

# ARS Compliance Portal Training Session

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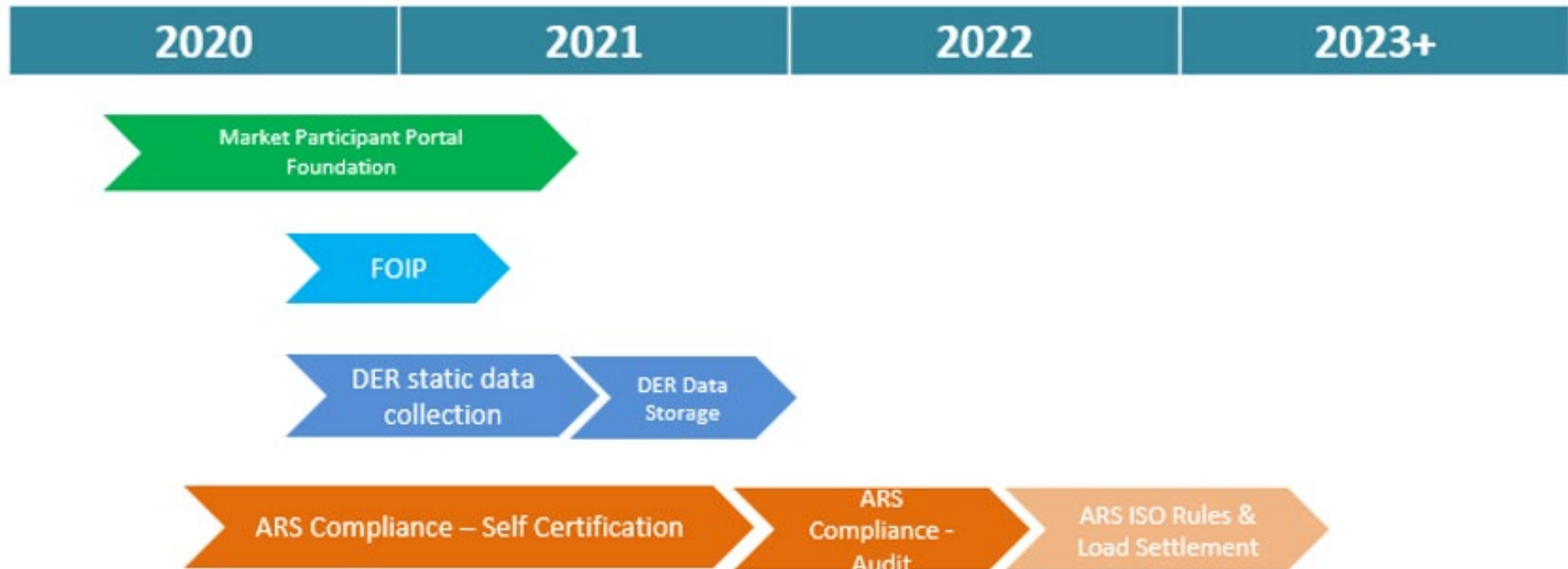
- The AESO is offering two training sessions:  
**Session 1: Tuesday November 30, 2021, from 9:00 AM to 11:00 AM**  
**Session 2: Wednesday January 26, 2022, from 9:00 AM to 11:00 AM**

The purpose of the sessions is to review training documentation related to the ARS Compliance Portal and demonstrate the use of the ARS Compliance Portal during self-certification. The training session material and content will be the same for both sessions.

- Compliance Portal Overview
- Sign-Up
- Sign-In
- Registration Information
- ARS Master List
- Communication Channels
- Self-Certification
  - Initiating self-certification cover sheet
  - Applicable standard list
  - Officer Certificate and submission to the AESO
  - Milestones after submission
  - Saving your information on local drive
- Test Environment
- Self-Certification Demo

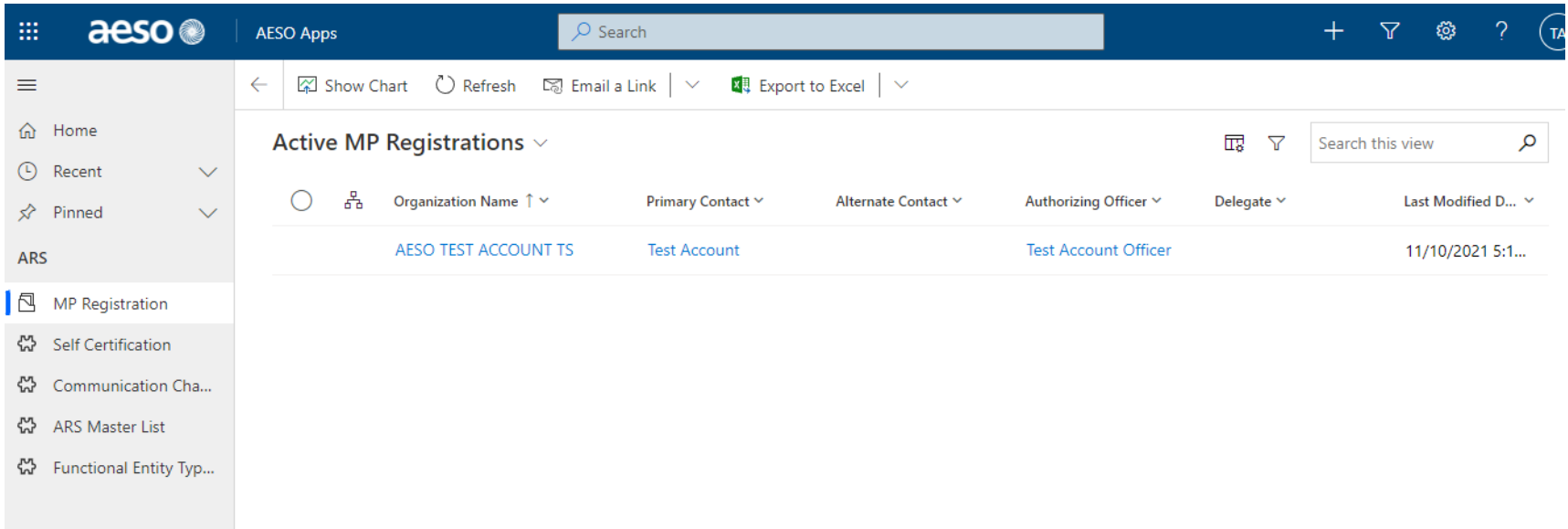
# Compliance Portal Overview

- A unified entry point for external stakeholder and AESO interaction:
  - Access to information & services
  - Secure data exchange



# Compliance Portal Overview

- Web-based application



The screenshot displays the AESO Compliance Portal interface. The top navigation bar includes the AESO logo, 'AESO Apps', a search bar, and utility icons for adding, filtering, settings, and help. A left sidebar menu lists navigation options: Home, Recent, Pinned, ARS, MP Registration (highlighted), Self Certification, Communication Cha..., ARS Master List, and Functional Entity Typ... The main content area is titled 'Active MP Registrations' and features a table with columns: Organization Name, Primary Contact, Alternate Contact, Authorizing Officer, Delegate, and Last Modified Date. A search bar is present above the table. The table contains one entry for 'AESO TEST ACCOUNT TS' with 'Test Account' as the primary contact and 'Test Account Officer' as the authorizing officer. The last modified date is '11/10/2021 5:1...'. Above the table, there are action buttons for 'Show Chart', 'Refresh', 'Email a Link', and 'Export to Excel'.

Organization Name	Primary Contact	Alternate Contact	Authorizing Officer	Delegate	Last Modified D...
AESO TEST ACCOUNT TS	Test Account		Test Account Officer		11/10/2021 5:1...

## Legend for Slides



Click-on



Important Information

- Access is based on the ARS compliance registration form
- Primary, alternate and officer will need to sign-up for Portal
- Roll-out will be based on self-certification cycle number
- Completion of sign-up should occur prior to the self-certification submission window start date

Refer to page #4-9 of the ARS Compliance Portal User Guide



## 1. Receive link to the ARS Compliance sign-up page

- Sent via email with the self-certification notification (60-days in advance of submission window)
- Exception - Cycle 1, 2022 will receive this link in December

### **ARS Compliance Sign-Up**

Request access for Alberta Reliability Standards (ARS) Compliance Monitoring Submissions.


### **DER Sign-Up**

Create user account to submit Micro-Generation type Distributed Energy Resource (DER) data to AESO.

### **FOIP Sign-Up**

Create a user account to access the FOIP Portal.

## 2. Request Access

- Look up organization 
- First and last name, email must match your registration form
- Provide reason for access
- Submit to the AESO

### 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 \*

Submit

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.



# Sign-Up Process

## 3. Receive email invitation and accept

- May take between 1 – 3 days to receive email invitation (subject to AESO approval)
- Will come from the following email address:  
Microsoft Invitations on behalf of Alberta Electric System Operator  
<invites@microsoft.com>
- Click “Accept Invitation” on email
- Sign-in using your Microsoft credentials and accept in the “Review Permissions”

☑ 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.

Organization: Alberta Electric System Operator  
Domain: [aeso.ca](https://aeso.ca)

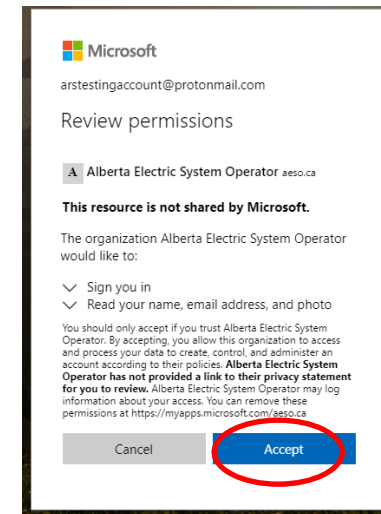
If you accept this invitation, you'll be sent to <https://aeso-portal-integ.powerappsportals.com/request-submitted/>.

[Accept invitation](#)

[Block future invitations](#) from this organization.

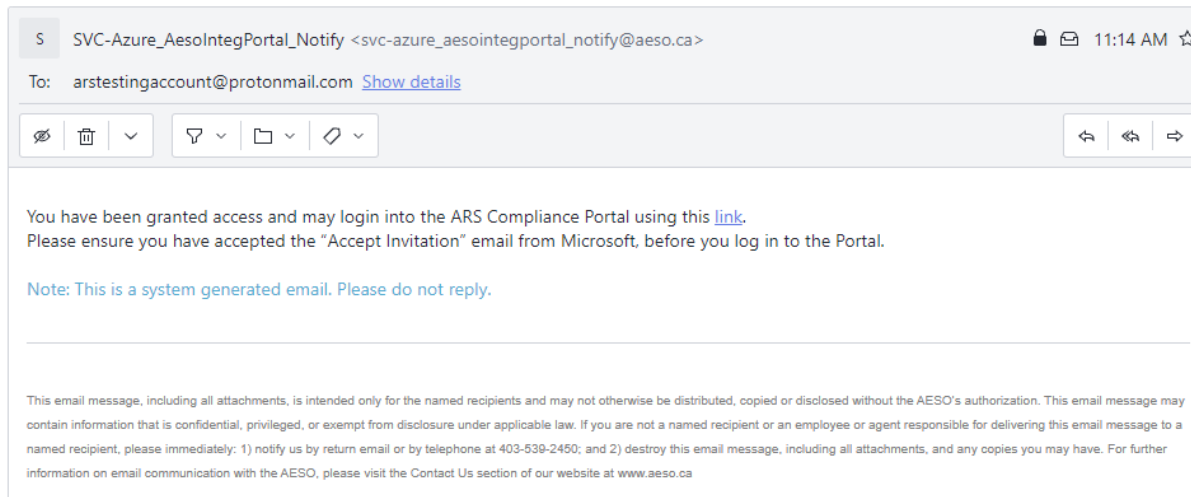
This invitation email is from Alberta Electric System Operator ([aeso.ca](https://aeso.ca)) and may include advertising content. Alberta Electric System Operator has not provided a link to their privacy statement for you to review. Microsoft Corporation facilitated sending this email but did not validate the sender or the message.

Microsoft respects your privacy. To learn more, please read the [Microsoft Privacy Statement](#).  
Microsoft Corporation, One Microsoft Way, Redmond, WA 98052



## 3. Receive email confirmation

- May take between 30 – 60 minutes to receive email confirmation
- Will come from the following email addresses:
  - [svc-azure\\_aesoportail\\_notify@aeso.ca](mailto:svc-azure_aesoportail_notify@aeso.ca)
  - [svc-azure\\_aesointegportal\\_notify@aeso.ca](mailto:svc-azure_aesointegportal_notify@aeso.ca) (testing environment)
- Once email is received access has been granted



**Tip:** Add these emails to your safe sender list

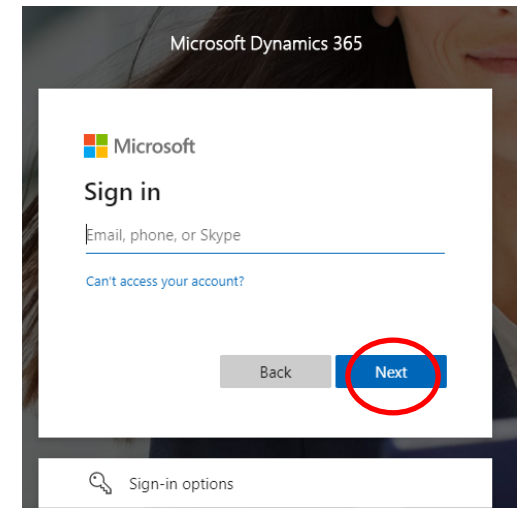
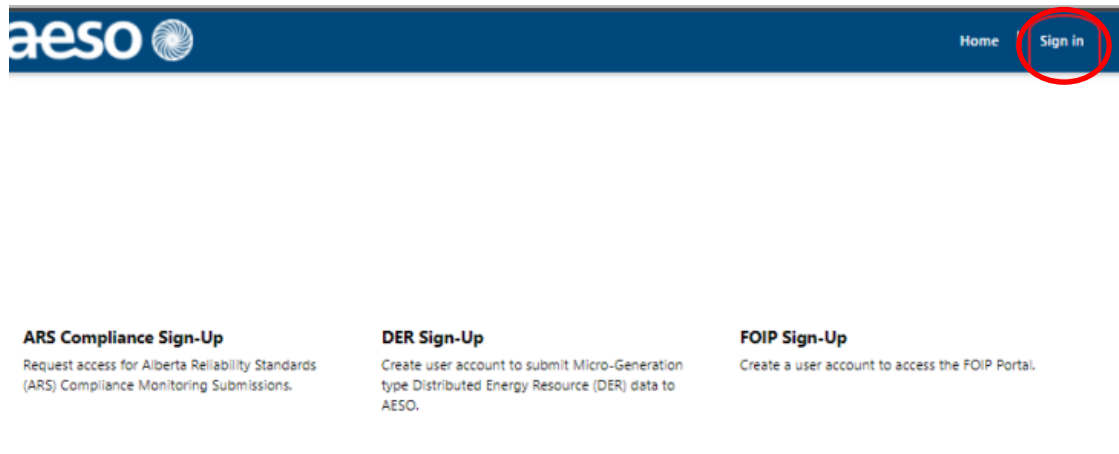
- Sign-in is based on your Microsoft credentials
- You may only need to sign-in once or every time you access the Portal (dependent on your internal IT policies)

**Refer to page #10-11 of the ARS Compliance Portal User Guide**



## 1. Sign-in to Portal

- Enter through the link provided in your email confirmation or through the ARS Compliance Sign-in home page (top right corner)
- Follow Microsoft sign-in prompts (may ask for password or email verification code)





## *I can't see my organization in the drop-down list.*

Ensure that your company is registered with the ARS Compliance Program. You may either start typing the company name or use the magnifier to search for your organization. If you need to register your organization, please email a registration form to [rscompliance@aeso.ca](mailto:rscompliance@aeso.ca)



## *I didn't receive an invitation email.*

Ensure that you are a primary, alternate or officer contact. The email invitation may take up to 3 business days to be sent. In order to receive the invitation your name and email must be the same as on the registration form. If you have not received the email after 3 business days, please check your spam folder. If the email is not found there, please email [rscompliance@aeso.ca](mailto:rscompliance@aeso.ca)



## *I didn't receive an access accepted email.*

The email invitation may take up to 60 minutes to be sent. If you have not received it within the day, please check your spam folder. If the email is not found there, please email [rscompliance@aeso.ca](mailto:rscompliance@aeso.ca). It is encouraged to add the SVC-Azure email address on slide 9 to your contacts since Portal communication will come from this email address.



## *Why does my officer need access?*

Virtual sign-off is required on the self-certification's officer certificate. In the future, other compliance monitoring processes will be within the Portal such as viewing audit reports.



***We have a group email on our registration form. Are group emails allowed?***

Group emails will be allowed in the Portal, and they will need to be setup with a dedicated user account with shared password.



***Can other members (not in the registration form) access the Portal?***

The Portal was designed with integration of the registration information within the workflow and with ISO Rules 103.1 and 103.12. If group emails are used accountability will be with the individual registered in the registration form to that specific group email.



***I am registered as a contact for multiple companies***

The sign-up process should be followed for each individual company, regardless of having the same compliance contacts. If a company does not provide documentation for compliance monitoring activities (via a DDP), sign-up to the Portal is not required at this time but is encouraged to view information in the Portal (such as registration information, ARS master list etc.).



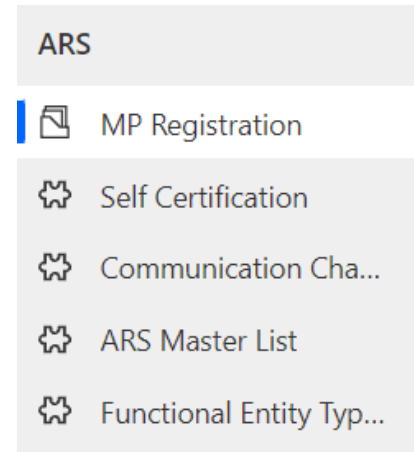
***Can I access the Portal if I don't have a Microsoft account associated with my email?***

Yes – instead of requesting a password it will send a verification code to your email.

# ARS Compliance Registration Information

- Registration information is integrated into the Portal and sign-up process
- Information on functional entities, primary, alternate and officer contacts will be viewable in the Portal
- High-level information on designation of documentation (DDP) information will be viewable in the Portal (i.e. whether you are provider)

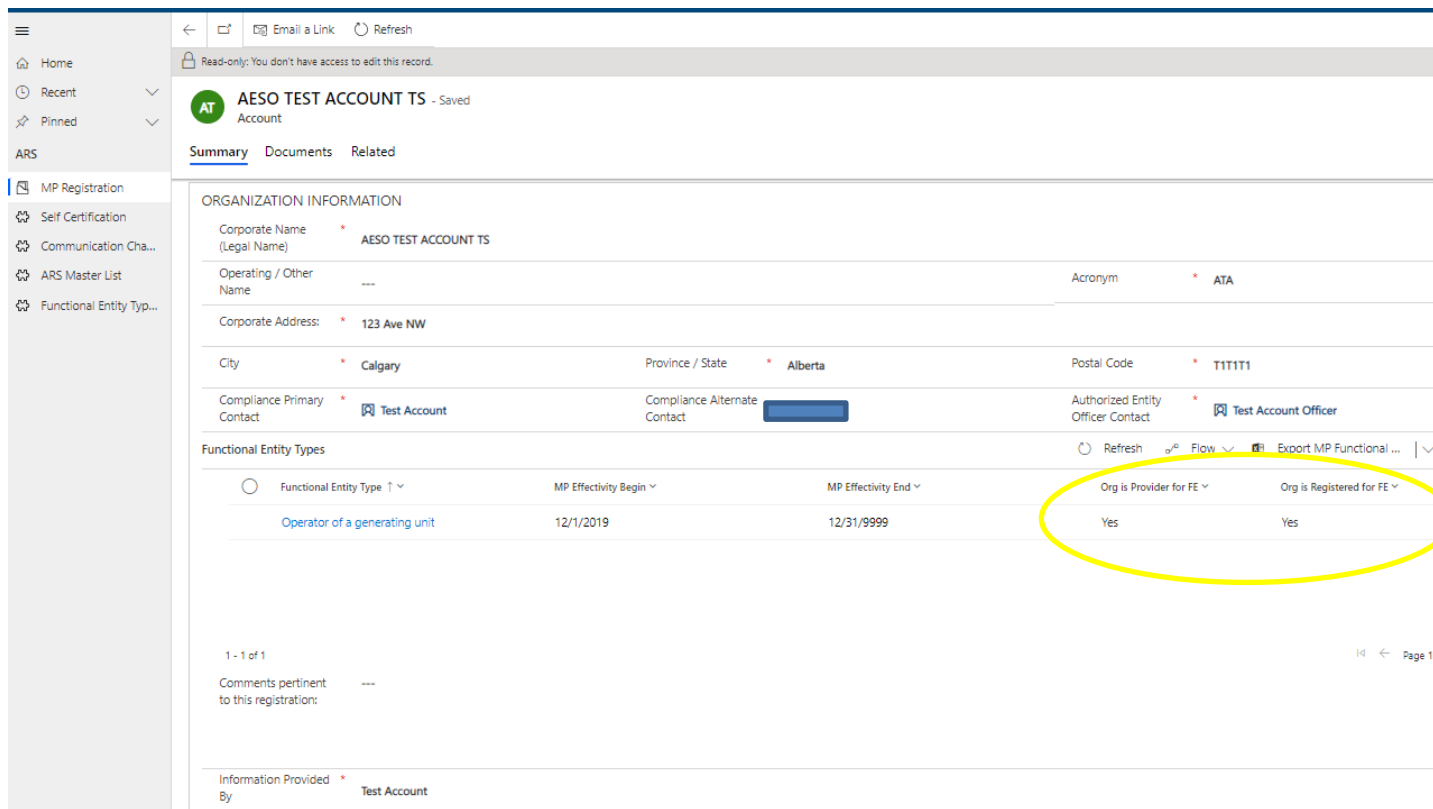
**Refer to page #12-14 of the ARS Compliance Portal User Guide**



# Registration Process

## 1. Submit registration form to [rscompliance@aeso.ca](mailto:rscompliance@aeso.ca)

- No change to registration process
- You will be able to view your most recent registration details in the Portal



The screenshot displays the 'Summary' page for an account named 'AESO TEST ACCOUNT TS'. The page is in a read-only state. The 'ORGANIZATION INFORMATION' section includes the following details:

- Corporate Name (Legal Name): AESO TEST ACCOUNT TS
- Operating / Other Name: ---
- Acronym: ATA
- Corporate Address: 123 Ave NW
- City: Calgary
- Province / State: Alberta
- Postal Code: T1T1T1
- Compliance Primary Contact: Test Account
- Compliance Alternate Contact: [Redacted]
- Authorized Entity Officer Contact: Test Account Officer

The 'Functional Entity Types' table is shown below:

Functional Entity Type	MP Effectivity Begin	MP Effectivity End	Org is Provider for FE	Org is Registered for FE
Operator of a generating unit	12/1/2019	12/31/9999	Yes	Yes

The 'Org is Provider for FE' and 'Org is Registered for FE' columns for the 'Operator of a generating unit' row are circled in yellow. The page also shows a sidebar with navigation options like 'Home', 'Recent', 'Pinned', and 'ARS', and a footer with 'Page 1'.

**DDP  
Info**








- The complete list of Alberta Reliability Standards
- Contains standard number, name, requirements, effective dates, and whether it is future, current or retired.
- List is searchable on Portal and exportable to excel

Refer to page #46-47 of the ARS Compliance Portal User Guide



## ARS

-  MP Registration
-  Self Certification
-  Communication Cha...
-  ARS Master List
-  Functional Entity Typ...

# ARS Master List Process

## 1. List to be used for information purposes

← Show Chart Disclaimer Refresh Email a Link Export to Excel Import from Excel

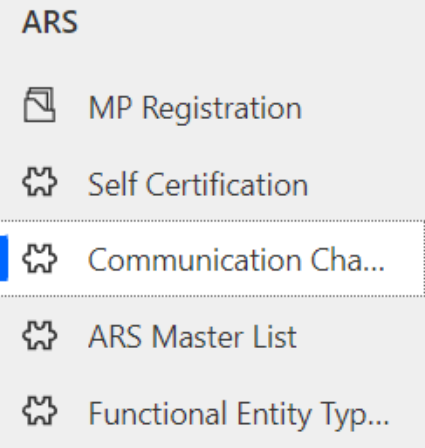
ARS Master List Search this view

Standard Nu...	Name	Requirement Num...	ARS Category	Effective Begin Date	Effective End Date	Requirement Status
CIP-001-AB1-1	Sabotage Reporting	R3	Critical Infra...	12/12/2012	8/29/2016	RETIRED
CIP-001-AB1-1	Sabotage Reporting	R4	Critical Infra...	12/12/2012	8/29/2016	RETIRED
CIP-001-AB1-1	Sabotage Reporting	R4.1	Critical Infra...	12/12/2012	8/29/2016	RETIRED
CIP-001-AB1-1	Sabotage Reporting	R4.2	Critical Infra...	12/12/2012	8/29/2016	RETIRED
CIP-002-AB-5.1	Cyber Security - BES Cyber S	R1	Critical Infra...	10/1/2017	12/31/2999	CURRENT
CIP-002-AB-5.1	Cyber Security - BES Cyber S	R1.1	Critical Infra...	10/1/2017	12/31/2999	CURRENT
CIP-002-AB-5.1	Cyber Security - BES Cyber S	R1.2	Critical Infra...	10/1/2017	12/31/2999	CURRENT
CIP-002-AB-5.1	Cyber Security - BES Cyber S	R1.3	Critical Infra...	10/1/2017	12/31/2999	CURRENT
CIP-002-AB-5.1	Cyber Security - BES Cyber S	R2	Critical Infra...	10/1/2017	12/31/2999	CURRENT
CIP-002-AB-5.1	Cyber Security - BES Cyber S	R2.1	Critical Infra...	10/1/2017	12/31/2999	CURRENT
CIP-002-AB-5.1	Cyber Security - BES Cyber S	R2.2	Critical Infra...	10/1/2017	12/31/2999	CURRENT
CIP-003-AB-5	Cyber Security - Security Ma	R1	Critical Infra...	10/1/2017	12/31/2999	CURRENT

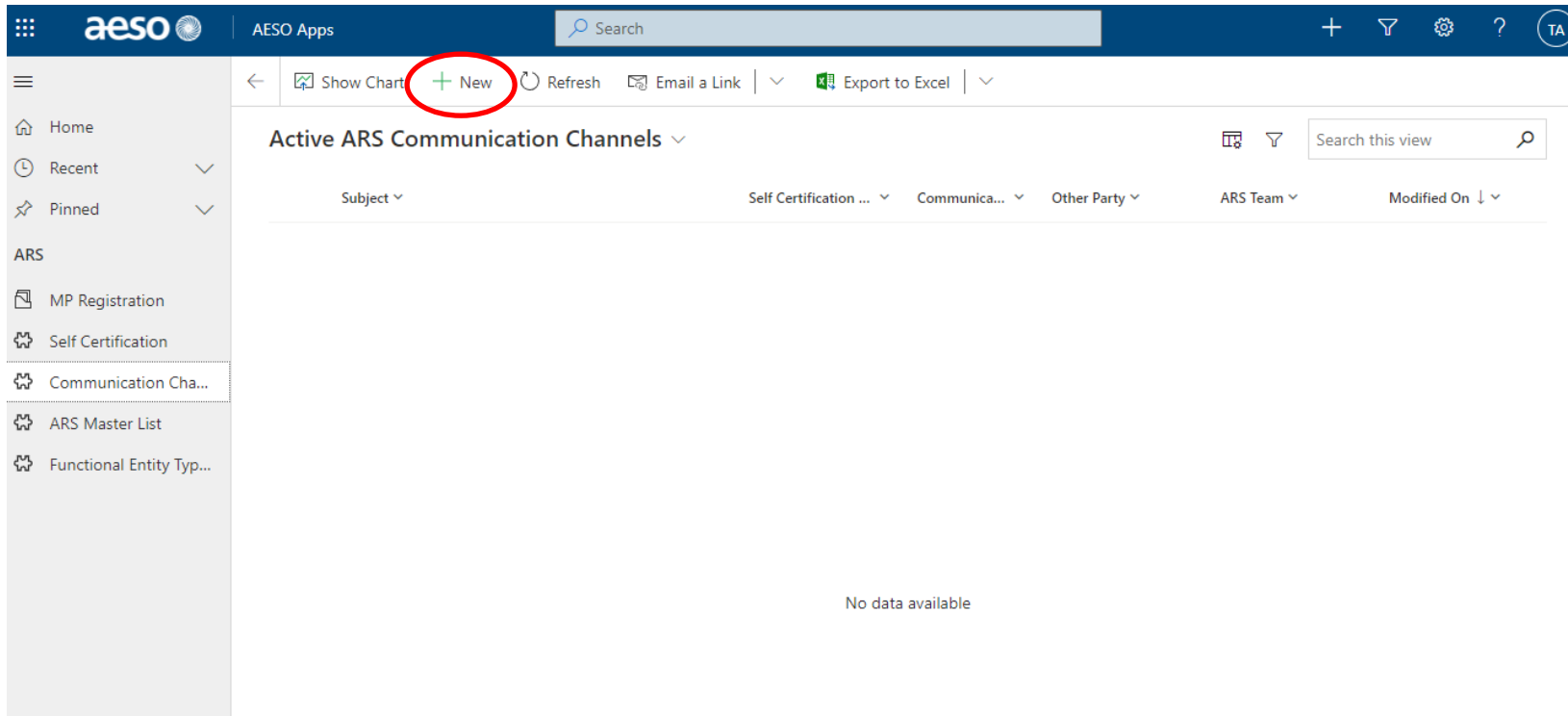
1 - 50 of 721 Page 1

- Mechanism to exchange messages and attachments (replacing email)
- Linked to the related compliance monitoring processes
- From the AESO are sent to primary contact, unless otherwise specified
- To the AESO can be sent from primary, alternate or officer

**Refer to page #34 of the ARS Compliance Portal User Guide**

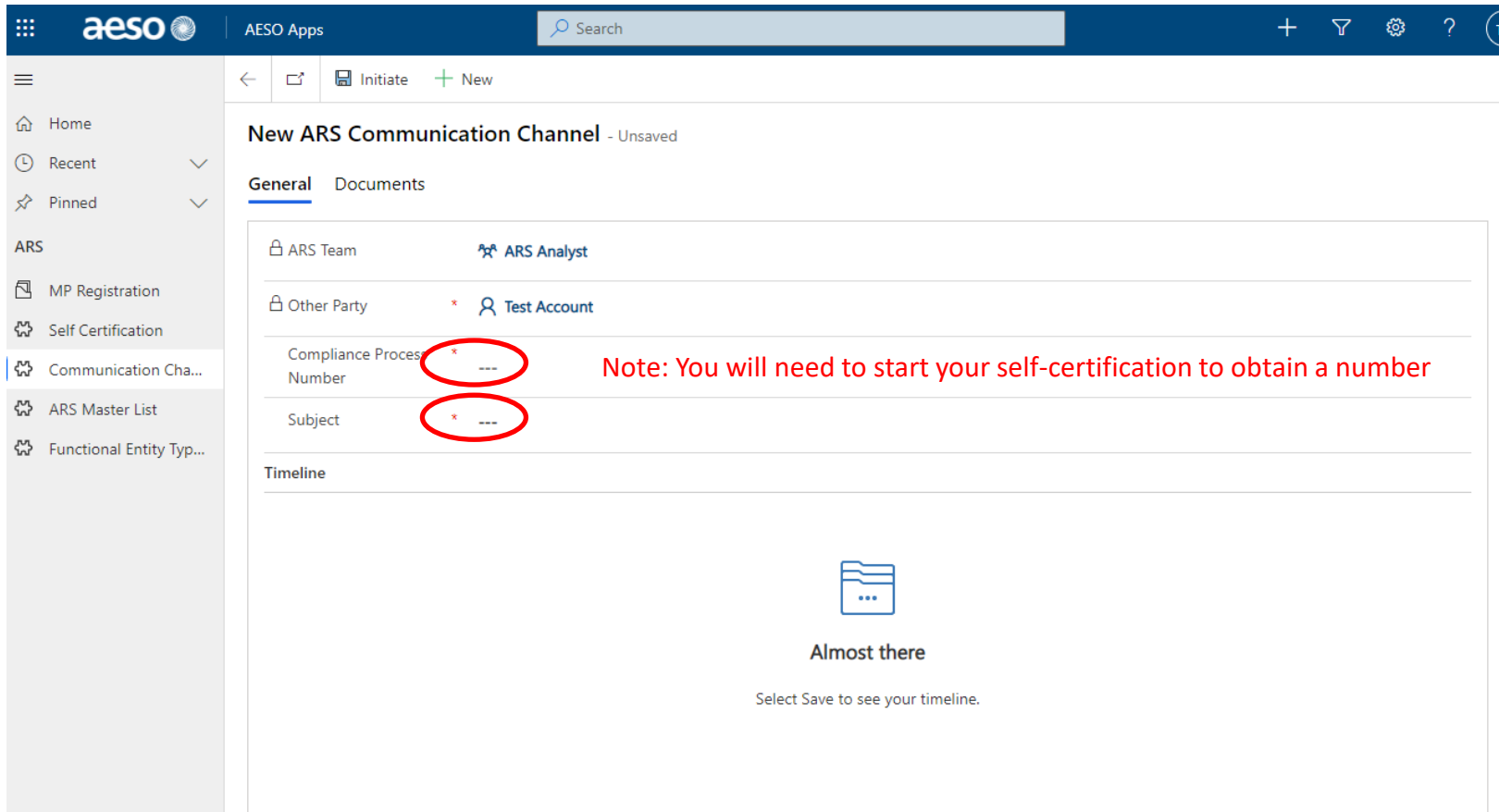


## 1. Create a new communication channel



The screenshot displays the AESO Apps interface. The top navigation bar includes the AESO logo, 'AESO Apps', a search bar, and utility icons. The left sidebar lists navigation options: Home, Recent, Pinned, and ARS (with sub-items: MP Registration, Self Certification, Communication Cha..., ARS Master List, and Functional Entity Typ...). The main content area is titled 'Active ARS Communication Channels' and features a toolbar with 'Show Chart', '+ New' (circled in red), 'Refresh', 'Email a Link', and 'Export to Excel'. Below the toolbar, there are column headers: 'Subject', 'Self Certification ...', 'Communica...', 'Other Party', 'ARS Team', and 'Modified On'. The table area is currently empty, displaying 'No data available'.

## 2. Fill information - compliance process number and subject




ARS Team ARS Analyst

Other Party \* Test Account

Compliance Process Number \* --- **Note: You will need to start your self-certification to obtain a number**

Subject \* ---

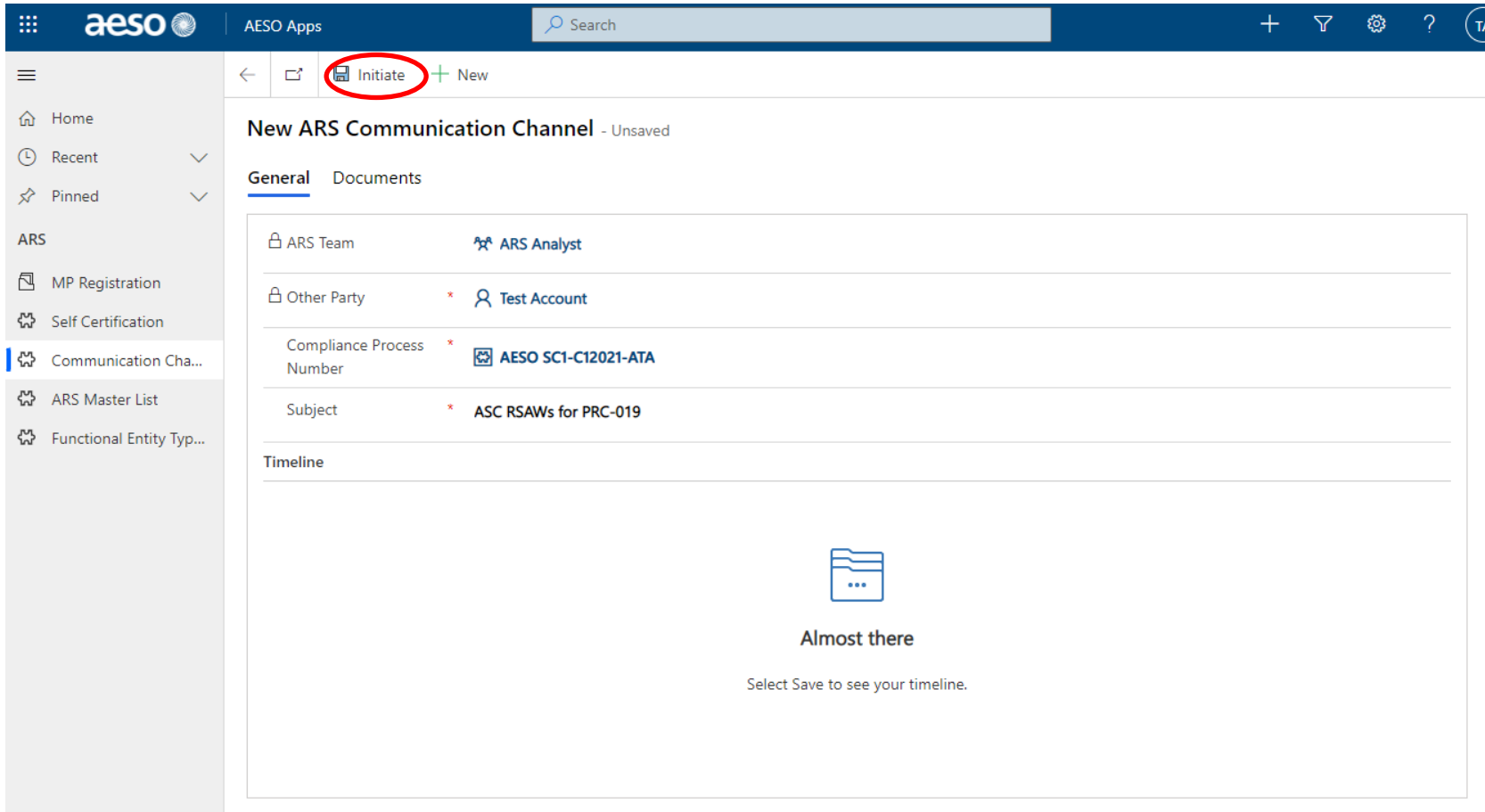
Timeline



**Almost there**

Select Save to see your timeline.

## 3. Initiate the channel

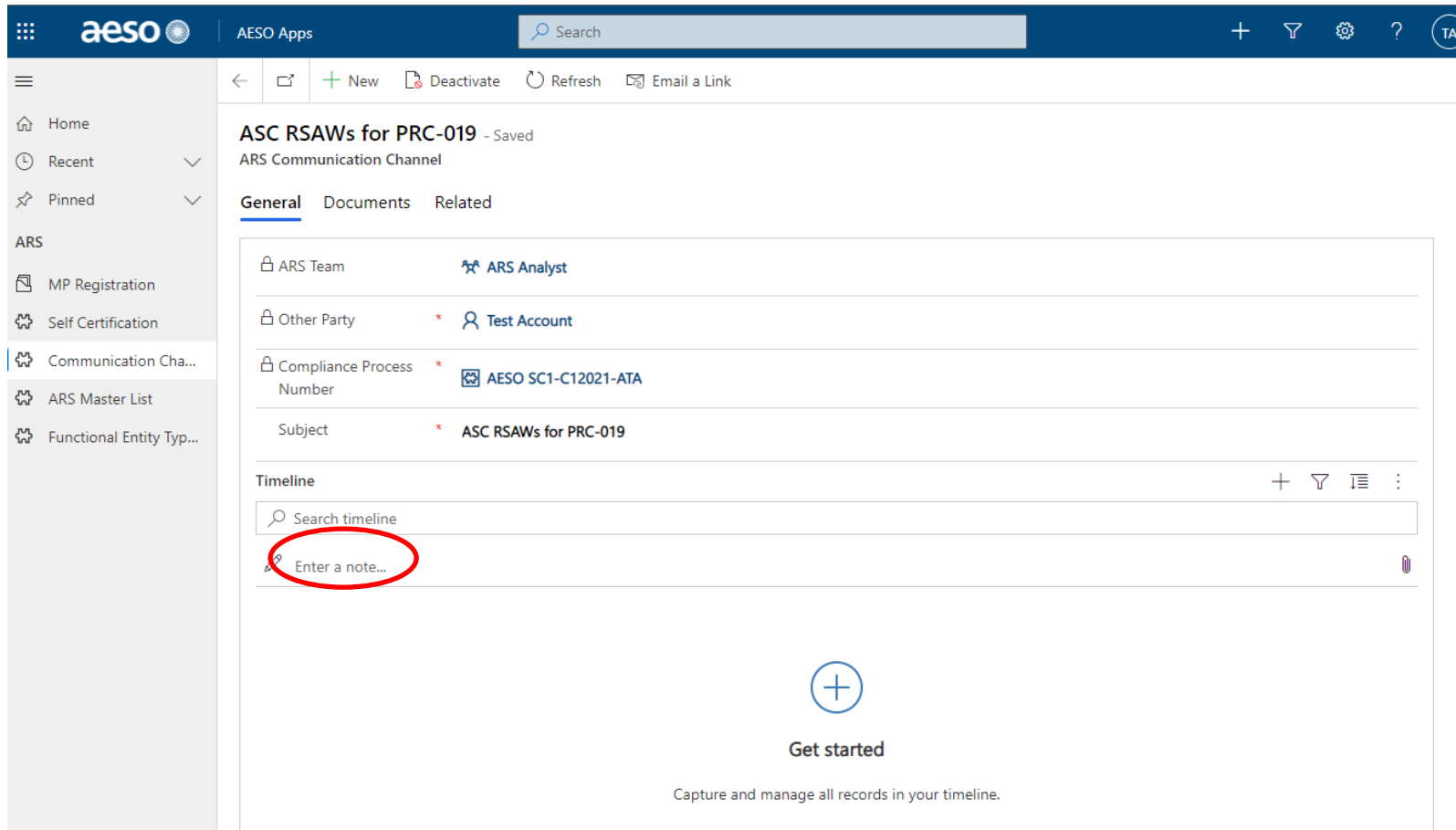


The screenshot shows the AESO Apps interface. The top navigation bar includes the AESO logo, 'AESO Apps', a search bar, and utility icons. The left sidebar lists navigation options: Home, Recent, Pinned, ARS, MP Registration, Self Certification, Communication Cha..., ARS Master List, and Functional Entity Typ... The main content area is titled 'New ARS Communication Channel - Unsaved' and has two tabs: 'General' (selected) and 'Documents'. The 'General' tab contains the following fields:

ARS Team	ARS Analyst
Other Party	* Test Account
Compliance Process Number	* AESO SC1-C12021-ATA
Subject	* ASC RSAWs for PRC-019

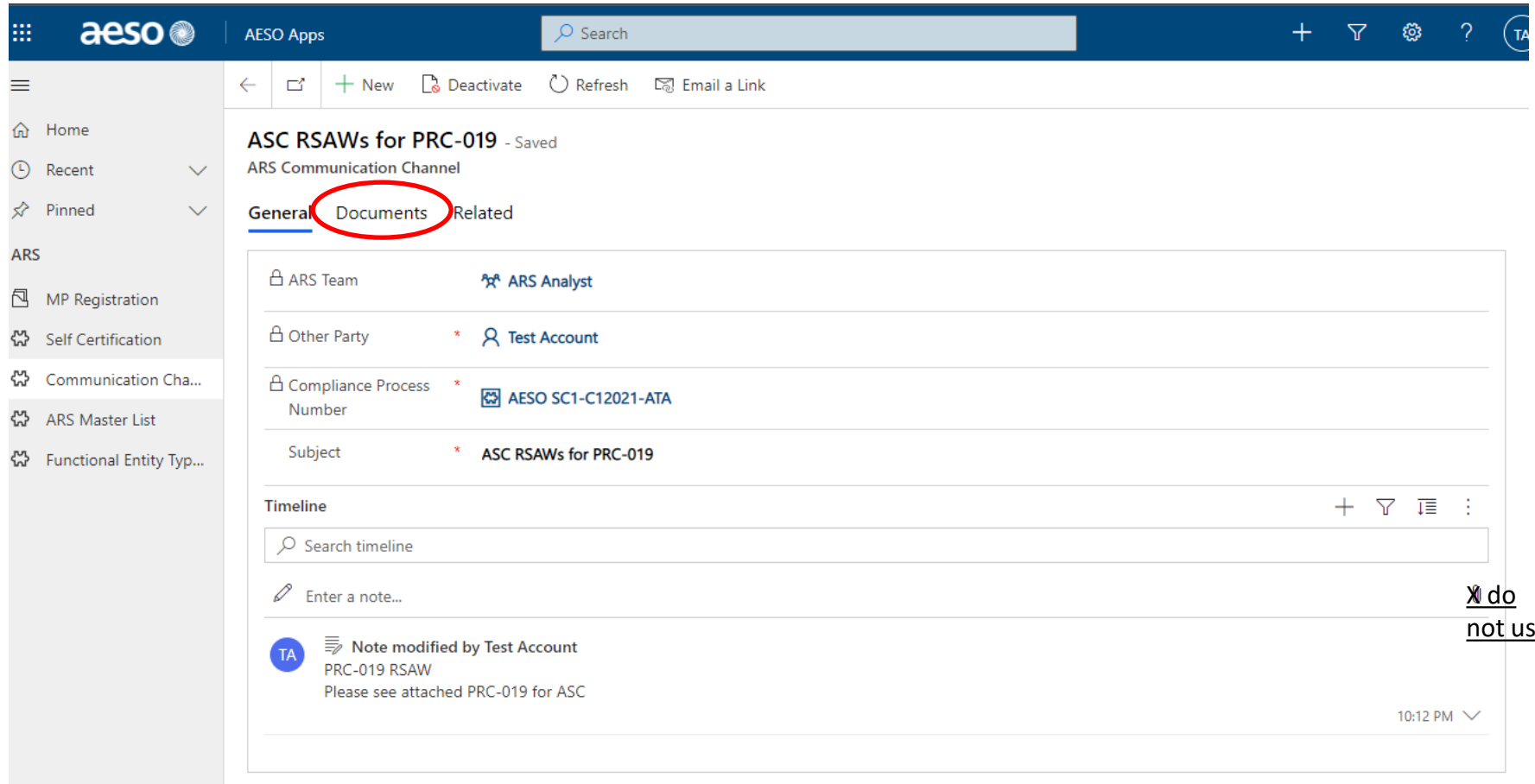
Below these fields is a 'Timeline' section which is currently empty. A message in the center of the timeline area reads: 'Almost there' and 'Select Save to see your timeline.'

## 4. Enter message (note)



The screenshot displays the AESO communication channel interface. The top navigation bar includes the AESO logo, 'AESO Apps', a search bar, and utility icons. The left sidebar lists navigation options such as Home, Recent, Pinned, and various ARS-related functions. The main content area shows a communication channel titled 'ASC RSAWs for PRC-019 - Saved'. Below the title, there are tabs for 'General', 'Documents', and 'Related'. The 'General' tab is active, displaying fields for 'ARS Team' (ARS Analyst), 'Other Party' (Test Account), 'Compliance Process Number' (AESO SC1-C12021-ATA), and 'Subject' (ASC RSAWs for PRC-019). Below these fields is a 'Timeline' section with a search bar and a list of entries. The first entry in the timeline is 'Enter a note...', which is highlighted with a red circle. At the bottom of the page, there is a large blue plus sign icon, the text 'Get started', and the instruction 'Capture and manage all records in your timeline.'

## 5. Attach documents in “Documents” tab



The screenshot shows the AESO communication channel interface. The top navigation bar includes the AESO logo, 'AESO Apps', a search bar, and utility icons. The left sidebar lists navigation options like Home, Recent, Pinned, and various ARS-related items. The main content area displays the 'ASC RSAWs for PRC-019' channel, with the 'Documents' tab highlighted in red. The channel details include:

- ARS Team: ARS Analyst
- Other Party: Test Account
- Compliance Process Number: AESO SC1-C12021-ATA
- Subject: ASC RSAWs for PRC-019

Below the details is a 'Timeline' section with a search bar and a note entry field. A note is visible, stating: 'Note modified by Test Account, PRC-019 RSAW, Please see attached PRC-019 for ASC'. A red 'X' is placed over the paperclip icon next to the note, and the text 'do not use' is written next to it.



**Tip:** Do not attach using the paperclip near the note



## 6. Upload file

The screenshot illustrates the file upload process in the AESO system. The top part shows the 'Documents' tab with an 'Upload' button circled in red. A blue arrow points from the 'Upload' button to a 'Choose File' button in a dialog box. Another blue arrow points from the 'Choose File' button to a table in the system showing the uploaded file 'Test document.docx'. The 'OK' button in the dialog box is also circled in red.

**Upload Documents Dialog Box:**

File Upload  No file chosen

Maximum upload limit in Dynamics 365 is 50.00MB. Larger files can be uploaded directly in SharePoint.

Overwrite existing files  Yes

**System Table:**

Name	Path	Modified	Modified by	Created On
Test document.docx	ASC RSAWs for PRC-019...	11/12/2021 10:16 ...	arstestingaccount	11/12/2021 10:16 PM

# Self-Certification



## Prior (Template)

**COMPLIANCE MONITORING PROGRAM**  
**Alberta Reliability Standards**  
**Self-Certification - Cover Sheet**  
**Confidential**

Once you have completed the form below, click on the button to the right to generate the Self-Certification Letter → **Generate Self-Certification Letter**

Please provide your entity name below

**Self-Certification For:** [Legal name of the registered market participant]

Please provide the Self-Certification period and the Functional Entity types below

**Self-Certification Period:** [Start date: MMM DD, YYYY] TO [End date: MMM DD, YYYY]

**Functional Entity Types:**

1		7	13
2		8	14
3		9	15
4		10	16
5		11	17
6		12	18

In the spaces provided next to the numbers on the right, select all functional entity types that are included in this Self-Certification.

Please provide contact information below.

**Reported By:**

Please ensure that the contact information reflects one of the individuals listed on the AES Registration Form

[Name] [Phone] [Email] [Title]

Cover Sheet



Applicable Standards



Officer Certificate



## New (Portal)

**AESO Apps** Search

Save Save & Close + New Create ZIP

**New Self Certification** - Unsaved

Self Certification Business - Active for less than one m... Initiate (< 1 Min) Authorizing Officer Submitted To AESO Assessment Complete Close

General Applicable Stds Communication Channels ZIP Files Documents

Self Certification For: [Legal name of the registered market participant] Cycle # 1

DOP Information ---

Self-Certification Period Begin Date 1/1/2021 Self-Certification Period End Date 12/31/2021

Submission Deadline 1/31/2022 Late Submission No

Additional Comments ---

**AESO Apps** Search

Save Save & Close + New Deactivate Create ZIP Refresh Process Email a Link

**AESO SCI-C22021-AECO** - Saved

Self Certification Business - Active for less than one m... Initiate (< 1 Min) Authorizing Officer Submitted To AESO Assessment Complete Close

General Applicable Stds Communication Channels ZIP Files Documents Related

Self Certification

Applicable Standards Refresh Export SC Applicable S... See associated records

Standard Number	Name (SC A...)	MP's FE	Requirement	Effective B...	Effective En...	Applicability	Fully Compl...	Non-Compl...	Violation Ty...	Additional Comments	Error	Error Messa...	Link
EOP-003-AB1-1	Load Shed...	Market Part...	R1.1	12/17/2012	12/31/2099						Yes	Required R...	https://aes...
EOP-003-AB1-1	Load Shed...	Market Part...	R11	12/17/2012	12/31/2099						Yes	Required R...	https://aes...
PRC-021-AB1-1	Under Volt...	Market Part...	R3	1/2/2013	12/31/2099						Yes	Required R...	https://aes...

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**COMPLIANCE MONITORING PROGRAM**  
**Alberta Reliability Standards**  
**Self-Certification - Applicable Standards**  
**Confidential**

Standard Number	Standard Name	Applicability	Effective Date	End Date	MP's FE	Requirement	Effective B...	Effective En...	Applicability	Fully Compl...	Non-Compl...	Violation Ty...	Additional Comments	Error	Error Messa...	Link
EOP-003-AB1-1	Load Shed...	Market Part...	12/17/2012	12/31/2099		R1.1	12/17/2012	12/31/2099						Yes	Required R...	https://aes...
EOP-003-AB1-1	Load Shed...	Market Part...	12/17/2012	12/31/2099		R11	12/17/2012	12/31/2099						Yes	Required R...	https://aes...
PRC-021-AB1-1	Under Volt...	Market Part...	1/2/2013	12/31/2099		R3	1/2/2013	12/31/2099						Yes	Required R...	https://aes...

**OFFICER'S CERTIFICATE**

TO: Independent System Operator operating as AESO ("AESO")

FROM: [ABC Company Limited]

RE: Self-Certification for the Alberta Reliability Standards Compliance Monitoring Program

This undersigned, being the [Insert Title] of [ABC Company Limited] hereby certifies for and on behalf of [ABC Company Limited] that:

- [ABC Company Limited] is familiar with and understands the self-certification process as provided in Section 6.2 of the Alberta Reliability Standards Compliance Monitoring Program (the "Self-Certification Process").
- [ABC Company Limited] 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 17 of the Transmission Regulator;
  - completing this Officer's Certificate together with the cover sheet and the applicable standards verification sheet that is (collectively referred to as the "Self-Certification") in accordance with the Self-Certification Process;
- [ABC Company Limited] understands the implications of the Self-Certification not being:
  - complete, accurate or true; or
  - provided to the AESO on or before the self-certification due date as stated in notification letters provided by the AESO to [ABC Company Limited];

as set forth in Section 6.2 of the Alberta Reliability Standards Compliance Monitoring Program.

10. On the basis of the undersigned's knowledge and information, based on the foregoing process undertaken by [ABC Company Limited], the Self-Certification is complete, true and accurate.

Signed at [City/Town], [Province/State] the [DD] day of [Insert Month], 201[YY].

Name: [Insert Name]  
 Title: [Insert Title]

Officer Certificate - Cenovus Energy Inc.

General	Related
<ul style="list-style-type: none"> <li>Independent System Operator operating as AESO</li> <li>Cenovus Energy Inc.</li> <li>Self-Certification for the Alberta Reliability Standards Compliance Monitoring Program</li> </ul>	<ul style="list-style-type: none"> <li>AESO</li> <li>ceb</li> </ul>

The undersigned, being the [Insert Title] of [ABC Company Limited] hereby certifies for and on behalf of [ABC Company Limited] that:

- [ABC Company Limited] is familiar with and understands the self-certification process as provided in Section 6.2 of the Alberta Reliability Standards Compliance Monitoring Program (the "Self-Certification Process").
- [ABC Company Limited] 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 17 of the Transmission Regulator;
  - completing this Officer's Certificate together with the cover sheet and the applicable standards verification sheet that is (collectively referred to as the "Self-Certification") in accordance with the Self-Certification Process;
- [ABC Company Limited] understands the implications of the Self-Certification not being:
  - complete, accurate or true; or
  - provided to the AESO on or before the self-certification due date as stated in notification letters provided by the AESO to [ABC Company Limited];

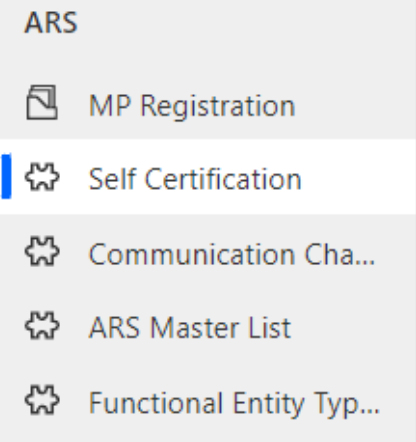
as set forth in Section 6.2 of the Alberta Reliability Standards Compliance Monitoring Program.

10. On the basis of the undersigned's knowledge and information, based on the foregoing process undertaken by [ABC Company Limited], the Self-Certification is complete, true and accurate.

Signed at [City/Town], [Province/State] the [DD] day of [Insert Month], 201[YY].

Name: [Insert Name]  
 Title: [Insert Title]

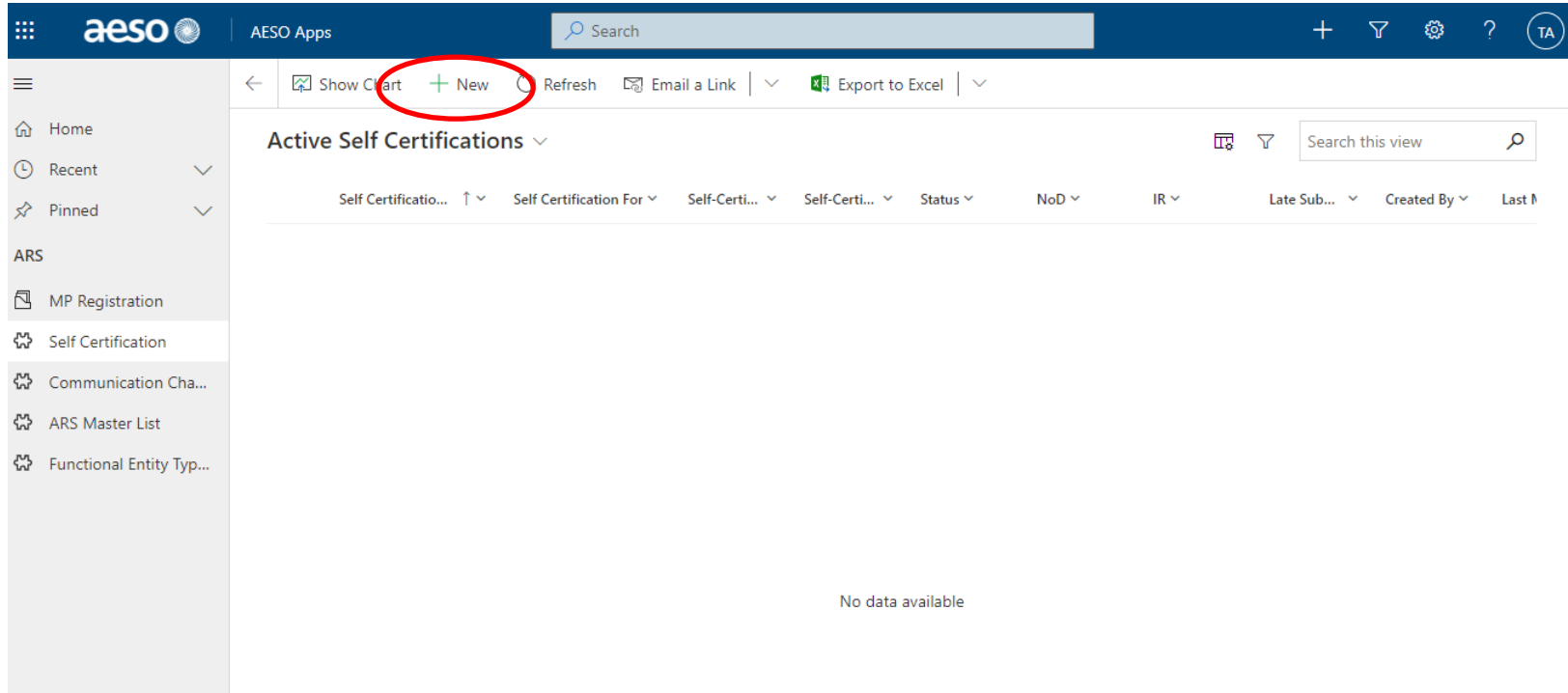
- Initiating self-certification cover sheet  
Refer to page #15 and #18-23 of the ARS Compliance Portal User Guide
- Applicable standard list  
Refer to page #15, #23-29 and #49 of the ARS Compliance Portal User Guide
- Officer Certificate and submission to the AESO  
Refer to page #15 and #29-31 of the ARS Compliance Portal User Guide
- Milestones after submission  
Refer to page #15 and #31-34 of the ARS Compliance Portal User Guide
- Saving your information on local drive  
Refer to page #42-45 of the ARS Compliance Portal User Guide



# Self-Certification Process

## Initiating self-certification cover sheet

### 1. Initiate new self-certification

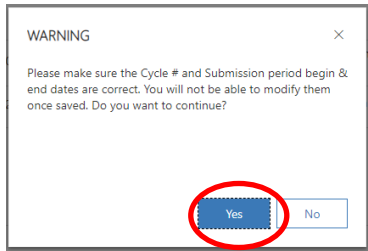


The screenshot displays the AESO Apps interface. The top navigation bar includes the AESO logo, 'AESO Apps', a search bar, and utility icons. A left sidebar lists navigation options: Home, Recent, Pinned, ARS, MP Registration, Self Certification, Communication Cha..., ARS Master List, and Functional Entity Typ... The main content area is titled 'Active Self Certifications' and features a table with columns: Self Certificatio..., Self Certification For..., Self-Certi..., Self-Certi..., Status, NoD, IR, Late Sub..., Created By, and Last M. A '+ New' button is circled in red in the top toolbar. Below the table, the text 'No data available' is displayed.

# Self-Certification Process

## Initiating self-certification cover sheet

### 2. Enter self-certification begin and end date, and cycle, then save.



**Note: Pop-up warnings occur throughout the process.**

The screenshot shows the AESO application interface. The top navigation bar includes the AESO logo, 'AESO Apps', a search bar, and utility icons. The left sidebar contains navigation options like Home, Recent, Pinned, ARS, MP Registration, Self Certification, Communication Cha..., ARS Master List, and Functional Entity Typ... The main content area is titled 'New Self Certification - Unsaved' and features a progress bar with steps: 'Initiate (< 1 Min)', 'Authorizing Officer', 'Submitted To AESO', 'Assessment Complete', and 'Close'. The 'Initiate' step is currently active. Below the progress bar, there are tabs for 'General', 'Applicable Stds', 'Communication Channels', 'ZIP Files', and 'Documents'. The 'General' tab is selected, showing a form with the following fields:

Self Certification For	* AESO TEST ACCOUNT TS	Cycle #	* 1
DDP Information	---		
Self-Certification Period Begin Date	1/1/2021	Self-Certification Period End Date	12/31/2021
Submission Deadline	* 1/31/2022	Late Submission	No
Additional Comments	---		

# Self-Certification Process

## Initiating self-certification cover sheet

### 4. Confirm successful save by seeing new SC#, functional entities

**AESO SC1-C42021-ATA - Saved**  
Self Certification

Self Certification Business...  
Active for 6 minutes

Initiate (6 Min) | Authorizing Officer | Submitted To AESO | Assessment Complete | Close

**General** | Applicable Stds | Communication Channels | ZIP Files | Documents | Related

Self Certification For \* **AESO TEST ACCOUNT TS** | Cycle # \* **4**

DDP Information ---

Self-Certification Period Begin Date \* 10/1/2020 | Self-Certification Period End Date \* 9/30/2021

Submission Deadline \* 10/31/2021 | Late Submission \* **No**

Additional Comments ---

**Functional Entity Types** | Refresh | Export Functional Entit... |

Name ↑
Operator of a generating unit

1 of 1

**Officer Certificate** | Refresh | Flow |

Name ↓	Created On ↓	Review & Sign Date ↓
--------	--------------	----------------------

# Self-Certification Process

## Applicable standards

### 1. Find “Applicable stds” tab

The screenshot shows the AESO Self-Certification interface. The breadcrumb trail at the top includes: Home > Self Certification Business... > Initiate (26 Min) > Authorizing Officer > Submitted To AESO > Assessment Complete > Close. The 'Applicable Stds' tab is highlighted with a red circle. Below the breadcrumb trail, the 'Applicable Standards' table is displayed with the following columns: Standard Number, Name (SC), MP's FE, Requirement, Effective Date, Effective Date, Applicability, Fully Compliant, Non-Compliant, Violation, Additional Comments, Error, Error Message, and Link. The table contains 20 rows of data.

Standard Number	Name (SC)	MP's FE	Requirement	Effective Date	Effective Date	Applicability	Fully Compliant	Non-Compliant	Violation	Additional Comments	Error	Error Message	Link
CIP-002-AB-5.1	Cyber Se...	Operator...	R1	10/1/2017	12/31/29...						Yes	Required...	https://a...
CIP-002-AB-5.1	Cyber Se...	Operator...	R1.1	10/1/2017	12/31/29...						Yes	Required...	https://a...
CIP-002-AB-5.1	Cyber Se...	Operator...	R1.2	10/1/2017	12/31/29...						Yes	Required...	https://a...
CIP-002-AB-5.1	Cyber Se...	Operator...	R1.3	10/1/2017	12/31/29...						Yes	Required...	https://a...
CIP-002-AB-5.1	Cyber Se...	Operator...	R2	10/1/2017	12/31/29...						Yes	Required...	https://a...
CIP-002-AB-5.1	Cyber Se...	Operator...	R2.1	10/1/2017	12/31/29...						Yes	Required...	https://a...
CIP-002-AB-5.1	Cyber Se...	Operator...	R2.2	10/1/2017	12/31/29...						Yes	Required...	https://a...
CIP-003-AB-5	Cyber Se...	Operator...	R1	10/1/2017	12/31/29...						Yes	Required...	https://a...
CIP-003-AB-5	Cyber Se...	Operator...	R1.1	10/1/2017	12/31/29...						Yes	Required...	https://a...
CIP-003-AB-5	Cyber Se...	Operator...	R1.2	10/1/2017	12/31/29...						Yes	Required...	https://a...
CIP-003-AB-5	Cyber Se...	Operator...	R1.3	10/1/2017	12/31/29...						Yes	Required...	https://a...
CIP-003-AB-5	Cyber Se...	Operator...	R1.4	10/1/2017	12/31/29...						Yes	Required...	https://a...
CIP-003-AB-5	Cyber Se...	Operator...	R1.5	10/1/2017	12/31/29...						Yes	Required...	https://a...
CIP-003-AB-5	Cyber Se...	Operator...	R1.6	10/1/2017	12/31/29...						Yes	Required...	https://a...
CIP-003-AB-5	Cyber Se...	Operator...	R1.7	10/1/2017	12/31/29...						Yes	Required...	https://a...
CIP-003-AB-5	Cyber Se...	Operator...	R1.8	10/1/2017	12/31/29...						Yes	Required...	https://a...
CIP-003-AB-5	Cyber Se...	Operator...	R1.9	10/1/2017	12/31/29...						Yes	Required...	https://a...
CIP-003-AB-5	Cyber Se...	Operator...	R2	10/1/2018	12/31/29...						Yes	Required...	https://a...
CIP-003-AB-5	Cyber Se...	Operator...	R2.1	10/1/2018	12/31/29...						Yes	Required...	https://a...
CIP-003-AB-5	Cyber Se...	Operator...	R2.2	10/1/2018	12/31/29...						Yes	Required...	https://a...



**Tip:** Zoom out of the webpage (CTRL -) to view more rows on screen

# Self-Certification Process

## Applicable standards

## 2. Work on assessment by filtering the columns

Note: Working on each page is not advised as the application will move to the first page after each update

The screenshot shows the AESO Self-Certification interface. The top navigation bar includes the AESO logo, a search bar, and various utility icons. The main content area displays the 'Applicable Standards' table. A filter dialog is open over the 'Standard Number' column, with a red circle highlighting the filter dropdown menu. The table contains multiple rows of standards, each with columns for Standard Number, Name (SC...), MP's FE, Requirement, Effective Begin, Effective End, Applicability, Fully Compl., Non-Compl., Violation Ty..., Additional Comme..., Error, Error Mes..., and Link.

Standard Number	Name (SC...)	MP's FE	Requirement	Effective Be...	Effective En...	Applicability	Fully Compl...	Non-Compl...	Violation Ty...	Additional Comme...	Error	Error Mes...	Link
Operator o...			R1	10/1/2017	12/31/2999						Yes	Required ...	https://aes
Operator o...			R1.1	10/1/2017	12/31/2999						Yes	Required ...	https://aes
Operator o...			R1.2	10/1/2017	12/31/2999						Yes	Required ...	https://aes
Operator o...			R1.3	10/1/2017	12/31/2999						Yes	Required ...	https://aes
Operator o...			R2	10/1/2017	12/31/2999						Yes	Required ...	https://aes
Operator o...			R2.1	10/1/2017	12/31/2999						Yes	Required ...	https://aes
CIP-002-AB-5.1	Cyber Se...	Operator o...	R2.2	10/1/2017	12/31/2999						Yes	Required ...	https://aes
CIP-003-AB-5	Cyber Se...	Operator o...	R1	10/1/2017	12/31/2999						Yes	Required ...	https://aes
CIP-003-AB-5	Cyber Se...	Operator o...	R1.1	10/1/2017	12/31/2999						Yes	Required ...	https://aes
CIP-003-AB-5	Cyber Se...	Operator o...	R1.2	10/1/2017	12/31/2999						Yes	Required ...	https://aes
CIP-003-AB-5	Cyber Se...	Operator o...	R1.3	10/1/2017	12/31/2999						Yes	Required ...	https://aes
CIP-003-AB-5	Cyber Se...	Operator o...	R1.4	10/1/2017	12/31/2999						Yes	Required ...	https://aes
CIP-003-AB-5	Cyber Se...	Operator o...	R1.5	10/1/2017	12/31/2999						Yes	Required ...	https://aes
CIP-003-AB-5	Cyber Se...	Operator o...	R1.6	10/1/2017	12/31/2999						Yes	Required ...	https://aes
CIP-003-AB-5	Cyber Se...	Operator o...	R1.7	10/1/2017	12/31/2999						Yes	Required ...	https://aes

 **Tip:** Filtering by standard number will reduce the amount of pages



# Self-Certification Process

## Applicable standards

- 3. Complete assessments for standards by using Bulk upload
  - select checkmark, then edit(e.g., standards that are not applicable or applicable, fully compliant)

The screenshot shows the AESO Self-Certification interface. The top navigation bar includes the AESO logo, a search bar, and various utility icons. The main content area displays a progress bar for 'AESO SC1-C42021-ATA - Saved' with steps: 'Initiate (67 Hrs)', 'Authorizing Officer', 'Submitted To AESO', 'Assessment Complete', and 'Close'. Below the progress bar, there are tabs for 'General', 'Applicable Stds', 'Communication Channels', 'ZIP Files', 'Documents', and 'Related'. The 'Applicable Stds' tab is active, showing a table of standards. The table has columns for 'Standard Num...', 'Name (SC...', 'MP's FE', 'Requirements', 'Effective E...', 'Effective E...', 'Applicabil...', 'Fully Com...', 'Non-Com...', 'Violation ...', 'Additional Comme...', 'Error', 'Error Mes...', and 'Link'. The first row of the table has a blue circle next to the 'Standard Num...' header. The 'Edit' button in the top right corner of the table is circled in red. The table contains 7 rows of data, all with 'Yes' in the 'Error' column and 'Required ...' in the 'Error Mes...' column. The bottom of the table shows '1 - 7 of 7 (7 Selected)' and 'Page 1'.

Standard Num...	Name (SC...	MP's FE	Requirements	Effective E...	Effective E...	Applicabil...	Fully Com...	Non-Com...	Violation ...	Additional Comme...	Error	Error Mes...	Link
CIP-002-AB-5.1	Cyber Sec...	Operator...	R1	10/1/2017	12/31/2999						Yes	Required ...	<a href="https://aeso-portal-i">https://aeso-portal-i</a>
CIP-002-AB-5.1	Cyber Sec...	Operator...	R1.1	10/1/2017	12/31/2999						Yes	Required ...	<a href="https://aeso-portal-i">https://aeso-portal-i</a>
CIP-002-AB-5.1	Cyber Sec...	Operator...	R1.2	10/1/2017	12/31/2999						Yes	Required ...	<a href="https://aeso-portal-i">https://aeso-portal-i</a>
CIP-002-AB-5.1	Cyber Sec...	Operator...	R1.3	10/1/2017	12/31/2999						Yes	Required ...	<a href="https://aeso-portal-i">https://aeso-portal-i</a>
CIP-002-AB-5.1	Cyber Sec...	Operator...	R2	10/1/2017	12/31/2999						Yes	Required ...	<a href="https://aeso-portal-i">https://aeso-portal-i</a>
CIP-002-AB-5.1	Cyber Sec...	Operator...	R2.1	10/1/2017	12/31/2999						Yes	Required ...	<a href="https://aeso-portal-i">https://aeso-portal-i</a>
CIP-002-AB-5.1	Cyber Sec...	Operator...	R2.2	10/1/2017	12/31/2999						Yes	Required ...	<a href="https://aeso-portal-i">https://aeso-portal-i</a>



**Tip:** Clicking the circle on the top row will select all on that page

# Self-Certification Process

## Applicable standards

### 3. Complete assessments for standards by using Bulk upload

- Enter assessment

Standard Num.	Name ISC	MP's FE	Requirements	Effective Date	Effective End Date
CIP-002-AB-5.1	Cyber Sec...	Operator...	R1	10/1/2017	12/31/2999
CIP-002-AB-5.1	Cyber Sec...	Operator...	R1.1	10/1/2017	12/31/2999
CIP-002-AB-5.1	Cyber Sec...	Operator...	R1.2	10/1/2017	12/31/2999
CIP-002-AB-5.1	Cyber Sec...	Operator...	R1.3	10/1/2017	12/31/2999
CIP-002-AB-5.1	Cyber Sec...	Operator...	R2	10/1/2017	12/31/2999
CIP-002-AB-5.1	Cyber Sec...	Operator...	R2.1	10/1/2017	12/31/2999
CIP-002-AB-5.1	Cyber Sec...	Operator...	R2.2	10/1/2017	12/31/2999

#### Edit 7 records

Enter changes in the fields you want to edit.

Form  
SC Applicable Std

General Header

General

Applicable Standard ---

MP's FE \* ---

Applicability ---

Fully Compliant ---

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

Violation Type Source ---

Additional Comments ---

Error Message ---

Error ---

Link ---

Save Cancel

 **Tip:** Using Bulk Upload inputs the same assessment for each selected row

# Self-Certification Process

## Applicable standards

### 4. Complete assessments for requirements by using “Link” (e.g., not applicable with specific comments, applicable with non-compliance identified)

The screenshot shows the AESO Self-Certification interface for 'AESO SCI-C42021-ATA'. The 'Applicable Stds' tab is active, displaying a table of standards. The table has columns for Standard Number, Name (SC), MP's FE, Requirement, Effective dates, Applicability, Fully Compliant, Non-Compliant, Violation, Additional Comments, Error, Error Message, and Link. The 'Link' column contains URLs for each requirement, with one link circled in red.

Standard Number	Name (SC)	MP's FE	Requirement	Effective	Effective	Applicable	Fully Com	Non-Com	Violation	Additional Comme	Error	Error Mes	Link
CIP-002-AB-5.1	Cyber Se...	Operator...	R1	10/1/2017	12/31/29...						Yes	Required...	<a href="#">https://a...</a>
CIP-002-AB-5.1	Cyber Se...	Operator...	R1.1	10/1/2017	12/31/29...						Yes	Required...	<a href="#">https://a...</a>
CIP-002-AB-5.1	Cyber Se...	Operator...	R1.2	10/1/2017	12/31/29...						Yes	Required...	<a href="#">https://a...</a>
CIP-002-AB-5.1	Cyber Se...	Operator...	R1.3	10/1/2017	12/31/29...						Yes	Required...	<a href="#">https://a...</a>
CIP-002-AB-5.1	Cyber Se...	Operator...	R2	10/1/2017	12/31/29...						Yes	Required...	<a href="#">https://a...</a>
CIP-002-AB-5.1	Cyber Se...	Operator...	R2.1	10/1/2017	12/31/29...						Yes	Required...	<a href="#">https://a...</a>
CIP-002-AB-5.1	Cyber Se...	Operator...	R2.2	10/1/2017	12/31/29...						Yes	Required...	<a href="#">https://a...</a>
CIP-003-AB-5	Cyber Se...	Operator...	R1	10/1/2017	12/31/29...						Yes	Required...	<a href="#">https://a...</a>
CIP-003-AB-5	Cyber Se...	Operator...	R1.1	10/1/2017	12/31/29...						Yes	Required...	<a href="#">https://a...</a>
CIP-003-AB-5	Cyber Se...	Operator...	R1.2	10/1/2017	12/31/29...						Yes	Required...	<a href="#">https://a...</a>
CIP-003-AB-5	Cyber Se...	Operator...	R1.3	10/1/2017	12/31/29...						Yes	Required...	<a href="#">https://a...</a>
CIP-003-AB-5	Cyber Se...	Operator...	R1.4	10/1/2017	12/31/29...						Yes	Required...	<a href="#">https://a...</a>
CIP-003-AB-5	Cyber Se...	Operator...	R1.5	10/1/2017	12/31/29...						Yes	Required...	<a href="#">https://a...</a>
CIP-003-AB-5	Cyber Se...	Operator...	R1.6	10/1/2017	12/31/29...						Yes	Required...	<a href="#">https://a...</a>
CIP-003-AB-5	Cyber Se...	Operator...	R1.7	10/1/2017	12/31/29...						Yes	Required...	<a href="#">https://a...</a>
CIP-003-AB-5	Cyber Se...	Operator...	R1.8	10/1/2017	12/31/29...						Yes	Required...	<a href="#">https://a...</a>
CIP-003-AB-5	Cyber Se...	Operator...	R1.9	10/1/2017	12/31/29...						Yes	Required...	<a href="#">https://a...</a>
CIP-003-AB-5	Cyber Se...	Operator...	R2	10/1/2018	12/31/29...						Yes	Required...	<a href="#">https://a...</a>
CIP-003-AB-5	Cyber Se...	Operator...	R2.1	10/1/2018	12/31/29...						Yes	Required...	<a href="#">https://a...</a>
CIP-003-AB-5	Cyber Se...	Operator...	R2.2	10/1/2018	12/31/29...						Yes	Required...	<a href="#">https://a...</a>



**Tip:** Filtering to show blanks will show requirements where an assessment is not yet made

# Self-Certification Process

## Applicable standards

### 4. Complete assessments for requirements by using “Link” - Enter assessment

The screenshot shows the 'New SC Applicable Std' form in the AESO portal. The 'Save' button is circled in red. The form fields are as follows:

Field	Value
Applicable Standard	Cyber Security - BES Cyber System Categorization
Standard Number	CIP-002-AB-S.1
Requirement Number	R2
MP's FE	Operator of a generating unit
Applicability	Applicable
Fully Compliant	No
Non-Compliant (violation for part of period)	Non-compliant for entire Period
Violation Type Source	Previous Self-Report to MSA
Additional Comments	Self report to MSA on Jan N, 2022
Error Message	---
Error	No
Link	https://aeso-portal-integ.crm3.dynamics.com/main.aspx?appid=c2c7aaeb-593f-eb11-a813-000d3af46b49&forceUCI=1&pagetype=entityrecord...



**Tip:** Following the chart on pg. 27 of the Portal User Guide will prevent errors from occurring

# Self-Certification Process

## Applicable standards

### 5. Review and check for errors

The screenshot shows the AESO Self-Certification interface for a process titled "AESO SC1-C42021-ATA - Saved". The process is currently in the "Initiate (67 Hrs)" stage. The "Applicable Stds" tab is selected, displaying a table of standards. A filter is applied to the "Error" column, showing only records where the error status is "Yes".

Standard Number	Name (SC...)	MP's FE	Requirements	Effective ...	Effective E...	Applicabil...	Fully Com...	Non-Com...	Violation ...	Additional Comme...	Error	Error Mes...	Link
CIP-002-AB-5.1	Cyber Sec...	Operator ...	R1	10/1/2017	12/31/2999	Applica...	Yes	N/A	N/A		Yes	Required ...	https://aeso-portal-i
CIP-002-AB-5.1	Cyber Sec...	Operator ...	R1.1	10/1/2017	12/31/2999	Applica...	Yes	N/A	N/A		Yes	Required ...	https://aeso-portal-i
CIP-002-AB-5.1	Cyber Sec...	Operator ...	R1.2	10/1/2017	12/31/2999	Applica...	Yes	N/A	N/A		Yes	Required ...	https://aeso-portal-i
CIP-002-AB-5.1	Cyber Sec...	Operator ...	R1.3	10/1/2017	12/31/2999	Applica...	Yes	N/A	N/A		Yes	Required ...	https://aeso-portal-i
CIP-002-AB-5.1	Cyber Sec...	Operator ...	R2	10/1/2017	12/31/2999	Applica...	No	Non-c...	Previou...	Self report to MSA...	No		https://aeso-portal-i
CIP-002-AB-5.1	Cyber Sec...	Operator ...	R2.1	10/1/2017	12/31/2999	Applica...	Yes	N/A	N/A		No		https://aeso-portal-i
CIP-002-AB-5.1	Cyber Sec...	Operator ...	R2.2	10/1/2017	12/31/2999	Applica...	Yes	N/A	N/A		No		https://aeso-portal-i
CIP-003-AB-5	Cyber Sec...	Operator ...	R1	10/1/2017	12/31/2999						Yes	Required ...	https://aeso-portal-i
CIP-003-AB-5	Cyber Sec...	Operator ...	R1.1	10/1/2017	12/31/2999						Yes	Required ...	https://aeso-portal-i
CIP-003-AB-5	Cyber Sec...	Operator ...	R1.2	10/1/2017	12/31/2999						Yes	Required ...	https://aeso-portal-i
CIP-003-AB-5	Cyber Sec...	Operator ...	R1.3	10/1/2017	12/31/2999						Yes	Required ...	https://aeso-portal-i
CIP-003-AB-5	Cyber Sec...	Operator ...	R1.4	10/1/2017	12/31/2999						Yes	Required ...	https://aeso-portal-i
CIP-003-AB-5	Cyber Sec...	Operator ...	R1.5	10/1/2017	12/31/2999						Yes	Required ...	https://aeso-portal-i
CIP-003-AB-5	Cyber Sec...	Operator ...	R1.6	10/1/2017	12/31/2999						Yes	Required ...	https://aeso-portal-i
CIP-003-AB-5	Cyber Sec...	Operator ...	R1.7	10/1/2017	12/31/2999						Yes	Required ...	https://aeso-portal-i
CIP-003-AB-5	Cyber Sec...	Operator ...	R1.8	10/1/2017	12/31/2999						Yes	Required ...	https://aeso-portal-i
CIP-003-AB-5	Cyber Sec...	Operator ...	R1.9	10/1/2017	12/31/2999						Yes	Required ...	https://aeso-portal-i

**Tip:** Keep error column filtered on "Yes" to view only those where an assessment is still needed or required to be changed



# Self-Certification Process Officer Certificate and submission

1. Click on “Initiate” in the workflow,  then “Next Stage”

The screenshot shows the AESO Self-Certification interface. At the top, there is a navigation bar with the AESO logo and a search bar. Below the navigation bar, there is a workflow progress bar with steps: "Initiate (67 Hrs)", "Authorizing Officer", "Submitted To AESO", "Assessment Complete", and "Close". The "Initiate (67 Hrs)" step is currently active and highlighted in red. A pop-up box is displayed over the "Initiate" step, containing the text "Active for 67 hours" and a blue button labeled "Next Stage" with a right-pointing arrow. The "Next Stage" button is circled in red. Below the workflow bar, there is a table of applicable standards. The table has columns for Standard Number, Name (SC...), MP's FE, Requirement, Effective B..., Effective E..., Applicability, Fully Com..., Non-Com..., Violation..., Additional Comments, Error, and Error Mess... The table contains 15 rows of data, each representing a different standard and its associated requirements and status.

Standard Number	Name (SC...)	MP's FE	Requirement	Effective B...	Effective E...	Applicability	Fully Com...	Non-Com...	Violation	Additional Comments	Error	Error Mess...	Link
CIP-002-AB-5.1	Cyber Sec...	Operator ...	R1	10/1/2017	12/31/2999	Applica...	Yes	N/A	N/A		No		<a href="https://aeso-poi">https://aeso-poi</a>
CIP-002-AB-5.1	Cyber Sec...	Operator ...	R1.1	10/1/2017	12/31/2999	Applica...	Yes	N/A	N/A		No		<a href="https://aeso-poi">https://aeso-poi</a>
CIP-002-AB-5.1	Cyber Sec...	Operator ...	R1.2	10/1/2017	12/31/2999	Applica...	Yes	N/A	N/A		No		<a href="https://aeso-poi">https://aeso-poi</a>
CIP-002-AB-5.1	Cyber Sec...	Operator ...	R1.3	10/1/2017	12/31/2999	Applica...	Yes	N/A	N/A		No		<a href="https://aeso-poi">https://aeso-poi</a>
CIP-002-AB-5.1	Cyber Sec...	Operator ...	R2	10/1/2017	12/31/2999	Applica...	No	Non-co...	Previou...	Self report to MSA...	No		<a href="https://aeso-poi">https://aeso-poi</a>
CIP-002-AB-5.1	Cyber Sec...	Operator ...	R2.1	10/1/2017	12/31/2999	Applica...	Yes	N/A	N/A		No		<a href="https://aeso-poi">https://aeso-poi</a>
CIP-002-AB-5.1	Cyber Sec...	Operator ...	R2.2	10/1/2017	12/31/2999	Applica...	Yes	N/A	N/A		No		<a href="https://aeso-poi">https://aeso-poi</a>
CIP-003-AB-5	Cyber Sec...	Operator ...	R1	10/1/2017	12/31/2999	Applica...	Yes	N/A	N/A		No		<a href="https://aeso-poi">https://aeso-poi</a>
CIP-003-AB-5	Cyber Sec...	Operator ...	R1.1	10/1/2017	12/31/2999	Applica...	Yes	N/A	N/A		No		<a href="https://aeso-poi">https://aeso-poi</a>
CIP-003-AB-5	Cyber Sec...	Operator ...	R1.2	10/1/2017	12/31/2999	Applica...	Yes	N/A	N/A		No		<a href="https://aeso-poi">https://aeso-poi</a>
CIP-003-AB-5	Cyber Sec...	Operator ...	R1.3	10/1/2017	12/31/2999	Applica...	Yes	N/A	N/A		No		<a href="https://aeso-poi">https://aeso-poi</a>
CIP-003-AB-5	Cyber Sec...	Operator ...	R1.4	10/1/2017	12/31/2999	Applica...	Yes	N/A	N/A		No		<a href="https://aeso-poi">https://aeso-poi</a>
CIP-003-AB-5	Cyber Sec...	Operator ...	R1.5	10/1/2017	12/31/2999	Applica...	Yes	N/A	N/A		No		<a href="https://aeso-poi">https://aeso-poi</a>



**Tip:** A pop-up box will inform you if the officer has not yet signed up for the Portal

# Self-Certification Process Officer Certificate and submission

## 2. Click “Generate Officer Certificate”

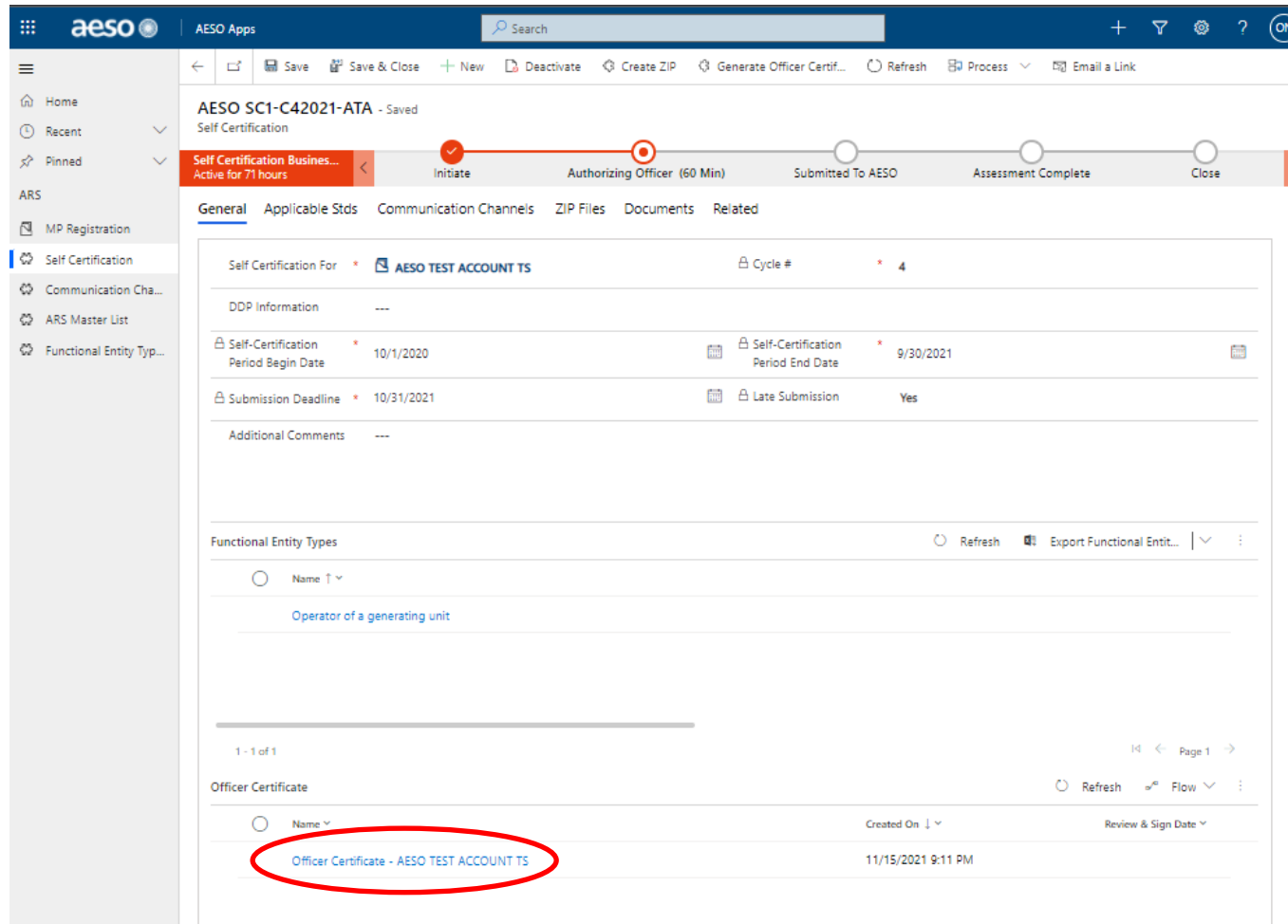
The screenshot displays the AESO Apps interface for a self-certification process. The top navigation bar includes a search bar and a menu with options like 'Save', 'Save & Close', 'New', 'Deactivate', 'Create', 'Generate Officer Certif...', 'Refresh', 'Process', and 'Email a Link'. The 'Generate Officer Certif...' button is circled in red. A blue arrow points from this button to a confirmation dialog box titled 'Generate officer certificate confirmation'. The dialog box contains the following text: 'This will generate the Officer's Certificate. No updates should be made to Applicable Standards after the Officer's Certificate is generated and signed. You must go back to 'Initiate' stage to make modifications to the Self-certification. Do you want to continue?'. At the bottom of the dialog box, there are two buttons: 'Confirm' (circled in red) and 'Cancel'.



**Tip:** Only the officer can perform this step

# Self-Certification Process Officer Certificate and submission

## 3. Click on the certificate



**Tip:** Only the officer can perform this step





# Self-Certification Process

## Officer Certificate and submission

### 3. Review and sign the certificate

The screenshot shows the AESO Apps interface. The top navigation bar includes the AESO logo, a search bar, and several utility icons. The main content area displays the 'Officer Certificate - AESO TEST ACCOUNT TS - Saved' form. The 'REVIEW & SIGN' button is circled in red. A blue arrow points from this button to a dialog box titled 'Generate officer certificate confirmation'. The dialog box contains the following text: 'This will generate the Officer's Certificate. No updates should be made to Applicable Standards after the Officer's Certificate is generated and signed. You must go back to 'Initiate' stage to make modifications to the Self-certification. Do you want to continue?'. At the bottom of the dialog box, the 'Confirm' button is circled in red.



**Tip:** Only the officer can perform this step

# Self-Certification Process Officer Certificate and submission

## 4. Submit to the AESO using “Next Stage” in the workflow

The screenshot displays the AESO Self-Certification workflow. The progress bar indicates the current step is 'Authorizing Officer (1 Hrs)', which is highlighted in orange and has a red circle around it. A modal window is open over this step, showing 'Active for 1 hour' and a 'Next Stage' button circled in red. The main form contains the following information:

- Self Certification For: AESO TEST ACCOUNT TS
- Self-Certification Period Begin Date: 10/1/2020
- Self-Certification Period End Date: 9/30/2021
- Submission Deadline: 10/31/2021
- Late Submission: Yes

Below the form is a table for 'Officer Certificate' with the following data:

Name	Created On	Review & Sign Date
Officer Certificate - AESO TEST ACCOUNT TS	11/15/2021 10:14 PM	11/15/2021

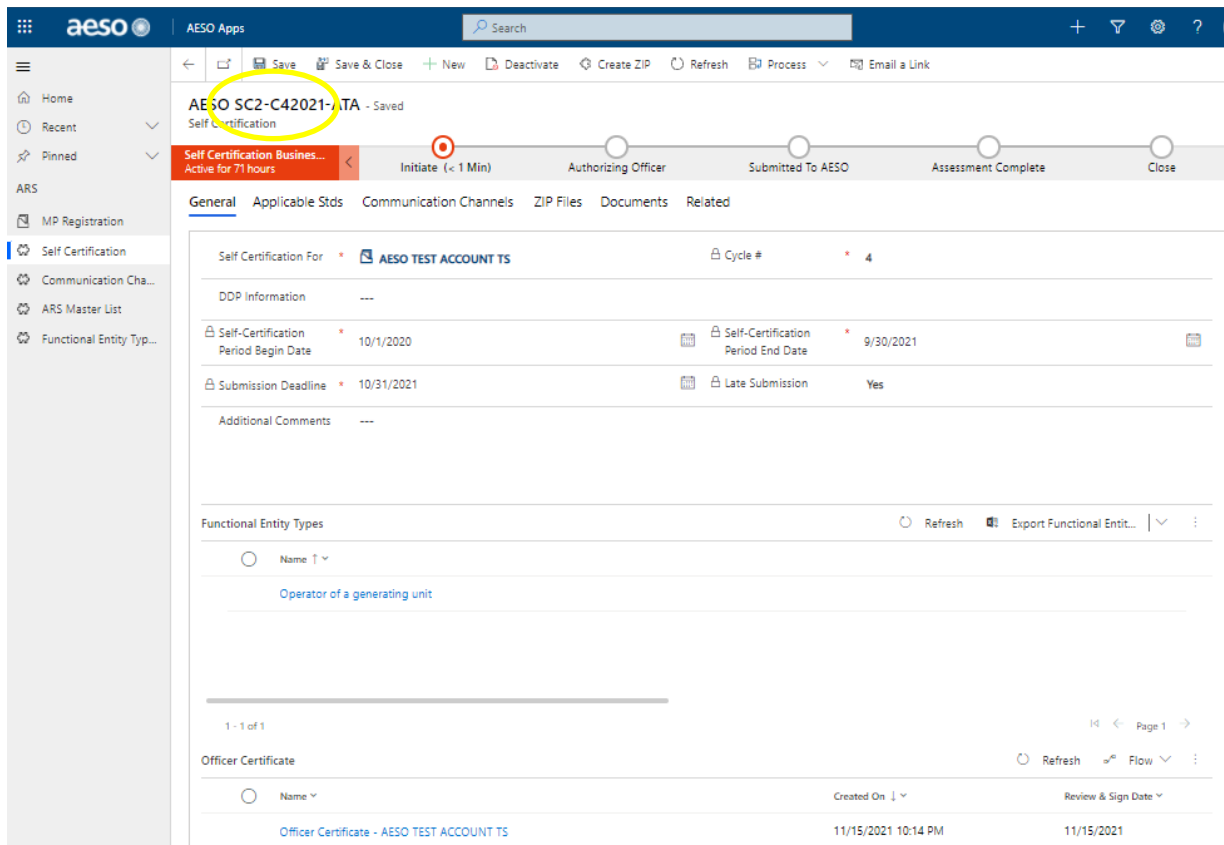


**Tip:** Only the officer can perform this step

# Self-Certification Process

## Re-submission to the AESO

1. If re-submission is required, please contact the AESO. The AESO will move the workflow back to initiate so that changes can be made



The screenshot displays the AESO Self-Certification process interface. The title bar indicates the current record is 'AESO SC2-C42021-ATA - Saved'. The workflow progress bar shows the following steps: Initiate (< 1 Min), Authorizing Officer, Submitted To AESO, Assessment Complete, and Close. The 'Initiate' step is currently active and highlighted with a red circle. The main content area shows details for 'AESO TEST ACCOUNT TS' with a cycle number of 4. It includes fields for 'Self-Certification Period Begin Date' (10/1/2020), 'Self-Certification Period End Date' (9/30/2021), 'Submission Deadline' (10/31/2021), and 'Late Submission' (Yes). Below this is a table for 'Functional Entity Types' with one entry: 'Operator of a generating unit'. At the bottom is a table for 'Officer Certificate' with one entry: 'Officer Certificate - AESO TEST ACCOUNT TS' created on 11/15/2021 at 10:14 PM, with a review and sign date of 11/15/2021.

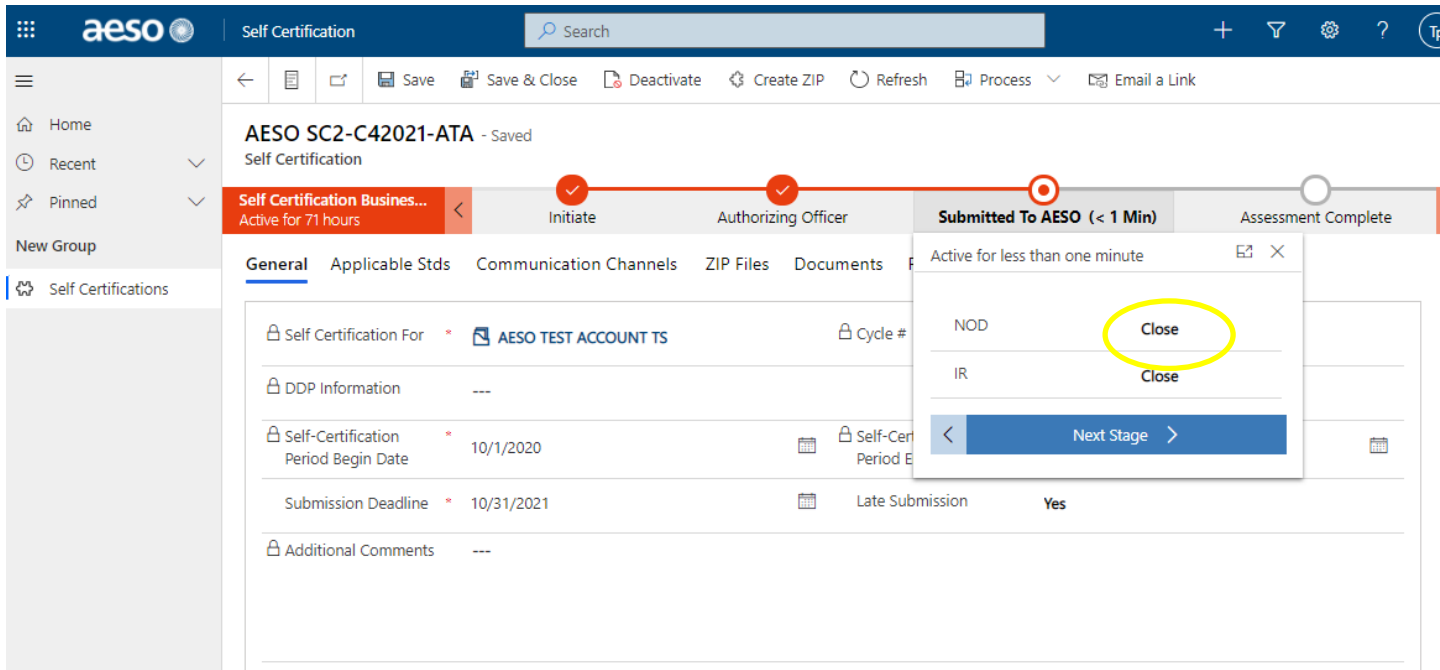


**Tip:** SC Number will increase by +1

# Self-Certification Process Milestones after submission

## 1. Administrative Assessment

- Using the communication channel, the AESO will notify if a deficiency is present in the submission and flag the NOD as “Open”. Re-submission may be required.



The screenshot displays the AESO Self-Certification process interface. The top navigation bar includes the AESO logo, a search bar, and utility icons. The main content area shows a progress bar with four stages: **Initiate** (Active for 71 hours), **Authorizing Officer**, **Submitted To AESO (< 1 Min)**, and **Assessment Complete**. A modal window is open over the **Submitted To AESO** stage, displaying a table with the following data:

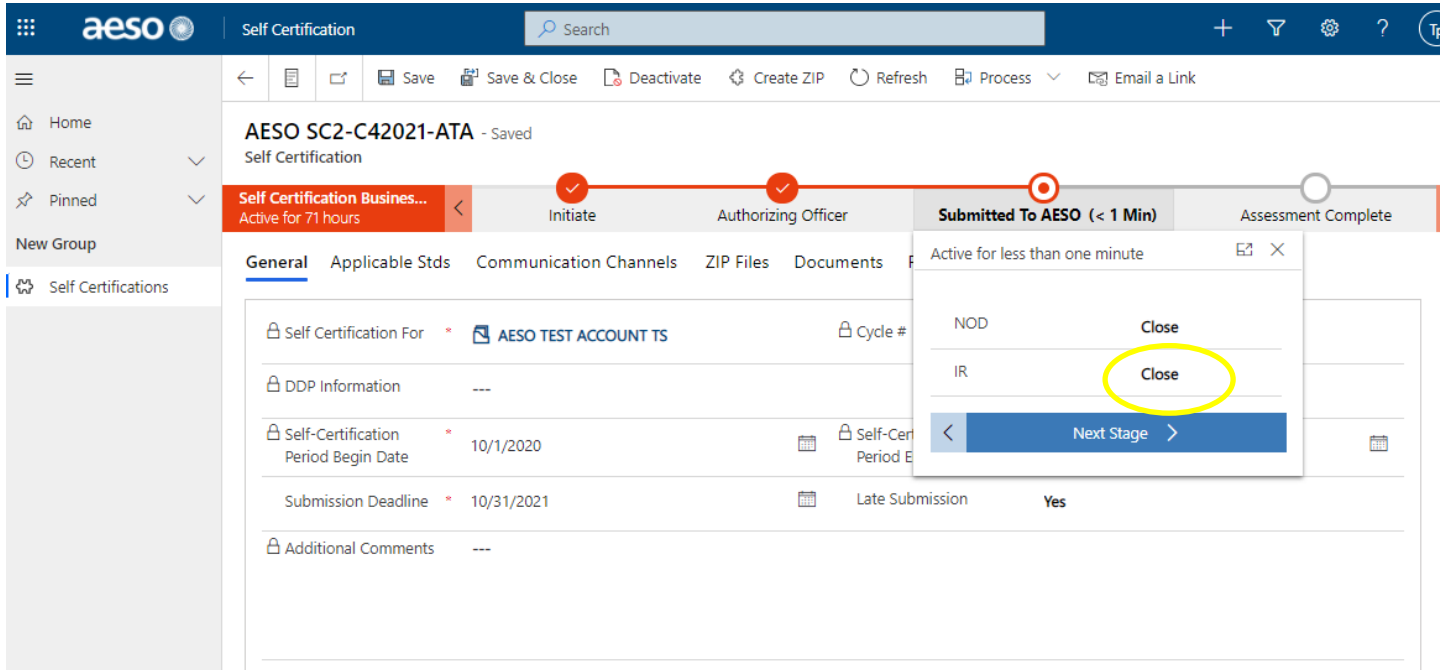
Item	Value	Action
NOD		Close
IR		Close

Below the table is a **Next Stage** button. The **Close** buttons in the modal are highlighted with a yellow circle.

# Self-Certification Process Milestones after submission

## 2. Technical Assessment

- Using the communication channel, the AESO will notify if more information is required and flag the IR as “Open”.



The screenshot displays the AESO Self-Certification process interface. The top navigation bar includes the AESO logo, a search bar, and utility icons. The main content area shows a progress bar with four stages: **Initiate** (Active for 71 hours), **Authorizing Officer**, **Submitted To AESO (< 1 Min)**, and **Assessment Complete**. A modal window is open over the **Submitted To AESO** stage, displaying a list of items with **Close** buttons. The **Close** button for the **IR** item is circled in yellow. The modal also includes a **Next Stage** button and a **Close** button for the modal itself.

Item	Action
NOD	Close
IR	Close

# Self-Certification Process

## Milestones after submission

### 3. Results of the Assessment

- Using the communication channel, the AESO will notify if a MSA referral is made.
- Using the communication channel, the AESO may send a Technical Assessment Letter(TAL), in the case where compliance will still be monitored regardless of the self-assessment.

The screenshot displays the AESO Self-Certification interface. The top navigation bar includes the AESO logo, a search bar, and various utility icons. The main content area shows a progress bar with four milestones: 'Initiate', 'Authorizing Officer', 'Submitted To AESO', and 'Assessment Complete (< 1 Min)'. The 'Assessment Complete' milestone is currently active, indicated by a red circle and a checkmark. Below the progress bar, there are tabs for 'General', 'Applicable Stds', 'Communication Channels', 'ZIP Files', 'Documents', and 'Related'. The 'General' tab is selected, showing details for 'AESO SC2-C42021-ATA - Saved Self Certification'. The details include 'Self Certification For' (AESO TEST ACCOUNT TS), 'Cycle #', 'DDP Information', 'Self-Certification Period Begin Date' (10/1/2020), 'Self-Certification Period End Date', 'Submission Deadline' (10/31/2021), and 'Late Submission'. A pop-up window titled 'Active for less than one minute' is overlaid on the right side, showing 'MSA' and 'Technical Assessment Letter' both set to 'No'. A yellow circle highlights the 'No' responses. A 'Next Stage' button is visible at the bottom of the pop-up.

# Self-Certification Process

## Milestones after submission

### 4. Closure

- Once the self-certification is marked as closed, the assessment is complete, and all parties should download the information on their internal drives.

The screenshot shows the AESO Self-Certification portal interface. The top navigation bar includes the AESO logo, a search bar, and utility icons. The main content area displays a progress bar for the self-certification process, with stages: Initiate, Authorizing Officer, Submitted To AESO, Assessment Complete, and Close (< 1 Min). A tooltip for the 'Close' stage shows a 'Finish' button. Below the progress bar, the 'General' tab is active, showing details for 'AESO SC2-C42021-ATA'. The details include: Self-Certification For: AESO TEST ACCOUNT TS, Cycle #: 4, DDP Information: ---, Self-Certification Period Begin Date: 10/1/2020, Self-Certification Period End Date: 9/30/2021, Submission Deadline: 10/31/2021, Late Submission: Yes, Additional Comments: ---, and Internal Comments: ---. At the bottom, there is a section for Functional Entity Types with a search bar and a 'Refresh' button.

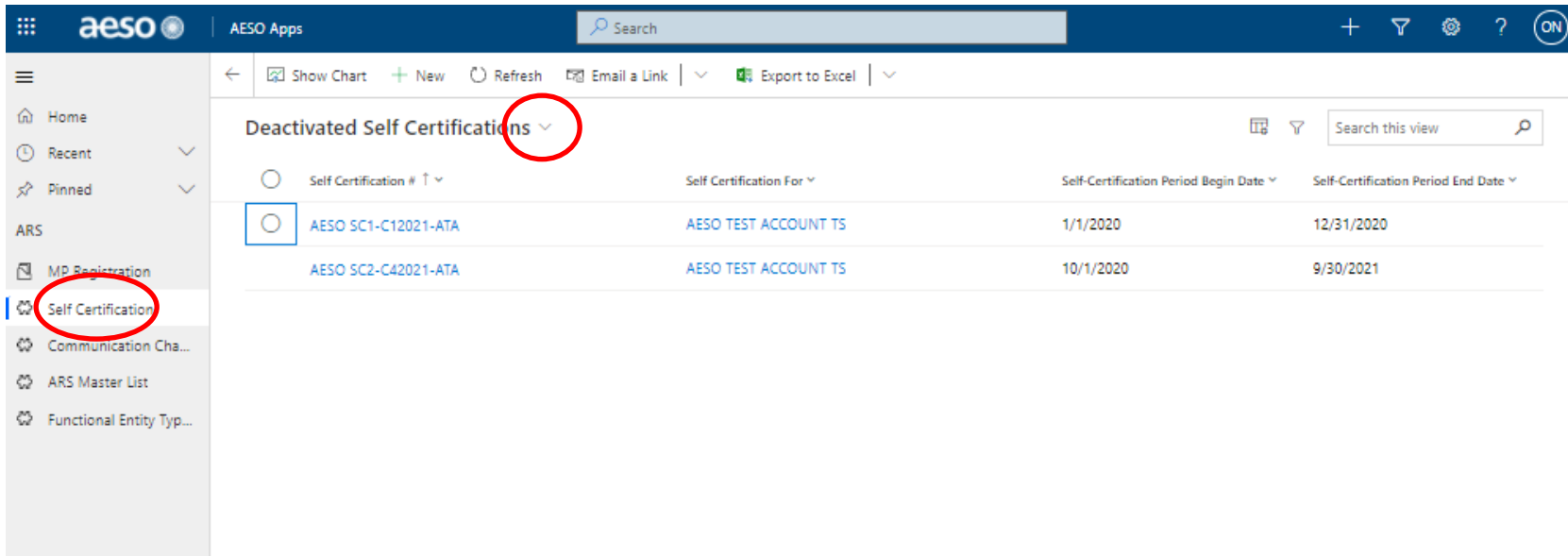


**Tip:** You will have 60 days once the submission is closed to download from the Portal

# Self-Certification Process

## Saving Information on Local Drives

### 1. Change the view to de-activated self-certifications



The screenshot shows the AESO Apps interface. The left sidebar contains a navigation menu with 'Self Certification' highlighted and circled in red. The main content area displays a table titled 'Deactivated Self Certifications', which is also circled in red. The table has four columns: 'Self Certification #', 'Self Certification For', 'Self-Certification Period Begin Date', and 'Self-Certification Period End Date'. Two records are listed:

Self Certification #	Self Certification For	Self-Certification Period Begin Date	Self-Certification Period End Date
AESO SC1-C12021-ATA	AESO TEST ACCOUNT TS	1/1/2020	12/31/2020
AESO SC2-C42021-ATA	AESO TEST ACCOUNT TS	10/1/2020	9/30/2021



**Tip:** You can create a ZIP file at any point during the self-certification process



# Self-Certification Process

## Saving Information on Local Drives

### 2. Click the “Zip files” tab

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

AESO SC2-C42021-ATA - Saved  
Self Certification

Self Certification Business...  
Completed in 71 hours

Initiate Authorizing Officer Submitted To AESO Assessment Complete Close

General Applicable Stds Communication Channels **ZIP Files** Documents Related

Self Certification For \* AESO TEST ACCOUNT TS Cycle # \* 4

DDP Information ---

Self-Certification \* 10/1/2020 Self-Certification \* 9/30/2021  
Period Begin Date Period End Date

Submission Deadline \* 10/31/2021 Late Submission Yes

Additional Comments ---

Functional Entity Types Refresh Export Functional Entit... | v | :

Name ↑ v

Operator of a generating unit

1 - 1 of 1 Page 1

Officer Certificate Refresh Flow v | :

Name v	Created On ↓ v	Review & Sign Date v
Officer Certificate - AESO TEST ACCOUNT TS	11/15/2021 10:29 PM	11/15/2021
Officer Certificate - AESO TEST ACCOUNT TS	11/15/2021 10:14 PM	11/15/2021

# Self-Certification Process

## Saving Information on Local Drives

### 2. Click “Create ZIP”

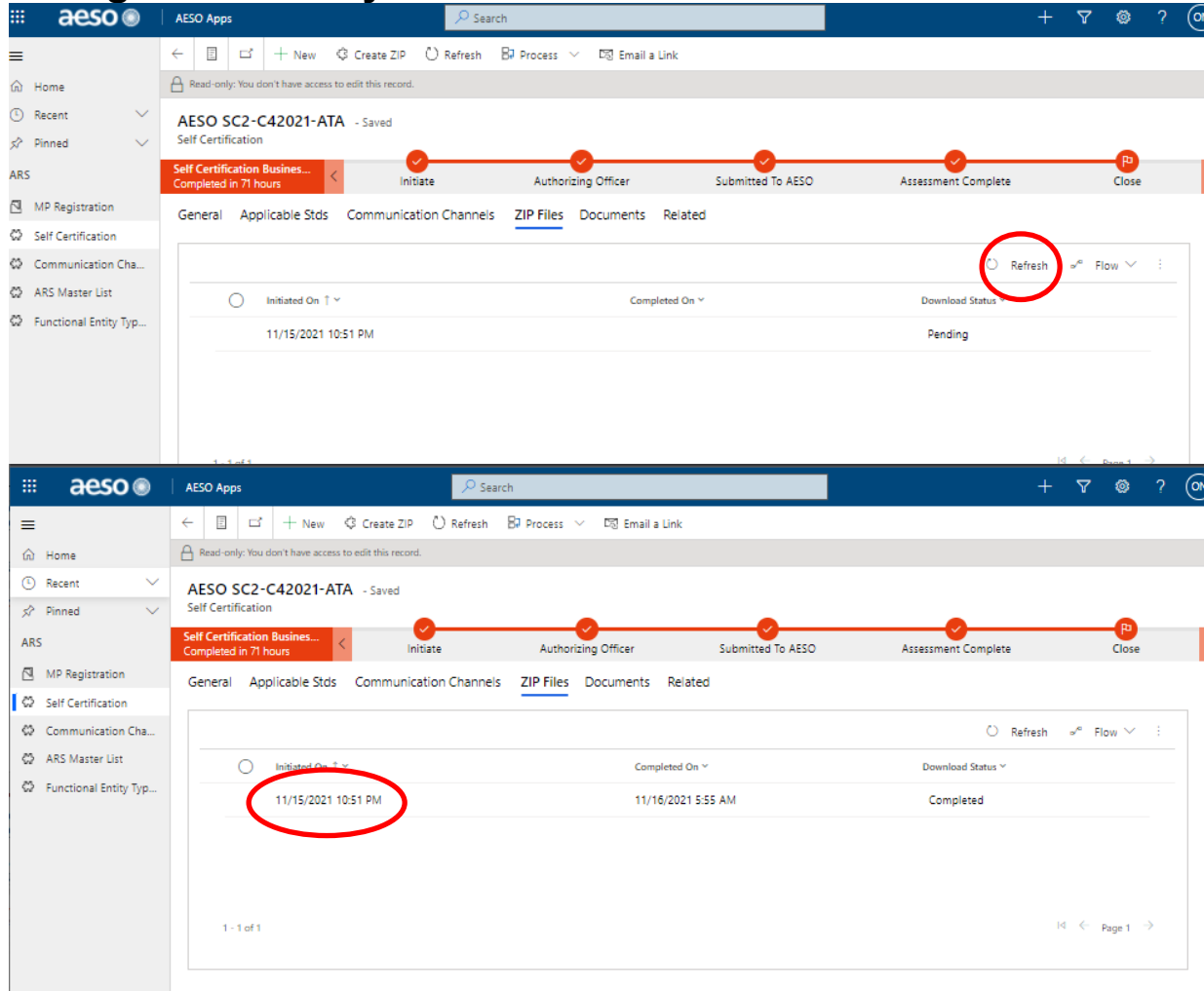
The screenshot displays the AESO Apps interface for a self-certification process. The top navigation bar includes the AESO logo, a search bar, and utility icons. The main content area shows a progress bar for 'AESO SC2-C42021-ATA - Saved Self Certification'. The progress bar has five steps: 'Initiate', 'Authorizing Officer', 'Submitted To AESO', 'Assessment Complete', and 'Close'. The 'Initiate' step is highlighted in orange and marked as 'Completed in 71 hours'. Below the progress bar, there are tabs for 'General', 'Applicable Stds', 'Communication Channels', 'ZIP Files', 'Documents', and 'Related'. The 'ZIP Files' tab is selected. A table with columns 'Initiated On', 'Completed On', and 'Download Status' is shown, but it contains 'No data available'. A red circle highlights the 'Create ZIP' button in the top toolbar. A blue arrow points from this button to a dialog box titled 'Self Certification ZIP Download'. The dialog box contains the following text: 'You are about to create a ZIP file of all the SC related data and documents which will be placed in the ZIP File tab. This process will take a few minutes to complete. You will be notified when the ZIP file is available for download. Do you wish to continue?'. At the bottom of the dialog box, there are two buttons: 'Yes' and 'No'. The 'Yes' button is circled in red.

# Self-Certification Process

## Saving Information on Local Drives

### 3. Double click on date/time once complete

- Pending status - may take 3-5 minutes and need to hit refresh



The screenshots illustrate the self-certification process in the AESO system. The top screenshot shows a record in a 'Pending' state, with a 'Refresh' button circled in red. The bottom screenshot shows the same record after completion, with the date '11/15/2021 10:51 PM' circled in red and the status updated to 'Completed'.

Initiated On	Completed On	Download Status
11/15/2021 10:51 PM		Pending
11/15/2021 10:51 PM	11/16/2021 5:55 AM	Completed

# Self-Certification Process

## Saving Information on Local Drives

### 4. Download ZIP by clicking on the file path

The screenshot displays the AESO Apps interface. The top navigation bar includes the AESO logo, 'AESO Apps', a search bar, and utility icons. A left sidebar lists navigation options: Home, Recent, Pinned, ARS, MP Registration, Self Certification, Communication Cha..., ARS Master List, and Functional Entity Typ... The main content area shows a 'New Zip File - Saved' record with a 'Read-only: You don't have access to edit this record.' warning. The record details are as follows:

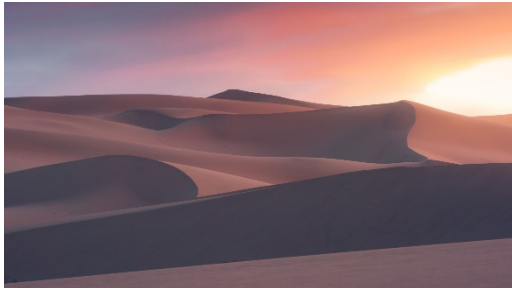
Regarding Entity	* AESO SC2-C42021-ATA
Initiated On	11/15/2021 10:51 PM
Initiated By	* Officer Name Test
Completed On	11/16/2021 5:55 AM
Download Status	Completed

Below the record details is a 'Documents' table with columns for Name, Path, Modified, Modified by, and Created On SharePoint. The first row in the table is circled in red:

✓	Name	Path	Modified	Modified by	Created On SharePoint
	AESO SC2-C42021-ATA_11152021_1535443.zip_AA609R...	86646EC118C6...	11/15/2021 10:55 ...	SVC-Azure_D365...	11/15/2021 10:55 PM

The AESO will be offering two environments for 2022  
Refer to page #52 of the ARS Compliance Portal User Guide

1. INTEG – “sandbox”, market participants can test the tool, not required



<https://aeso-portal-integ.powerappsportals.com/>

2. PROD – formal submissions should occur in this environment



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

# DEMO – Self-Certification



- **Twitter:** @theAESO
- **Email:** [info@aeso.ca](mailto:info@aeso.ca)
- **Website:** [www.aeso.ca](http://www.aeso.ca)
- Subscribe to our stakeholder newsletter

**Thank you**