

Alberta Reliability Standards Designation of Documentation Provider Guide

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1 Introduction

1.0 BACKGROUND

The Designation of Documentation Provider is a process used by market participants to inform the compliance monitor that another party will be providing Alberta Reliability Standards (ARS) Compliance Monitoring Program (CMP) documentation on their behalf.

1.1 PURPOSE OF THIS GUIDE

The purpose of this guide is to inform market participants of the procedures and guidelines related to the Designation of Documentation Provider process.

1.2 APPLICABILITY

This document applies to registered market participants who wish to designate another party to provide ARS CMP documentation on their behalf.

2 About this Guide

2.0 SECTIONS

This guide is divided into 5 sections:

Section 1: Introduction

Provides the background, purpose and applicability of this document.

Section 2: About this Guide (this section)

Provides information on how to use this document.

Section 3: Procedures

Provides information on what the market participant needs to do to in order to designate the provision of Compliance Monitoring Program documentation to another party.

Section 4: Guidelines

Provides information on the guidelines used to create the Designation of Documentation Provider process.

4.0 Scope

3.1 Rules

3.2 Administration

3.3 Schedules

3.4 Communication

Section 5: Related Documents and Revision History

Provides links to documents referenced in this document and the revision history

2.1 NAVIGATING THE ELECTRONIC VERSION

The electronic version of this guide contains useful navigation tools that can be used to find pertinent information without searching through each section.

Table of contents

The table of content shown prior to section 1 can be used as a means of navigating to any section or subsection in the guide.

To jump to a section or sub-section simply click on any line item in the table of contents.

Underlined text

Text that is underlined in blue is used to indicate a link to related topics within the guide or to documents on the internet

To use the link, click on the underlined text.

3 Procedures

The purpose of this section is to give registered market participants information on the procedures to designate the provision of Compliance Monitoring Program documentation to another party. Guidelines related to the procedures are given in section 4.

1. Participants obtain the ARS Designation of Documentation Provider form from the AESO website. Click [here](#) for the latest copy of the form.
2. Participants electronically fill out the form, print and sign.
3. The designator sends the signed form by email as a PDF file to rscompliance@aeso.ca and the provider. The compliance monitor will verify that the form meets the guidelines and informs the participants if changes are required.
4. If the designation results in the CMP scheduled deadlines being greater than the CMP timelines (yearly self-certification, 3-year audit period), the compliance monitor, in order to re-align the CMP schedules, may notify the designator of:
 - a. A spot audit for the period from the last compliance monitoring audit to the date that brings the next audit period in-line with the 3-year timeline.
 - b. Request for a self-certification letter to cover from the last self-certification date to the date that brings the next self-certification period in-line with the yearly timeline.

4 Guidelines

The purpose of this section is to provide registered market participants with information on the guidelines related to the provision of Compliance Monitoring Program documentation to another party. Procedures related to the guidelines are given in section 3.

3.0 SCOPE

1. The designation is for administrative purposes only and does not designate functional entity type responsibilities.
2. The designation is for the provision of Alberta Reliability Standards (ARS) Compliance Monitoring Program (CMP) documentation which includes: Reporting, self-certification and compliance monitoring audits (scheduled and spot).

3.1 RULES

1. The designation may be for all or selected functional entity types.
2. The designation may be for all or selected facilities for which all of the selected entity types apply. If all of the selected entity types do not apply to a selected facility, a separate designation form must be used.
3. The designation must be for all applicable requirements associated with the designated functional entity type.

3.2 ADMINISTRATION

1. One form must be filled out for each designation.
2. The designation has no expiry date and does not need to be renewed. A designator may cancel the designation at any time by providing written notice to rscompliance@aeso.ca. The notice must indicate the cancellation date and will be subject to change guidelines shown in section 3.3 below.
3. The designator must inform the compliance monitor if there is a revision to the designation by submitting a new form.

3.3 SCHEDULES

1. At the time of the designation, participants must select a schedule for the provision of the CMP documentation. Documentation can either be provided during the designator's schedule or the provider's schedule. The provider does not have to be a registered market participant. If the provider is not a registered market participant (i.e. not on the registry), then the documentation must be provided at the time of the designator's schedules.
2. Notifications from the compliance monitor pertaining to the functional entity types and facilities covered by the designation will only be sent during the selected schedule.
3. The provision of documentation will be from the last date that the designator's information was provided. If the new schedule results in the next CMP documentation deadline being greater than the CMP timelines (yearly self-certification, 3-year audit period), the compliance monitor may perform a spot audit and may request a self-certification letter from the designator.
4. If the participants decide to revise the designation and the revision results in a change to the provision schedule, the following rules will be applied:
 - a. If the change results in the next CMP documentation deadline being less than the CMP timelines (yearly self-certification, 3-year audit period), the provider is expected to provide documentation to cover the entire period from the last scheduled provision to the next scheduled provision.
 - b. If the change results in the next CMP documentation deadline being greater than the CMP timelines (yearly self-certification, 3-year audit period), the compliance monitor may perform a spot audit and may request a self-certification letter from the designator.

3.4 COMMUNICATION

1. During compliance monitoring activities, the following communication protocol will be observed:

	Designator	Provider
Audit/Self-Certification Notification	YES	YES – Notification of provision of CMP information
Audit/Self-Certification Scope	YES	YES – Notification of provision of CMP information
Incomplete Submittals	NO	YES
Information requests	NO	YES
Draft report	YES	NO
Final Report	YES	NO
Referral	YES	NO

2. The designator will receive a copy of the information request schedule so that they may track the assessment progress and better prepare for receipt of the draft report. The designator should contact the provider near the end of the information request schedule to see when the draft report may be expected.
3. If the schedule for the designator and provider are at the same time, results of the assessment will be combined into the designator's main report. If the schedule for the designator and provider are not at the same time, results will be given in a separate report for the designator.

5 Related Documents and Revision History

5.0 RELATED DOCUMENTS

Documents referenced in this guide can be found by clicking on the following website page links:

[Alberta Reliability Standards Compliance Monitoring Program](#)

[Alberta Reliability Standards Functional Model and Criteria for Registration](#)

5.1 REVISION HISTORY

This document is a compliance monitor information document and guide, and not a compliance monitor authoritative document. Revisions to this document may be made from time to time by the AESO Compliance group. Registered market participants will be notified of revisions through the AESO Stakeholder Newsletter.

Revision	Date	Comments
1.0	May 2, 2013	Posted on AESO's website.