

Practice Exercise 1.0

Five (5) high level steps of the Compliance Monitoring and Enforcement process are displayed here. Order these steps by entering the appropriate position number (#) for each, starting with #1 and ending with #5.



Review the scope and risk
of the issue



Check for duplicates of finding



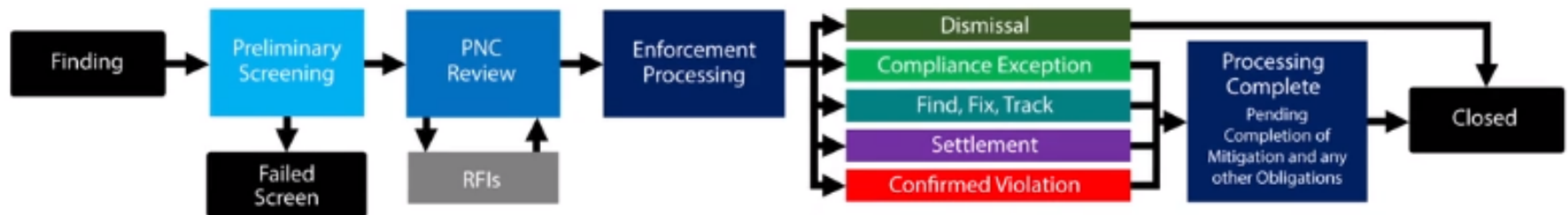
Decide on the appropriate
disposition



Evaluate enforcement options



Create a finding

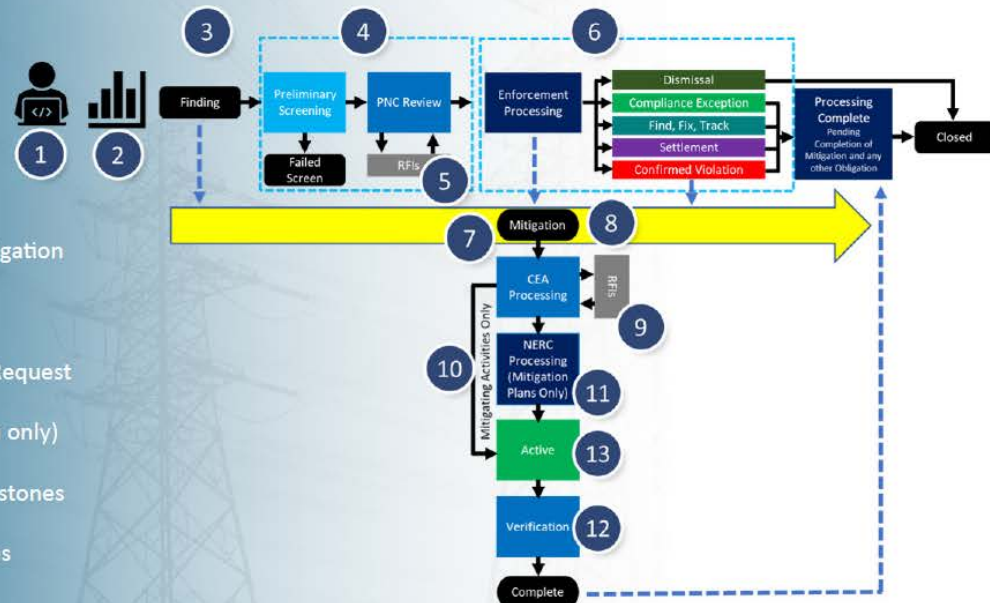


Release 1 Process Flow



The focus of release 1 is the life cycles of self-logs and self-reports, but there are interim ways to handle other kinds of findings as well; at a very high level the scope looks something like the model on the right.

- | | |
|-----------------------------|---|
| ① Log in to Align | ⑧ Update/Resubmit mitigation |
| ② Review the Dashboard | ⑨ Mitigation RFIs |
| ③ Create a Finding | ⑩ Mitigation Extension Request |
| ④ CEA Screen & Review | ⑪ NERC review (Mit Plan only) |
| ⑤ Send any RFIs | ⑫ Entity Completes Milestones |
| ⑥ CEA Assigns Disposition | ⑬ Consolidate Milestones (if necessary) |
| ⑦ Entity Submits Mitigation | |



Accessing Align



Once you have access to Align, log in using your login credentials.

- 1 Enter your **Align User Name**
- 2 Enter your **Align Password**
- 3 Click the **OK** button

The image shows a 'B Wise Logon' dialog box. It has a title bar with the text 'B Wise Logon'. Below the title bar, there are two input fields: 'User Name:' and 'Password:'. The 'User Name' field is highlighted with a yellow circle and the number 1. The 'Password' field is highlighted with a yellow circle and the number 2. Below the input fields, there are two buttons: 'OK' and 'Cancel'. The 'OK' button is highlighted with a yellow circle and the number 3.

Application Exercise 1.1

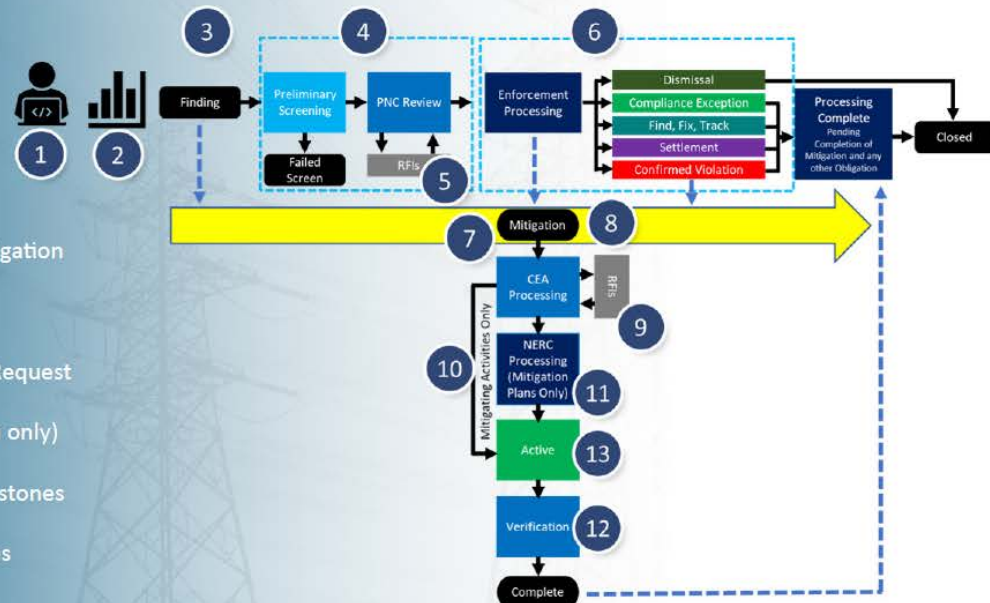
Review the contents of User Reference Guide (URG pg. 2). Assuming that you have an active ERO portal account, follow the steps on URG pg. 3 to log into the Align system using your username and password.

Release 1 Process Flow



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Align Learning Resources



Training session structure

Create a Self-Report

Applicable Requirement	CIP-002-5.1a R2.	Region – Jurisdiction in which the Potential Noncompliance occurred	RF-US
Applicable Part(s)	CIP-002-5.1a R2.1. ❌ CIP-002-5.1a R2.2. ❌	Other Region – Jurisdiction(s) where you are reporting this Potential Noncompliance	
Applicable Reliability Function(s)	GO ❌		

Discovery and Description

When was the Potential Noncompliance discovered?	07/07/2020	When did the Potential Noncompliance start?	07/01/2020
How was this Potential Noncompliance discovered?	Explanation	What is the basis for your selecting this start date?	Explanation
Please describe the Potential Noncompliance in detail	kubtornaltrleh	Is the Potential Noncompliance still occurring?	Yes

Save **Close**

Form filling with nonsensical data



Breaks



WebEx or other virtual training application

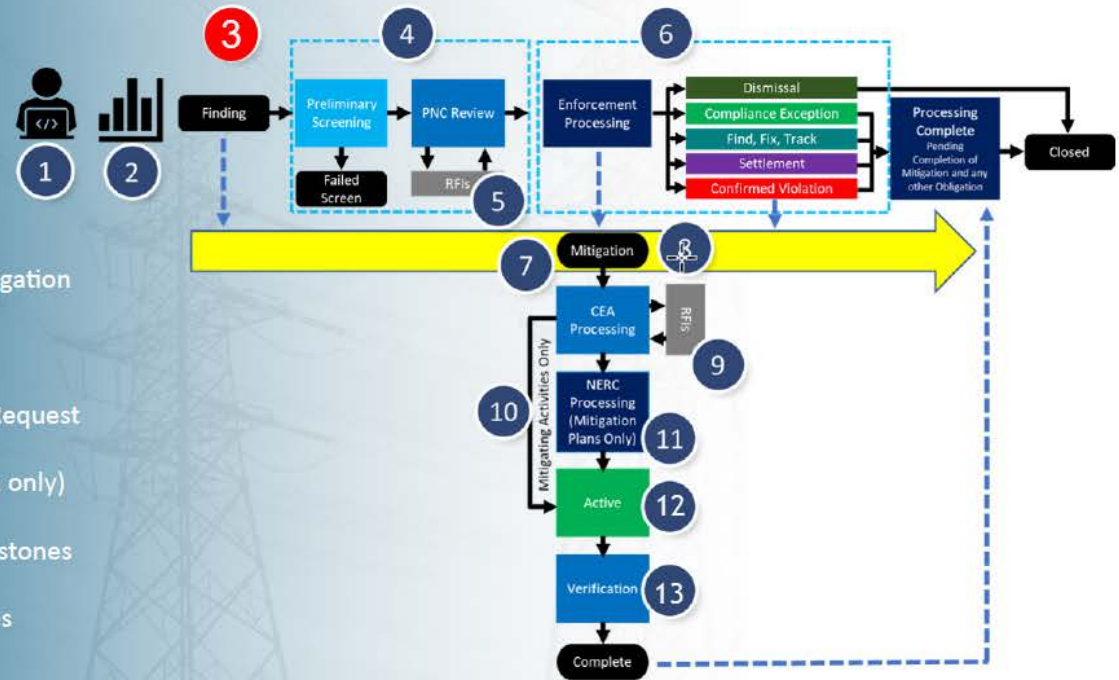
NERC
NORTH AMERICAN ELECTRIC
RELIABILITY CORPORATION

ALIGN

Release 1 Process Flow



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Creating a Finding

To create a **finding** in Align, navigate to the **Compliance Monitoring View**

1 Click the **dropdown arrow**

2 Select the **Compliance Monitoring** view

3 Click the **Create Finding** link for the entity you want to create a finding for

The screenshot shows the Align platform interface. At the top, there is a navigation bar with various tabs. Below this, the 'My Align' dropdown menu is open, showing options like 'Compliance Monitoring', 'PNC Processing', 'Enforcement Processing', 'Mitigation Management', 'CMEP Activity Search', 'Entity Information', and 'Reporting'. The 'Compliance Monitoring' option is highlighted with a yellow circle and the number 2. Above the dropdown, a yellow circle with the number 1 points to the dropdown arrow. Below the dropdown, a yellow circle with the number 3 points to the 'Create Finding' link in the 'REGISTERED ENTITIES' section. The 'REGISTERED ENTITIES' section contains a table with columns: TYPE, UNIQUE ID, STANDARD AND REQUIREMENT, REGIONS, and REGISTRATION. The table lists two entities: 'RPI Response for Mitigation' and 'RPI Response for PNC'. The 'Create Finding' link is highlighted with a green box.

TYPE	UNIQUE ID	STANDARD AND REQUIREMENT	REGIONS	REGISTRATION
RPI Response for Mitigation	2020-00488	CRP 005.6.14 R1	MNO-US	NOR0058 - Energy, Inc.
RPI Response for PNC	2020-00488	TPL 001.4 R1	WISCO-US	NOR0057 - Public Service Outdoors

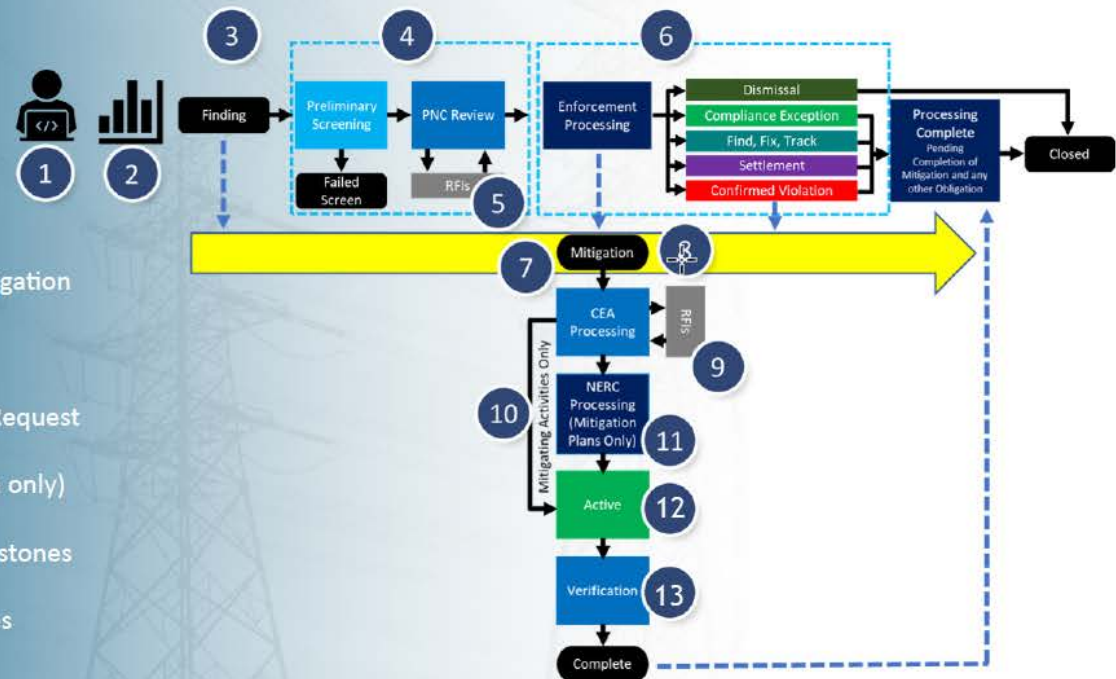
Application Exercise 1.3
Using the "Create a Finding" User Reference Guide (URG pg. 9-21), create and submit a finding on the Align platform.

Release 1 Process Flow



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Updating a Finding

After an entity submits a finding, they lose the ability to update the record. However, they can send you **Finding Updates**, which contain information that you can add to the PNC record. You can find these updates under the **Enforcement Processing** view.

1 Click the dropdown arrow to change views

2 Click on the **Enforcement Processing** view

3 Sort or Filter the table to locate finding updates

The screenshot shows the ALIGN application interface. The top navigation bar includes links for Logging In, Reviewing the Dashboard, Creating a Finding, Updating a Finding, Preliminary Screening, PNC Review, Sending an RFI, Enforcement Processing, Notifications, Closing Dispositions, Settlement and CVs, Mitigations, Entity Information, Reporting, and CMEP Search. The main content area is titled 'My Align' and contains a sidebar with a dropdown menu. The dropdown menu is open, showing options: My Align, Compliance Monitoring, PNC Processing, Enforcement Processing, Mitigation Management, CMEP Activity Search, Entity Information, and Reporting. The 'Enforcement Processing' option is highlighted. The main content area displays a table titled 'ITEMS AWAITING MITIGATION'. The table has columns: TYPE, ISSUE ID, STANDARD AND REQUIREMENT, REGIONS, REGISTRATION, and DUE DATE. The table contains two rows of data. The first row is for 'Finding Updates' with 'Sort Ascending' and '002-5.1a R2'. The second row is for 'Finding Updates' with 'Sort Descending' and '001-4 R1'. The table is filtered to show 'Finding Updates'.

TYPE	ISSUE ID	STANDARD AND REQUIREMENT	REGIONS	REGISTRATION	DUE DATE
Finding Updates	Sort Ascending	002-5.1a R2	MPO-US	NCR04108 - Oklahoma Municipal Power Authority	08/01/2024
Finding Updates	Sort Descending	001-4 R1	WECC-US	NCR05521 - Public Service Company of Colorado	08/01/2024

Application Exercise 1.4

Following the steps outlined in the User guide (URG pg. 22-25), respond to the finding update assigned to you.

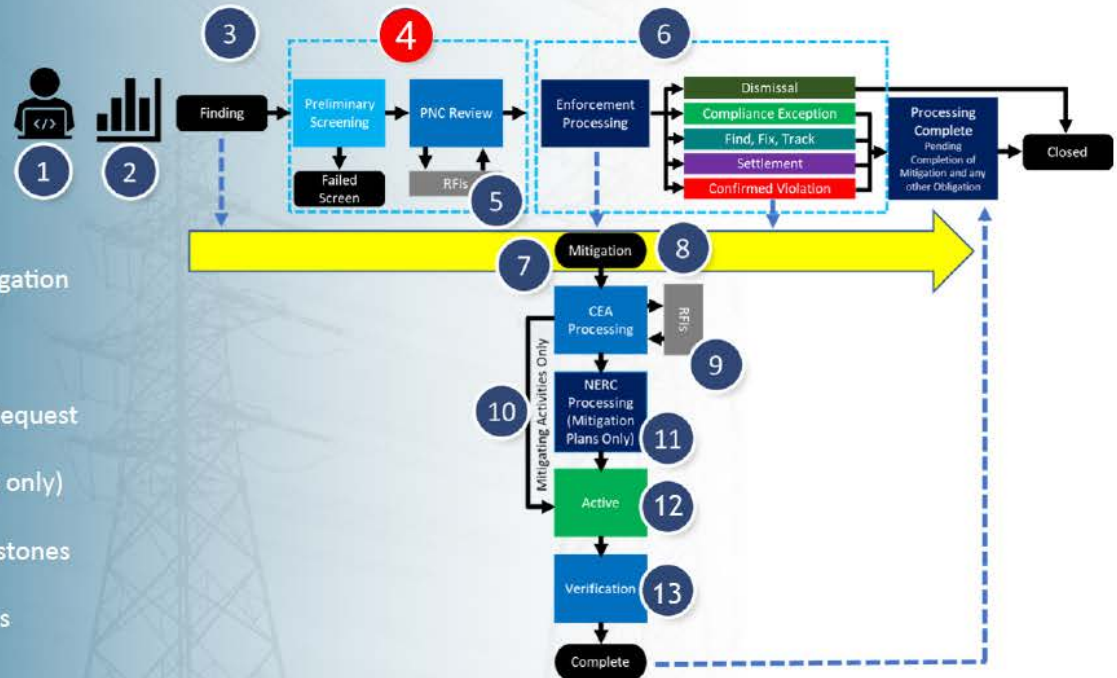


Mouse over for more information

Release 1 Process Flow



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Preliminary Screening (Assigning)



You can perform the screening from the **PNC Processing** view or you can assign it to a team member. To assign it:

- 1 Navigate to the **PNC Processing** view
- 2 Click on the **Unique ID** of the finding you want to screen
- 3 Click the **link** button in the **Assigned to** section
- 4 Select the **checkbox** next to the person you want to assign the screening to
- 5 Click the **Confirm** button
- 6 Click the **Save** button

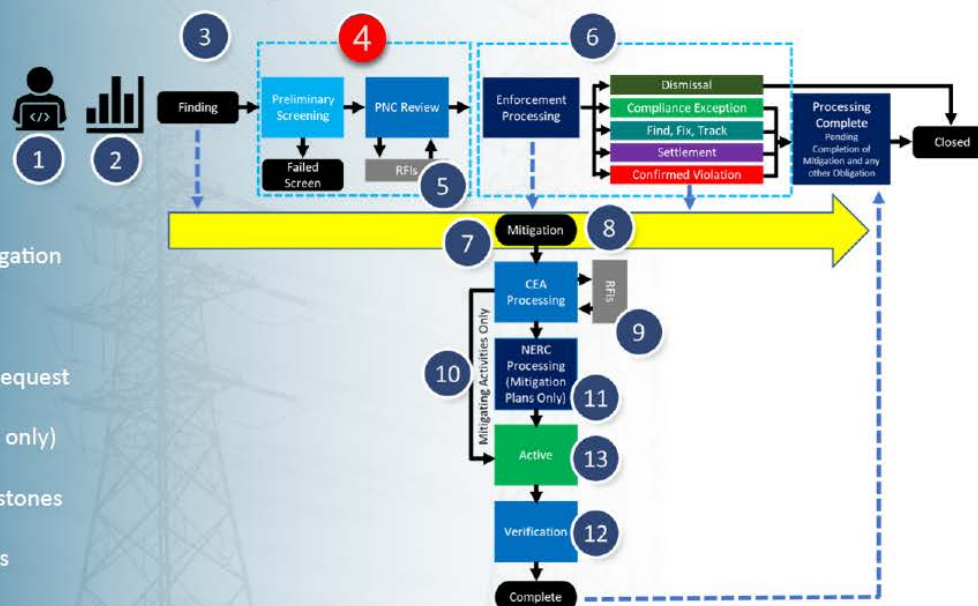
Application Exercise 1.5
Follow the steps outlined in the User guide (URG pg. 27-29) to carry out the preliminary screening process on your assigned finding.

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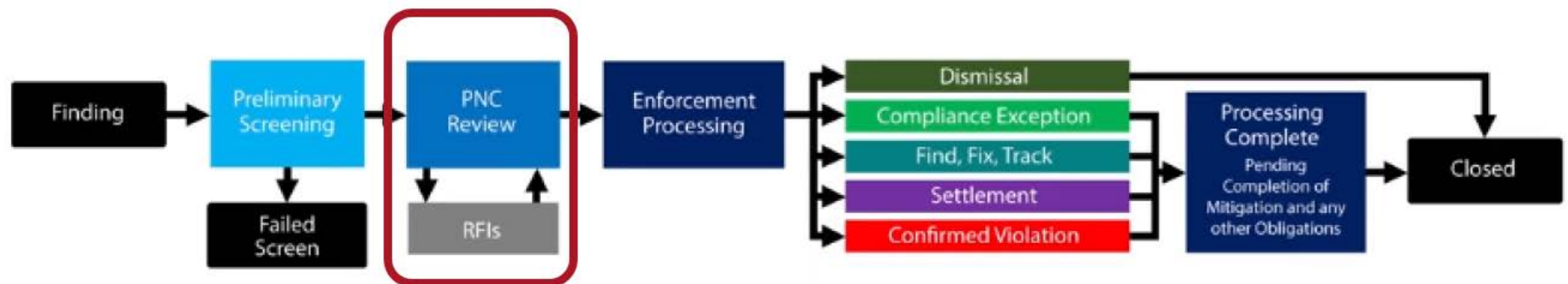
PNC Review

After a Finding has passed the Preliminary Screen, it moves on to PNC Review. To begin the PNC Review:

- 1 Navigate to the **PNC Processing** view
- 2 Click on the **PNC Review** tab
- 3 Click on the **Unique ID** of the PNC you want to review

The screenshot shows the ALIGN application interface. The top navigation bar includes tabs for various stages of the process, with 'PNC Review' highlighted. A sidebar on the left contains a 'My Align' dropdown menu with options like 'Compliance Monitoring', 'PNC Processing', and 'Enforcement Processing'. The 'PNC Processing' dropdown is open, showing 'PNC Review' as the selected option. Below this, a table titled 'POTENTIAL NONCOMPLIANCES IN REVIEW' is displayed. The table has columns for Monitoring Method, Unique ID, NCR, Entity, Region and Jurisdiction, Standard, REQ, RECEIVED, Violation Start Date, and Review Status. Four rows of data are visible, all with a status of 'IN PROGRESS'. A green box at the bottom of the screenshot contains the text for 'Application Exercise 1.6'.

Application Exercise 1.6
Follow the steps outlined in the User guide (URG pg. 30-40) to complete a PNC review for their assigned finding.



Accessing Align

Reviewing the Dashboard

Creating a Finding

Updating a Finding

Preliminary Screening

PNC Review

Sending an RFI

Enforcement Processing

Notifications

Closing Dispositions

Settlement and CVs

Mitigations

CMEP Activity Search

Entity Information

Reporting

PNC Review

ALIGN

Align for Re

My Align

My Align

Compliance Monitoring

PNC Processing

Enforcement Processing

Mitigation Man

CMEP Activity S

Entity Informati

Reporting

NEWS AND UPDATES

NEWS AND UPDATES

PNC Processing

Preliminary Screening

PNC Review

Completed PNC Screening

POTENTIAL NONCOMPLIANCES IN REVIEW

MONITORING METHOD	UNIQUE ID	INCR	ENTITY	REGION AND JURISDICTION	STANDARD	REQ	RECEIVED	VIOLATION START DATE	REVIEW STATUS
Self-Report	2020-00205	NCRD1020	Northern States Power (Nuc Energy) OO Group Nn 56 - Xcel	MRO-US	SAL-001-2	RI	09/23/2020	09/10/2020	IN PROGRESS
Self-Report	2020-00215	NCRD1020	Oklahoma Municipal Power Authority	MRO-US	VAR-002-4.1	RI	09/23/2020	05/25/2020	IN PROGRESS
Self-Report	2020-00356		Enbridge Inc.	MRO-US	OP-003-7	RI	09/29/2020	09/11/2020	IN PROGRESS

Application Exercise 1.7

Navigate to the PNC Processing view and practice linking your PNC record to an existing Enforcement Action, then practice unlinking the same record from the Enforcement Action.

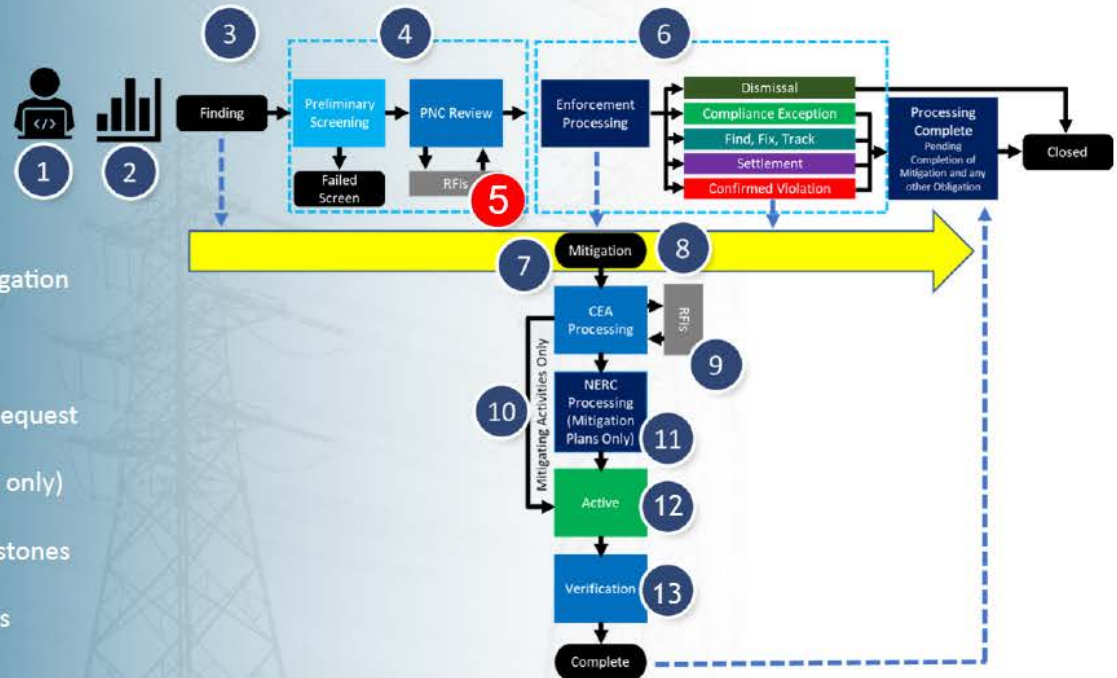
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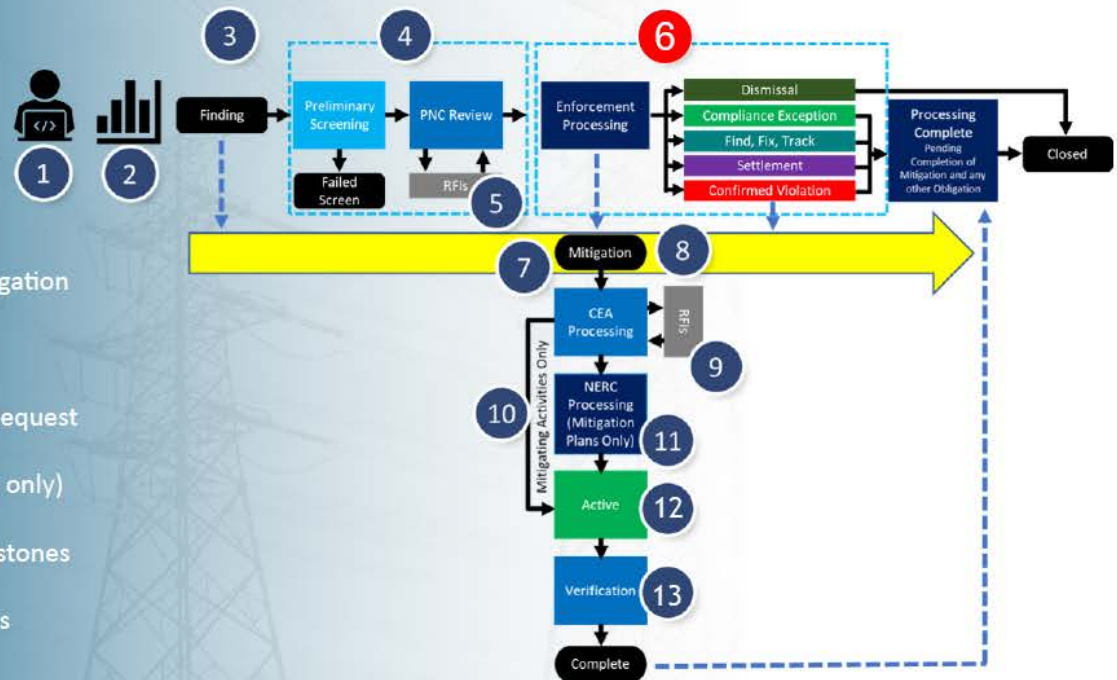


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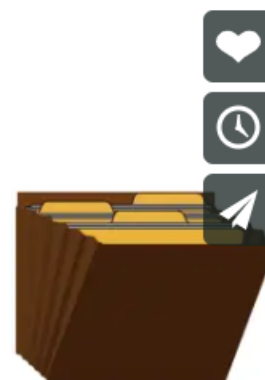
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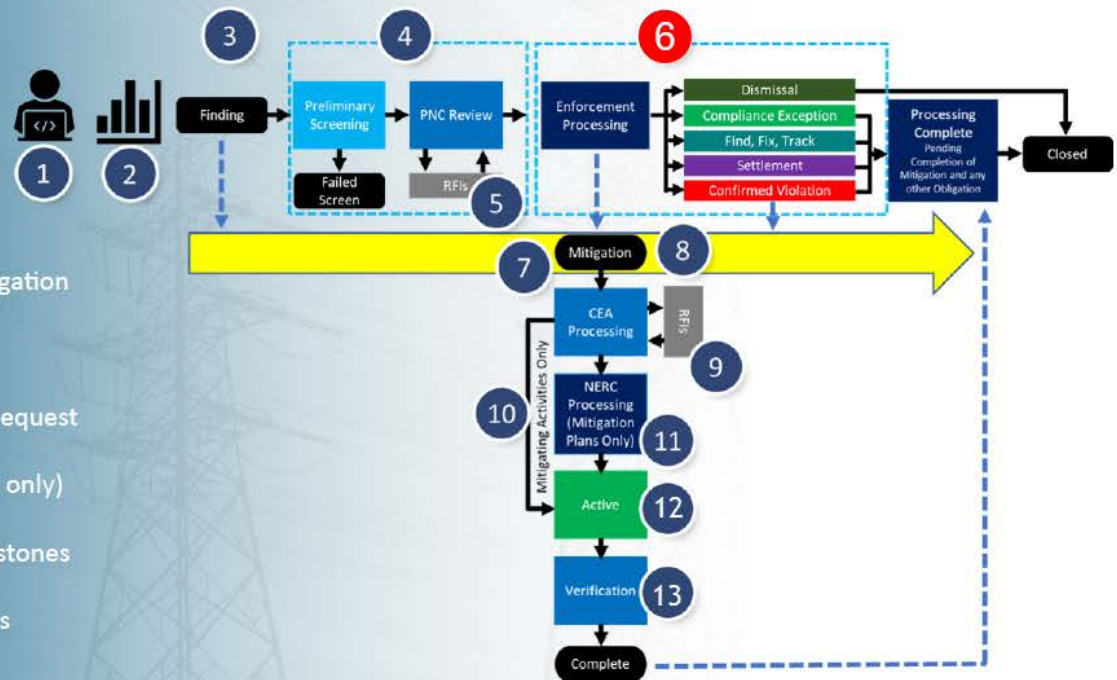
FINDING | PRELIMINARY SCREEN | PNCR | ENFORCEMENT | DISPOSITION | CLOSED



Release 1 Process Flow



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Enforcement Processing (Open EAs)

ALIGN

After you complete the PNC Review, Align creates an open **Enforcement Action (EA)** for the PNC. Open EAs need to be assigned to a new or existing disposition. To assign to a new disposition:

- 1 Navigate to the **Enforcement Processing** view
- 2 Select the **Open Enforcement Action** tab to see all EAs
- 3 Click the **Unique ID** of an EA

NOTICE: a yellow flag (a) next to Enforcement Action record indicates it has not yet been assigned to a position

The screenshot shows the 'Enforcement Processing' view in the ALIGN system. A sidebar menu on the left has 'Enforcement Processing' highlighted with a yellow circle and the number 1. Below the sidebar, the 'Open Enforcement Actions' tab is selected with a yellow circle and the number 2. The main table, titled 'OPEN ENFORCEMENT ACTIONS', lists several records. The first record has a yellow flag icon next to its 'UNIQUE ID' (2020-00486), which is circled with a yellow circle and the number 3. The table columns include: UNIQUE ID, NCR, ENTITY, REGION(S) AND JURISDICTION, REG, STANDARD, VIOLATION START DATE, RECOM, and ASSIGNED.

UNIQUE ID	NCR	ENTITY	REGION(S) AND JURISDICTION	REG	STANDARD	VIOLATION START DATE	RECOM	ASSIGNED
2020-00486	MCR05321	Public Service Company of Colorado CO Dereg No. 66 - 100	WECC-US	RT	TR-001-4	07/01/2020		
2020-00485	MCR00008	Energy Inc.	MPD-US	RT	CP-002-5-1a	06/01/2020		
2020-00487	MCR00008	Public Service Company of Colorado	WECC-US	RT	TR-001-4	07/01/2020		

Application Exercise 1.10

Use the steps outlined in URG (Pg. 43-47) to assign the Enforcement Action created for your finding's PNC to a new disposition (CV, CE or FFT).

Enforcement Processing (Dispositions)



There are a few additional fields to fill out if you selected a disposition of Settlement. None of these are required at this point, but you fill in the information if you have it.

- 11 Select a status from the **Settlement Status** dropdown
- 12 Enter dates for the the **Settlement Requested On** and **Settlement Execution Date** fields
- 13 Enter the **Proposed Settlement Amount** and **Final Settlement Amount**
- 14 Attach any **Settlement Agreement** documents

Disposition

Disposition Information

Type * Settlement

Case File ID

Instructions:

By default, the type of Disposition is Pending.

A Pending Disposition can be used to send Expedited Settlement Agreement notifications and notices of Alleged Violation and Proposed Penalty and Sanction.

A Dismissal disposition can be used to send Dismissal Letters.

A CE Disposition can be used to send CE Letters.

A FFT Disposition can be used to send FFT Letters.

A Settlement Disposition can be used to send a final Settlement Agreement.

A Confirmed Violation can be used to send a notice of Confirmed Violation.

Once you have chosen and saved a disposition other than "Pending," it can no longer be changed to another type of disposition - it must be either submitted for processing or deleted.

Settlement Discussions History

Settlement Status In Drafting

Settlement Requested On

Settlement Execution Date

Proposed settlement amount (USD)

Final settlement amount (USD)

Settlement Agreement Attachments Attach file

Application Exercise 1.11

Use the steps outlined in URG (Pg. 43-50) to assign your Enforcement Action to a settlement or dismissal disposition.



Mouse over for more information

Enforcement Processing (Deleting a Disposition)



After you assign an EA to a new disposition, you can find that new disposition under the **Active Dispositions** tab. If you wish to change the disposition at this point, you must first delete the original disposition:

- 1 Click the **Active Dispositions** tab
- 2 Click the **Unique ID** of the disposition you want to delete

Enforcement Processing					
1					
Open Enforcement Actions Active Dispositions Dispositions Pending Close EAs Pending Disposition Close Closed Enforc					
ACTIVE DISPOSITIONS					
DISPOSITION TYPE	UNIQUE ID	NCR	ENTITY	CASE FILE ID	
Confirmed Violation	2020-00486	NCR05521	Public Service Company of Colorado CO Group No. 56 - Xcel	test	
Settlement	2020-00452	NCR00658	Evergy, Inc.		
Dismissal	2020-00451	NCR00658	Evergy, Inc.		
Compliance Exception	2020-00450	NCR00658	Evergy, Inc.		
Dismissal	2020-00449	NCR00658	Evergy, Inc.		

Application Exercise 1.12

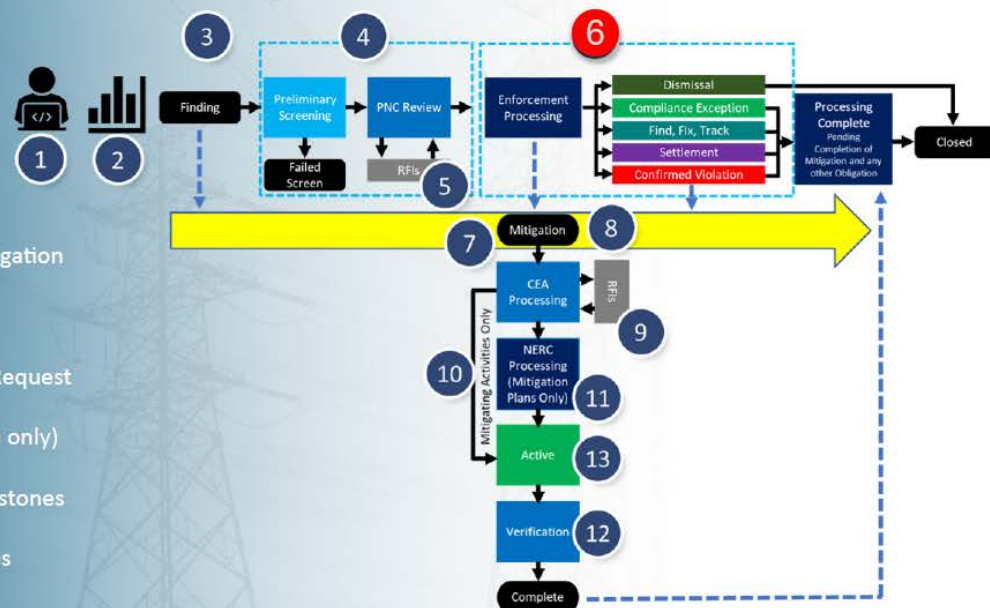
Identify one of your newly assigned dispositions in the Active dispositions tab. Follow the steps outlined in URG (pg. 51-55) to delete the existing disposition. Then, relate the open EA record to your other active disposition, then practice unlinking it again.

Release 1 Process Flow



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Enforcement Processing (Notifications)

Before you can send a disposition to NERC for review, you must send a disposition notification to the Registered Entity:

- 1 Navigate to the **Enforcement Processing** view
- 2 Select the **Active Dispositions** tab
- 3 Click the link in the **Send Notification** column

The screenshot shows the ALIGN web application interface. The top navigation bar includes various modules. The 'Enforcement Processing' dropdown menu is open, showing options like 'My Align', 'Compliance Monitoring', 'PNC Processing', 'Enforcement Processing' (highlighted with a yellow circle and the number 1), and 'Mitigation Management'. Below this, the 'Active Dispositions' tab is selected (highlighted with a yellow circle and the number 2). The 'ACTIVE DISPOSITIONS' table is visible, with columns for 'DISPOSITION TYPE', 'UNIQUE ID', 'NCR', 'ENTITY', 'CASE FILE ID', 'NERC NOCV', and 'SEND NOTIFICATION'. A row is shown with the value 'Send NOCV' in the 'SEND NOTIFICATION' column. At the bottom, there is a pagination bar showing 'Page 1 of 2'.

Application Exercise 1.13

Follow the steps on URG (pgs. 56-59) and send a disposition notification to the Registered Entity using the Active disposition created previously.



Mouse over for more information

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Enforcement Processing (NAVAPS Notifications)



If the Disposition Type is Pending, there will be two options displayed in the Send Notifications column: Expedited Settlement Agreement (ESA) and NAVAPS (a).

If you choose to send NAVAPS, there are additional fields to complete to send a notification object to the Registered Entity.

You must enter a Monetary Penalty (b) and any Non-Monetary Sanctions (c) assigned to the Registered Entity in addition to the other required fields.

ACTIVE DISPOSITIONS						
	<u>DISPOSITION TYPE</u>	UNIQUE ID	▲ NCR	ENTITY	CASE FILE ID	NERC NOC#
➡	Pending	2020-00103	NCR00961	Alliant Energy - East CO Group No. 5 - Alliant		
	Pending	2020-00075	NCR9999999	Second Game Day Friday Entity		



Send ESA
Send NAVAPS

Notification

Notification Type *

Notice of Alleged Violation and Proposed Penalty or Sanction

b

Monetary Penalty

c

Non-Monetary Sanctions

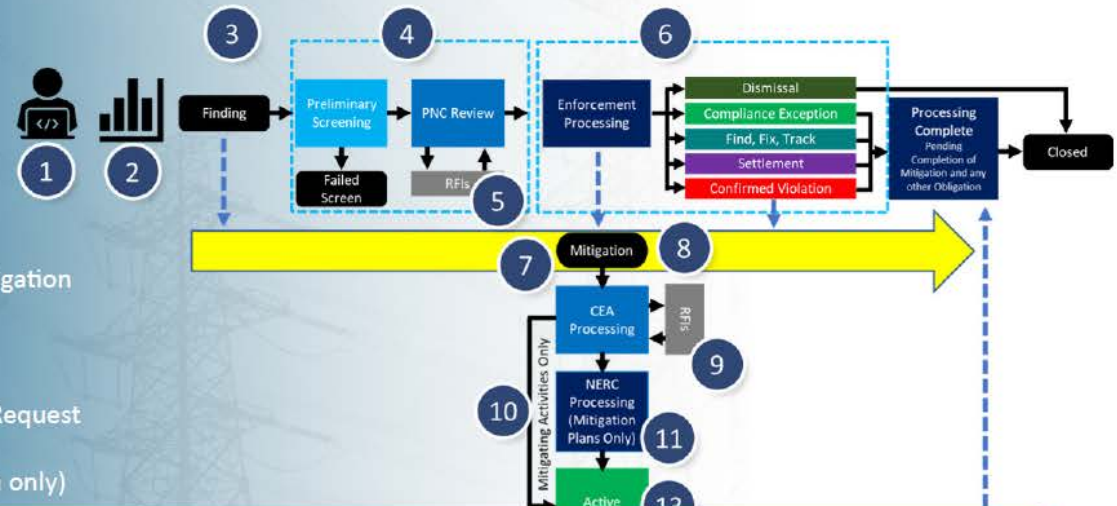
US Dollar

Application Exercise 1.14
Follow the steps on URG (pgs. 56-60) and complete a form for NAVAPS notifications, using your newly created disposition in "pending" status.

Release 1 Process Flow



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- 1 Log in to Align
- 2 Review the Dashboard
- 3 Create a Finding
- 4 CEA Screen & Review
- 5 Send any RFIs
- 6 CEA Assigns Disposition
- 7 Entity Submits Mitigation
- 8 Update/Resubmit mitigation
- 9 Mitigation RFIs
- 10 Mitigation Extension Request
- 11 NERC review (Mit Plan only)

Application Exercise 1.15

Access Align and create three (3) finding entries. Push these through CEA processing, completing each with a different disposition: (a) dismissal; (b) CE or FFT, and (c) Settlement or CV.

NERC Review (CEs and FFTs)



Before you can close a Compliance Exception or Find, Fix, and Track disposition, NERC must review and approve it.

- 1 Click the **Unique ID** to open the disposition
- 2 Click the **Action** dropdown
- 3 Select **Submit**
- 4 Click **Save and Action**

This will submit the disposition for NERC review. While in review, the record will stay on in a status of: In NERC Process. Once the disposition will move to **Disposition**. If they reject the disposition, it will move to **Enforcement Actions (b)**.

The screenshot shows the 'Enforcement Processing' section of the ALIGN system. It includes a table of 'ACTIVE DISPOSITIONS' and a detailed view of a specific disposition (2020-00656).

ACTIVE DISPOSITIONS Table:

DISPOSITION TYPE	UNIQUE ID	STATUS
Compliance Exception	2020-00277	NO
Compliance Exception	2020-00350	NO
Compliance Exception	2020-00365	NO
Compliance Exception	2020-00443	NO

Disposition Information Form:

- Registration: NCR00661 - Atlant Energy - East in MPO
- Disposition Type: Compliance Exception
- Case File ID: September CE Filing
- Action: -- None --
- Violation Closed Date:
- Instructions:

Action Dropdown Menu:

- No Action
- Delete
- Submit

Buttons: Save and Action, Save, Close

Application Exercise 1.16

Follow the steps outlined in the URG (pgs. 62, 64-66) to initiate the closings for the (a) CE/FFT and the (b) Settlement/CV that you just processed



Mouse over for more information

	Dismissal	CE or FFT	Settlement or CV
Notification to Registered Entity	✓	✓	✓
CEA Review of mitigations		✓	
CEA Review of Obligations			✓
NERC Review Required		✓	✓

Closing a Disposition (Dismissals)



You can close a Dismissal from the **Active Dispositions** tab. To close:

- 1 Click the **Unique ID** of the disposition
- 2 Click the **Action** dropdown
- 3 Select **Submit**
- 4 Click **Save and Action**

The Dismissal will then move to the **Closed Enforcement Actions** tab, where it will be saved for later reference.

The screenshot shows the 'Enforcement Processing' section with tabs for 'Open Enforcement Actions', 'Active Dispositions', 'Dispositions Pending Close', 'EAs Pending Disposition Close', and 'Closed Enforcement Actions'. The 'Active Dispositions' tab is selected, displaying a table of dispositions. A specific disposition (Unique ID: 2020-00221) is highlighted. A modal window titled 'Disposition Information' is open, showing details for the selected disposition. The 'Registration' field is set to 'NCR04106 - Oklahoma Municipal Power Authority in MPO'. The 'Disposition Type' is 'Dismissal'. The 'Case File ID' is '2020-000154'. The 'Dismissal Category' is 'Preliminary Screen'. The 'Dismissal Explanation' is 'duplicate'. The 'Action' dropdown menu is open, showing options: 'None', 'No Action', 'Delete', and 'Submit'. The 'Submit' option is highlighted. The 'Instructions' field is empty. The 'Save and Action' button is visible at the bottom right of the modal.

Application Exercise 1.17

Follow the steps outlined in the URG (pgs. 61, 63, 67-69) to complete the closings for each of the three dispositions you processed.



Mouse over for more information

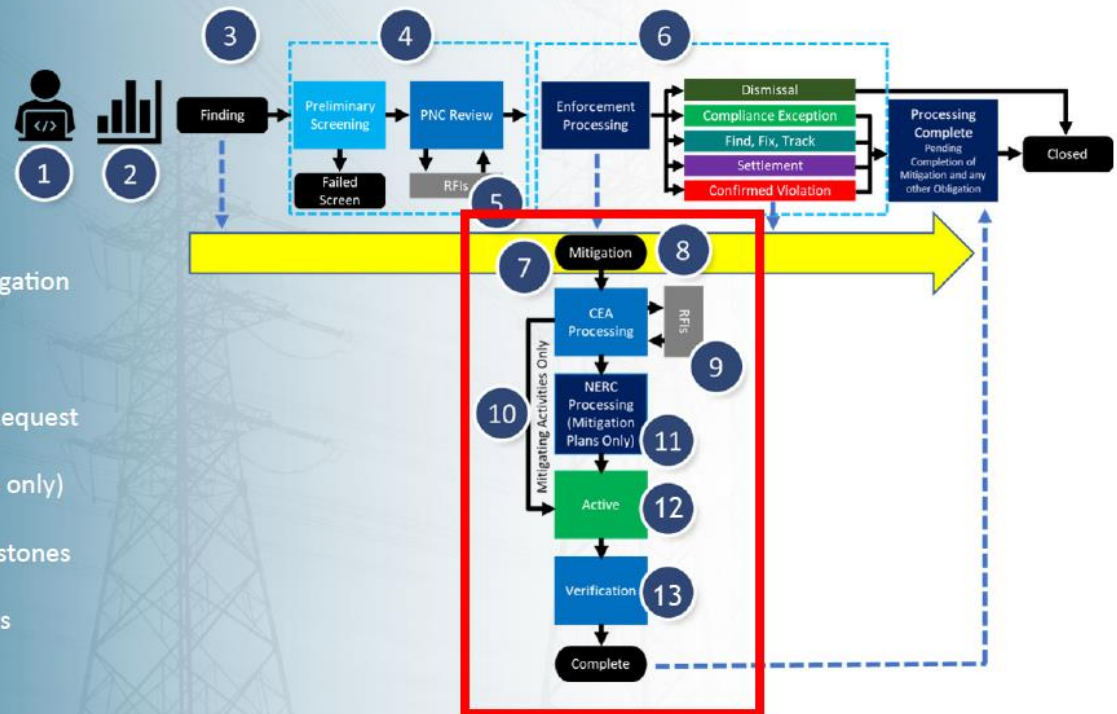
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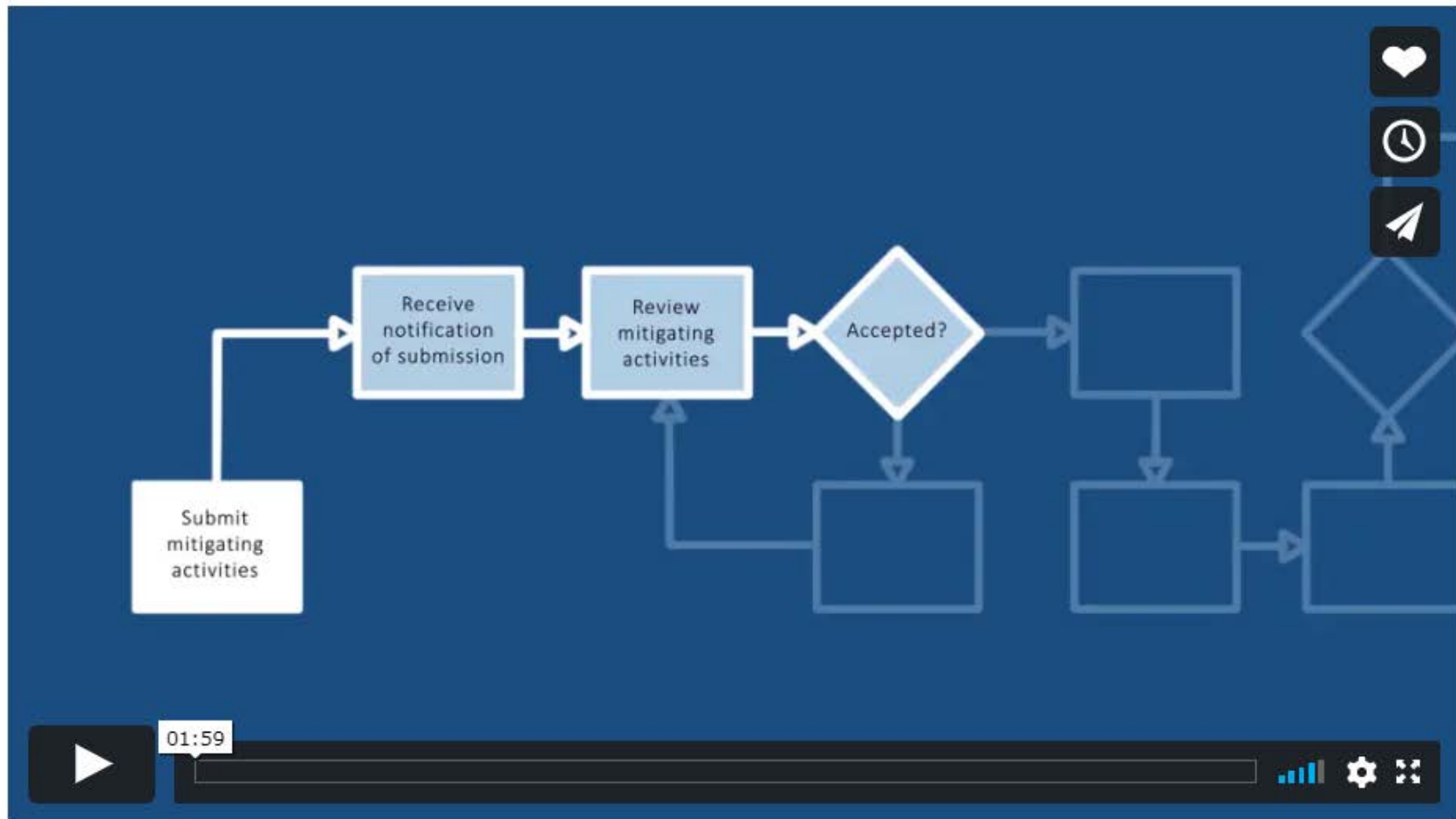
Release 1 Process Flow



The focus of release 1 is the life cycles of self-logs and self-reports, but there are interim ways to handle other kinds of findings as well; at a very high level the scope looks something like the model on the right.



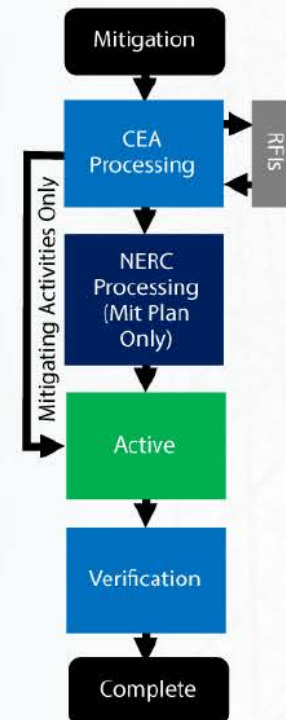
- 1 Log in to Align
- 2 Review the Dashboard
- 3 Create a Finding
- 4 CEA Screen & Review
- 5 Send any RFIs
- 6 CEA Assigns Disposition
- 7 Entity Submits Mitigation
- 8 Update/Resubmit mitigation
- 9 Mitigation RFIs
- 10 Mitigation Extension Request
- 11 NERC review (Mit Plan only)
- 12 Entity Completes Milestones
- 13 Consolidate Milestones (if necessary)



Mitigation Status Progression

When your entity submits a mitigation, it will appear in the **Mitigation Management** view in the **Mitigations Awaiting Review** tab. You will work with the entity and NERC (in the case of a Mitigation Plan) to push the mitigation through the following steps.

- | | |
|-------------------|----------------|
| 1 CEA Processing | 4 Verification |
| 2 NERC Processing | 5 Incomplete |
| 3 Active | 6 Complete |



ALIGN



Mitigation Status Progression

When your entity submits a mitigation, it will appear in the **Mitigation Management** view in the **Mitigations Awaiting Review** tab. You will work with the entity and NERC (in the case of a Mitigation Plan) to push the mitigation through the following steps.

- 1 CEA Processing
- 2 NERC Processing
- 3 Active
- 4 Verification
- 5 Incomplete
- 6 Complete

```
graph TD; Mitigation[Mitigation] --> CEA[CEA Processing]; CEA --> NERC[NERC Processing (Mit Plan Only)]; NERC --> Active[Active]; Active --> Verification[Verification]; Verification --> Complete[Complete]; Mitigation --> RFS[RFS]; RFS --> CEA; RFS --> NERC; RFS --> Active; RFS --> Verification; RFS --> Complete; Mitigation --> Mitigating[Mitigating Activities Only]; Mitigating --> CEA; Mitigating --> NERC; Mitigating --> Active; Mitigating --> Verification; Mitigating --> Complete;
```

The flowchart illustrates the progression of a mitigation through various stages. It starts with 'Mitigation' (black box) and branches into three paths: 'CEA Processing' (blue box), 'NERC Processing (Mit Plan Only)' (dark blue box), and 'Active' (green box). These three paths converge into a single path leading to 'Verification' (blue box) and finally 'Complete' (black box). A vertical bar on the right side of the flowchart, labeled 'RFS', indicates that the 'Mitigation' step is reviewed by the RFS. A vertical bar on the left side of the flowchart, labeled 'Mitigating Activities Only', indicates that the 'Active' step is reviewed by the RFS.

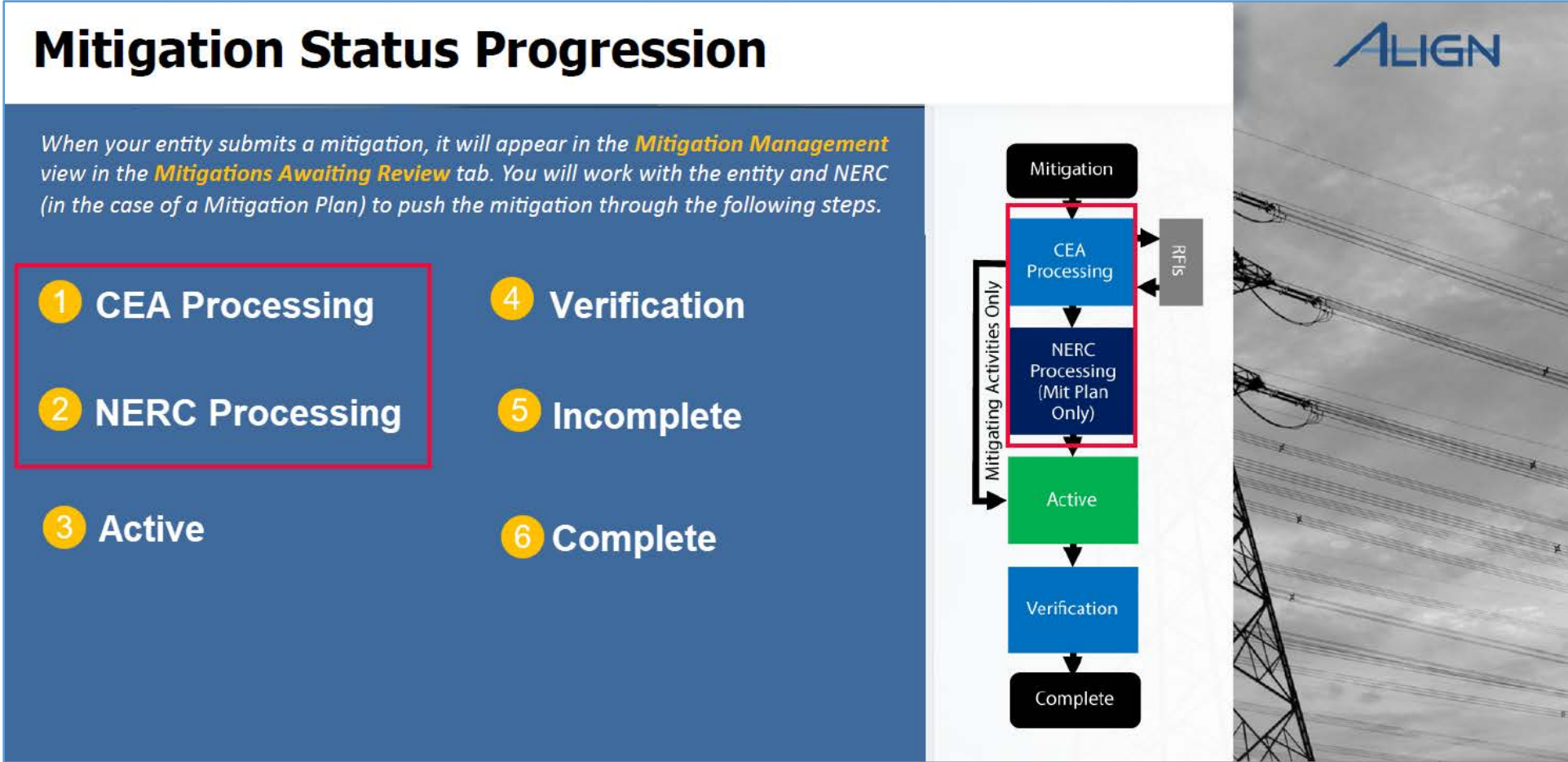
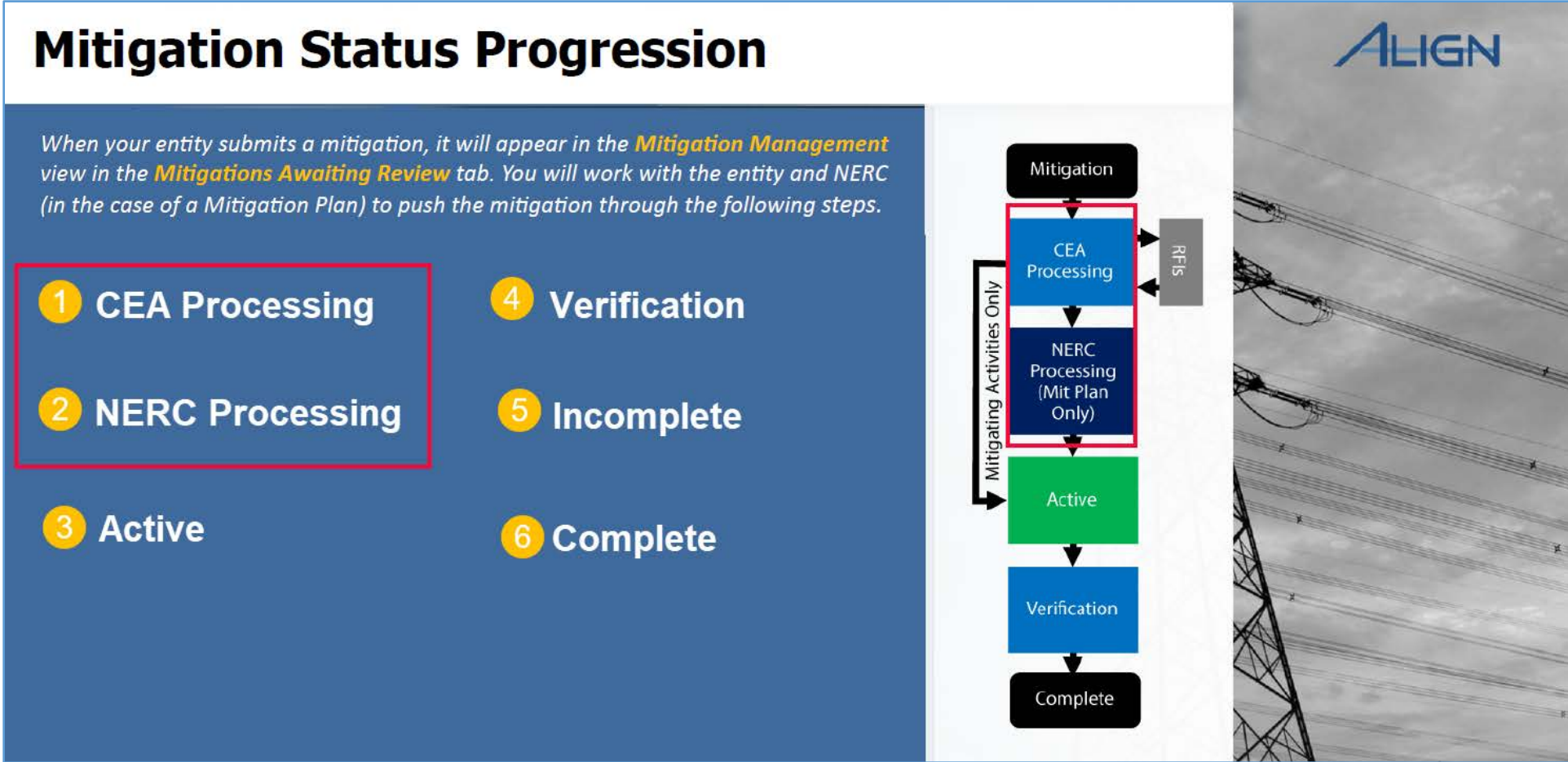
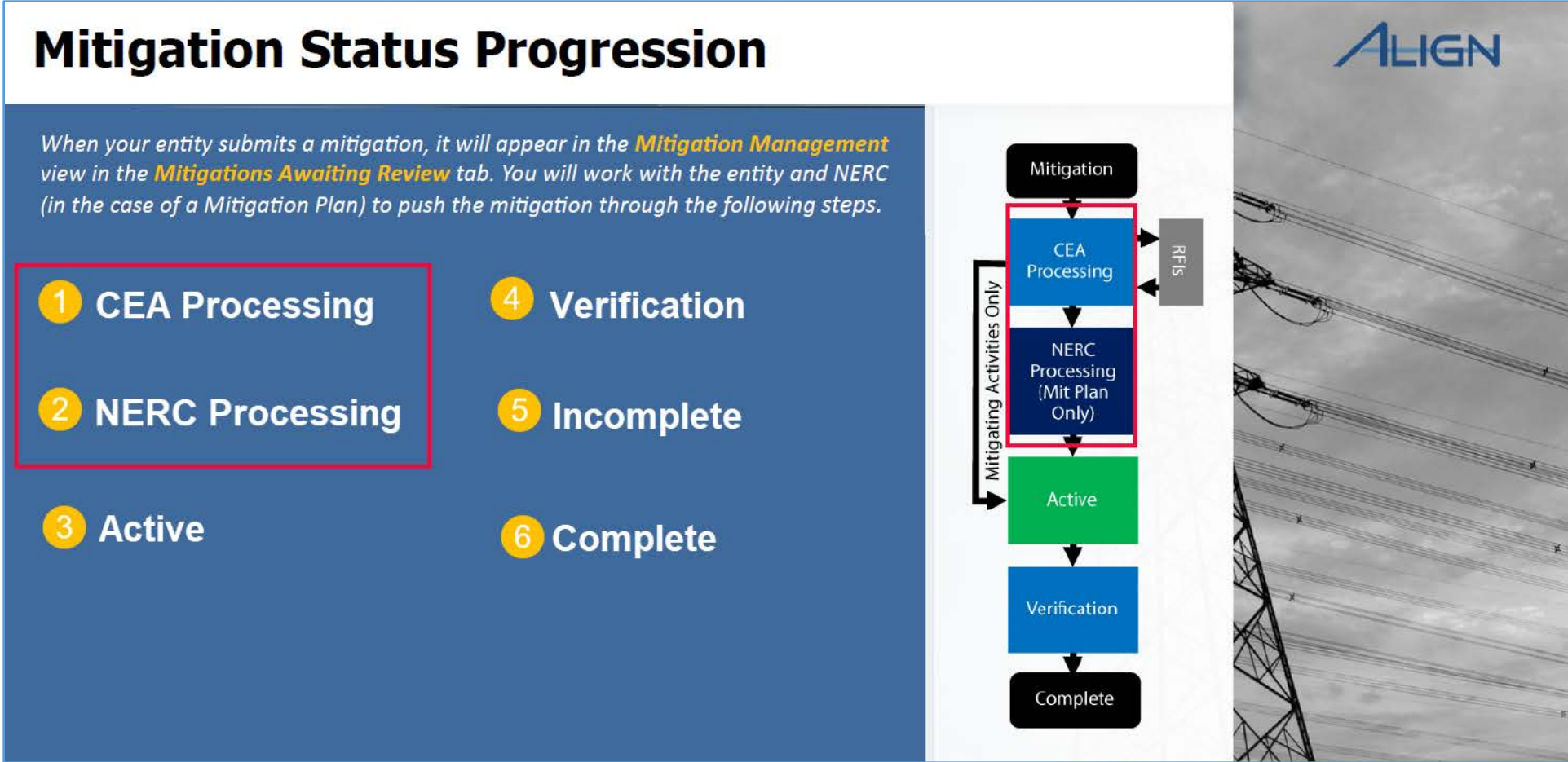
Mitigation Status Progression

When your entity submits a mitigation, it will appear in the **Mitigation Management** view in the **Mitigations Awaiting Review** tab. You will work with the entity and NERC (in the case of a Mitigation Plan) to push the mitigation through the following steps.

- 1 CEA Processing
- 2 NERC Processing
- 3 Active
- 4 Verification
- 5 Incomplete
- 6 Complete

```
graph TD; Mitigation[Mitigation] --> CEA[CEA Processing]; CEA --> NERC[NERC Processing (Mit Plan Only)]; NERC --> Active[Active]; Active --> Verification[Verification]; Verification --> Complete[Complete]; Mitigation --> RFS[RFS]; RFS --> CEA; RFS --> NERC; RFS --> Active; RFS --> Verification; RFS --> Complete; Mitigation --> Mitigating[Mitigating Activities Only]; Mitigating --> CEA; Mitigating --> NERC; Mitigating --> Active; Mitigating --> Verification; Mitigating --> Complete;
```

The flowchart illustrates the progression of a mitigation status. It starts with a black box labeled 'Mitigation'. From 'Mitigation', arrows lead to 'CEA Processing' (blue box), 'NERC Processing (Mit Plan Only)' (dark blue box), 'Active' (green box), 'Verification' (blue box), and 'Complete' (black box). A red box highlights the first three steps: 'CEA Processing', 'NERC Processing (Mit Plan Only)', and 'Active'. To the right of the flowchart, a grey box labeled 'RFS' has arrows pointing to each of the five main steps. A black box labeled 'Mitigating Activities Only' has arrows pointing to each of the five main steps.



Mitigating Activities



When an entity submits mitigating activities, you will need to review and either approve or ask for resubmission.

- 1 Navigate to the **Mitigation Management** view
- 2 Click the **Mitigations Awaiting Review** tab
- 3 Click the **Unique ID**

The screenshot shows the 'Mitigation Management' view in the ALIGN system. The 'Mitigations Awaiting Review' tab is selected. Below the tabs, there is a table titled 'MITIGATING ACTIVITIES AND MITIGATION PLANS AWAITING CEA REVIEW'. The table has columns for TYPE, UNIQUE ID, NCR#, ENTITY NAME, STANDARD, REQ, VIOLATION START DATE, and CEA REVIEW DUE DATE. The first row shows a 'Mitigating Activities' entry with a unique ID of 2020-00663, NCR# NGP00561, and entity name Alliant Energy - East. The second row shows a 'Mitigation Plan' entry with a unique ID of 2020-00663, NCR# NGP00561, and entity name Alliant Energy - East.

Application Exercise 2.1

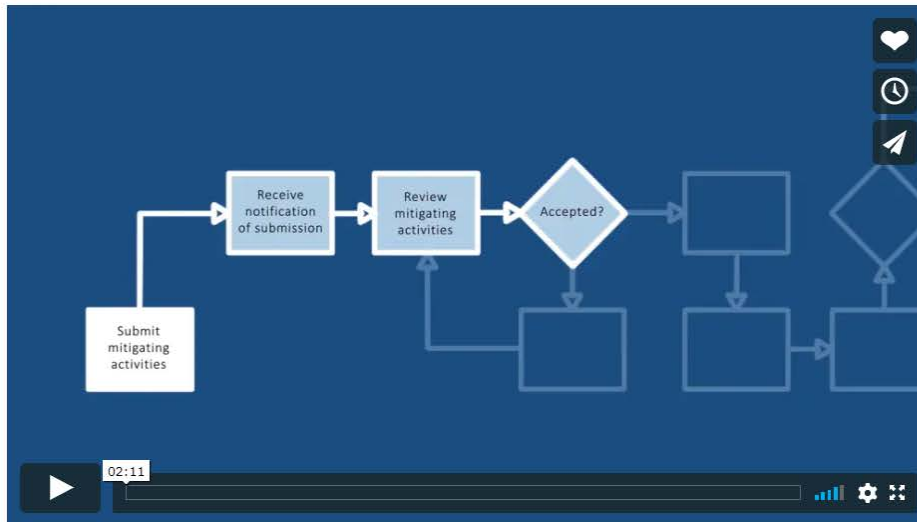
Follow the steps outlined in the URG (pgs. 71-74), review the record of mitigation activities assigned to you and request the "Entity" to submit them as a mitigation plan.



Mouse over for more information

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The screenshot shows the "Mitigation Management" system interface. The main panel displays "General Information" for a mitigation activity. The "Type" is "Mitigating Activities" and the "Residual PNC" is "2020-01108". The "Region" is "CEA MRO". The "Applicable Requirements" are "CP-004-6 R2" and "CP-004-6 R2 Part 1, CP-004-6 R2 Part 2". The "Applicable Function(s)" are "RC". The "Region-Contributions(s) in which the Potential Noncompliance Occurred" is "MRO-US". The "Road Closure" is "Not available; PNC Review not yet complete." and the "Interim Risk Reduction" is "description".

Below the general information is a table titled "Mitigation Milestones".

WILSTONE ID	TYPE OF WILSTONE ITEM	WILSTONE NAME	PLANNED COMPLETION D	REVISED PLANNED COMF	ACTUAL COMPLETION DATE
	Corrective Control	Task 1	00010000		
	Interim Control	Task 2	00020000		

Instructions: When ready for Region Review and Approval, Submit this Mitigation by selecting the "Submit for CEA Review" Action and clicking "Save and Action" below.

Mitigation Plans



When your entity submits a Mitigation Plan, you will see it appear on the **Mitigations Awaiting Review** tab (a). Check to ensure that the entity added a contact (b) and an Interim Risk Reduction (c) as these are required for Mitigation Plans.

12 From the **CEA Review Action** dropdown, choose **Accept** to approve the Mitigation Plan or select **Resubmit** if it needs to go back for edits

13 Click the **Save and Action** button

14 Once you approve the Mitigation Plan, click the **All Mitigations** button to see the list. It will be in a status of **NERC Processing** until NERC completes its review and approves.

2020-00082

General Information

Type: Mitigation Plan

Registration: NCR9999999 - Second Game Day Friday En

Mitigation Plan Contact: NCR9999999 Editor 1

Mitigation Status: CEA Processing

Applicable Requirement: CIP-007-6 R6.

Applicable Part(s): CIP-007-6 R5.3 ; CIP-007-6 R5.2 ; CIP-007-6 R5.6 ; CIP-007-6 R5.5 ; CIP-007-6 R5.4.

Interim Risk Reduction

Interim Risk Reduction: ttt

Comments from Region and NERC

CEA Review Action: -- None --

CEA Comments Shared with Entity

Accept

Resubmit

Submit as Mitigation Plan

Save and Action

Save

Close

Mitigation Management

Mitigations Awaiting Review

Rejected Mitigations

Active Mitigations

Mitigations Awaiting Verification

Completed Mitigations

All Mitigations

RF

Mitigation Plan

2020-00681

Verification

NCR00770

Exelon Generation Company, LLC - Exelon Nuclear

RF-US

PRC-005-B

R1

Application Exercise 2.2

Following the steps outlined in the URG (pg. 75), identify the mitigation record assigned to you and approve the mitigation plan "submitted by the entity."



Mouse over for more information

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Mitigation Status Progression

When your entity submits a mitigation, it will appear in the **Mitigation Management** view in the **Mitigations Awaiting Review** tab. You will work with the entity and NERC (in the case of a Mitigation Plan) to push the mitigation through the following steps.

1 CEA Processing

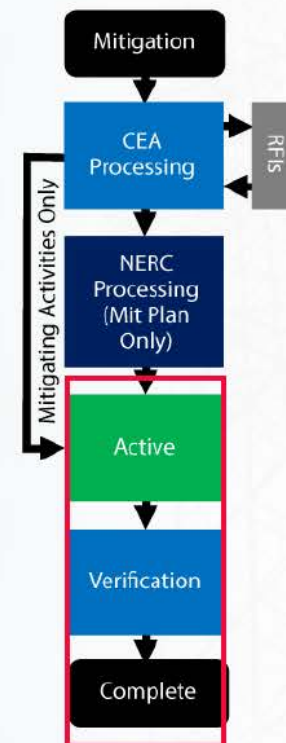
2 NERC Processing

3 Active

4 Verification

5 Incomplete

6 Complete



ALIGN



Verifying Mitigations as Complete



Once an Entity has completed all milestones, they will submit the mitigation as complete. The mitigation record will then appear under your **Mitigations Awaiting Verification** tab.

To mark a mitigation record as complete or incomplete:

- 1 Click the **Mitigations Awaiting Verification** tab
- 2 Click the **Unique ID** of the mitigation

Mitigation Management

Mitigations Awaiting Review
Rejected Mitigations
Active Mitigations
Mitigations Awaiting Verification
Completed Mitigations

MITIGATING ACTIVITIES AND MITIGATION PLANS AWAITING VERIFICATION

	TYPE	UNIQUE ID	NCR#	ENTITY NAME	STANDARD	REQ.	VIOLATION START DATE	COM. DATE
➡	Mitigating Activities	2020-00075	9991	Second Game Day Friday Entity	GP-003-7	R1.	04/26/2020	06/30/2020
	Mitigation Plan	2020-00107	NCR0010001	Second Game Day Friday Entity	GP-006-6	R2.	05/04/2020	05/28/2020

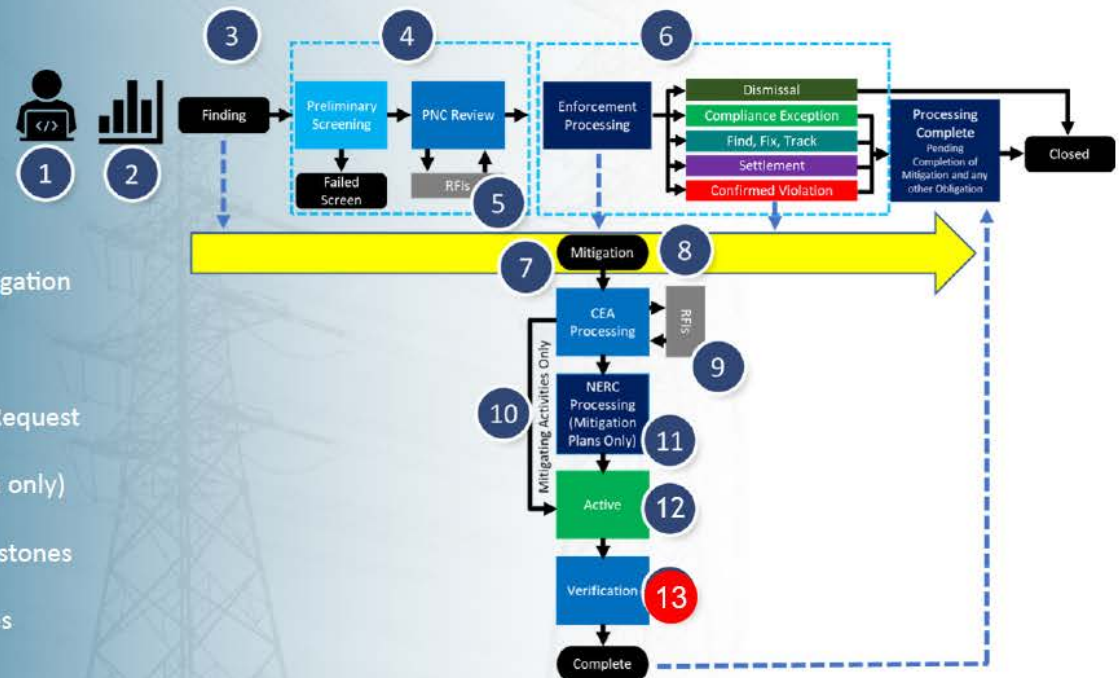
Application Exercise 2.3

Following the steps outlined in the URG (pg. 80-81), approve your mitigation plan and verify it as complete.

Release 1 Process Flow



The focus of release 1 is the life cycles of self-logs and self-reports, but there are interim ways to handle other kinds of findings as well; at a very high level the scope looks something like the model on the right.



- | | |
|-----------------------------|--|
| 1 Log in to Align | 8 Update/Resubmit mitigation |
| 2 Review the Dashboard | 9 Mitigation RFIs |
| 3 Create a Finding | 10 Mitigation Extension Request |
| 4 CEA Screen & Review | 11 NERC review (Mit Plan only) |
| 5 Send any RFIs | 12 Entity Completes Milestones |
| 6 CEA Assigns Disposition | 13 Consolidate Milestones (if necessary) |
| 7 Entity Submits Mitigation | |

03:31

Consolidated Mitigations



1 Click the **Unique ID** to view the consolidated mitigation record

2 You can review the content for reference, but the form is now read-only

If you need to add information from a consolidated mitigation to an active one, you will need to send the active mitigation back to the entity as a revision, so that they can copy the information over. You can review how to send a revision [here](#)

Mitigation Management

Mitigations Awaiting Review
Rejected Mitigations
Active Mitigations
Mitigations Awaiting Verification
Completed Mitigations
Consolidations
All Mitigations

CONSOLIDATED MITIGATING ACTIVITIES AND MITIGATION PLANS

TYPE	UNIQUE ID	REGION OR LRE	NCR	ENTITY NAME	STANDARD	REQ
Mitigating Activities	2020-00037					
Mitigating Activities	2020-00041					
Mitigating Activities	2020-00064					
Mitigating Activities	2020-00088					
Mitigating Activities	2020-00100					
Mitigating Activities	2020-00101					
Mitigating Activities	2020-00141					

2020-00108

General Information

Type	Mitigating Activities	Related PNC	2020-00108	CEA	MRO
Registration	NCR9999999 - Second Game Day Friday Entity in MRO				
Mitigation Plan Contact	NCR9999999 Editor 1				
Mitigation Status	Complete	Last Workflow Comments			
Applicable Requirement	CIP-004-6 R2	Applicable Reliability RC			

Application Exercise 2.4

Watch the Consolidations video again, and review URG (pgs. 82-84) with the aim of completing the following tasks: (a) Consolidate the PNC from your assigned mitigation record under an existing EA; (b) Assume that your Entity needs to merge the milestones in your consolidated mitigation with the active mitigation that is associated with the EA. Send the active mitigation back to the Entity for revision.



Mouse over for more information

Entity Information



The **Entity Information** view lets you review information about your entities and Coordinated Oversight groups brought in from the CORES application. This is also where you will go to enable or disable the self-log function for entities.

1 Click the **dropdown arrow** to change views

2 Select the **Entity Information** view

ID	Name	Region	Permitted to Self Log
NCR00905 in TXRE	Calpine Corporation	TXRE	No
NCR00906 in WECC	Calpine Corporation	WECC	No
NCR00921 in SERC	Florida Keys Electric Cooperative Assn	SERC	No
NCR00922 in SERC	Florida Municipal Power Agency	SERC	No
NCR00923 in SERC	Florida Municipal Power Pool	SERC	No
NCR00924 in SERC	Florida Power & Light Co.	SERC	No
NCR00925 in SERC	Florida Public Utilities Company	SERC	No

CO GROUP NAME	LRE	OSP LRE	CIP LRE
CO Group No. 1 - AEP	RF	RF	RF
CO Group No. 10 - Brazos	TXRE	TXRE	TXRE
CO Group No. 11 - Calpine	TXRE	TXRE	TXRE
CO Group No. 15a - Duke	SERC	SERC	SERC
CO Group No. 15b - Duke Renewables	WECC	TXRE	TXRE
CO Group No. 16 - Vista	NPCC	RF	RF
CO Group No. 16a - Luminant	TXRE	TXRE	TXRE
CO Group No. 17a - Entergy	SERC	SERC	SERC
CO Group No. 2 - AES	WECC		RF
CO Group No. 21 - NextEra	SERC	MRO	MRO
CO Group No. 23 - Headier	SERC	RF	RF
CO Group No. 24a - Avangrid	WECC	WECC	WECC

Application Exercise 2.5

Following the steps outlined in the URG (pgs. 84-87), practice searching for CMEP activity and granting self-log permissions.