

Alberta Reliability Standards Compliance Portal Guide

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1. Contents

| | | |
|-------|---|----|
| 1. | About This Guide | 3 |
| 2. | Sign-up | 4 |
| 2.1. | Request Access | 4 |
| 3. | Sign-In | 9 |
| 4. | Market Participant Registration | 11 |
| 4.1. | Create, view and update market participant registration | 11 |
| 4.2. | Designation of Documentation Provider (DDP)..... | 14 |
| 5. | Self-certification | 31 |
| 5.1. | Self-certification workflow | 31 |
| 5.2. | Download Self-certification data from the ePortal | 51 |
| 6. | Communication Channel (CC)..... | 55 |
| 6.1. | Create a communication channel | 55 |
| 6.2. | Communication status | 57 |
| 6.3. | Attach a document to communication channel | 58 |
| 6.4. | View communication channel | 59 |
| 6.5. | Communication channel usage..... | 60 |
| 7. | ARS Master List..... | 64 |
| 8. | Functional Entity Types..... | 65 |
| 9. | Best Practices..... | 66 |
| 9.1. | Applicable Standard List | 66 |
| 10. | Things to remember..... | 68 |
| 10.1. | Software requirements to use the ePortal..... | 68 |
| 10.2. | Sign-up turnaround | 68 |
| 10.3. | Self-certification dates..... | 68 |
| 10.4. | Market participant registration..... | 68 |
| 10.5. | Deactivating a self-certification | 68 |
| 10.6. | Depiction of workflows in ePortal | 68 |
| 11. | Appendix..... | 69 |
| 11.1. | Abbreviations | 69 |
| 11.2. | AESO Contact | 69 |
| 11.3. | Sign-Up or Sign-In URL ePortal URL..... | 69 |
| 11.4. | Email Notifications | 69 |
| 12. | Revision History | 69 |

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.

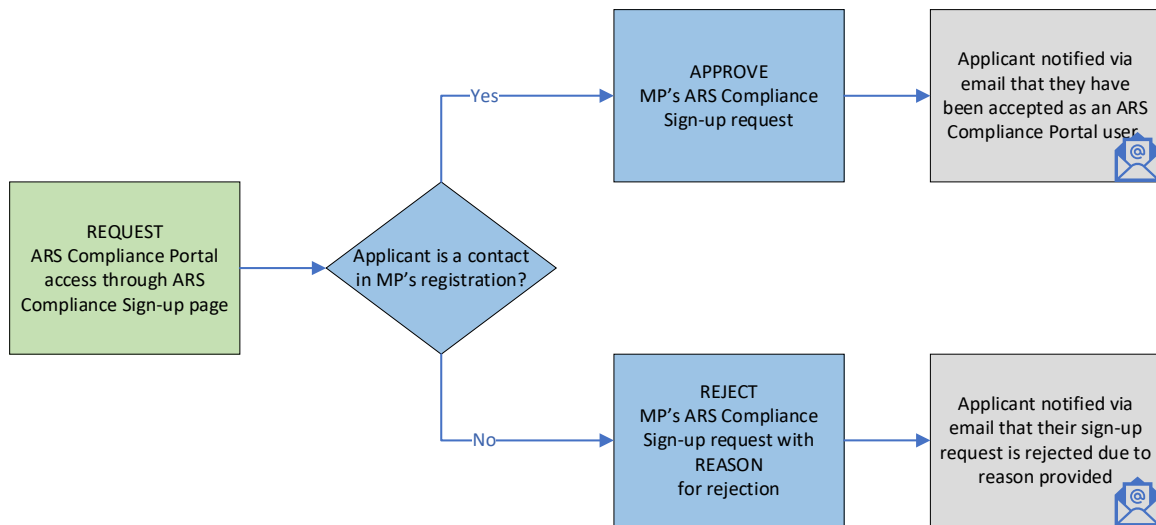
This guide is currently for users of the 'ARS Compliance Portal', who are responsible for submissions related to the self-certification (SC) process within ARS compliance monitoring program. The document will provide guidance on:

- **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 for Compliance Oversight Plan (COP), MP Schedule and Self-certification**
- **View master list of ARS**
- **View functional entity types**
- **Things to remember about the compliance process and the ARS Compliance Portal**

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

2. Sign-up

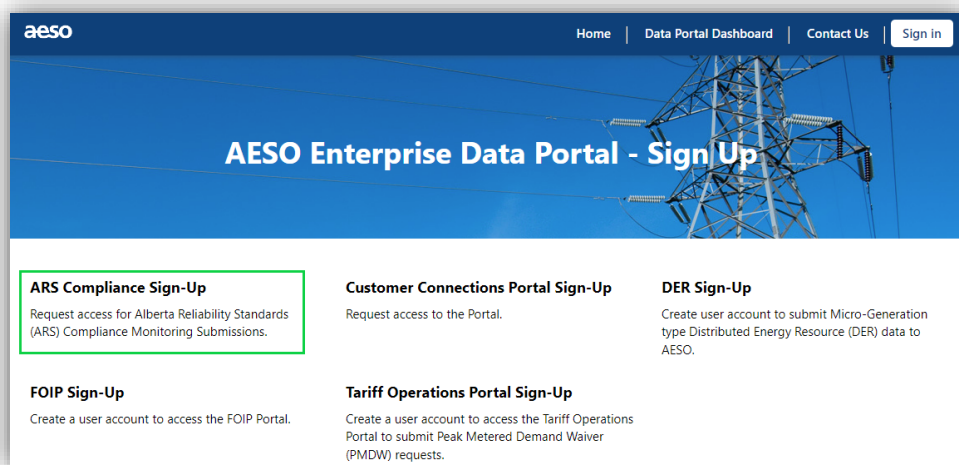
The market participant's primary, alternate and authorizing officer contacts that are registered with the ARS compliance monitoring program can request access to the ePortal via the sign-up process. The 'ARS Admins', which are part of the AESO's ARS compliance monitoring team, verify the sign-up requests 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 ePortal. 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.



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

aeso Home | Support Documents | Sign in

ARS Compliance Sign-Up

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.

Organization *

First Name * Last Name *

Phone * Email *

Reason for requesting AESO Portal Access *

b4xlr6c
 Generate a new image
 Play the audio code
 Enter the code from the image

3. Complete the sign-up form, click 'Submit' button at the bottom of the page.
Note: The MP users can request access to the ePortal only after their MP registration is created and they are added as an MP contact (section 4.1).
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.

aeso Home | Support Documents | Sign in

ARS Compliance Sign-Up

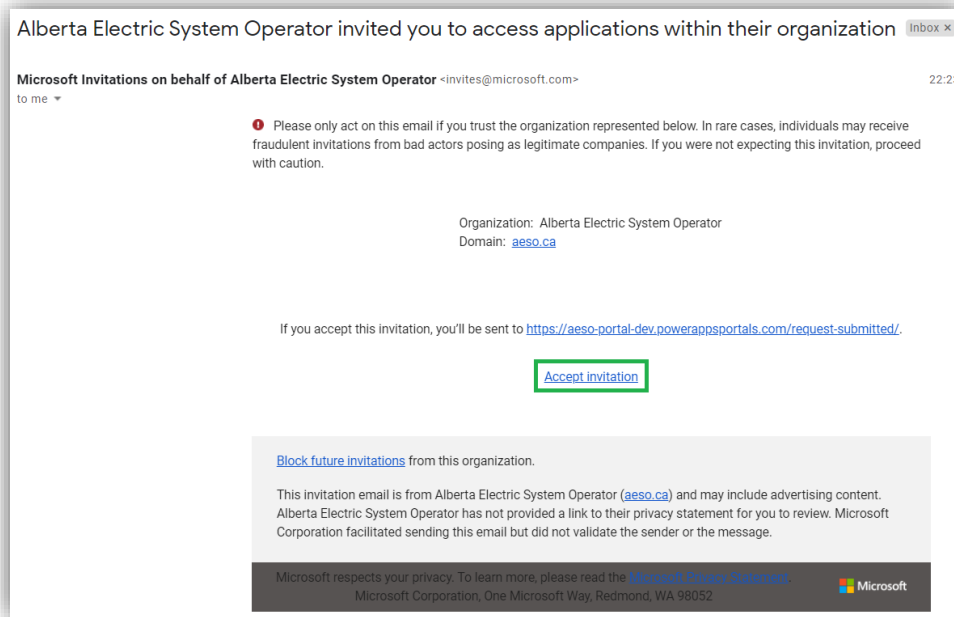
Only Registered Market Participants (MP) for ARS Compliance can request access to the AESO ARS Portal.
 If you are not a registered MP already, please go to [link](#) to register for AESO ARS Compliance use the same details as provided in your registration.
 Your Registration cannot be updated from here.

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:

- 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.
- 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.

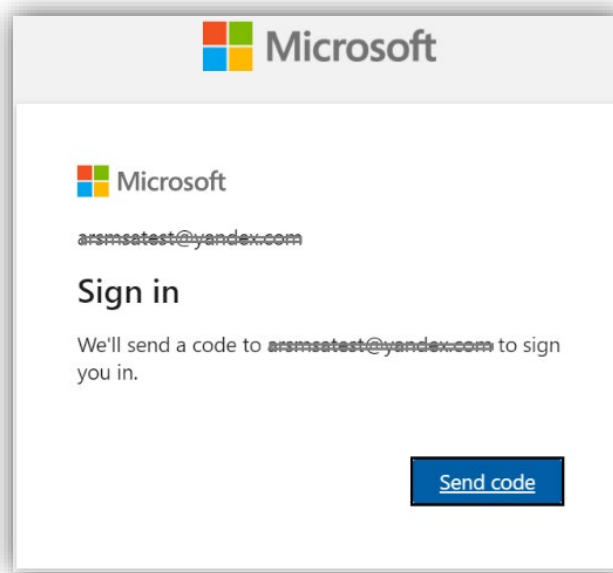
5. If the access is 'Approved' by the ARS admin, then,

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'.

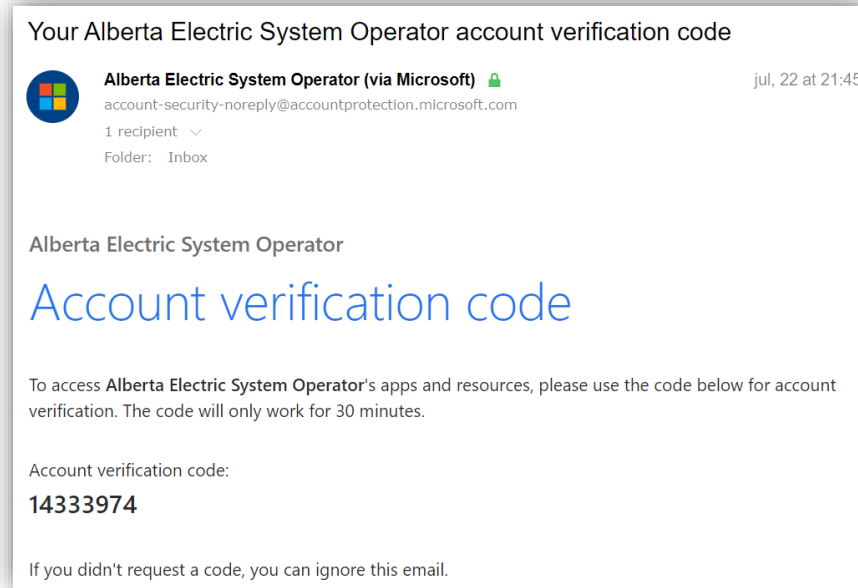


5.2. 'Accept Invitation' will take user to either of the two pages mentioned below depending on Microsoft verification:

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



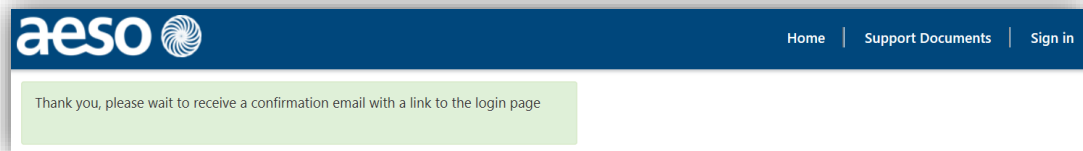
The applicant will need to follow the steps to verify the email by sending code. An example of an 'Account verification code' email is given below.



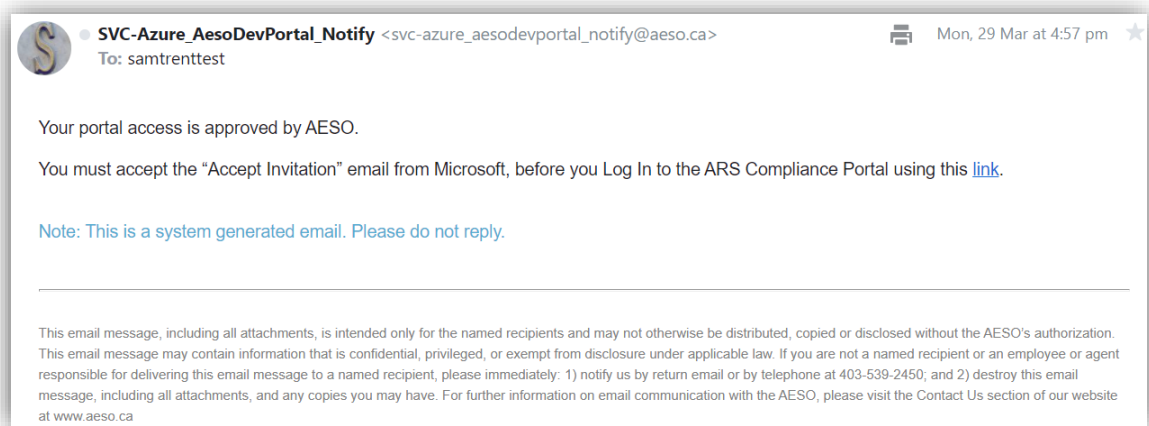
After account verification is complete the page mentioned in 5.2.2 will be displayed.

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 ePortal 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.



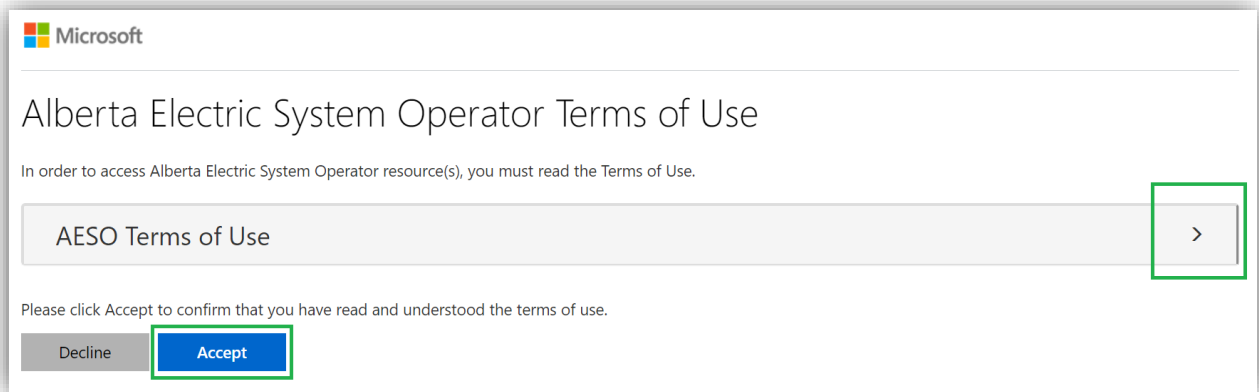
Note: If the user represents more than one market participant, they will need to sign-up multiple times, using each company name to sign-up.

3. Sign-In

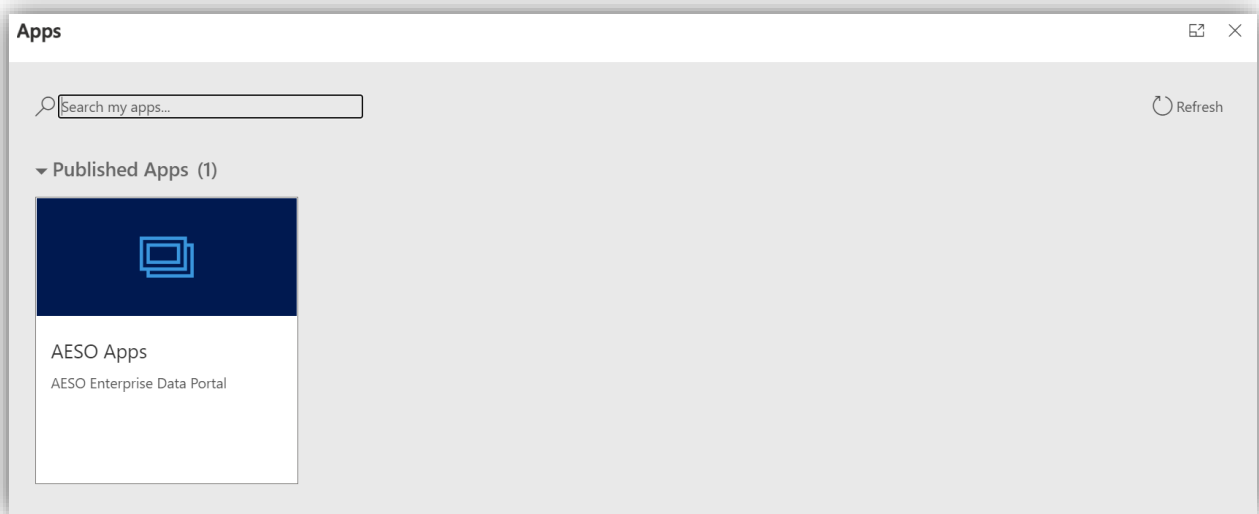
After receiving the confirmation email the user can Sign-In to the ePortal using the link provided in the email or to go to the ePortal using the URL provided in Appendix.

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.

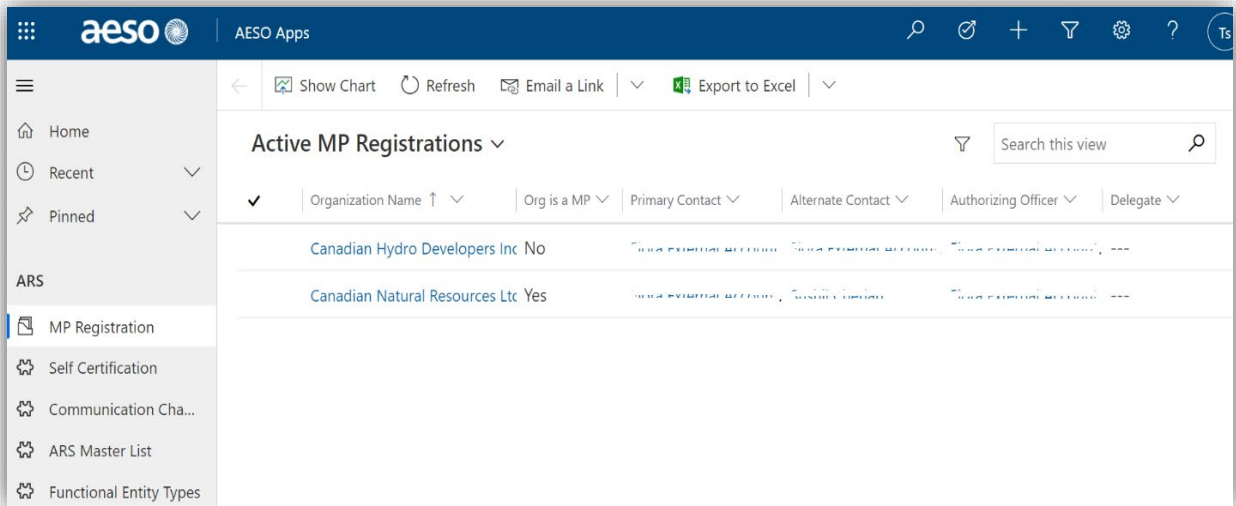


After the user has accepted the terms of use and on subsequent sign in, the user will see this landing page:

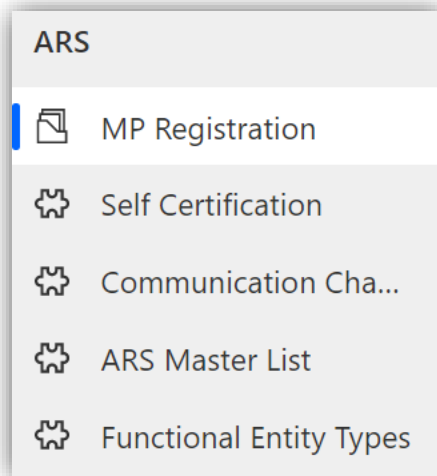


Click on 'AESO Apps' box will take user to the Summary page of market participant 's registration. It will show all the market participant registrations that the user is a contact for. (Note: The test contacts have

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 ePortal.

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 arsportal@aeso.ca
- ARS Compliance Team will create and/or update the market participant information in the ePortal

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

| 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 | MP Effectivity Begin | MP Effectivity End | Org is Provider for... | Org is Registered for... | 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

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

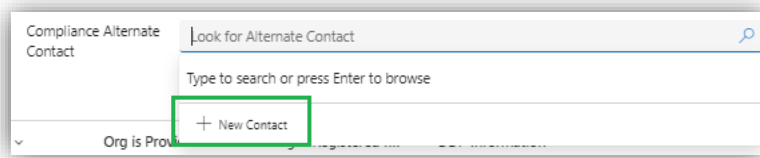
- Organization Information – MP's Name, Address, and Names of the Primary, Alternate and Authorising Officer (AO) contacts, which should be populated before a user signs up.
- Functional entity (FE) types – The FEs that the company is registered with along with any Designation of Documentation Provider (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 ePortal.

- **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 ePortal. 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.

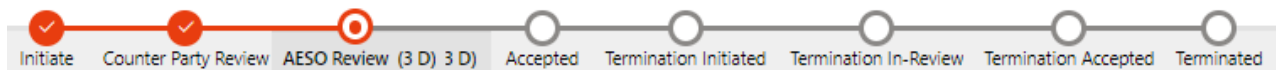
4.2. Designation of Documentation Provider (DDP)

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 ePortal. To do that the user must understand the DDP workflow in the ePortal 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> |

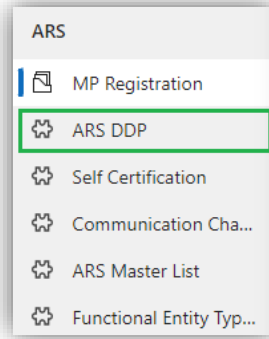
| Stage | Stage Description | User permissions |
|------------------------------------|---|--|
| | | <p>Read/ Write Notes – Initiating MP's Primary/ Alternate/ AO AESO's ARS admin</p> |
| <p>Counter Party Review</p> | <p>After completing DDP form, the MP's Primary/ Alternate/ AO contact forward it to 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> | <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> |
| <p>AESO Review</p> | <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> | <p>Read/ Write DDP form (Stage Owner) – AESO's ARS admin</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</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 |
|--------------------------------------|---|--|
| <p>Accepted</p> | <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> |
| <p>Termination Initiated</p> | <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> |
| <p>Termination In- Review</p> | <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> |

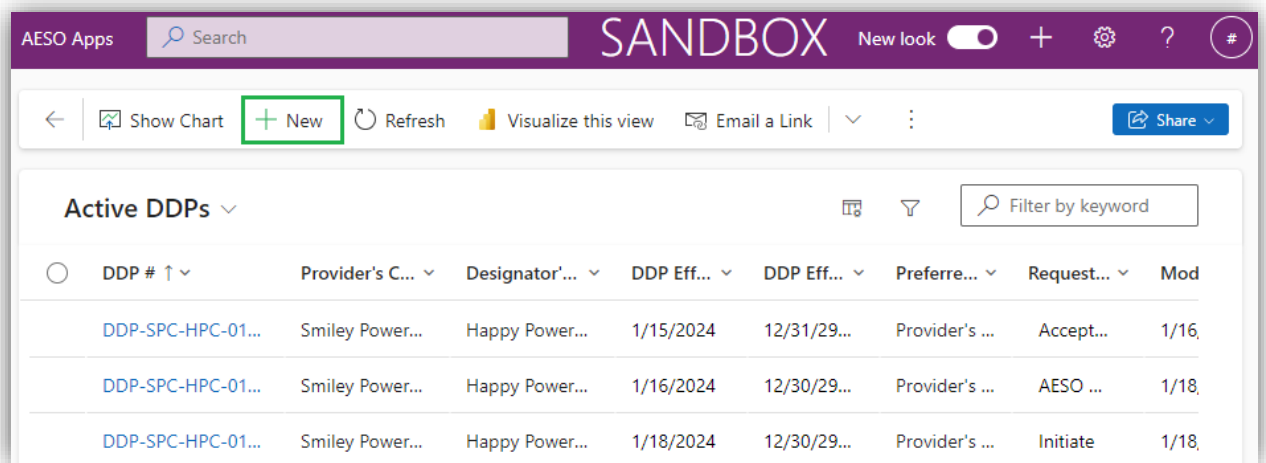
| Stage | Stage Description | User permissions |
|------------------------------------|--|---|
| <p>Termination Accepted</p> | <p>If the Counter Party MP has no concerns, then the Primary/ Alternate/ AO moves the DDP to Termination Accepted.</p> <p>The DDP form becomes read-only for all users.</p> <p>The 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> |
| <p>Terminated</p> | <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.



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

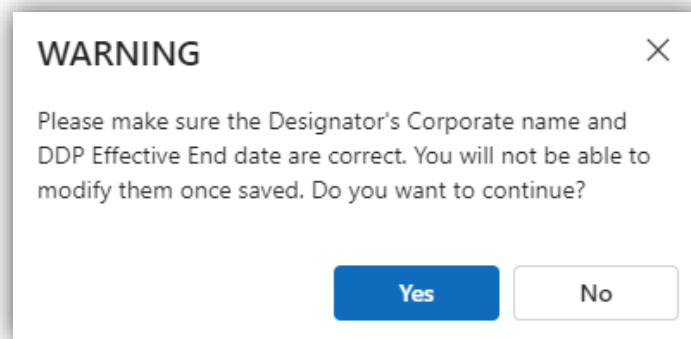
The fields marked with a red Asterisk (*) are mandatory to Initiate a DDP. The ones with lock sign are auto populated by the ePortal.

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 * Provider's Corporate name *

Preferred Schedule * Provider's schedules

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

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

Function Entity Types

Functional Entity Types ↑ Applicable to All Facilities? Facility Name

We didn't find anything to show here

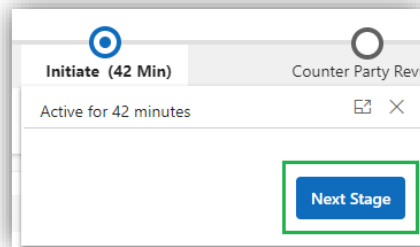
7. A new page will open to add the FE details for the DDP. Fill in the details and 'Save'. Add all the FEs one by one. The FEs to be added should meet following conditions, else the FE will not get added to the DDP:
 - FE Designator's FE Effectivity Begin date <= DDP Effective Begin date
 - FE Designator's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

The form fields are described below:

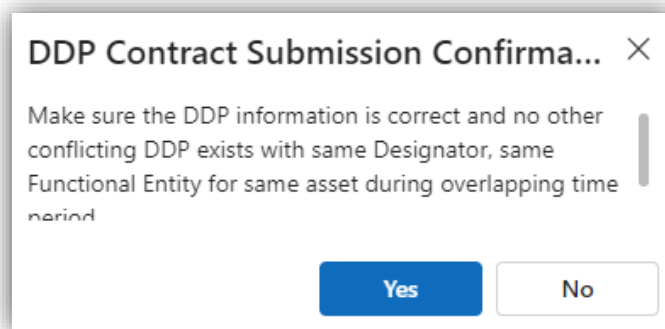
| Field Name | Field Description |
|--------------------------------------|---|
| Functional Entity Type | Select the FE for the DDP contract using the search icon. Only FEs present in Designator’s MP registration, can be selected. If the FE is not present in Provider’s MP registration, then the DDP 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'.

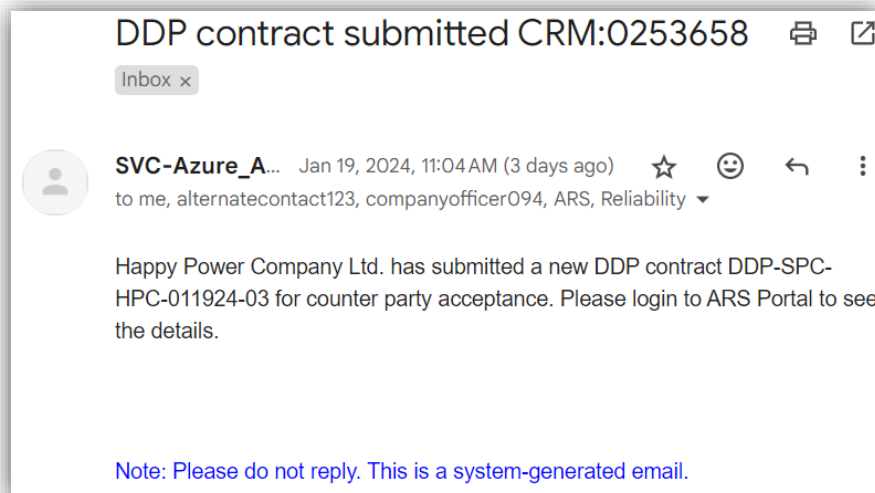


9. User will get a pop-up to confirm the stage move. Click 'Yes' to confirm.

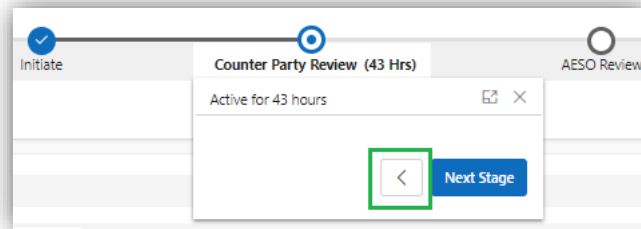


DDP – COUNTER PARTY REVIEW

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.

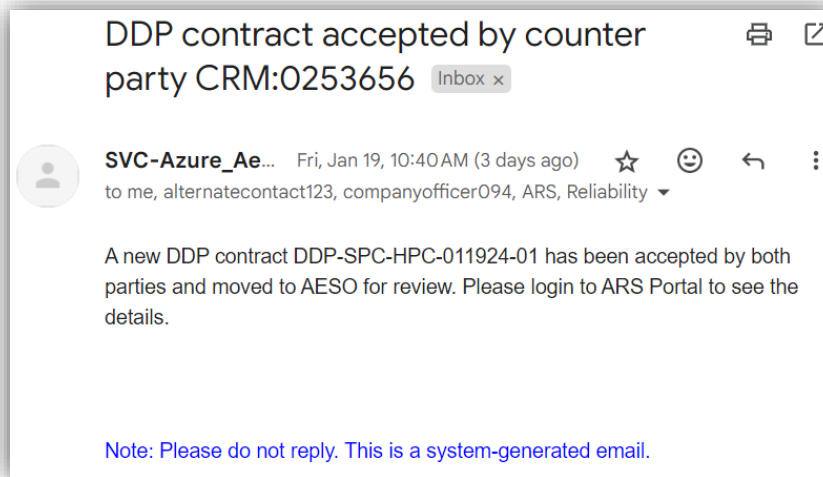


If they do not have any concerns, the other MP contact (Primary/ Alternate/ AO) shall move the DDP forward for AESO’s Review, else they can move it backwards to the DDP initiating MP for corrections. Use backward arrow to move the DDP back to ‘Initiate’ stage. Use ‘Notes’ (see 4.2.3) feature to add details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



DDP – AESO REVIEW

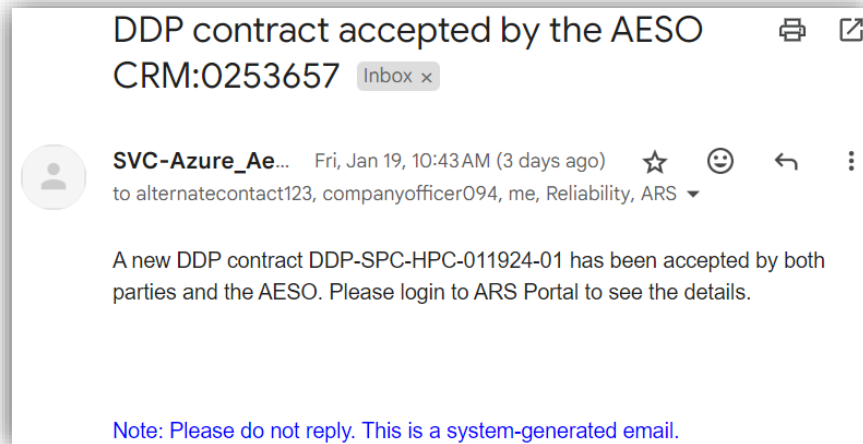
When the DDP is moved to ‘AESO Review’, then AESO’s ARS team will get notified for their review and acceptance. The Primary and Alternate contacts of both the MPs, in the DDP, will also get notified, for information only.



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

1. 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's Corporate name * Provider's Corporate name *

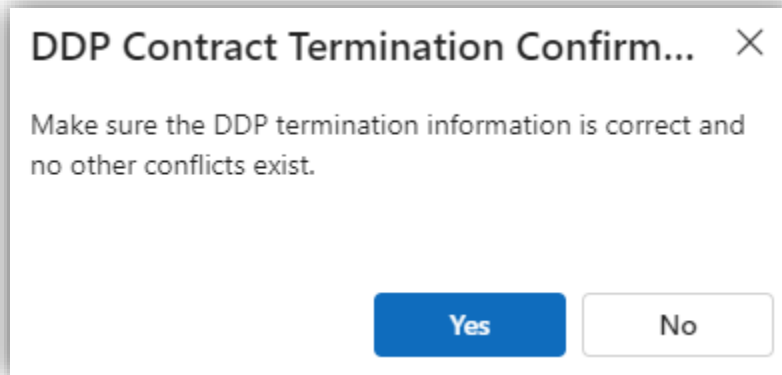
Preferred Schedule *

DDP Effective Begin * DDP Effective End *

Modified By Modified On 3:31 PM

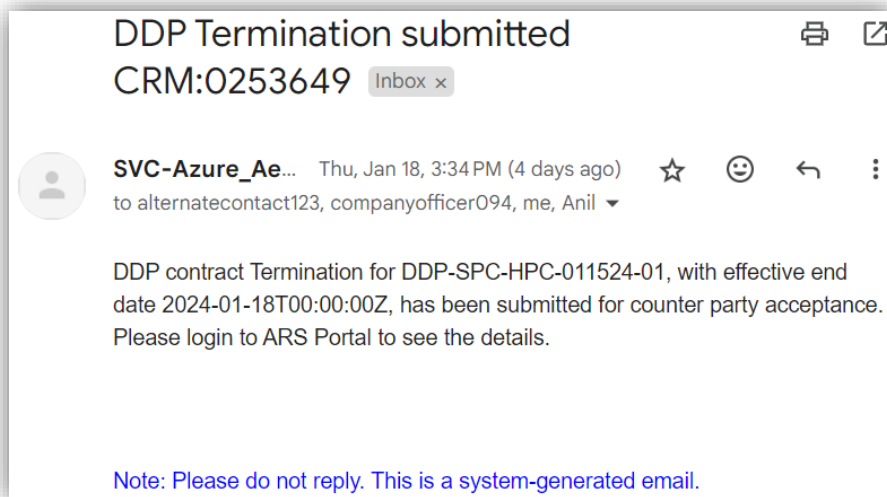
Note: A DDP can be terminated only from the 'Accepted' stage by Primary/ Alternate/ AO contacts of any of the two MPs in the DDP contract. Once it's moved to 'Termination Initiated', only the MP who moved it from 'Accepted' stage will be able to modify the date.

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

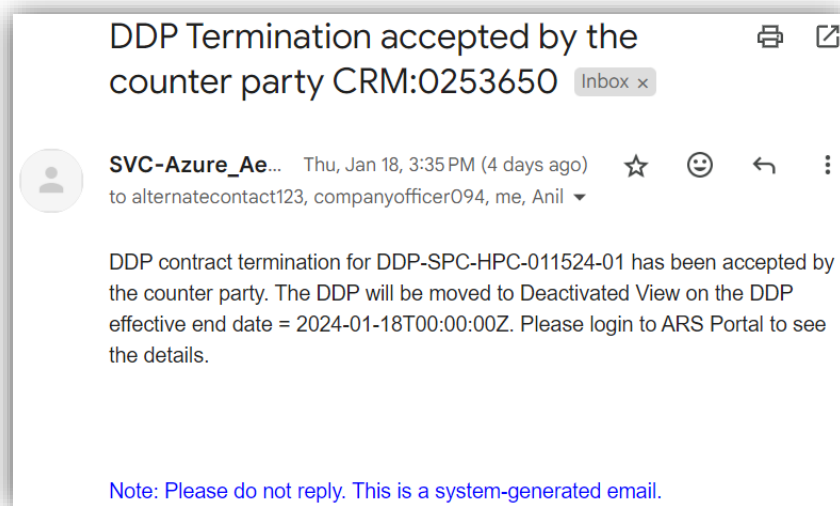
When the DDP is moved to 'Termination In-review', the Primary and Alternate contacts of the other MP, in the DDP, will get notified that a DDP termination has been submitted for their review and acceptance. The AESO's ARS team will also get notified, for information only.



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

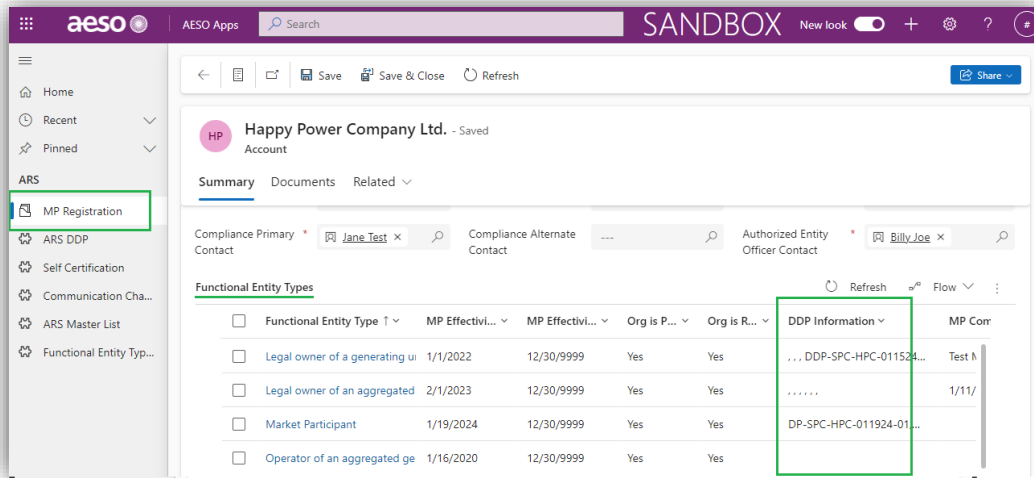
On DDP Effective end date, the DDP will be moved to the deactivated view with status 'Terminated'. It will become all users and where cannot be activated again.

4.2.2. View DDP

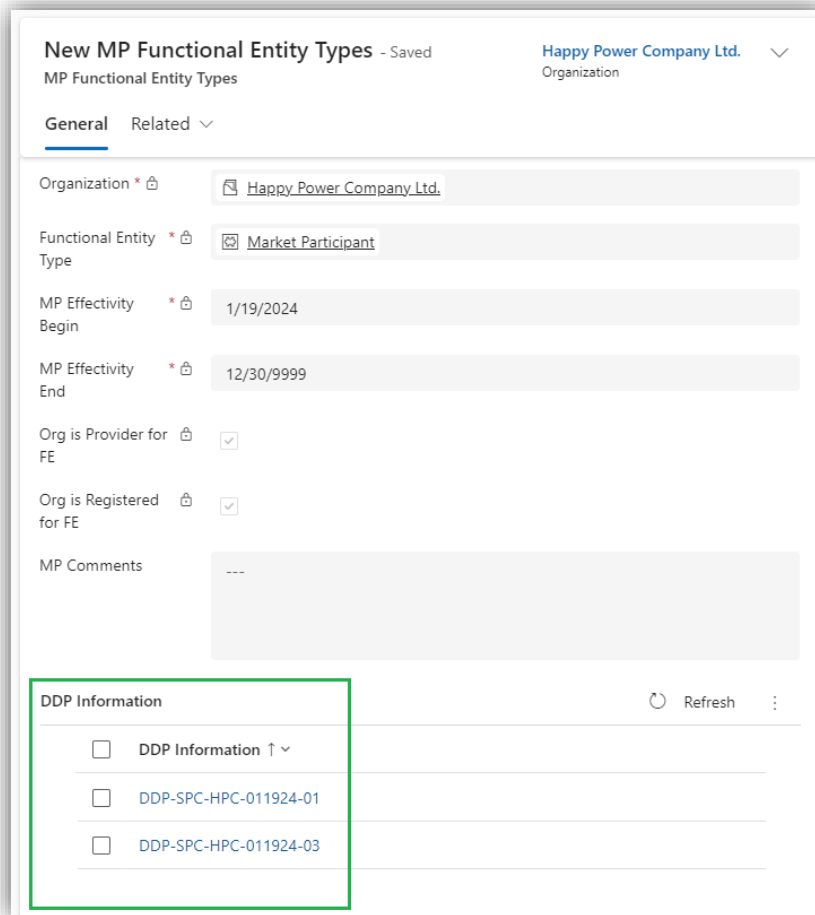
ePortal users can view/ access all the DDP contracts that their MP has with other MPs. A DDP can be viewed from various locations in the ePortal.

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.



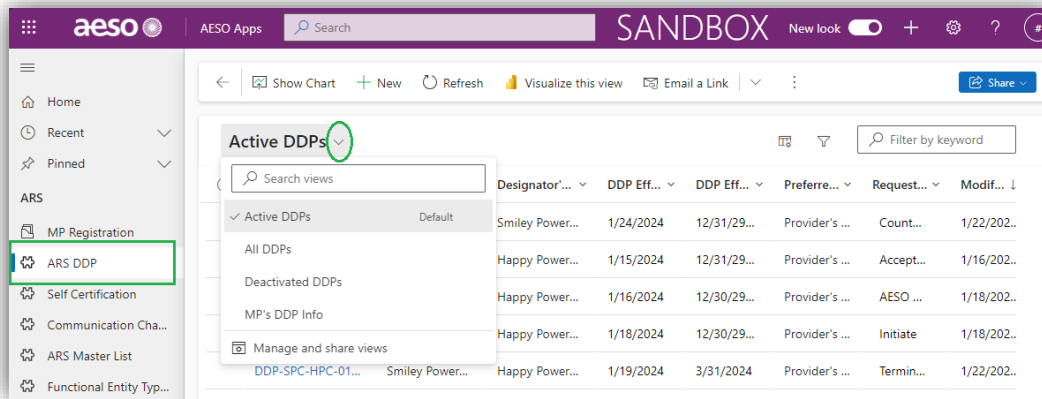
Double click on the FE record (not on blue text) will open the FE details, which will also show all the DDP's of the MP for that FE.



From ARS DDP

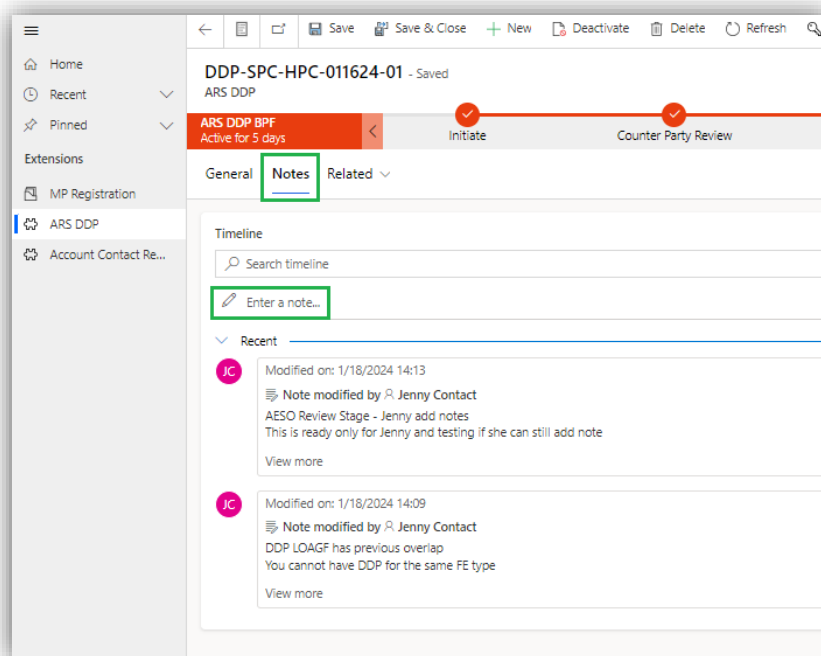
Go to 'ARS DDP' on the 'Site Map' left menu that will bring up the list of all the active DDP contracts for the MP, by default. To see their deactivated DDPs MPs can change their view using the down arrow next to the view. Double click on the record to see its details.

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

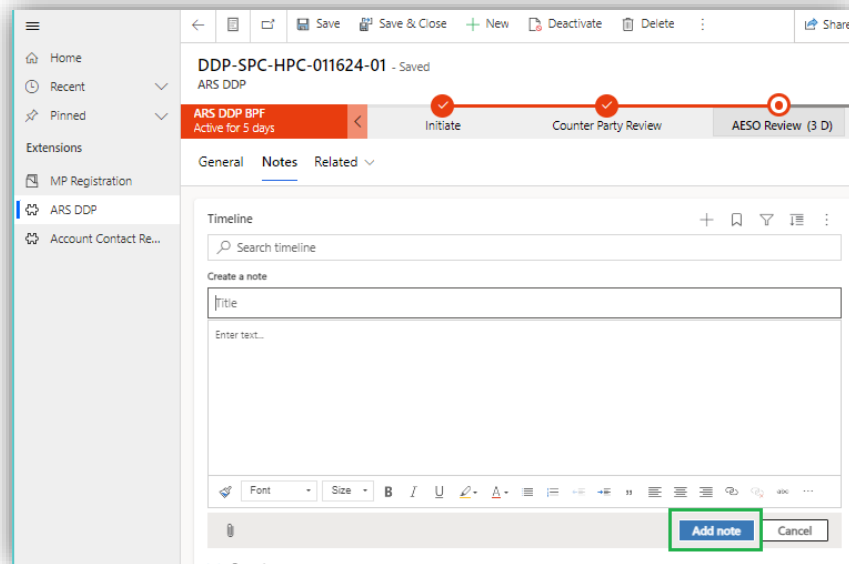


4.2.3. Add Notes

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.

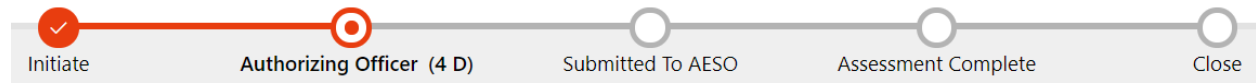


5. Self-certification

A market participant's self-certification can be performed by accessing the 'Self-certification' application in the ePortal. 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 | 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. If the self-certification needs any corrections, then the Authorizing Officer can move it back to 'Initiate' stage. | 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 |
|---|---|---|
| <p>Submitted to AESO / In Review</p> | <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> |
| <p>In Review (NoD)</p> | <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) | <p>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> | <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> |

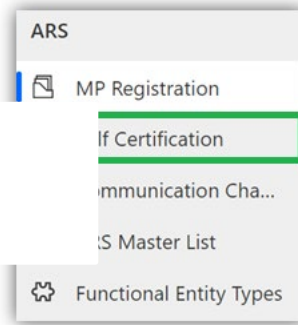
| Stage | Stage Description | User permissions |
|---|---|---|
| Assessment Complete (MSA Referral) | ARS team flags self-certification for 'MSA referral' if market participant 's self-certification assessment is not satisfactory , and a referral is made to MSA at the time of assessment completion. | <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 ePortal. Users can download the self-certification data and related documents for records. | <p>Stage owner is AESO's ARS Team - self-certification related data and documents become Read-only for all types of users.</p> |

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.

The screenshot shows the 'Active Self Certifications' view in the SANDBOX system. The table contains the following data:

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

The form fields are described below:

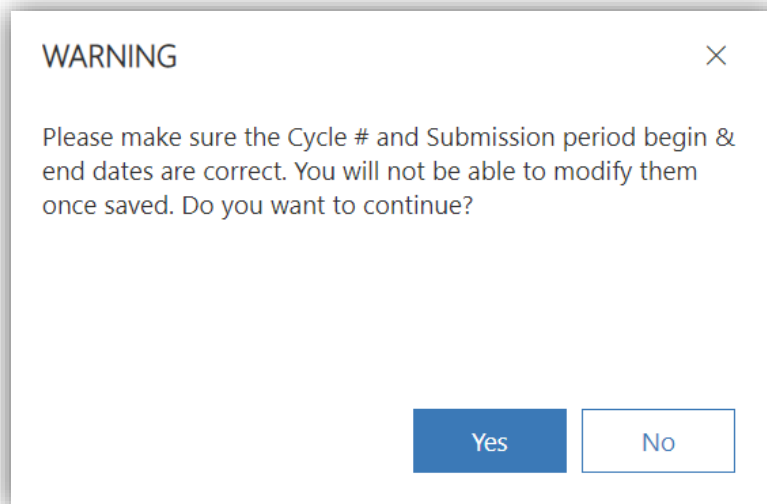
| Field Name | Field Description |
|---|---|
| Self-certification for | This field is auto populated with the market participant name of the user. If the user represents more than one market participant, then the pick the market participant applicable for the self-certification from the list of market 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 ePortal will show error if mandatory fields are not entered by the user. E.g.

The screenshot shows the 'New Self Certification' form in the 'Initiate' step. A red error banner at the top states 'Cycle #: Required fields must be filled in.' The 'Cycle #' field is highlighted with a green box and contains a red error message: 'Cycle #: Required fields must be filled in.' Other fields include 'Self Certification For' (Cenovus Energy Inc.), 'Self-Certification Period Begin Date' (1/1/2020), and 'Self-Certification Period End Date' (12/31/2020).

- 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 'Self Certification' form in the 'Initiate' step, now completed. The title is 'AESO SC1-C12021-CEI Self Certification'. The 'Cycle #' field is now '1' and is locked. The 'Self-Certification Period Begin Date' is '1/1/2020' and the 'Self-Certification Period End Date' is '12/31/2020', both locked. The 'Additional Comments' field contains 'Test SC'. The 'Submission Deadline' is '1/31/2021' and 'Late Submission' is 'No'.

- 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.

| 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?appid=c2c7aaeb-593f-eb11-a813-000d3af46b49&forceU... |
| 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?appid=c2c7aaeb-593f-eb11-a813-000d3af46b49&forceU... |
| 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?appid=c2c7aaeb-593f-eb11-a813-000d3af46b49&forceU... |

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

| 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 |
| Violation Type Source | Not Applicable - Self-Assessed |
| Additional Comments | Not Applicable - AESO CMP review |

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

 Error **Yes**

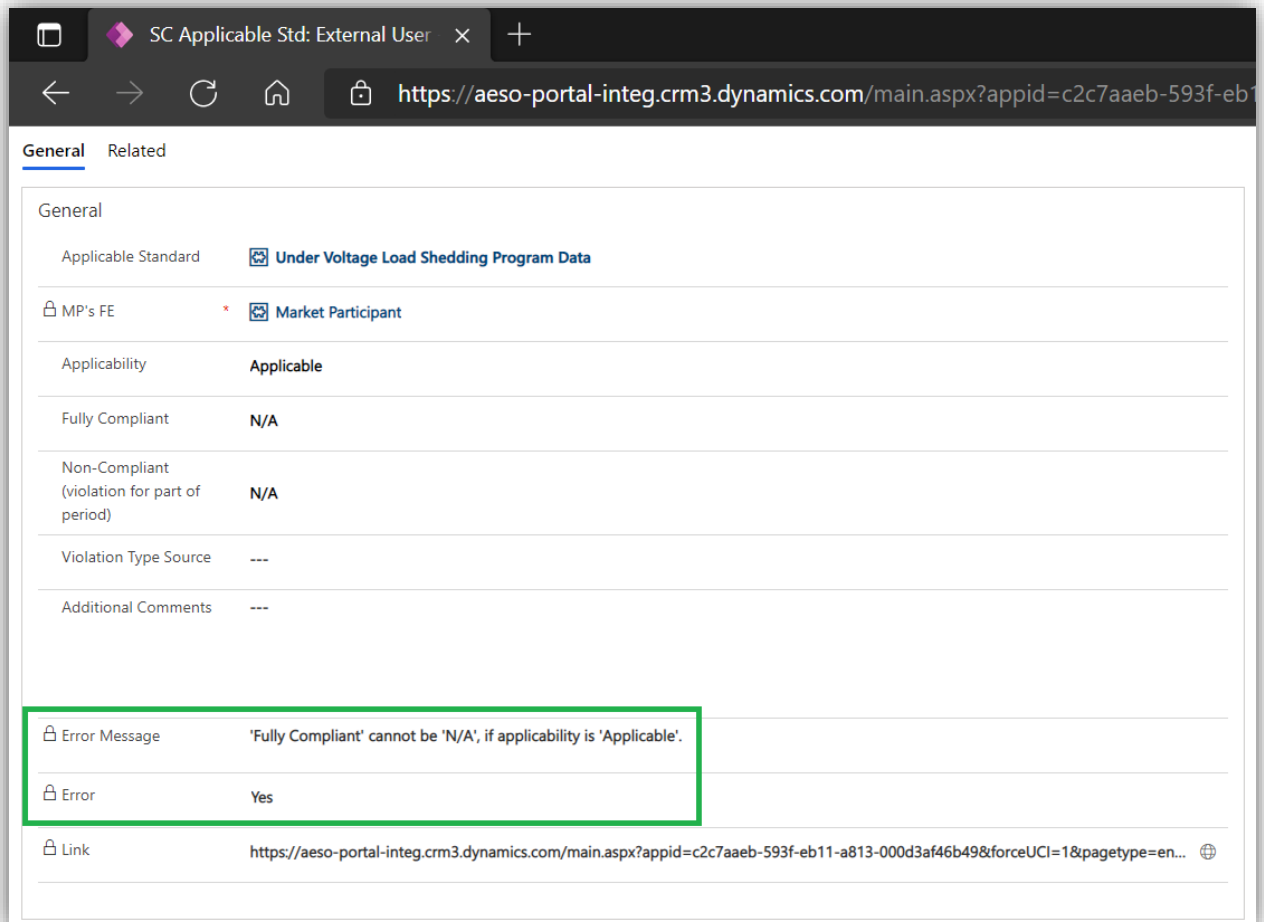
 Link <https://aeso-portal-integ.crm3.dynamics.com/main.aspx?appid=c2c7aaeb-593f-eb11-a813-000d3af46b49&forceUCI=1&pagetype=en...> 

Rules for filling the applicability are given below:

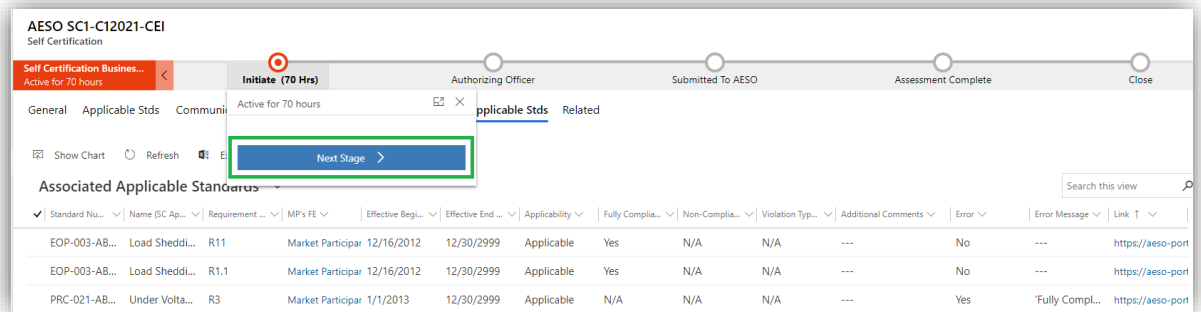
| Applicability | Fully Compliant (for entire period) | Non-Compliant (violation for part of period) | Violation Type Source | Additional Comments |
|----------------------------------|-------------------------------------|--|-----------------------------|---------------------|
| Applicable | Yes | N/A | 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 |
| Previous Self-Report to MSA | | | 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.

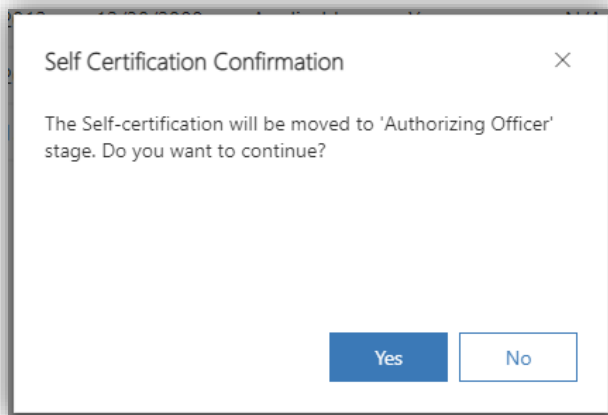
E.g., If Applicability = 'Applicable' then, Fully Compliant must be 'Yes' or 'No'. It cannot be N/A. If N/A is chosen, then Error message will be shown and Error = Yes.



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.



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



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

The screenshot displays a software interface for AESO. At the top, there are four progress indicators: 'Initiate (70 Hrs)' (active), 'Authorizing Officer', 'Submitted To AESO', and 'Assessment Complete'. Below this is a table with columns for 'Requirement ...', 'MP's FE', 'Effective Begi...', 'Effective End ...', 'Applicability', 'Fully Complia...', 'Non-Complia...', 'Violation Typ...', 'Additional Comments', 'Error', and 'Error Message'. The table contains three rows: R11, R1.1, and R3. A modal dialog box is open in the foreground, displaying the message: 'Errors found in Applicable Standards. Please rectify the errors before moving to next stage.' with an 'OK' button. A 'Next Stage >' button is also visible in the background interface.

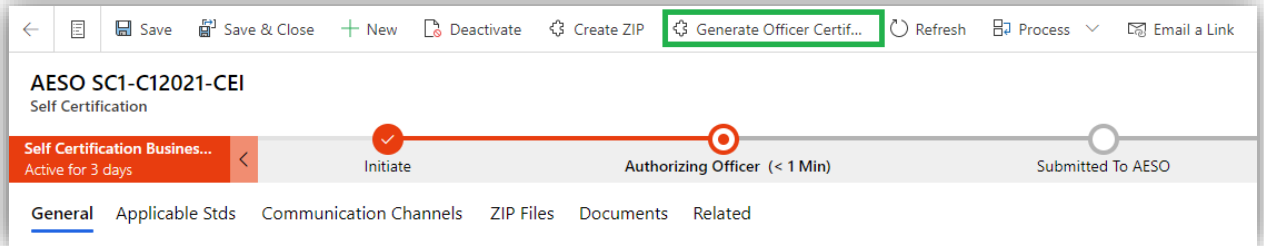
| Requirement ... | MP's FE | Effective Begi... | Effective End ... | Applicability | Fully Complia... | Non-Complia... | Violation Typ... | Additional Comments | Error | Error Message |
|-----------------|-------------------|-------------------|-------------------|---------------|------------------|----------------|------------------|---------------------|-------|----------------|
| 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... |

5.1.2. Self-certification – AUTHORIZING OFFICER

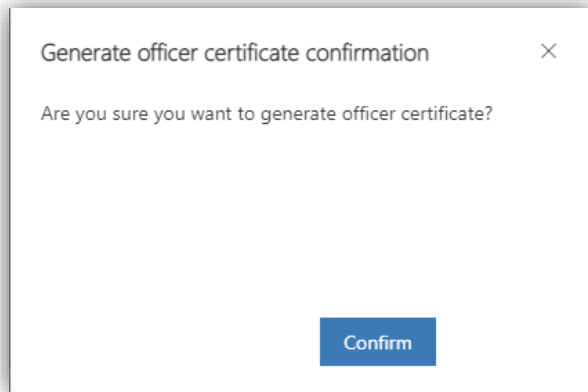
Authorizing Officer must be notified by the market participant’s team (through their internal processes) to review the self-certification and sign the officer’s certificate when satisfied with the self-certification. After signing the authorizing officer shall ‘Submit’ the self-certification to the AESO.

Steps to be performed by the AUTHORIZING OFFICER

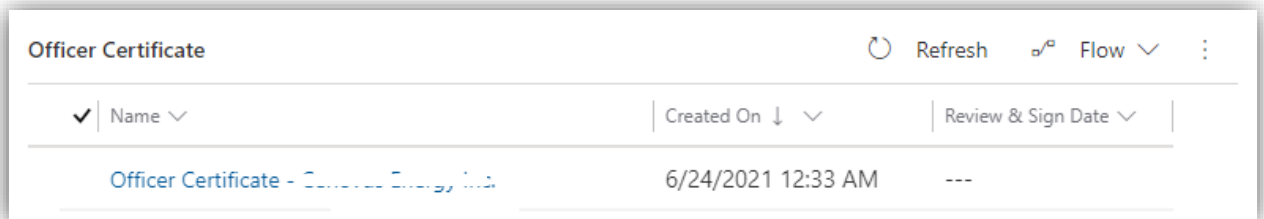
1. Open the Self-certification and review it.
2. When satisfied with the self-certification data, click ‘Generate Officer Certificate’ button to generate the officer’s certificate.



3. Confirm the confirmation pop-up.

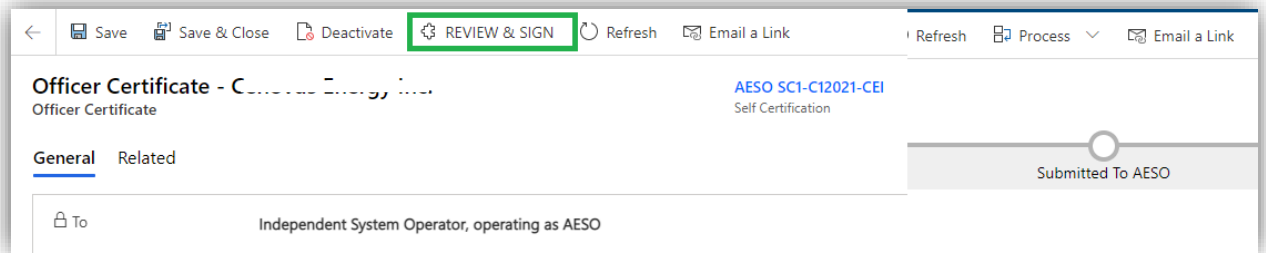


4. The Officer’s certificate will get attached to the bottom of the self-certification.

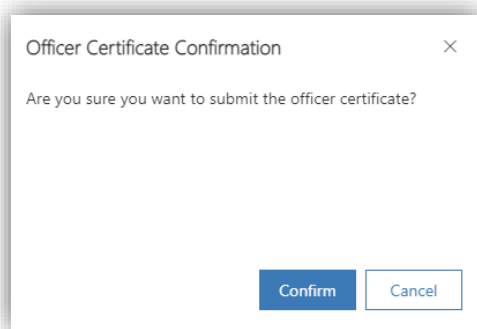


5. Double click on the certificate row to open the Officer Certificate with prefilled text based on the market participant information know to the AESO.

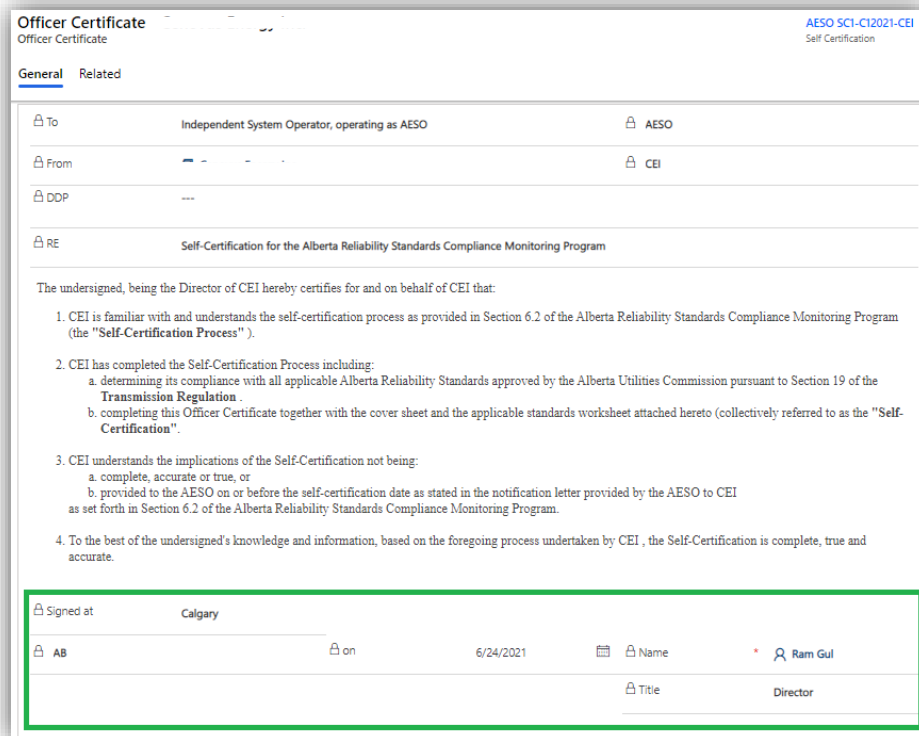
6. Click the 'Review & Sign' button to complete the signing.



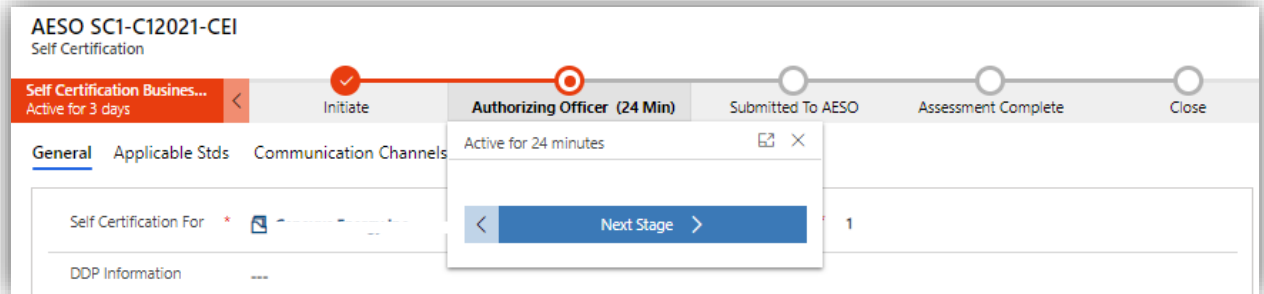
7. Confirm the confirmation pop-up.



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



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

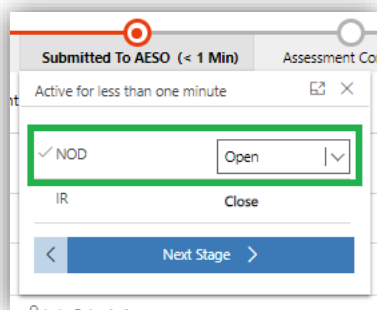


5.1.3. Self-certification – SUBMITTED to AESO (IN REVIEW)

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 ePortal's communication channel.

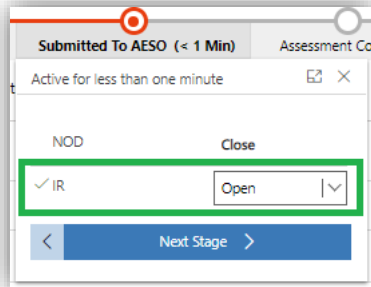
The assessment will be of two types and in that order:

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'



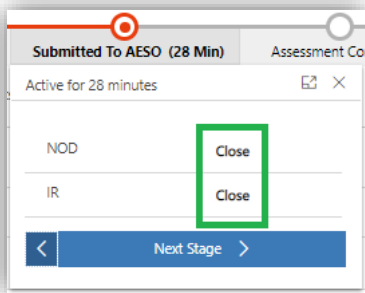
- c. Reopen the self-certification for the market participant to fulfill the deficiency, which will:
 - Push the self-certification back to INITIATE stage.
 - self-certification # will be incremented by 1. e.g., **SC1-C12021-CEI** will become **SC2-C12021-CEI**.
 - A new Officer Certificate will need 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)



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

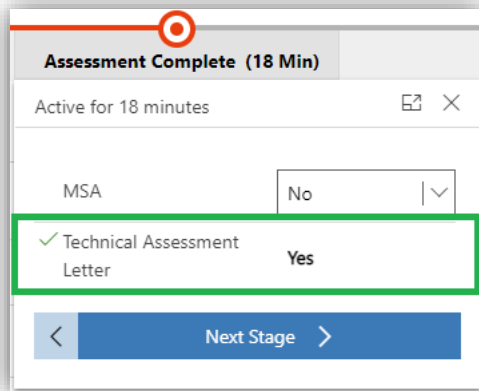
When the NoD or IR is 'Closed' then the ARS analyst can complete the assessment and move the self-certification to 'Assessment Closed.' The stage cannot be moved until 'NoD' and 'IR' both are 'Closed'.



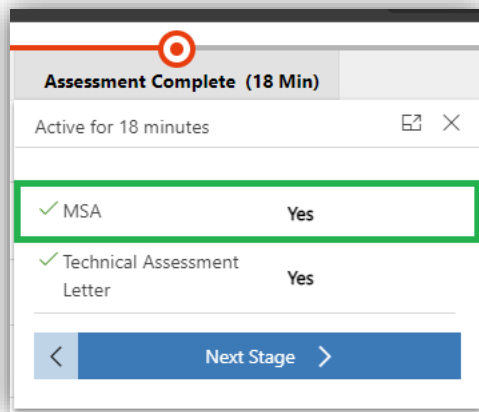
5.1.4. Self-certification - ASSESSMENT CLOSED

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 ePortal).

5.2. Download Self-certification data from the ePortal

An ePortal 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 ePortal at the time.

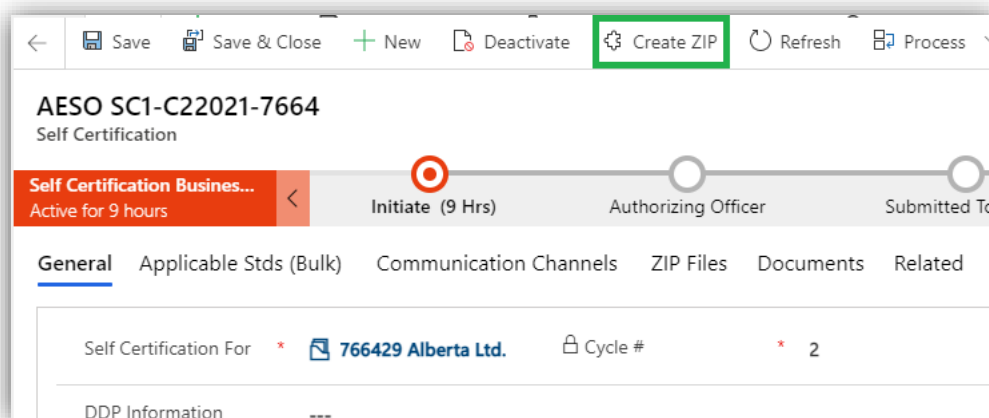
The self-certification specific data includes data in –

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

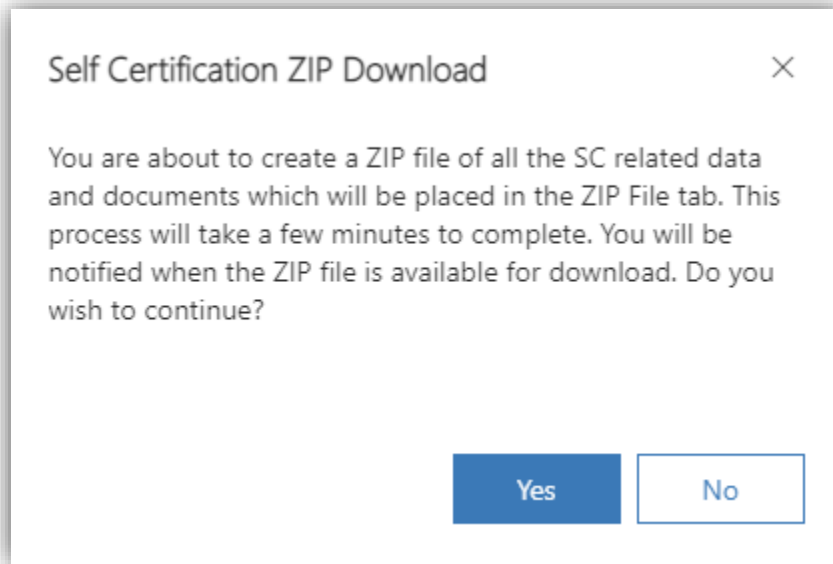
Note: A user can download data for only one self-certification at a time.

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

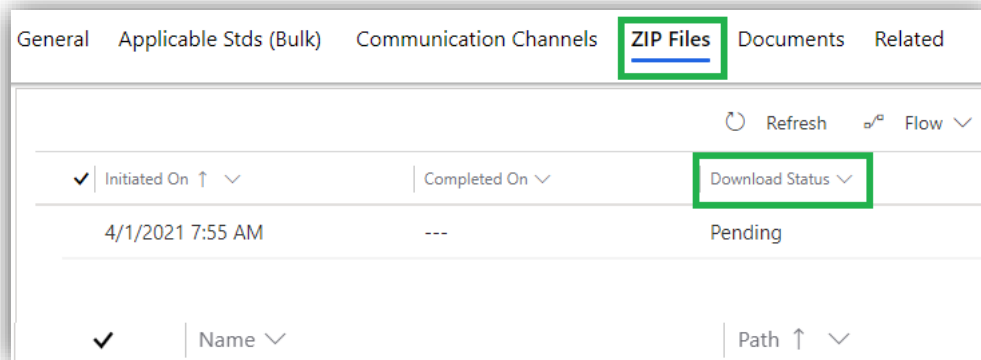
1. Open the self-certification that needs to be downloaded.
2. Click 'Create ZIP' button, at top of the self-certification 'General' tab.



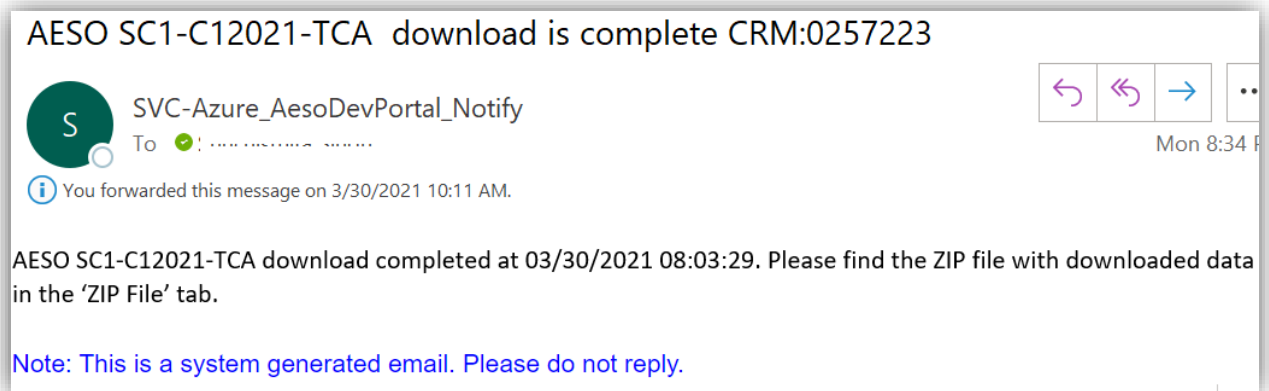
3. A pop-up to confirm download will show. Read and confirm the download.



4. The download job will run in the background while user can work on other things in the ePortal. 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.

New Zip File
Zip File

General Related

Regarding Entity * AESO SC1-C12021-TCA

Initiated On 3/25/2021 4:09 AM

Initiated By * pree 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 |

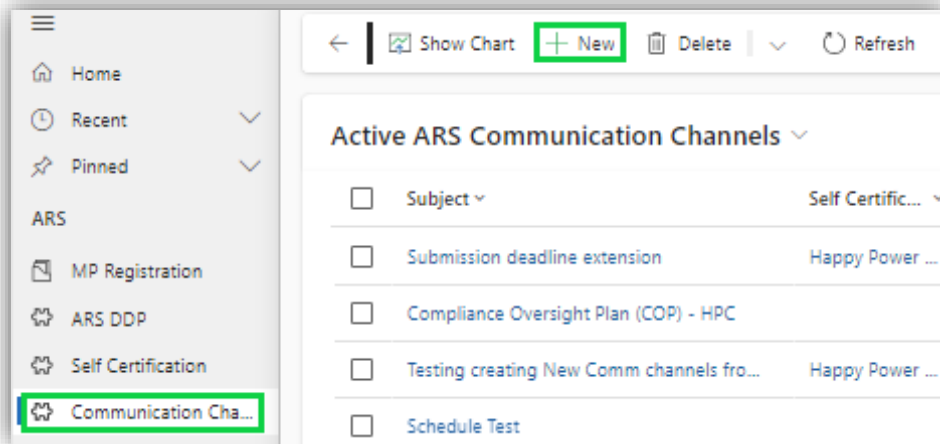
Active | AESO SC1-C12021-....zip [Show all](#)

6. Communication Channel (CC)

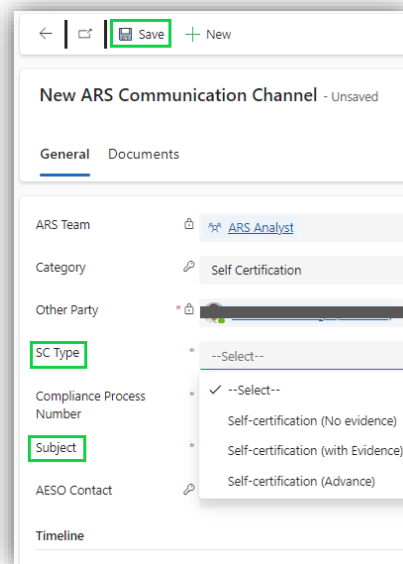
ARS compliance portal user can use the Communication Channel feature within the ePortal to establish a secure communication with AESO's ARS team from within the ePortal.

6.1. Create a communication channel

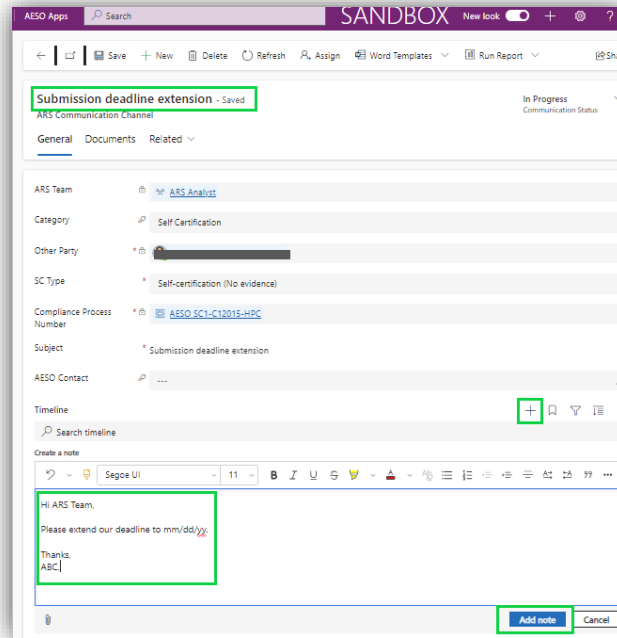
1. Go to communication channel on the 'Site Map'/ left menu of the ePortal. Click on the '+ New' on the top menu. If self-certification related, it can also be initiated within the self-certification.



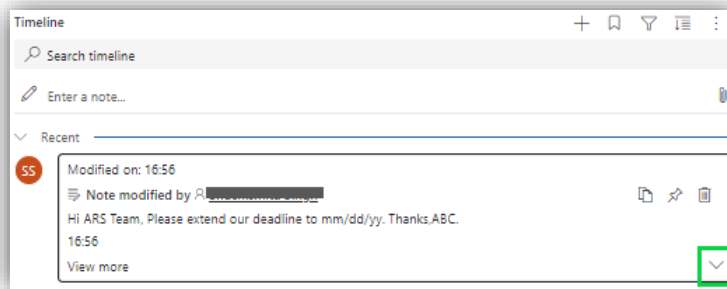
2. A new page will open. Fill the all the mandatory fields. Select 'SC Type', as applicable and add the 'Compliance Process Number', if not auto filled. Provide 'Subject' of your Communication, which cannot be more than 50chars long. Then click 'SAVE' at the top.



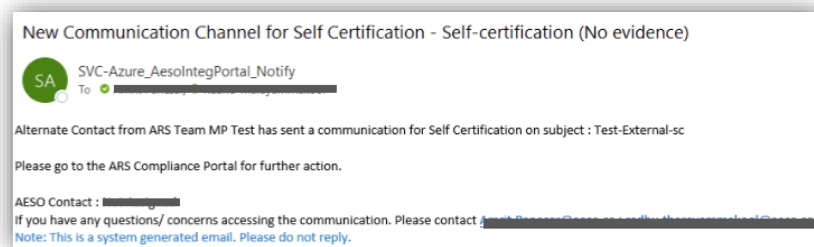
- SAVE will establish the communication channel between the user and ARS Team. The page will get the Subject name on top and allow to add the content of the communication. Click the '+' and enter the text as note, then click 'Add Note' at the bottom of the page.



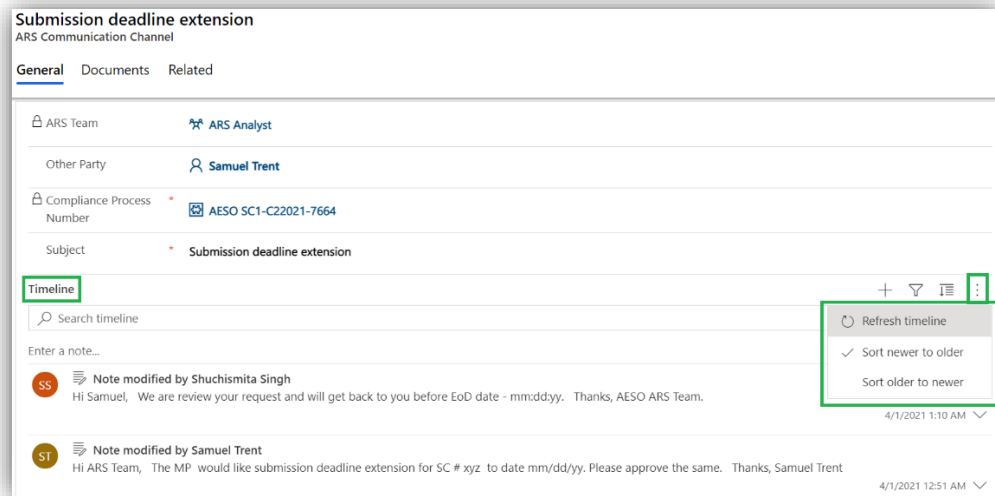
- The content will show a note on the page with its timestamp. User can use the 'v' next to timestamp to expand and view the full content.



- '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 ePortal.



6. 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.



6.2. Communication status

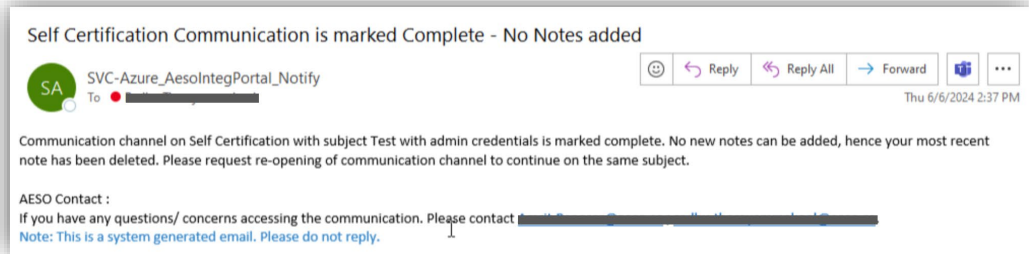
ARS analyst can change the status of communication channel using the communication status flag:

1. IN-PROGRESS – The CC is active, and more notes can be added to it.
2. COMPLETE – Once the discussion on the subject is over ARS Analyst can turn the flag to COMPLETE, to stop any modifications to the CC.
 - a. A note appears just above the timeline stating that no new notes can be added.



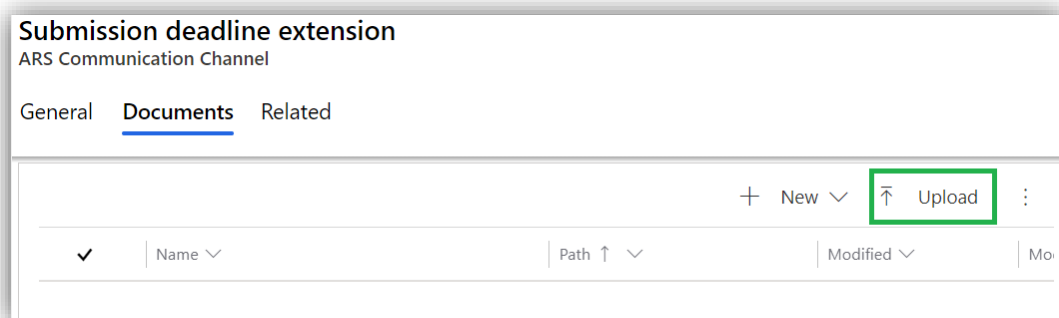
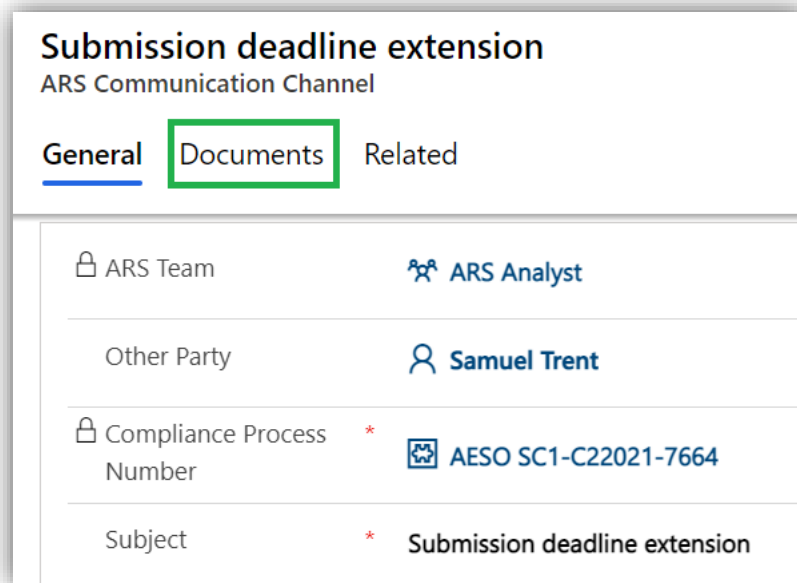
- b. To make any updates to a COMPLETE CC, request ARS Analyst to turn the flag back to IN-PROGRESS.

- c. If a new note is added to a CC, which is marked COMPLETE, then the user will get notified stating that no modifications can be made.



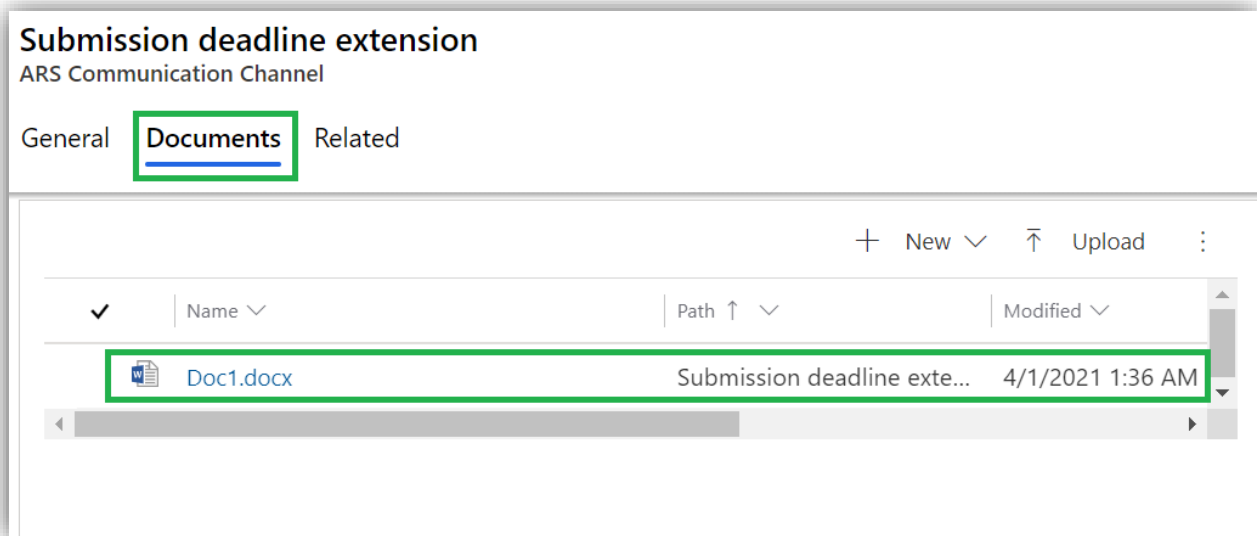
6.3. Attach a document to communication channel

- 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.



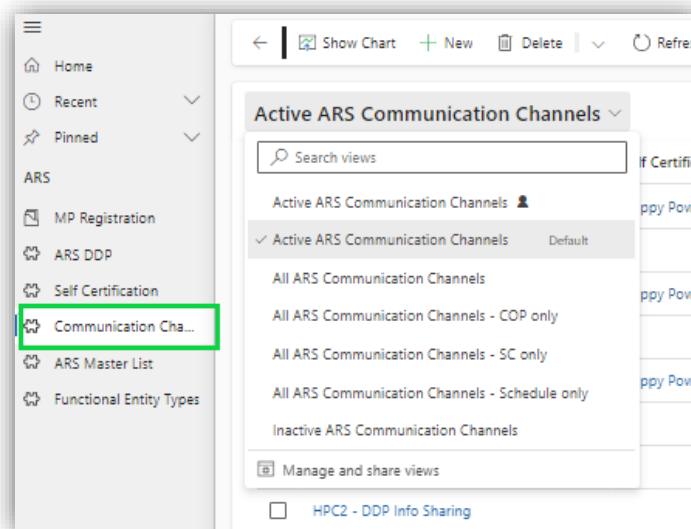
2. Select document upload, choose the file for upload, and make sure to change the overwrite settings to 'No' to avoid any inadvertent overwrite of existing files. In case files are overwritten AESO can be contacted to procure the older versions of the file.

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.



6.4. View communication channel

All the communication channel records between the MP and AESO ARS team can be accessed from the 'Communication Channels' on the 'Site Map' / left menu of the ePortal.



Any self-certification related communication can also be viewed from the 'Communication Channel' tab within the self-certification.

6.5. Communication channel usage

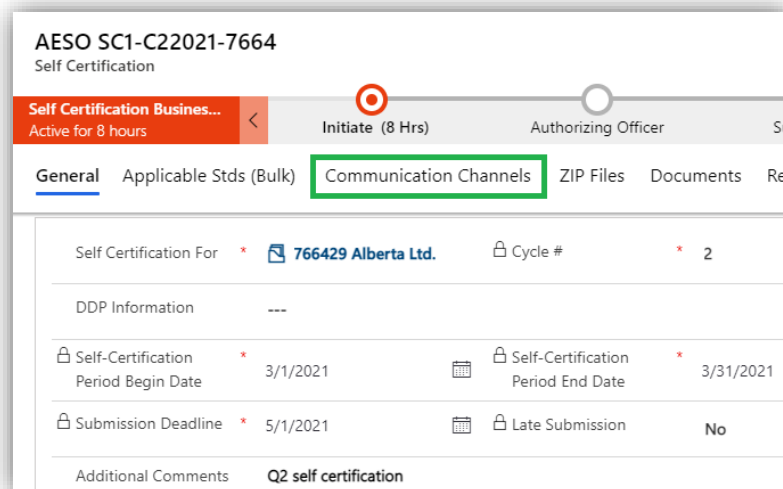
The communication channel can be used to:

1. Send/ Receive communication regarding their Self-certification.
2. Receive communication regarding their draft Compliance Oversight Plan (COP).
3. Receive communication regarding their draft Compliance Schedule.

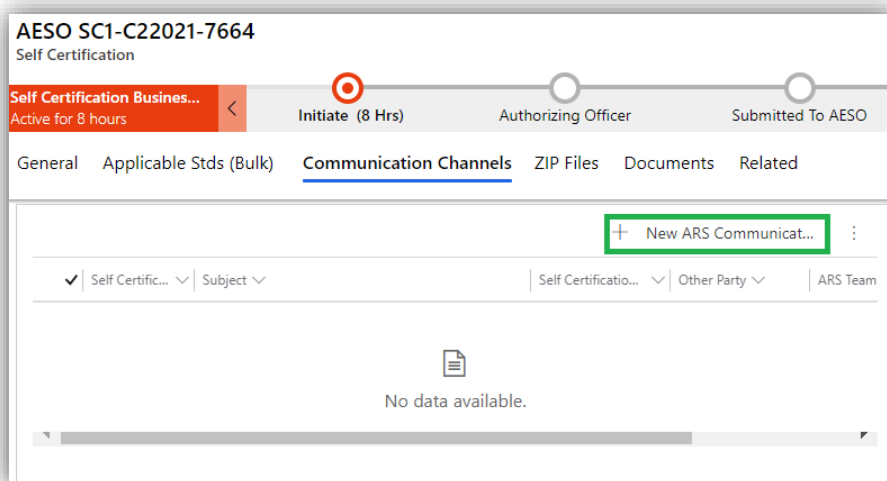
6.5.1. CC for Self-certification

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

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



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



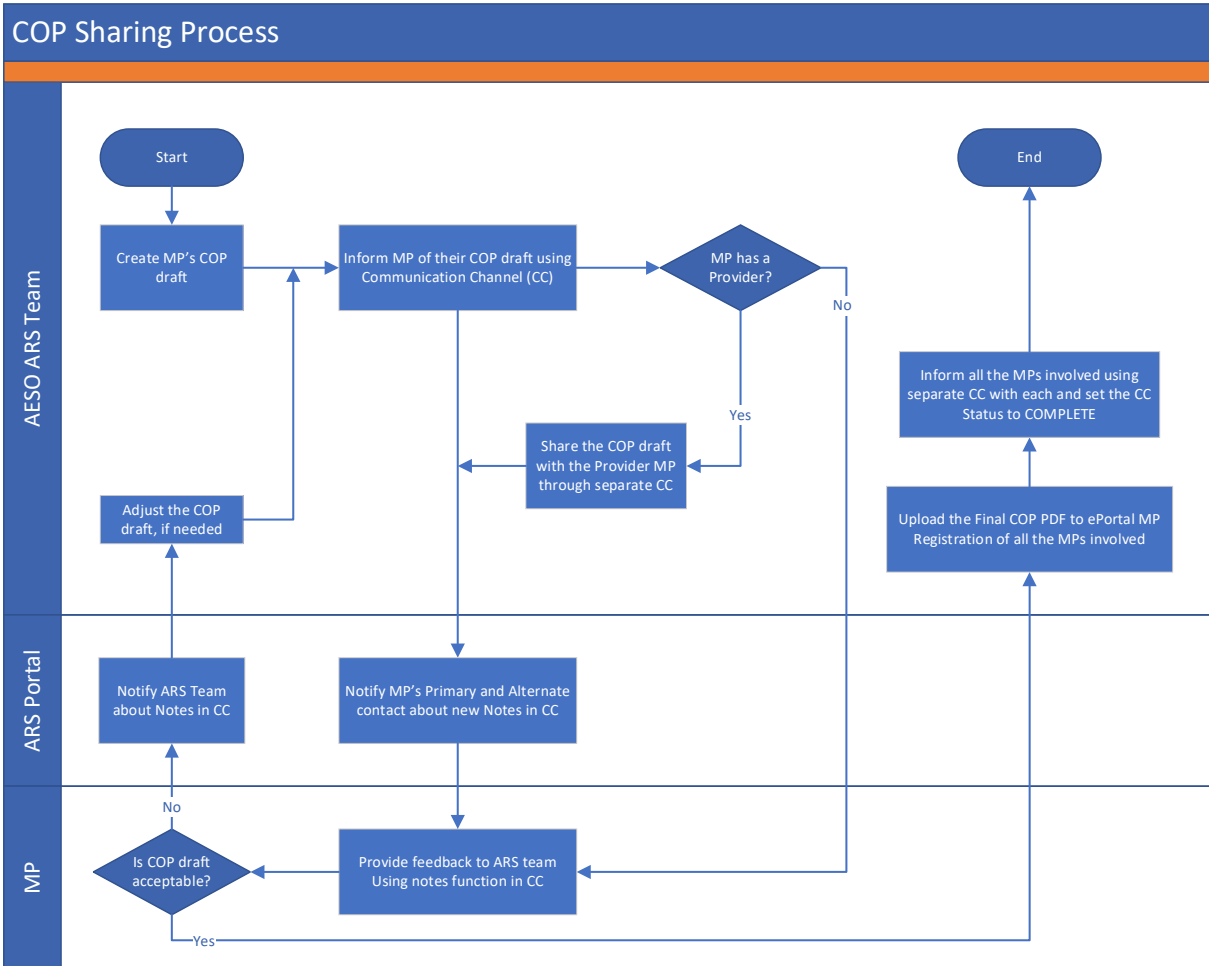
- The AESO ARS Team or the market participant User can also initiate more communications on other subjects. All the communications related to the self-certification will show up under the 'Communication Channels' tab of the self-certification.

| Active ARS Communication Channels | | | | |
|-----------------------------------|--------------|-------------------------------|-------------------|--------------------|
| ARS Team | Other Party | Subject | Modified On | Self Certification |
| ARS Analyst | Samuel Trent | Submission deadline extension | 4/1/2021 6:39 ... | 766429 Alberta Ltd |

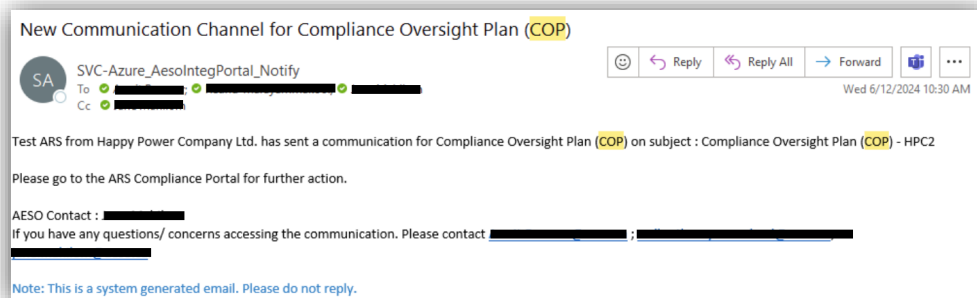
- Apart from viewing the communication channels from the associated self-certification, all the communication channels related to all the active self-certification for the market participant can be viewed from the 'Communication Channels' on the 'Site Map' / left menu of the ePortal.

6.5.2. CC for Compliance Oversight Plan (COP)

The AESO ARS team will use the communication channel to share an MP's COP-draft. That communication will always get initiated by the AESO ARS team.



The COP-draft will be attached to the communication channel. The MPs can view and add notes to the CC to provide their feedback on their COP-draft. The MP primary and alternate contacts will get notified whenever there is a new note added to the CC by the AESO ARS team.



Once the COP is finalized and agreed upon, the AESO ARS Analyst will attach the final version of the COP to MP's registration, add notes to the CC and then change the CC status to COMPLETE.

6.5.3. CC for Compliance Schedule

Like the COP draft sharing process, the AESO ARS team will use the communication channel to share an MP's compliance schedule draft. That communication will always get initiated by the AESO ARS team.

The draft schedule will be attached to the communication channel. The MPs can add notes to the CC to provide their feedback on the draft schedule. The MP primary and alternate contacts will get notified whenever there is a new note added to the CC by the AESO ARS team.

Once the schedule is finalized and agreed upon, the AESO ARS Analyst will attach the final version of the schedule to MP's registration, add notes to the CC and then change the CC status to COMPLETE.

7. 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.

The screenshot shows the 'ARS Master List' interface. A disclaimer dialog box is open in the foreground, displaying the following text:

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

Below the dialog box, a table of ARS records is visible. The table has the following columns: Standard N..., Name, Requirement N..., ARS Ca..., Effective Begin Date, Effective End Date, and Requirement St... The records shown are:

| 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 |
| COM-002-... | Communications and C R2 | | Communi... | 10/1/2013 | 12/31/2999 | CURRENT |
| COM-002-... | Communications and C R2 | | Communi... | 10/1/2013 | 12/31/2013 | RETIRED |
| COM-002-... | Communications and C R2 | | Communi... | 10/1/2013 | 12/31/2013 | RETIRED |
| COM-002-... | Communications and C R2 | | Communi... | 10/1/2013 | 12/31/2999 | CURRENT |
| COM-002-... | Communications and C R2 | | Communi... | 10/1/2013 | 12/31/2999 | 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 |

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

The screenshot shows the details page for a specific ARS record. The page title is 'Communications and Coordination' and the status is 'RETIRED'. The page is read-only. The details are as follows:

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

Operator of a generating unit

Operator of an aggregated generating facility

8. 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.

| 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

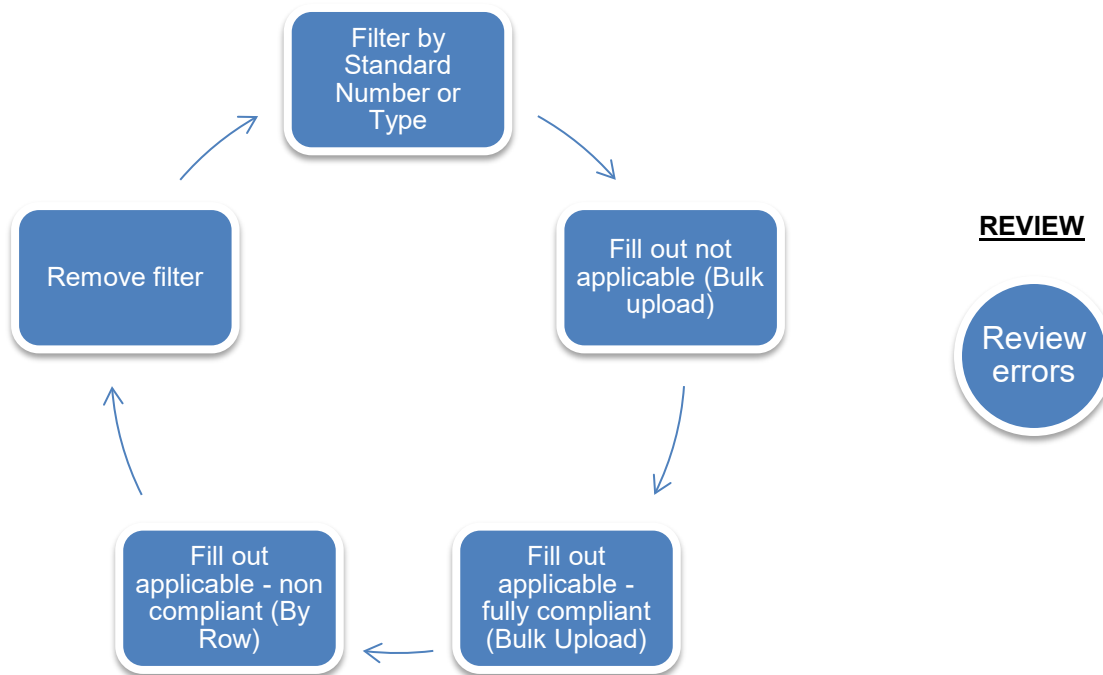
| | | |
|----------------------|---|-------------------------------|
| Name | * | Operator of a generating unit |
| Effective Begin Date | * | 12/12/2012 |
| Effective End Date | * | 12/31/2999 |
| Current | | Yes |

9. Best Practices

9.1. 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.

10. Things to remember

10.1. Software requirements to use the ePortal

- **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 ePortal.
- **Unzip software** – User machines will need a software to unzip the downloaded zipped files.

10.2. 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.

10.3. 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.

10.4. 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 sign-up for the ePortal.

10.5. 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.

10.6. Depiction of workflows in ePortal

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

A workflow is depicted in the ePortal 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'.

11. Appendix

11.1. Abbreviations

- AESO – Alberta Electric System Operator
- ARS – Alberta Reliability Standards
- CC – Communication Channel
- COP – Compliance Oversight Plan
- 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

11.2. AESO Contact

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

11.3. Sign-Up or Sign-In URL ePortal URL

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

11.4. Email Notifications

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

- svc-azure_aesoportal_notify@aeso.ca

12. 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 |
| 3.0 | June 25, 2024 | Updates in section 6 for use of communication channel to share COP & schedule with MPs |
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