



Alberta Electric System Operator

3000, 240 4 Avenue SW

Calgary, AB • T2P 4H4

aeso.ca

Alberta Reliability Standards Compliance Portal

User Guide

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1. About this Guide

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

This guide is currently for users of the 'ARS Compliance Portal', who are responsible for submissions related to the self-certification (SC) process within ARS compliance monitoring program. The submissions can be made for both types of self-certification – with evidence or without evidence.

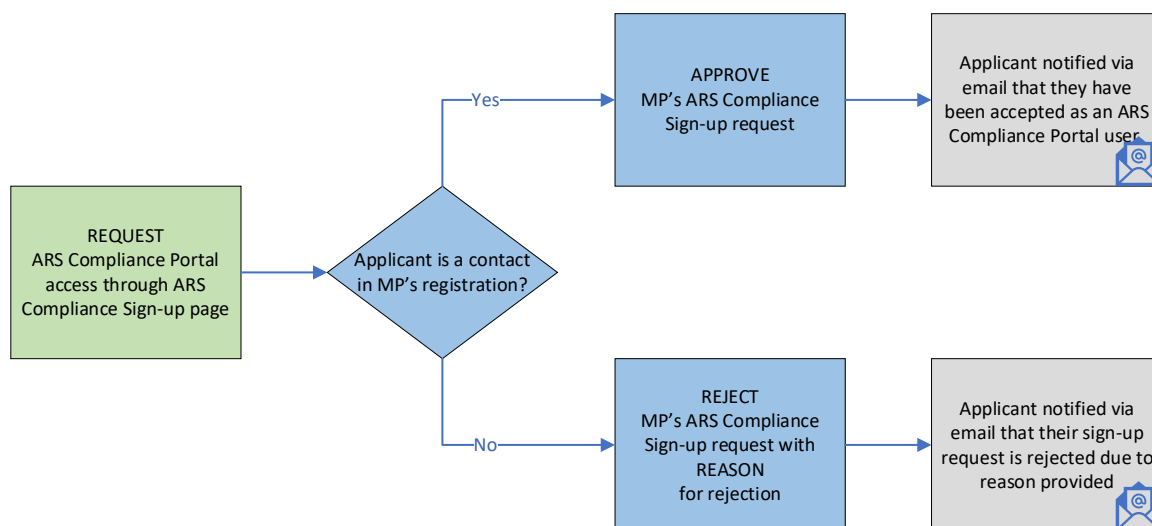
This document will provide guidance on:

- **Sign-Up**, to be a portal user
- **Sign-In**, to make self-certification submissions to AESO
- **View and update market participant registration**
- **Create and view DDP contracts**
- **Create, Submit and Download self-certification record**
- **Use of Communication Channel for Compliance Oversight Plan (COP), MP Schedule and Self-certification**
- **View master list of ARS**
- **View functional entity types**
- **Things to remember about the compliance process and the ARS Compliance Portal**

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

2. Sign-up

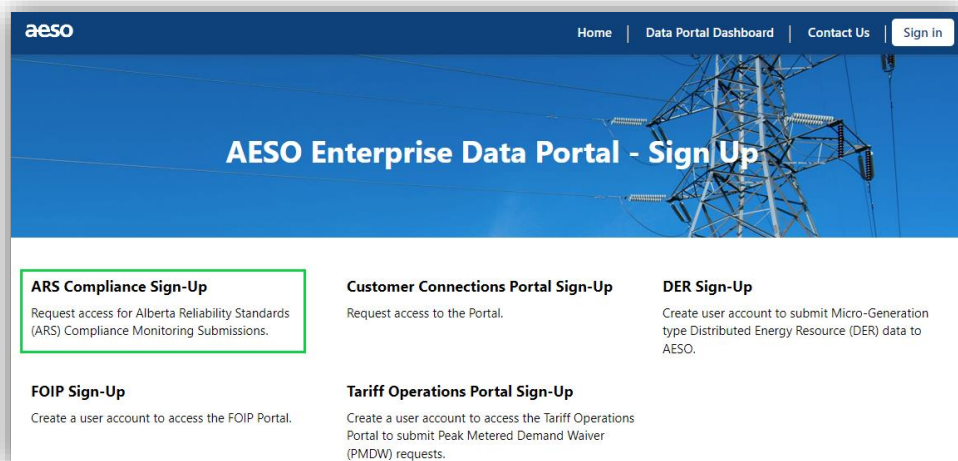
The market participant's primary, alternate and authorizing officer contacts that are registered with the ARS compliance monitoring program can request access to the ePortal via the sign-up process. The 'ARS Admins', which are part of the AESO's ARS compliance monitoring team, verify the sign-up requests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



2.1 Request Access

Steps to sign-up for the ARS Compliance portal:

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



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

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 *

b4xtr6c
Generate a new image
Play the audio code
Enter the code from the image

Submit

- Complete the sign-up form, click 'Submit' button at the bottom of the page.
Note: The MP users can request access to the ePortal only after their MP registration is created and they are added as an MP contact (section 4.1).
- The sign-up request is sent to the AESO's ARS Admin and a submission successful message will be displayed on the page with details of what to expect next, as shown, below.

ARS Compliance Sign-Up

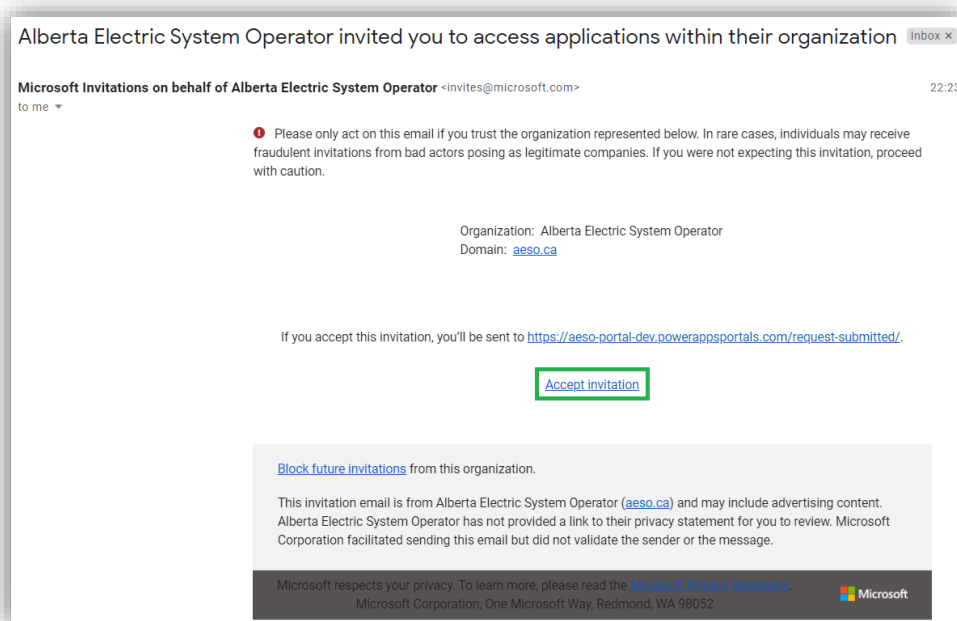
Only Registered Market Participants (MP) for ARS Compliance can request access to the AESO ARS Portal.
If you are not a registered MP already, please go to [link](#) to register for AESO ARS Compliance use the same details as provided in your registration.
Your Registration cannot be updated from here

Thank you for signing up to access the ARS Compliance Portal! The ARS Compliance Portal is part of a suite of AESO online portals. Depending on your applicable scenario, you can expect the following:

- If this is your first time signing up to one of our portals,
 - You will receive an email invite from Microsoft on behalf of the AESO.
 - You must click on 'Accept Invitation' to enable your access. Please follow any instructions as requested.
 - 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.

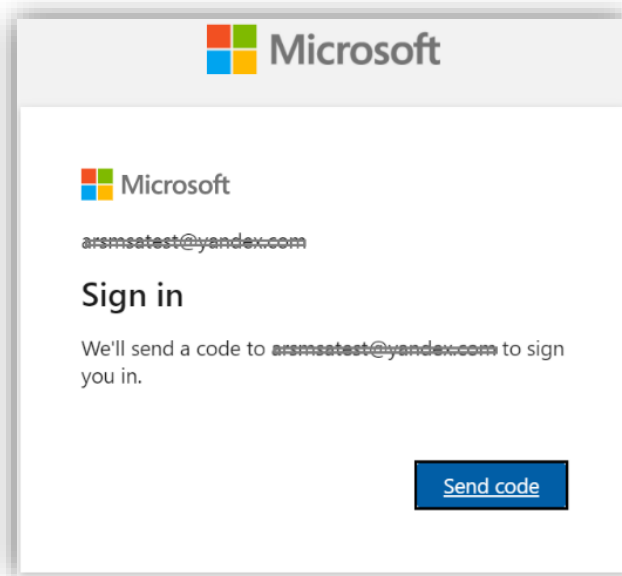
- If the access is 'Approved' by the ARS admin, then,

- 5.1. the applicant will receive a Microsoft Invitation email, on behalf of the AESO to be included in the AESO's Azure Active Directory. The applicant must 'Accept Invitation'.

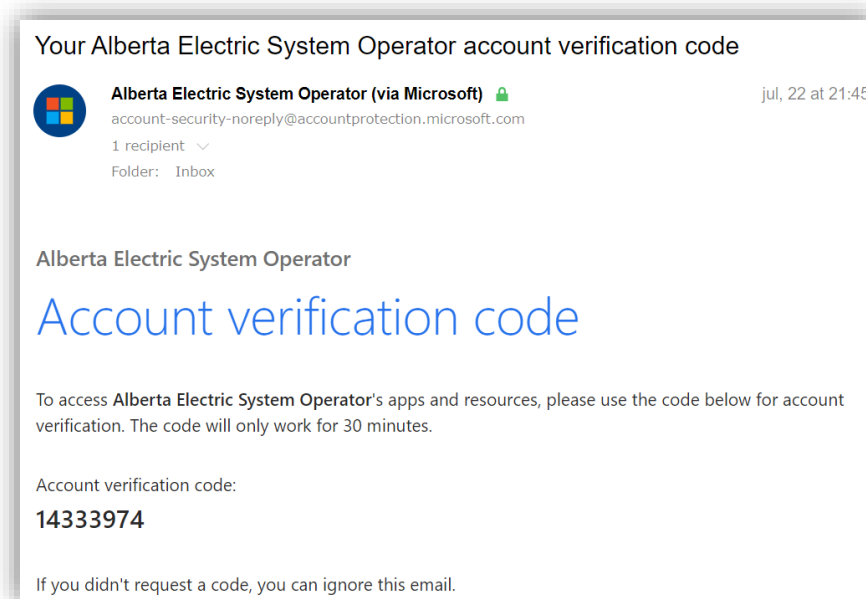


- 5.2. 'Accept Invitation' will take user to either of the two pages mentioned below depending on Microsoft verification:

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

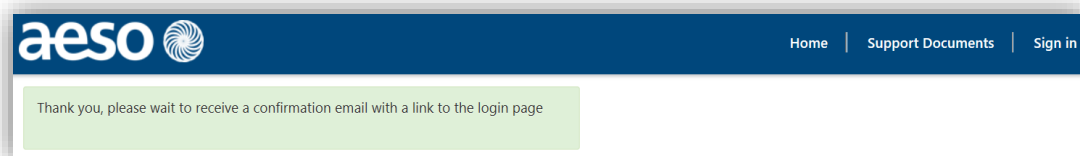


The applicant will need to follow the steps to verify the email by sending code. An example of an 'Account verification code' email is given below.

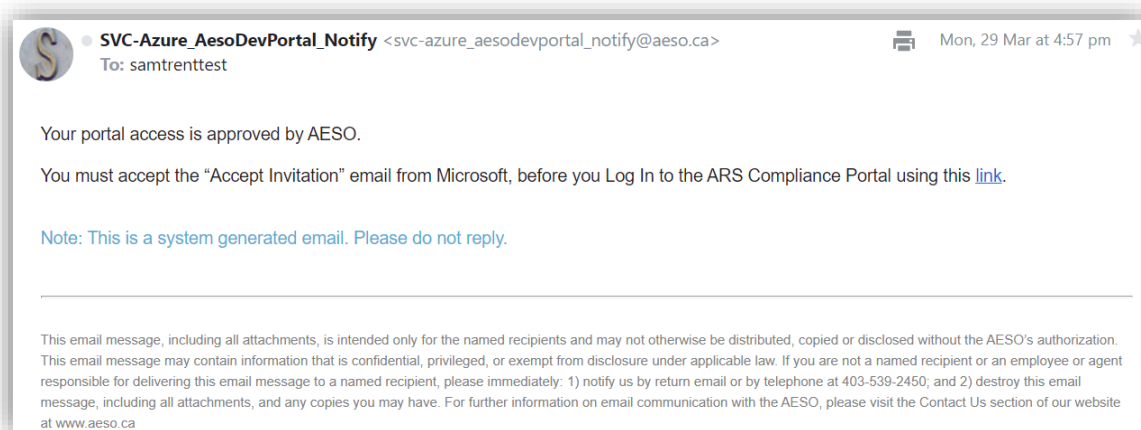


After account verification is complete the page mentioned in 5.2.2 will be displayed.

5.2.2. If Microsoft trusts the email domain, then the user will need to verify their email address. They will be directed to a page instructing user to wait for a 'Access approved' confirmation email in their mailbox.



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



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



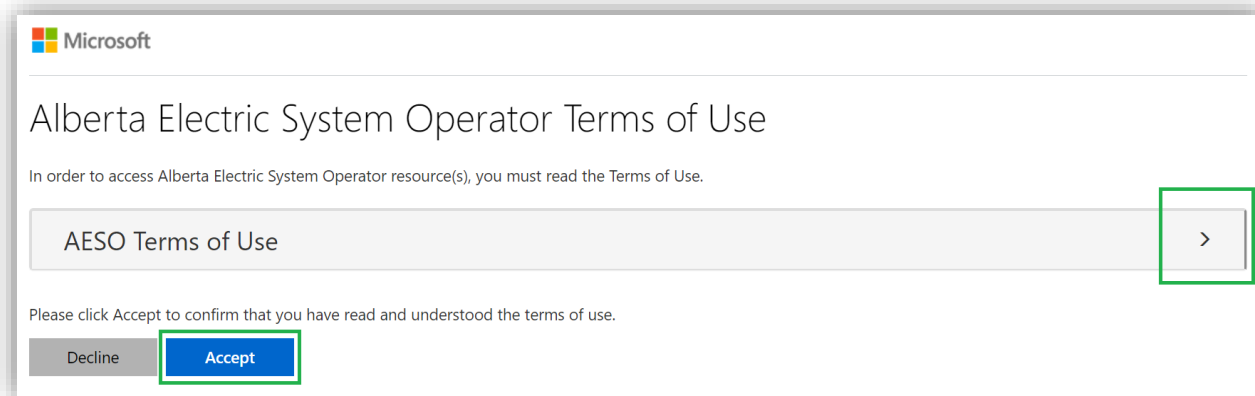
Note: If the user represents more than one market participant, they will need to sign-up multiple times, using each company name to sign-up.

3. Sign-In

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

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

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



Microsoft

Alberta Electric System Operator Terms of Use

In order to access Alberta Electric System Operator resource(s), you must read the Terms of Use.

AESO Terms of Use

Please click Accept to confirm that you have read and understood the terms of use.

Decline Accept

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



Apps

Search my apps...

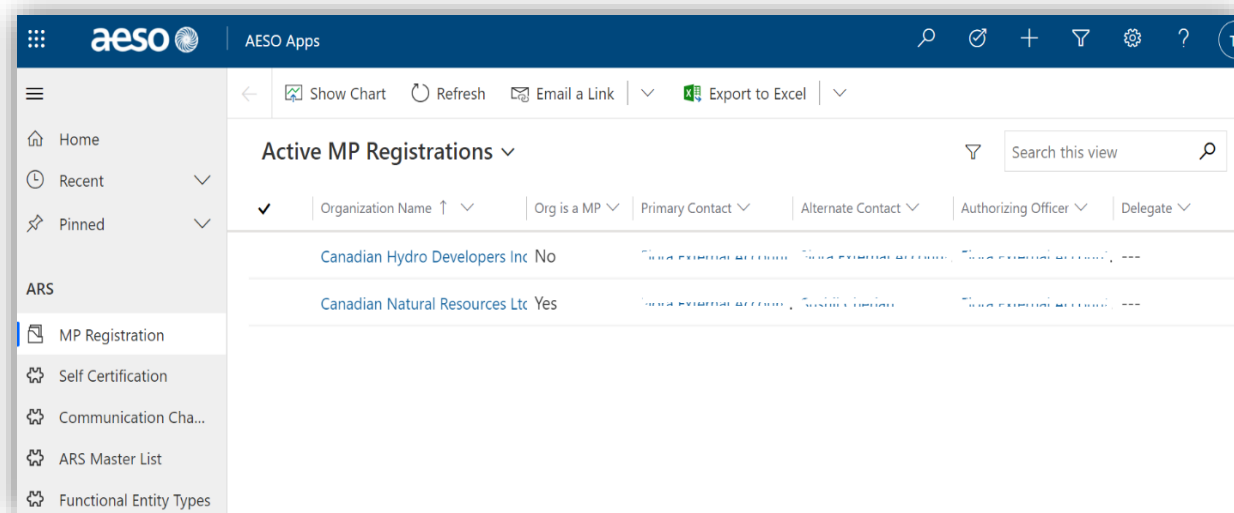
Published Apps (1)

AESO Apps

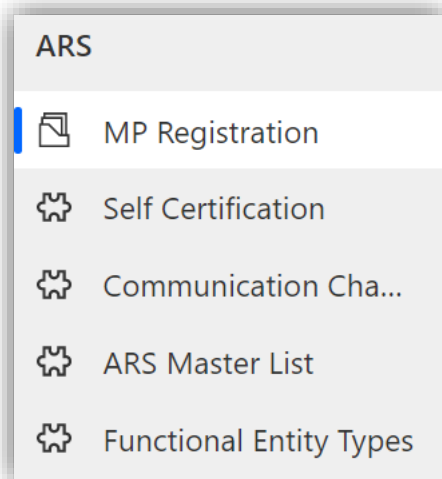
AESO Enterprise Data Portal

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

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



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



4. Market Participant Registration

4.1 Create, view and update market participant registration

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

4.1.1 Create MP Registration

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

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

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

4.1.2 View MP Registration

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

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

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

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

Jane Test Company - Saved Account

Summary Documents Related

ORGANIZATION INFORMATION

Corporate Name * Jane Test Company (Legal Name)

Operating / Other Name

Corporate Address * 1302 Forand Street SW

City * Calgary Province / State * AB Postal Code * T3E 5S4

Compliance Primary Contact * Compliance Officer Compliance Alternate Contact Authorized Entity * Compliance Officer Officer Contact

Functional Entity Types

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

Rows: 4

Authorizing Officer's Delegate

Authorizing Officer's Delegate * No

Effective From Effective To

Delegate Contact

Additional Contacts

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

Refresh Flow Export Contacts See all records

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

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

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

MP Functional Entity Types

General Related ▾

Organization *

Functional Entity * Type

MP Effectivity * Begin

MP Effectivity * End

Org is Provider for ☒ FE

Org is Registered ☒ for FE

MP Comments

DDP Information Refresh

☐ DDP Information ↑ ▾

☐ [DDP-SPC-HPC-011924-01](#)

☐ [DDP-SPC-HPC-011924-03](#)

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

4.1.3 Update MP Registration

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

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

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

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

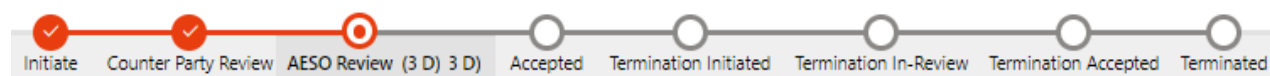
4.2 Designation of Documentation Provider (DDP)

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

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

4.2.1 DDP Workflow

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



Stage	Stage Description	User permissions
Initiate	MP's Primary/ Alternate/ Authorizing Officer (AO) contact	Read/ Write DDP form (Stage Owner) – Initiating MP's Primary/ Alternate/ AO Read-only DDP form –

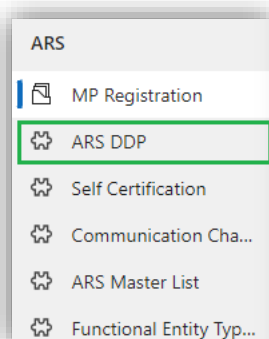
Stage	Stage Description	User permissions
	<p>initiate a new DDP as a designator or provider.</p>	<p>Initiating MP's Additional contact AESO's ARS admin</p> <p>DDP not visible – Counter Party contacts</p> <p>Read/ Write Notes – Initiating MP's Primary/ Alternate/ AO AESO's ARS admin</p>
Counter Party Review	<p>After completing DDP form, the MP's Primary/ Alternate/ AO contact forwards it to the Counter party (other MP) for review & acceptance, thus moving the stage.</p> <p>If the DDP needs any corrections then the counter party MP's Primary/ Alternate/ AO can move it back to 'Initiate' stage.</p>	<p>Read/ Write DDP form (Stage Owner) – Counter Party MP's Primary/ Alternate/ AO</p> <p>Read-only DDP form – Initiating MP's Primary/ Alternate/ AO Initiating MP's Additional contact Counter Party MP's Additional contact AESO's ARS admin</p> <p>Read/ Write Notes – Initiating MP's Primary/ Alternate/ AO Counter Party MP's Primary/ Alternate/ AO AESO's ARS admin</p>
AESO Review	<p>After review, if the Counter Party agrees to the contract, then they pass the DDP to AESO for Review. In review ARS Team reviews the DDP agreed by 2 MPs and flags any concerns, if needed.</p> <p>If the AESO finds any loopholes then it can pass the DDP back to the counter party or the initiating MP for corrections.</p>	<p>Read/ Write DDP form (Stage Owner) – AESO's ARS admin</p> <p>Read-only DDP form – Initiating MP's Primary/ Alternate/ AO Initiating MP's Additional contact Counter Party MP's Primary/ Alternate/ AO Counter Party MP's Additional contact</p> <p>Read/ Write Notes – Initiating MP's Primary/ Alternate/ AO Counter Party MP's Primary/ Alternate/ AO AESO's ARS admin</p>
Accepted	<p>After review, if AESO's ARS Team has no concerns with the DDP then they will pass it on to Accepted state.</p> <p>The DDP should be accepted</p>	<p>Read/ Write DDP form (Stage Owner) – Initiating MP's Primary/ Alternate/ AO Counter Party MP's Primary/ Alternate/ AO</p> <p>Read-only DDP form – Initiating MP's Additional contact Counter Party MP's Additional contact</p>

Stage	Stage Description	User permissions
	<p>within 180days from the DDP effective begin date, else it will be nullified and deactivated.</p> <p>In this stage, contacts from both MPs have read-write permission to move it to next stage.</p>	<p>AESO's ARS admin</p> <p>Read/ Write Notes – Initiating MP's Primary/ Alternate/ AO Counter Party MP's Primary/ Alternate/ AO AESO's ARS admin</p>
Termination Initiated	<p>To end a DDP, any of the MPs in the DDP contract can initiate DDP's termination.</p> <p>Termination initiating MP's Primary/ Alternate/ AO shall move the DDP to Termination Initiated and enter the DDP Effective End date.</p>	<p>Read/ Write DDP form (Stage Owner) – Initiating MP's Primary/ Alternate/ AO</p> <p>Read-only DDP form – Initiating MP's Additional contact Counter Party MP's Primary/ Alternate/ AO Counter Party MP's Additional contact AESO's ARS admin</p> <p>Read/ Write Notes – Initiating MP's Primary/ Alternate/ AO Counter Party MP's Primary/ Alternate/ AO AESO's ARS admin</p>
Termination In- Review	<p>Termination initiating MP's Primary/ Alternate/ AO moves the DDP to Termination In-Review for counter party MP's review and acceptance.</p>	<p>Read/ Write DDP form (Stage Owner) – Counter Party MP's Primary/ Alternate/ AO</p> <p>Read-only DDP form – Initiating MP's Primary/ Alternate/ AO Initiating MP's Additional contact Counter Party MP's Additional contact AESO's ARS admin</p> <p>Read/ Write Notes – Initiating MP's Primary/ Alternate/ AO Counter Party MP's Primary/ Alternate/ AO AESO's ARS admin</p>
Termination Accepted	<p>If the Counter Party MP has no concerns, then the Primary/ Alternate/ AO moves the DDP to Termination Accepted.</p> <p>The DDP form becomes read-only for all users.</p> <p>The DDP termination should be accepted before the DDP</p>	<p>Read/ Write DDP form (Stage Owner) – None</p> <p>Read-only DDP form – Initiating MP's Primary/ Alternate/ AO Initiating MP's Additional contact Counter Party MP's Primary/ Alternate/ AO Counter Party MP's Additional contact AESO's ARS admin</p> <p>Read/ Write Notes – Initiating MP's Primary/ Alternate/ AO</p>

Stage	Stage Description	User permissions
	Effective End date or 180days , whichever is earlier, else the termination will be nullified and the DDP will move back to Accepted state with original DDP Effective End date.	Counter Party MP's Primary/ Alternate/ AO AESO's ARS admin
Terminated	<p>On DDP Effective End date, DDP automatically moves to deactivated view with status Terminated.</p> <p>The DDP form becomes read-only for all users where it cannot be activated again.</p> <p>Notes can be added in Terminated (Deactivated) DDP as well.</p>	<p>Read/ Write DDP form (Stage Owner) – None</p> <p>Read-only DDP form – Initiating MP's Primary/ Alternate/ AO Initiating MP's Additional contact Counter Party MP's Primary/ Alternate/ AO Counter Party MP's Additional contact AESO's ARS admin</p> <p>Read/ Write Notes – Initiating MP's Primary/ Alternate/ AO Counter Party MP's Primary/ Alternate/ AO AESO's ARS admin</p>

DDP – INITIATE

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



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

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

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

New ARS DDP - Unsaved

ARS DDP BPF
Active for less than one minute

Initiate (< 1 Min) Counter Party Review AESO Review

General Notes

Indicate your Entity * ---

Designator's Corporate name * --- Provider's Corporate name * ---

Preferred Schedule * Provider's schedules

DDP Effective Begin * 1/22/2024 DDP Effective End * 12/30/2999

Modified By Modified On

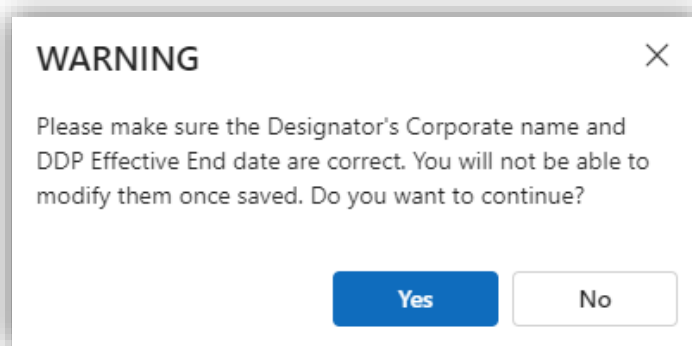
Function Entity Types

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

The form fields are described below:

Field Name	Field Description
Indicate your Entity	The MP needs to select one of the two entity types from the drop-down list – Designator or Provider, based on their role in the DDP contract.
Designator's Corporate name	Initiating MP's Corporate name gets auto populated, if the MP chooses to be a 'Designator' as their entity, in the previous field. If the user is a contact for more than 1 MP, then they must pick the right MP from the list using search icon.
Provider's Corporate name	Initiating MP's Corporate name gets auto populated, if the MP chooses to be a 'Provider' as their entity, in the previous field. If the user is a contact for more than 1 MP, then they must pick the right MP from the list using search icon.
Preferred Schedule	The default value is 'Provider's Schedule'. In case the Initiating MP wants to select Designator's Schedule, then they can do that, but a pop-up will notify them to contact AESO's ARS Admin.
DDP Effective Begin	Initiating MP must enter the DDP contract's begin date, which cannot be in the past. The default date is set to current date.
DDP Effective End	This is auto populated by an end of time date, 12/30/2999. Do not update this date until the DDP is Accepted. If the DDP effective end date is known at the time of initiation, then wait for DDP to be Accepted, then move the DDP to Termination Initiated state and update DDP Effective end date. Thereafter, complete the termination steps till Termination Accepted for the DDP to terminate on time.
Modified By	This is auto populated by the name of the user modifying the DDP form.
Modified On	This is auto populated by the time when the DDP form was last modified.

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



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

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

ARS DDP BPF
Active for 1 minute

Initiate (1 Min) Counter Party Review AESO Review Accepted

General Notes Related

Indicate your Entity * Provider

Designator's Corporate name * Smiley Power Corporation

Provider's Corporate name * Happy Power Company Ltd.

Preferred Schedule * Provider's schedules

DDP Effective Begin * 1/24/2024

DDP Effective End * 12/31/2999

Modified By #janetest947

Modified On 1/22/2024 2:13 PM

Function Entity Types

+ New ARS DDP Funcio...

Functional Entity Types ↑ Applicable to All Facilities? Facility Name

We didn't find anything to show here

7. A new page will open to add the FE details for the DDP. Fill in the details and 'Save'. Add all the FEs one by one. The FEs to be added should meet following conditions, else the FE will not get added to the DDP:

- FE Designator's FE Effectivity Begin date <= DDP Effective Begin date
- FE Designator's FE Effectivity End date => DDP Effective End date
- Designator's 'Org is Registered for' flag for the FE = YES

The screenshot shows a web form titled "New ARS DDP Functional Entity". At the top, there are navigation buttons: a back arrow, a forward arrow, a "Save" button (highlighted with a green box), and a "Save & Close" button. Below the title bar is a tab labeled "General". The form contains three input fields, each with a red asterisk indicating it is required:

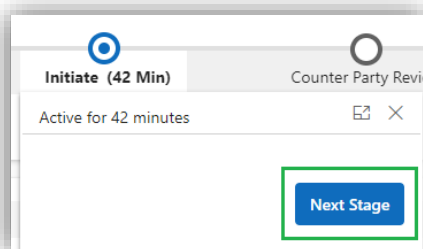
- Functional Entity Types**: A dropdown menu with a search icon on the right.
- Applicable to All Facilities?**: A dropdown menu currently showing "No".
- Facility Name**: A text input field.

The form fields are described below:

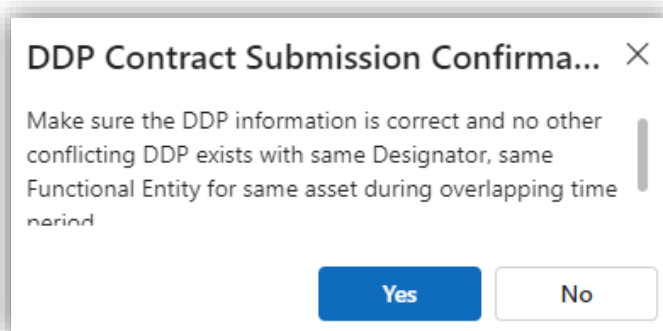
Field Name	Field Description
Functional Entity Type	Select the FE for the DDP contract using the search icon. Only FEs present in Designator's MP registration, can be selected. If the FE is not present in Provider's MP registration, then the DDP will not show in their MP registration. So, before creating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

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

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

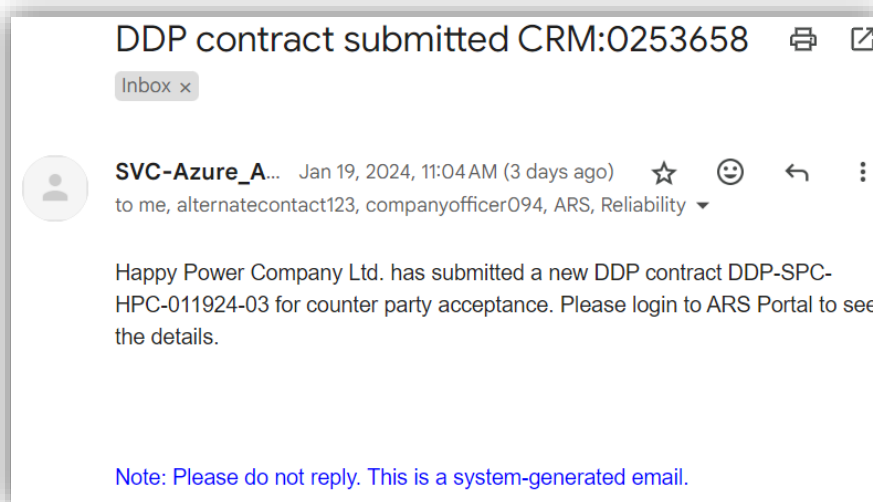


9. User will get a pop-up to confirm the stage move. Click 'Yes' to confirm.

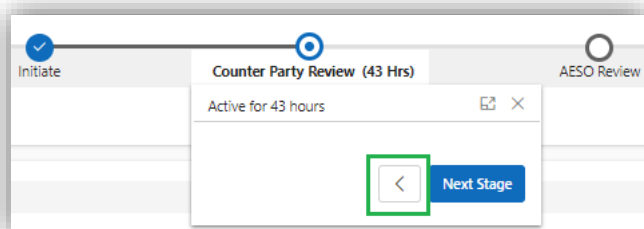


DDP – COUNTER PARTY REVIEW

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

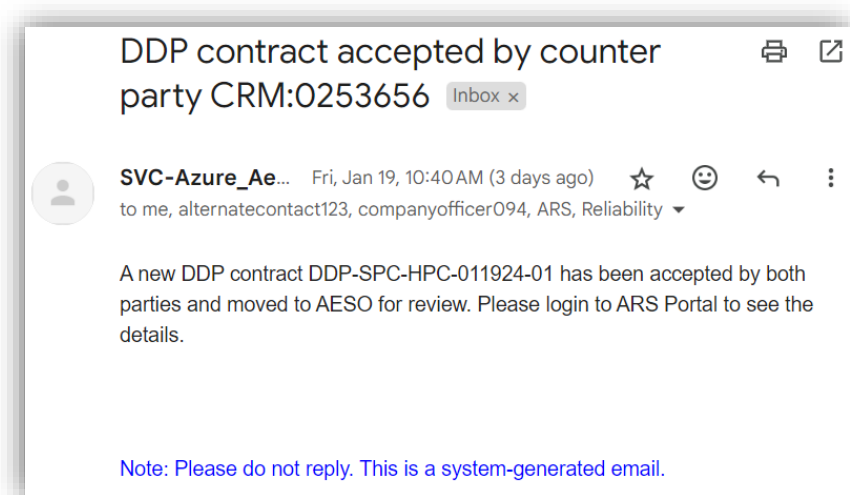


If they do not have any concerns, the other MP contact (Primary/ Alternate/ AO) shall move the DDP forward for AESO's Review, else they can move it backwards to the DDP initiating MP for corrections. Use backward arrow to move the DDP back to 'Initiate' stage. Use 'Notes' (see 4.2.3) feature to add details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



DDP – AESO REVIEW

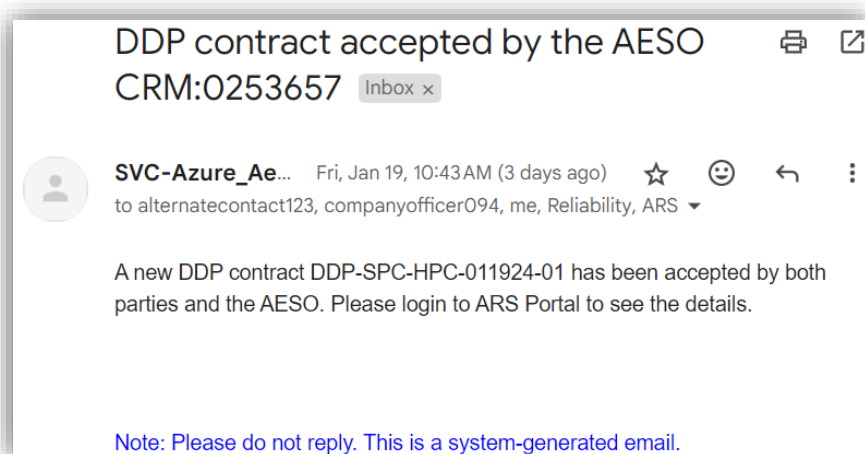
When the DDP is moved to 'AESO Review', then AESO's ARS team will get notified for their review and acceptance. The Primary and Alternate contacts of both the MPs, in the DDP, will also get notified, for information only.



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

DDP – ACCEPTED

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



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

DDP – TERMINATION INITIATED

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

DDP-SPC-HPC-011924-01 - Unsaved
ARS DDP

ARS DDP BPF
Active for 3 days

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

General | Notes | Related

Indicate your Entity * Designator

Designator's Corporate name * Provider's Corporate name *

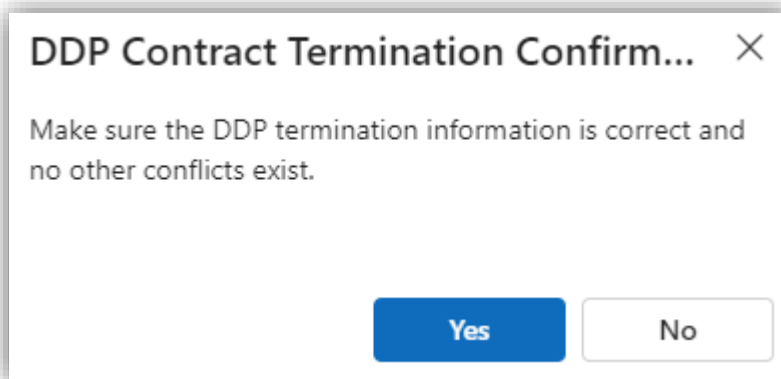
Preferred Schedule * Provider's schedules

DDP Effective Begin * DDP Effective End *

Modified By #janetest947 Modified On

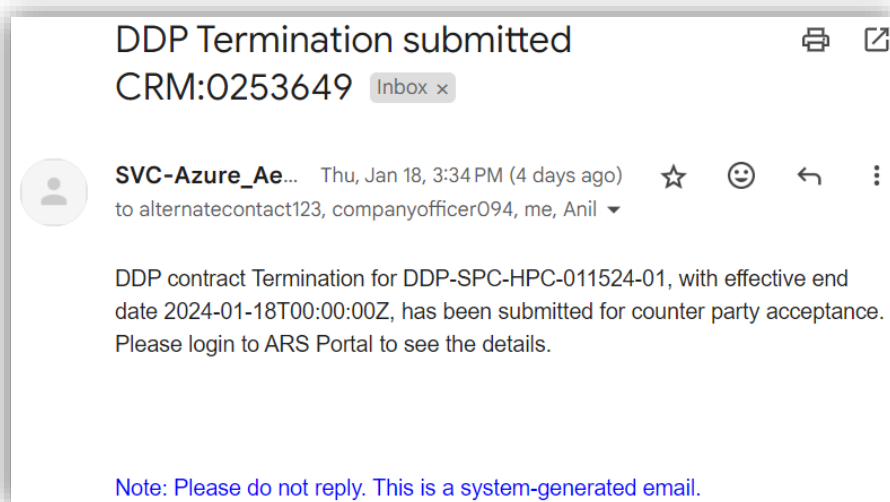
Note: A DDP can be terminated only from the 'Accepted' stage by Primary/ Alternate/ AO contacts of any of the two MPs in the DDP contract. Once it's moved to 'Termination Initiated', only the MP who moved it from 'Accepted' stage will be able to modify the date.

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



DDP – TERMINATION IN-REVIEW

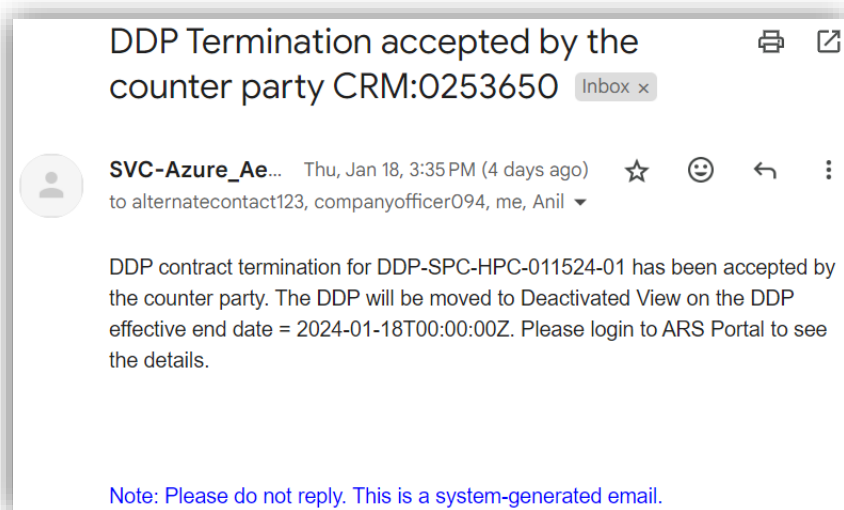
When the DDP is moved to 'Termination In-review', the Primary and Alternate contacts of the other MP, in the DDP, will get notified that a DDP termination has been submitted for their review and acceptance. The AESO's ARS team will also get notified, for information only.



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

DDP – TERMINATION ACCEPTED

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



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

DDP – TERMINATED

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

4.2.2 View DDP

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

From MP Registration

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

The screenshot shows the AESO Sandbox application interface. The left sidebar contains navigation options, with 'MP Registration' highlighted. The main content area displays the 'Happy Power Company Ltd.' account page. The 'Functional Entity Types' table is shown, with the 'DDP Information' column highlighted. The table lists various functional entity types and their associated DDPs.

Functional Entity Type	MP Effectiveness Begin	MP Effectiveness End	Org is Provider for FE	Org is Registered for FE	DDP Information	MP Contact
Legal owner of a generating unit	1/1/2022	12/30/9999	Yes	Yes	... DDP-SPC-HPC-011524...	Test A
Legal owner of an aggregated	2/1/2023	12/30/9999	Yes	Yes	1/11/
Market Participant	1/19/2024	12/30/9999	Yes	Yes	DP-SPC-HPC-011924-01...	
Operator of an aggregated ge	1/16/2020	12/30/9999	Yes	Yes		

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

The screenshot shows the 'New MP Functional Entity Types' form. The 'Organization' field is set to 'Happy Power Company Ltd.' and the 'Functional Entity Type' is 'Market Participant'. The 'MP Effectiveness Begin' date is '1/19/2024' and the 'MP Effectiveness End' date is '12/30/9999'. The 'Org is Provider for FE' and 'Org is Registered for FE' checkboxes are checked. The 'MP Comments' field is empty. The 'DDP Information' section is highlighted with a green box, showing a list of DDPs: 'DDP-SPC-HPC-011924-01' and 'DDP-SPC-HPC-011924-03'.

Organization *

Functional Entity Type *

MP Effectiveness Begin *

MP Effectiveness End *

Org is Provider for FE ☒

Org is Registered for FE ☒

MP Comments

DDP Information

☐ **DDP Information**

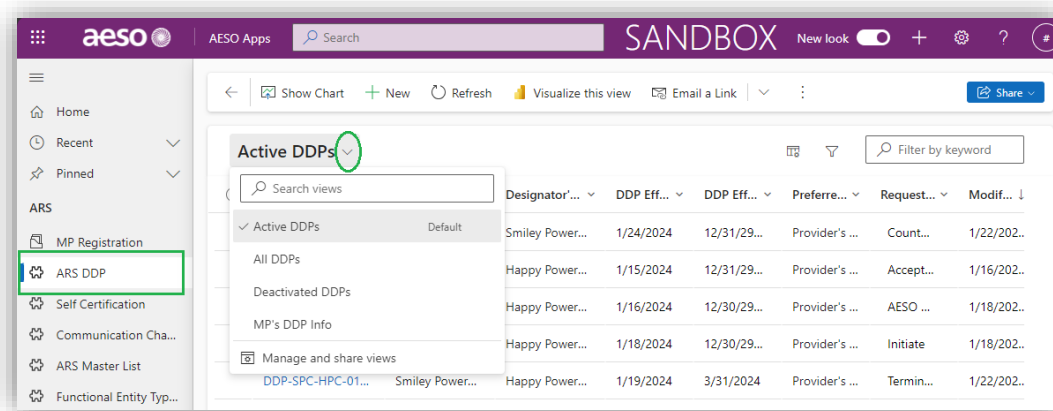
☐ **DDP-SPC-HPC-011924-01**

☐ **DDP-SPC-HPC-011924-03**

From ARS DDP

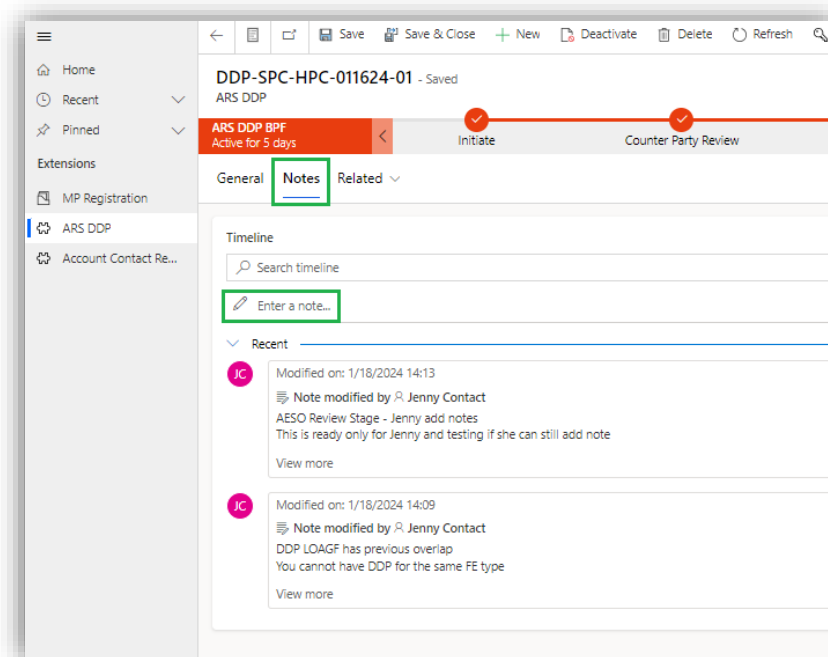
Go to 'ARS DDP' on the 'Site Map'/ left menu that will bring up the list of all the active DDP contracts for the MP, by default. To see their deactivated DDPs MPs can change their view using the down arrow next to the view. Double click on the record to see its details.

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



4.2.3 Add Notes

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



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

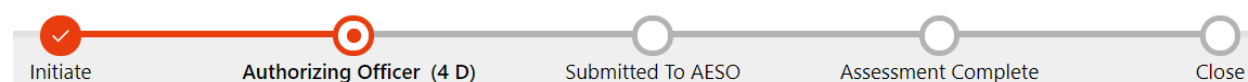
The screenshot displays the Aeso application interface. On the left is a sidebar with navigation options: Home, Recent, Pinned, Extensions, MP Registration, ARS DDP (selected), and Account Contact Re... The main content area shows a case titled 'DDP-SPC-HPC-011624-01 - Saved' under 'ARS DDP'. A progress bar at the top indicates three steps: 'ARS DDP BPF Active for 5 days' (completed), 'Initiate' (completed), and 'Counter Party Review' (in progress). Below the progress bar, the 'Notes' tab is selected, showing a 'Create a note' form with a 'Title' field and a large text area for 'Enter text...'. A rich text editor toolbar is visible below the text area. At the bottom right of the form, there are 'Add note' and 'Cancel' buttons. The 'Add note' button is highlighted with a green box.

5. Self-certification

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

5.1 Self-certification workflow

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



Stage	Stage Description	User permissions
Initiate	<p>AESO ARS team initiates new Self-certification (SC) with required app standards and informs the Market participant (MP).</p> <p>MP's primary and alternate contacts are notified.</p> <p>MP's team views the new SC in INITIATE state and performs assessment for each applicable standard.</p>	<p>Stage owner is market participant's Primary/ Alternate - Read/ Write self-certification form</p> <p>AESO's ARS admin - Read-only self-certification form</p>
Authorizing Officer	<p>After completing Self-certification assessment, the MP contact moves the self-certification to authorizing officer stage for MP's Authorizing Officer to generate Officer's Certificate and submit the self-certification to AESO.</p> <p>If the self-certification needs any corrections, then the Authorizing Officer can move it back to 'Initiate' stage.</p>	<p>Stage owner is MP's Authorizing Officer - Read-only self-certification form Generate Officer's Certificate</p> <p>MP's Primary/ Alternate/ Additional - Read-only self-certification form Read-only Officer's Certificate</p> <p>AESO's ARS admin - Read-only self-certification form Read-only Officer's Certificate</p>
Submitted to AESO / In Review	<p>After generating Officer's Certificate, the Authorizing Officer submits it to AESO for Review. In review ARS Team reviews</p>	<p>Stage owner is AESO's ARS Team - Read-Write self-certification form Read-only Officer's Certificate</p>

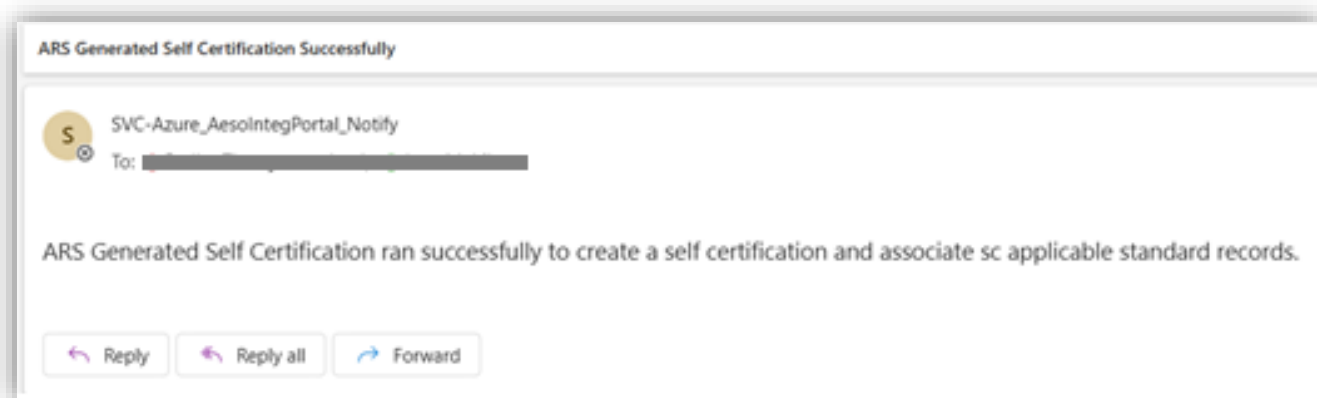
Stage	Stage Description	User permissions
	<p>the self-certification assessment done by the MP and flags any concerns, if needed.</p> <p>The self-certification <u>cannot</u> be moved back to 'Authorizing Officer'.</p> <p>In Review, self-certification can be flagged as NoD or IR as needed. The NoD & IR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

Stage	Stage Description	User permissions
		MP's Primary/ Alternate/ Additional - Read-only self-certification form Read-only Officer's Certificate
Assessment Complete	<p>After completing MP's self-certification assessment in 'In Review' stage, the ARS team marks the self-certification Assessment Complete.</p> <p>Assessment Complete can be flagged for 'MSA Referral' or 'TAL', if needed and then moved to next stage 'Closed'.</p>	Stage owner is AESO's ARS Team - Read-only MP's data in self-certification form Read-Write ARS team section in self-certification form Read-only Officer's Certificate MP's Authorizing Officer - Read-only self-certification form Read-only Officer's Certificate MP's Primary/ Alternate/ Additional - Read-only self-certification form Read-only Officer's Certificate
Assessment Complete (MSA Referral)	ARS team flags self-certification for 'MSA referral' if MP's self-certification assessment is not satisfactory , and a referral is made to MSA at the time of assessment completion.	Stage owner is AESO's ARS Team - Read-only MP's data in self-certification form Read-Write ARS team section in self-certification form Read-only Officer's Certificate MP's Authorizing Officer - Read-only self-certification form Read-only Officer's Certificate MP's Primary/ Alternate/ Additional - Read-only self-certification form Read-only Officer's Certificate

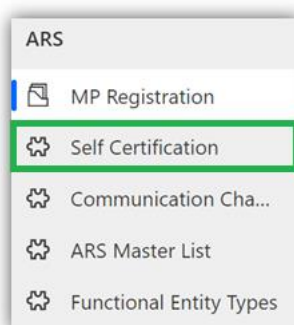
Stage	Stage Description	User permissions
Assessment Complete (TAL)	ARS team flags self-certification for 'TAL' if MP's self-certification assessment is not satisfactory, and a Technical Assessment Letter is sent to the MP at the time of assessment completion.	<p>Stage owner is AESO's ARS Team - Read-only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

Self-certification – INITIATE

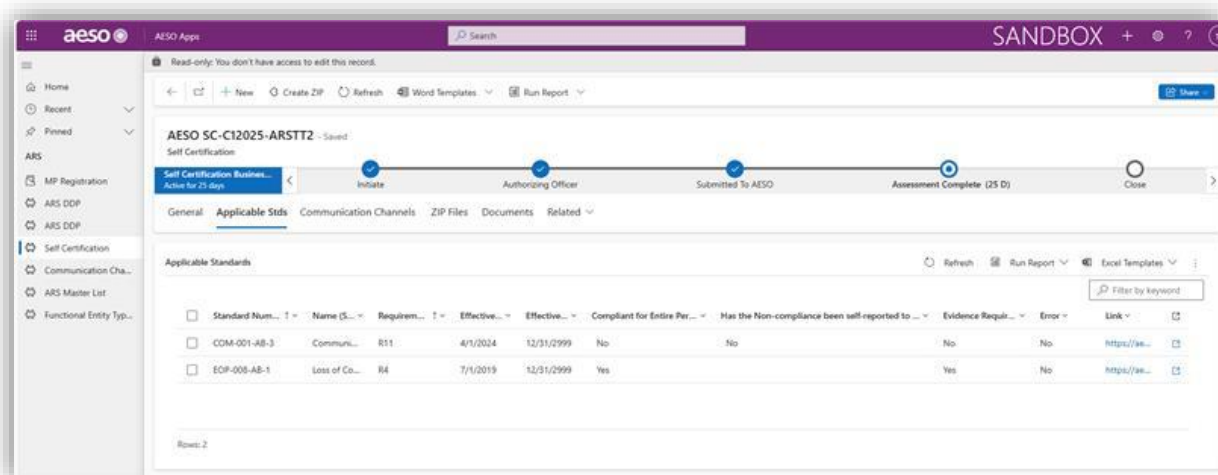
Only the AESO ARS team can INITIATE a Market Participant's Self-certification. They will identify the self-certification type (with or without evidence), its SC period begin and end dates and the Applicable Standards. The Market Participant (MP) Primary and Alternate contacts are notified by email once the Self-certification is initiated by the AESO.



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



2. 'Active Self-certifications' view on the self-certification summary page will open with all the active self-certification records for the market participant.
3. Select the one required for the current self-certification, it should be in INITIATE stage.
4. Verify the self-certification dates as well as the applicable standards from the 'Applicable Stds' tab.



The form fields are described below:

Field Name	Field Description
Self-certification for	This field is pre-populated with the market participant's name.
DDP Information	This field is populated from the MP registration. This information will also get populated on the related Officer's Certificate. The field is limited to 200chars.
Self-certification Period Begin Date	This field is pre-populated with the Self-certification Period Begin Date as per the 'Self-certification notification'.
Self-certification Period End Date	This field is pre-populated with the Self-certification Period End Date as per the 'Self-certification notification'. This date cannot be before the Self-certification Period Begin Date.
Submission Deadline	This field is pre-populated by the AESO ARS team.
Late Submission	This flag is auto set. Its default value is 'No', but it switches to 'Yes' if the actual date of submission is after the 'Submission Deadline' date. The user must get AESO's approval for submission date extension to avoid flagging.
Additional Comments	This is an optional field. User can choose to enter any Self-certification related comments/ details here. The field is limited to 1000chars.

Note: To avoid Late Submission, a user must contact AESO and get submission date extended.

5. After verifying the Self-certification details, go to 'Applicable Standards' tab Provide applicability details for each of the applicable standards. This can be done by, individual record change i.e. only one standard at a time is updated. This can be done any of the following ways:
 - i. (Recommended) Using the link in the record to open the standard in another tab, which will keep the filter or sorting order on the list of standards on the main tab.

Standard Nu...	Name (SC Ap...	Requirement ...	MP's FE	Effective Begi...	Effective End ...	Applicability	Fully Co...	Non-Co...	Violat...	Addition...	Error	Error Mes...	Link
EOP-003-AB...	Load Sheddi...	R11	Market Participar	12/16/2012	12/30/2999	Applicable	Yes	N/A	N/A	---	No	---	https://aeso-portal-integ.crm3.dynamics.com/main.aspx?appid=c2c7aueb-593f-eb11-a813-000d3af46b49&forceU...
EOP-003-AB...	Load Sheddi...	R1.1	Market Participar	12/16/2012	12/30/2999	Applicable	Yes	N/A	N/A	---	No	---	https://aeso-portal-integ.crm3.dynamics.com/main.aspx?appid=c2c7aueb-593f-eb11-a813-000d3af46b49&forceU...
PRC-021-AB...	Under Volta...	R3	Market Participar	1/1/2013	12/30/2999	Applicable	N/A	N/A	N/A	---	Yes	Fully Co...	https://aeso-portal-integ.crm3.dynamics.com/main.aspx?appid=c2c7aueb-593f-eb11-a813-000d3af46b49&forceU...

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

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

Fill details in the 'SC Applicable Std' General tab. The ones with lock sign are pre-populated by the ARS Portal. Error, Error Message and Link will be auto populated.

New SC Applicable Std - Saved

SC Applicable Std

General Related

General

Applicable Standard Communications

Standard Number * COM-001-AB-3

Requirement Number * R11

Self-Certification Period * 2/23/2025

Begin Date

Self-Certification Period * 3/2/2025

End Date

Compliant for Entire Period * No

Start of Non-compliance * 3/4/2025

End of Non-compliance * 4/2/2025

Description of Non-compliance * test

Has the Non-compliance been self-reported to MSA? * No

Evidence Required for Self-Certification * No

Additional Comments

Error Message

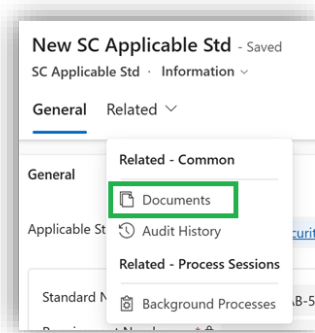
Error * No

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

The form fields that MP must fill-in are described below:

Field Name	Field Description
Compliant for entire period	MP User must enter YES, if they have been compliant for the standard for the entire Self-certification period, else NO.
Start of Non-Compliance	MP User must enter the start date of non-compliance, if they have been non-compliant for a duration within the Self-certification period.
End of Non-compliance	MP User must enter the end date of non-compliance, if they have been non-compliant for a duration within the Self-certification period.
Description of Non-Compliance	MP User must provide the details of the non-compliance for the standard during the entire Self-certification period. If there are more than one duration of non-compliance within the Self-certification period, then add other durations here.
Has the Non-compliance been self-reported to MSA?	MP User must enter YES, if they have reported their non-compliance to the MSA, for the standard.
MSA Report Number	MP User must provide the MSA Report Number, if they have self-reported on their non-compliance to the MSA, for the standard. It's a text field so user can add more than one MSA Report Number.
Evidence required for Self-certification	This field is pre-populated by the AESO ARS team (YES/ NO). <u>Note:</u> <i>If the Self-Certification is without evidence, then this field will be NO for all the standards in the Self-certification.</i> <i>If the Self-Certification is with evidence, then this field will be a mix of YES and NO for all the standards in the Self-certification.</i>
Description of Evidence required	MP User must provide the description of the evidence required, if 'Evidence required for Self-certification' = YES.
Additional Comments	This is an optional field. User can choose to enter any comments/ details related to the standard here.

6. If **Evidence required for Self-certification** is YES, then attach the evidence specific to the standard using the Related tab > Documents feature on the page.



7. 'Save' the changes before moving out of the window.
8. If **Evidence required for Self-certification** is YES, Evidence is not attached then, an error message will appear on 'Save'.

The screenshot shows the 'New SC Applicable Std - Unsaved' form. At the top, there's a purple header bar with 'AESIO Apps' and a search bar. Below the header, a yellow warning banner displays the message: 'Evidence document must be attached.' The form itself has a toolbar with icons for back, forward, save, save & close, and refresh. The form fields include:

- Self-Certification Period**: Begin Date (10/1/2024) and End Date (3/25/2025).
- Compliant for Entire Period**: A dropdown menu currently showing '---'.
- Evidence Required for Self-Certification**: A checkbox labeled 'Yes'.
- Description of Evidence Required**: A text input field.
- Additional Comments**: A text input field.
- Error Message**: A text area containing the message: 'Evidence document must be attached.Compliant for Entire Period is required;Non-compliance start and end dates are required;Description of non-compliance is required;Has the Non Compliance been reported is required;'.
- Error**: A checkbox labeled 'Yes'.
- Link**: A text input field containing a URL: 'https://aesio-portal.crm3.dynamics.com/main.aspx?appid=75265f57-f26a-eb11-a812-000d3a8419b5&forceUCI=1&pagetype=entity...'.

9. After completing the details for all applicable standards, move the self-certification to 'Authorizing Officer' stage - Click on the bull's eye and then click 'next stage'.

- b. Applicability for all the applicable standards must be filled in and they should be error free before market participant can move the Self certification to 'Authorizing Officer' state.

AESO SC1-C12021-CEI
Self Certification

General Applicable Stds Commun... Active for 70 hours

Next Stage >

Associated Applicable Standards

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

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

Self Certification Confirmation

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

Yes No

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

AESO SC1-C12021-CEI
Self Certification

General Applicable Stds Commun... Active for 70 hours

Next Stage >

Associated Applicable Standards

Standard Nu...	Name (SC Ap...	Requirement ...	MP's FE	Effective Begi...	Effective End ...	Applicability	Fully Complia...	Non-Complia...	Violation Typ...	Additional Comments	Error	Error Message	Link
R11	Market Participant	12/16/2012	12/30/2999	Applicable	Yes	N/A	N/A	---	No	---			
R1.1	Market Participant	12/16/2012	12/30/2999	Applicable	Yes	N/A	N/A	---	No	---			
R3	Market Participant	1/1/2013	12/30/2999	Applicable	N/A	N/A	N/A	---	Yes	Fully Compl...			

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

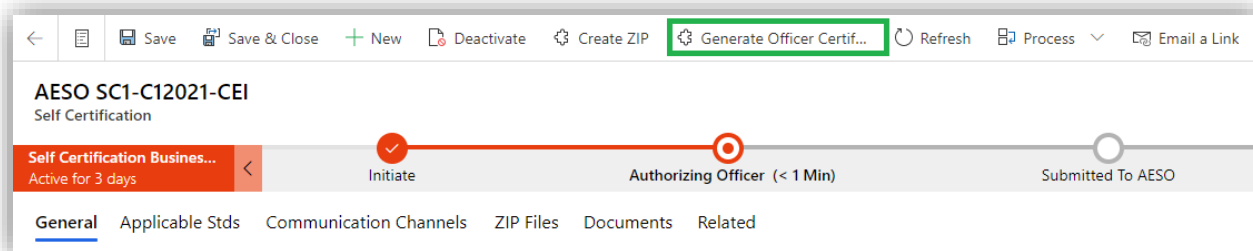
OK

Self-certification – AUTHORIZING OFFICER

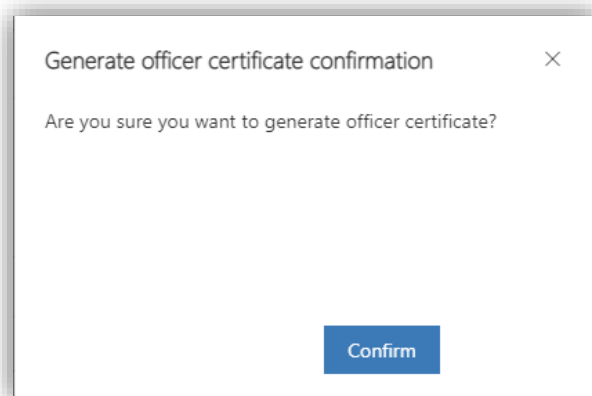
Authorizing Officer must be notified by the market participant's team (through their internal processes) to review the self-certification and sign the officer's certificate when satisfied with the self-certification. After signing the authorizing officer shall 'Submit' the self-certification to the AESO.

Steps to be performed by the AUTHORIZING OFFICER

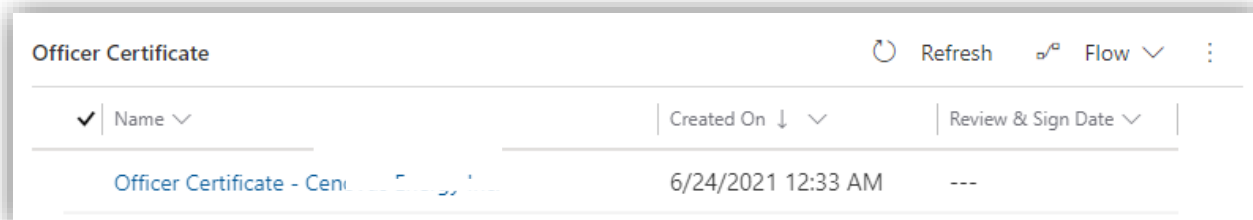
1. Open the Self-certification and review it.
2. When satisfied with the self-certification data, click 'Generate Officer Certificate' button to generate the officer's certificate.



3. Confirm the confirmation pop-up.



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



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

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

Officer Certificate - Cenovus Energy Inc.
Officer Certificate

AESO SC1-C12021-CEI
Self Certification

General Related

Submitted To AESO

To Independent System Operator, operating as AESO

7. Confirm the confirmation pop-up.

Officer Certificate Confirmation

Are you sure you want to submit the officer certificate?

Confirm Cancel

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

Officer Certificate - Calgary MP Test - Saved

AESO SC1-C22018-CMT
Self Certification

General Related

To Independent System Operator, operating as AESO

From Calgary MP Test

DDP

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

The undersigned, being the Dev Test of CMT hereby certifies for and on behalf of CMT that:

- CMT is familiar with and understands the self-certification process as provided in 7.5.3 of the Alberta Risk-Based Compliance Monitoring Program (ARCOMP) (the "Self-Certification Process").
- CMT has completed the Self-Certification Process including:
 - determining its compliance with Alberta Reliability Standards in scope of this self-certification and approved by the Alberta Utilities Commission pursuant to Section 19 of the **Transmission Regulation**.
 - completing this Officer Certificate together with the cover sheet and the applicable standards worksheet attached hereto (collectively referred to as the "Self-Certification").
- CMT 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 the notification letter provided by the AESO to CMT as set forth in Section 7.5.3 of the Alberta Risk-Based Compliance Monitoring Program (ARCOMP).
- To the best of the undersigned's knowledge and information, based on the foregoing process undertaken by CMT, the Self-Certification is complete, true and accurate.

Signed at Calgary AB on

Name

Title Dev Test

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

Self-certification – SUBMITTED to AESO (IN REVIEW)

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

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

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

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

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

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

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

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

The screenshot shows a window titled 'Submitted To AESO (28 Min)' with a sub-header 'Assessment Co'. Below the title bar, it says 'Active for 28 minutes'. There are two main sections: 'NOD' and 'Close'. Under 'NOD', there is a 'Close' button. Under 'IR', there is a 'Close' button. At the bottom, there is a blue button labeled 'Next Stage' with left and right arrows.

Self-certification - ASSESSMENT CLOSED

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

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

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

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

After 'Assessment Complete', the analyst will move the self-certification to 'Closed' state.

Self-certification - CLOSED

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

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

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

5.2 Download Self-certification data from the ePortal

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

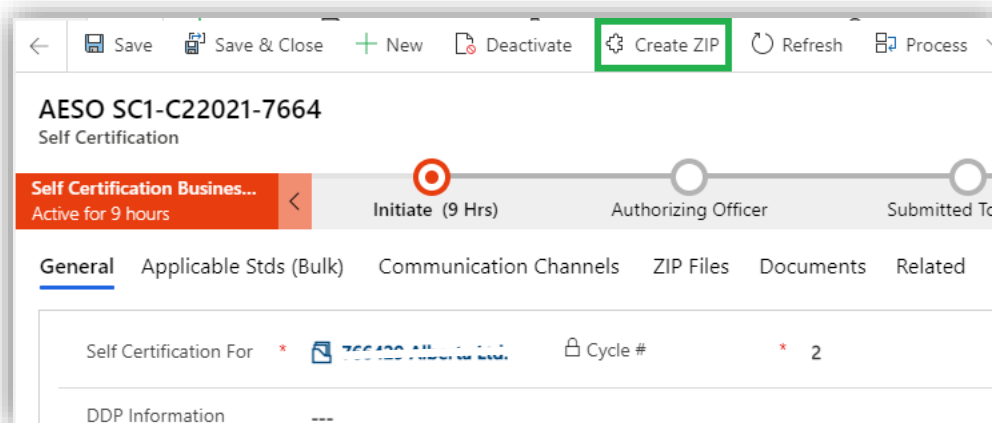
The self-certification specific data includes data in –

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

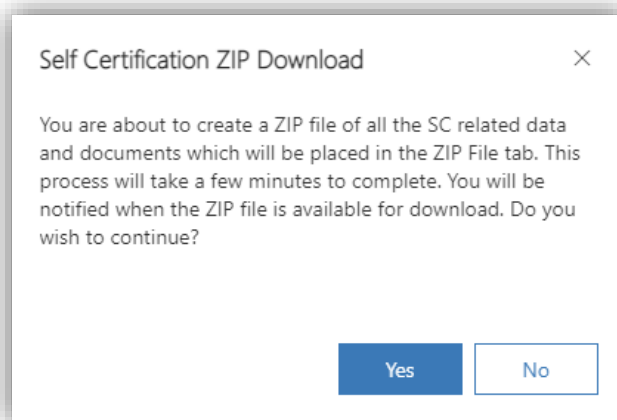
Note: A user can download data for only one self-certification at a time.

5.2.1 Steps to download self-certification data in a zip

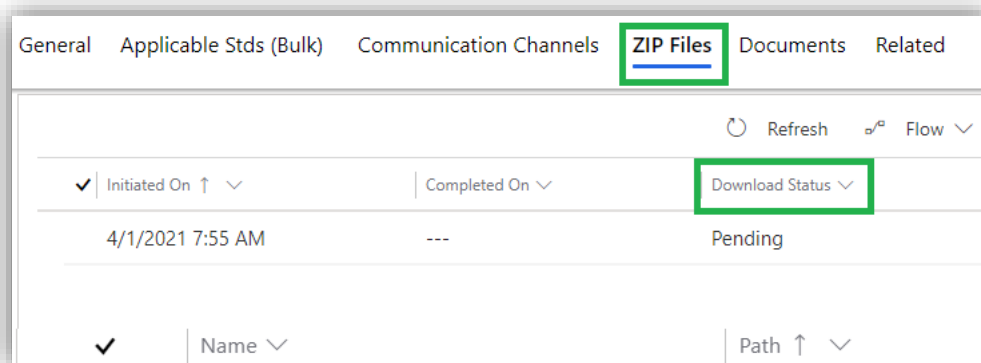
1. Open the self-certification that needs to be downloaded.
2. Click 'Create ZIP' button, at top of the self-certification 'General' tab.



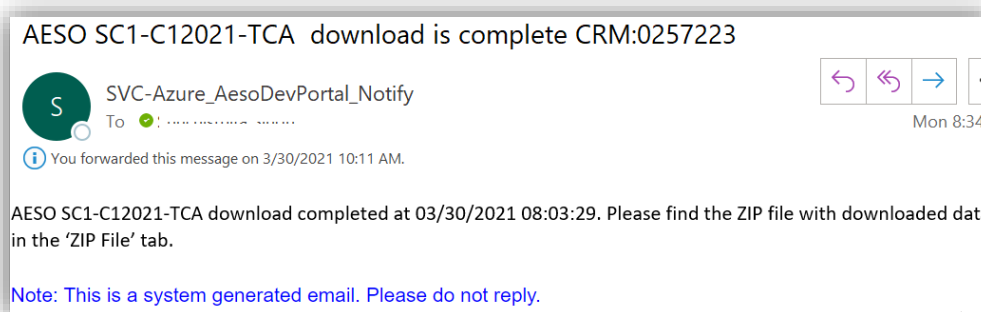
3. A pop-up to confirm download will show. Read and confirm the download.



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



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



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

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

7. A new page with the Zipped File record will open. Double click on the record will download the zipped file to the downloads folder. Users will need software on their machines to unzip the file and view or save the data as needed.

Home
Recent
Pinned
New Group
Self Certifications

New Zip File

Zip File

General Related

Regarding Entity * AESO SC1-C12021-TCA

Initiated On 3/25/2021 4:09 AM

Initiated By * pree gupta

Completed On 3/25/2021 4:20 AM

Download Status **Completed**

Documents + New ↑ Upload

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

Active

AESO SC1-C12021-....zip ^

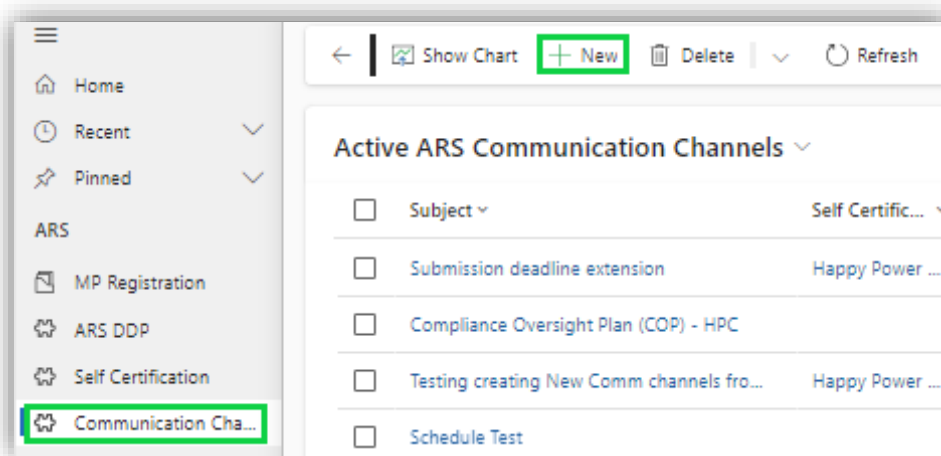
Show all

6. Communication Channel (CC)

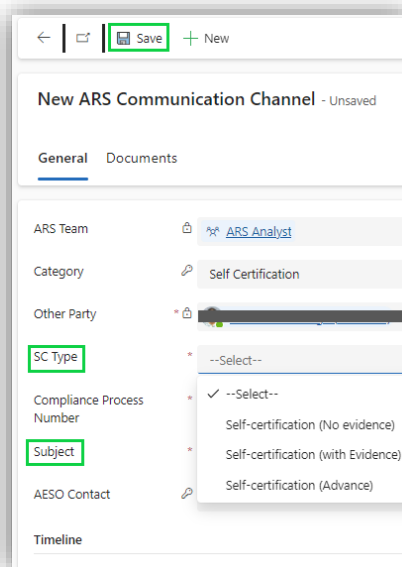
ARS compliance portal user can use the Communication Channel feature within the ePortal to establish a secure communication with AESO's ARS team from within the ePortal.

6.1 Create a communication channel

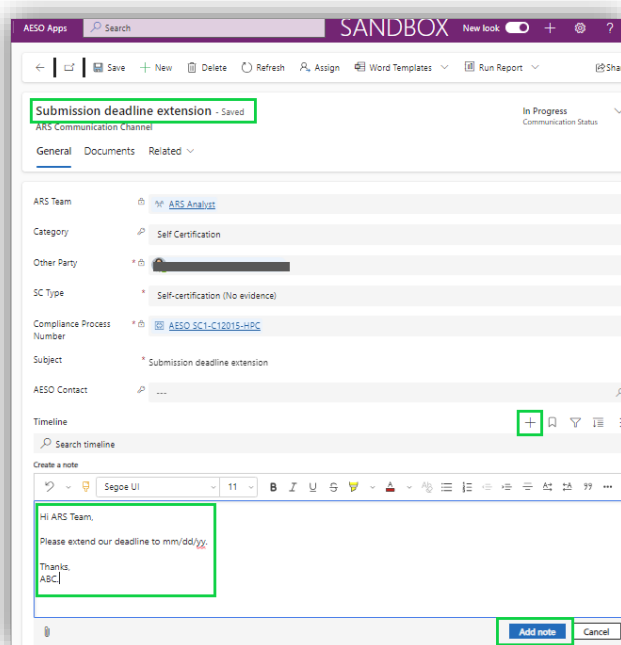
1. Go to communication channel on the 'Site Map'/ left menu of the ePortal. Click on the '+ New' on the top menu. If self-certification related, it can also be initiated within the self-certification.



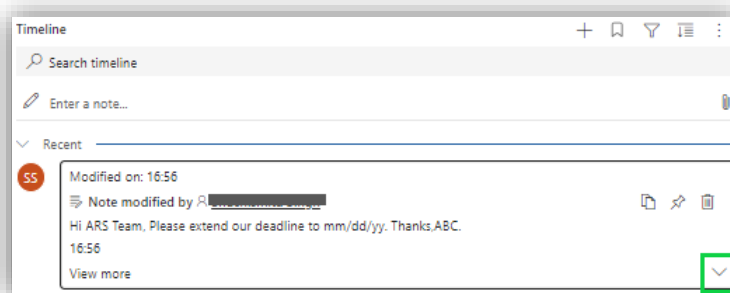
2. A new page will open. Fill the all the mandatory fields. Select 'SC Type', as applicable and add the 'Compliance Process Number', if not auto filled. Provide 'Subject' of your Communication, which cannot be more than 50chars long. Then click 'SAVE' at the top.



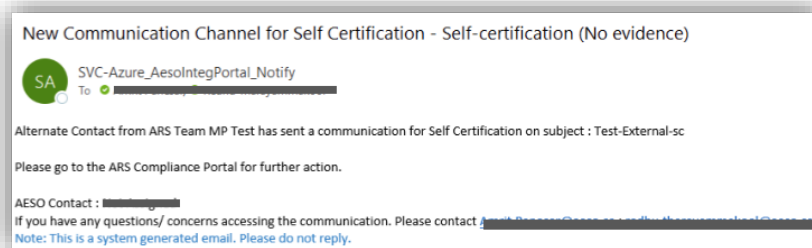
3. SAVE will establish the communication channel between the user and ARS Team. The page will get the Subject name on top and allow to add the content of the communication. Click the '+' and enter the text as note, then click 'Add Note' at the bottom of the page.



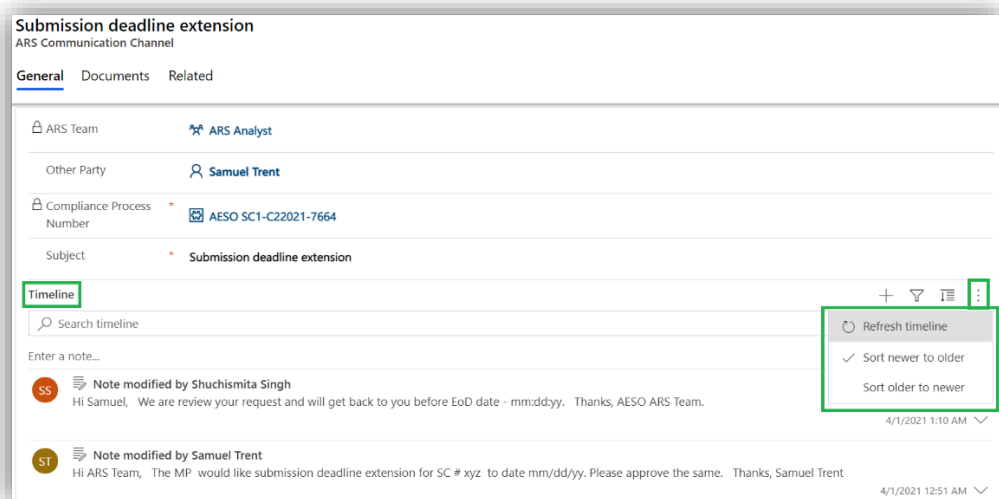
4. The content will show a note on the page with its timestamp. User can use the 'v' next to timestamp to expand and view the full content.



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



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



viewing.

6.2 Communication status

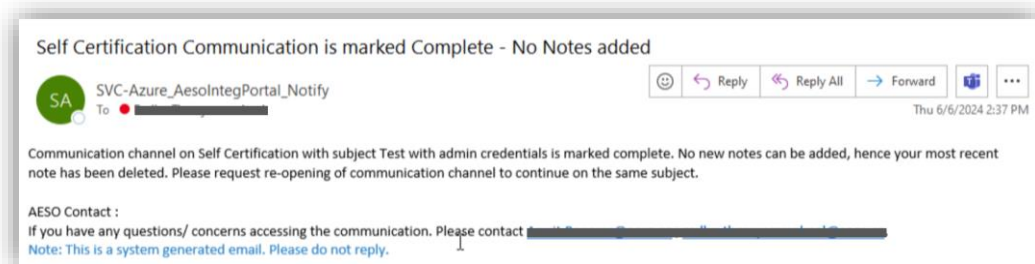
ARS analyst can change the status of communication channel using the communication status flag:

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



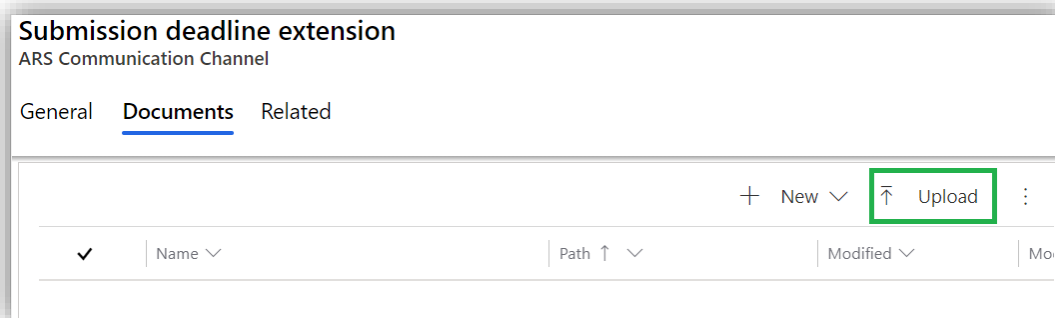
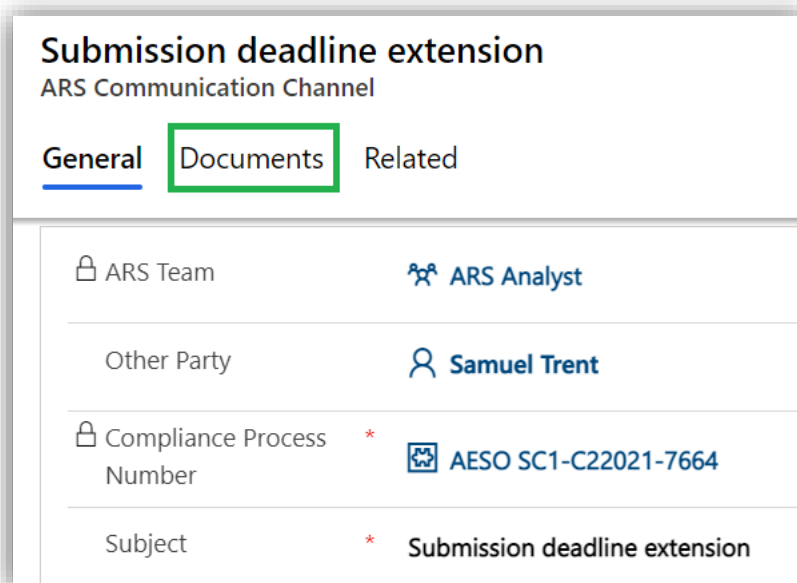
- b. To make any updates to a COMPLETE CC, request ARS Analyst to turn the flag back to IN-PROGRESS.

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



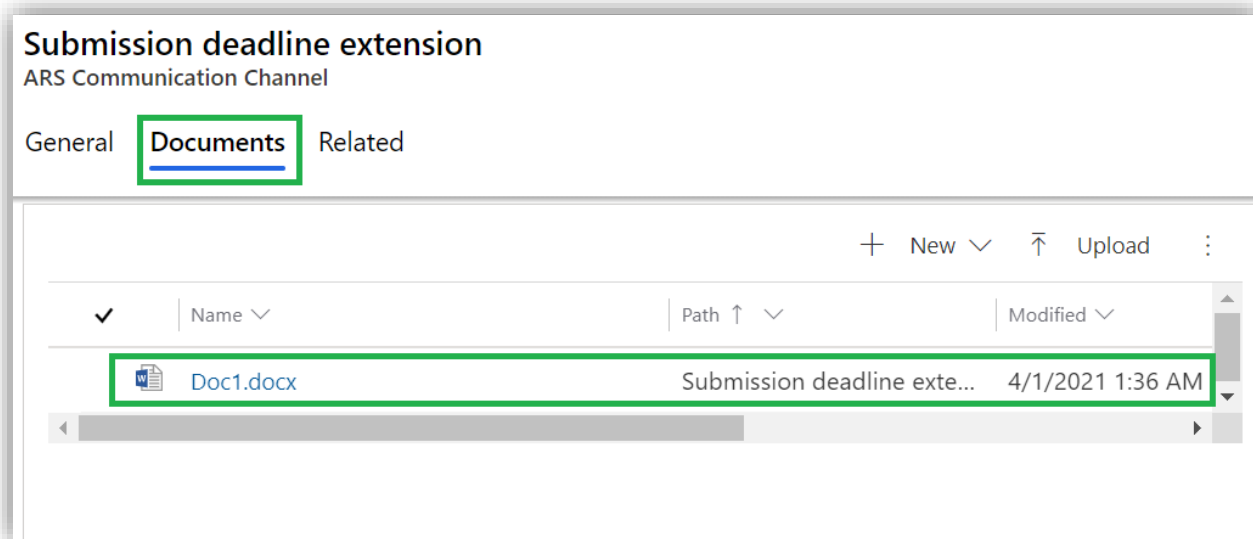
6.3 Attach a document to communication channel

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



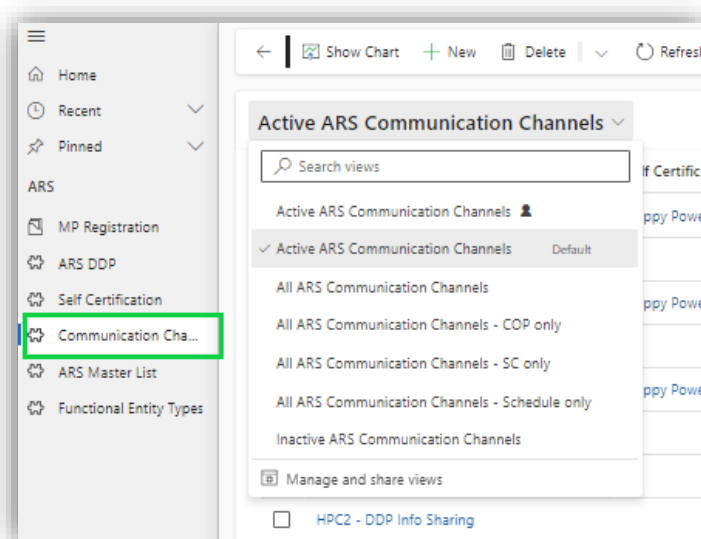
2. Select document upload, choose the file for upload, and make sure to change the overwrite settings to 'No' to avoid any inadvertent overwrite of existing files. In case files are overwritten AESO can be contacted to procure the older versions of the file.

All the documents attached to the communication channel will be available and can be viewed from the 'Documents' tab of the communication channel. It is advisable to follow-up with a note when attaching a document to the communication channel, so the addressee gets notified.



6.4 View communication channel

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



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

6.5 Communication channel usage

The communication channel can be used to:

1. Send/ Receive communication regarding a Self-certification.
 - a. RSAWs (Subject should be: RSAW + Standard no.)
 - b. IRs (Initiated by AESO ARS Team)
 - c. Any queries specific to the Self-certification
2. Receive communication regarding their draft Compliance Oversight Plan (COP).
3. Receive communication regarding their draft Compliance Schedule.

CC for Self-certification

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

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

The screenshot shows the 'AESO SC1-C22021-7664 Self Certification' page. At the top, there's a status bar with 'Self Certification Business... Active for 8 hours' and 'Initiate (8 Hrs)' with a red circle icon. Below this is a tabbed interface with 'General', 'Applicable Stds (Bulk)', 'Communication Channels' (highlighted with a green box), 'ZIP Files', 'Documents', and 'Rel'. The main content area displays details for '766429 Alberta Ltd.' with a cycle number of 2. It includes a table for 'DDP Information' with fields for 'Self-Certification Period Begin Date' (3/1/2021), 'Self-Certification Period End Date' (3/31/2021), 'Submission Deadline' (5/1/2021), and 'Late Submission' (No). The 'Additional Comments' field contains 'Q2 self certification'.

2. Click on the ‘+ New ARS Communication’ on the page.

The screenshot shows the 'Communication Channels' tab for a self-certification. At the top, there's a progress bar with three stages: 'Initiate (8 Hrs)' (active), 'Authorizing Officer', and 'Submitted To AESO'. Below the progress bar are tabs: 'General', 'Applicable Stds (Bulk)', 'Communication Channels' (selected), 'ZIP Files', 'Documents', and 'Related'. A green box highlights a '+ New ARS Communicat...' button. Below this are filters for 'Self Certificatio...' and 'Subject'. The main area shows 'No data available.' with a document icon.

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

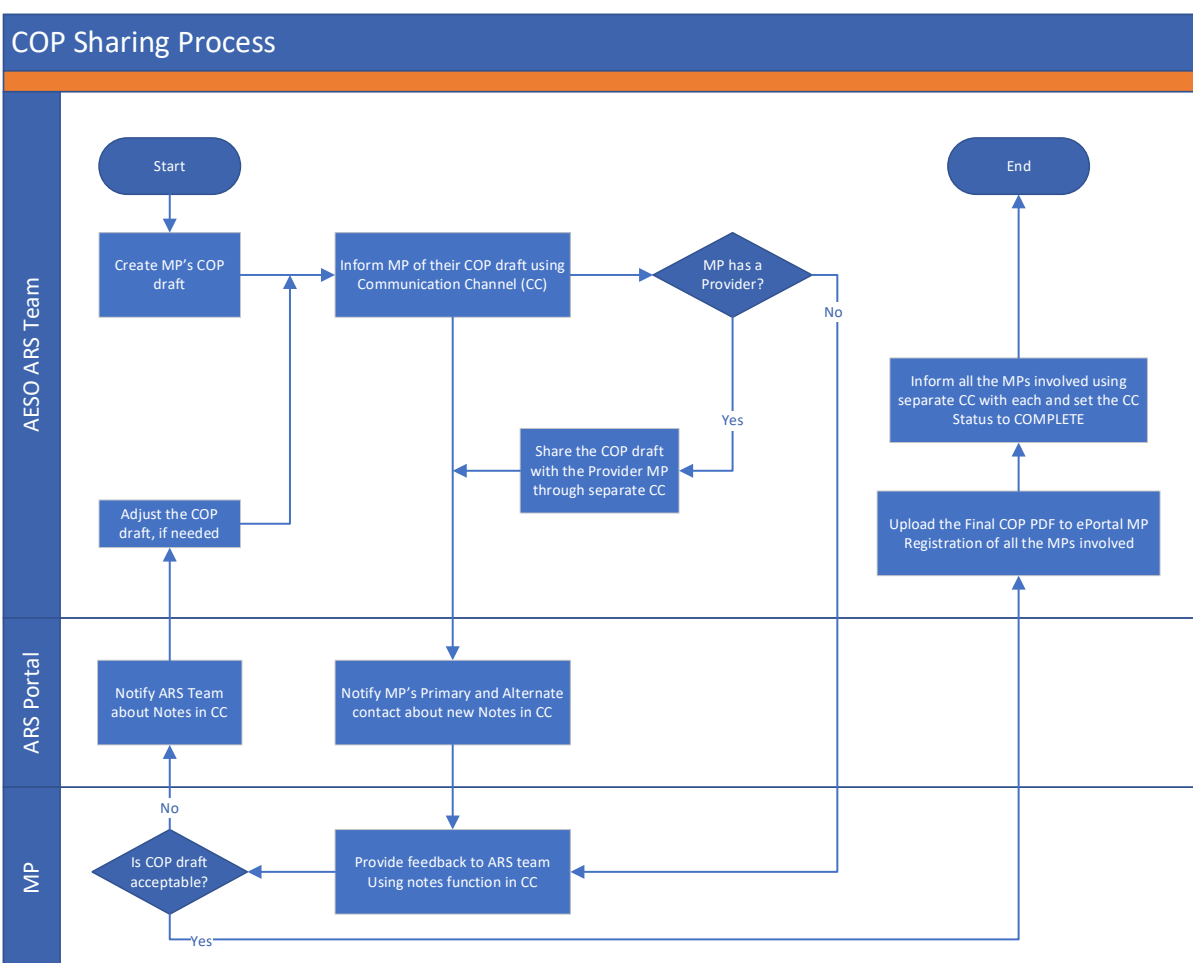
The screenshot shows a table titled 'Active ARS Communication Channels'. It has a search bar and filters for 'ARS Team', 'Other Party', and 'Subject'. The table contains one row of data.

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

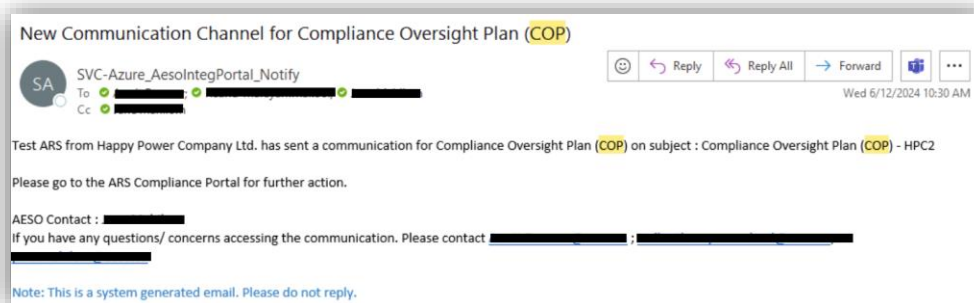
4. Apart from viewing the communication channels from the associated self-certification, all the communication channels related to all the active self-certification for the market participant can be viewed from the 'Communication Channels' on the 'Site Map'/ left menu of the ePortal.

CC for Compliance Oversight Plan (COP)

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



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



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

CC for Compliance Schedule

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

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

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

7. ARS Master List

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

The screenshot shows the 'ARS Master List' interface. On the left, a sidebar menu includes 'ARS', 'MP Registration', 'Self Certification', 'Communication Cha...', 'ARS Master List' (highlighted with a green box), and 'Functional Entity Types'. The main area displays a table of ARS records. A 'Disclaimer' dialog box is open in the center, stating: 'The effective date for each standard's requirement provided is the latest of the dates specified in the Proposed Effective Date of the standard and the Implementation Plan found in the Appendix section of the standard. -- Updated'. The dialog has an 'OK' button.

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

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

The screenshot shows the details of a specific ARS record. The title is 'Communications and Coordination' with a status of 'RETIRED'. Below the title, there are tabs for 'General' and 'Related'. The 'General' tab is active, showing a table of details. A disclaimer is also present at the top of the details section.

Communications and Coordination
ARS Master List · External User View

General Related

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

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

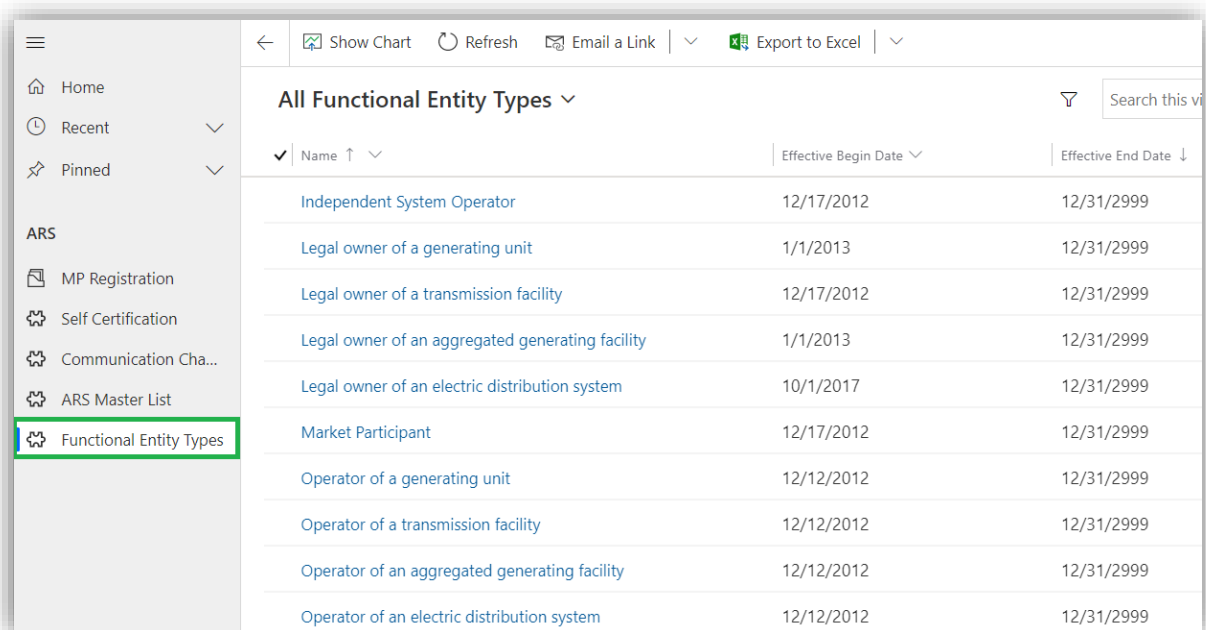
Functional Entity Types

Refresh Flow

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

8. Functional Entity Types

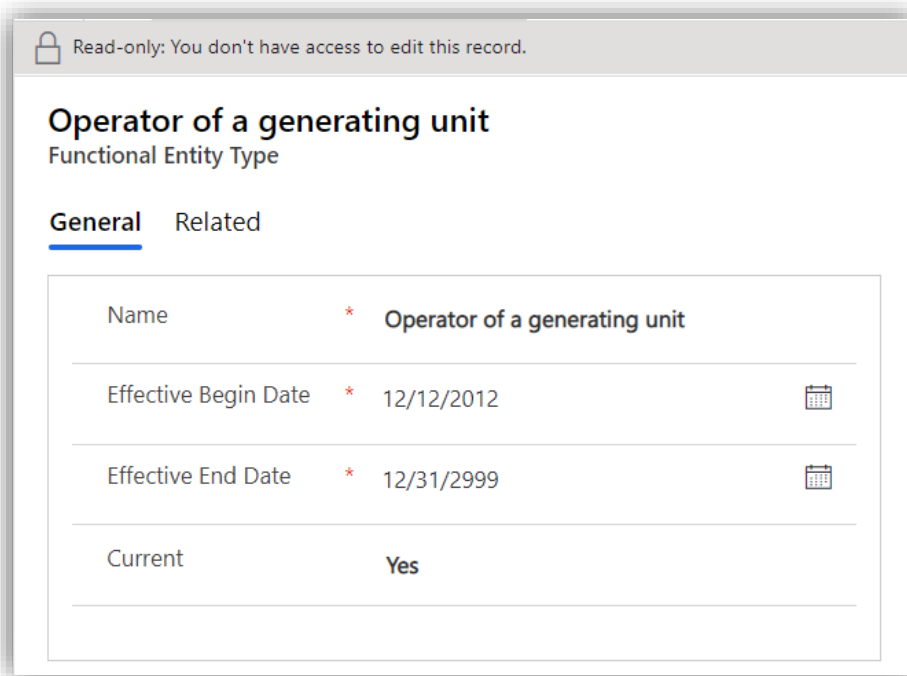
A market participant user can view all the current as well as old functional entity types applicable in Alberta from the 'Functional Entity Types' on the 'Site Map'/ left menu.



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

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

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



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

Operator of a generating unit

Functional Entity Type

General Related

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

9. Things to remember

9.1 Software requirements to use the ePortal

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

9.2 Sign-up turnaround

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

9.3 Self-certification dates

- User should take care that the self-certification Period Begin, and End dates should be as per the self-certification notification. They cannot be changed by the MP user. Contact AESO if any data (pre-filled) correction is needed.
- User should wait for the email notification 'ARS Generated Self-certification Successfully' to start a self-certification. The email notification confirms that the pre-filled data in the Self-certification is complete.
- In the case of a late submission, a user must contact AESO through a communication channel to receive an extension approval and then submit the SC. If approved, the AESO will extend the submission deadline after the self-certification submission is received.

9.4 Market participant registration

- Ensure that your MP Registration is correct as soon as the first self-certification notification is received.
- Make sure the contacts are present in MP registration before they sign-up for the ePortal.

9.5 Depiction of workflows in ePortal

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

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

10. Appendix

10.1 Abbreviations

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

10.2 AESO Contact

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

10.3 Sign-Up or Sign-In URL ePortal URL

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

10.4 Email Notifications

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

- svc-azure_aesportal_notify@aeso.ca

11. Revision History

Revision	Date	Comments
1.0	October 21, 2021	Initial version
2.0	January 25, 2024	Updates in section 2.1 and section 4
3.0	June 25, 2024	Updates in section 6 for use of communication channel to share COP & schedule with MPs
4.0	April 30, 2025	Updates to section 5.1 and section 9