

# Self-Certification Tutorial

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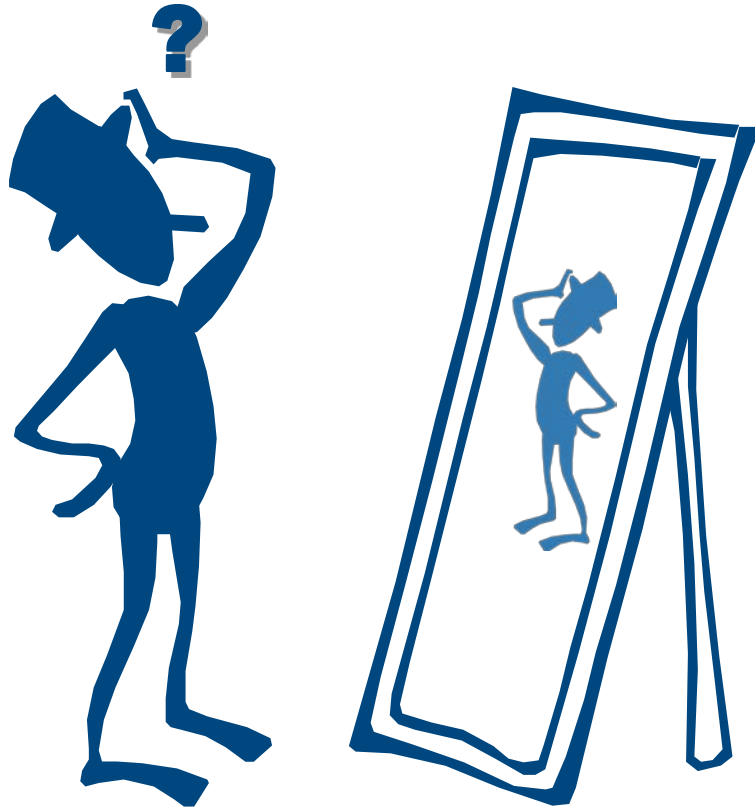


## The PLAN

**At the end of this tutorial, you will be able to:**

1. Describe the purposes of Self-Certification
2. Identify deadlines
3. Describe the use of the Self-Certification template
4. Describe what is required for Self-Certification submission
5. Review lessons learned over the past years





## What is Self-Certification?

Self-certification is a process for registered market participants to determine and certify their compliance status with all requirements of each ARS applicable to its registered functional entity(ies) for a specific period of time.

**The market participant accepts ownership and accountability to comply with the Alberta Reliability Standards**



# Self-Certification Tutorial

## What and Why of Self-Certification?

### What



- Self-Certification is for each requirement under each ARS that applies to your functional entity
- Self-Certification should be supported and based on your internal compliance checks and evidence

- Replaces the need for more frequent audits of the registered market participant
- Relies on internal review by market participants

### Why



Failure to submit a complete, accurate, and true self-certification may result in a suspected contravention being forwarded to the Market Surveillance Administrator



Registered entities in Alberta are assigned a Self-Certification cycle.  
To view the current assignments, click [here](#).

Cycles have particular deadlines as shown in the table below.

Cycle	Period of Self-Certification	Submit during this month following the period DEADLINE is the last business day of
1	January 1 to December 31	January
2	April 1 to March 31	April
3	July 1 to June 30	July
4	October 1 to September 30	October

Click [here](#) to view the current Self-Certification schedule



# Self-Certification Tutorial

## The Self-Certification Letter Template – Cover Sheet.

The Self-Certification Letter template is an Excel file that you use to input your information and create your Self-Certification submission.

Always use the latest template. Click [here](#) to download the current version.

Information that you enter on the template cover sheet is used to create your submission files and therefore must be accurate. Any errors on the cover sheet will generate errors in the submission and there may be a need to re-submit.

### COVER SHEET

COMPLIANCE MONITORING PROGRAM Alberta Reliability Standards Self-Certification - Cover Sheet <b>Confidential</b>			
Please provide your entity name below			
Self-Certification For:	[Legal name of the registered market participant]		
Please provide the Self-certification period and the Functional Entity types below			
Self-Certification Period:	[Start date: MMM DD, YYYY]	TO	[End date: MMM DD, YYYY]
FUNCTIONAL ENTITY TYPES	1	7	13
	2	8	14
	3	9	15
	4	10	16
	5	11	17
	6	12	18
Please provide contact information below.			
Contact Information:	[Name]	[Phone]	[Email]
	[Title]		
Reported By: (If different from contact)	[Name]	[Phone]	[Email]
	[Title]		

Use the cover sheet to enter your entity's information:

- Legal name
- Self-Certification Period
- Functional Entity Types (see note on next slides)
- Contact Information

Once you have entering all your information, click on the “Generate Letter” button.



# Self-Certification Tutorial

## Letter Template - Generated documents

The cover sheet will generate a new workbook with 3 other tabs.

### Cover Sheet

COMPLIANCE MONITORING PROGRAM Alberta Reliability Standards Self-Certification - Cover Sheet <b>Confidential</b>									
Please provide your entity name below									
Self-Certification For: [Legal name of the registered market participant]									
Please provide the Self-certification period and the Functional Entity types below									
Self-Certification Period:		[Start date: MMM DD, YYYY]		TO		[End date: MMM DD, YYYY]			
FUNCTIONAL ENTITY TYPES									
In the spaces provided next to the numbers on the right, select all functional entity types that are included in this Self-Certification. Please include both Table 1 and Table 2 Functional Entity types									
Please provide contact information below.									
Contact Information:		[Name]		[Phone]		[Email]		[Title]	
Reported By: (If different from contact)		[Name]		[Phone]		[Email]		[Title]	

OFFICER'S CERTIFICATE	
TO:	Independent System Operator, operating as AESO ("AESO")
FROM:	[ABC Company Limited] ("[ABC]")
RE:	Self-Certification for the Alberta Reliability Standards Compliance Monitoring Program
The undersigned, being the [Insert Title] of [ABC], hereby certifies for and on behalf of [ABC] that:	
1. [ABC] is familiar with and understands the self-certification process as provided in Section 6.2 of the Alberta Reliability Standards Compliance Monitoring Program (the "Self-Certification Process").	
2. [ABC] has completed the Self-Certification Process including:	
a. determining its compliance with all applicable Alberta reliability standards approved by the Alberta Utilities Commission pursuant to Section 19 of the Transmission Regulation.	
b. completing this Officer's Certificate together with the cover sheet and the applicable standards worksheet attached hereto (collectively referred to as the "Self-Certification") in accordance with the Self-Certification Process.	
3. [ABC] understands the implications of the Self-Certification not being:	
a. complete, accurate or true, or	
b. provided to the AESO on or before the self-certification due date as stated in notification letter provided by the AESO to [ABC],	
as set forth in Section 6.2 of the Alberta Reliability Standards Compliance Monitoring Program.	
4. To the best of the undersigned's knowledge and information, based on the foregoing process undertaken by [ABC], the Self-Certification is complete, true and accurate.	
Signed at [City/Town], [Province/State] this [DD] day of [Insert Month], 20[1].	
Name:	[Insert Name]
Title:	[Insert Title]

### Officer's Certificate

Alberta Reliability Standards Self-Certification - Applicable Standards <b>Confidential</b>									
Please follow the instructions provided in the Self-Certification Guideline									
Reliability Standard Number	Reliability Standard Name	Requirement Number	Applicable To	Effective Begin Date	Effective End Date	Applicable To	Fully Compliant (See active period)	Non-Compliant (See active period)	Additional Comments
Critical Infrastructure Protection									
CR-001-AB-1	Substation Security	R1	CR-001-AB-1	4/1/2010	12/31/2010				
CR-001-AB-1	Substation Security	R1	CR-001-AB-1	4/1/2010	12/31/2010				
CR-001-AB-1	Substation Security	R1.1	CR-001-AB-1	4/1/2010	12/31/2010				
CR-001-AB-1	Substation Security	R1.1	CR-001-AB-1	4/1/2010	12/31/2010				
CR-001-AB-1	Substation Security	R1.2	CR-001-AB-1	4/1/2010	12/31/2010				
CR-001-AB-1	Substation Security	R1.2	CR-001-AB-1	4/1/2010	12/31/2010				

### Applicable Standards

Alberta Reliability Standards Self-Certification - Master Standards <b>Confidential</b>									
Reliability Standard Number	Reliability Standard Name	Requirement Number	Applicable To	Effective Begin Date	Effective End Date	Applicable To	Fully Compliant (See active period)	Non-Compliant (See active period)	Additional Comments
Resource Demand and Balancing									
BALE01-AB-1	Real Power Balancing Control Performance	R1	BALE01-AB-1	2/1/2010	12/31/2010				
BALE01-AB-1	Real Power Balancing Control Performance	R1.1	BALE01-AB-1	2/1/2010	12/31/2010				
BALE01-AB-1	Real Power Balancing Control Performance	R1.2	BALE01-AB-1	2/1/2010	12/31/2010				
BALE01-AB-1	Real Power Balancing Control Performance	R1.3	BALE01-AB-1	2/1/2010	12/31/2010				
BALE01-AB-1	Real Power Balancing Control Performance	R1.4	BALE01-AB-1	2/1/2010	12/31/2010				
BALE01-AB-1	Real Power Balancing Control Performance	R1.5	BALE01-AB-1	2/1/2010	12/31/2010				
BALE01-AB-1	Real Power Balancing Control Performance	R1.6	BALE01-AB-1	2/1/2010	12/31/2010				
BALE01-AB-1	Real Power Balancing Control Performance	R1.7	BALE01-AB-1	2/1/2010	12/31/2010				
BALE01-AB-1	Real Power Balancing Control Performance	R1.8	BALE01-AB-1	2/1/2010	12/31/2010				

### Master Standards



**aeso**  
ALBERTA  
ELECTRIC  
SYSTEM  
OPERATOR

Once you have created the new workbook, do the following:

1. Review the requirements that were generated in the “Applicable Standards” tab. If you notice any errors, delete the workbook, correct the information on the template cover sheet and re-generate the file.
2. Once you are satisfied that the generated file is correct, save it for your reference.
3. Complete the “Applicable Standards” worksheet by filling in your self-certification information in each column next to each requirement. Clicking on the columns will bring up a text box that explains the available choices:

<b>Applicable</b>	<b>Fully Compliant (for entire period)</b>	<b>Non-Compliant (violation for part of period)</b>	<b>Violation Type Source</b>

**Applicable**  
If the requirement is applicable to you, select Applicable. If the requirement is not applicable to you, select Not Applicable. If not applicable, please identify in the Additional Comments column why the requirement is not applicable to your company.

**Fully Compliant**  
Please select "Yes" to indicate if you have been compliant for every day within self-certification period. Please select "No" to indicate if you have non-compliant for any or all days in the self-certification period.

**Non-Compliant**  
If compliant for any part of the self-certification period, select "Compliant for Part of the Period". If non-compliant for ALL days within the self-certification period, select "Non-Compliant for entire Period".

**Violation Type Source**  
If violation discovered during Self-Certification review, select "New Report." Visit MSA Compliance Process for Self-Reporting. If previously reported on either Self-Certification or Self-Report include the date of discovery in the additional comments.



# Self-Certification Tutorial

## “Applicable Standards” Template Choices

Each column next to each requirement should be filled out using the following choices:

- **Applicability**
    - Applicable
    - Not Applicable – Self-Assessed
    - Not Applicable – AESO CMP review
  - **Fully Compliant**
    - Yes
    - No
  - **Non-Compliant**
    - Non-Compliant for entire Period
    - Non-Compliant for Part of the Period
  - **Violation Type Source**
    - New Report
    - Previous Self-Certification
    - Previous Self-Report to MSA
- Use “additional comments” column to give detail
- Leave blank if “Not Applicable”



# Self-Certification Tutorial

## The Self-Certification Letter Template – Submissions



Once you have completed the “Applicable Standards” worksheet, do the following:

1. Create a PDF version of the “Cover Sheet” and the completed “Applicable Standards” worksheet.
2. Fill-out the “Officer’s Certificate”. Print a copy and have it signed by your officer. Create a PDF of the signed print-out.
3. Submit both versions (Excel and PDF) of the “Cover Sheet”, “Officer’s Certificate” and the “Applicable Standards” worksheets.
4. There is no need to submit the “Master Standards” worksheets. It is for your reference only.

For more information on using the Self-certification Letter Template please refer to the guide found on the AESO website under COMPLIANCE.

To download the template guide, click [here](#).



# Lesson Learned





# Self-Certification Tutorial

## LEARNINGS– Cover sheet



### COVER SHEET

- Legal Name
  - Submitted as incorrect – wrong name
  - Submitted as incomplete – missing part of name

aesO ALBERTA ELECTRIC SYSTEM OPERATOR		COMPLIANCE MONITORING PROGRAM Alberta Reliability Standards Self-Certification - Cover Sheet <b>Confidential</b>		Once you have completed the form below, click on the button to the right to generate the Self-certification Letter → <b>Generate Self-Certification Letter</b>	
Please provide your entity name below					
Self-Certification For:	[Legal name of the registered market participant]				
Please provide the Self-certification period and the Functional Entity types below					
Self-Certification Period:	[Start date: MMM DD, YYYY]		TO	[End date: MMM DD, YYYY]	
FUNCTIONAL ENTITY TYPES <small>In the spaces provided next to the numbers on the right, select all functional entity types that are included in this Self-Certification. Please include both Table 1 and Table 2 Functional Entity types</small>	1		7		13
	2		8		14
	3		9		15
	4		10		16
	5		11		17
	6		12		18
Please provide contact information below.					
Contact Information:	[Name]	[Phone]	[Email]	[Title]	
Reported By: [If different from contact]	[Name]	[Phone]	[Email]	[Title]	

- Incorrect Period
- Change in contact information
  - Should send in a new registration form

- Functional Entity Types
  - Missing functional entity types – not aligned with Registry or Registration



## OFFICER'S CERTIFICATE

	1	2	3	4	5	6	7	8	9	10
	<b>OFFICER'S CERTIFICATE</b>									
TO:	Independent System Operator, operating as AESO ("AESO")									
FROM:	[ABC Company Limited] ("ABC")									
RE:	Self-Certification for the Alberta Reliability Standards Compliance Monitoring Program									
The undersigned, being the [Insert Title] of [ABC], hereby certifies for and on behalf of [ABC] that:										
1.	[ABC] is familiar with and understands the self-certification process as provided in Section 6.2 of the Alberta Reliability Standards Compliance Monitoring Program (the "Self-Certification Process").									
2.	[ABC] has completed the Self-Certification Process including: <ul style="list-style-type: none"><li>a. determining its compliance with all applicable Alberta reliability standards approved by the Alberta Utilities Commission pursuant to Section 19 of the <b>Transmission Regulation</b>.</li><li>b. completing this Officer's Certificate together with the cover sheet and the applicable standards worksheet attached hereto (collectively referred to as the "Self-Certification") in accordance with the Self-Certification Process.</li></ul>									
3.	[ABC] understands the implications of the Self-Certification not being: <ul style="list-style-type: none"><li>a. complete, accurate or true, or</li><li>b. provided to the AESO on or before the self-certification due date as stated in notification letter provided by the AESO to [ABC],</li></ul> as set forth in Section 6.2 of the Alberta Reliability Standards Compliance Monitoring Program.									
4.	To the best of the undersigned's knowledge and information, based on the foregoing process undertaken by [ABC], the Self-Certification is complete, true and accurate.									
Signed at [City/Town], [Province/State] this [DD] day of [Insert Month], 201[1].										
Name:	[Insert Name]									
Title:	[Insert Title]									

- Legal Name
  - Similar issues to those found on Cover Sheet
- Officer Execution
  - Non-Officer's executing the document – no delegation of signing authority provided
- Dated At
  - Template updated to be more clear what information is being requested
- Body
  - Template locked – only boxes can be modified
- Not submitted or blank copies (Excel version)



# Self-Certification Tutorial

## LEARNINGS – Applicable Standards

### Alberta Reliability Standards Self-Certification - Applicable Standards **Confidential**

Please follow the instructions provided in the Self-Certification Guideline

Reliability Standard Number	Reliability Standard Name	Requirement Number	Applicable To	Effective Begin Date	Effective End Date	Applicable	Fully Compliant (for entire period)	Non-Compliant (violation for part of period)	Violation Type Source	Additional Comments
<b>Critical Infrastructure Protection</b>										
CIP-001-AB-1	Sabotage Reporting	R1	GFO - Generation Facility Owner	4/12/2010	12/31/2999					
CIP-001-AB-1	Sabotage Reporting	R1	TFO - Transmission Facility Owner	4/12/2010	12/31/2999					

- Missing Requirements
  - If functional entity type is missed on Cover sheet – it will be missed here
- Do not change formatting
  - Do not delete rows where applicability assessment marked not applicable
  - Do not add colour or remove columns
  - Do not change template Information (i.e. change to effective/end dates)



# Self-Certification Tutorial

## LEARNINGS – Applicable Standards (cont.)

- Comment when required
  - Do not assume the reader would know that a comment under R1 applies to all requirements – make sure to copy where needed
  - Self-Report – Include information indicating when self-report occurred
  - Include information related to “Not-applicable”

### Alberta Reliability Standards Self-Certification - Applicable Standards **Confidential**

Please follow the instructions provided in the Self-Certification Guideline

Reliability Standard Number	Reliability Standard Name	Requirement Number	Applicable To	Effective Begin Date	Effective End Date	Applicable	Fully Compliant (for entire period)	Non-Compliant (violation for part of period)	Violation Type Source	Additional Comments
<b>Critical Infrastructure Protection</b>										
CIP-001-AB-1	Sabotage Reporting	R1	GFO - Generation Facility Owner	4/12/2010	12/31/2999					
CIP-001-AB-1	Sabotage Reporting	R1	TFO - Transmission Facility Owner	4/12/2010	12/31/2999					



# Self-Certification Tutorial

## LEARNINGS – Master Standards

- Do not complete Master Standards sheet
- Submission of Master Standards sheet is not required

### Alberta Reliability Standards Self-Certification - Master Standards

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Reliability Standard Number	Reliability Standard Name	Requirement Number	Applicable To	Effective Begin Date	Effective End Date	Applicable	Fully Compliant (for entire period)	Non-Compliant (violation for part of period)	Violation Type Source	Additional Comments
<b>Resource Demand and Balancing</b>										
BAL-001-AB-0a	Real Power Balancing Control Performance	R1	ISO - Independent System Operator	2/13/2009	12/31/2999					
BAL-001-AB-0a	Real Power Balancing Control Performance	R1.1	ISO - Independent System Operator	2/13/2009	12/31/2999					
BAL-001-AB-0a	Real Power Balancing Control Performance	R2	ISO - Independent System Operator	2/13/2009	12/31/2999					
BAL-001-AB-0a	Real Power Balancing Control Performance	R2.1	ISO - Independent System Operator	2/13/2009	12/31/2999					



- pdf / xls
  - Incomplete submission – missing one or other format
    - pdf AND xls of all three sheets are required
  - Incomplete submission – pdf of Officer's certificate only
    - Again, both pdf AND xls are required
- Missing applicable standards
  - Ensure cover sheet includes all your functional entity types
- Submission of evidence with Self-Certification
  - Unless requested otherwise – the only item to be submitted with the Self-Certification is a Delegation of Signing Authority where it exists
- Submission to AESO individual
  - Please send your submission to [rscompliance@aeso.ca](mailto:rscompliance@aeso.ca)



# Questions?

[rscompliance@aeso.ca](mailto:rscompliance@aeso.ca)