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

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

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.

<table>
<thead>
<tr>
<th>Cycle</th>
<th>Period of Self-Certification</th>
<th>Submit during this month following the period DEADLINE is the last business day of</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>January 1 to December 31</td>
<td>January</td>
</tr>
<tr>
<td>2</td>
<td>April 1 to March 31</td>
<td>April</td>
</tr>
<tr>
<td>3</td>
<td>July 1 to June 30</td>
<td>July</td>
</tr>
<tr>
<td>4</td>
<td>October 1 to September 30</td>
<td>October</td>
</tr>
</tbody>
</table>

Click here to view the current Self-Certification schedule
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.

<table>
<thead>
<tr>
<th><strong>COVER SHEET</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Self-Certification For:</strong></td>
</tr>
<tr>
<td><strong>Self-Certification Period:</strong></td>
</tr>
<tr>
<td><strong>Functional Entity Types</strong></td>
</tr>
<tr>
<td>1</td>
</tr>
<tr>
<td>[Start date: MMM DD, YYYY]</td>
</tr>
<tr>
<td>[Legal name]</td>
</tr>
<tr>
<td>[Legal name]</td>
</tr>
</tbody>
</table>

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.
In late 2012 and early 2013, the applicability section of each existing standard was updated to reflect the new functional model “Table 2” entity types. This will cause an overlap between versions of the existing standards.
Impact
1) No changes to requirements, only a change in applicability.
2) Only CIP-001, EOP-004 and TOP-005 have possible applicability additions.
3) EOP-003, the FACs, and the PRCs have either no change or a reduced applicability.
4) TFOs (split into operator/owner) have either no change or a reduced applicability in all current standards.
5) For self-certification, this will have a one time effect requiring you to use both table 1 and table 2 entity types. For audits, the transition period will be 3 years.

Use of Template
The template will now, depending on effective dates, generate requirements for both Table 1 and Table 2 functional entity types.
1) If your self-certification period overlaps the old (AB) and new (AB1) standard effective periods, you must fill in your entity types for both Table 1 and Table 2.
   • See translation between Table 1 and Table 2 on the next slide.
   • At the next self-certification period, you will only need to fill out Table 2.
You should:

1) Review the 10 new versions (AB1) of the existing standards and identify any changes to applicability.
2) Advise the AESO of any changes to the registry.
The cover sheet will generate a new workbook with 3 other tabs.

**Cover Sheet**

**Applicable Standards**

**Master Standards**

**Officer’s Certificate**
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:
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”
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
COVER SHEET

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

• Incorrect Period

• Change in contact information
  o Should send in a new registration form

• Functional Entity Types
  o Missing functional entity types – not aligned with Registry or Registration
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[11]

Name: [Insert Name]
Title: [Insert Title]
### Alberta Reliability Standards

**Self-Certification - Applicable Standards**

**Confidential**

#### Please follow the instructions provided in the Self-Certification Guideline

<table>
<thead>
<tr>
<th>Reliability Standard Number</th>
<th>Reliability Standard Name</th>
<th>Requirement Number</th>
<th>Applicable To</th>
<th>Effective Begin Date</th>
<th>Effective End Date</th>
<th>Applicable</th>
<th>Fully Compliant (for entire period)</th>
<th>Non-Compliant (Violation for part of period)</th>
<th>Violation Type Source</th>
<th>Additional Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>CIP-001-AS-1</td>
<td>Sabatege Reporting</td>
<td>R1</td>
<td>OPE - Generation Facility Owner</td>
<td>4/12/2013</td>
<td>12/31/2999</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>CIP-001-AS-1</td>
<td>Sabatege Reporting</td>
<td>R1</td>
<td>TNO - Transmission Network Owner</td>
<td>4/12/2013</td>
<td>12/31/2999</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

- **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)
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**

<table>
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<tr>
<th>Reliability Standard Number</th>
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<tbody>
<tr>
<td>CIP-001-AB-1</td>
<td>Sabatoge Reporting</td>
<td>R1</td>
<td></td>
<td>4/12/2010</td>
<td>12/31/2099</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<td></td>
</tr>
</tbody>
</table>
**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**

<table>
<thead>
<tr>
<th>Reliability Standard Number</th>
<th>Reliability Standard Name</th>
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<th>Non-Compliant (violations for part of period)</th>
<th>Violation Type</th>
<th>Source</th>
<th>Additional Comments</th>
</tr>
</thead>
</table>
• pdf / xls
  o Incomplete submission – missing one or other format
    ▪ pdf AND xls of all three sheets are required
  o Incomplete submission – pdf of Officer’s certificate only
    ▪ Again, both pdf AND xls are required

• Missing applicable standards
  o Ensure cover sheet includes all your functional entity types
  o Please include both Table 1 and Table 2
    o Careful with “Pool Participant” as Table 1 and Table 2 use the same titles. (Table 1 will show the acronym “PP” where Table 2 will not).

• Submission of evidence with Self-Certification
  o 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
  o Please send your submission to rscompliance@aeso.ca
Questions?

rscompliance@aeso.ca