ARS Compliance Portal Training Session

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Senior Engineer, ARS Compliance Monitoring

Purpose

- 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

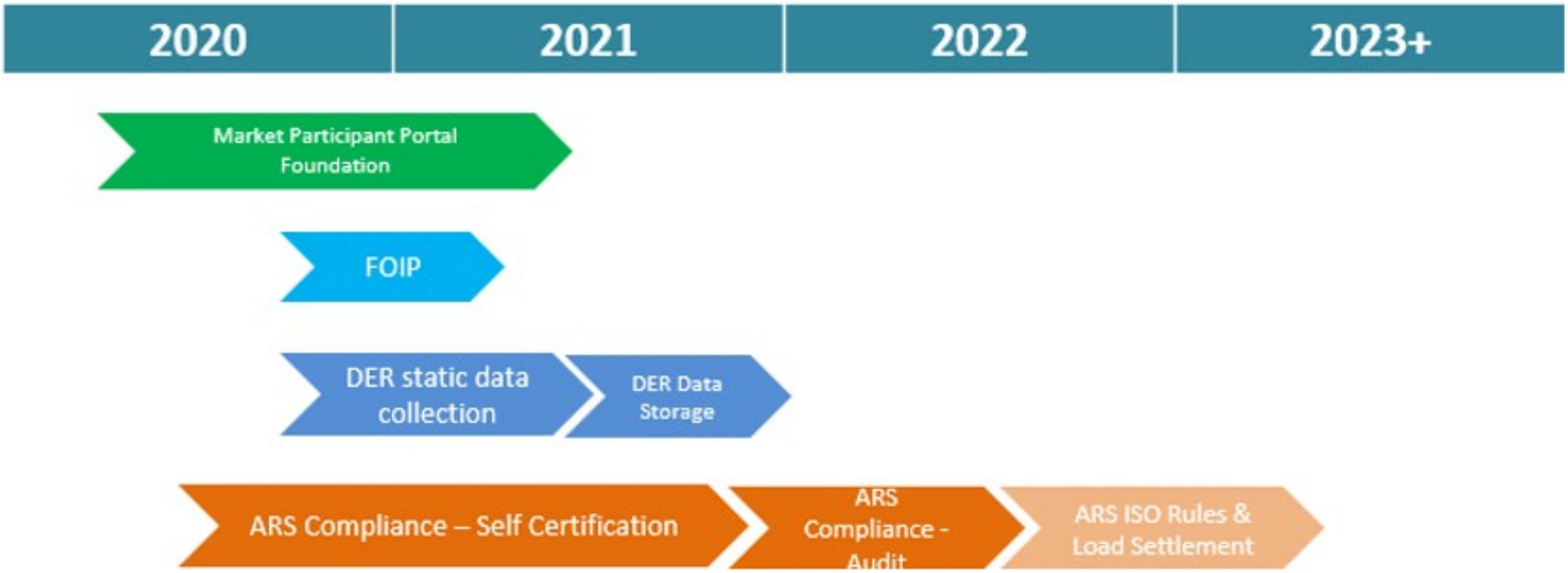
The purpose of the sessions is to review training documentation related to the ARS Compliance Portal and demonstrate the use of the ARS Compliance Portal during self-certification. The training session material and content will be the same for both sessions.

Agenda

- 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

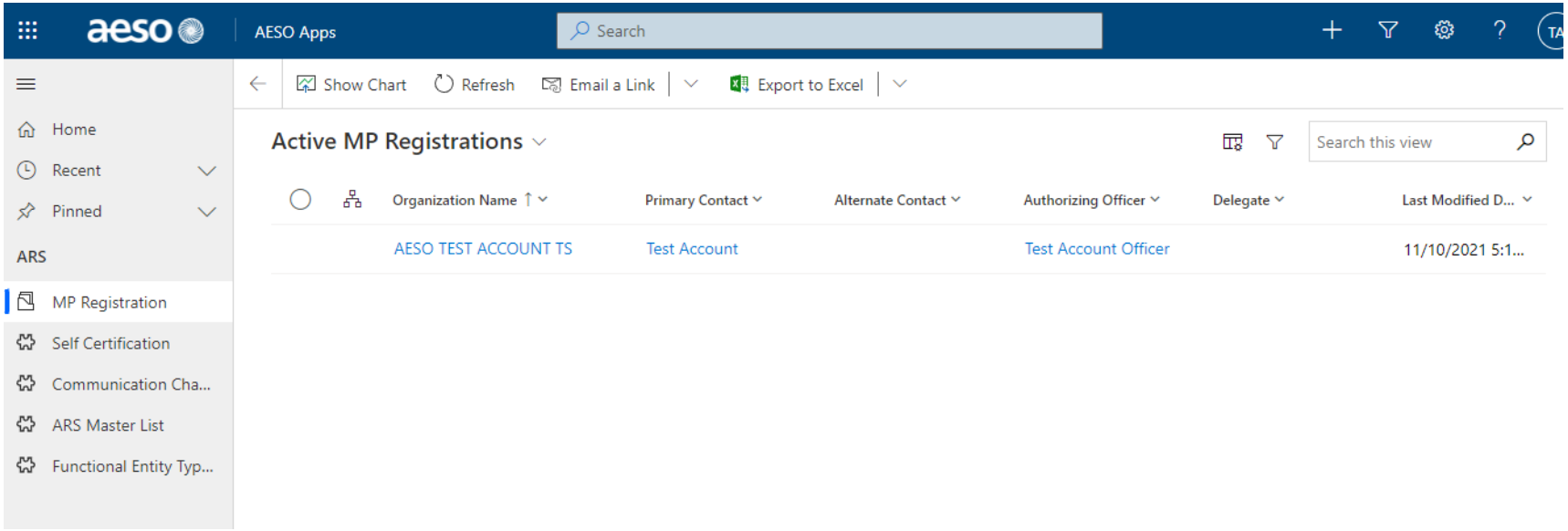
Compliance Portal Overview

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



Compliance Portal Overview

- Web-based application



Legend for Slides

- Click-on
- Important Information

Sign-Up

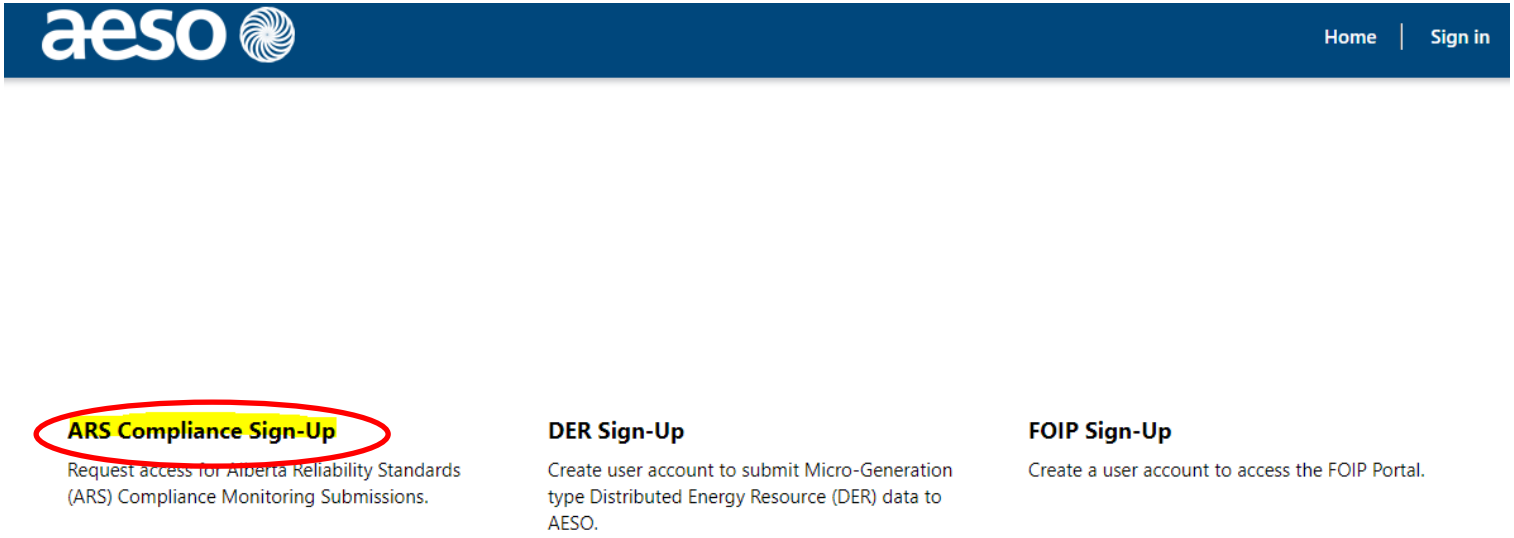
- Access is based on the ARS compliance registration form
- Primary, alternate and officer will need to sign-up for Portal
- Roll-out will be based on self-certification cycle number
- Completion of sign-up should occur prior to the self-certification submission window start date

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

Sign-Up Process

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

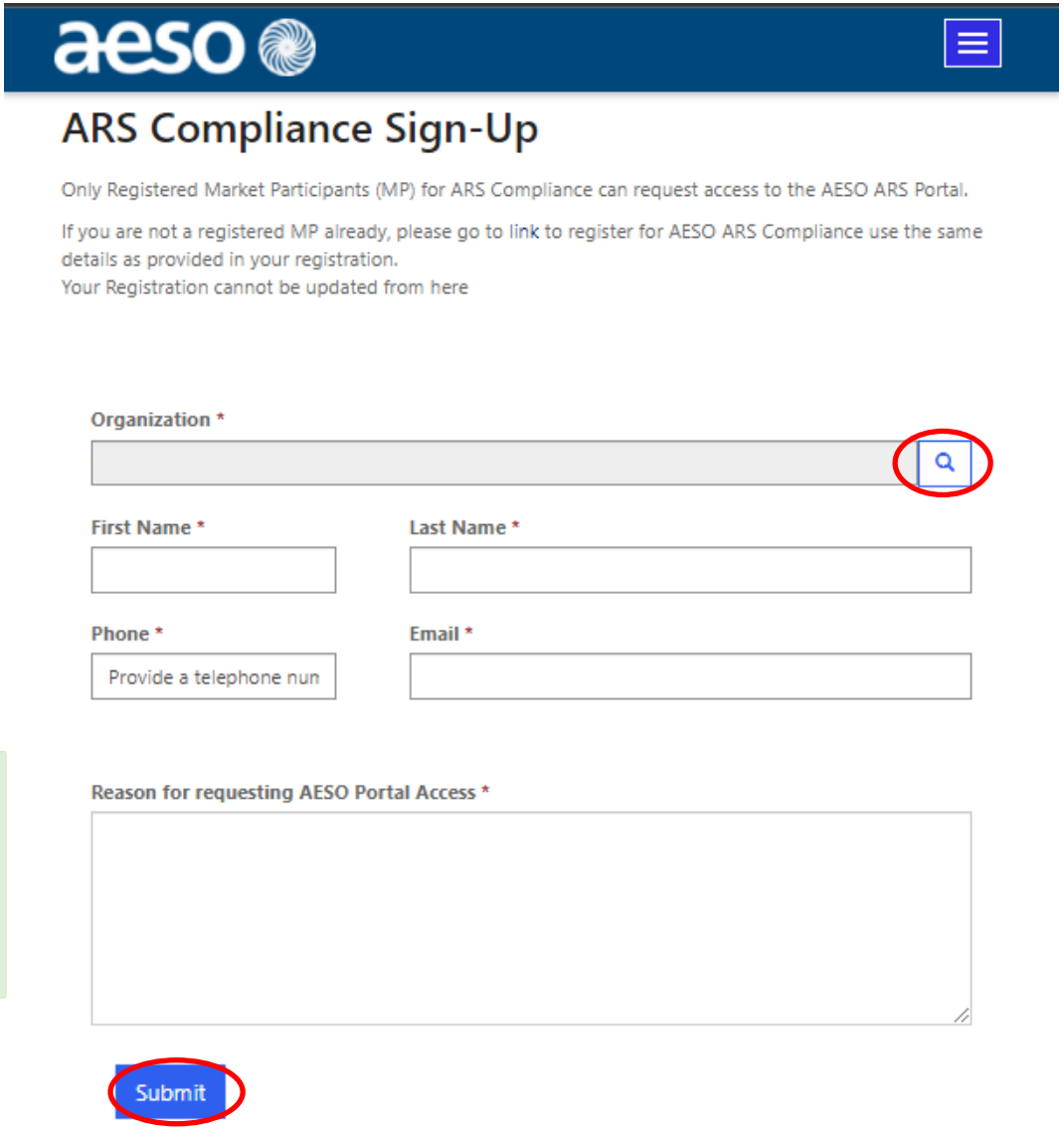
- Sent via email with the self-certification notification (60-days in advance of submission window)
- Exception - Cycle 1, 2022 will receive this link in December



Sign-Up Process

2. Request Access

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



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: X

- 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

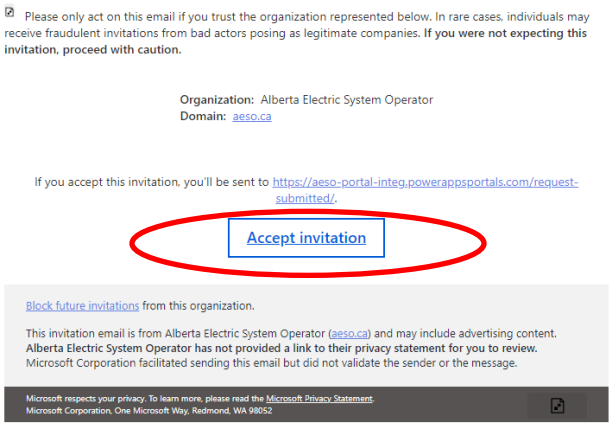
3. Receive email invitation and accept

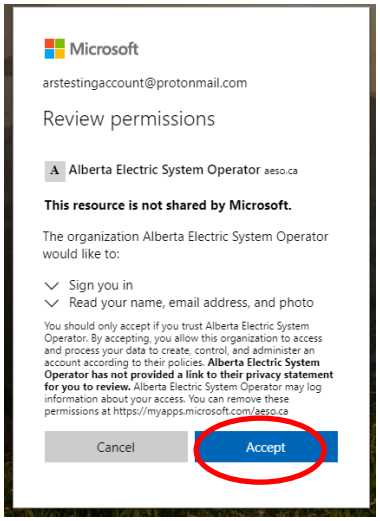
- May take between 1 – 3 days to receive email invitation (subject to AESO approval)

- 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”





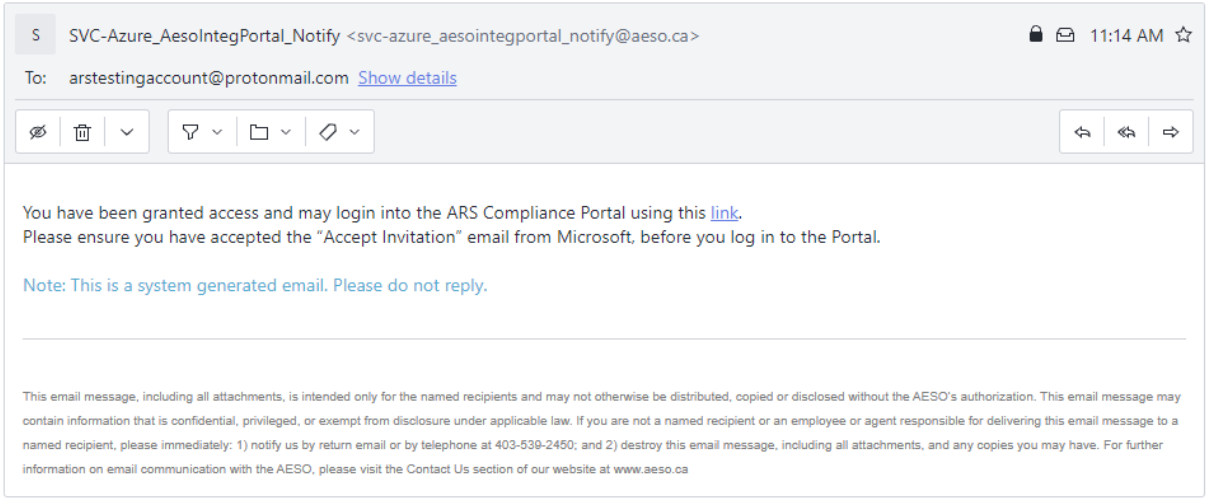
Sign-Up Process

3. Receive email confirmation

- May take between 30 – 60 minutes to receive email confirmation

- Will come from the following email addresses:
  - svc-azure_aesoportal_notify@aeso.ca
  - 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

- 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)

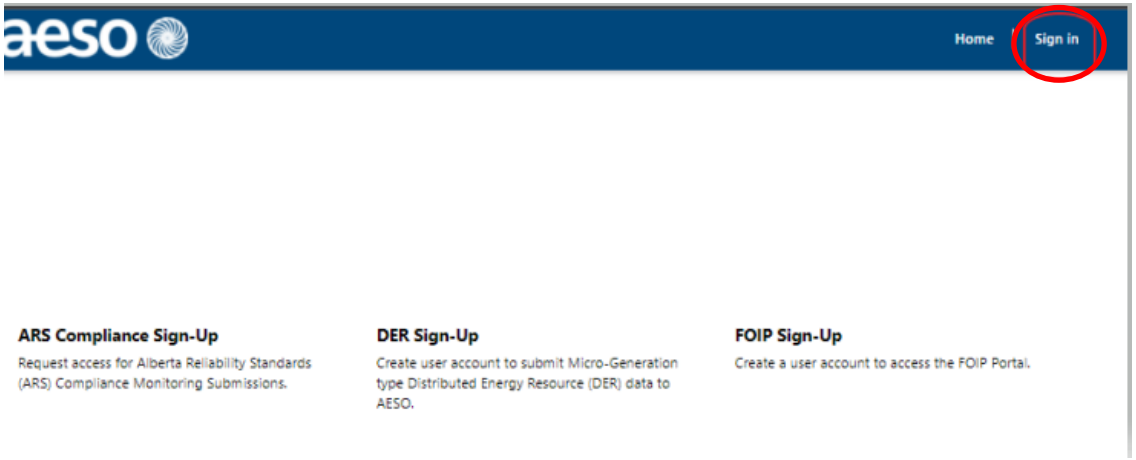
Refer to page #10-11 of the ARS Compliance Portal User Guide

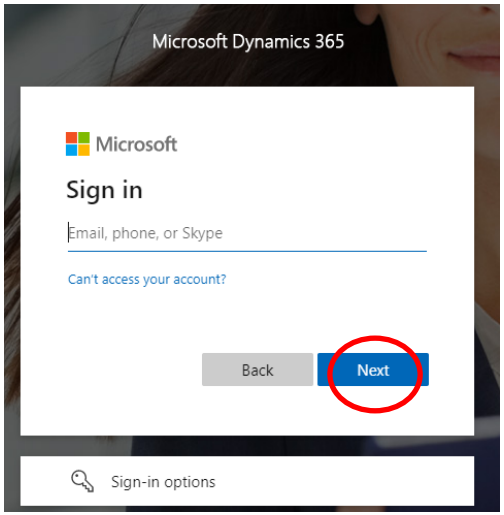
Sign-In Process

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)





Sign-Up and Sign-In Q&A

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

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

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. 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.

Sign-Up and Sign-In Q&A

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.).

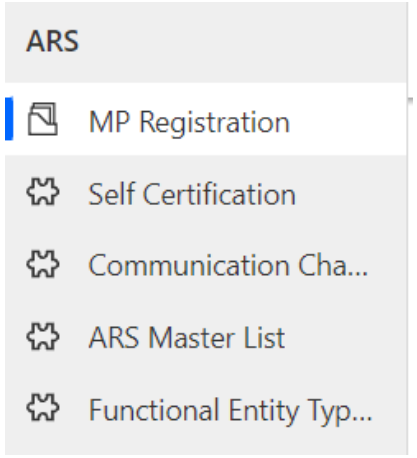
Can I access the Portal if I don't have a Microsoft account associated with my email?

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

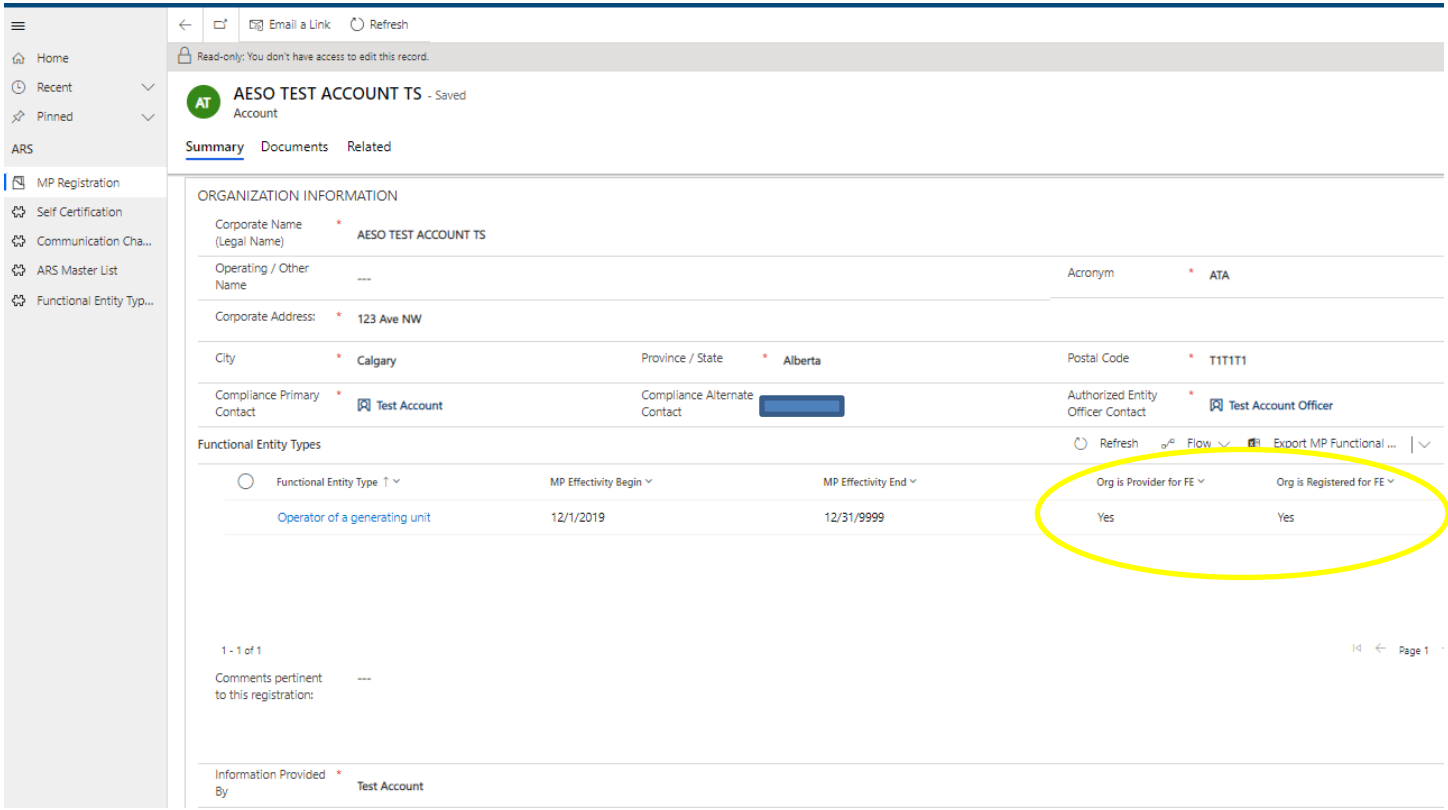


Registration Process

1. **Submit registration form to rscompliance@aeso.ca**

- No change to registration process

- You will be able to view your most recent registration details in the Portal

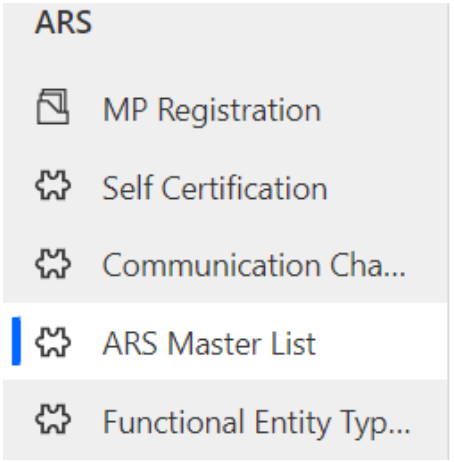


DDP Info

ARS Master List

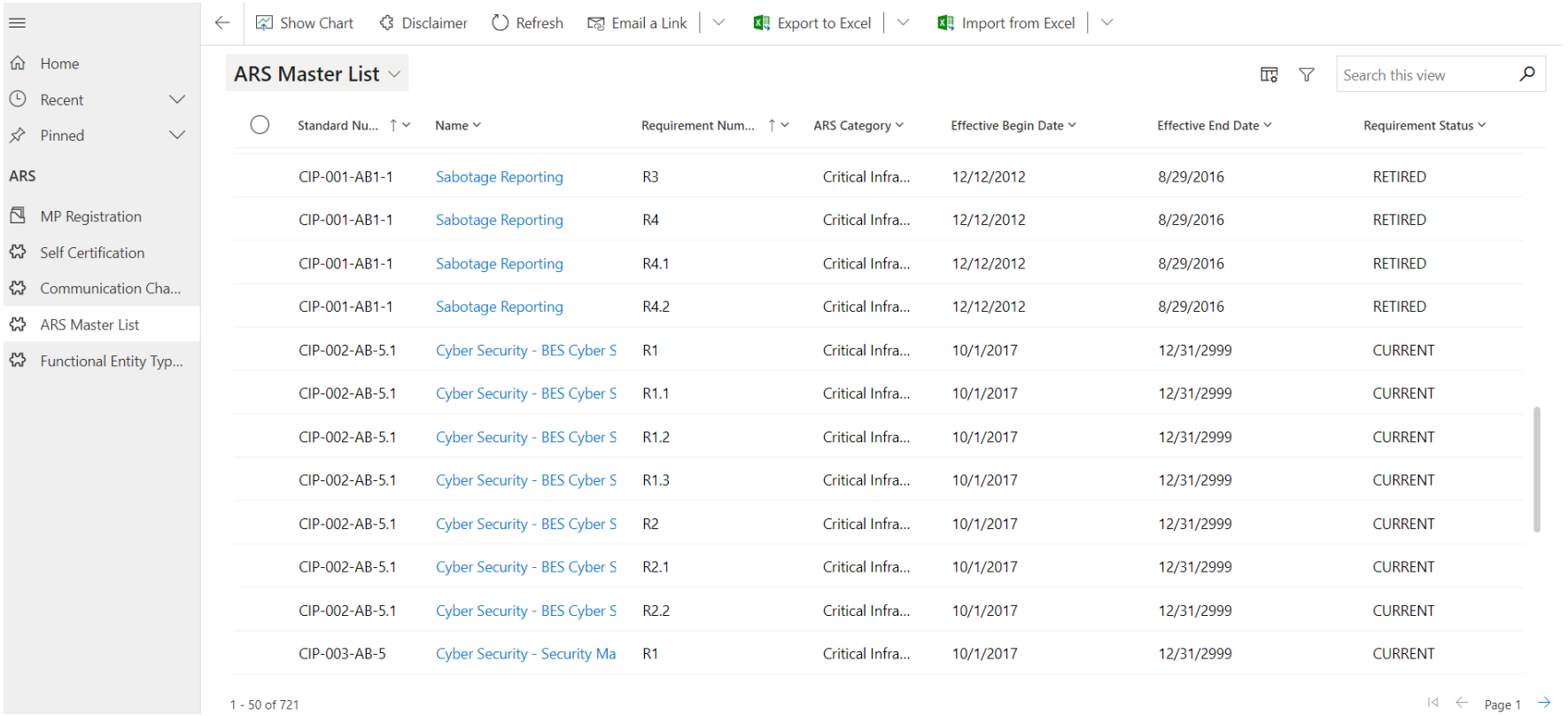
- The complete list of Alberta Reliability Standards
- Contains standard number, name, requirements, effective dates, and whether it is future, current or retired.
- List is searchable on Portal and exportable to excel

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



ARS Master List Process

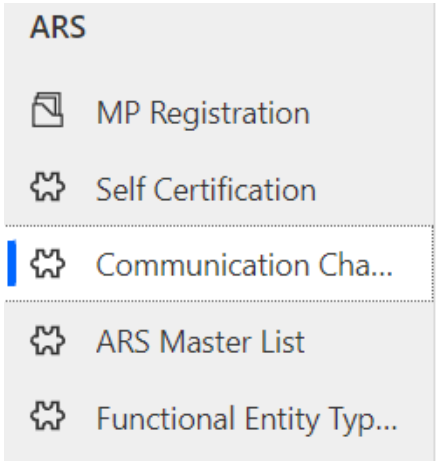
1. List to be used for information purposes



Communication Channels

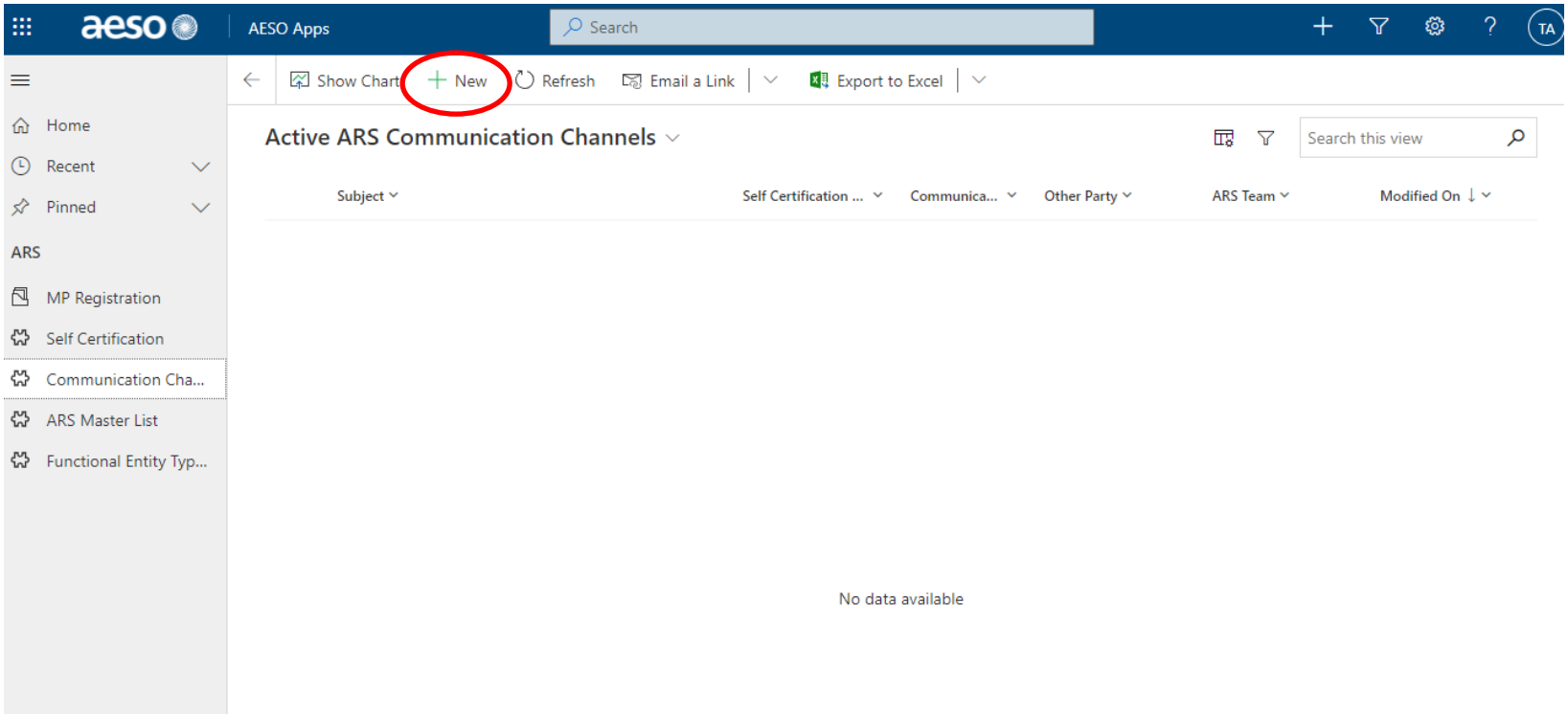
- Mechanism to exchange messages and attachments (replacing email)
- Linked to the related compliance monitoring processes
- From the AESO are sent to primary contact, unless otherwise specified
- To the AESO can be sent from primary, alternate or officer

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



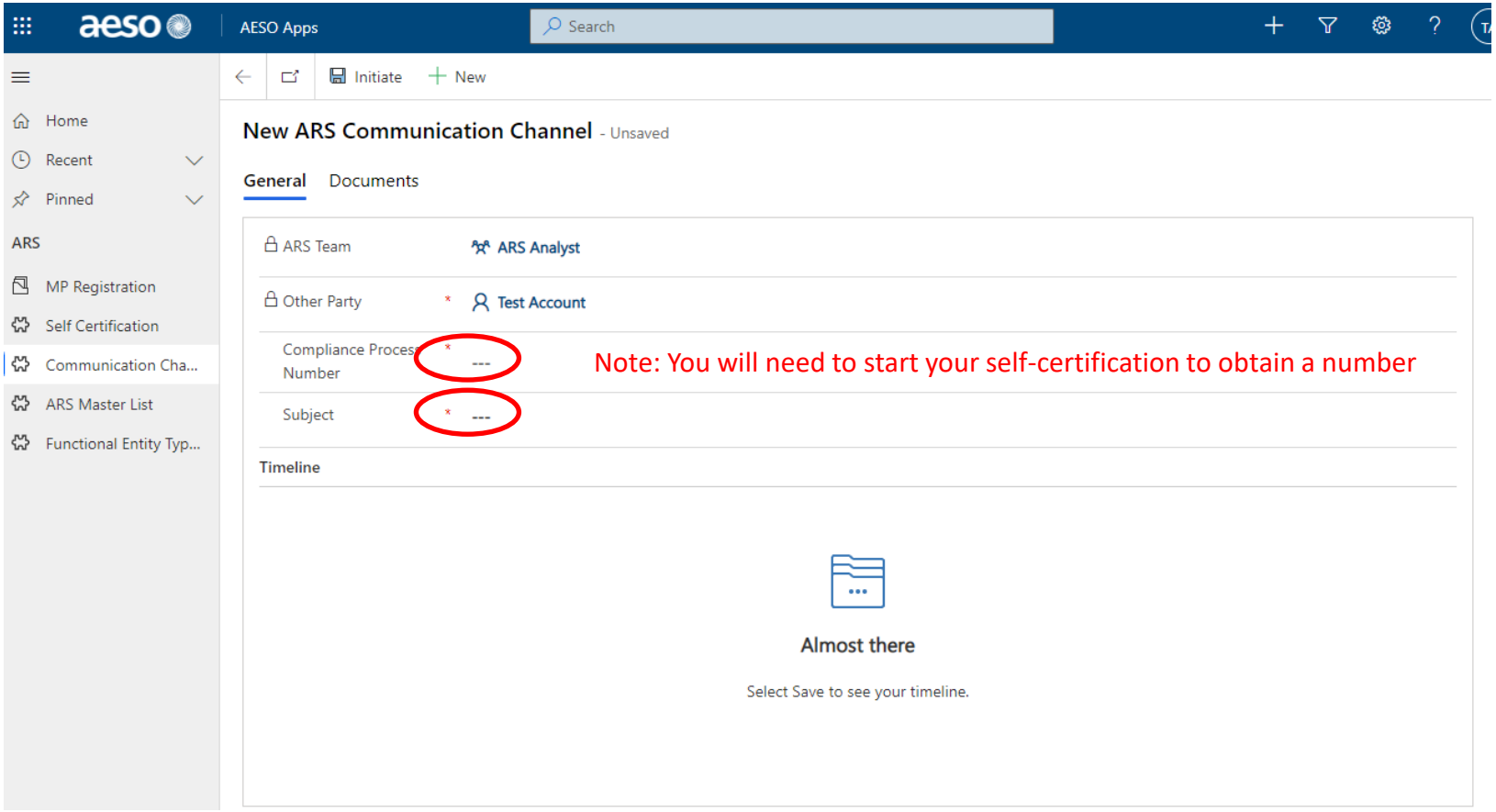
Communication Channels Process

1. Create a new communication channel



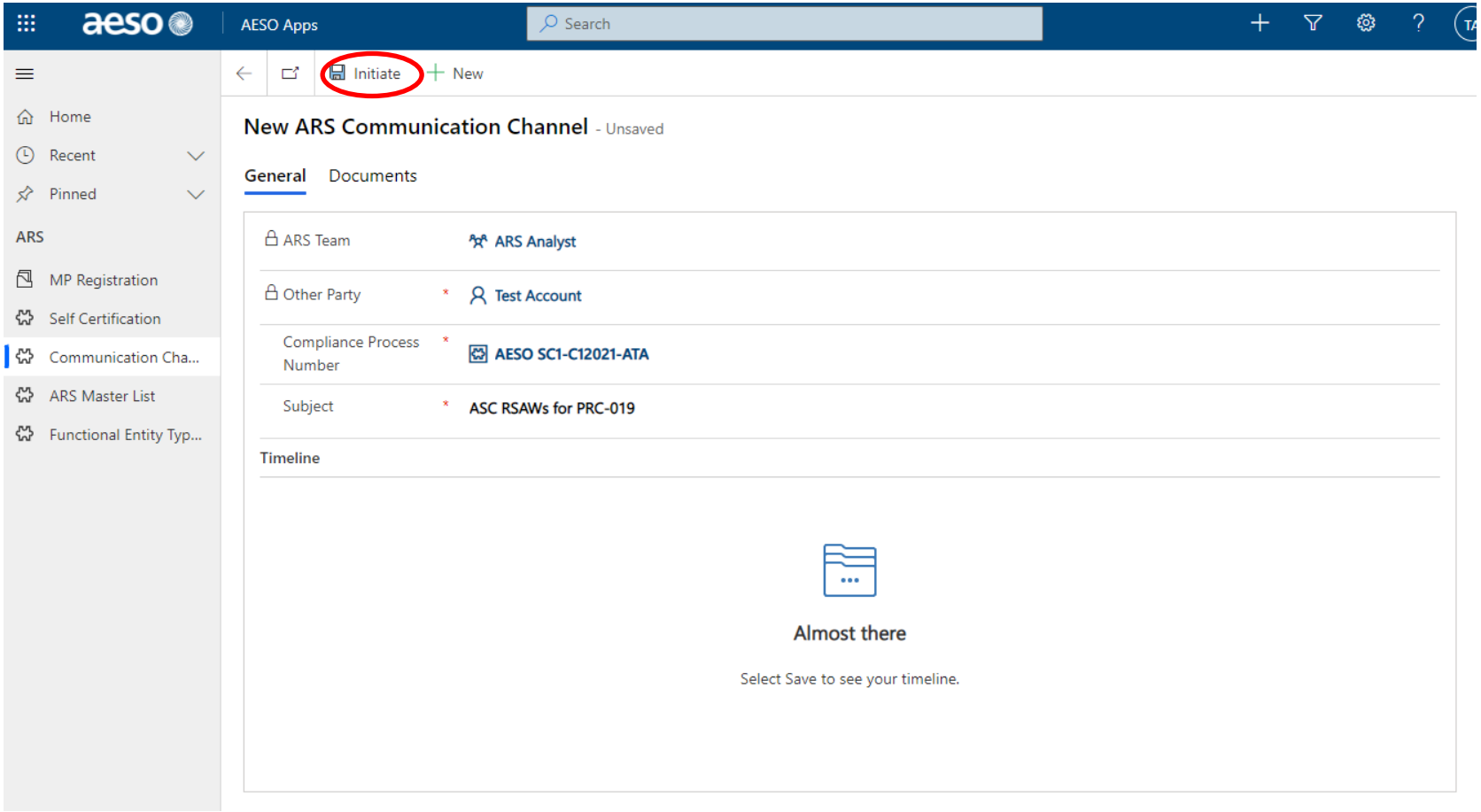
Communication Channels Process

2. Fill information - compliance process number and subject



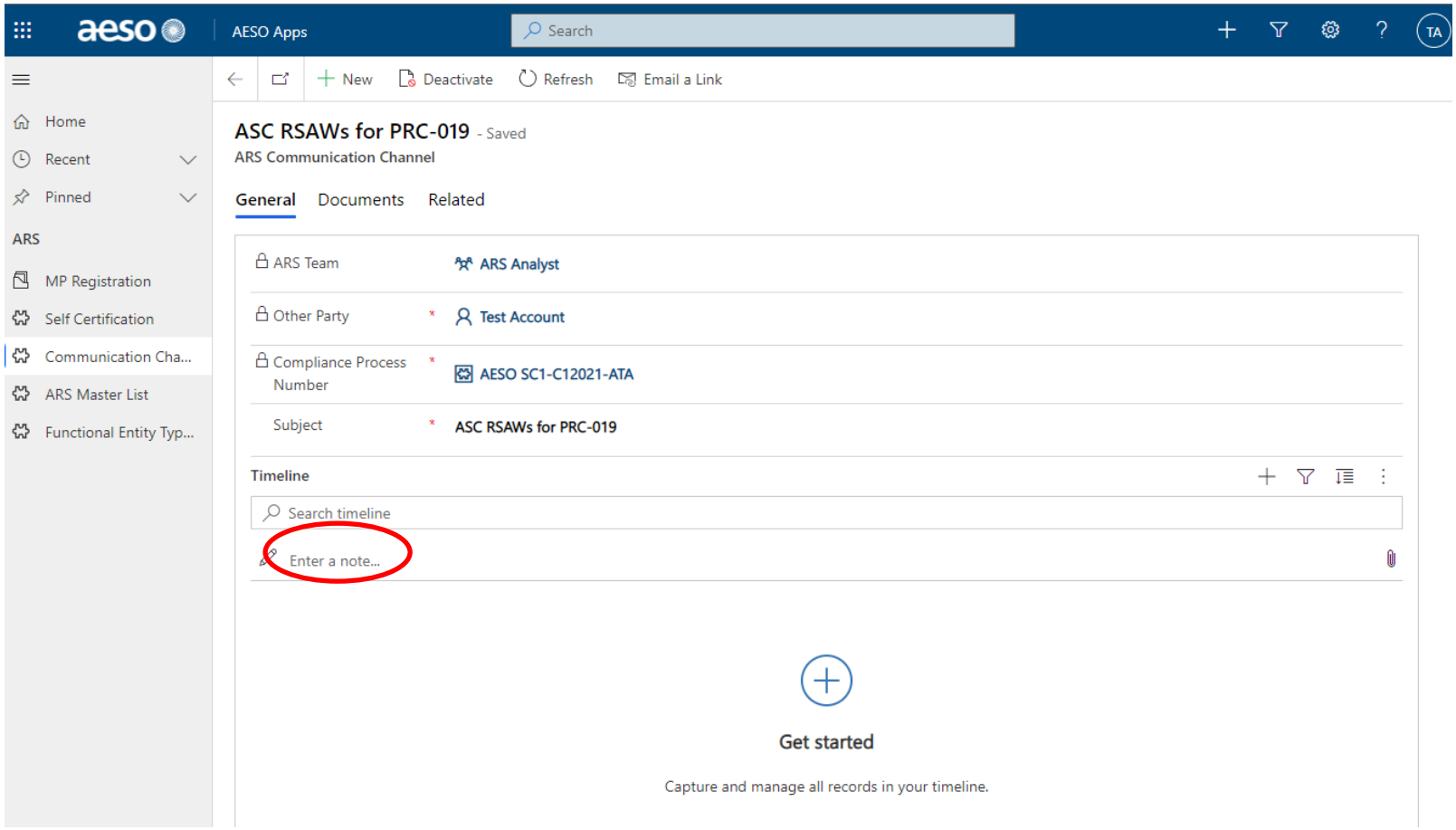
Communication Channels Process

3. Initiate the channel



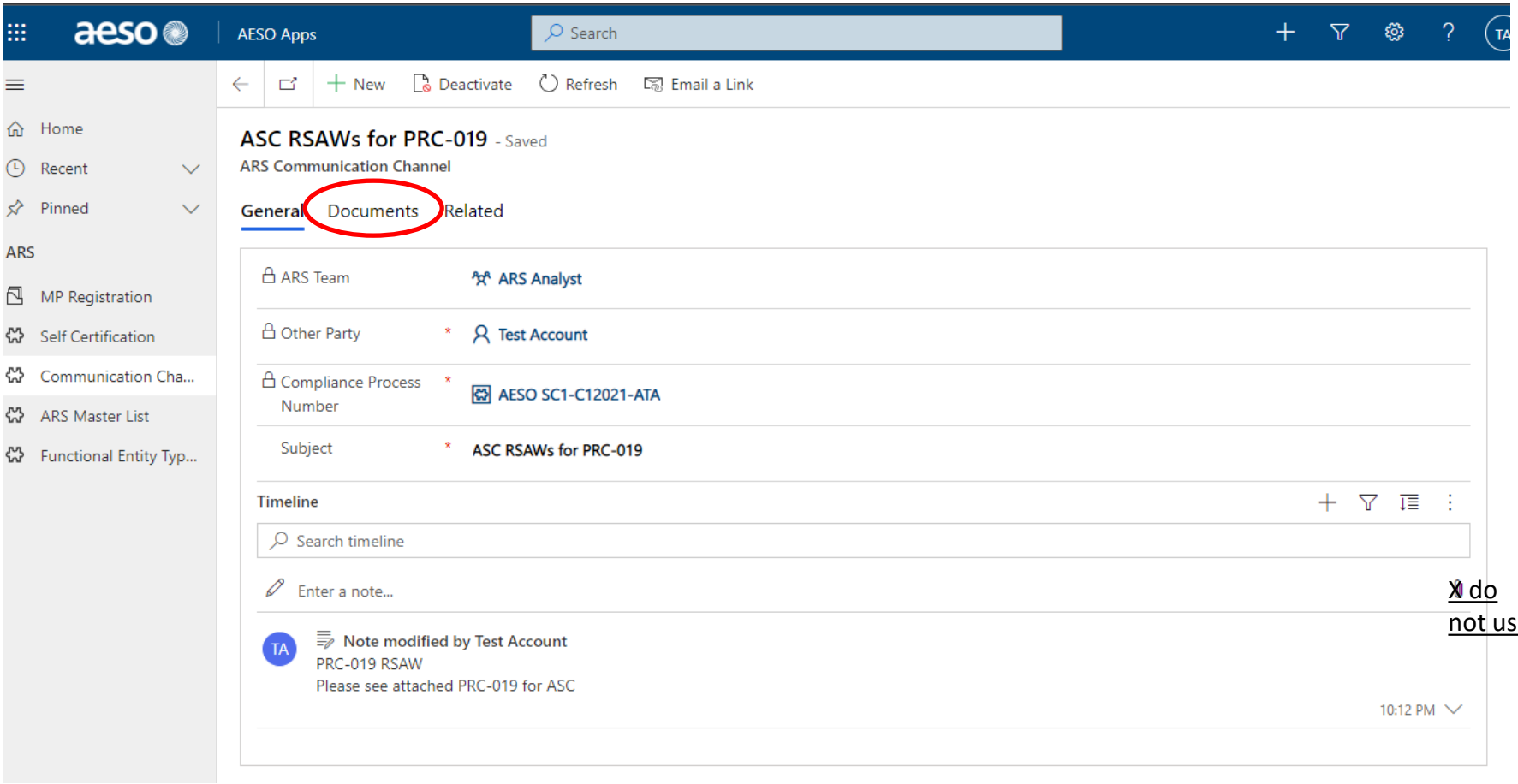
Communication Channels Process

4. Enter message (note)



Communication Channels Process

5. Attach documents in “Documents” tab

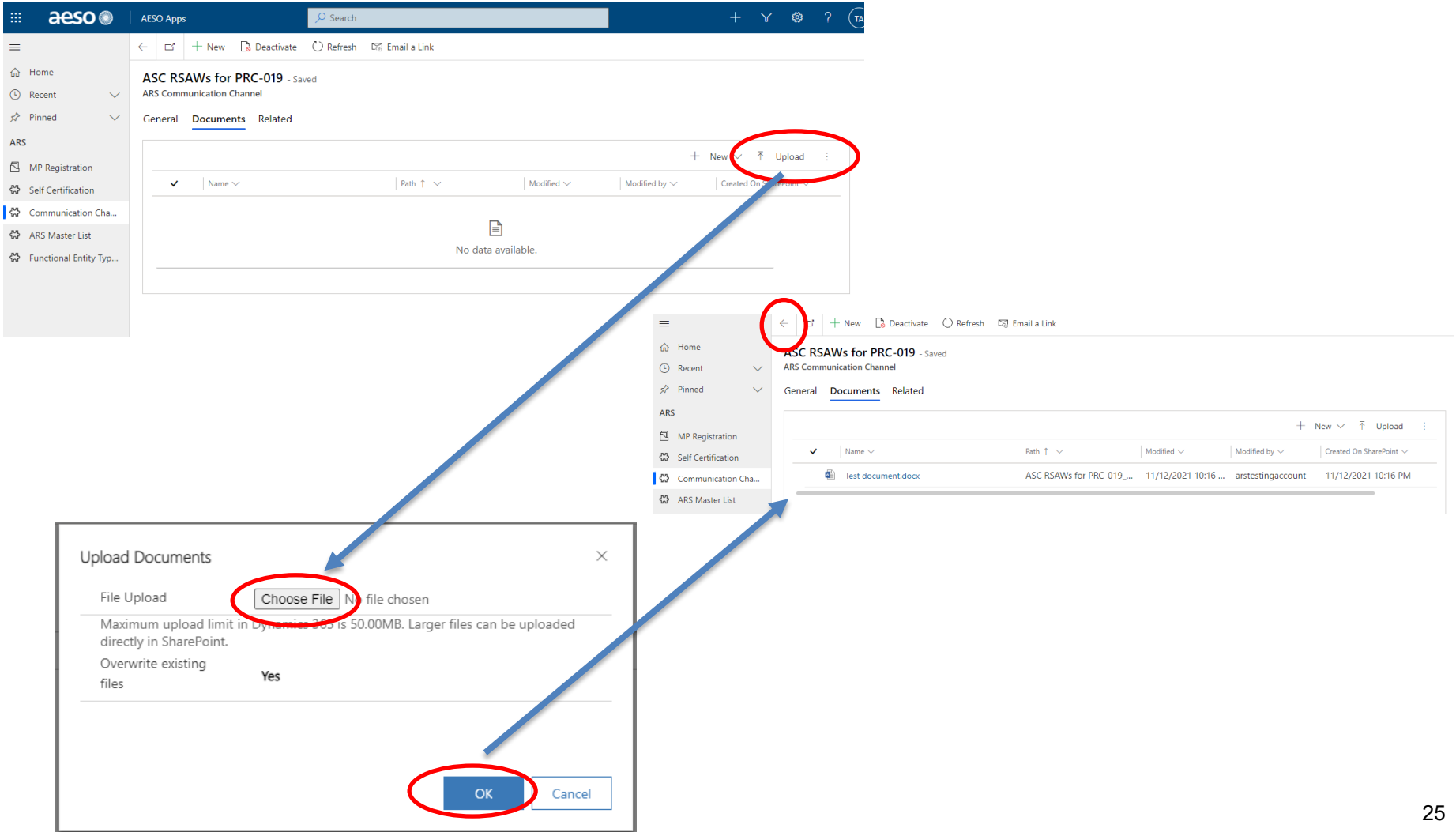


~~X~~ do not use

Tip: Do not attach using the paperclip near the note

Communication Channels Process

6. Upload file

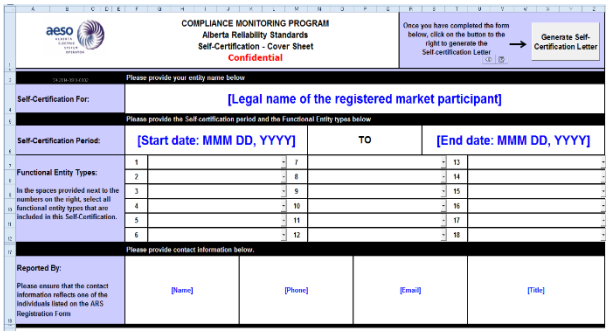


Self-Certification

Prior (Template)

New (Portal)

Cover Sheet


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: MM DD, YYYY]

Functional Entity Types:

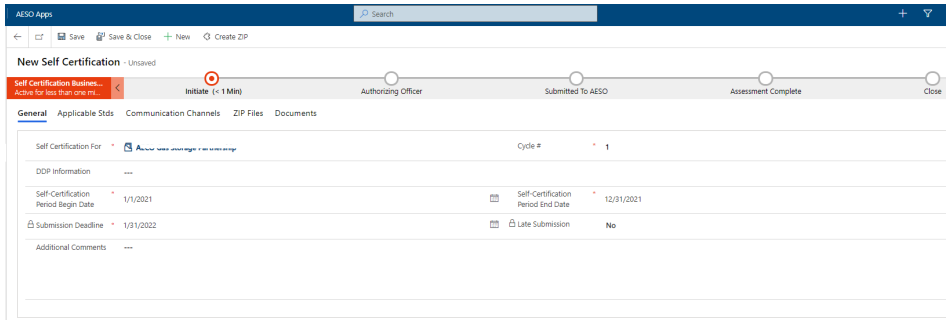
In the spaces provided next to the numbers on the right, select all functional entity types that are included in this Self-Certification.

Please provide contact information below.

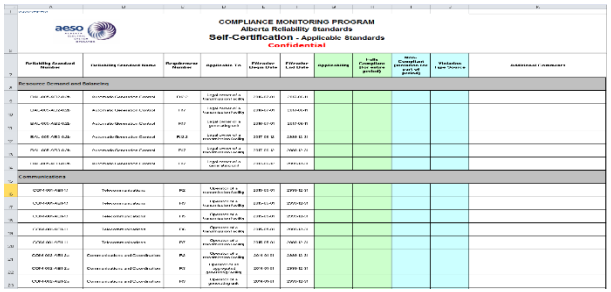
Reported By:

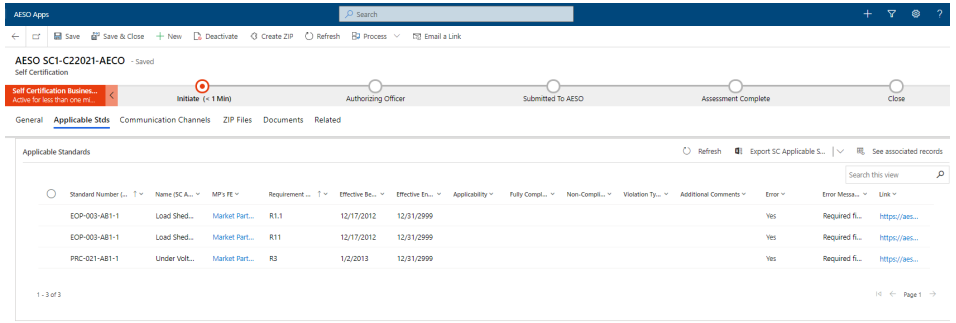
Please ensure that the contact information reflects one of the individuals listed on the ARS Registration Form

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

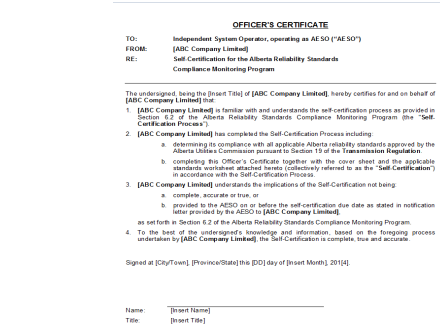


Applicable Standards


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



Officer Certificate


OFFICER'S CERTIFICATE

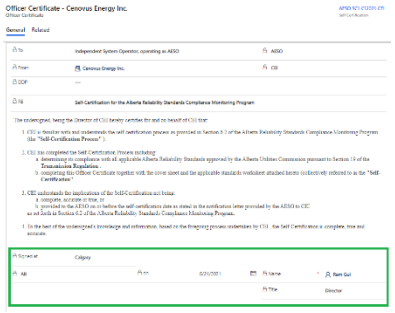
TO: Independent System Operator, operating as AESO ("AESO")
FROM: [ABC Company Limited]
RE: Self-Certification for the Alberta Reliability Standards Compliance Monitoring Program

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

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

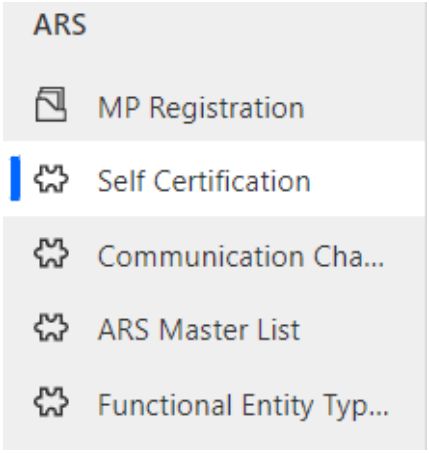
Signed at [City/Town], [Province/State] this [DD] day of [Insert Month], 20[4].

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



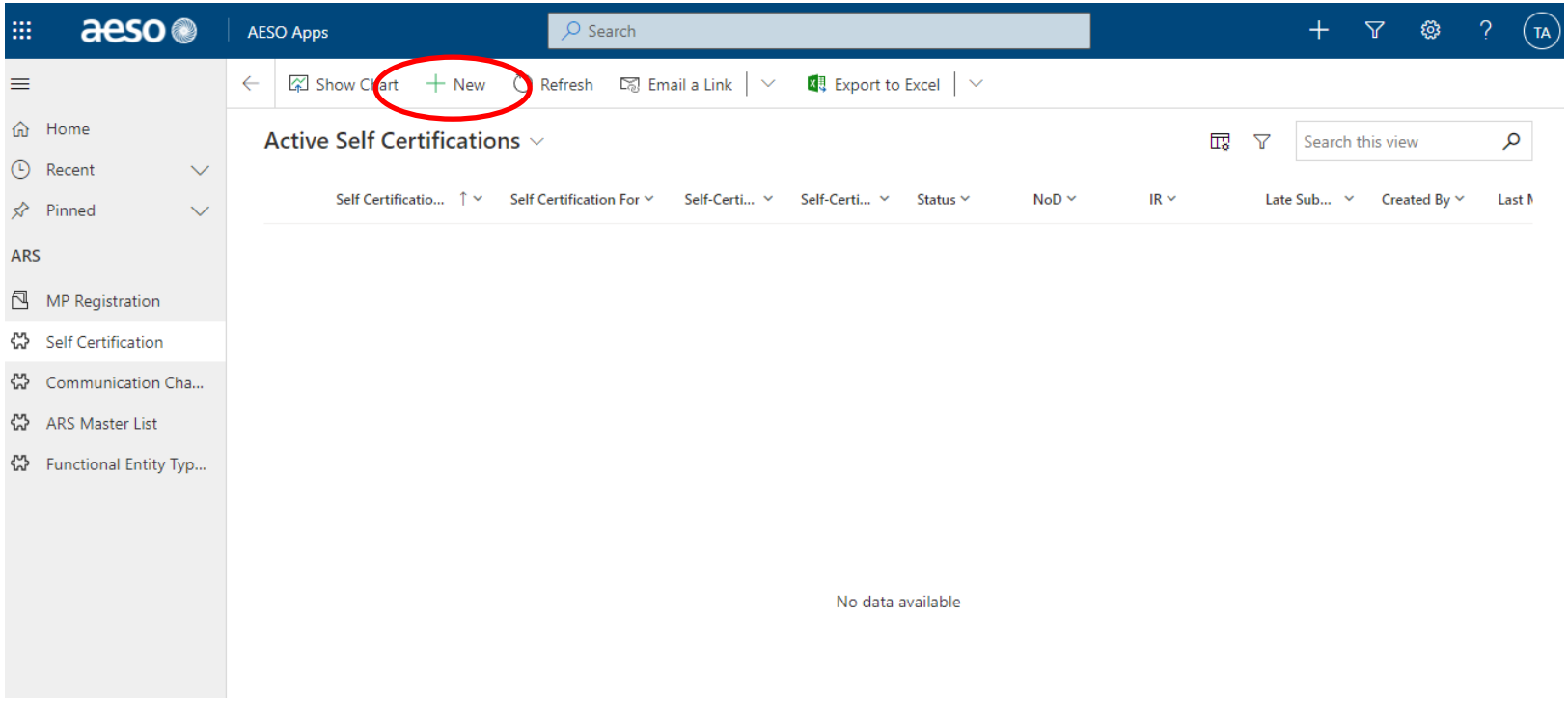
Self-Certification

- 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



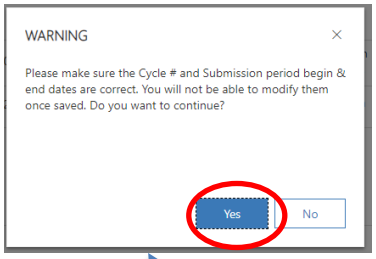
Self-Certification Process
Initiating self-certification cover sheet

1. Initiate new self-certification

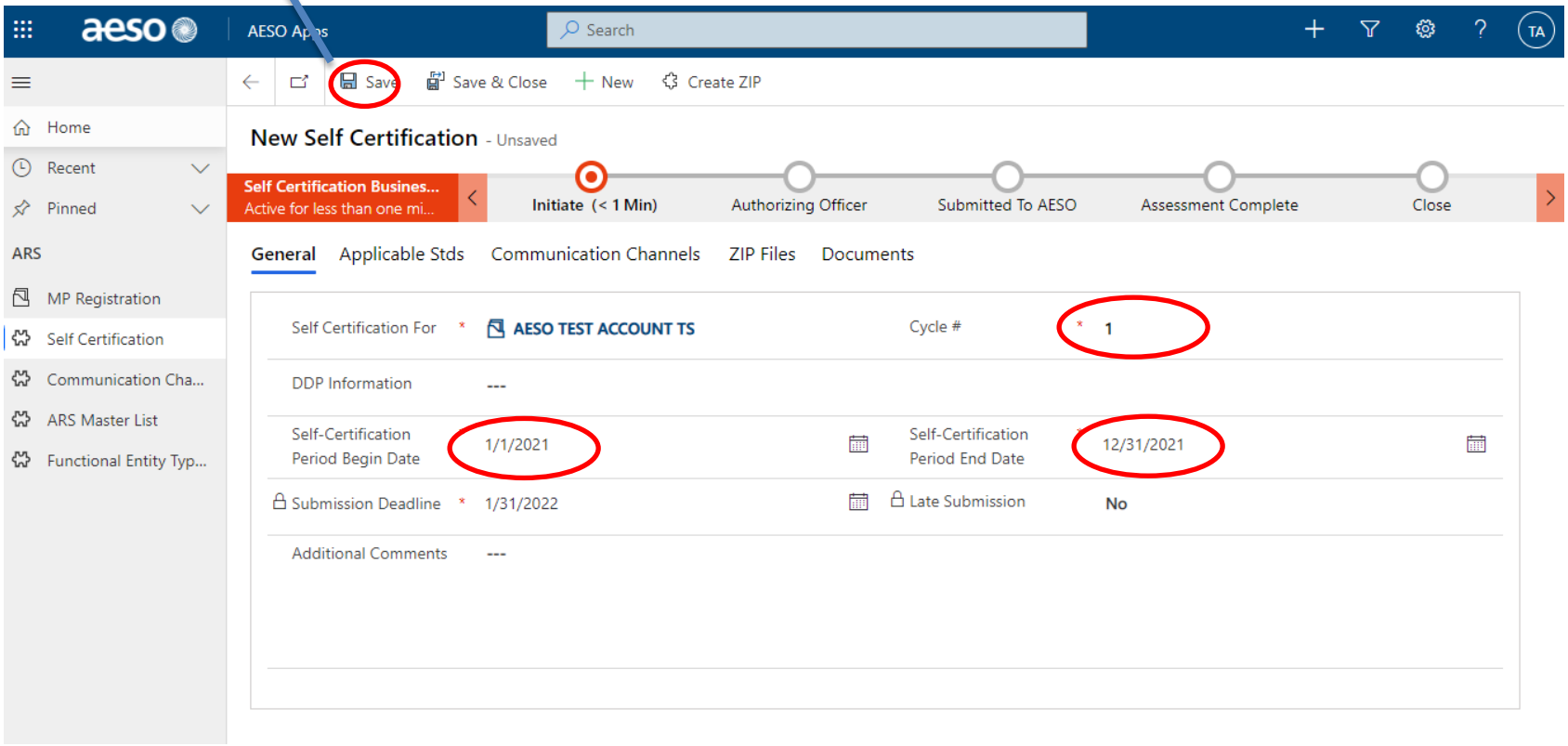


Self-Certification Process
Initiating self-certification cover sheet

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

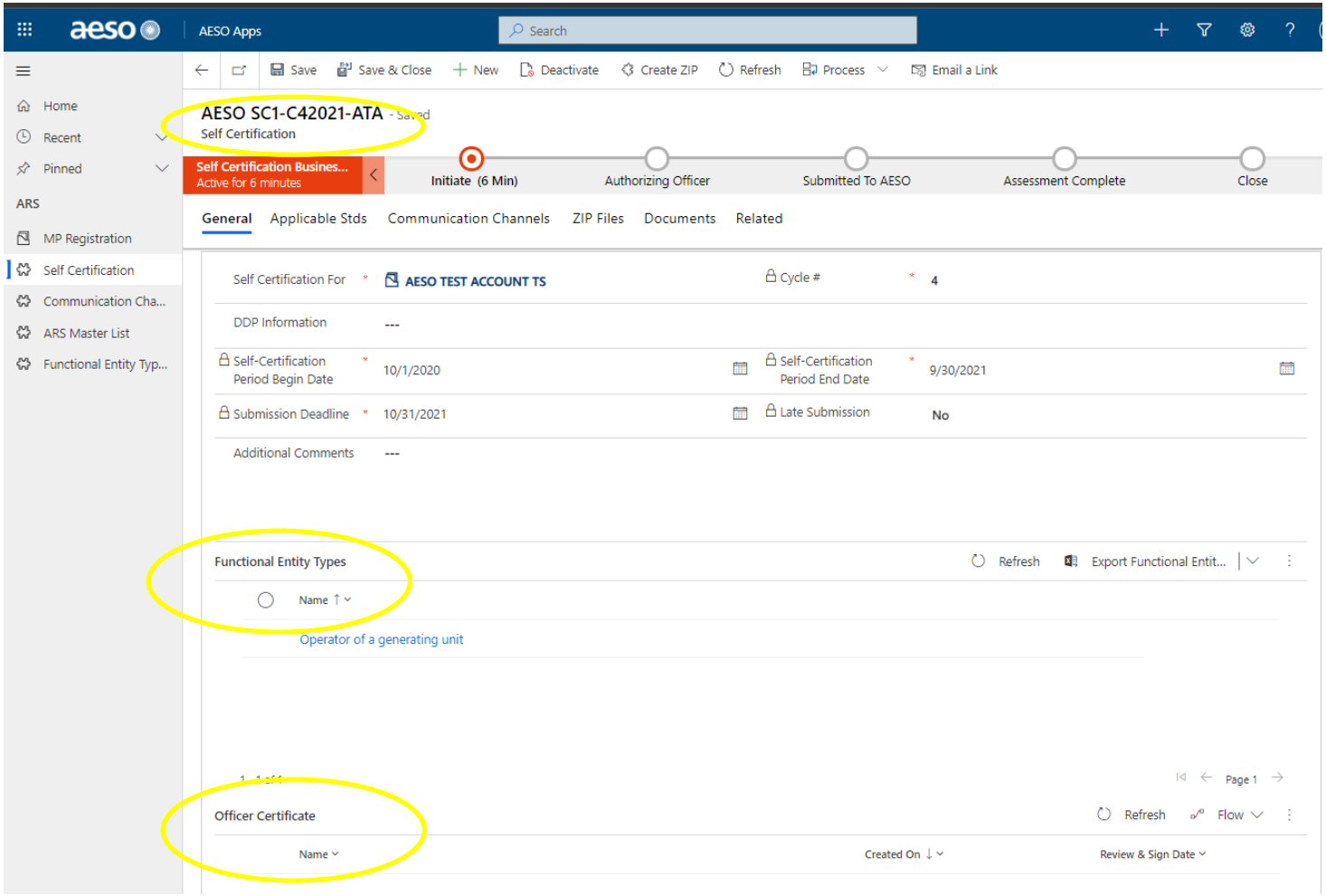


Note: Pop-up warnings occur throughout the process.



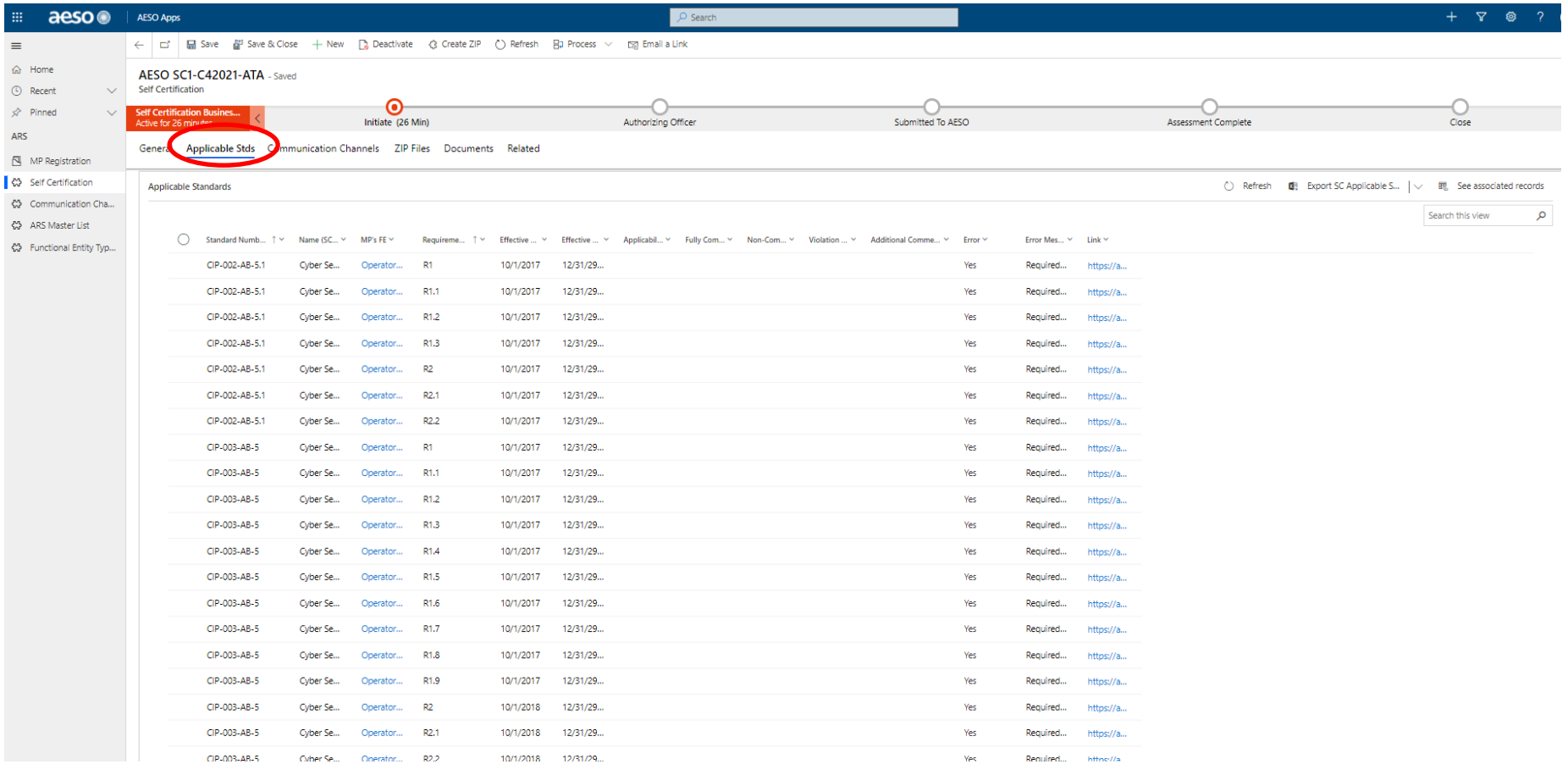
Self-Certification Process
Initiating self-certification cover sheet

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



Self-Certification Process
Applicable standards

1. Find “Applicable stds” tab

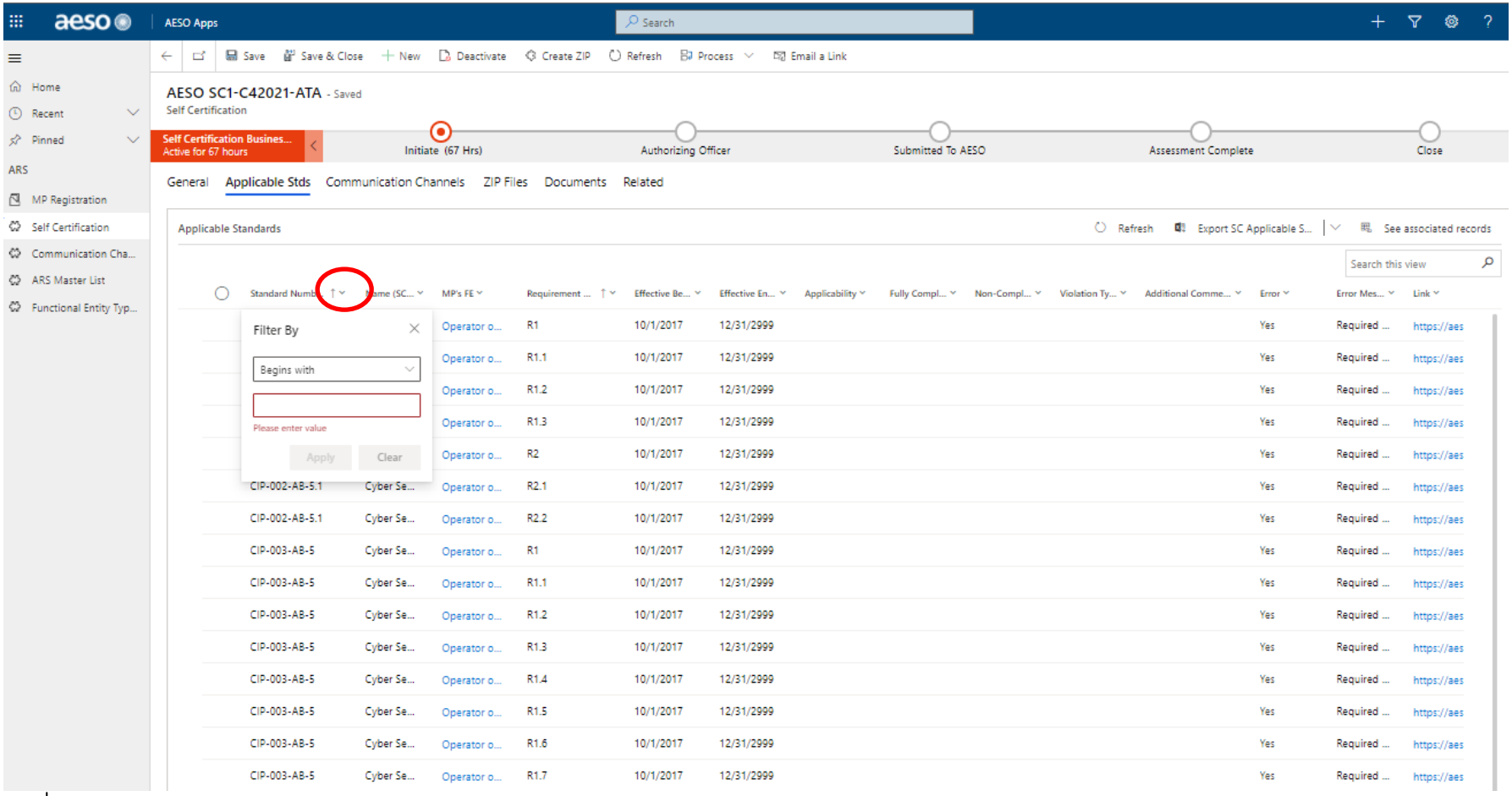


Tip: Zoom out of the webpage (CTRL -) to view more rows on screen

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



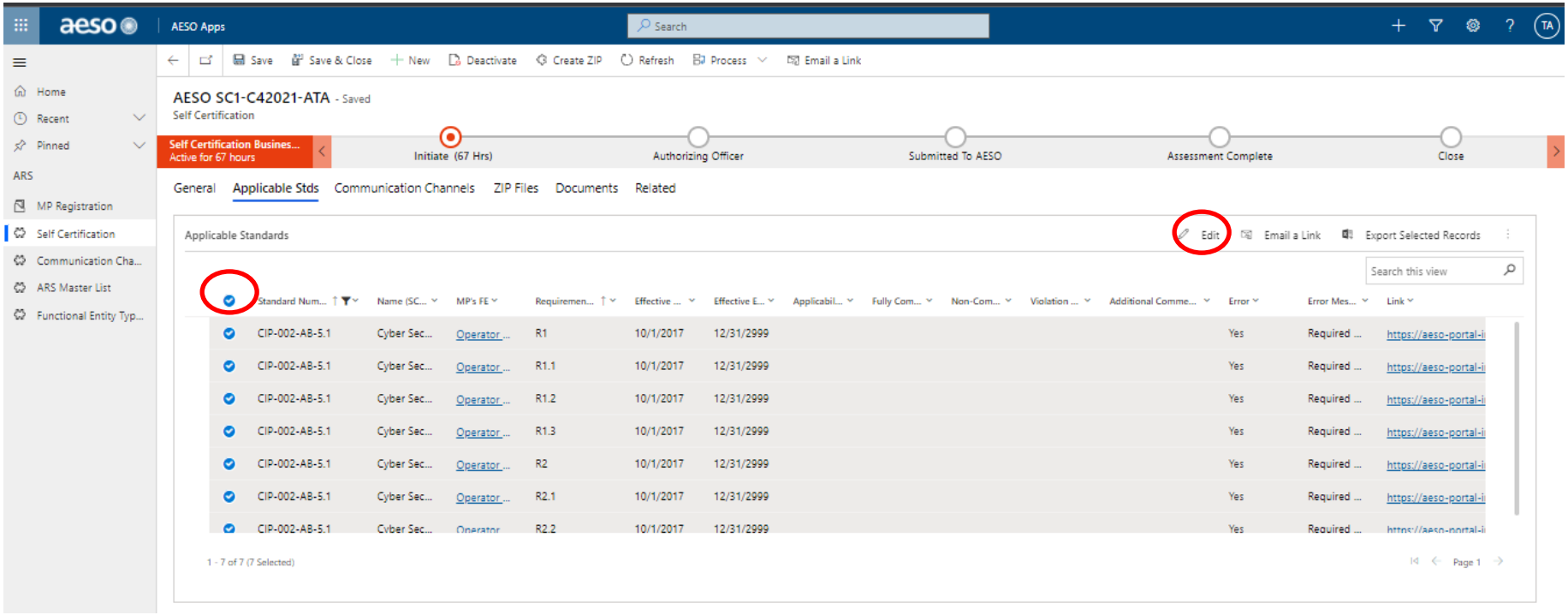
Tip: Filtering by standard number will reduce the amount of pages

Self-Certification Process
Applicable standards

3. Complete assessments for standards by using Bulk upload

- **select checkmark, then edit**

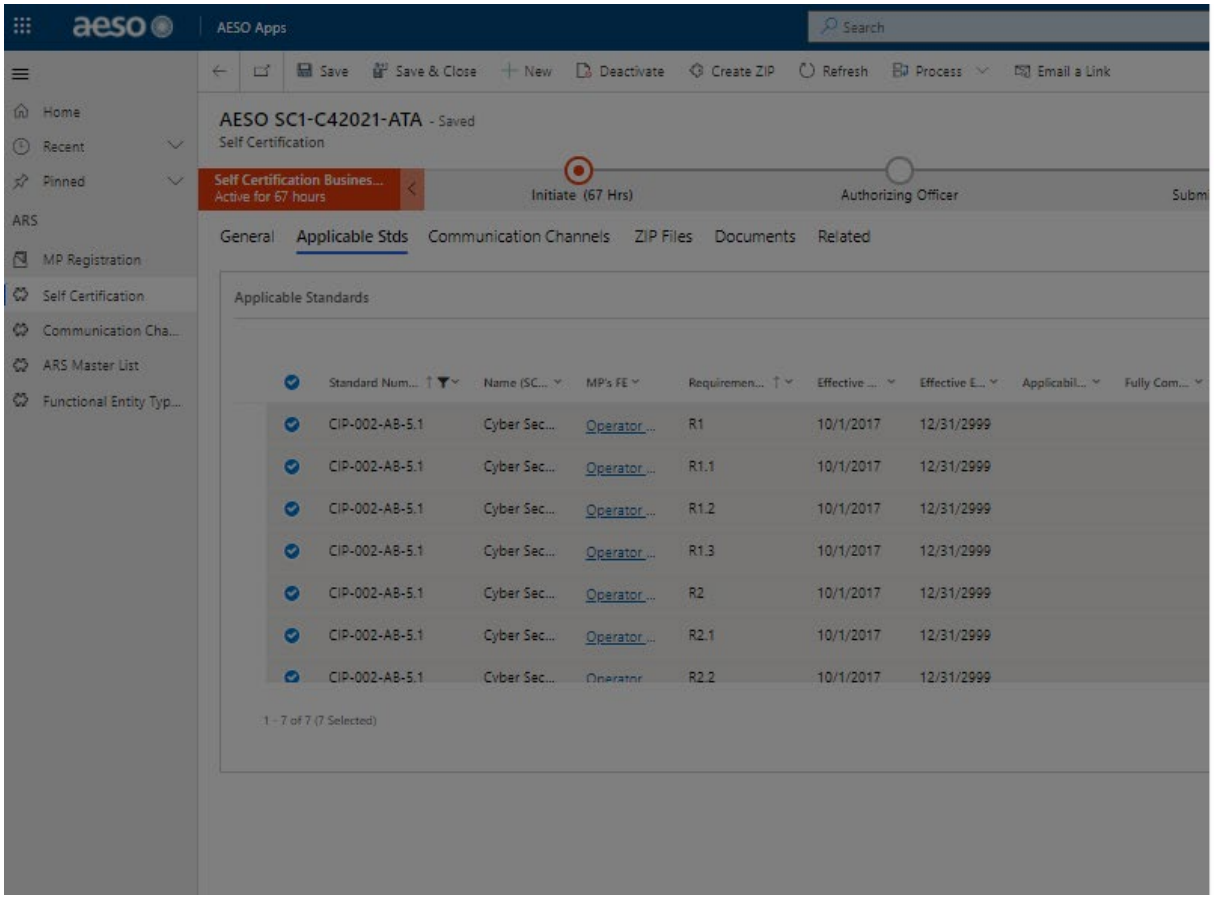
(e.g., standards that are not applicable or applicable, fully compliant)

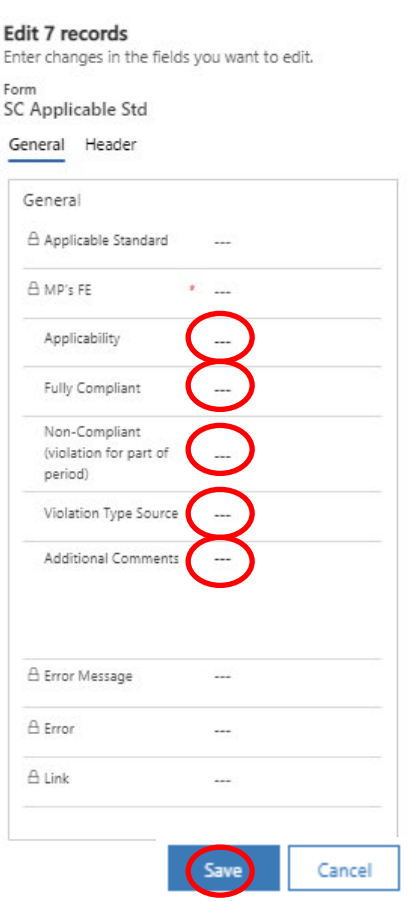


Tip: Clicking the circle on the top row will select all on that page

Self-Certification Process
Applicable standards

3. Complete assessments for standards by using Bulk upload
- Enter assessment

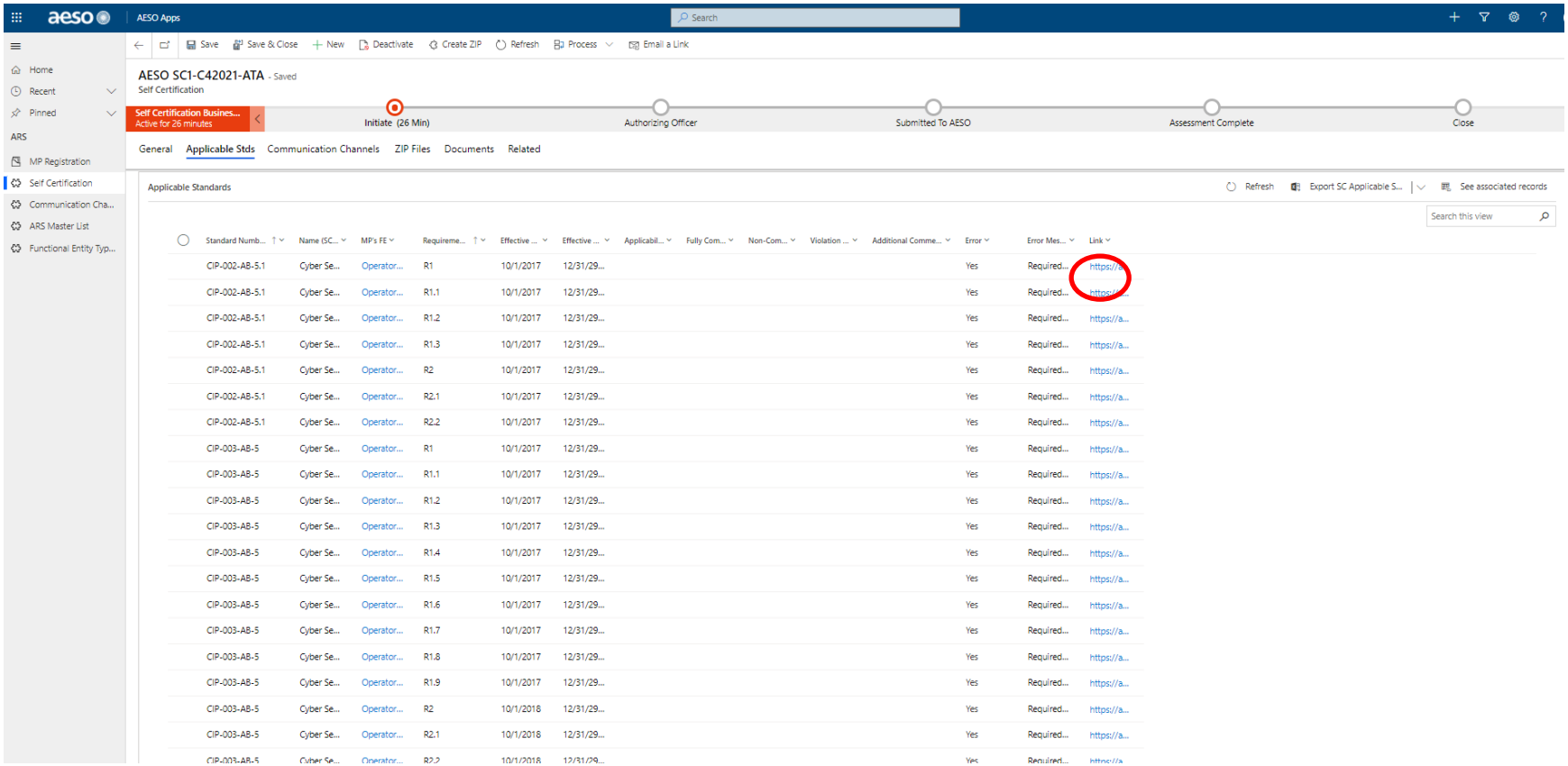




Tip: Using Bulk Upload inputs the same assessment for each selected row

Self-Certification Process
Applicable standards

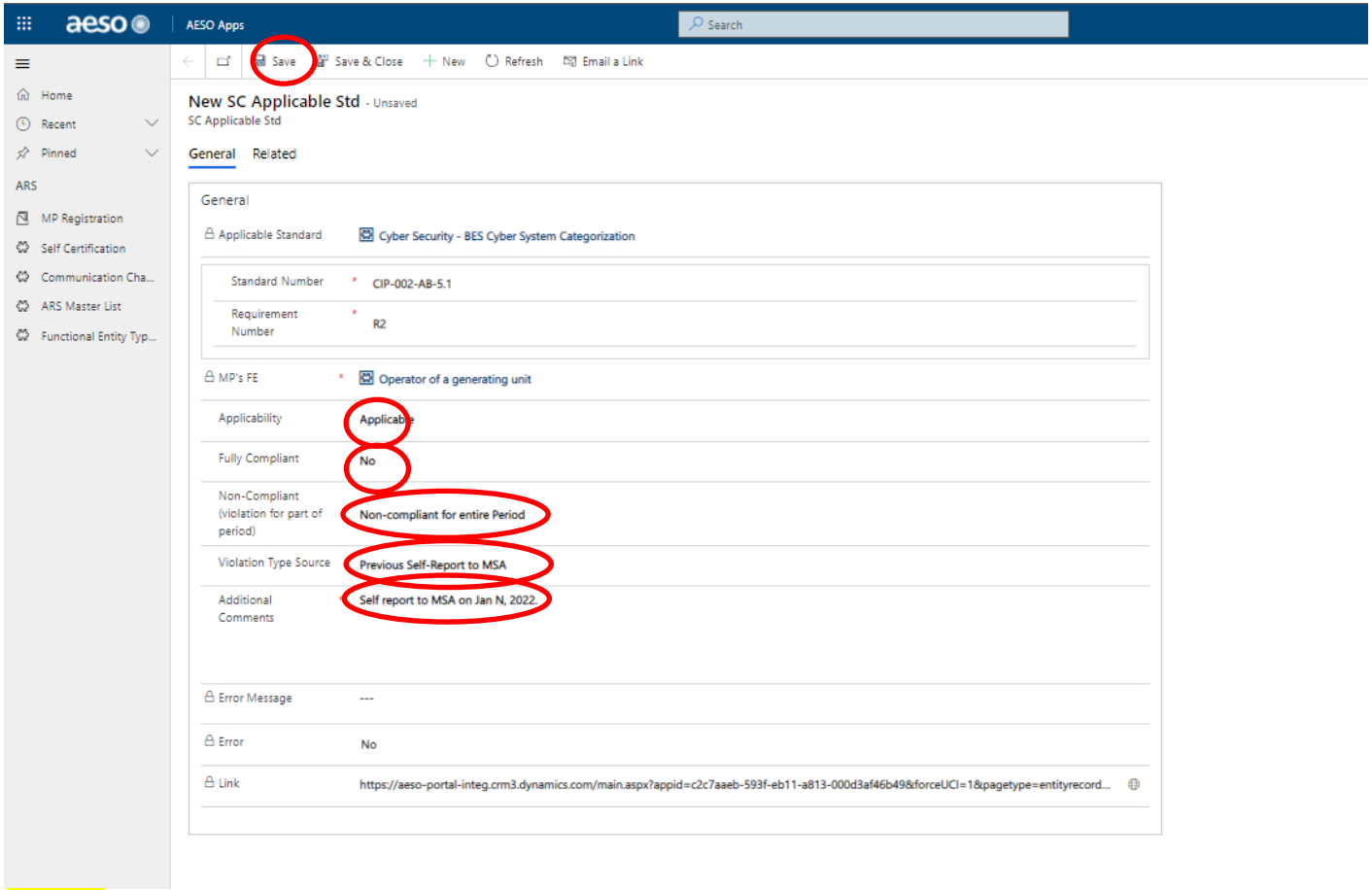
4. Complete assessments for requirements by using “Link”
(e.g., not applicable with specific comments, applicable with non-compliance identified)



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

Self-Certification Process
Applicable standards

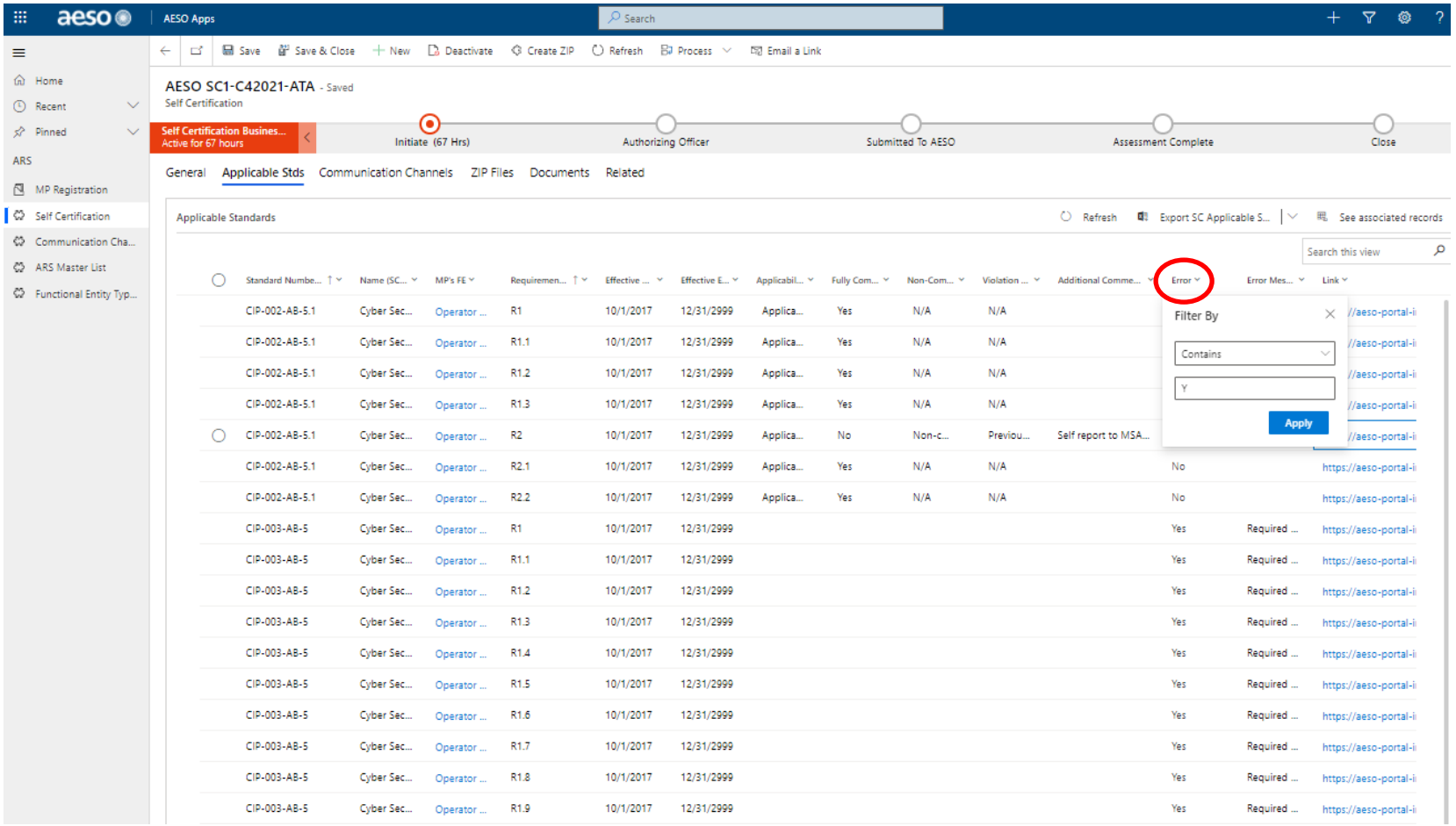
4. Complete assessments for requirements by using “Link”
- Enter assessment



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

Self-Certification Process
Applicable standards

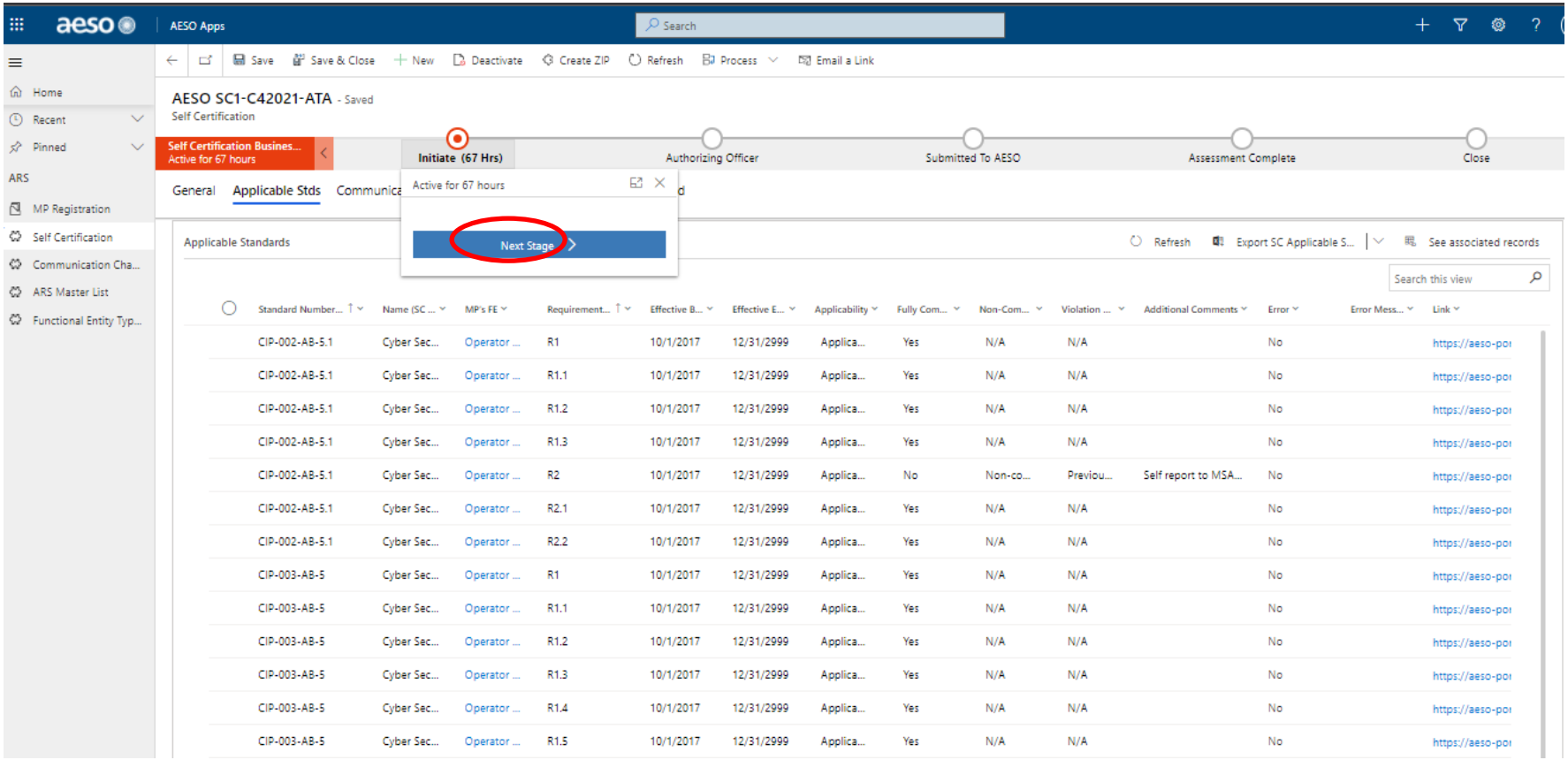
5. Review and check for errors



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

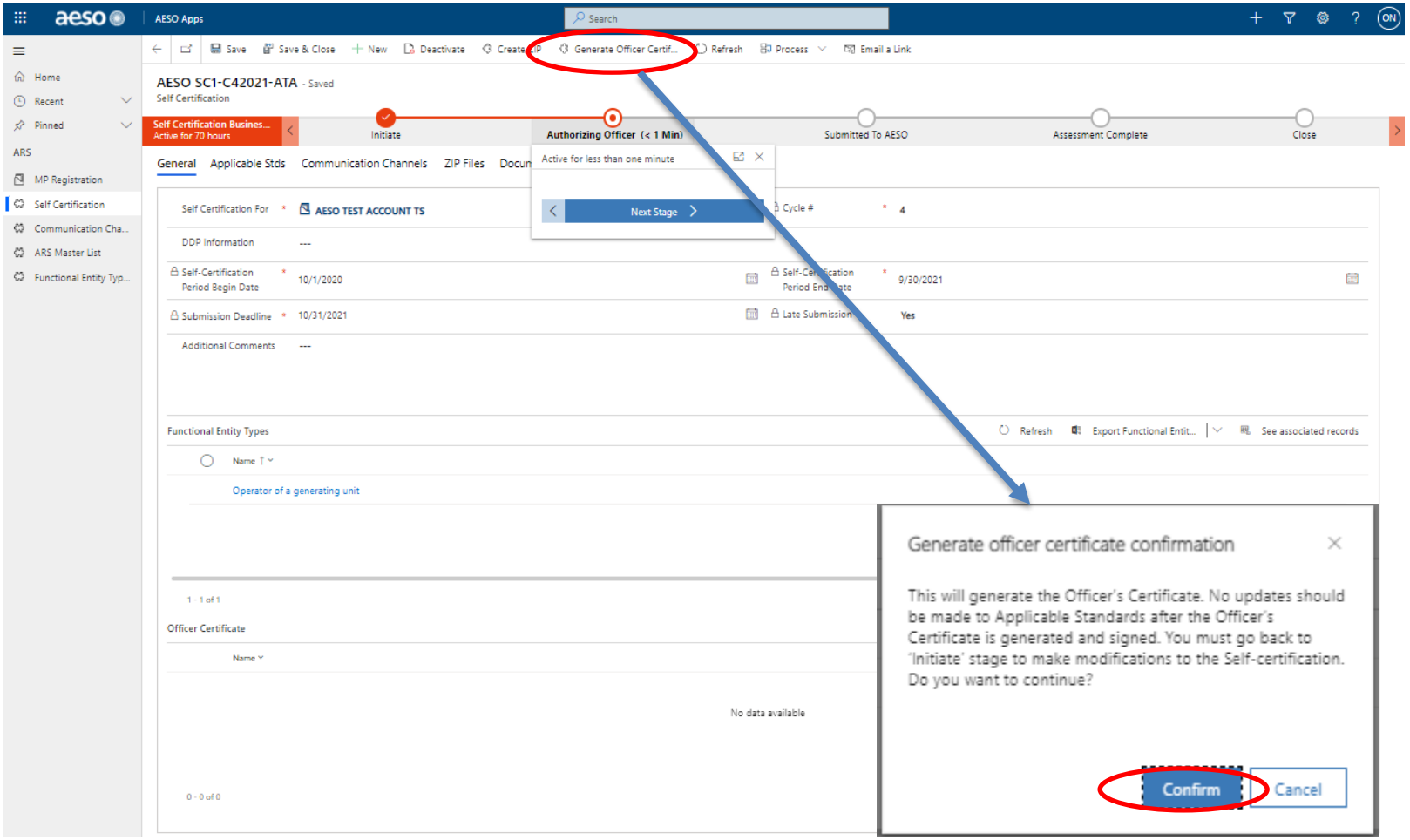
1. Click on “Initiate” in the workflow, then “Next Stage”



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

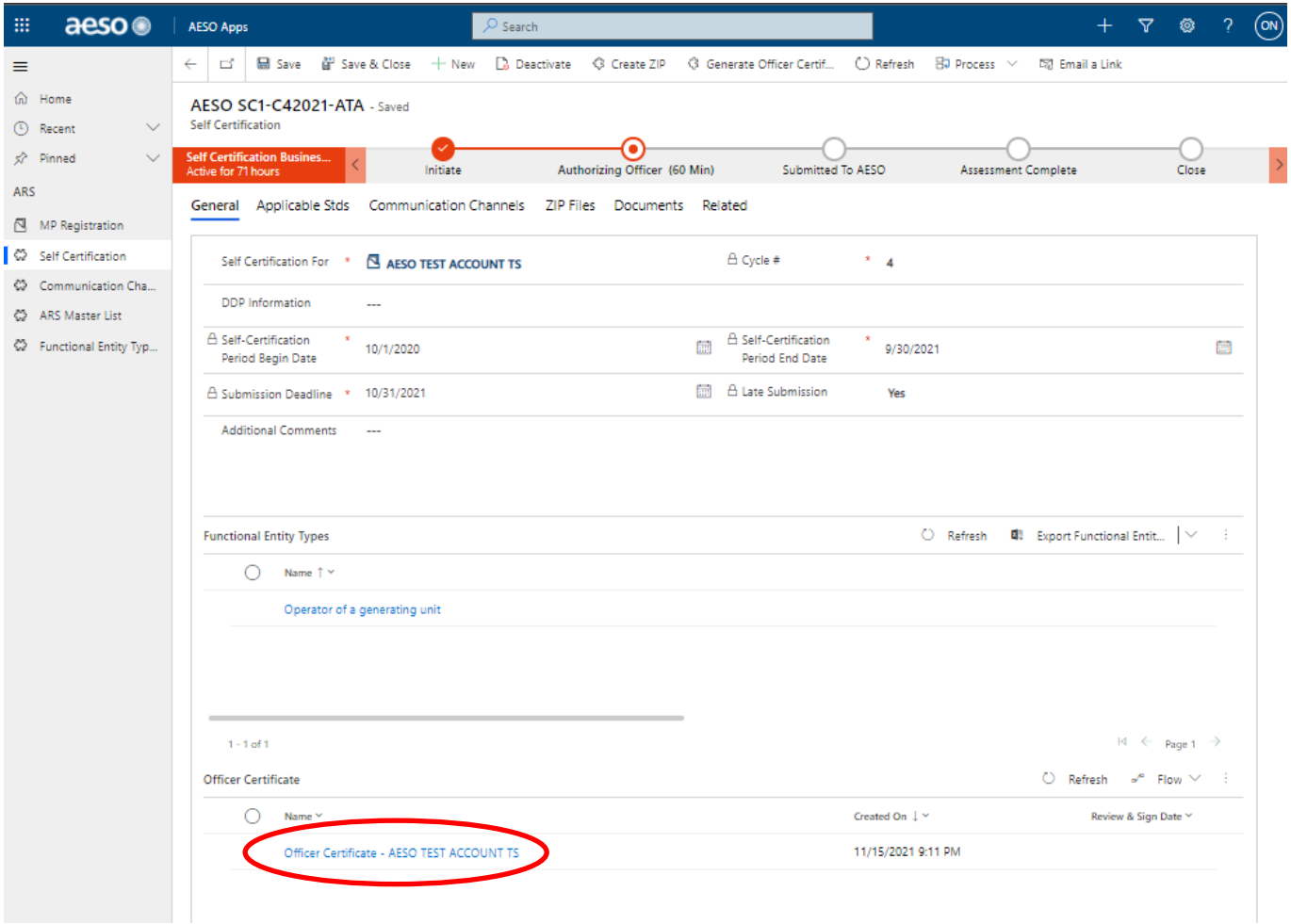
2. Click “Generate Officer Certificate”



Tip: Only the officer can perform this step

Self-Certification Process
Officer Certificate and submission

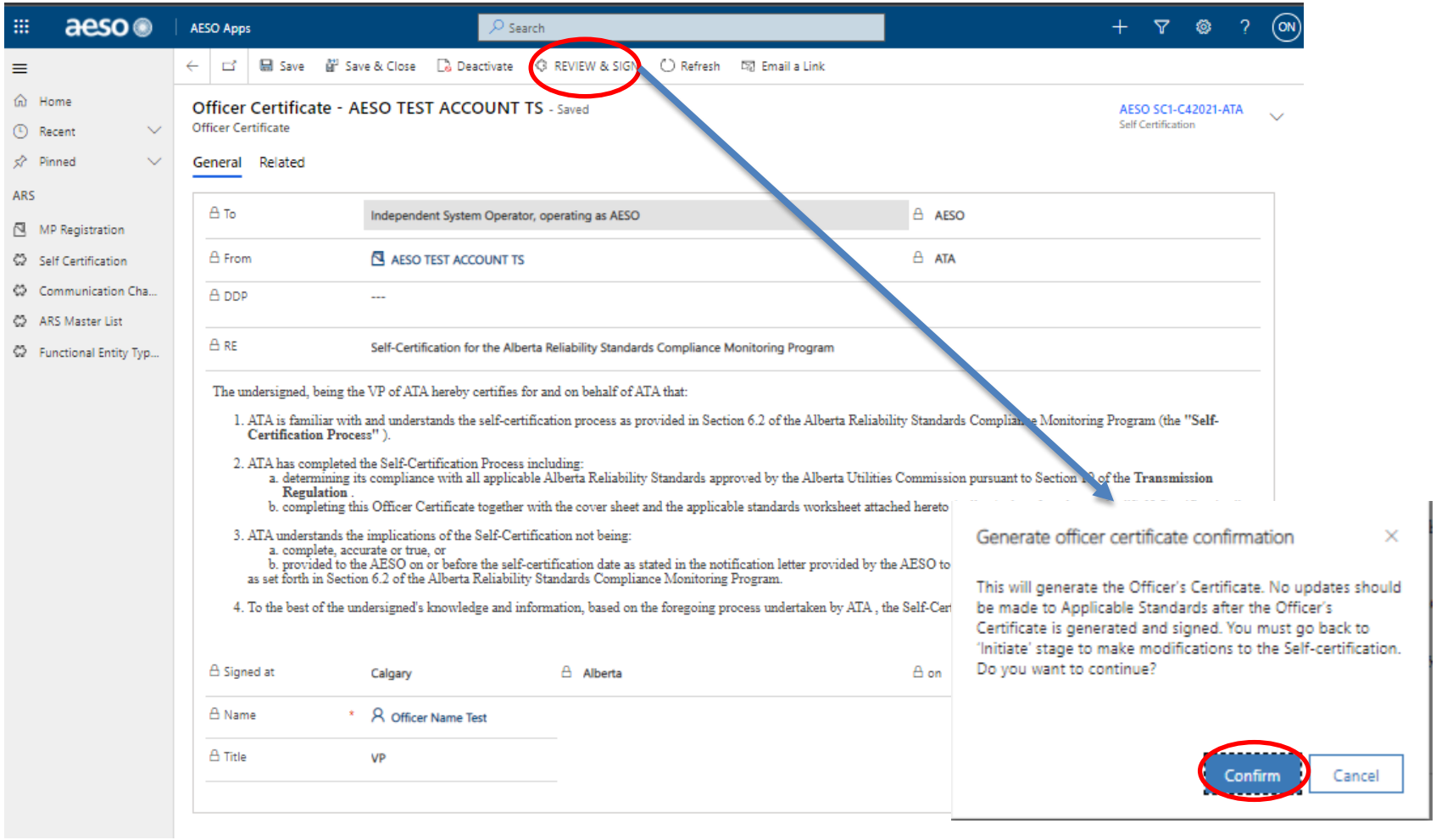
3. Click on the certificate



Tip: Only the officer can perform this step

Self-Certification Process
Officer Certificate and submission

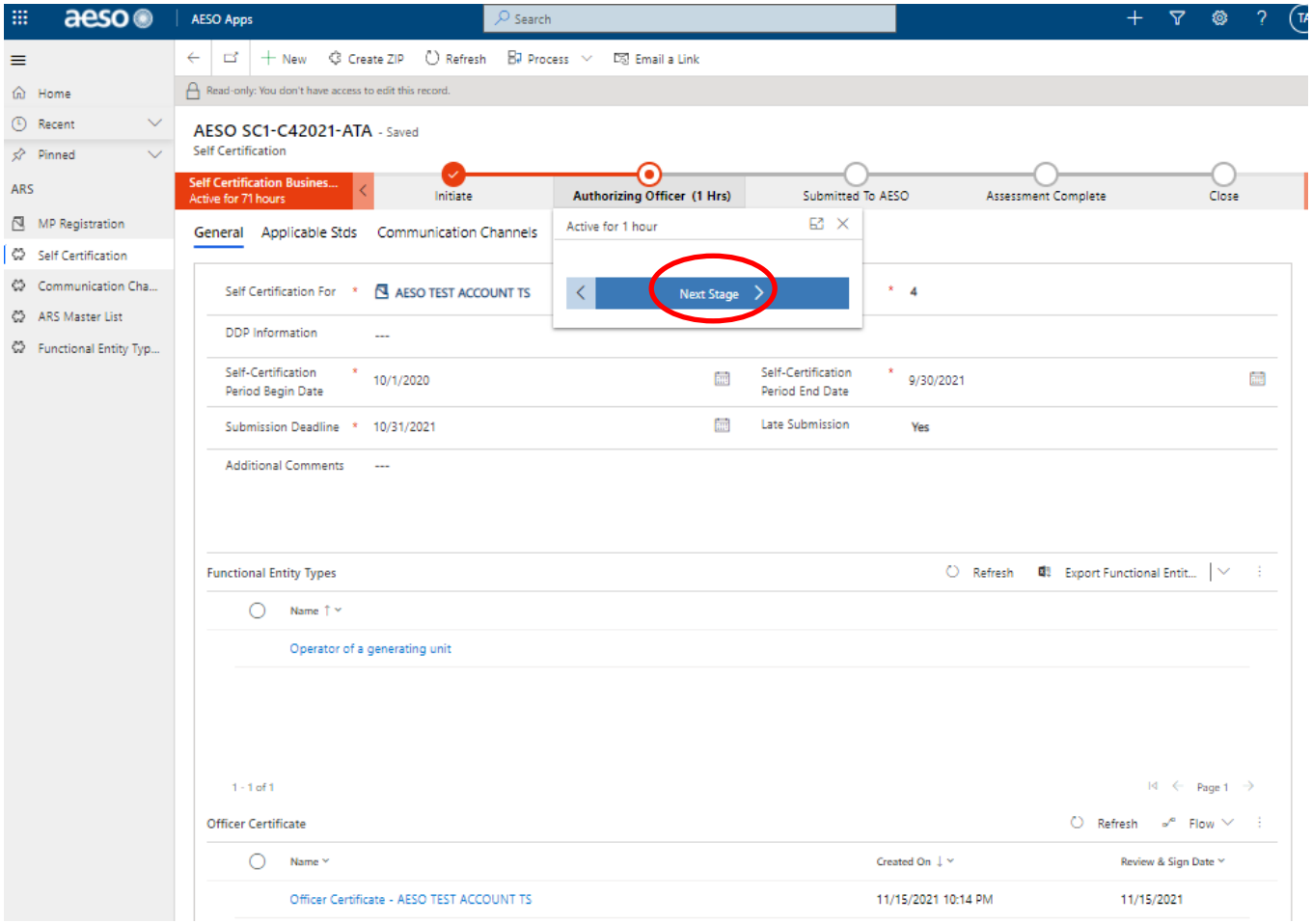
3. Review and sign the certificate



Tip: Only the officer can perform this step

Self-Certification Process
Officer Certificate and submission

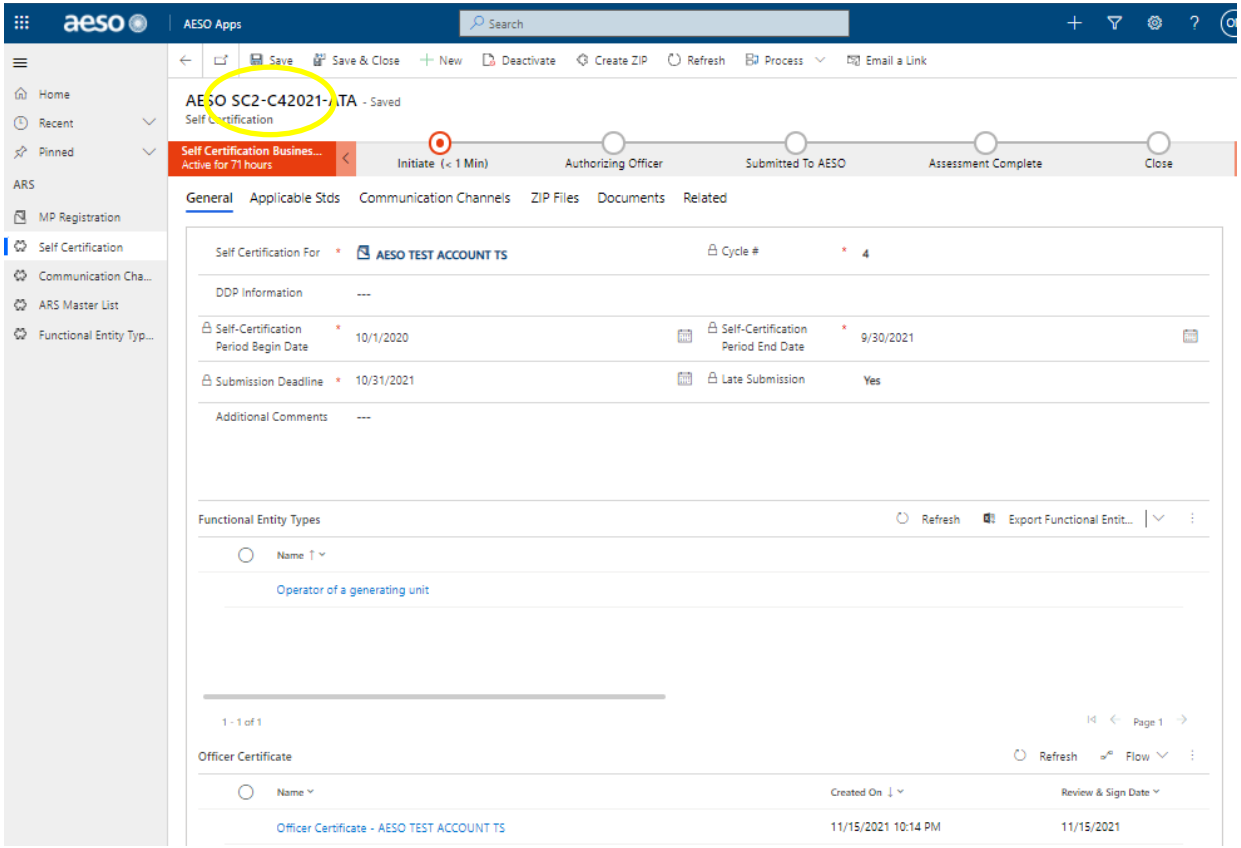
4. Submit to the AESO using “Next Stage” in the workflow



Tip: Only the officer can perform this step

Self-Certification Process
Re-submission to the AESO

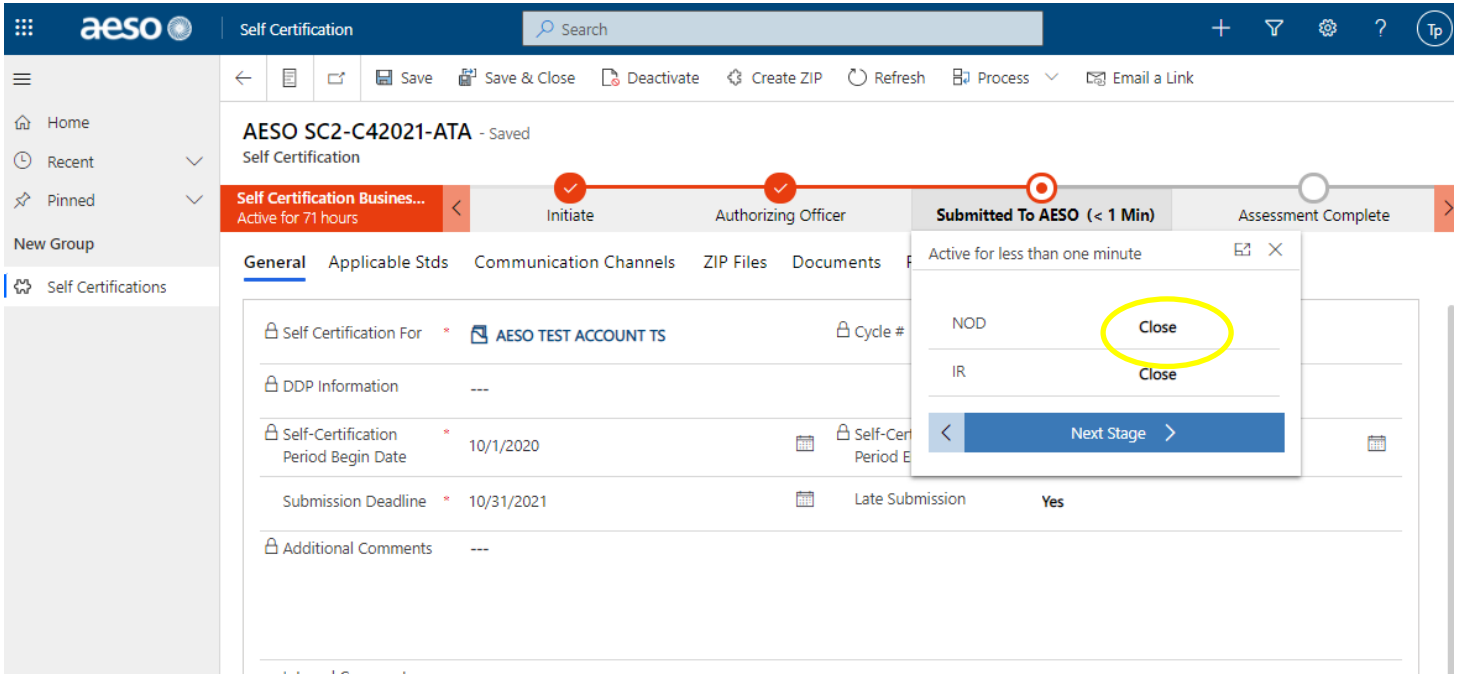
1. If re-submission is required, please contact the AESO. The AESO will move the workflow back to initiate so that changes can be made



Tip: SC Number will increase by +1

Self-Certification Process
Milestones after submission

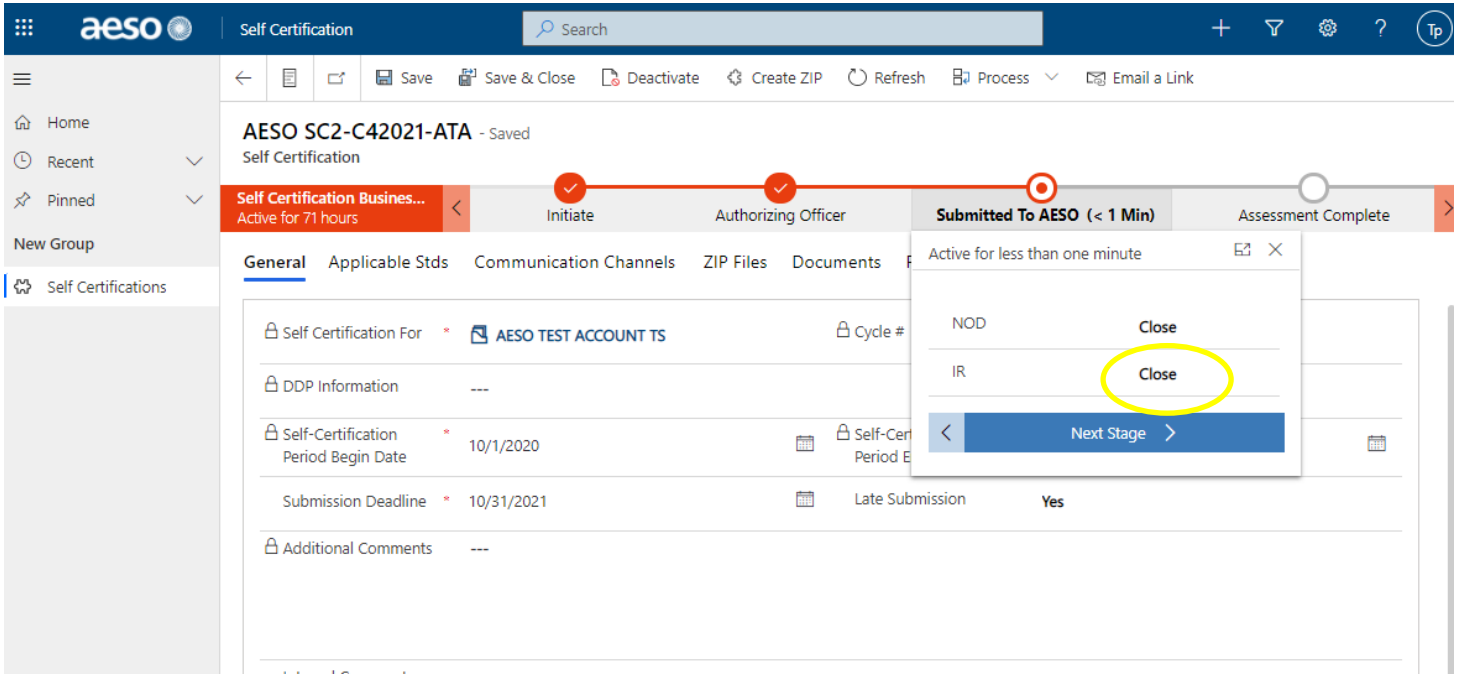
1. **Administrative Assessment**
   - **Using the communication channel, the AESO will notify if a deficiency is present in the submission and flag the NOD as “Open”. Re-submission may be required.**



Self-Certification Process
Milestones after submission

2. Technical Assessment

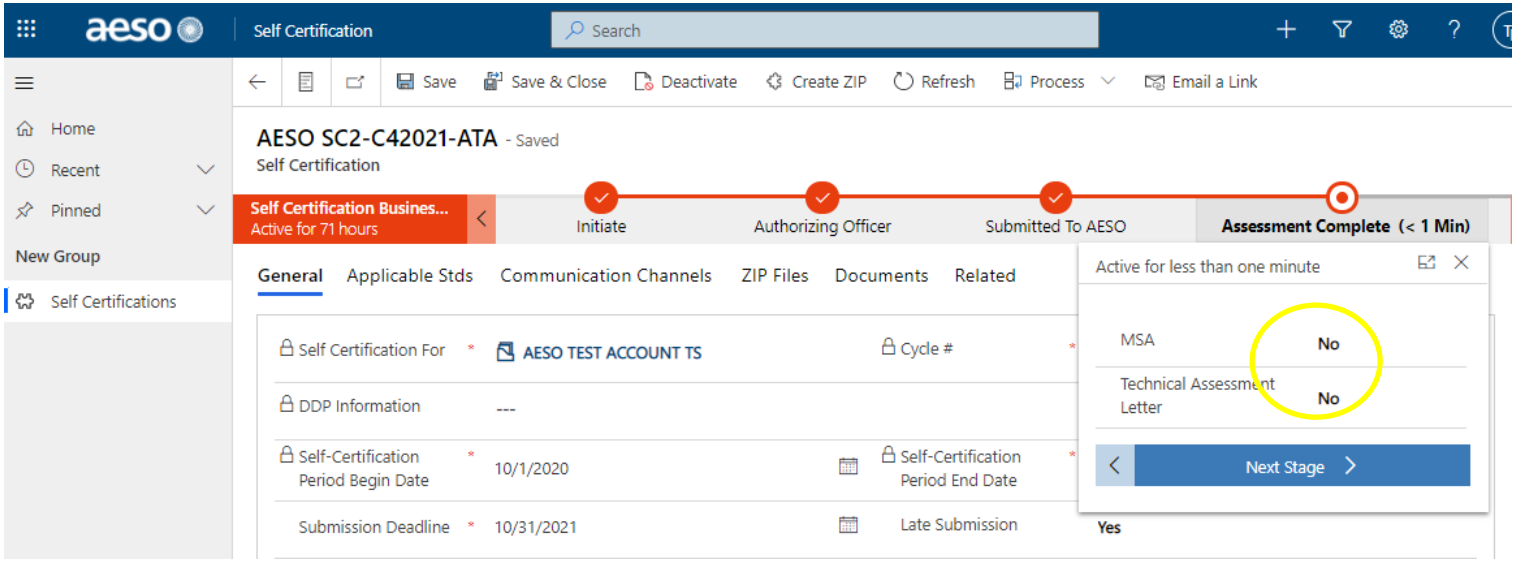
- **Using the communication channel, the AESO will notify if more information is required and flag the IR as “Open”.**



Self-Certification Process
Milestones after submission

3. Results of the Assessment

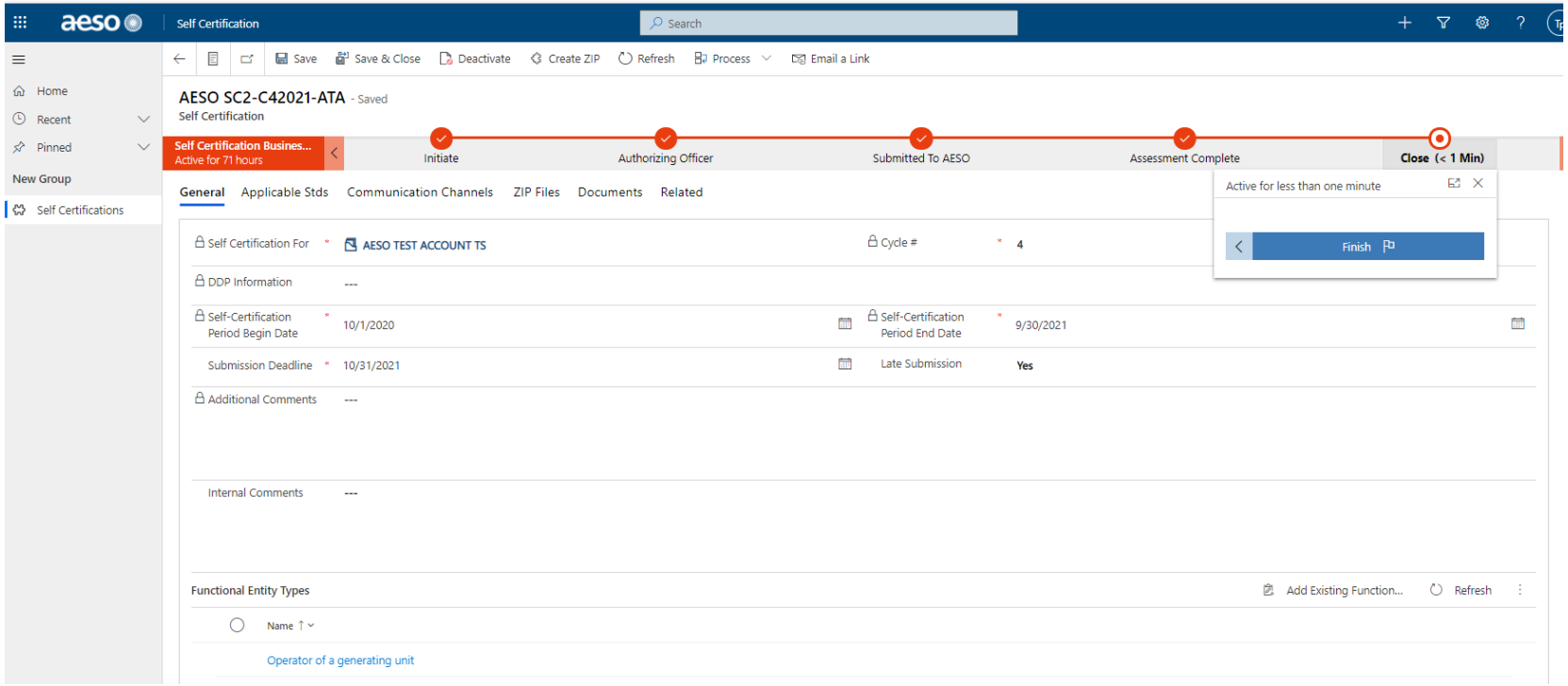
- Using the communication channel, the AESO will notify if a MSA referral is made.
- Using the communication channel, the AESO may send a Technical Assessment Letter(TAL), in the case where compliance will still be monitored regardless of the self-assessment.



Self-Certification Process
Milestones after submission

4. Closure

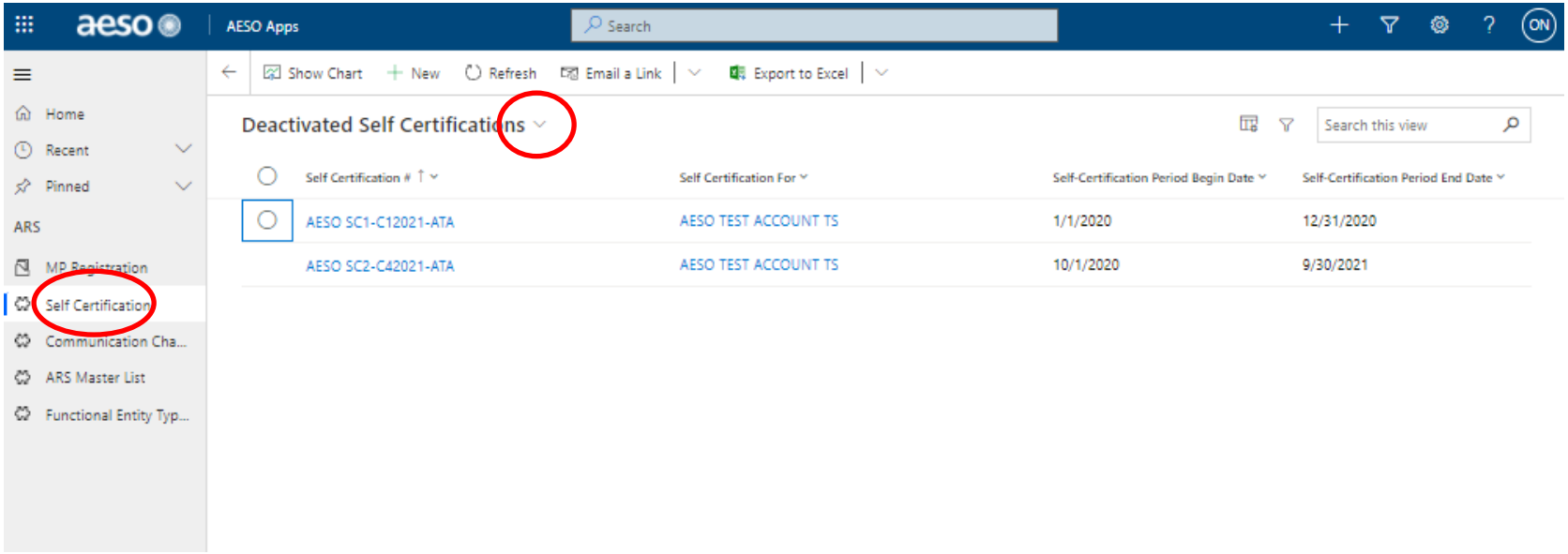
- Once the self-certification is marked as closed, the assessment is complete, and all parties should download the information on their internal drives.



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

Self-Certification Process
Saving Information on Local Drives

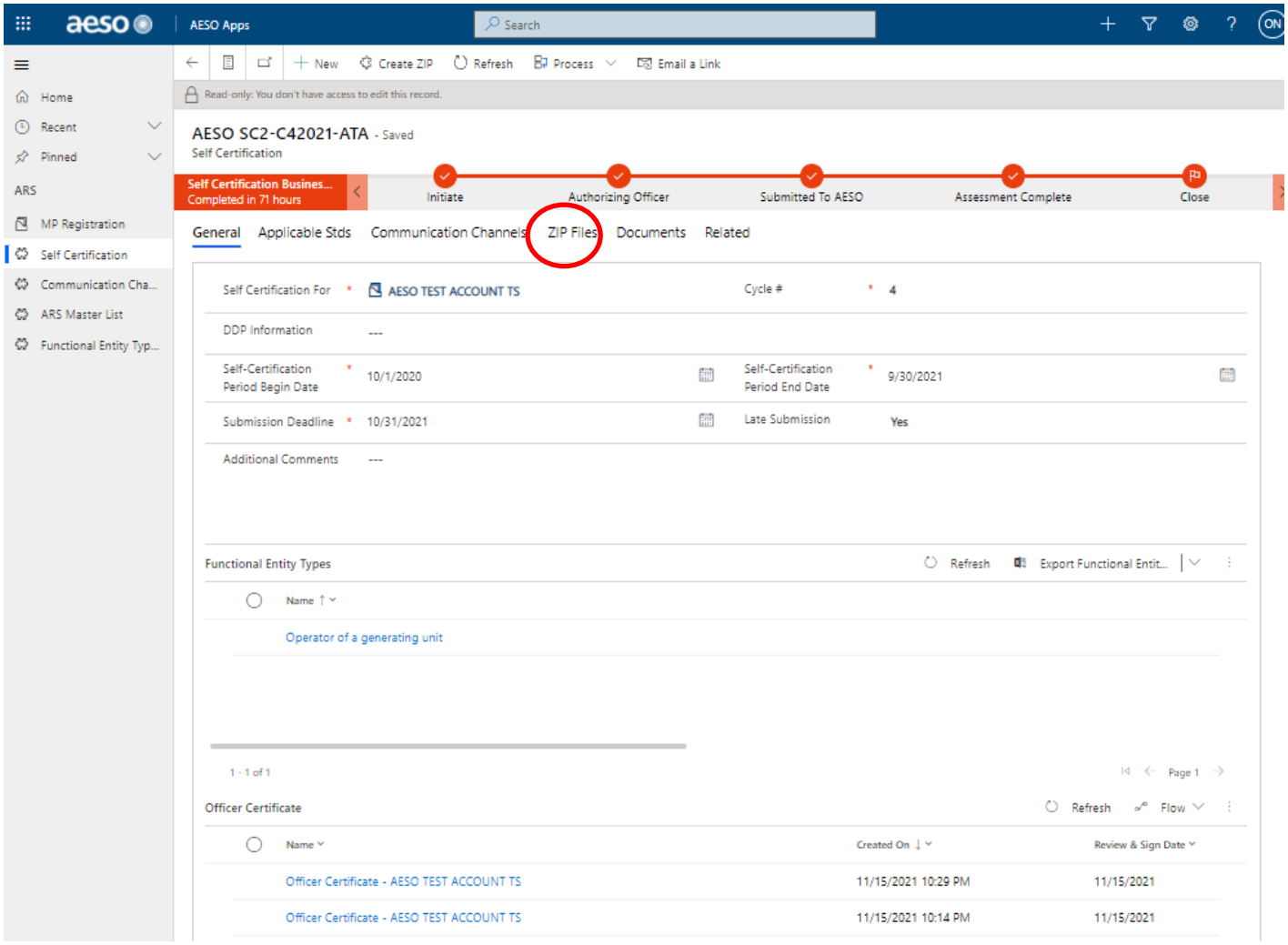
1. Change the view to de-activated self-certifications



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

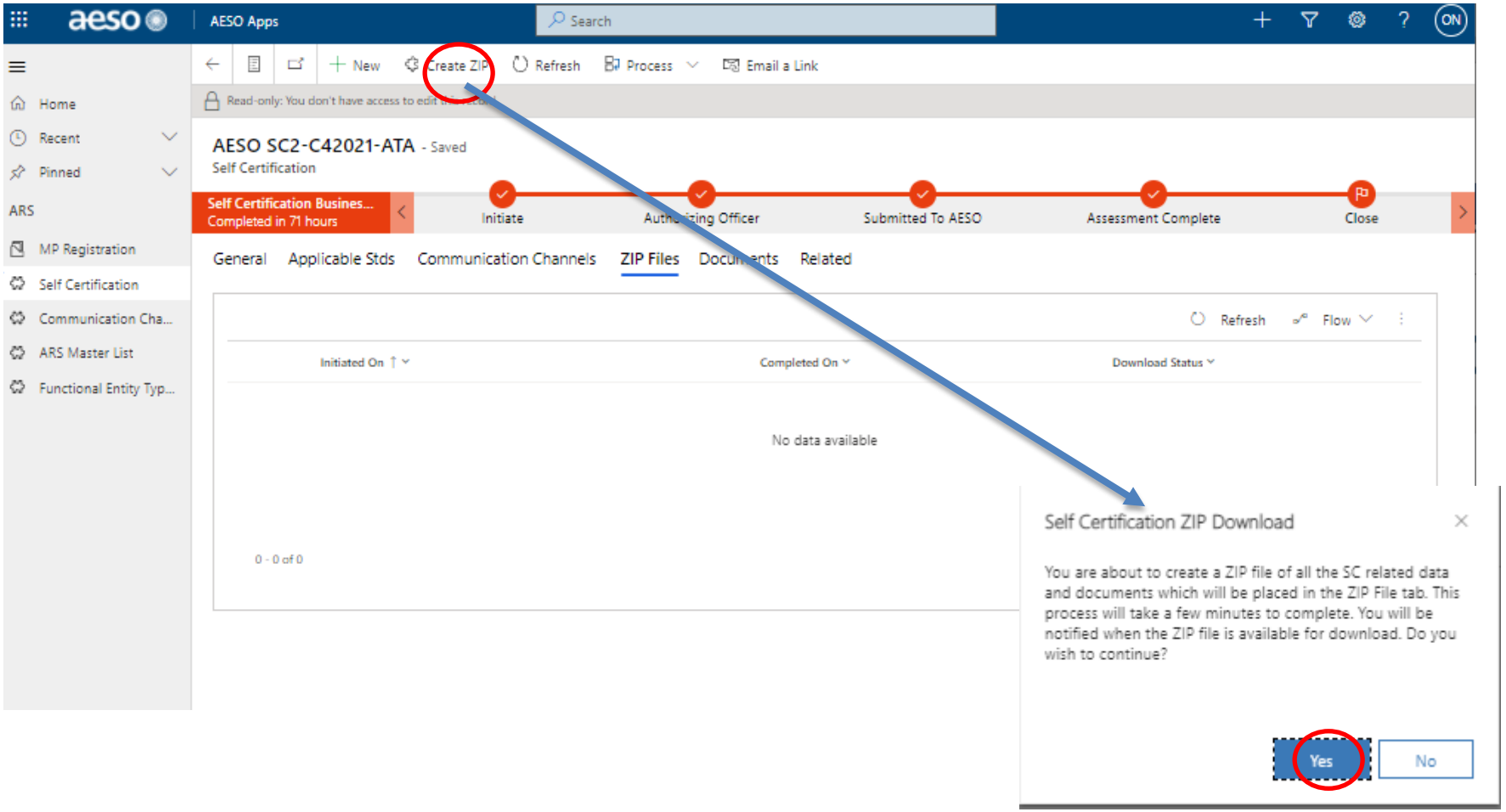
Self-Certification Process
Saving Information on Local Drives

2. Click the “Zip files” tab



Self-Certification Process
Saving Information on Local Drives

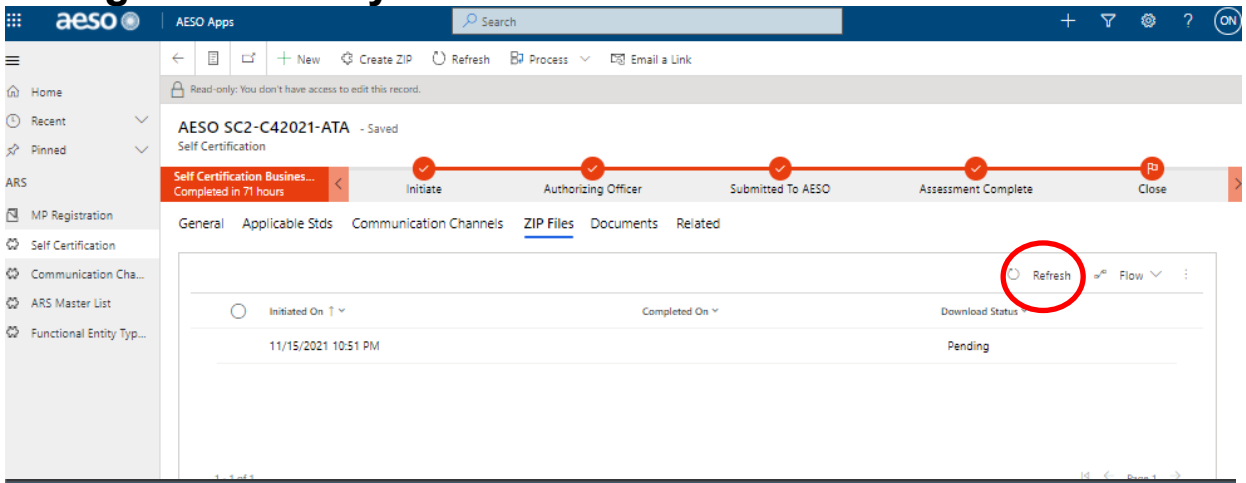
2. Click “Create ZIP”

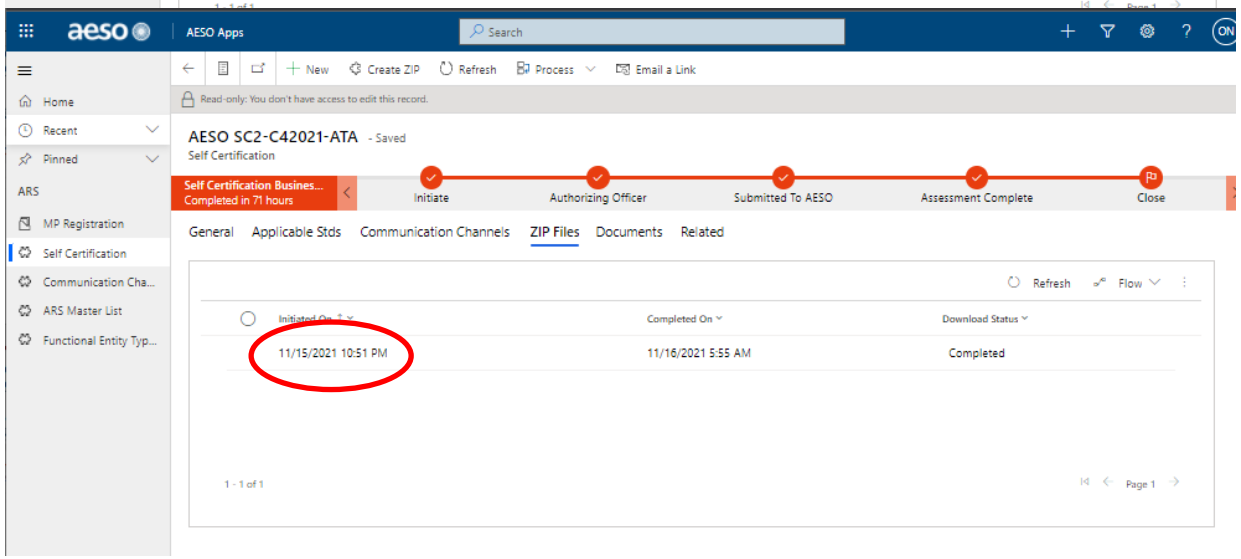


Self-Certification Process
Saving Information on Local Drives

3. Double click on date/time once complete

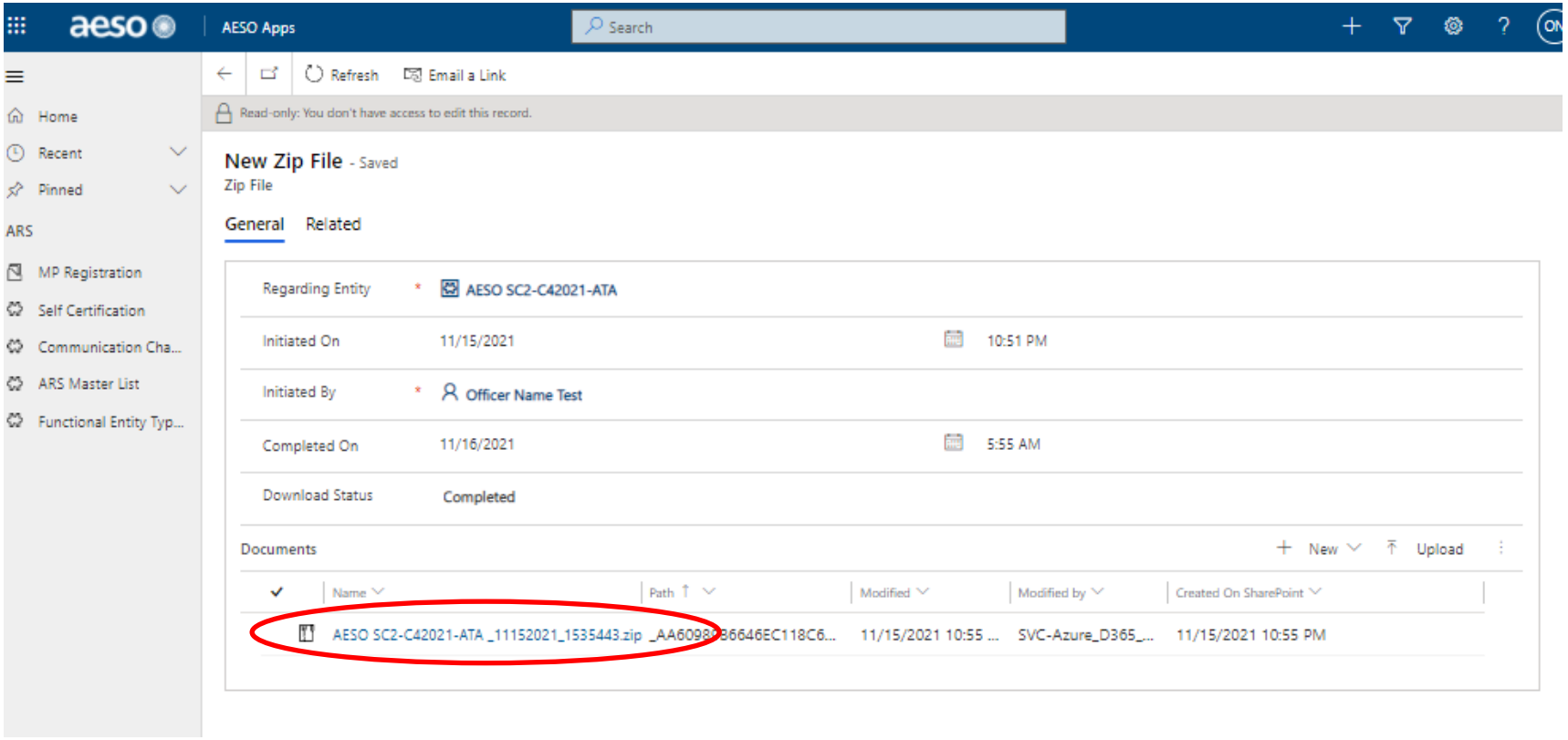
- Pending status - may take 3-5 minutes and need to hit refresh





Self-Certification Process
Saving Information on Local Drives

4. Download ZIP by clicking on the file path

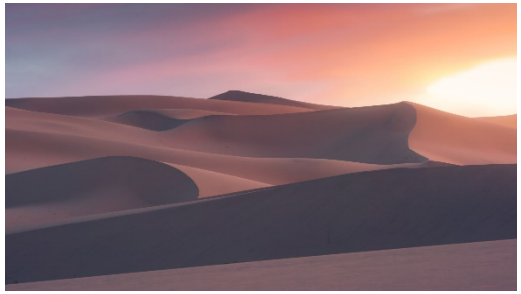


Test Environment

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

Contact the AESO

- ***Twitter:*** *@theAESO*
- ***Email:*** *info@aeso.ca*
- ***Website:*** *www.aeso.ca*
- Subscribe to our stakeholder newsletter

Thank you