visible – Counter Party contacts</p>

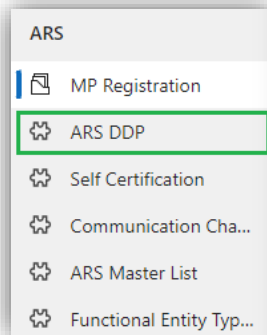
Stage	Stage Description	User permissions
		Read/ Write Notes – Initiating MP's Primary/ Alternate/ AO AESO's ARS admin
Counter Party Review	<p>After completing DDP form, the MP's Primary/ Alternate/ AO contact forward it to the Counter party (other MP) for review & acceptance, thus moving the stage.</p> <p>If the DDP needs any corrections then the counter party MP's Primary/ Alternate/ AO can move it back to 'Initiate' stage.</p>	Read/ Write DDP form (Stage Owner) – Counter Party MP's Primary/ Alternate/ AO Read-only DDP form – Initiating MP's Primary/ Alternate/ AO Initiating MP's Additional contact Counter Party MP's Additional contact AESO's ARS admin Read/ Write Notes – Initiating MP's Primary/ Alternate/ AO Counter Party MP's Primary/ Alternate/ AO AESO's ARS admin
AESO Review	<p>After review, if the Counter Party agrees to the contract, then they pass the DDP to AESO for Review. In review ARS Team reviews the DDP agreed by 2 MPs and flags any concerns, if needed.</p> <p>If the AESO finds any loopholes then it can pass the DDP back to the counter party or the initiating MP for corrections.</p>	Read/ Write DDP form (Stage Owner) – AESO's ARS admin Read-only DDP form – Initiating MP's Primary/ Alternate/ AO Initiating MP's Additional contact Counter Party MP's Primary/ Alternate/ AO Counter Party MP's Additional contact Read/ Write Notes – Initiating MP's Primary/ Alternate/ AO Counter Party MP's Primary/ Alternate/ AO AESO's ARS admin

Stage	Stage Description	User permissions
Accepted	<p>After review, if AESO's ARS Team has no concerns with the DDP then they will pass it on to Accepted state.</p> <p>The DDP should be accepted within 180days from the DDP effective begin date, else it will be nullified and deactivated.</p> <p>In this stage, contacts from both MPs have read-write permission to move it to next stage.</p>	<p>Read/ Write DDP form (Stage Owner) – Initiating MP's Primary/ Alternate/ AO Counter Party MP's Primary/ Alternate/ AO</p> <p>Read-only DDP form – Initiating MP's Additional contact Counter Party MP's Additional contact AESO's ARS admin</p> <p>Read/ Write Notes – Initiating MP's Primary/ Alternate/ AO Counter Party MP's Primary/ Alternate/ AO AESO's ARS admin</p>
Termination Initiated	<p>To end a DDP, any of the MPs in the DDP contract can initiate DDP's termination.</p> <p>Termination initiating MP's Primary/ Alternate/ AO shall move the DDP to Termination Initiated and enter the DDP Effective End date.</p>	<p>Read/ Write DDP form (Stage Owner) – Initiating MP's Primary/ Alternate/ AO</p> <p>Read-only DDP form – Initiating MP's Additional contact Counter Party MP's Primary/ Alternate/ AO Counter Party MP's Additional contact AESO's ARS admin</p> <p>Read/ Write Notes – Initiating MP's Primary/ Alternate/ AO Counter Party MP's Primary/ Alternate/ AO AESO's ARS admin</p>
Termination In- Review	<p>Termination initiating MP's Primary/ Alternate/ AO moves the DDP to Termination In-Review for counter party MP's review and acceptance.</p>	<p>Read/ Write DDP form (Stage Owner) – Counter Party MP's Primary/ Alternate/ AO</p> <p>Read-only DDP form – Initiating MP's Primary/ Alternate/ AO Initiating MP's Additional contact Counter Party MP's Additional contact AESO's ARS admin</p> <p>Read/ Write Notes – Initiating MP's Primary/ Alternate/ AO Counter Party MP's Primary/ Alternate/ AO AESO's ARS admin</p>

Stage	Stage Description	User permissions
Termination Accepted	<p>If the Counter Party MP has no concerns, then the Primary/ Alternate/ AO moves the DDP to Termination Accepted.</p> <p>The DDP form becomes read-only for all users.</p> <p>The DDP termination should be accepted before the DDP Effective End date or 180days, whichever is earlier, else the termination will be nullified and the DDP will move back to Accepted state with original DDP Effective End date.</p>	<p>Read/ Write DDP form (Stage Owner) – None</p> <p>Read-only DDP form – Initiating MP's Primary/ Alternate/ AO Initiating MP's Additional contact Counter Party MP's Primary/ Alternate/ AO Counter Party MP's Additional contact AESO's ARS admin</p> <p>Read/ Write Notes – Initiating MP's Primary/ Alternate/ AO Counter Party MP's Primary/ Alternate/ AO AESO's ARS admin</p>
Terminated	<p>On DDP Effective End date, DDP automatically moves to deactivated view with status Terminated.</p> <p>The DDP form becomes read-only for all users where it cannot be activated again.</p> <p>Notes can be added in Terminated (Deactivated) DDP as well.</p>	<p>Read/ Write DDP form (Stage Owner) – None</p> <p>Read-only DDP form – Initiating MP's Primary/ Alternate/ AO Initiating MP's Additional contact Counter Party MP's Primary/ Alternate/ AO Counter Party MP's Additional contact AESO's ARS admin</p> <p>Read/ Write Notes – Initiating MP's Primary/ Alternate/ AO Counter Party MP's Primary/ Alternate/ AO AESO's ARS admin</p>

DDP – INITIATE

1. Go to 'ARS DDP' on the 'Site Map'/ left menu.



2. 'Active DDPs' view on the DDP summary page will open with all the active DDPs records, if any, for the market participant. Click on NEW to initiate a new DDP.

 A screenshot of the 'Active DDPs' page in the SANDBOX application. The page has a purple header with 'AESO Apps', a search bar, and the 'SANDBOX' logo. Below the header, there's a toolbar with buttons for 'Show Chart', 'New' (highlighted with a green box), 'Refresh', 'Visualize this view', 'Email a Link', and 'Share'. The main content area is titled 'Active DDPs' and contains a table with three rows of data. The table has columns for 'DDP #', 'Provider's C...', 'Designator'...', 'DDP Eff...', 'DDP Eff...', 'Preferre...', 'Request...', and 'Mod'. The first row shows 'DDP-SPC-HPC-01...' with a provider 'Smiley Power...' and a designator 'Happy Power...'. The second row shows 'DDP-SPC-HPC-01...' with a provider 'Smiley Power...' and a designator 'Happy Power...'. The third row shows 'DDP-SPC-HPC-01...' with a provider 'Smiley Power...' and a designator 'Happy Power...'.

DDP # ↑	Provider's C...	Designator'...	DDP Eff...	DDP Eff...	Preferre...	Request...	Mod
DDP-SPC-HPC-01...	Smiley Power...	Happy Power...	1/15/2024	12/31/29...	Provider's ...	Accept...	1/16,
DDP-SPC-HPC-01...	Smiley Power...	Happy Power...	1/16/2024	12/30/29...	Provider's ...	AESO ...	1/18,
DDP-SPC-HPC-01...	Smiley Power...	Happy Power...	1/18/2024	12/30/29...	Provider's ...	Initiate	1/18,

3. New DDP form will open, in 'Initiate' stage. Fill in the form.

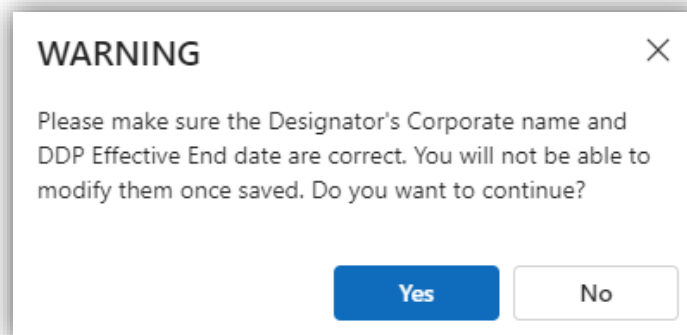
The fields marked with a red Asterix (*) are mandatory to Initiate a DDP. The ones with lock sign are auto populated by the portal.

The form fields are described below:

Field Name	Field Description
Indicate your Entity	The MP needs to select one of the two entity types from the drop-down list – Designator or Provider, based on their role in the DDP contract.
Designator's Corporate name	Initiating MP's Corporate name gets auto populated, if the MP chooses to be a 'Designator' as their entity, in the previous field. If the user is a contact for more than 1 MP, then they must pick the right MP from the list using search icon.
Provider's Corporate name	Initiating MP's Corporate name gets auto populated, if the MP chooses to be a 'Provider' as their entity, in the previous field. If the user is a contact for more than 1 MP, then they must pick the right MP from the list using search icon.

Field Name	Field Description
Preferred Schedule	The default value is 'Provider's Schedule'. In case the Initiating MP wants to select Designator's Schedule, then they can do that, but a pop-up will notify them to contact AESO's ARS Admin.
DDP Effective Begin	Initiating MP must enter the DDP contract's begin date, which cannot be in the past. The default date is set to current date.
DDP Effective End	This is auto populated by an end of time date, 12/30/2999. Do not update this date until the DDP is Accepted. If the DDP effective end date is known at the time of initiation, then wait for DDP to be Accepted, then move the DDP to Termination Initiated state and update DDP Effective end date. Thereafter, complete the termination steps till Termination Accepted for the DDP to terminate on time.
Modified By	This is auto populated by the name of the user modifying the DDP form.
Modified On	This is auto populated by the time when the DDP form was last modified.

- Save the form. User will get a pop-up to confirm 'Save'. Verify all the information entered by the user is correct, then click 'Yes' to save the DDP.



- A DDP number will be assigned to the newly saved DDP. The DDP no. follows this format: Provider MP's Acronym-Designator MP's Acronym-DDP Begin date-version of this DDP.
Note: No modification can be made after saving DDP. If any field needs modification after save, then the user must cancel the existing DDP and create a new one.
- Add FEs to the DDP using '+New ARS DDP Functional Entity' button.

DDP-HPC-SPC-012424-01 - Saved
ARS DDP

ARS DDP BPF
Active for 1 minute

Initiate (1 Min) Counter Party Review AESO Review Accepted

General Notes Related

Indicate your Entity * Provider

Designator's Corporate name * Smiley Power Corporation Provider's Corporate name * Happy Power Company Ltd.

Preferred Schedule * Provider's schedules

DDP Effective Begin * 1/24/2024 DDP Effective End * 12/31/2999

Modified By #janetest947 Modified On 1/22/2024 2:13 PM

Function Entity Types

New ARS DDP Functio...

Functional Entity Types Applicable to All Facilities? Facility Name

We didn't find anything to show here

7. A new page will open to add the FE details for the DDP. Fill in the details and 'Save'. Add all the FEs one by one. The FEs to be added should meet following conditions, else the FE will not get added to the DDP:
- FE Designator's FE Effectivity Begin date \leq DDP Effective Begin date
 - FE Designator's FE Effectivity End date \Rightarrow DDP Effective End date
 - Designator's 'Org is Registered for' flag for the FE = YES

← ↻ Save Save & Close

New ARS DDP Functional Entity

General

Functional Entity Types * --- 🔍

Applicable to All Facilities? * No

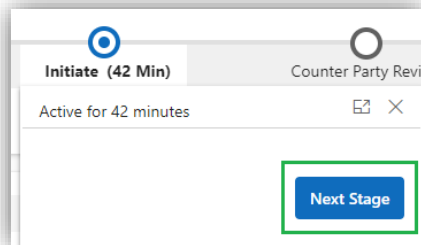
Facility Name * ---

The form fields are described below:

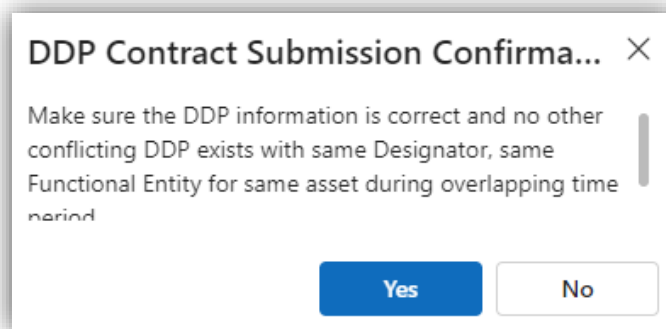
Field Name	Field Description
Functional Entity Type	Select the FE for the DDP contract using the search icon. Only FEs present in Designator's MP registration, can be selected. If the FE is not present in Provider's MP registration, then the DDP will not show in their MP registration. So, before creating a DDP, user should make sure that their MP registration has all the required FEs. Contact AESO ARS Admin, if any FE is missing.
Applicable to All Facilities?	Select 'Yes' if the DDP applies for all assets of the Designator, else 'No'.
Facility Name	If the DDP is not applicable to all of Designator's assets i.e., previous field 'Applicable to all facilities' = No, then 'Facility Name' field becomes mandatory and specific facility names (comma-separated) for the DDP must be provided.

Note: The FE cannot be removed from the DDP after DDP is saved. To make changes to the FE contact AESO'ARS Team.

8. Move the DDP to 'Counter Party review' stage. Click on the bull's eye and then click 'next stage'.

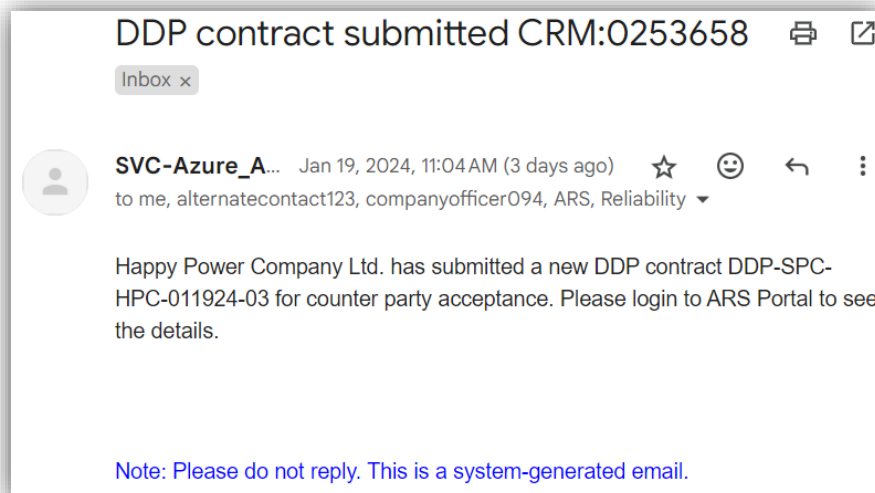


9. User will get a pop-up to confirm the stage move. Click 'Yes' to confirm.

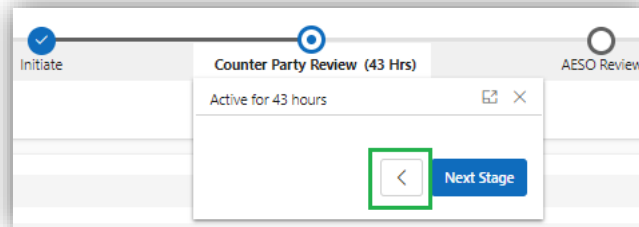


DDP – COUNTER PARTY REVIEW

When the DDP is moved to 'Counter Party Review', the Primary and Alternate contacts of the other MP, in the DDP, will get notified that a DDP has been submitted for their review and acceptance. The AESO's ARS team will also get notified, for information only.

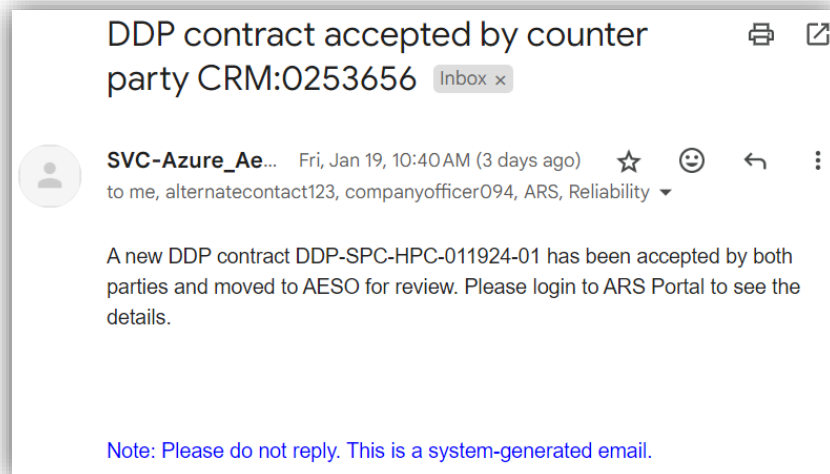


If they do not have any concerns, the other MP contact (Primary/ Alternate/ AO) shall move the DDP forward for AESO's Review, else they can move it backwards to the DDP initiating MP for corrections. Use backward arrow to move the DDP back to 'Initiate' stage. Use 'Notes' (see 4.2.3) feature to add details of concern.



DDP – AESO REVIEW

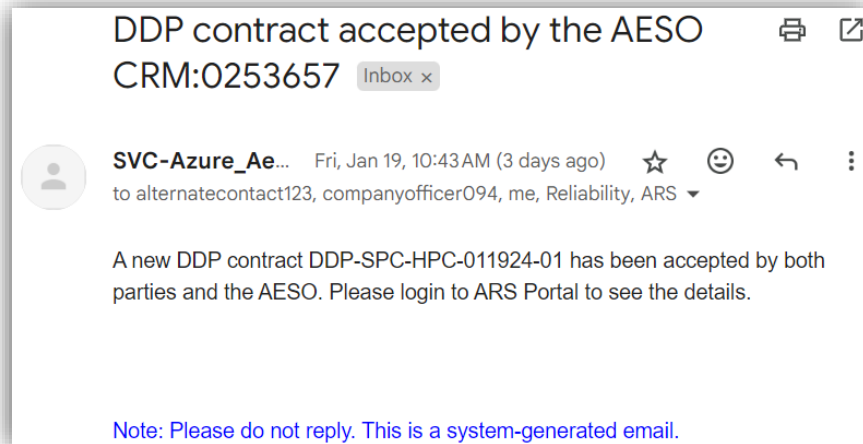
When the DDP is moved to 'AESO Review', then AESO's ARS team will get notified for their review and acceptance. The Primary and Alternate contacts of both the MPs, in the DDP, will also get notified, for information only.



The ARS team shall move the DDP forward to 'Accepted' state, if they do not have any concerns, else they can move it backwards to 'Initiate' or the 'Counter Party Review' stage for corrections.

DDP – ACCEPTED

When the DDP is moved to 'Accepted' stage, then the Primary and Alternate contacts of both the MPs, and AESO's ARS team will get notified, for information only.



Note: A DDP must get accepted before 180 days from the DDP Effective Begin date, else it will be nullified, deactivated, and moved deactivated DDP view.

DDP – TERMINATION INITIATED

- To terminate a DDP, move the DDP from 'Accepted' to 'Termination Initiated' stage and enter the 'DDP Effective End' date, which must be after the 'DDP Effective Begin' date and before 12/31/2999.

DDP-SPC-HPC-011924-01 - Unsaved

ARS DDP

ARS DDP BPF
Active for 3 days

Termination Initiated (44 Min) Termination In-Review Termination Accepted Terminated

General Notes Related

Indicate your Entity * Designator

Designator's Corporate name * Happy Power Company Ltd. Provider's Corporate name * Smiley Power Corporation

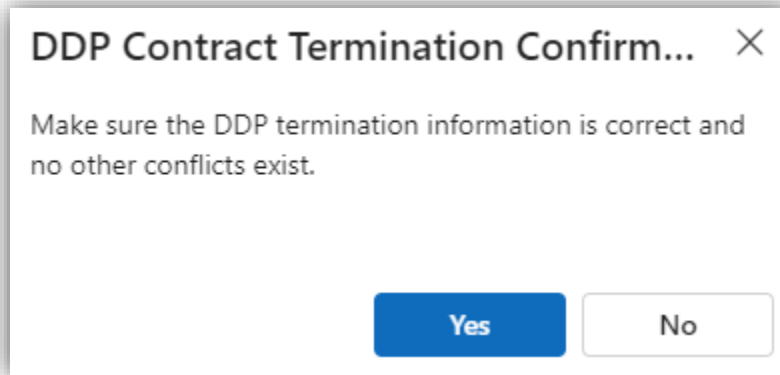
Preferred Schedule * Provider's schedules

DDP Effective Begin * 1/19/2024 DDP Effective End * 3/31/2024

Modified By #janetest947 Modified On 1/22/2024 3:31 PM

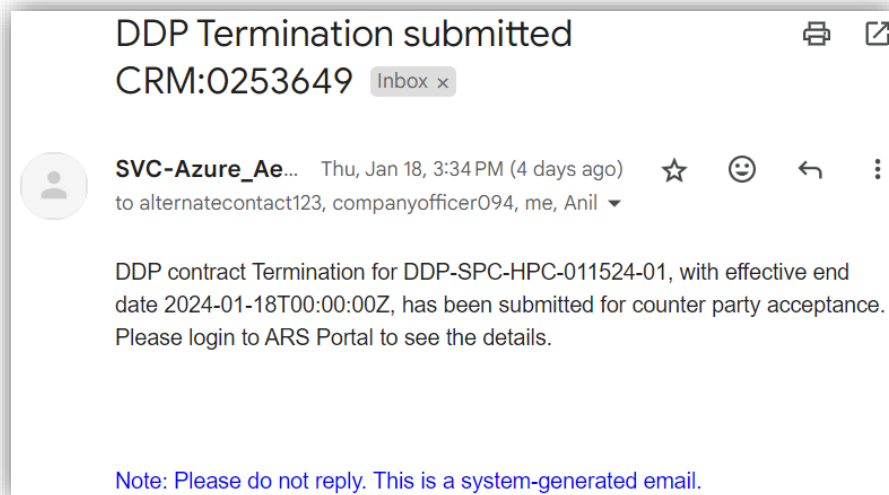
Note: A DDP can be terminated only from the 'Accepted' stage by Primary/ Alternate/ AO contacts of any of the two MPs in the DDP contract. Once it's moved to 'Termination Initiated', only the MP who moved it from 'Accepted' stage will be able to modify the date.

2. Move the DDP to 'Termination In-Review' stage. A confirmation pop-up will appear, user must click 'Yes' to move forward.



DDP – TERMINATION IN-REVIEW

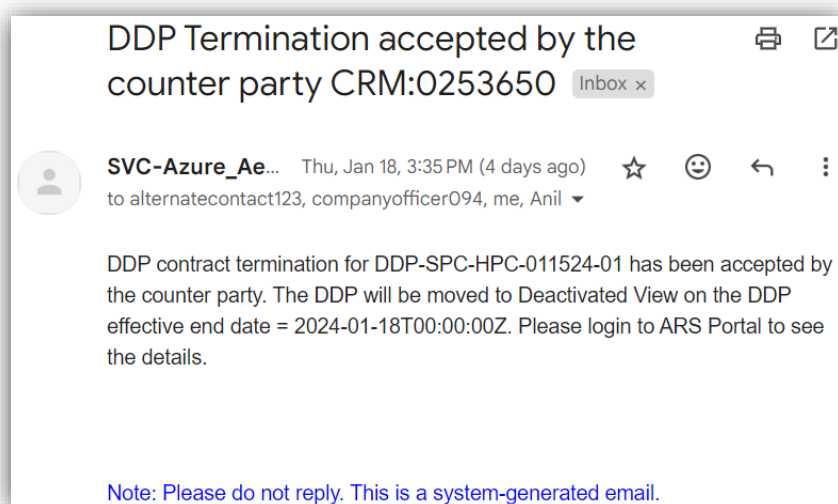
When the DDP is moved to 'Termination In-review', the Primary and Alternate contacts of the other MP, in the DDP, will get notified that a DDP termination has been submitted for their review and acceptance. The AESO's ARS team will also get notified, for information only.



If they do not have any concerns, the other MP contact (Primary/ Alternate/ AO) shall move the DDP termination to 'Termination Accepted' stage, else they can move it backwards to the termination initiating MP for corrections.

DDP – TERMINATION ACCEPTED

When the DDP is moved to 'Termination Accepted' stage, then the Primary and Alternate contacts of both the MPs, and AESO's ARS team will get notified, for information only.



Note: DDP termination must get accepted before the DDP Effective End date or within 180 days since the termination was initiated, whichever is sooner. If not, the termination will be nullified, and the DDP is moved back to 'Accepted' stage.

DDP – TERMINATED

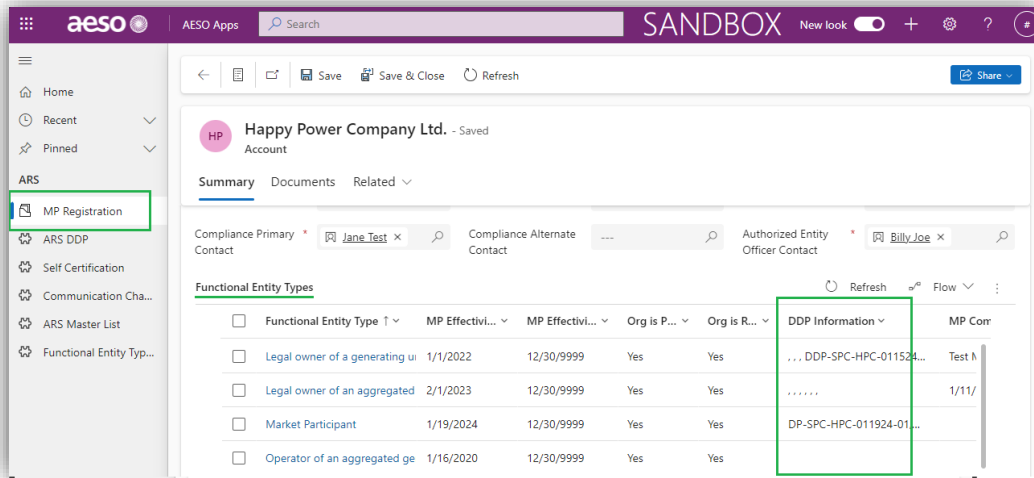
On DDP Effective end date, the DDP will be moved to the deactivated view with status 'Terminated'. It will become all users and where cannot be activated again.

4.2.2. View DDP

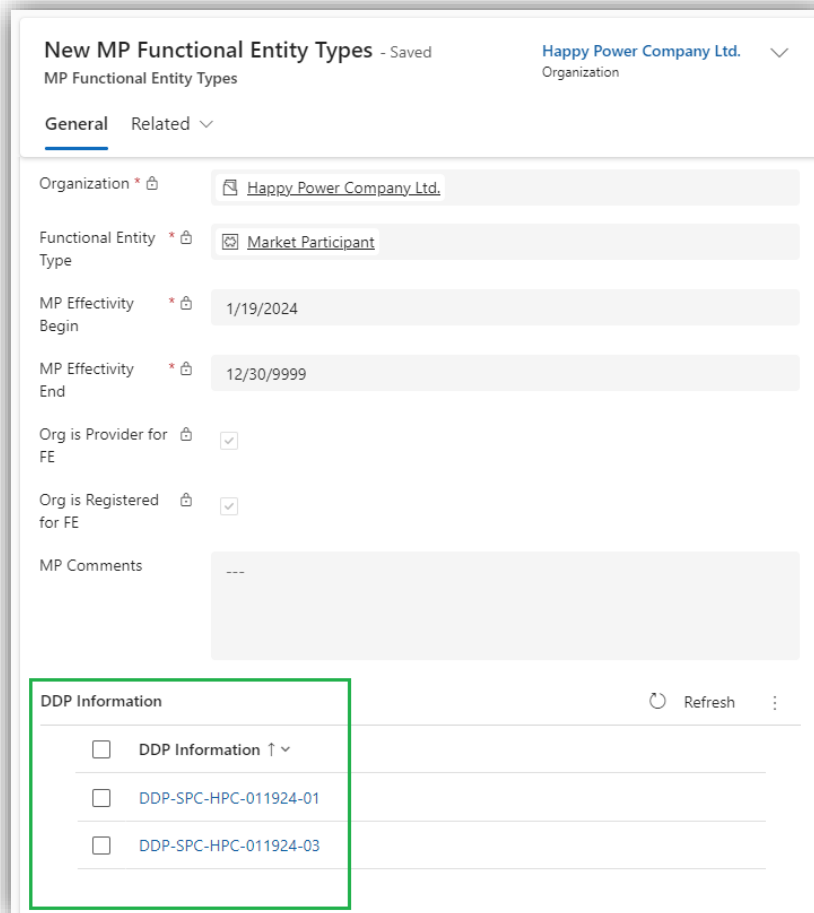
Portal users can view/ access all the DDP contracts that their MP has with other MPs. A DDP can be viewed from various locations in the portal.

From MP Registration

Open MP's registration and go to their FE summary. All their active DDP contracts for the FE will appear under the DDP Information column.



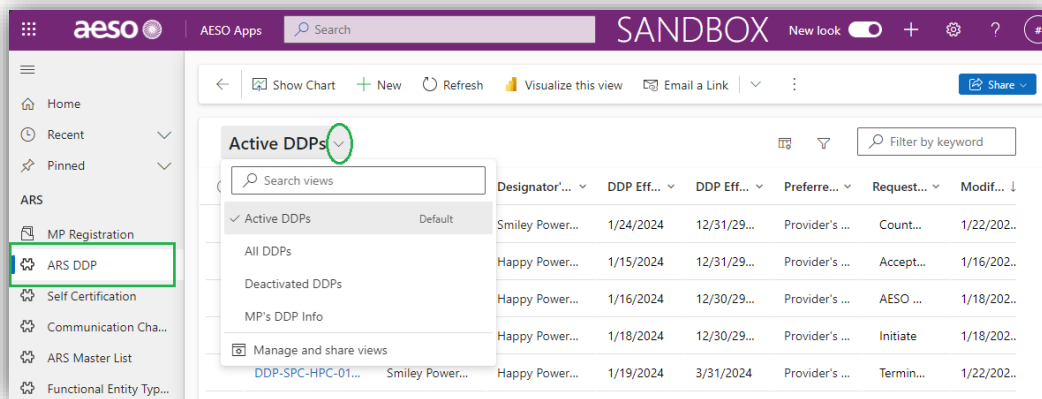
Double click on the FE record (not on blue text) will open the FE details, which will also show all the DDP's of the MP for that FE.



From ARS DDP

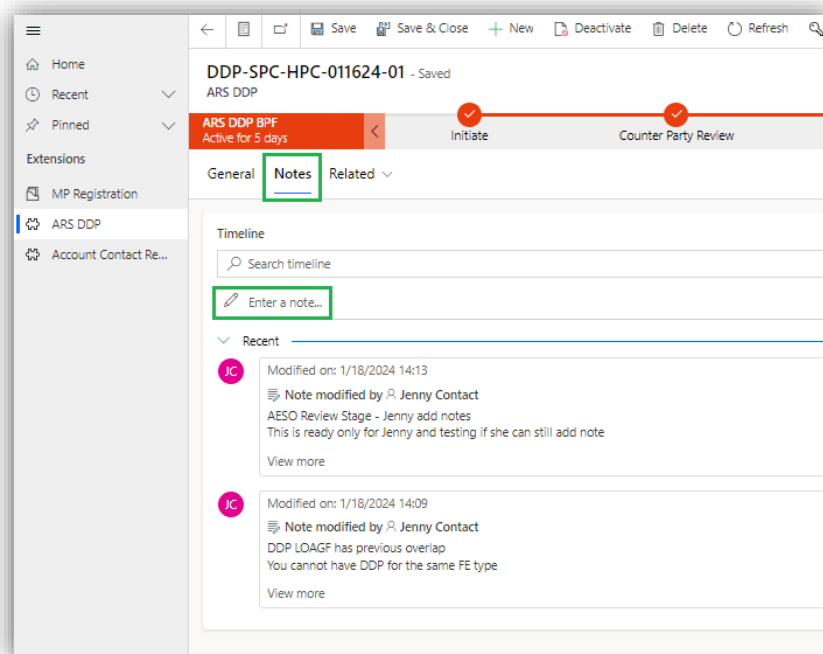
Go to 'ARS DDP' on the 'Site Map' left menu that will bring up the list of all the active DDP contracts for the MP, by default. To see their deactivated DDPs MPs can change their view using the down arrow next to the view. Double click on the record to see its details.

MP user can use filter to pull up a specific DDP contract record.



4.2.3. Add Notes

Notes is a feature to capture any comment/ message that any user would like to pass on to other users w.r.t the DDP e.g., notes on DDP update, DDP termination, any concern during review, etc. This feature is available for all users in all stages of the DDP. To add notes user shall go to the 'Notes' tab in ARS DDP application. Then click 'Enter a note'.



Field to enter notes will appear. Type in the notes and click 'Add note' to post the notes. It will also generate a note addition notification to primary & alternate contacts of the MPs and the ARS admin.

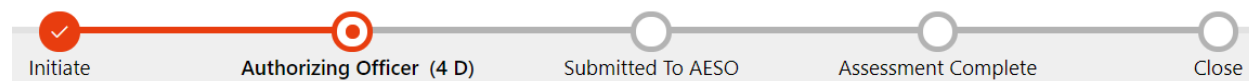
The screenshot displays the Aeso application interface. On the left is a navigation sidebar with options: Home, Recent, Pinned, Extensions, MP Registration, ARS DDP (highlighted), and Account Contact Re... The main content area shows a case titled 'DDP-SPC-HPC-011624-01 - Saved' with 'ARS DDP' status. A progress bar indicates three steps: 'Initiate' (completed), 'Counter Party Review' (completed), and 'AESO Review (3 D)' (current step). Below the progress bar are tabs for 'General', 'Notes', and 'Related'. The 'Notes' tab is active, showing a 'Timeline' section with a search bar and a 'Create a note' form. The form includes a 'Title' field and a larger 'Enter text...' area. At the bottom of the form is a rich text editor toolbar with options for Font, Size, Bold, Italic, Underline, Link, and other formatting tools. A green box highlights the 'Add note' button at the bottom right of the form, next to a 'Cancel' button.

5. Self-certification

A market participant's self-certification can be performed by accessing the 'Self-certification' application in the portal. Prior to performing self-certification, the user must understand the self-certification workflow.

5.1. Self-certification workflow

The self-certification goes through a workflow in the portal as described below:



Stage	Stage Description	User permissions
Initiate	Market participant 's primary/ alternate contact create new Self-certification and perform assessment for each applicable standard.	Stage owner is market participant 's Primary/ Alternate - Read/ Write self-certification form AESO's ARS admin - Read-only self-certification form
Authorizing Officer	<p>After completing Self-certification assessment, the market participant 's Primary/ Alternate contact forward the self-certification to authorizing officer stage for market participant 's Authorizing Officer to generate Officer's Certificate and submits the self-certification to AESO, thus moving the stage.</p> <p>If the self-certification needs any corrections, then the Authorizing Officer can move it back to 'Initiate' stage.</p>	Stage owner is market participant 's Authorizing Officer - Read-only self-certification form Generate Officer's Certificate market participant 's Primary/ Alternate - Read-only self-certification form Read-only Officer's Certificate AESO's ARS admin - Read-only self-certification form Read-only Officer's Certificate

Stage	Stage Description	User permissions
Submitted to AESO / In Review	<p>After generating Officer's Certificate, the Authorizing Officer submits it with the self-certification to AESO for Review. In review ARS Team reviews the self-certification assessment done by the market participant and flags any concerns, if needed.</p> <p>The self-certification <u>cannot</u> be moved back to 'Authorizing Officer'.</p> <p>In Review, self-certification can be flagged as NoD or IR as needed. The NoD & IR must be closed to proceed to next stage.</p>	<p>Stage owner is AESO's ARS Team - Read-Write self-certification form Read-only Officer's Certificate</p> <p>market participant 's Authorizing Officer - Read-only self-certification form Read-only Officer's Certificate</p> <p>market participant 's Primary/ Alternate - Read-only self-certification form Read-only Officer's Certificate</p>
In Review (NoD)	<p>During self-certification admin assessment, if the self-certification documentation is not found to be complete e.g., errors in dates & schedules, missing data etc. then ARS team flags the self-certification with 'Notice of Deficiency' and contacts the market participant to provide missing data. If required, the team re-opens the self-certification for edits by the market participant.</p> <p>In case, the self-certification is re-opened it goes back to 'Initiate' stage with old data but incremented self-certification number. User permissions reset to 'Initiate' stage, Officer's Certificate is deactivated, and self-certification shall go through all the stages again to reach 'In Review' stage.</p>	<p>Stage owner is AESO's ARS Team - Read-only market participant 's data in self-certification form Read-Write ARS team section in self-certification form Read-only Officer's Certificate</p> <p>Market participant 's Authorizing Officer - Read-only self-certification form Read-only Officer's Certificate</p> <p>Market participant 's Primary/ Alternate - Read-only self-certification form Read-Write self-certification form, if self-certification form re-opened Read-only Officer's Certificate</p>

Stage	Stage Description	User permissions
In Review (IR)	During self-certification technical assessment, if more information is needed on the self-certification, then ARS team flags the self-certification with 'Information Request' and contacts the market participant to provide more information.	<p>Stage owner is AESO's ARS Team - Read-only market participant 's data in self-certification form Read-Write ARS team section in self-certification form Read-only Officer's Certificate</p> <p>market participant 's Authorizing Officer - Read-only self-certification form Read-only Officer's Certificate</p> <p>market participant 's Primary/Alternate - Read-only self-certification form Read-only Officer's Certificate</p>
Assessment Complete	<p>After completing market participant 's self-certification assessment in 'In Review' stage, the ARS team marks the self-certification Assessment Complete.</p> <p>Assessment Complete can be flagged for 'MSA Referral' or 'TAL', if needed and then moved to next stage 'Closed'.</p>	<p>Stage owner is AESO's ARS Team - Read-only market participant 's data in self-certification form Read-Write ARS team section in self-certification form Read-only Officer's Certificate</p> <p>Market participant 's Authorizing Officer - Read-only self-certification form Read-only Officer's Certificate</p> <p>market participant 's Primary/Alternate - Read-only self-certification form Read-only Officer's Certificate</p>

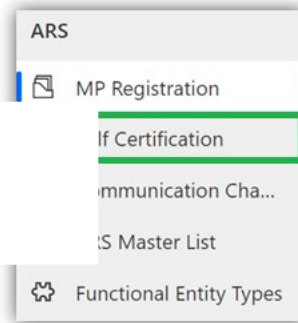
Stage	Stage Description	User permissions
Assessment Complete (MSA Referral)	ARS team flags self-certification for 'MSA referral' if market participant 's self-certification assessment is not satisfactory , and a referral is made to MSA at the time of assessment completion.	<p>Stage owner is AESO's ARS Team - Read-only market participant 's data in self-certification form Read-Write ARS team section in self-certification form Read-only Officer's Certificate</p> <p>market participant 's Authorizing Officer - Read-only self-certification form Read-only Officer's Certificate</p> <p>market participant 's Primary/ Alternate - Read-only self-certification form Read-only Officer's Certificate</p>
Assessment Complete (TAL)	ARS team flags self-certification for 'TAL' if market participant 's self-certification assessment is not satisfactory , and a Technical Assessment Letter is sent to the market participant at the time of assessment completion.	<p>Stage owner is AESO's ARS Team - Read-only market participant 's data in self-certification form Read-Write ARS team section in self-certification form Read-only Officer's Certificate</p> <p>market participant 's Authorizing Officer - Read-only self-certification form Read-only Officer's Certificate</p> <p>market participant 's Primary/ Alternate - Read-only self-certification form Read-only Officer's Certificate</p>
Closed	At the end, the ARS Team Closes the Self-certification . The self-certification moves to 'Deactivated self-certification View' where nobody can update the self-certification. It stays in deactivated state for 30days and then purged from the portal. Users can download the self-certification data and related documents for records.	Stage owner is AESO's ARS Team - self-certification related data and documents become Read-only for all types of users.

5.1.1. *Self-certification – INITIATE*

Only the Primary/ Alternate contact of the market participant (or market participant 's DDP Provider) can Initiate the Self-certification and provide market participant 's Self-certification data. The Self-certification shall be Initiated on or after the 'Self-certification Period Begin Date'.

Steps to INITIATE Self-certification

1. Go to 'Self-certification' on the 'Site Map'/ left menu.



2. 'Active Self-certifications' view on the self-certification summary page will open with all the active self-certification records for the market participant. Click on NEW to initiate a new self-certification.

A screenshot of the 'Active Self Certifications' view in the SANDBOX application. The interface includes a top navigation bar with 'Self Certification' and 'SANDBOX' labels, and a toolbar with buttons like 'Show Chart', '+ New' (highlighted with a green box), 'Delete', 'Refresh', 'Email a Link', 'Run Report', 'Excel Templates', and 'Export to Excel'. Below the toolbar, there is a table of active self-certifications.

Self Certification #	Self Certification For	Self-Certification...	Self-Certification...	Status	Late Submission	Created By	Last Modified On
AESO SC1-C12021-TCA	Trans Canada Pvt. Ltd	1/12/2021	1/30/2021	Authorizing Of...	No	...	3/24/2021 2:02...
AESO SC1-C12021-TCA	Trans Canada Pvt. Ltd	1/11/2021	1/30/2021	Authorizing Of...	No	...	3/29/2021 11:0...
AESO SC1-C12021-TCA	Trans Canada Pvt. Ltd	1/9/2021	1/30/2021	Initiate	No	...	3/24/2021 12:5...
AESO SC1-C12021-TCA	Trans Canada Pvt. Ltd	1/10/2021	1/30/2021	Initiate	No	...	3/24/2021 1:15...

3. New Self-certification' form will open, in 'Initiate' stage. Fill in the form.

The screenshot shows the 'New Self Certification' form in the 'Initiate' stage. The form has a progress bar at the top with stages: Initiate (< 1 Min), Authorizing Officer, Submitted To AESO, Assessment Complete, and Close. The 'Initiate' stage is active. Below the progress bar are tabs: General, Applicable Standards, Communication Channels, ZIP Files, and Documents. The 'General' tab is selected. The form fields are: Self Certification For (with a search icon and a red asterisk), Cycle # (with a red asterisk), DDP Information (with a red asterisk), Self-Certification Period Begin Date (with a calendar icon and a red asterisk), Self-Certification Period End Date (with a calendar icon and a red asterisk), Submission Deadline (with a lock icon and a red asterisk), Late Submission (with a lock icon and the text 'No'), and Additional Comments.

The fields marked with a red Asterix (*) are mandatory to Initiate a self-certification. The ones with lock sign are auto populated by the portal.

The form fields are described below:

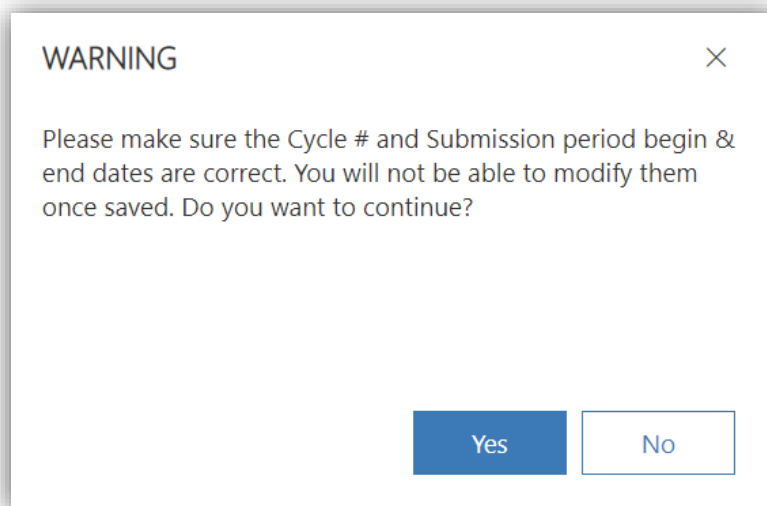
Field Name	Field Description
Self-certification for	This field is auto populated with the market participant name of the user. If the user represents more than one market participant, then the pick the market participant applicable for the self-certification from the list of market participant s displayed by using search icon.
Cycle #	User must enter the cycle no. as per the 'Self-certification cycle assignment' for the market participant. The 'Self-certification cycle assignment' can be found at https://www.aeso.ca/rules-standards-and-tariff/compliance-monitoring/alberta-reliability-standards/
DDP Information	This is an optional field. If the user is a DDP provider, then they should add details of the market participant s they represent. This information will also get populated on the related Officer's Certificate. The field is limited to 200chars.
Self-certification Period Begin Date	User must enter their Self-certification Period Begin Date as per the 'Self-certification cycle assignment'.

Field Name	Field Description
Self-certification Period End Date	User must enter their Self-certification Period End Date as per the 'Self-certification cycle assignment'. This date cannot be before the Self-certification Period Begin Date.
Submission Deadline	This is auto populated by a date 30 days after the Self-certification Period End Date as soon as the Self-certification Period End Date is entered.
Late Submission	This flag is auto set. Its default value is 'No', but it switches to 'Yes' if the actual date of submission is after the 'Submission Deadline' date. The user must get AESO's approval for submission date extension to avoid flagging.
Additional Comments	This is an optional field. User can choose to enter any Self-certification related comments/ details here. The field is limited to 1000chars.

Note:

- *A user cannot start a Self-certification before the Self-certification Period Begin Date.*
- *To avoid Late Submission, a user must contact AESO and get submission date extended.*

4. Save the form. User will get a pop-up to confirm 'Save'.



5. On confirming 'Save',
 - a. The portal will show error if mandatory fields are not entered by the user. E.g.

The screenshot shows the 'New Self Certification' form. At the top, there is a red error banner that reads: "Cycle #: Required fields must be filled in." Below this, the form has a progress bar with four steps: "Initiate (< 1 Min)", "Authorizing Officer", "Submitted To AESO", and "Assessment Complete". The "Initiate" step is currently active. The form is divided into tabs: "General", "Applicable Stds", "Communication Channels", "ZIP Files", and "Documents". Under the "General" tab, the "Self Certification For" field is populated with "Cenovus Energy Inc.". The "Cycle #" field is empty and has a red error message: "Cycle #: Required fields must be filled in." Below this, there is a section for "DDP Information" which is currently empty. Further down, there are fields for "Self-Certification Period Begin Date" (1/1/2020), "Self-Certification Period End Date" (12/31/2020), "Submission Deadline" (1/31/2021), and "Late Submission" (No). The "Additional Comments" field is also empty.

- b. If no data entry errors are found, then
 - i. A Self-certification number is assigned to the self-certification using Cycle #, Self-certification Period Begin Date & End Date and market participant 's acronym. Thus, those fields become non-editable.

The screenshot shows the 'AESO SC1-C12021-CEI Self Certification' form. The title bar at the top is green and contains the text "AESO SC1-C12021-CEI Self Certification". Below this, there is a red error banner that reads: "Cycle #: Required fields must be filled in." The form has a progress bar with four steps: "Initiate (< 1 Min)", "Authorizing Officer", "Submitted To AESO", and "Assessment Complete". The "Initiate" step is currently active. The form is divided into tabs: "General", "Applicable Stds", "Communication Channels", "ZIP Files", "Documents", and "Related". Under the "General" tab, the "Self Certification For" field is populated with "Cenovus Energy Inc.". The "Cycle #" field is populated with "1". Below this, there is a section for "DDP Information" which is currently empty. Further down, there are fields for "Self-Certification Period Begin Date" (1/1/2020), "Self-Certification Period End Date" (12/31/2020), "Submission Deadline" (1/31/2021), and "Late Submission" (No). The "Additional Comments" field is populated with "Test SC".

- ii. All the applicable standards, based on the market participant's functional entity types, get attached to the Self-certification under the 'Applicable Stds' tab. The FE's are picked from market participant's registration. So, the market participant must get their registration updated before starting the Self-certification to get the correct applicable stds for their Self-certification.

Note – Any modifications to market participant's Functional Entity must be made, in the market participant's registration, before starting the Self-certification else the 'Applicable Stds' tab will contain the Standards based on the old set of market participant's Functional Entities. market participant must contact AESO and submit a revised registration form prior to the initiating the self-certification if changes have occurred.

AESO SC1-C12021-CEI

Self Certification

Self Certification Business...

Active for less than one mi...

Initiate (< 1 Min)

Authorizing Officer

Submitted To AESO

Assessment Complete

General

Applicable Stds

Communication Channels

ZIP Files

Documents

Related

Applicable Standards

Refresh

Search this view

Standard Number (S...	Name (SC ...	MP's FE	Requirement N...	Effective Be...	Effective En...	Applicability	Fully Comp...	Non-Comp
EOP-003-AB1-1	Load Shed...	Market Particip	R11	12/16/2012	12/30/2999	---	---	---
EOP-003-AB1-1	Load Shed...	Market Particip	R1.1	12/16/2012	12/30/2999	---	---	---
PRC-021-AB1-1	Under Volt...	Market Particip	R3	1/1/2013	12/30/2999	---	---	---

6. Provide applicability details for each of the applicable standards. This can be done in two ways:
 - c. Multiple records change (bulk update) – multiple standards, on a page, are updated together.
 - i. Select multiple standards that need to be updated with same values and click 'Edit'. The standards can be searched by 'market participant's FE' using 'search the view' option or using filters/ sorting on each column.
 - ii. To select all requirements on that page, click the top checkmark (next to Standard Number). This will select all rows on that page for assessment.

Applicable Standards

[Edit](#) [Email a Link](#)

Search this view

✓	Standard Number (S...	Name (SC ...	MP's FE	Requirement N...	Effective Be...	Effective En...	Applicability	Fully Comp...	Non-Comp...	Violation T...	Ad
✓	EOP-003-AB1-1	Load Shed...	Market Particip R11		12/16/2012	12/30/2999	---	---	---	---	---
✓	EOP-003-AB1-1	Load Shed...	Market Particip R1.1		12/16/2012	12/30/2999	---	---	---	---	---
	PRC-021-AB1-1	Under Volt...	Market Particip R3		1/1/2013	12/30/2999	---	---	---	---	---

- iii. Click 'Edit' that will open the form for updating multiple standards. Only following 5 fields, as highlighted in the form, can be changed by the market participant.
- Applicability
 - Fully Compliant
 - Non-Compliant
 - Violation Type
 - Additional Comments
- iv. Repeat for standards on the next page, if any.

Change Multiple Records

Enter your changes in the fields that you want to modify.

► Header

◄ General

General

Applicable Standard

MP's FE

Applicability

Fully Compliant

Non-Compliant (violation for part of period)

Violation Type

Source

Additional Comments

Error Message

Error ☐ No ☐ Yes

Link

[Change](#) [Cancel](#)

- d. Individual record change – Only one standard at a time is updated. This can be done by:

- i. (Recommended) Using the link in the record to open the standard in another tab, which will keep the filter or sorting order on the list of standards on the main tab.

SC Applicable Std: External User

https://aeso-portal-integ.crm3.dynamics.com/main.aspx?appid=c2c7aaeb-593f-eb11-a813-000d3af46b49&forceU...

Associated Applicable Standards

Standard Nu...	Name (SC Ap...	Requirement...	MP's FE	Effective Begi...	Effective End ...	Applicability	Fully Co...	Non-Co...	Violat...	Addition...	Error	Error Mess...	Link
EOP-003-AB...	Load Sheddi...	R11	Market Participant	12/16/2012	12/30/2999	Applicable	Yes	N/A	N/A	---	No	---	https://aeso-portal-integ.crm3.dynamics.com/main.aspx?
EOP-003-AB...	Load Sheddi...	R1.1	Market Participant	12/16/2012	12/30/2999	Applicable	Yes	N/A	N/A	---	No	---	https://aeso-portal-integ.crm3.dynamics.com/main.aspx?
PRC-021-AB...	Under Volta...	R3	Market Participant	1/1/2013	12/30/2999	Applicable	N/A	N/A	N/A	---	Yes	'Fully Co...	https://aeso-portal-integ.crm3.dynamics.com/main.aspx?

- ii. Double click on the applicable standard record.
- iii. Search for the applicable standards. The Search applies to 'Standard Number' and 'Name' columns only.

Applicable Standards

Refresh

Search this view

Standard Number (S...	Name (SC ...	MP's FE	Requirement N...	Effective Be...	Effective En...	Applicability	Fully Comp...	Non-Comp...	Violat
CIP-002-AB-5.1	Cyber Sec...	Legal owner of	R1	9/30/2017	12/30/2999	---	---	---	---
CIP-002-AB-5.1	Cyber Sec...	Legal owner of	R2	9/30/2017	12/30/2999	---	---	---	---
CIP-003-AB-5	Cyber Sec...	Legal owner of	R1	9/30/2017	12/30/2999	---	---	---	---

Only the 5 fields as mentioned in the can be changed by the market participant. After making the change market participant must 'Save' the changes before moving out of the window.

New SC Applicable Std

SC Applicable Std

General Related

General

Applicable Standard  **Under Voltage Load Shedding Program Data**

 MP's FE *  **Market Participant**

Applicability --Select--

Fully Compliant --Select--

Non-Compliant
(violation for part of
period)

Applicable

Not Applicable - Self-Assessed



Violation Type Source

Not Applicable - AESO CMP review

Additional
Comments *

 Error Message Required field 'Applicability' must be filled in.

 Error Yes

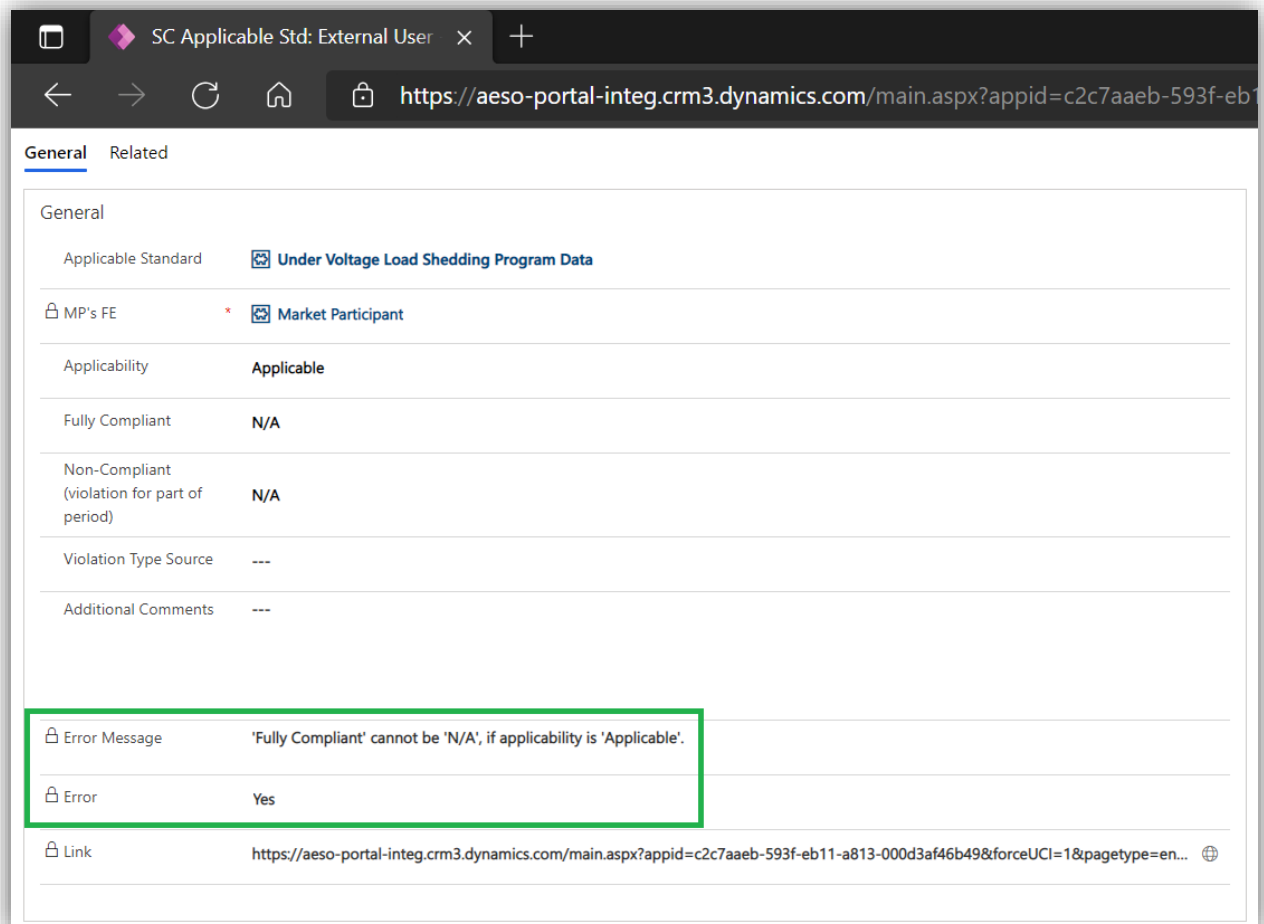
 Link <https://aeso-portal-integ.crm3.dynamics.com/main.aspx?appid=c2c7aueb-593f-eb11-a813-000d3af46b49&forceUCI=1&pagetype=en...> 

Rules for filling the applicability are given below:

Applicability	Fully Compliant (for entire period)	Non-Compliant (violation for part of period)	Violation Type Source	Additional Comments
Applicable	Yes	N/A	N/A	Optional
	No	Non-compliant for entire Period	New Report	Mandatory
			Previous Self-Certification	Mandatory
			Previous Self-Report to MSA	Mandatory
		Compliant for Part of the Period	New Report	Mandatory
			Previous Self-Certification	Mandatory
Not Applicable - Self-Assessed	N/A	N/A	N/A	Mandatory
Not Applicable - AESO CMP review	N/A	N/A	N/A	Mandatory

The values in a field are dependent on the values in the previous field.

E.g., If Applicability = 'Applicable' then, Fully Compliant must be 'Yes' or 'No'. It cannot be N/A. If N/A is chosen, then Error message will be shown and Error = Yes.





SC Applicable Std: External User

https://aeso-portal-integ.crm3.dynamics.com/main.aspx?appid=c2c7aaeb-593f-eb11-a813-000d3af46b49&forceUCI=1&pagetype=en...

General Related

General

Applicable Standard  Under Voltage Load Shedding Program Data

MP's FE  Market Participant

Applicability **Applicable**

Fully Compliant **N/A**

Non-Compliant (violation for part of period) **N/A**

Violation Type Source ---

Additional Comments ---

Error Message 'Fully Compliant' cannot be 'N/A', if applicability is 'Applicable'.

Error Yes

Link https://aeso-portal-integ.crm3.dynamics.com/main.aspx?appid=c2c7aaeb-593f-eb11-a813-000d3af46b49&forceUCI=1&pagetype=en...

7. Move the self-certification to 'Authorizing Officer' stage - Click on the bull's eye and then click 'next stage'.
 - e. Applicability for all the applicable standards must be filled in and they should be error free before market participant can move the Self certification to 'Authorizing Officer' state.

AESO SC1-C12021-CEI
Self Certification

Self Certification Business... Active for 70 hours

Initiate (70 Hrs) Authorizing Officer Submitted To AESO Assessment Complete Close

General Applicable Stds Communi Active for 70 hours

Show Chart Refresh

Next Stage

Associated Applicable Standards

Standard Nu...	Name (SC Ap...	Requirement ...	MP's FE	Effective Begi...	Effective End ...	Applicability	Fully Complia...	Non-Compla...	Violation Typ...	Additional Comments	Error	Error Message	Link
EOP-003-AB...	Load Shedd...	R11	Market Participar	12/16/2012	12/30/2999	Applicable	Yes	N/A	N/A	---	No	---	https://aeso-port
EOP-003-AB...	Load Shedd...	R1.1	Market Participar	12/16/2012	12/30/2999	Applicable	Yes	N/A	N/A	---	No	---	https://aeso-port
PRC-021-AB...	Under Volta...	R3	Market Participar	1/1/2013	12/30/2999	Applicable	N/A	N/A	N/A	---	Yes	*Fully Compl...	https://aeso-port

- f. A confirmation pop-up will appear before moving the Self-certification to confirm the move.

Self Certification Confirmation

The Self-certification will be moved to 'Authorizing Officer' stage. Do you want to continue?

Yes No

- g. If there are any errors in the applicable standards applicability, then market participant shall not be allowed to move the stage.

Initiate (70 Hrs)

Active for 70 hours

Next Stage >

Authorizing Officer

Submitted To AESO

Assessment Complete

Applicable Stds

Related

Requirement ...	MP's FE	Effective Begi...	Effective End ...	Applicability	Fully Compla...	Non-Compla...	Violation Typ...	Additional Comments	Error	Error Message
R11	Market Participar	12/16/2012	12/30/2999	Applicable	Yes	N/A	N/A	---	No	---
R1.1	Mark							---	No	---
R3	Mark							---	Yes	Fully Compl...

×

Errors found in Applicable Standards. Please rectify the errors before moving to next stage.

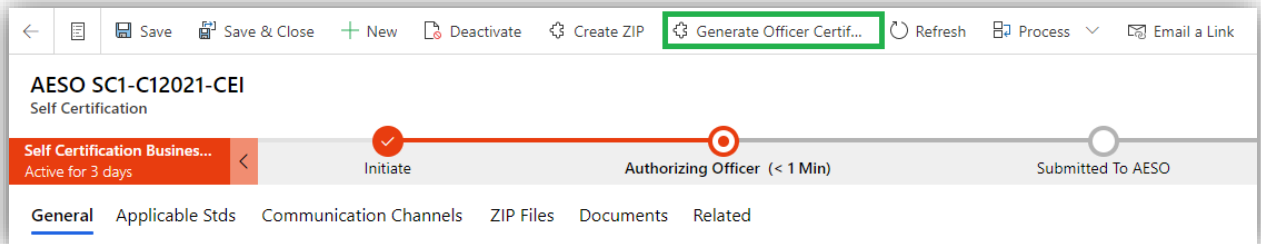
OK

5.1.2. Self-certification – AUTHORIZING OFFICER

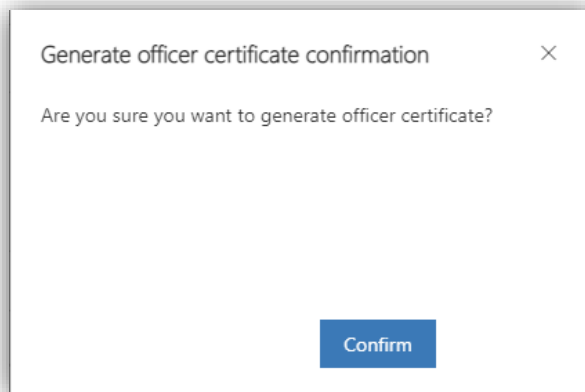
Authorizing Officer must be notified by the market participant's team (through their internal processes) to review the self-certification and sign the officer's certificate when satisfied with the self-certification. After signing the authorizing officer shall 'Submit' the self-certification to the AESO.

Steps to be performed by the AUTHORIZING OFFICER

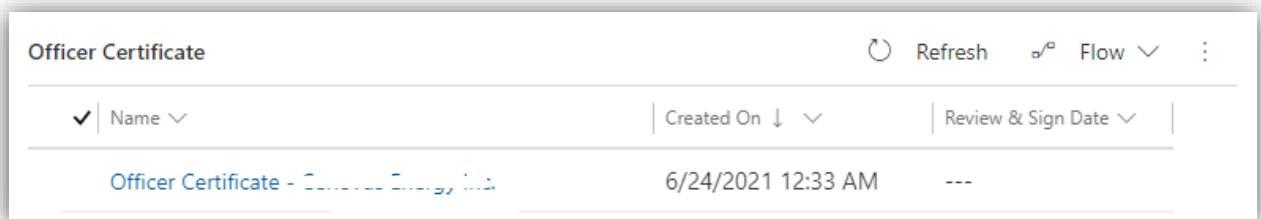
1. Open the Self-certification and review it.
2. When satisfied with the self-certification data, click 'Generate Officer Certificate' button to generate the officer's certificate.



3. Confirm the confirmation pop-up.

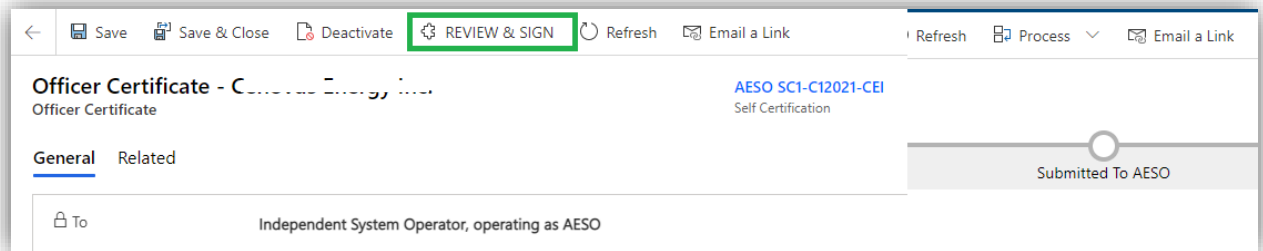


4. The Officer's certificate will get attached to the bottom of the self-certification.



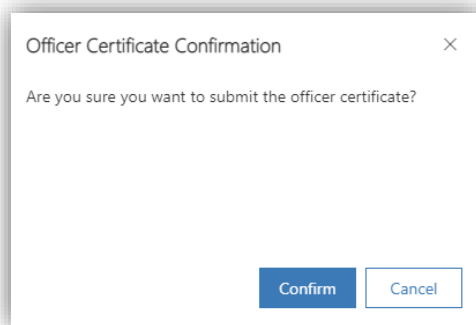
5. Double click on the certificate row to open the Officer Certificate with prefilled text based on the market participant information know to the AESO.

- Click the 'Review & Sign' button to complete the signing.



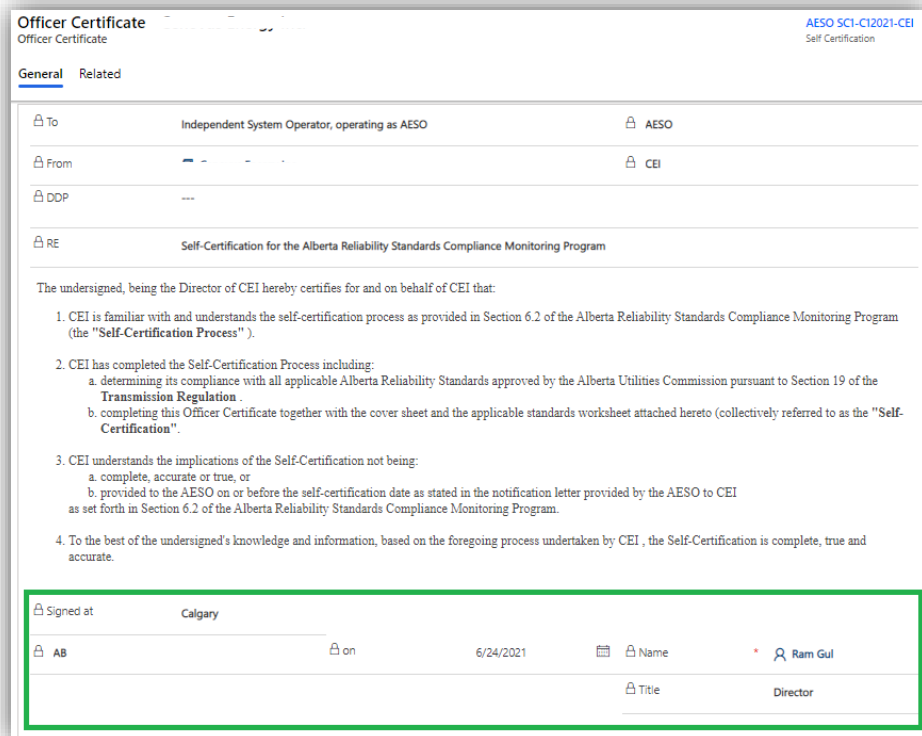
The screenshot shows the 'Officer Certificate' form. The top navigation bar includes buttons: Save, Save & Close, Deactivate, REVIEW & SIGN (highlighted with a green box), Refresh, and Email a Link. The form title is 'Officer Certificate - C...'. Below the title, there are tabs for 'General' and 'Related'. On the right, it says 'AESO SCI-C12021-CEI Self Certification'. A progress bar at the bottom right indicates 'Submitted To AESO'. The 'To' field is populated with 'Independent System Operator, operating as AESO'.

- Confirm the confirmation pop-up.



The screenshot shows a confirmation dialog box titled 'Officer Certificate Confirmation'. It contains the text: 'Are you sure you want to submit the officer certificate?'. At the bottom, there are two buttons: 'Confirm' and 'Cancel'.

- The submission details fields at the bottom of the certificate will get populated.



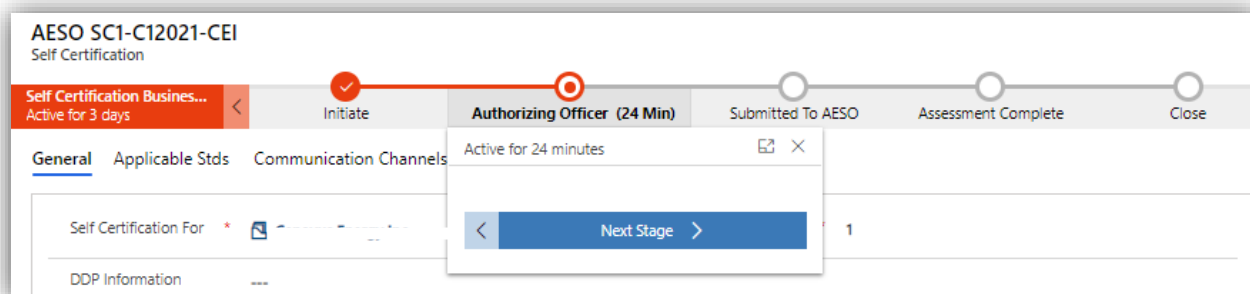
The screenshot shows the 'Officer Certificate' form with the submission details fields populated. The 'To' field is 'Independent System Operator, operating as AESO'. The 'From' field is 'AESO'. The 'DDP' field is '---'. The 'RE' field is 'Self-Certification for the Alberta Reliability Standards Compliance Monitoring Program'. The form includes a section for the undersigned, being the Director of CEI, who certifies for and on behalf of CEI that:

- CEI 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").
- CEI has completed the Self-Certification Process including:
 - determining its compliance with all applicable Alberta Reliability Standards approved by the Alberta Utilities Commission pursuant to Section 19 of the Transmission Regulation.
 - completing this Officer Certificate together with the cover sheet and the applicable standards worksheet attached hereto (collectively referred to as the "Self-Certification").
- CEI understands the implications of the Self-Certification not being:
 - complete, accurate or true, or
 - provided to the AESO on or before the self-certification date as stated in the notification letter provided by the AESO to CEI as set forth in Section 6.2 of the Alberta Reliability Standards Compliance Monitoring Program.
- To the best of the undersigned's knowledge and information, based on the foregoing process undertaken by CEI, the Self-Certification is complete, true and accurate.

The bottom section, highlighted with a green box, shows the signed details:

- Signed at: Calgary
- AB on 6/24/2021
- Name: Ram Gul
- Title: Director

9. Come out of the certificate to the 'General' tab and 'Submit' the self-certification to the AESO by moving to 'Next Stage'.

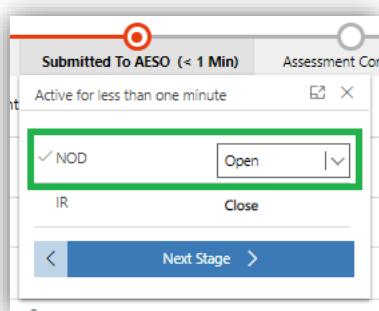


5.1.3. Self-certification – SUBMITTED to AESO (IN REVIEW)

After the Self-certification is submitted to the AESO, the status is shown as '**In Review**' in the self-certification summary page. The AESO ARS Analyst is notified about the new submission. The analyst then performs assessment of the submitted Self-certification data and, if needed, seeks clarifications from market participant using portal's communication channel.

The assessment will be of two types and in that order:

1. Admin assessment – for completeness of the submission. In case of any deficiency in the submission, the analyst will:
 - a. Send a 'Notice of Deficiency' (NoD) to the market participant via communication channel
 - b. Set NoD flag in the In-Review stage to 'Open'



- c. Reopen the self-certification for the market participant to fulfill the deficiency, which will:
 - Push the self-certification back to INITIATE stage.
 - self-certification # will be incremented by 1. e.g., **SC1-C12021-CEI** will become **SC2-C12021-CEI**.
 - A new Officer Certificate will need to be generated and signed before re-submission.
- d. After resubmission the Analyst will again assess for the self-Certification for deficiencies and close or reopen the self-certification depending on if all the deficiencies were taken care of.

2. Technical assessment – for content of the submission after the administrative assessment is complete and all deficiency closed. The ARS analyst will use the communication channel to communicate for any inquiries related to the self-certification. If any specific information is needed, then ARS Analyst will:
 - a. Send 'Information Request' (IR) to the market participant via communication channel
 - b. Set IR flag in the In-Review stage to 'Open' (it cannot be opened until NoD is closed)

The screenshot shows a window titled 'Submitted To AESO (< 1 Min)' with a sub-header 'Assessment Co'. Below the title bar, it says 'Active for less than one minute'. There are two tabs: 'NOD' and 'Close'. The 'IR' tab is selected, and a dropdown menu is open showing 'Open'. A green box highlights the 'IR' tab and the 'Open' dropdown. At the bottom, there is a blue button labeled 'Next Stage' with left and right arrows.

- c. The market participant will respond to the IR via communication channel and if satisfied the Analyst will 'Close' the IR.

When the NoD or IR is 'Closed' then the ARS analyst can complete the assessment and move the self-certification to 'Assessment Closed.' The stage cannot be moved until 'NoD' and 'IR' both are 'Closed'.

The screenshot shows a window titled 'Submitted To AESO (28 Min)' with a sub-header 'Assessment Co'. Below the title bar, it says 'Active for 28 minutes'. There are two tabs: 'NOD' and 'Close'. The 'IR' tab is selected, and a dropdown menu is open showing 'Close'. A green box highlights the 'Close' dropdown. At the bottom, there is a blue button labeled 'Next Stage' with left and right arrows.

5.1.4. Self-certification - ASSESSMENT CLOSED

The analyst will move the self-certification to 'Assessment Closed' after all the review and assessment is complete. If the Analyst is not completely satisfied with the submission, then they can close the self-certification with

1. Technical Assessment Letter (TAL) – the Analyst will
 - a. send the letter to the market participant via communication channel
 - b. turn the TAL flag to 'Yes'

- c. On the summary page, the status of the self-certification will show as 'Assessment Closed – TAL'
2. Report to the MSA – the Analyst will
 - a. report the case to MSA via communication channel
 - b. send the TAL letter to the market participant via communication channel
 - c. turn the MSA flag to 'Yes'

- d. On the summary page, the status of the self-certification will show as 'Assessment Closed – MSA'
 - e. The status will show as 'Assessment Closed – MSA' also when both flags are set to 'Yes'.
- After 'Assessment Complete', the analyst will move the self-certification to 'Closed' state.

5.1.5. Self-certification - CLOSED

The analyst moves the self-certification to 'Closed' after all assessments have been completed on the self-certification. It marks the completion of market participant's self-certification for the cycle.

Analyst moves the self-certification to 'Close' using the 'Next Stage' button. This will:

- Move the self-certification to inactive view.
- No user will be able to edit anything on the self-certification.
- The market participant will get notified that the self-certification is closed and if needed they can download the self-certification and its related documents before its purged out of the system.
- This is the right time for market participant s to download the self-certification and related documents for their records using 'Create ZIP' (See section 4.4 – Download Self-certification data from the portal).

5.2. Use Communication Channel for Self-certification

Once the Self-certification number is generated, a user can initiate a secure communication, regarding the self-certification, with AESO's ARS team from within the portal.

5.2.1. Steps to communicate with AESO's ARS Team

1. Click on the 'Communication Channel' Tab on the Self-certification page.

The screenshot displays the 'AESO SC1-C22021-7664 Self Certification' page. At the top, there is a progress bar with three stages: 'Self Certification Business...' (highlighted in orange), 'Initiate (8 Hrs)' (marked with a red target icon), and 'Authorizing Officer'. Below the progress bar, a tabbed interface shows 'General', 'Applicable Stds (Bulk)', 'Communication Channels' (highlighted with a green box), 'ZIP Files', 'Documents', and 'Rel'. The 'Communication Channels' tab contains the following information:

Self Certification For *	AESO	Cycle # *	2
DDP Information	---		
Self-Certification Period Begin Date *	3/1/2021	Self-Certification Period End Date *	3/31/2021
Submission Deadline *	5/1/2021	Late Submission	No
Additional Comments	Q2 self certification		

2. Click on the '+ New ARS Communication' on the page.

AESO SC1-C22021-7664

Self Certification

Self Certification Business...
Active for 8 hours

Initiate (8 Hrs)

Authorizing Officer

Submitted To AESO

General

Applicable Stds (Bulk)

Communication Channels

ZIP Files

Documents

Related

+ New ARS Communicat...

✓ Self Certific... Subject

Self Certificatio... Other Party ARS Team

No data available.

3. A new page will open. Enter the Subject of your Communication and click 'Initiate' at the top. The subject cannot be more than 50chars long.


< **Initiate** + New

New ARS Communication Channel

General Documents

ARS Team	ARS Analyst
Other Party	Samuel Trent
Compliance Process Number	AESO SC1-C22021-7664
Subject	---

Timeline



Almost there

Select Save to see your timeline.

4. Initiate will establish the communication channel between the user and ARS Team. The page will get the Subject name on top and allow to add the content of the communication. Click the '+' and

select 'Note' to add content.

The screenshot displays the Aeso user interface for a record titled "Submission deadline extension" within the "ARS Communication Channel". The interface includes a top navigation bar with options: "New", "Deactivate", "Refresh", and "Email a Link". Below the title, there are tabs for "General", "Documents", and "Related", with "General" being the active tab.

The "General" tab contains a table with the following details:

ARS Team	ARS Analyst
Other Party	Samuel Trent
Compliance Process Number	AESO SC1-C22021-7664
Subject	Submission deadline extension

Below the table is a "Timeline" section. It features a search bar labeled "Search timeline" and a button with a plus sign (+) to add new entries. A dropdown menu is open, showing the option "Note", which is highlighted with a green box. Below the search bar is a text input field labeled "Enter a note...".

At the bottom of the interface, there is a large blue plus sign icon, the text "Get started", and the instruction "Capture and manage all records in your timeline."

- The area to add content will open. Enter the communication text as note and click 'Add Note' at the bottom of the page. Adding 'Title' for the notes is optional.

Submission deadline extension

ARS Communication Channel

General Documents Related

ARS Team	ARS Analyst
Other Party	Samuel Trent
Compliance Process Number	AESO SC1-C22021-7664
Subject	Submission deadline extension

Timeline

Search timeline

Title

Hi ARS Team,

The MP. would like submission deadline extension for SC # xyz to date mm/dd/yy.
Please approve the same.

Thanks,
Samuel Trent

Segoe UI 9 B I U

Cancel Add note

- The content will show a note on the page with its timestamp. User can use the 'v' next to timestamp to expand and view the full content.

Submission deadline extension

ARS Communication Channel

General Documents Related

ARS Team	ARS Analyst
Other Party	Samuel Trent
Compliance Process Number	AESO SC1-C22021-7664
Subject	Submission deadline extension

Timeline

Search timeline

Enter a note...

ST


Note modified by Samuel Trent

Hi ARS Team, The MP would like submission deadline extension for SC # xyz to date mm/dd/yy. ...

4/1/2021 6:51 AM

- 'Add note' will also trigger a notification email for the addressee that a new communication has been added to the self-certification that they can view through the portal.

New Communication For Self Certification - AESO SC1-C22021-7664 CRM:0216202



SVC-Azure_AesoDevPortal_Notify <svc-azure_aesodevportal_notify@aeso.ca>
To: samtrenttest

Hi @aeso.ca, AESO ARS Team has sent a communication 'Submission deadline extension' to AESO SC1-C22021-7664 in Initiate.

Please go to the ARS Compliance Portal for further action.

If you have any questions/ concerns accessing the communication. Please contact rscompliance@aeso.ca.

Note: This is a system generated email. Please do not reply.

This email message, including all attachments, is intended only for the named recipients and may not otherwise be distributed, copied or disclosed with
This email message may contain information that is confidential, privileged, or exempt from disclosure under applicable law. If you are not a named recipient, please do not disseminate, copy, or otherwise use this information. If you are not a named recipient, please immediately notify the sender by return email or by telephone at 403-539-2450; a message, including all attachments, and any copies you may have. For further information on email communication with the AESO, please visit the Cor

8. The ARS Team or the market participant user can add more notes to the communication on the subject, which can be viewed in under the 'Timeline'. The timeline can be searched for a specific note from the list of notes. Ellipsis on the right can be used to sort the notes for viewing.

Submission deadline extension

ARS Communication Channel

General

Documents

Related

ARS Team

ARS Analyst

Other Party

Samuel Trent

Compliance Process Number

AESO SC1-C22021-7664

Subject

Submission deadline extension

Timeline

Search timeline

Enter a note...

SS

Note modified by Shuchismita Singh

Hi Samuel, We are review your request and will get back to you before EoD date - mm:dd:yy. Thanks, AESO ARS Team.

ST

Note modified by Samuel Trent

Hi ARS Team, The MP would like submission deadline extension for SC # xyz to date mm/dd/yy. Please approve the same. Thanks, Samuel Trent

Refresh timeline

Sort newer to older

Sort older to newer

4/1/2021 1:10 AM

4/1/2021 12:51 AM

9. The AESO ARS Team or the market participant User can also initiate more communications on other subjects. All the communications related to the self-certification will show up under the 'Communication Channels' tab of the self-certification.

Active ARS Communication Channels

Search this view

ARS Team

Other Party

Subject

Modified On

Self Certification...

ARS Analyst

Samuel Trent

Submission deadline extension

4/1/2021 6:39 ...

766429 Alberta Ltd

10. Apart from viewing the communication channels from the associated self-certification, all the communication channels related to all the active self-certification for the market participant can be viewed from the 'Communication Channels' on the 'Site Map' left menu of the portal.

5.2.2. Steps to attach a document to communication channel

1. A user can also upload a document to the communication channel from the 'Documents' tab within the communication channel. Click 'Upload' to attach any document.

Submission deadline extension

ARS Communication Channel

General

Documents

Related

ARS Team	ARS Analyst
Other Party	Samuel Trent
Compliance Process Number	<div> <div></div> <div>AESO SC1-C22021-7664</div> </div>
Subject	<div> <div></div> <div>Submission deadline extension</div> </div>

Submission deadline extension

ARS Communication Channel

General

Documents

Related

+

New

⌵

⬆

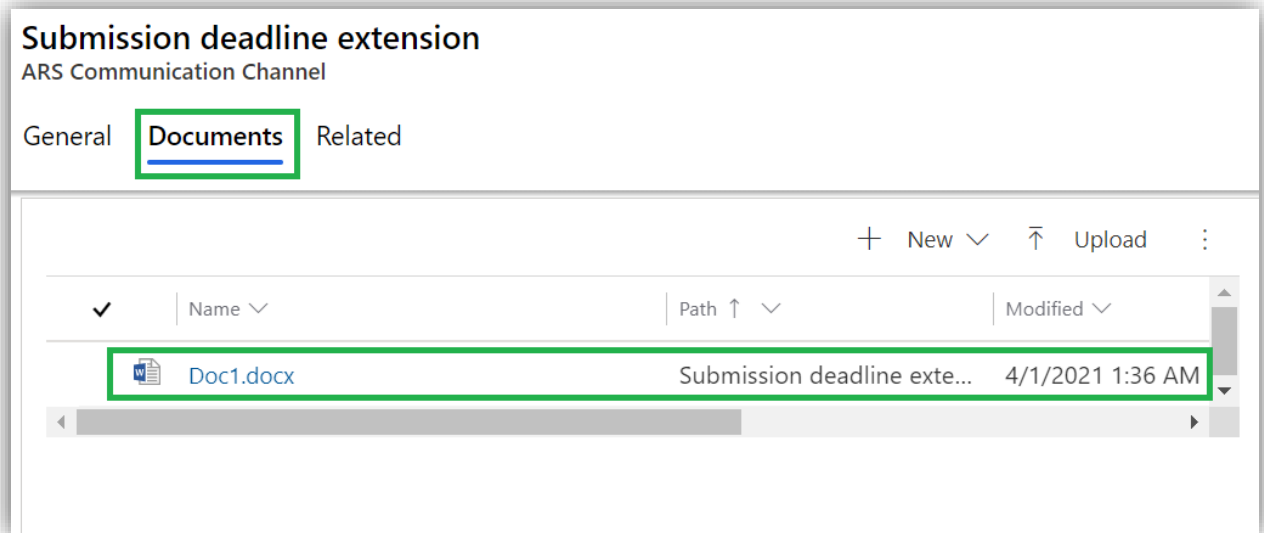
Upload

:

✓	Name ⌵	Path ⬆ ⌵	Modified ⌵	Mo
---	--------	----------	------------	----

2. Select document upload, choose the file for upload, and make sure to change the overwrite settings to 'No' to avoid any inadvertent overwrite of existing files. In case files are overwritten AESO can be contacted to procure the older versions of the file.
3. All the documents attached to the communication channel will be available and can be viewed from the 'Documents' tab of the communication channel. It is advisable to follow-up with a note

when attaching a document to the communication channel, so the addressee gets notified.



5.3. Download Self-certification data from the portal

A portal user can download all the self-certification related data in a zip for their records, at any point in time and as many times as needed. The download will contain all the self-certification specific data that is available in the portal at the time.

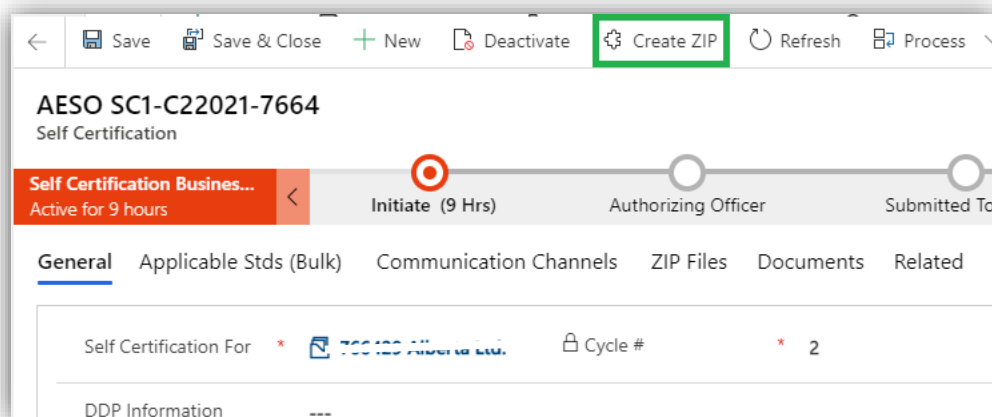
The self-certification specific data includes data in –

General tab, Applicable Stds tab, Communication channel tab and any attached document to the self-certification or its communication channel.

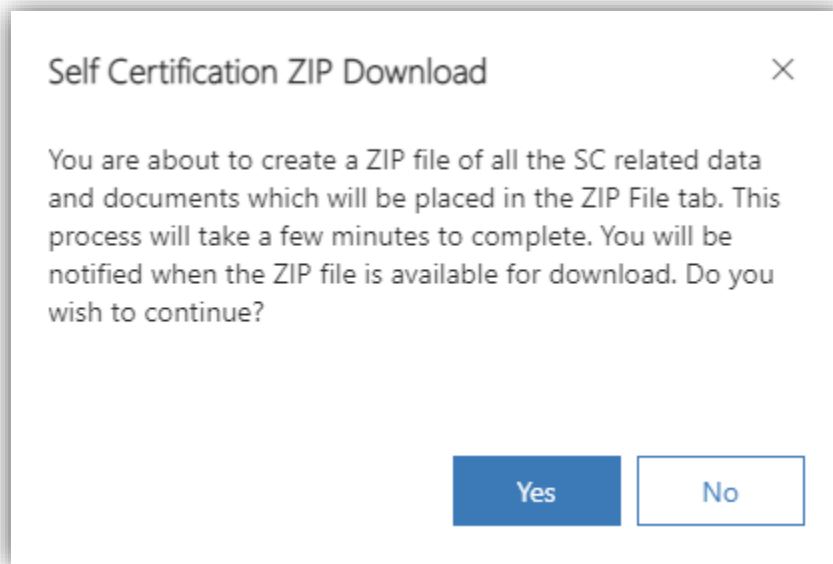
Note: A user can download data for only one self-certification at a time.

5.3.1. Steps to download self-certification data in a zip

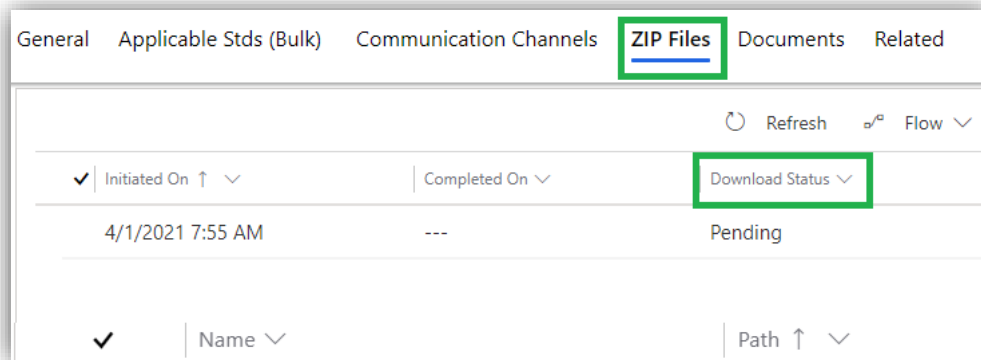
1. Open the self-certification that needs to be downloaded.
2. Click 'Create ZIP' button, at top of the self-certification 'General' tab.



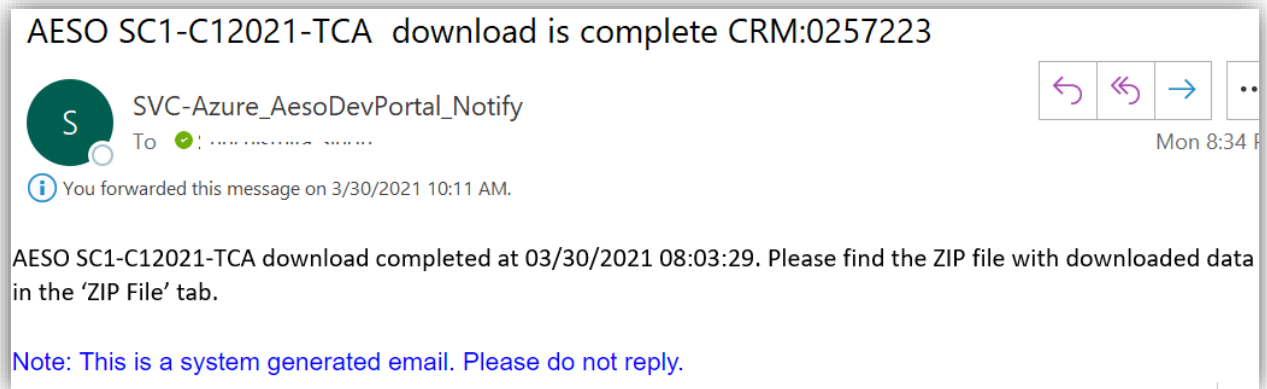
3. A pop-up to confirm download will show. Read and confirm the download.



4. The download job will run in the background while user can work on other things in the portal. The status of download can be viewed from the 'ZIP Files' tab. 'Refresh' button can be used to view the changing status.



- The user will get notified when the ZIP with downloaded data is ready.



- Go to the 'ZIP Files' tab and open the 'completed' download record.

General	Applicable Stds (Bulk)	Communication Channels	ZIP Files	Documents	Related
Initiated On ↑			Completed On ↓		Download Status
3/25/2021 4:09 AM			3/25/2021 4:20 AM		Completed
3/25/2021 4:43 AM			3/25/2021 4:57 AM		Completed
3/29/2021 11:14 AM			3/29/2021 8:33 PM		Completed
3/30/2021 3:33 AM			3/30/2021 3:48 AM		Completed

- A new page with the Zipped File record will open. Double click on the record will download the zipped file to the downloads folder. User will need a software on their machine to unzip the file

and view or save the data as needed.

Home

Recent

Pinned

New Group

Self Certifications

New Zip File

Zip File

General

Related

Regarding Entity

AESO SC1-C12021-TCA

Initiated On

3/25/2021

4:09 AM

Initiated By

pre Gupta

Completed On

3/25/2021

4:20 AM

Download Status

Completed

Documents

+ New

Upload

✓	Name	Path	Modified
	AESO SC1-C12021-TCA_03252021_1533951.zip_04E9F623528DEB11B1A...		3/25/2021 4:20 AM

Active

AESO SC1-C12021-....zip

Show all

6. ARS Master List

A market participant user can view all the retired, current, and upcoming Alberta Reliability Standards (ARS) from the 'ARS Master List' on the 'Site Map'/ left menu. Acknowledge the Disclaimer to view the list of the ARS.

Home

Recent

Pinned

ARS

MP Registration

Self Certification

Communication Cha...

ARS Master List

Functional Entity Types

Show Chart

Disclaimer

Refresh

Email a Link

Export to Excel

Import from Excel

ARS Master List

Search this view


Standard N...	Name	Requirement N...	ARS Ca...	Effective Begin Date	Effective End Date	Requirement St...
COM-002-...	Communications and C R3		Communi...	10/1/2013	12/31/2013	RETIRED
COM-002-...	Communications and C R4		Communi...	1/1/2014	12/31/2999	CURRENT
COM-002-...	Communications and C R2		Communi...	10/1/2013	12/31/2013	RETIRED
					/2999	CURRENT
					/2999	CURRENT
					/2013	RETIRED
					/2013	RETIRED
					/2999	CURRENT
COM-002-...	Communications and C R2		Communi...	10/1/2013	12/31/2013	RETIRED
COM-002-...	Communications and C R2		Communi...	1/1/2014	12/31/2999	CURRENT
COM-002-...	Communications and C R3		Communi...	1/1/2014	12/31/2999	CURRENT

Disclaimer

The effective date for each standard's requirement provided is the latest of the dates specified in the Proposed Effective Date of the standard and the Implementation Plan found in the Appendix section of the standard. -- Updated

OK

Double click on any ARS record will open the details of that ARS and show the associated FE types.

 Read-only: You don't have access to edit this record.

Communications and Coordination

ARS Master List · External User View

RETIRED

Requirement Status

General

Related

The effective date for each standard's requirement provided is the latest of the dates specified in the Proposed Effective Date of the standard and the Implementation Plan found in the Appendix section of the standard. -- Updated

Reliability Standard Number	COM-002-AB-2a
Reliability Standard Name	Communications and Coordination
Requirement Number	R3
ARS Category	Communications
Effective Begin Date	10/1/2013
Effective End Date	12/31/2013

Functional Entity Types

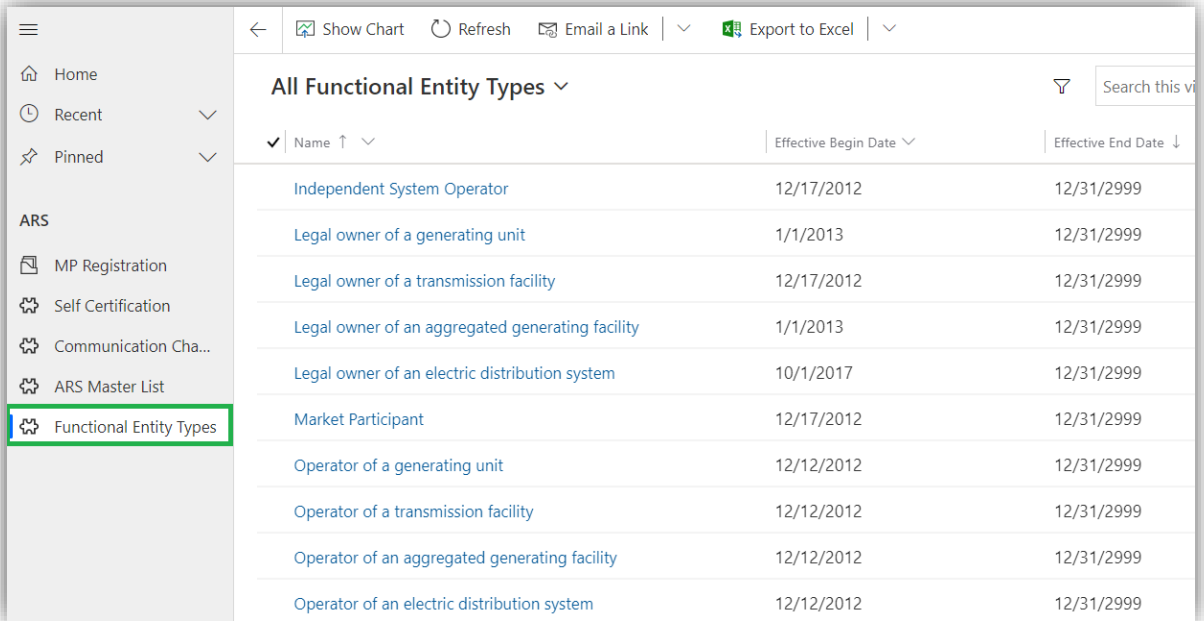
Refresh

Flow

Name
Operator of a generating unit
Operator of an aggregated generating facility

7. Functional Entity Types

A market participant user can view all the current as well as old functional entity types applicable in Alberta from the 'Functional Entity Types' on the 'Site Map'/ left menu.



All Functional Entity Types		
Name	Effective Begin Date	Effective End Date
Independent System Operator	12/17/2012	12/31/2999
Legal owner of a generating unit	1/1/2013	12/31/2999
Legal owner of a transmission facility	12/17/2012	12/31/2999
Legal owner of an aggregated generating facility	1/1/2013	12/31/2999
Legal owner of an electric distribution system	10/1/2017	12/31/2999
Market Participant	12/17/2012	12/31/2999
Operator of a generating unit	12/12/2012	12/31/2999
Operator of a transmission facility	12/12/2012	12/31/2999
Operator of an aggregated generating facility	12/12/2012	12/31/2999
Operator of an electric distribution system	12/12/2012	12/31/2999

Double click on any Functional Entity Type will open the details of the FE type.

Current is 'Yes' if the current date falls within the Effective Begin and End Date of the FE type.

Read-only: You don't have access to edit this record.

Operator of a generating unit

Functional Entity Type

General Related

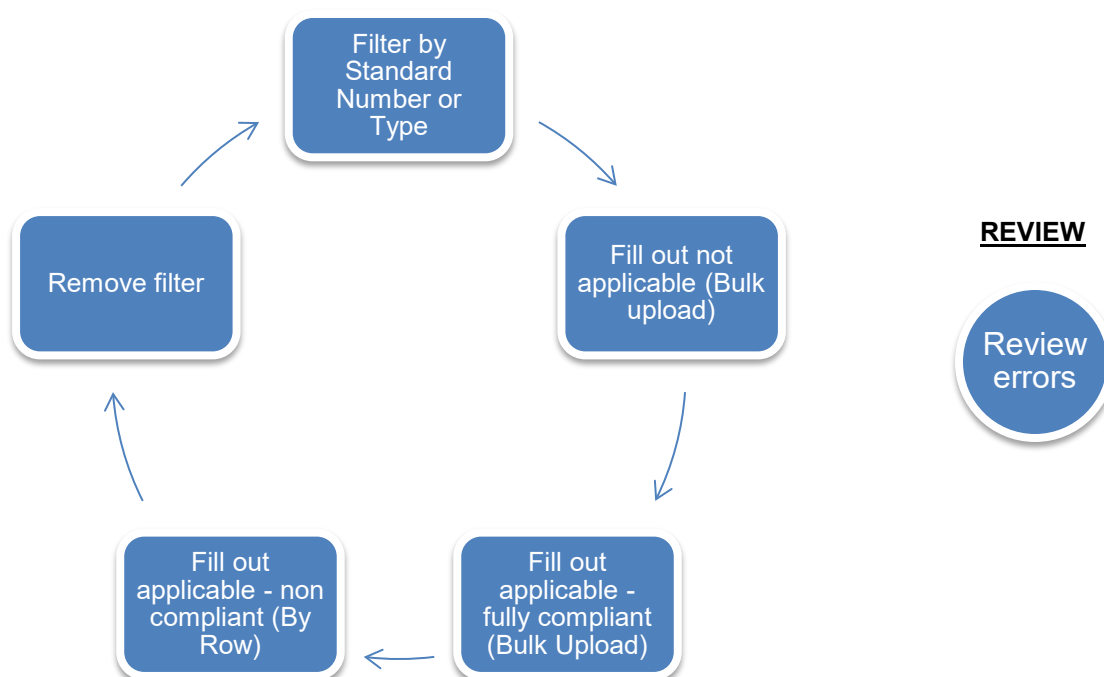
Name	* Operator of a generating unit
Effective Begin Date	* 12/12/2012
Effective End Date	* 12/31/2999
Current	Yes

8. Best Practices

8.1. Applicable Standard List

To complete the self-certification applicable standard list, it is recommended that you use the **filters** at the top of each column, rather than moving through the entire list using pages.

The below is an example of a best practice for filling out the applicable standard list whereby the list is more than one page (100 rows):



Filter by Standard Number or Standard Type

1. Filter by each individual standard or standard type:
 - a. using the column "Standard Name" select the downward arrow which will open the "Filter by" option
 - b. Chose the option "Filter by:" and select "contains"
 - c. Enter the first seven characters of the standard you wish to fill in the assessment (e.g., CIP-002, CIP-003)
 - d. Alternatively, you can filter by standard type based on the first three characters (COM, EOP, FAC, MOD, PER, PRC, VAR, CIP)

Note: Filtering in this manner will reduce the page numbers you are working on, usually down to one to two pages depending on which you have selected.

Not Applicable Standards

2. Based on your assessment for that standard, complete a bulk upload for a standard that is not applicable. You can select all records on the page by clicking the checkmark at the top beside the column "Standard Number". Ensure you enter a comment to explain why the standard is not applicable, and the other columns follow the logic in Applicability Table (pg. 27).

Not Applicable Requirements

3. Based on the assessment for that standard's requirements, complete a bulk upload for select requirements that are not applicable by either selecting the checkmark on each row or selecting all on the page then de-selecting those that do not meet this criterion. Ensure you enter a comment to explain why the requirement is not applicable and the other columns follow the logic in Applicability Table (pg. 27).

Applicable Requirements – Fully Compliant

4. Based on the assessment for that standard's requirements, complete a bulk upload for requirements that are applicable and fully compliant by either selecting the checkmark on each row or selecting all rows on the page then de-selecting those that do not meet this criterion and follow the logic in Applicability Table (pg. 27).

Applicable Requirements – Non-compliances identified

5. If applicable requirements have non-compliances that have been identified, include an additional filter under violation source type using the filter "does not contain data". Edit each individual record by scrolling to the right and finding the link. Clicking on the link will open a new window, enter the assessment for that requirement. Close the window and repeat for all rows. It is advised to use the link so that filtering is not lost.

Repeat for each standard number or type

6. Remove all filters and repeat steps 1 – 5 for all standards and/or standard types.

Review your Information

7. As a final step, filter on the Error column to ensure that the submission will be complete. Address any errors that may appear.

9. Things to remember

9.1. Software requirements to use the portal

- **Supported Browser** – The AESO Enterprise Data Portal is supported and well tested on Google Chrome and Microsoft Edge Chromium browsers, hence both are the recommended browsers for using the portal.
- **Unzip software** – User machines will need a software to unzip the downloaded zipped files.

9.2. Sign-up turnaround

- Sign-up turnaround time is dependent on the ARS admin's approval. It can take up to 3 days if the request was submitted on a weekend.

9.3. Self-certification dates

- User should take care that the Cycle # and the self-certification Period Begin, and End dates should be as per the self-certification cycle assignment. They cannot be changed after the self-certification is initiated.
- User cannot start a self-certification before the Self-certification Period End Date.
- In the case of a late submission, a user must contact AESO through a communication channel to receive an extension approval and then submit the SC. The AESO will extend the submission deadline after the self-certification submission is received if an approval has been granted.

9.4. Market participant registration

- Ensure that your MP Registration is correct prior to initiating a self-certification.
- Make sure the contacts are present in MP registration before they assign-up for the portal.

9.5. Deactivating a self-certification

- The DEACTIVATE button can be used in rare circumstances when a self-certification is created with wrong information like an incorrect cycle number or incorrect dates. Two self-certifications with the same number are not allowed in the Active View and as such one will need to be deactivated. The market participant will need to 'Deactivate' the self-certification with the incorrect information and then start a new self-certification with the correct information. Also, note that everything will need to be re-done including the applicable standards assessment. A deactivated self-certification cannot be reactivated.

9.6. Depiction of workflows in portal

- There are two workflows in the portal.
 - For DDP creation & termination
 - For Self-certification

A workflow is depicted in the portal differently as it progresses through its stages. A completed stage is shown as a solid circle, the current stage is shown as concentric circles (bull's eye) and the stage/ stages yet to come are shown as a grey circle. The number and text mentioned in parenthesis, next to the current stage show the number of days/ hrs/ min in that stage. E.g., for DDP, Initiate (4 D) = DDP has been in INITIATE stage for 4 days.

- To move stages within a workflow, click on the bull's eye and then click 'next stage'.

10. Appendix

10.1. Abbreviations

- AESO – Alberta Electric System Operator
- ARS – Alberta Reliability Standards
- DDP – Designation of Document Provider
- FE – Functional Entity
- IR – Information Request
- MP – Market Participant
- NoD – Notice of Deficiency
- SC – Self-certification
- TAL – Technical Assessment Letter

10.2. AESO Contact

Users can contact rscompliance@aeso.ca for any questions about this user guide, or support needed in using the portal.

10.3. Sign-Up or Sign-In URL Portal URL

- The portal home: <https://aeso-portal.powerappsportals.com/>

10.4. Email Notifications

To receive timely notifications, the portal users shall take care that the emails from following sender are not marked as spam.

- svc-azure_aesoportal_notify@aeso.ca

11. Revision History

Revision	Date	Comments
1.0	October 21, 2021	Initial version
2.0	January 25, 2024	Updates in section 2.1 and section 4