

Align User Guide



Welcome to Align. Along with the Align [instructional videos](#), this user guide will help you navigate through all of the features included in release 1. Click on a topic in the list below or in the ribbon above to begin.

- | | | | |
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*If you need additional support, log a ticket at <https://support.nerc.net>.

Accessing Align



In order to access Align, you will need an ERO Portal account. If you do not have an account, you can register for one at <https://eroportal.nerc.net>.

Next, request access to Align from the ERO-Enterprise Help Desk. When you submit your ticket:

- 1 Select 'Region Align Access' as the **Service**
- 2 Enter the type of access you need in the **Description** box:
 - Basic Access** (able to review and edit core items)
 - Submitter Access** (able to create Findings)
 - Preliminary Screener Access** (able to Pass or Fail screens)
 - PNC Reviewer Access** (able to move PNCs to EAs)
 - Enforcement Access** (able to process EAs)
 - Report Writer Access** (able to create reports)
- 3 Click the **Submit** button

NERC Helpdesk Ticket Submission System

[Submit](#) * required fields | [Home](#) | [Contact Us](#)

Submit a new Ticket

Title * **Region *** **Priority ***

Service * **1**

File Attachment (if you need to send multiple files, please use a single zip file)
 No file chosen

Your Personal Information

Last Name * **First Name *** **Email Address ***

User ID **Phone *** (Format: xxx-xxx-xxxx) **Company ***

Description

Description * (1000 characters remaining)

2

3

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

B Wise Logon

User Name:

Password:

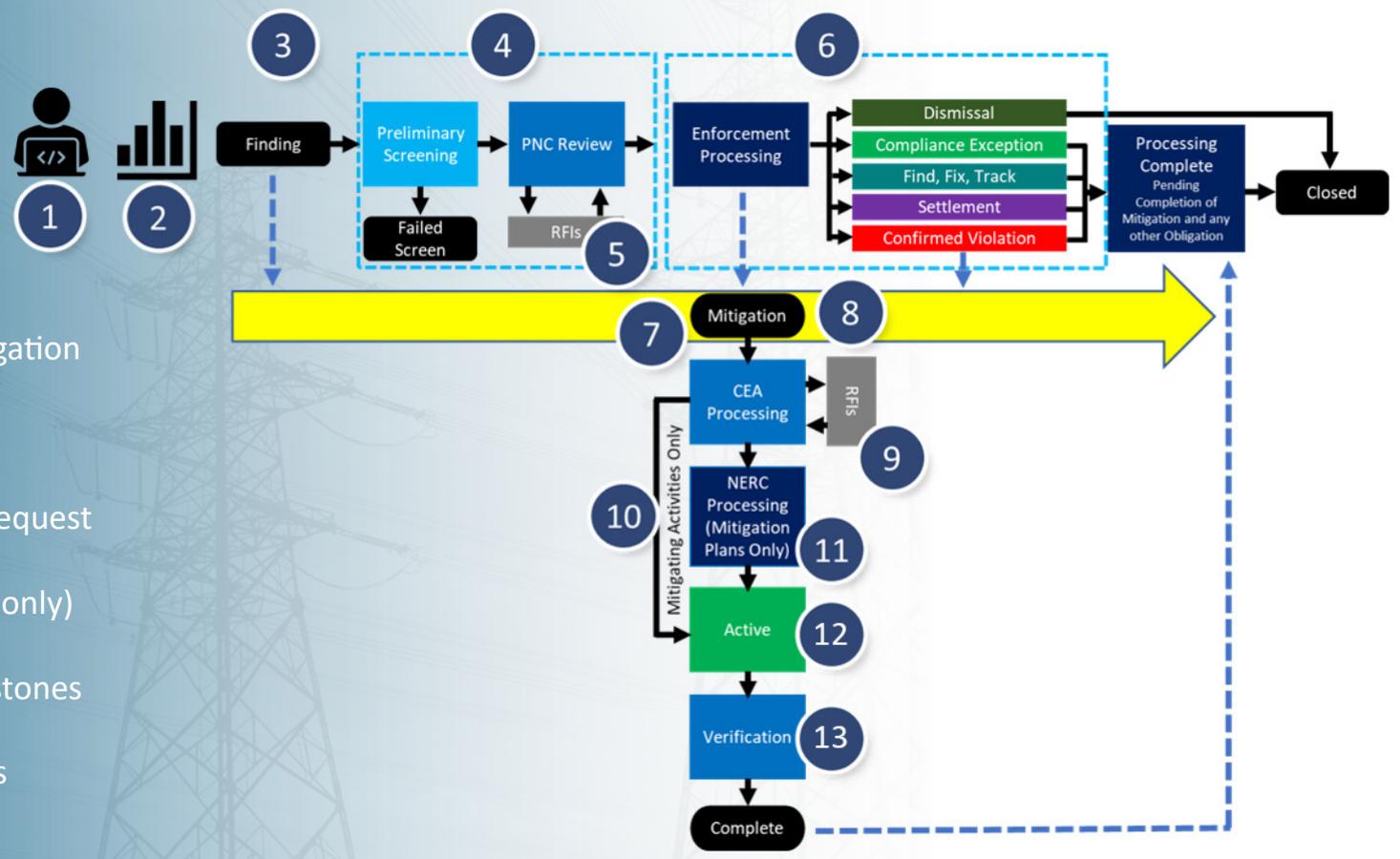
OK Cancel



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)





Reviewing the Dashboard

On the Align dashboard you can see most of your actionable items in the **Items Awaiting My Review** section (a) and a quick breakdown of how many items you have in review in the **Current Activity** section (b).

Dashboard and Tasks

Assigned To Me

ALIGNED Welcome to **Align!** This is your **Dashboard** screen. Tasks that are awaiting action and either assigned to you or unassigned are shown below. Navigate the system by selecting activities above. You can create Findings from the **Compliance Monitoring** section. In the **PNC Processing** section, you can screen and review Potential Noncompliances. In the **Enforcement Processing** section, you can dismiss or process Enforcement Actions, and review Penalties and Sanctions. In the **Mitigation Management** section, you can review, approve, and verify Mitigating Activities and Mitigation Plans. The **CMEP Activity Search** provides other ways to view and find PNCs, EAs, and Mitigations. The **Entity Information** section allows you to view registered entity information and Coordinated Oversight Group details. And in the **Reporting** section, you will be able to view and analyze data and information.

ITEMS AWAITING MY REVIEW

TYPE	UNIQUE ID	STATUS
RFI Response for Mitigation	2020-00488	CIP-4
RFI Response for PNC	2020-00486	TPL-4
RFI Response for PNC	2020-00486	TPL-4
RFI Response for PNC	2020-00485	CIP-4
RFI Response for PNC	2020-00484	BAL-4
Finding Update	2020-00484	BAL-4
Finding Update	2020-00484	BAL-4
RFI Response for PNC	2020-00483	CIP-4
Finding Update	2020-00483	CIP-4

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Request for Information

Original Finding: 2020-00488

Requestor: MRO Editor 1

Requestor Comments: Test

Requester Attachments: [Attach file](#)

Request Sent On: July 7, 2020

Response Due By: 08/06/2020

Respondent Contact: NCR00658 Editor 3

Respondent Comments: test response

Evidence and Attachments

Locker Reference: MRO|NCR00658|2020-00488--RFI20-000136-R

[Save and Action](#) [Save](#) [Close](#)

NEWS AND UPDATES

CURRENT ACTIVITY

2

1 To open a task, click the **Unique ID**

2 To close a task, click the **X**



Reviewing the Dashboard (Sorting/Filtering)

You can sort or filter tables in Align by any column to locate the item you are looking for. To **sort**:

- 3 Hover over a column title and click the **dropdown arrow**
- 4 Click the **Sort Ascending** or **Sort Descending** option

To **filter**:

- 5 Hover over a column title and click the **dropdown arrow**
- 6 Select the **Filters** option
- 7 Enter part or all of the item that you are looking for
- 8 To remove the filter, click the **checkbox** next to the Filters option

The image displays two screenshots of a web application interface showing a table titled "ITEMS AWAITING MY". The table has columns for TYPE, UNIQUE ID, STANDARD AND REQUIREMENT, REGIONS, and REGISTRATION. The first screenshot shows the "TYPE" column dropdown menu open, with "Sort Ascending" selected. The second screenshot shows the "Filters" option selected in the dropdown menu, and a search box containing the text "update".



Reviewing the Dashboard

You can also filter the **Items Awaiting My Review** section to show only the items assigned to you. To do this:

9 Click the **Assigned to Me** checkbox (click it again to disable the filter)

Another feature that you will see on all tables is the ability to export the table data. To export:

10 Click the  icon

11 Hover over the scope of data that you want to export

12 Select the format of the data you want to export

The screenshot shows the ALIGN dashboard interface. At the top, there's a navigation bar with 'My Align' and a dropdown menu. Below it, a 'Dashboard and Tasks' section has a checked 'Assigned to Me' filter. The main content area features a table titled 'ITEMS AWAITING MY REVIEW' with columns for TYPE, UNIQUE ID, STANDARD AND REQUIREMENT, and REQUISITE. A dashed blue line highlights a row in the table. An export menu is open over the table, showing options for 'Current page', 'All filtered data', and 'All data', with a sub-menu for 'All data' showing 'Excel xlsx', 'CSV', and 'HTML'. On the right side, there are two sections: 'NEWS AND UPDATES' and 'CURRENT ACTIVITY', which contains a horizontal bar chart showing various activity categories like 'PNCs in Screening', 'PNCs in Review', etc.

TYPE	UNIQUE ID	STANDARD AND REQUIREMENT	REQUISITE
RFI Response for Mitigation	2020-00715	VAR-002-4.1 R6.	RF-US
RFI Response for Mitigation	2020-00715	VAR-002-4.1 R6.	RF-US
RFI Response for PNC	2020-00549	CIP-002-5.1a R1.	RF-US
RFI Response for PNC	2020-00525	CIP-002-5.1a R1.	RF-US
RFI Response for PNC	2020-00522	CIP-002-5.1a R1.	RF-US



Reviewing the Dashboard

The **Align Dashboard** provides a snapshot of your current tasks, but you'll need to change views to access other important information and actions.

To change views:

- 13** Click the **dropdown arrow** at the top of the screen
- 14** Click on **the view** that you need to see

The screenshot shows the 'My Align' dashboard. At the top right, there is a dropdown arrow labeled '13'. A navigation menu is open, showing options: 'My Align', 'Compliance Monitoring', 'PNC Processing', 'Enforcement Processing', 'Mitigation Management', 'CMEP Activity Search', 'Entity Information', and 'Reporting'. The 'Compliance Monitoring' option is highlighted and labeled '14'. Below the menu is a table titled 'ITEMS AWAITING MY REVIEW' with columns 'DUE DATE' and 'ASSIGNED TO'. The table contains several rows of data. To the right of the table is a 'NEWS AND UPDATES' section and a 'CURRENT ACTIVITY' section with a horizontal bar chart.

DUE DATE	ASSIGNED TO
08/08/2020	MRO Editor 1
08/08/2020	MRO Editor 1
08/07/2020	
08/06/2020	MRO Editor 1
08/06/2020	MRO Editor 1
08/07/2020	
08/07/2020	
08/08/2020	MRO Editor 1
08/07/2020	

Mouse over for more information



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

My Align (dropdown menu)

- My Align
- Compliance Monitoring
- PNC Processing
- Enforcement Processing
- Mitigation Management
- CMEP Activity Search
- Entity Information
- Reporting

TYPE	UNIQUE ID	STANDARD AND REQUIREMENT	REGIONS	REGISTRATION
RFI Response for Mitigation	2020-00488	CIP-002-5.1a R1.	MRO-US	NCR00658 - Evergy, Inc.
RFI Response for PNC	2020-00486	TPL-001-4 R1.	WECC-US	NCR05521 - Public Service Colorado
Finding Update	2020-00486	TPL-001-4 R1.	WECC-US	NCR05521 - Public Service Colorado
RFI Response for PNC	2020-00485	CIP-002-5.1a R1.	MRO-US	NCR00658 - Evergy, Inc.
RFI Response for PNC	2020-00484	BAL-005-1 R4.	MRO-US, WECC-US	NCR05521 - Public Service Colorado
Finding Update	2020-00484	BAL-005-1 R4.	MRO-US, WECC-US	NCR05521 - Public Service Colorado
Finding Update	2020-00484	BAL-005-1 R4.	MRO-US, WECC-US	NCR05521 - Public Service Colorado

Compliance Monitoring (dropdown menu)

- Create Finding

NCR	NAME	APPLICABLE REQUIREMENTS
NCR00102	Basin Electric Power Cooperative in MRO	Create Finding
NCR00303	Municipal Energy Agency Of Nebraska in MRO	Create Finding
NCR00381	Hennepin County, MN in MRO	Create Finding
NCR00658	Evergy, Inc. in MRO	Create Finding

Creating a Finding



Review the relevant **Standard**
and create a new **finding**

4 Click on a **Standard & Requirement**
to review

5 Review the language in the right panel

6 Click the **+** button to create a finding

Create Finding 2.0

SELECT APPLICABLE REQUIREMENT

STANDARD	REQ
CIP-002-5.1a	R1.
CIP-002-5.1a	R2.
CIP-003-7	R1.
CIP-003-7	R2.
CIP-003-7	R3.
CIP-003-7	R4.
CIP-004-6	R1.
CIP-004-6	R2.
CIP-004-6	R3.
CIP-004-6	R4.
CIP-004-6	R5.
CIP-005-5	R1.

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REQUIREMENT

Standard and Requirement CIP-003-7 | R1.

Requirement Language Each Responsible Entity shall review and approve its documented cyber security policy at least once every 15 months for the following topics:

Time Horizon(s) Operations Planning

Measure M1. Examples of evidence may include: documented policy, documented documents; revision history, records from a document management system, documented approval by the CIP security policy.

Requirement Applicability BA
TOP
TO
RC
IA
GOP
DP
GO

Additional Applicability 4.1. Functional Entities: For the purposes of this section, herein, the following list of functional entities shall apply:

Create Finding (CEA) 2.0

SELECT APPLICABLE REQUIREMENT

STANDARD	REQ	CREATE FINDING
CIP-002-5.1a	R1.	+
CIP-002-5.1a	R2.	+
CIP-003-7	R1.	+
CIP-003-7	R2.	+
CIP-003-7	R3.	+
CIP-003-7	R4.	+
CIP-004-6	R1.	+
CIP-004-6	R2.	+
CIP-004-6	R3.	+
CIP-004-6	R4.	+
CIP-004-6	R5.	+

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Creating a Finding



Choose a **monitoring method** for the finding.

7

Click on the **Monitoring Method** dropdown

8

Select the appropriate method from the list

Create a Finding

Instructions

Complete the information on this form and **Save** your Finding as a draft. You can access draft Findings under the **Drafts** section of the **Create Finding** tab and continue editing until you are ready to submit.

Monitoring Method *	<input type="text"/>
	Self-Report
	Self-Log
Registration	Self-Certification
Entity in Coordinated Oversight	Spot Check
Applicable Requirement	Audit
Applicable Part(s)	Investigation
Applicable Reliability * Function(s)	Period Data Submittal
	Complaints

are reporting this Potential Non-Compliance



Creating a Finding

Add any **Applicable Parts** and **Functions** not included.

9 Click the arrow to open the **Parts** dropdown list

10 Select the **Part** from the list

11 Click the arrow to open the **Functions** dropdown list

12 Select a **Function** from the list

Create a Finding

Instructions
Complete the information on this form and **Save** your Finding as a draft. You can access draft Findings under the **Drafts** section.

Monitoring Method *

General Information

Registration **NCR99999 - Test Entity in MRO**

Entity in Coordinated Oversight

Applicable Requirement **CIP-003-7 R1.**

Applicable Part(s)

Applicable Reliability * Function(s)

When was the Potential Non-Compliance discovered?

How was this Potential Non-Compliance discovered?

Please describe the

Create a Finding

Instructions
Complete the information on this form and **Save** your Finding as a draft. You can access draft Findings under the **Drafts** section.

Monitoring Method *

General Information

Registration **NCR99999 - Test Entity in MRO**

Entity in Coordinated Oversight

Applicable Requirement **CIP-003-7 R1.**

Applicable Part(s)

Applicable Reliability * Function(s)

When was the Potential Non-Compliance discovered?

How was this Potential Non-Compliance discovered?

Please describe the

Creating a Finding



Select additional **Regions** to add to the finding, if necessary.

13 Click the **Arrow** to open the drop-down list

14 Select the **Other Region** from the list

You can Save the finding as a draft at any time. To save:

15 Click the **Save** button

Create a Finding

Instructions

Complete the information on this form and **Save** your Finding as a draft. You can access draft Findings under the **Drafts** section of the **Create Finding** tab and continue editing until you are ready to submit.

Monitoring Method *

General Information

Registration

Entity in Coordinated Oversight

Applicable Requirement

Applicable Part(s)

Applicable Reliability * Function(s)

Region - Jurisdiction in which the Potential Non-Compliance occurred

Other Region - Jurisdiction(s) where you are reporting this Potential Non-Compliance

Discovery and Description

When was the Potential Non-Compliance discovered?

How was this Potential Non-Compliance discovered?

When did the Potential Non-Compliance start?

What is the basis for your selecting this start date?

Is the Potential Non-Compliance still occurring?

Please describe the



Creating a Finding

- 16 Click the **X** to close the Standards window
- 17 Click the **Refresh Icon** to see your new draft in the **Draft Findings** section
- 18 Click the **Unique ID** to open your finding

As you fill out the rest of the form, notice that some fields have a gray **question mark icon** (a). Hover over these to see a description of what information the field is requesting.

REQUIREMENT

Standard and Requirement: CIP-003-7

Requirement Language: Each Responsibility 002 containing one or more documents BES Cyber System

Time Horizon(s): Operations Planning

Measure: M2. Evidence of security plan(s) Attachment 1 and implementation of evidence per

Requirement Applicability: BA, TOP, TO, RC, IA, GOP, DP, GO

REGISTERED ENTITIES

NCR	NAME	APPLICABLE REQUIREMENT
NCR00102	Basin Electric Power Cooperative in MRO	
NCR00303	Municipal Energy Agency Of Nebraska in MRO	
NCR00381	Hennepin County, MN in MRO	
NCR00658	Eergy, Inc. in MRO	

DRAFT FINDINGS

MONITORING METHOD	UNIQUE ID	NCR	ENTITY
Audit	2020-00394	NCR00961	Alliant Energy - East
	2020-00644	NCR00102	Basin Electric Power
Self-Report	2020-00045	NCR00961	Alliant Energy - East
Self-Report	2020-00046	NCR00961	Alliant Energy - East

Discovery and Description

Registration: 2020-00644

Entity in Coordinated Oversight: Yes

Applicable Requirement: CIP-003-7 R4.

Applicable Part(s):

Applicable Reliability Function(s): GOP * TO * DP * GO *

When was the Potential Noncompliance discovered? [Calendar icon]

How was this Potential Noncompliance discovered? [Text area]

When did the Potential Noncompliance start? [Calendar icon]

What is the basis for your selecting this start date?

How was the issue discovered? Was the issue discovered by an internal control? (e.g., a specific detective control, CVA, extent of condition as part of mitigation for another issue, etc.) If discovered through detective controls, explain how the detective control led to the discovery of the noncompliance.

Please describe the [Text area]

Save and Action | Save | Close



Creating a Finding

Once you have completed the finding form, you'll need to select an **Action** from the Action dropdown (a).

If you try to submit the finding without selecting an Action, you will get an error (b).

19 Select the **Submit** option in the Action dropdown

20 Click the **Save and Action** button to submit

If you have left any required fields blank, the form will identify where you are missing information (c).

Action

Instructions When you are ready to submit your Finding for screening and review as a Potential Noncompliance, set the Action to **Submit**. If you want to delete this draft, choose **Delete**. Once you have selected the appropriate Action, click **Save and Action**. To save without taking action, click **Save**. To close without saving, click **Close**.

Action * No Action

Warning **No flow evaluates to true**

You have not selected an Action. If you click **Save and Action**, you will receive this error message. You can either click **Save**, or you can choose an Action (either Submit or Delete) and then click **Save and Proceed**.

Non-Compliance discovered? Custom validation error: When was the Potential Non-Compliance discovered? (cannot be blank.)

How was this Potential Non-Compliance discovered?

Please describe the Potential Non-Compliance in detail

Action * Submit

No Action

Delete

Submit

20 Save and Action Save Close



Creating a Finding

Scroll to the **Discovery and Description** section to complete the finding.

- 21 Select the **Date** the PNC discovered
- 22 Enter an **Explanation** of how the PNC was discovered
- 23 Enter a **Description** of the PNC

2020-00644

Discovery and Description

When was the Potential Noncompliance discovered? **21**

How was this Potential Noncompliance discovered? **22**

Please describe the Potential Noncompliance in detail **23**

When did the Potential Noncompliance start? **4**

What is the basis for your selecting this start date?

Is the Potential Noncompliance still occurring?

Creating a Finding



- 24 Select the **Date** the PNC started
- 25 Enter an **Explanation** of why you selected the start date
- 26 Select **Yes** or **No** if the PNC is still occurring
- 27 If you selected **No**, select the Date you returned to compliance

2020-00138
✕

Discovery and Description

When was the Potential Non-Compliance discovered? ⚠️

When did the Potential Non-Compliance start? ⚠️

How was this Potential Non-Compliance discovered? ⚠️

What is the basis for your selecting this start date? ⚠️

Paragraph

B I

List icons

Link icon

Copy icon

Print icon

Please describe the Potential Non-Compliance in detail ⚠️

Is the Potential Non-Compliance still occurring? ⚠️

No

When did you return to compliance? ⚠️

Is the Potential Non-Compliance still occurring? ⚠️

No



Creating a Finding

To complete the **Extent of Condition and Root Cause** section:

28 Indicate if the Extent of Condition Review has been performed by selecting **Yes, No, or In-Progress**

29 If you selected yes, **describe** the Extent of Condition

30 Enter the **cause(s)** of the PNC

Extent of Condition and Root Cause

Has an Extent of Condition Review been performed?	<input type="text" value="Yes"/>	28	What cause(s) led to the Potential Noncompliance?	<input type="text" value="staff failure"/>
If yes, what was/is the Extent of the Condition?	<input type="text" value="was verified"/>	29		
			30	



Creating a Finding

To complete the **Risk and Impact** section:

- 31 Indicate the level of Potential Impact to the BPS as **Minimal, Moderate, or Serious**
- 32 Enter the **reason** you chose the Potential Impact level you selected
- 33 Describe **how likely** it is that impact could have occurred
- 34 Indicate if there was any actual impact to the BPS: **Yes, No, or Unknown**
- 35 If there was an impact, **describe** what that impact was

Risk and Impact

What do you think the Potential Impact to BPS was/is from this Potential Noncompliance?

Moderate 31

Why do you believe that to be the correct Potential Impact? 32

Impact mitigated by other factors

How likely is it that Impact could have actually occurred?

33

moderate possibility

Was there any actual impact to the BPS? 34

Yes

If yes, what was the Actual Impact to the BPS? 35

system went down

Creating a Finding



Scroll to the optional **Additional Comments** section

36

Enter any **Additional Comments** that you want to document

37

Enter any related evidence in the **evidence locker** using the reference number (a) to link it to this finding.

Additional Comments

Please provide any additional comments

36

Evidence

37

Secure Evidence Locker Instructions

Submit Evidence or Attachments related to this Finding via [ERO Secure Evidence Locker \(SEL\)](#) with the following reference number:

a

MRO|NCR00979|F2020-00646

If you are hosting your own SEL, please provide a hyperlink to your locker in the comment section above.

Creating a Finding



38

When you're ready to submit the finding, select **Submit** for your action

39

Click the **Save and Action** button

Evidence	
Secure Evidence Locker Instructions	Submit Evidence or Attachments related to this Finding via ERO Secure Evidence Locker (SEL) with the following reference number: RF NCR00212 F2020-00716 If you are hosting your own SEL, please provide a hyperlink to your locker in the comment section above.
Action	
Instructions	When you are ready to submit your Finding for screening and review as a Potential Noncompliance, set the Action to Submit . If you want to delete this draft, choose Delete . Once you have selected the appropriate Action, click Save and Action . To save without taking action, click Save . To close without saving, click Close .
FORM: CEA-F2-Editor	Action * <input type="text" value="Submit"/> 38
39 <input type="button" value="Save and Action"/> <input type="button" value="Save"/> <input type="button" value="Close"/>	



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 **My Align Dashboard** view.

- 1 Click the dropdown arrow to change **views**
- 2 Click on the **My Align** view
- 3 **Sort** or **Filter** the table to locate any finding updates

The screenshot shows the 'My Align' dashboard interface. A dropdown menu is open, showing options: My Align, Compliance Monitoring, PNC Processing, Enforcement Processing, Mitigation Management, CMEP Activity Search, Entity Information, and Reporting. The 'My Align' option is highlighted. Below the menu, a table titled 'ITEMS AWAITING MY REVIEW' is visible. The table has columns for TYPE, UNIQUE ID, STANDARD AND REQUIREMENT, REGIONS, REGISTRATION, and DUE DATE. A search filter is applied to the table with the text 'update'.

TYPE	UNIQUE ID	STANDARD AND REQUIREMENT	REGIONS	REGISTRATION	DUE DATE
Finding Update	2020-00483	CIF-005-1 R4.	MRO-US,	NCR0000 - Energy, Inc.	08/0
Finding Update	2020-00484	BAL-005-1 R4.	MRO-US, WECC-US	NCR05521 - Public Service Company of Colorado	08/0

Mouse over for more information



Updating a Finding

- 4 Click the **Unique ID** of the finding update
- 5 Review the **Summary of Finding Update** to identify which parts of the PNC need to be updated
- 6 Scroll to the **Original Finding and Related PNC** and click the **Unique ID** of the PNC that needs to be updated

NOTE: If the noncompliance is in the Enforcement Action process, the updates need to be made to the EA form rather than the PNC Review form

ITEMS AWAITING MY REVIEW

TYPE	UNIQUE ID	STANDARD AND REQUIREMENT	REGIONS	REGISTRATION	DUE DATE
Finding Update	2020-00486	001-4 R1.	WECC-US	NCR05521 - Public Service Company of Colorado	08/07/2020
Finding Update	2020-00484	001-4 R1.	MRO-US	NCR05521 - Public Service Company of Colorado	08/07/2020

2020-00482 | 2020-000034-F

Compliance Enforcement Authority: MRO

Registration: NCR04108 - Oklahoma Municipal Power Authority in MRO

Source Monitoring Method: Self-Report

Applicable Requirement: CIP-002-5.1a R2.

Summary of Update: Changed the Date We Returned to Compliance.

Assigned to: FIRST NAME LAST NAME

This table is empty

Original Finding and Related PNC

TYPE	UNIQUE ID
Finding	2020-00484
PNC	2020-00484

Action Acknowledge

Instructions Open the related PNC and update it with any relevant information. Click Save and Action to acknowledge the update and remove the finding.

Updating a Finding



Once you have opened the finding that needs to be updated:

7 Edit the relevant fields

8 Click the **Save** button on the PNC form

9 Click the **Save and Action** button on the Finding Update form

2020-00624-P

PNC 2020-00624

CEA or LRE * MRO

General Information

Monitoring Method	Self-Report	Actual Monitoring Method	Self-Report
Registration	NCR9999999 - Second Game Day Friday Entity in MRO	Registration *	NCR9999999 - Second Game Day Friday Entity in MRO *
Applicable Requirement	CIP-004-6 R1.	Coordinated Oversight	No
Applicable Part(s)	CIP-004-6 R1.1.	Applicable Requirement *	CIP-004-6 R1.
Applicable Reliability Function(s)	RC	Applicable Part(s)	CIP-004-6 R1.1. *
Region - Jurisdiction(s) in which the Potential Noncompliance occurred	MRO-US	Applicable Reliability Function(s)	RC *
Other Region-Jurisdictions where you are reporting this Potential Noncompliance		Region - Jurisdiction(s) in which the Potential Noncompliance occurred	MRO-US *
Additional Coordinated			

Save and Action **Save** **Close**

9

Save and Action **Save** **Close**



Updating a Finding

If you want to verify that the updates were captured:

- 10 Navigate to the **PNC Processing** view
- 11 Locate the finding under the **Potential Noncompliances Awaiting Screening** table
- 12 Click on the **Unique ID** of the updated finding and scroll through the PNC Review form to confirm that the additional details are visible on the form
- 13 To view a copy of the Finding Update form, scroll down to the **Related Finding Updates** section and click on the **Unique ID** of the updated finding

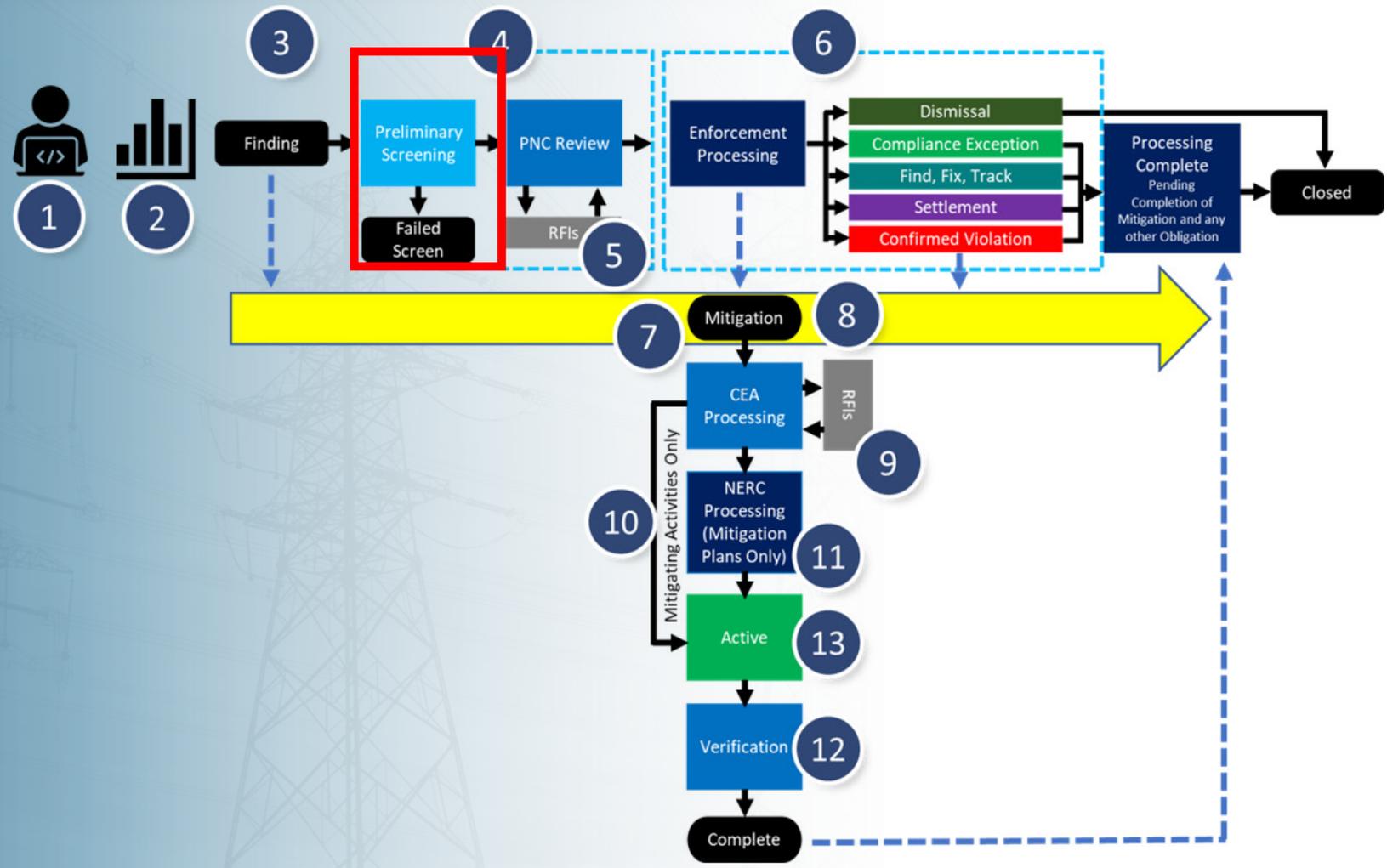
The screenshot shows the 'My Align' web application interface. A navigation menu on the left is open, with 'PNC Processing' highlighted and circled with a '10'. Below the menu, a table titled 'POTENTIAL NONCOMPLIANCES AWAITING SCREENING' is visible. The table has columns for 'MONITORING METHOD', 'UNIQUE ID', 'NCR', 'ENTITY', 'REGION AND JURISDICTION', and 'STANDARD'. The row with 'UNIQUE ID' 2020-00622 is highlighted and circled with a '12'. Below this table, a section titled 'Related Finding Updates' contains a table with columns for 'ID', 'DUE DATE', 'SUBMITTED', 'STATUS', and 'ASSIGNED TO'. The row with 'ID' 2020-00079 is highlighted and circled with a '13'. A '11' is also circled near the 'POTENTIAL NONCOMPLIANCES AWAITING SCREENING' table header.



Preliminary Screening

After an entity (or CEA) submits a finding, you will need to perform a **Preliminary Screening**. During this step, you should confirm that:

- 1) The entity involved in the potential noncompliance (PNC) is a Registered Entity
- 2) A version of the Reliability Standard Requirement selected in the finding is applicable to the entity and was in effect at the time of the PNC
- 3) The PNC is not a duplicate of a Possible Violation or Alleged Violation that is currently being processed





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

The screenshot shows the 'PNC Processing' view in the application. A table titled 'POTENTIAL NONCOMPLIANCES AWAITING SCREENING' lists items with columns for Monitoring Method, Unique ID, and Entity. A 'Relate Existing' modal is open, showing a list of users with checkboxes for selection. Below the modal is the 'Preliminary Screening Results' form, which includes an 'Assigned to' section with a link icon, a text area for instructions, and a 'Preliminary Screening Action' section with a 'Save' button. A 'Confirm' button is also visible at the bottom right of the modal area.

Mouse over for more information



Preliminary Screening

Once you have determined whether to pass or fail the screening:

- 5 Click the **Unique ID** of the finding that you screened
- 6 Click the **Preliminary Screening Action** dropdown
- 7 Select **Pass** or **Fail** (if you select Fail, the record “dies” and becomes read-only)
- 8 Type any comments in the **PNC Screening and Review Notes** field
- 9 Click **Save and Action**

The screenshot shows the 'PNC Processing' interface. At the top, there are tabs for 'Preliminary Screening', 'PNC Review', and 'Failed PNC Screening'. Below this is a table titled 'POTENTIAL NONCOMPLIANCES AWAITING SCREENING'. The table has columns for 'MONITORING METHOD', 'UNIQUE ID', and 'NCR'. One row is highlighted with a blue circle containing the number '5', corresponding to the instruction to click the Unique ID. Below the table is a 'POSSIBLE DUPLICATES' section with a table listing 'TYPE', 'NAME', and 'REGISTRATION'. To the right, a detailed view of a finding is shown. It includes fields for 'PNC' (2020-00477) and 'CEA or LRE*' (MRO). Below this is an 'Assigned to' section with checkboxes for 'FIRST NAME' and 'LAST NAME'. At the bottom, there is a 'Preliminary Screening Results' section with an 'Instructions' field, a 'Preliminary Screening Action' dropdown menu (highlighted with a blue circle containing '6'), and a 'PNC Screening and Review Notes' text area (highlighted with a blue circle containing '8'). At the bottom right, there are three buttons: 'Save and Action' (highlighted with a blue circle containing '9'), 'Save', and 'Close'. A blue circle containing '7' is also present near the 'Pass' and 'Fail' options in the dropdown menu.

Mouse over for more information



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 'My Align' navigation menu with 'PNC Processing' selected (1). Below it, the 'PNC Review' tab is active (2). The main content area displays a table of 'POTENTIAL NONCOMPLIANCES IN REVIEW'. The third row is highlighted, with its 'Unique ID' (2020-00356) circled in blue (3).

MONITORING METHOD	UNIQUE ID	NCR	ENTITY	REGION AND JURISDICTION	STANDARD	REQ	RECEIVED	VIOLATION START DATE	REVIEW STATUS
Self-Report	2020-00205	NCR01020	Northern States Power (Xcel Energy) CO Group No. 56 - Xcel	MRO-US	BAL-001-2	R1.	06/23/2020	06/16/2020	IN PROGRESS
Self-Report	2020-00215	NCR04108	Oklahoma Municipal Power Authority	MRO-US	VAR-002-4.1	R6.	06/23/2020	05/25/2020	IN PROGRESS
Self-Report	2020-00356	NCR00558	Evergy, Inc.	MRO-US	CIP-003-7	R1.	06/29/2020	06/11/2020	IN PROGRESS
Self-Report	2020-00357	NCR00558	Evergy, Inc.	MRO-US	CIP-004-6	R2.	06/29/2020	06/01/2020	IN PROGRESS
Self-Report	2020-00364	NCR04108	Oklahoma Municipal Power Authority	MRO-US	CIP-006-6	R3.	06/30/2020	02/05/2020	IN PROGRESS
Self-Report	2020-00365	NCR00558	Northern States Power (Xcel Energy)	MRO-US	CIP-003-7	R1.	06/29/2020	06/22/2020	IN PROGRESS

Below the table is a section for 'CONSOLIDATE A PNC UNDER AN OPEN ENFORCEMENT ACTION' with a table:

TYPE	UNIQUE ID	NCR	ENTITY	REGION AND JURISDICTION	STANDARD	REQ	VIOLATION START DATE
EA	2020-00023	NCR00961	Alliant Energy - East CO Group No. 5 - Alliant	MRO-US	BAL-002-3	R2.	04/01/2020

On the right side of the dashboard, there are sections for 'NEWS AND UPDATES' and 'INSTRUCTIONS'.

PNC Review



Before you begin the PNCR, verify that you represent the appropriate CEA to review the PNC.

If you determine another CEA should be assigned to the PNC:

4 Click the **CEA or LRE** dropdown

5 Select the **CEA** you want to assign the PNC to

6 Click the **Save** button

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PNC 2020-00357

CEA or LRE* 4

FRCC

MRO 5

NCEA

NERC

NPCC

RF

SERC

SPPRE

TXRE

WECC

Monitoring Method

Registration

Applicable Requirement

Applicable Part(s)

Applicable Reliability Function(s)

Region - Jurisdiction(s) in which the Potential Noncompliance occurred

Other Region-Jurisdictions where you are reporting this Potential Noncompliance

Additional Coordinated

Applicable Reliability* Function(s) 6

TOP * TO * GOP * DP * GO *

Save and Action
Save
Close



PNC Review

If you do not reassign the PNC to a different CEA, you can review the information from the finding on the left side of the form (a) and make any edits on the right side of the form (b).

As you review and complete the form, be sure to click the Extent of Condition Analysis Complete checkbox (c), the Root Cause Analysis Complete checkbox (d), and the Risk Analysis Complete checkbox (e). Align will not let you submit this form without checking these boxes.

2020-00357-P

PNC 2020-00357

CEA or LRE * MRO

General Information

<p>(a) From Original Finding</p> <p>Monitoring Method Self-Report</p> <p>Registration NCR00658 - Evergy, Inc. in MRO</p> <p>Applicable Requirement CIP-004-6 R2.</p> <p>Applicable Part(s) CIP-004-6 R2.1.4.; CIP-004-6 R2.1.3.; CIP-004-6 R2.1.2.; CIP-004-6 R2.1.1.; CIP-004-6 R2.1.8.; CIP-004-6 R2.1.7.; CIP-004-6 R2.1.6.; CIP-004-6 R2.1.5.; CIP-004-6 R2.2.; CIP-004-6 R2.1.; CIP-004-6 R2.3.; CIP-004-6 R2.1.9.</p> <p>Applicable Reliability Function(s) TOP; TO; GOP; DP; GO</p> <p>Region - Jurisdiction(s) in which the Potential Noncompliance occurred MRO-US</p> <p>Other Region-Jurisdictions where you are reporting this Potential</p>	<p>(b) Recorded on this PNC</p> <p>Actual Monitoring Method Self-Report</p> <p>Registration -- None --</p> <p>Coordinated Oversight</p> <p>Applicable Requirement Self-Report</p> <p>Applicable Part(s) Self-Log</p> <p>Self-Certification</p> <p>Spot Check</p> <p>Audit</p> <p>Investigation</p> <p>Period Data Submittal</p> <p>Complaints</p>
--	---

(c) Extent of Condition Analysis Complete

(d) Root Cause Analysis Complete

(e) Risk Analysis Complete



PNC Review

The **Discovery and Description** section gives you the opportunity to edit a number of fields from the original finding.

If you update **Discovery Date (a)**, **Start Date (b)**, or **End Date (c)**, the PNC Review Form will not validate that these changes are acceptable. You will need to make sure the discovery date is either the same day as the start date or after and that the start date is either the same day as the end date or before. You will also need to make sure the end date is not a future date.

To help Enforcement, it would be useful to provide an explanation of the start and end date in the **Basis for Dates** field. This explanation is used in the final disposition.

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Discovery and Description

- From Original Finding

Basis for Dates	validation
Discovery Date	June 10, 2020
Description of how the noncompliance was identified	validation
Detailed Description of noncompliance	validation
Actual Start Date	June 1, 2020
Is noncompliance still occurring?	Yes
Actual End Date	

- Recorded on this PNC

Basis for Dates ?

validation

Discovery Date ?

06/10/2020 📅

Description of how the noncompliance was identified ?

validation

Detailed Description of Noncompliance ?

validation

Actual Start Date ?

06/01/2020 📅

Is noncompliance still occurring?

No ▼

Actual End Date ?

📅



PNC Review (Extent of Condition Review)

There are a number of fields to fill out in the Extent of Condition Review section. If you need help determining what information to put in each field, hover over the ? icons (a).

- 7 Type a description of the full scope of the PNC into the **Scope Determination** field
- 8 Enter the **Number of Instances**
- 9 Add any notes to the **Extent of Condition Analysis Notes** field
- 10 Click the **Extent of Condition Analysis Complete** checkbox

Extent of Condition Review

- From Original Finding

In Progress

Extent of Condition Review performed?

Detailed description of results of extent of condition review that the entity performed

- Recorded on this PNC

Scope Determination ?

a The CEA determined, full scope of the noncompliance. This includes the original finding, the extent of condition(s), and any scope expansion(s).

7

Number of Instances ?

8

Extent of Condition Analysis Notes ?

9

Extent of Condition Analysis Complete **10**

Mouse over for more information



PNC Review (Root Cause Analysis)

- 11 Add any necessary details to the **Root Cause** field (anything you add here will be visible to the Entity once you check the **Root Cause Analysis Complete** checkbox)
- 12 Assign a **Root Cause Code**
- 13 Add the **Contributing Cause Code(s)**
- 14 Add any **Root Cause Analysis Notes**
- 15 Click the **Root Cause Analysis Complete** checkbox

Root Cause Analysis

- From Original Finding

Cause(s) of noncompliance validation

- Recorded on this PNC

Root Cause [?] validation **11**

Root Cause Code [?] **12**

Contributing Cause Code(s) [?] **13**

Root Cause Analysis Notes [?] **14**

Root Cause Analysis Complete **15**

Warning: The Root Cause is shown to the Registered Entity on their Mitigation when this box is checked!

PNC Review (Risk Analysis)



16 Edit the **Potential Impact to BPS**, if necessary

17 Edit the **Detailed Description of Potential Impact to BPS** field, if necessary

18 Edit the **Likelihood of Impact to BPS**, if necessary

19 Edit the **Actual Impact to BPS**, if necessary

20 Indicate whether or not there is an **Associated Reportable Event**

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Risk Analysis

- From Original Finding

Potential Impact to BPS	Moderate
Detailed Description of Potential Impact to BPS	validation
Likelihood of Impact to BPS	validation
Did harm occur (Actual Impact to BPS)?	Unknown
If harm occurred, details of the harm (Detailed Description of Actual Impact to BPS)	

Recorded on this

Potential Impact to BPS 16

Detailed Description of Potential Impact to BPS 17

Likelihood of Impact to BPS 18

Actual Impact to BPS 19

Associated Reportable Event

Risk Analysis Notes

Risk Analysis Complete



PNC Review (Risk Analysis)

If you select 'Yes' for the **Associated Reportable Event** field, a number of additional fields will appear.

Associated Reportable Event Yes

Reportable Event Date **21**

Reportable Event Location **22**

Reportable Event Category **23**

Reportable Event Description **24**

Risk Analysis Notes **25**

Risk Analysis Complete **26**

- None --
- 1a. The loss of a bulk power transmission component(s) in response to a single-phas...
- 1b. Loss of three or more bulk power system (BPS) elements (i.e. generators, transmi...
- 1c. Frequency below the Low Frequency Trigger Limit (FTL) or above the High FTL fo...
- 1d. Intended and controlled system separation by the proper operation of a Special ...
- 1e. Failure, degradation or misoperation of SPS/RAS.
- 1f. Unintended loss of an entire dc converter station
- 1g. System wide voltage reduction of 3 percent or more
- 1h. Public appeal to reduce the use of electricity for purposes of maintaining the con...
- 1i. Fuel supply emergencies that could impact BPS adequacy or reliability

- 21** Select a **Reportable Event Date**
- 22** Enter the **Reportable Event Location**
- 23** Select a **Reportable Event Category**
- 24** Enter a **Reportable Event Description**
- 25** Enter a **Risk Analysis Notes**
- 26** Click the **Risk Analysis Complete** checkbox

****The reportable categories are listed in the Electric Reliability Organization Event Analysis Process document located on the NERC EA Program [webpage](#).**



PNC Review (VRF, Time Horizons, and VSLs)

Once you check the **Extent of Condition Review**, **Root Cause Analysis**, and **Risk Analysis** checkboxes, Align considers the form complete and ready to submit. However, there are a number of other fields below that you may want to fill out.

- 27 Select a **Violation Severity Level**
- 28 Enter a **VSL Justification**

VRF, Time Horizons, and VSLs

Lower VSL	The Responsible Entity implemented a cyber security training program for three of the training content topics in Requirement Parts 2.1.1 through 2.1.9. (2.1) OR The Responsible Entity implemented a cyber security training program for four or more individuals (with the exception of CIP Exceptional Circumstances) prior to their being granted authorized electronic and authorized unescorted physical access. (2.2) OR The Responsible Entity implemented a cyber security training program for four or more individuals with authorized electronic or authorized unescorted physical access within 15 calendar months of the previous training completion date. (2.3)
Moderate VSL	The Responsible Entity implemented a cyber security training program for three of the training content topics in Requirement Parts 2.1.1 through 2.1.9. (2.1) OR The Responsible Entity implemented a cyber security training program for four or more individuals (with the exception of CIP Exceptional Circumstances) prior to their being granted authorized electronic and authorized unescorted physical access. (2.2) OR The Responsible Entity implemented a cyber security training program for four or more individuals with authorized electronic or authorized unescorted physical access within 15 calendar months of the previous training completion date. (2.3)
High VSL	The Responsible Entity implemented a cyber security training program for three of the training content topics in Requirement Parts 2.1.1 through 2.1.9. (2.1) OR The Responsible Entity implemented a cyber security training program for four or more individuals (with the exception of CIP Exceptional Circumstances) prior to their being granted authorized electronic and authorized unescorted physical access. (2.2) OR The Responsible Entity implemented a cyber security training program for four or more individuals with authorized electronic or authorized unescorted physical access within 15 calendar months of the previous training completion date. (2.3)
Severe VSL	The Responsible Entity did not implement a cyber security training program for three of the training content topics in Requirement Parts 2.1.1 through 2.1.9. (2.1) OR The Responsible Entity implemented a cyber security training program but failed to include four or more of the training content topics in Requirement Parts 2.1.1 through 2.1.9. (2.1) OR The Responsible Entity implemented a cyber security training program but failed to train four or more individuals (with the exception of CIP Exceptional Circumstances) prior to their being granted authorized electronic and authorized unescorted physical access. (2.2) OR The Responsible Entity implemented a cyber security training program but failed to train four or more individuals with authorized electronic or authorized unescorted physical access within 15 calendar months of the previous training completion date. (2.3)

Violation Risk Factor Low

Time Horizons Operations Planning

Violation Severity Level -- None --

VSL Justification 27

28

Save and Action
Save
Close



PNC Review (Recommended Dispositions)

If you develop a recommendation for a Disposition during your PNC Review, you can add it to the PNCR Form

- 29
 Scroll to the **PNCR Comments and Recommended Disposition** section and type any notes you want to share with the entity in the **PNC Screening and Review Notes** field
- 30
 Select a recommended disposition from the **PNC Review Recommendation** dropdown
- 31
 Type any notes that you do not wish to share with the entity into the **ERO Private Internal Notes**
- 32
Attach any relevant work papers or analysis documents

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PNCR Comments and Recommended Disposition

PNC Screening and Review Notes ⌵

PNC Review Recommendation ⌵

ERO Private Internal Notes ⌵

29

-- None --

Pending

Dismissal

Compliance Exception

Find, Fix, Track

Settlement

Confirmed Violation

30

Additional CE/...

Attachments Attach file

History 32

WORKFLOW STEP	DATE FROM	EXECUTED ON	EXECUTED BY	COMMENTS
Create	06/29/2020	06/29/2020	NCR00658 Editor 1	

Save and Action
Save
Close



PNC Review (Submitting the PNCR Form)

If all three boxes on the PNC Review form are checked, the PNC will show as 100% complete in the Review Status column on the **PNC Review** tab (a).

When you have completed the PNCR:

32 Click the **Unique ID** of the finding you wish to submit

33 Click the **Save and Action** button

NOTICE: If you hit the **Save and Action** button before you check all three of the boxes, you will see an error message (b).

POTENTIAL NONCOMPLIANCES IN REVIEW

MONITORING METHOD	UNIQUE ID	NCR	ENTITY	REGION AND JURISDICTION	STANDARD	REQ	RECEIVED	VIOLATION START DATE	REVIEW STATUS
Self-Report	2020-00205	32	Northern States Power (Xcel Energy) CO Group No. 56 - Xcel	MRO-US	BAL-001-2	R1.	06/23/2020	06/16/2020	COMPLETE
Self-Report	2020-00215		Oklahoma Municipal Power Authority	MRO-US	VAR-002-4.1	R6.	06/23/2020	06/25/2020	IN PROGRESS
Self-Report									IN PROGRESS
Self-Report									IN PROGRESS
Self-Report									IN PROGRESS
Self-Report									IN PROGRESS
Self-Report									IN PROGRESS
Self-Report									IN PROGRESS

2020-00357-P

General Information

- PNC: 2020-00357
- CEA or LRE*: MRO
- Monitoring Method: Self-Report
- Registration: NCR00658 - Eergy, Inc. in MRO
- Applicable Requirement: CIP-004-6 R2.
- Applicable Part(s): CIP-004-6 R2.1.4.; CIP-004-6 R2.1.3.; CIP-004-6 R2.1.2.; CIP-004-6 R2.1.1.; CIP-004-6 R2.1.8.; CIP-004-6 R2.1.7.; CIP-004-6 R2.1.6.; CIP-004-6 R2.1.5.; CIP-004-6 R2.2.; CIP-004-6 R2.1.; CIP-004-6 R2.3.; CIP-004-6 R2.1.9.
- Applicable Reliability Function(s): GOP; TOP; TO; DP; GO
- Region - Jurisdiction(s) in which the Potential Noncompliance occurred: MRO-US
- Other Region-Jurisdictions where you are reporting this Potential Noncompliance: (empty)
- Additional Coordinated Oversight Registrations Impacted: (empty)

Recorded on this PNC

- Actual Monitoring Method: Self-Report
- Registration: NCR00658 - Eergy, Inc. in MRO *
- Coordinated Oversight: No
- Applicable Requirement: CIP-004-6 R2.
- Applicable Part(s): CIP-004-6 R2.1.4. x CIP-004-6 R2.1.3. x CIP-004-6 R2.1.2. x CIP-004-6 R2.1.1. x CIP-004-6 R2.1.8. x CIP-004-6 R2.1.7. x CIP-004-6 R2.1.6. x CIP-004-6 R2.1.5. x CIP-004-6 R2.2. x CIP-004-6 R2.1. x CIP-004-6 R2.3. x CIP-004-6 R2.1.9. x
- Applicable Reliability Function(s): GOP x TOP x TO x DP x GO x
- Region - Jurisdiction(s) in which the Potential Noncompliance occurred: MRO-US x

33 Save and Action Save Close



PNC Review (Requests for Information)

If you need more information from a Registered Entity during the PNCr, you can issue a Request for Information (RFI) from within the PNCr form.

By default the PCC at the entity will receive the RFI, but the PCC does have the option to assign it to someone else.

1 Click the **Unique ID** of the PNC

2 Scroll to the **Requests for Information** section and click the **+** icon

The screenshot shows the 'PNC Review' section of the application. At the top, there are tabs for 'Preliminary Screening', 'PNC Review', and 'Failed PNC Screening'. Below this is a table titled 'POTENTIAL NONCOMPLIANCES IN REVIEW'. A yellow circle with the number '1' highlights the 'Unique ID' column in the first row. Below the table, there is a section for 'CONSOLIDATE A PNC UNDER' with a list of entries. A second yellow circle with the number '2' highlights a '+' icon in a sidebar on the right. The main content area shows a detailed view for PNC '2020-00357-P', including a 'Requests for Information' section with a table for RFI details. The table is currently empty, with the text 'This table is empty' displayed below it.

MONITORING METHOD	UNIQUE ID	NCR	ENTITY	REGION AND JURISDICTION	STANDARD	REQ	RECEIVED	VIOLATION START DATE	REVIEW STATUS
Self-Report	2020-00205	NCR01020	Northern States Power (Xcel Energy) CO Group No. 56 - Xcel	MRO-US	BAL-001-2	R1.	06/23/2020	06/16/2020	COMPLETE
Self-Report	2020-00215	NCR04038	Oklahoma Municipal Power Authority	MRO-US	VAR-002-4.1	R6.	06/23/2020	05/25/2020	IN PROGRESS
Self-Report	2020-00356	NCR00658	Energy, Inc.	MRO-US	CIP-003-7	R1.	06/29/2020	06/11/2020	IN PROGRESS
Self-Report	2020-00357	NCR00658	Energy, Inc.	MRO-US	CIP-004-6	R2.	06/29/2020	06/01/2020	COMPLETE
Self-Report	2020-00364	NCR04108	Oklahoma Municipal Power Authority	MRO-US	CIP-006-6	R3.	06/30/2020	02/05/2020	IN PROGRESS
Self-Report	2020-00371	NCR01020	Northern States Power (Xcel Energy) CO Group No. 56 - Xcel	MRO-US	CIP-003-7	R4.	06/30/2020	03/03/2020	IN PROGRESS



PNC Review (Requests for Information)

- 3 Type comments for your entity in the **Requestor Comments** field
- 4 **Attach** any necessary files to the RFI
- 5 Select a **Response Due By** date
- 6 Click the **Update** button
- 7 Click **Save** on the PNCr form

Once the entity responds to an RFI, it will appear on your dashboard (a) in the **Items Awaiting My Review** section. This form will show the respondent contact and respondent comments.

Request for Information

Request for Information

Requestor Comments 3

Requestor Attachments 4

Attach file

Response Due By 5

09/02/2020
📅

Action

Action Send
Update will send this RFI to the Registered Entity.

6

Update
Close

ITEMS AWAITING MY REVIEW

TYPE	UNIQUE ID	STANDARD AND REQUIREMENT
Milestone Extension Request	2020-00715	VAR-002-4.1 R6.
Milestone Extension Request	2020-00715	VAR-002-4.1 R6.
RFI Response for Mitigation	2020-00715	VAR-002-4.1 R6.
RFI Response for Mitigation	2020-00715	VAR-002-4.1 R6.
CE Letter Response	2020-00713	CIP-007-6 R2.
RFI Response for Mitigation	2020-00579	FAC-008-3 R6.
RFI Response for Mitigation	2020-00577	CIP-005-6 R2.
RFI Response for PNC	2020-00576	CIP-007-6 R2.
Finding Update	2020-00576	CIP-007-6 R2.
Finding Update	2020-00575	MOD-025-2 R1.
RFI Response for PNC	2020-00574	CIP-004-6 R3.

7

Save and Action
Save
Close



Enforcement Processing (Open EAs)

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 an Enforcement Action record indicates it has not yet been assigned to a disposition

The screenshot shows the 'My Align' navigation menu with 'Enforcement Processing' highlighted (1). Below it, the 'Enforcement Processing' view is shown with the 'Open Enforcement Actions' tab selected (2). The table below lists several Open Enforcement Actions, with the one for 'Alliant Energy - East CO Group No. 5 - Alliant' marked with a yellow flag 'a' (3).

UNIQUE ID	NCR	ENTITY	REGION(S) AND JURISDICTION	REQ	STANDARD	VIOLATION START DATE	RECOM...	ASSIGN
2020-00486	NCR0521	Public Service Company of Colorado CO Group No. 56 - Xcel	WECC-US	R1.	TPL-001-4	07/01/2020		
2020-00485	NCR0658	Evergy, Inc.	MRO-US	R1.	CIP-002-5.1a	06/01/2020		
2020-00484	NCR0521	Public Service Company of Colorado CO Group No. 56 - Xcel	MRO-US, WECC-US	R4.	BAL-005-1	06/01/2020		
2020-00483	NCR0658	Evergy, Inc.	MRO-US	R1.	CIP-006-6	06/01/2020		
2020-00482	NCR04108	Oklahoma Municipal Power Authority	MRO-US	R2.	CIP-002-5.1a	06/01/2020		
2020-00459	NCR0961	Alliant Energy - East CO Group No. 5 - Alliant	MRO-US	R5.	VAR-002-4.1	06/16/2020		
2020-00452	NCR0961	Alliant Energy - East CO Group No. 5 - Alliant	MRO-US	R6.	VAR-002-4.1	05/30/2020		
2020-00452	NCR0658	Evergy, Inc.	MRO-US	R8.	FAC-008-3	05/08/2018	Confirmed Violation	
2020-00451	NCR0658	Evergy, Inc.	MRO-US	R3.	CIP-013-1	04/09/2019	Find, Fix, Track	Compliance



Enforcement Processing (Open EAs)

General Information - The information from the PNC record copies onto the EA record in order to be updated prior to disposing the noncompliance (a).

PNCs Consolidated under this EA - This section will list all PNCs associated with the EA record (b). You should see at least one PNC record that has the same unique ID as the EA record (c). This PNC link will redirect you to the PNC record to see the PNC Review and to access any RFIs or Finding updates (scope expansions) that were created for the PNC. There could be more than one PNC listed in this section if you or a colleague has consolidated a non-compliance under the EA. In this case, you should ensure that the EA noncompliance record includes any relevant facts and circumstances from the consolidated noncompliance as the EA record should cover all instances.

Dispositions - You'll use this section (d) to create a Disposition Object or view a copy of the object at a later date. **NOTE:** If you plan to associate multiple EAs under a Disposition object, you should only create one Disposition object for one EA and then associate additional EAs under the **Active Dispositions** tab.

2020-00105-E

Enforcement Action	2020-00105
CEA or LRE*	RF
Disposition Type	
Assigned to	
<input type="checkbox"/>	FIRST NAME

a General Information

Actual Monitoring Method: Self-Report

Registration: TEST00200 - TEST00200-RF in RF

Coordinated Oversight: No

Applicable Requirement: PRC-005-6 R3.

Applicable Part(s):

Applicable Reliability* Function(s): GO x

Region - Jurisdiction(s) in which the Potential Non-Compliance occurred: RF-US x

Associated Regions:

b PNCs Consolidated under this EA

Instructions: Use the Link and Unlink buttons to add or remove a PNC from conso

<input type="checkbox"/>	PNC ID	APPLIC
c	2020-00105	PRC-00

d Dispositions

Instructions: In this section, you can add and edit disposition information related to

DISPOSITION ID	TYPE	CASE FILE ID
+		

Mouse over for more information



Enforcement Processing (Open EAs)

Notifications - In this section, you can view a copy of the Disposition Notifications that have been issued to the registered entity (a).

Additional Comments and Documents - In this section (b), you can add notes and attach any work papers or review documents (c).

NOTE: The EA form does not validate against anything, so you need to confirm that any changes made on the EA Form are acceptable (e.g. function changes, sub-parts, dates, etc.).

2020-00105-E
a Notifications

TYPE	DATE SENT

b
Additional Comments and Documents

Comments from the Finding Author

Notes from the PNC Review

Entity Contact Information

Violation Discovery and Description

Violation Extent of Condition, Role

Additional Comments and Documents

Evidence

SEL Reference **RF|TEST00200|F2020-00105**

2020-00105 FORM: CEA-EA-Edit-Add-Disp

c
CEA Attachments 🔍

Attach file

Evidence

SEL Reference **RF|TEST00200|F2020-00105**

2020-00105 FORM: CEA-EA-Edit-Add-Disp



Enforcement Processing (Dispositions)

- 4 Scroll to the **Dispositions** section and click the **+** icon
- 5 Click the **Type** dropdown
- 6 Select a **Disposition Type**
- 7 Enter a **Case File ID**
- 8 Click the Attach File button to add and **Draft Filing Attachments**

Dispositions

Instructions In this section, you can add and edit disposition information related to Dismissals, CEs, FFTs, Settlements, and Confirmed Violations. To send or manage Notifications, go to the Active Dispositions tab.

DISPOSITION ID	TYPE	CASE FILE ID	NERC NOC #	DISPOSITION CREATED	ACTION	NERC REVIEW
This table is empty						

Disposition ✕

Disposition Information

Type ⓘ * Pending ▼

Case File ID ⓘ

Instructions By default, the type is Pending. A Pending Disposition can be used to send a notice of Alleged Violation or a Dismissal disposition. Letters. A CE Disposition can be used to send a final Settlement Agreement. A FFT 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.

- Confirmed Violation
- Compliance Exception
- Find, Fix, Track
- Settlement
- Pending
- Dismissal

Region Drafts for CE, FFT, SNOP, or NOP Filings

Draft Filing Attachments Attach file

Enforcement Processing (Dispositions)



If you selected a disposition other than Settlement or Dismissal:

9

Click the **Save** button on the Disposition form

10

Click the **Save** button on the EA form to move the record to the Active Dispositions tab

Disposition

Disposition Information

Type * Confirmed Violation

Case File ID test

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.

Region Drafts for CE, FFT, SNOP, or NOP Filings

Draft Filing Attachments [Attach file](#)

Draft filing attachment test.docx 22.57 KB

9 Save Close

Entity Contact Information

10 Save Close

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 *

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

Settlement Requested On

Settlement Execution Date

Proposed settlement amount (USD)

Final settlement amount (USD)

Settlement Agreement Attachments

Region Drafts for CE, FFT, SNOP, or NOP Filings

Draft Filing Attachments



Enforcement Processing (Dispositions)

- 15 Enter the **Settlement Discussion History** into the text field
- 16 Click the Attach file button to add any **Draft Filing Attachments**
- 17 Click the **Save** button on the Disposition form
- 18 Click **Save** to move the EA Record to the Active Dispositions tab

Disposition

Disposition Information

Type *

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

15

Settlement Status

Settlement Requested On

Settlement Execution Date

Proposed settlement amount (USD)

Final settlement amount (USD)

Settlement Agreement Attachments

Region Drafts for CE, FFT, SNOP, or NOP Filings

Draft Filing Attachments

17

18

Enforcement Processing (Dispositions)



Like Settlements, there are a couple of additional fields involved with Dismissals.

19 Select a **Dismissal Category** from the dropdown

20 Enter a **Dismissal Explanation**

21 Use the Attach file button to add any **Draft Filing Attachments**

22 Click **Save** to close the Disposition

23 Click **Save** to move the EA Record to the Active Dispositions tab

Disposition Information

Type *

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.

Dismissal Category

Dismissal Explanation

-- None --

Consolidation

Preliminary Screen

Evidence

Transfer to Affiliate

Transfer to another CEA

Region Drafts for CE, FFT, SNOP, or NOP Filings

Draft Filing Attachments



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

The screenshot shows the 'Enforcement Processing' interface. The 'Active Dispositions' tab is selected and highlighted with a yellow circle containing the number '1'. Below the tabs is a table titled 'ACTIVE DISPOSITIONS' with the following columns: DISPOSITION TYPE, UNIQUE ID, NCR, ENTITY, and CASE FILE ID. The table contains several rows of data. The second row, representing a 'Settlement' disposition with a Unique ID of 2020-00452, is highlighted with a yellow circle containing the number '2', indicating the step to click the Unique ID for deletion.

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.	
Settlement	2020-00445	NCR00658	Evergy, Inc.	
Compliance Exception	2020-00443	NCR00658	Evergy, Inc.	

At the bottom of the table, there is a pagination control showing 'Page 1 of 2' with navigation arrows.

Enforcement Processing (Deleting a Disposition)



3 Click the **Action** dropdown

4 Select the **Delete** option

5 Click the **Save and Action** button

The Enforcement Action will now move back to the **Open Enforcement Actions** tab.

2020-00451 | 20-000178

Disposition Information

Registration

Dismissal Category

Disposition Type Dismissal

Dismissal Explanation

Case File ID

Action **3**

Instructions **4**

- None --
- No Action
- Delete**
- Submit

TYPE	NAME	SENT	RESPONSE DUE
Dismissal Letter	20-000118	07/10/2020	08/05/2020

Page 1 of 1

5 Related EAs

Enforcement Processing (Relate an EA)



If you wish to relate an open Enforcement Action to an existing Disposition record rather than creating a new disposition:

1

Click the **Active Dispositions** tab

2

Click the **Unique ID** of the disposition you want to add an EA to

Enforcement Processing

Open Enforcement Actions | Active Dispositions | Dispositions Pending Close | EAs Pending Disposition Close | Closed Enforcement

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.	
Settlement	2020-00445	NCR00658	Evergy, Inc.	
Compliance Exception	2020-00443	NCR00658	Evergy, Inc.	

Page 1 of 2

Enforcement Processing (Relate an EA)

3 Scroll to the **Related EAs** section of the disposition

4 Click the **link** icon

5 Select the **checkbox** next to the EA you want to relate to the disposition

6 Click the **Confirm** button

7 Click **Save and Action**

The screenshot shows the 'Relate Existing' modal window. The background page has sections for 'Related EAs', 'Penalties and S', and 'Region Drafts f'. The 'Related EAs' section contains a table with columns for 'ENFORCEMENT ACTION', 'STANDARD AND REQ', and 'REGISTRATION'. The '2020-0062-E' row is selected. The 'Relate Existing' modal window displays a table with the same columns. The '2020-0062-E' row is checked. The modal window has a 'Confirm' button and a 'Close' button. The background page has a 'Draft Filing Attachments' section with an 'Attach file' button. The bottom of the page has 'Save and Action', 'Save', and 'Close' buttons.

ENFORCEMENT ACTION	STANDARD AND REQ	REGISTRATION
<input type="checkbox"/> 2020-0040-E	BAL-001-2 R1.	NCR00961 - Alliant Energy - East in MPO
<input type="checkbox"/> 2020-0060-E	BAL-001-2 R1.	NCR00961 - Alliant Energy - East in MPO
<input checked="" type="checkbox"/> 2020-0062-E	BAL-001-2 R1.	NCR01166 - Alabama Power Company in SERC
<input type="checkbox"/> 2020-00203-E	BAL-001-2 R1.	NCR01020 - Northern States Power (Xcel Energy) in MPO
<input type="checkbox"/> 2020-00413-E	BAL-001-2 R1.	NCR00961 - Alliant Energy - East in MPO
<input type="checkbox"/> 2020-00412-E	BAL-001-2 R1.	NCR00961 - Alliant Energy - East in MPO
<input type="checkbox"/> 2020-00039-E	BAL-001-2 R2.	NCR00961 - Alliant Energy - East in MPO
<input type="checkbox"/> 2020-00038-E	BAL-001-2 R2.	NCR00961 - Alliant Energy - East in MPO



Enforcement Processing (Relate an EA)

If you want to remove an EA that is related to a disposition, open the disposition and scroll down to the **Related EAs** section.

- 1 Select the **checkbox** next to the EA you want to remove
- 2 Click the **unlink** icon
- 3 Click the **Yes** button to confirm
- 4 Click **Save**

The unlinked EA will return to the **Open Enforcement Actions** tab. You can then relate it to a different disposition.

Related EAs		
<input type="checkbox"/>	ENFORCEMENT ACTION	ORIGINAL FINDING
<input checked="" type="checkbox"/>	2020-00062-E	
<input type="checkbox"/>	2020-00452	2020-00452

UNRELATE ELEMENTS

Do you want to unrelate the selected elements?

Yes No

Save and Action Save Close



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 'Enforcement Processing' view in the application. A dropdown menu is open, highlighting 'Enforcement Processing' with a circled '1'. Below the menu, the 'Active Dispositions' tab is selected, also marked with a circled '2'. The table below lists several dispositions with a 'SEND NOTIFICATION' column. The first row is highlighted, and a circled '3' points to the 'Send NOCV' link in the 'SEND NOTIFICATION' column.

DISPOSITION TYPE	UNIQUE ID	NCR	ENTITY	CASE FILE ID	NERC NOC#	SEND NOTIFICATION
Confirmed Violation	2020-00486	NCR05521	Public Service Company of Colorado CO Group No. 56 - Xcel	test		Send NOCV
Settlement	2020-00452	NCR00658	Evergy, Inc.			Send Settlement Agreement
Compliance Exception	2020-00450	NCR00658	Evergy, Inc.			Send CE Letter
Dismissal	2020-00449	NCR00658	Evergy, Inc.			Send Dismissal Letter
Settlement	2020-00445	NCR00658	Evergy, Inc.			Send Settlement Agreement
Compliance Exception	2020-00443	NCR00658	Evergy, Inc.			Send CE Letter
Dismissal	2020-00442	NCR00658	Evergy, Inc.			Send Dismissal Letter

Mouse over for more information

Enforcement Processing (Notifications)



- 4 Confirm the **Notification Type** is correct
- 5 Enter any comments in the **Requestor Comments** field
- 6 Click the Attach file button to add required **Attachments** - **NOTE:** All Disposition Notifications need to have an attached file for the registered entity and NERC. If it does not have an attachment, NERC will reject it
- 7 Select a **Due Date** - **NOTE:** Please include the appropriate due date per disposition type.
- 8 Type any notes that you want to hide from the entity in the **ERO Private Internal Notes**

Create Notification

Notification **4**

Notification Type * Notice of Confirmed Violation

Requestor Comments **5**

Attachments **6** [Attach file](#)

Due Date **7**

ERO Private Internal Notes **8**

Action

Action Send
Update will send this Notification to the Registered Entity.

[Update](#) [Close](#)



Enforcement Processing (Notifications)

9 Click the **Update** button

10 If you want to verify that the notification letter was sent to the entity, check the **Send Notification** column on the Active Dispositions tab

Action

Action Send
Update will send this Notification to the Registered Entity.

9
Update
Close

NOTE: Once you click the **Update** button, the Notification object will be sent to the registered entity so only complete the form once you are ready to issue the Notification to the registered entity.

ACTIVE DISPOSITIONS							
	DISPOSITION TYPE	UNIQUE ID	▲ NCR	ENTITY	CASE FILE ID	NERC NOC#	SEND NOTIFICATION
→	Confirmed Violation	2020-00486	NCR06521	Public Service Company of Colorado CO Group No. 56 - Xcel	test		10 NOCV Sent
	Settlement	2020-00452	NCR06658	Evergy, Inc.			Send Settlement Agreement
	Compliance Exception	2020-00450	NCR06658	Evergy, Inc.			Send CE Letter
	Dismissal	2020-00449	NCR06658	Evergy, Inc.			Send Dismissal Letter



Enforcement Processing (Notifications)

You will see responses to Notifications on the **My Align Dashboard** (a).

Note that the Notification object allows for the registered entity to provide comments, Contest, and attach response files (b).

ITEMS AWAITING MY REVIEW	
TYPE	UNIQUE ID
Milestone Extension Request	2020-00715
Milestone Extension Request	2020-00715
RFI Response for Mitigation	2020-00715
RFI Response for Mitigation	2020-00715
CE Letter Response	2020-00713
RFI Response for Mitigation	2020-00579

2020-00126

Notification

Type: Compliance Exception Letter
 From: RF Editor 1
 Sent Date: May 12, 2020
 Comments: test

Attachments: [Attach file](#)

Response Due Date: May 13, 2020

ERO Private Internal Notes: Example of internal notes

Notification ID: 20-000054
 Respondent Comments: Example of respondent comments
 Response: No Response
 Contestation:
 Response Attachments:
 Acknowledged Date: May 12, 2020

Related EAs and PNCS

TYPE	UNIQUE ID	METHOD	REQ	STAR
EA	2020-00126	Self-Report	CIP-002-5.1a R2.	05/01
PNC	2020-00126	Self-Report	CIP-002-5.1a R2.	05/01

Mouse over for more information



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#	SEND NOTIFICATION
→	Pending	2020-00103	NCR00961	Alliant Energy - East CO Group No. 5 - Alliant			 Send ESA Send NAVAPS
	Pending	2020-00075	NCR99999999	Second Game Day Friday Entity			NAVAPS Sent

Notification

Notification Type * Notice of Alleged Violation and Proposed Penalty or Sanction

 Monetary Penalty

 Non-Monetary Sanctions

US Dollar

Euro

British Pound

Dutch Guilder

Australian Dollar

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 displays the 'Enforcement Processing' interface. The 'Active Dispositions' tab is selected, showing a table of dispositions. The third row, with Unique ID 2020-00449, is highlighted. A blue circle with the number '1' is placed over this row. A modal window titled 'Disposition Information' is open for this disposition. The 'Action' dropdown menu is open, showing options: '-- None --', 'No Action', 'Delete', and 'Submit'. A blue circle with the number '2' is placed over the 'Submit' option. A blue circle with the number '3' is placed over the 'Submit' button. At the bottom of the modal, a blue circle with the number '4' is placed over the 'Save and Action' button. The 'Disposition Information' form includes fields for Registration (NCR04108 - Oklahoma Municipal Power Authority in MRO), Disposition Type (Dismissal), Case File ID (20-000154), Dismissal Category (Preliminary Screen), and Dismissal Explanation (duplicate). A 'Related Notifications' table is also visible below the form.

DISPOSITION TYPE	UNIQUE ID	NCR	ENTITY	CASE FILE ID	NERC NOC#	SEND NOTIFICATION
Dismissal	2020-00221			2020-00221 20-000154		
Dismissal	2020-00442					
Dismissal	2020-00449					
Dismissal	2020-00376					
Dismissal	2020-00207					
Find, Fix, Track In NERC Processing	2020-00087					
Find, Fix, Track In NERC Processing	2020-00103					

TYPE	NAME	SENT	RESPONSE DUE
Dismissal Letter	20-000152	08/07/2020	08/08/2020



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 the **Active Dispositions** tab in a status of: **In NERC Processing**. If NERC approves it, the disposition will move to **Dispositions Pending Close** (a). If they reject the disposition, it will reappear under **Open Enforcement Actions** (b).

The screenshot illustrates the NERC Review workflow. It shows the 'Enforcement Processing' section with tabs for 'Open Enforcement Actions', 'Active Dispositions', and 'Dispositions Pending Close'. The 'Active Dispositions' table lists several 'Compliance Exception' records with unique IDs. A 'Disposition Information' form is open for the record with ID 2020-00656, showing fields for Registration, Disposition Type, Case File ID, and an Action dropdown menu. The 'Action' dropdown is open, showing options: '-- None --', 'No Action', 'Delete', and 'Submit'. The 'Save and Action' button is highlighted at the bottom of the form.

Mouse over for more information



Closing a Disposition (CEs and FFTs)

If NERC approves the disposition, it will move to the **Dispositions Pending Close** tab. Once the entity has completed the mitigation associated with this disposition, you can close it.

The screenshot shows the 'Dispositions Pending Close' tab selected in the top navigation bar (5). Below the navigation bar is a table titled 'DISPOSITIONS PENDING CLOSURE'. A row is selected, and its 'Unique ID' (2020-00656) is clicked to open a detail view (6). In the detail view, the 'Action' dropdown menu is open, and 'Close' is selected (7). The 'Violation Closed Date' field is being entered (8). At the bottom of the detail view, the 'Save and Action' button is highlighted (9).

- 5 Click the **Disposition Pending Close** tab
- 6 Click the **Unique ID** to open the disposition
- 7 Select **Close** from the **Action** dropdown
- 8 Enter the **Violation Closed Date**
- 9 Click the **Save and Action** button

Mouse over for more information



Adding Obligations (Settlements and CVs)

Before you submit a Settlement or Confirmed Violation disposition to NERC for review, you need to add obligations to the disposition. To add a new obligation:

- 1 Click the **Unique ID** to open the disposition
- 2 Scroll down to the **Penalties and Sanctions** section
- 3 Click the **+** icon

The screenshot shows the 'Enforcement Processing' interface. At the top, there's a navigation bar with a home icon and a dropdown menu. Below it, there's a tab for 'Open Enforcement Actions'. The main content area is titled 'ACTIVE DISPOSITIONS' and contains a table with columns for 'DISPOSITION TYPE', 'UNIQUE ID', and 'NCF'. The table lists several rows, with the first row highlighted in light blue. A yellow circle with the number '1' is placed over the 'UNIQUE ID' '2020-00367' of the first row. Below the table, there's a pagination control showing 'Page 1 of 2'. To the right of the table, there's a '+' icon in a yellow circle with the number '3'. Below the table, there's a section titled 'Penalties and Sanctions' with a yellow circle and the number '2' over it. This section contains a table with columns for 'OBLIGATION ID', 'OBLIGATION TYPE', and 'OBLIGATION DETAILS'. The table is currently empty, with the text 'This table is empty' displayed. Below this section, there's a section titled 'Region Drafts for CE, FFT, SNOP, or NOP Filings' with a button labeled 'Attach file'. At the bottom of the interface, there are three buttons: 'Save and Action', 'Save', and 'Close'.

Mouse over for more information

Adding Obligations (Settlements and CVs)



4 Select the **Obligation Type**

5 Add any **Obligation Details**

6 Enter the **Due Date** for the obligation

7 Click **Update**

Obligation

Obligation Type

Obligation Details

Due date

Completion Date

Completion Verified By

Completion Verified Date

Attachments

Documents

Update Close

NERC Review (Settlements and CVs)



After you add all obligations, return to the top of the disposition form to submit the disposition for NERC review.

8 Click the **Action** dropdown

9 Select **Submit**

10 Click **Save and Action**

2020-00175 | 20-000271

Disposition Information

Registration	<input type="text" value="NCR99999 - Test Entity in MRO x"/>	Settlement Status	<input type="text" value="In Drafting"/>
Disposition Type	<input type="text" value="Settlement"/>	Settlement Requested On	<input type="text" value=""/>
Case File ID	<input type="text" value=""/>	Settlement Execution Date	<input type="text" value=""/>
Action	<input type="text" value=""/>	Proposed settlement amount (USD)	<input type="text" value=""/>
Instructions	<input type="text" value="-- None --"/>	Final settlement amount (USD)	<input type="text" value=""/>
	<input type="text" value="No Action"/>	Settlement Agreement Attachments	<input type="text" value="Attach file"/>
	<input type="text" value="Delete"/>		
Settlement Discussions History	<input type="text" value="Submit"/>		

Related Notifications

TYPE	NAME	SENT	RESPONSE DUE
------	------	------	--------------

10



Closing a Disposition (Settlements and CVs)

If NERC rejects the disposition, you'll see it reappear on the **Open Enforcement Actions** tab. Once they approve it, it will move to the **Dispositions Pending Close** tab where you can close the disposition after you complete all of the obligations.

11 Click the **Dispositions Pending Close** tab

12 Click the **Unique ID**

13 Scroll to the **Penalties and Sanctions** section and click the **Obligation ID**

The screenshot shows the 'Enforcement Processing' interface. The 'Dispositions Pending Close' tab is selected and highlighted with a yellow circle containing the number 11. Below the tabs, a table titled 'DISPOSITIONS PENDING CLOSURE' lists dispositions with their types and unique IDs. The 'Settlement' row with Unique ID '2020-00175' is highlighted with a yellow circle containing the number 12. Below this table is a section for 'RELATED PENALTIES AND SANCTIONS' with a table listing penalties. The 'Penalty' row with Obligation ID '20-000048-S' is highlighted with a yellow circle containing the number 13. To the right, a detailed view of the disposition '2020-00175 | 20-000271' is shown, including 'Related EAs' and 'Penalties and Sanctions' sections.

DISPOSITION TYPE	UNIQUE ID
Settlement	2020-00175
Find, Fix, Track	2020-00132

TYPE	DESCRIP
Penalty	test

OBLIGATION ID	OBLIGATION TYPE	OBLIGATION DETAILS	DUE DATE	COMPLETION DATE
20-000048-S	Penalty	test	02/28/2020	

Closing a Disposition (Settlements and CVs)



14

Enter the **Completion Date** of the obligation

15

Select who verified the completion from the **Completion Verified By** dropdown

16

Enter the date the completion was verified into the **Completion Verified Date**

17

Click **Update**

2020-00367 | 20-000168 Obligation 20-000019-S

Obligation Type

Obligation Details

Due date

Completion Date

Completion Verified By

Completion Verified Date

16 Attachments

Documents

14

15

17

-- None --

A.J. Molnar

Aaron Dykstra

Aaron Fontenot

Aaron Ghodooshim

Aaron Honor

Aaron Huffman

Aaron Jackson

Aaron Martin

Aaron Martin



Closing a Disposition (Settlements and CVs)

Once you complete all of the obligations, scroll up to the top of the disposition form.

18 Enter the **Closed Date**

19 Click **Save and Action**

After you close out the disposition, it will move to the **Closed Enforcement Actions** tab, where it will reside for future reference.

2020-00175 | 20-000271
✕

Disposition Information

Registration ⓘ NCR99999 - Test Entity in MRO ✕

Disposition Type: Settlement

Case File ID ⓘ

Action: Close

Closed Date ⓘ |

Instructions: ⓘ February 2020 ⓘ on, click "Save and Action"

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

The following Notifications have been sent related to this Disposition.

TYPE	NAME	SENT	RESPONSE DUE
Final Settlement Agreement	20-000337	02/18/2020	

18
19

Save and Action
Save
Close

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 - This is the status of any mitigation in Align that has been submitted to you. The status will not change until you complete your review and accept or reject the mitigation. While in this status, you can send RFIs to help complete your review.

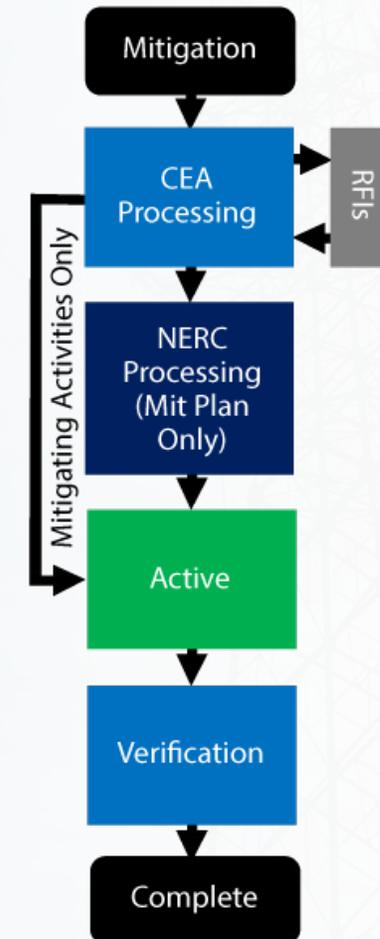
2) NERC Processing - If you convert mitigating activities to a Mitigation Plan, the entity will need to resubmit the mitigation as a Mitigation Plan and once you approve it, the mitigation will undergo NERC review.

3) Active - Once the mitigation is approved, it will show as Active. While in this stage, you can monitor entity activity as they complete milestones or add scope expansion. If changes need to be made to the mitigation, you can still send it back for a revision.

4) Verification - Once the entity complete all milestones, they will submit the mitigation to you for verification. The status will change to Verification and the mitigation will no longer be editable for the entity. You may send RFIs during this stage as well.

5) Incomplete - If you decided that the mitigation does not pass verification, you can send it back as 'Incomplete.' The entity will need to add the missing information and resubmit for verification.

6) Complete - Once a mitigation has been verified, its status will change to Complete and will stay in the All Mitigations tab for reference.



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 application. A dropdown menu is open, showing options: My Align, Compliance Monitoring, PNC Processing, Enforcement Processing, and Mitigation Management. The 'Mitigation Management' option is highlighted with a circled '1'. Below the dropdown, the 'Mitigations Awaiting Review' tab is selected, also highlighted with a circled '2'. The main content area displays 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 third row of the table is highlighted with a circled '3' pointing to the 'UNIQUE ID' column.

TYPE	UNIQUE ID	NCR#	ENTITY NAME	STANDARD	REQ.	VIOLATION START DATE	CEA REVIEW DUE DATE
Mitigating Activities	2020-00663	NCR00961	Alliant Energy - East	CIP-003-7	R1.	05/04/2020	09/11/2020
Mitigating Activities	2020-00477	NCR04108	Oklahoma Municipal Power Authority	CIP-002-5.1a	R1.	07/03/2020	08/07/2020
Mitigating Activities	2020-00462	NCR00658	Alliant Energy - East	VAR-002-4.1	R1.	05/20/2020	08/22/2020
Mitigating Activities	2020-00438	NCR00658	Evergy, Inc.	CIP-009-6	R1.	10/09/2019	08/02/2020
Mitigating Activities	2020-00437	NCR00658	Evergy, Inc.	CIP-005-6	R1.	11/06/2018	08/02/2020
Mitigating Activities	2020-00415	NCR00961	Alliant Energy - East	CIP-004-6	R3.	12/03/2019	09/11/2020
Mitigating Activities	2020-00377	NCR00961	Alliant Energy - East	TOP-002-4	R7.	05/01/2020	08/01/2020

Mouse over for more information



Mitigating Activities

- 4 Review the **General Information** section
- 5 If you want to assign this mitigation to a team member, use the **Assign to** section as documented [here](#).
- 6 Click on each **Milestone ID**
- 7 Review the milestone details
- 8 If you need more information, you can issue an **RFI** by clicking the **+** icon
- 9 Review the **Extent of Condition, Root Cause and Risk Analysis** section and the **Interim Risk Reduction** (optional for Mitigating Activities)

2020-00143

General Information

Mitigating Activities: Registration NCR9999999 - Se

Mitigation Plan Contact: NCR9999999 Edi

Mitigation Status: CEA Processing

Applicable Requirement: EOP-006-3 R3.

Applicable Part(s)

Mitigation Milestones

MILESTONE ID	TYPE OF MILESTO...	MILESTON
2020-000131	Remediating Action	Task 1
2020-000132	Preventative Control	Task 2

Assigned +

RFI ID REQUESTOR CO

FIRST NAME

Milestone Information

Type of Milestone Task: Remediating Action

Milestone Name: Task 1

Description of action: description

Planned Completion Date: 06/03/2020

Revised Planned Completion

Actual Completion Date

Save and Action Save Close Update Close

Mouse over for more information

Mitigations (Extending the CEA Review Period)



If you need to extend the CEA review period for the mitigation, scroll to the **Dates and Reviews** section.

- 10 Enter the new due date into the **Revised CEA Due Date** field
- 11 Type an explanation for the extension in the **CEA Revision Explanation** field
- 12 Click the **Save** button (do not select an action from the CEA Review Action dropdown or hit the Save and Action button)

2020-00663

Dates and Reviews

Expected Completion Date: January 7, 2021

Entity Completion Date:

Region Review Due Date: September 11, 2020

Revised CEA Due Date:

CEA Revision Explanation:

Region Rejection Date:

CEA Review Action:

CEA Comments Shared with Entity:

NERC Review Results

NERC Comments

Save and Action Save Close



Mitigating Activities/Mitigation Plans

After you have reviewed the mitigation, scroll to the **Dates and Reviews** section.

13 Select an action from the **CEA Review Action** dropdown based on your review:
 Choose **Accept** to approve the mitigating activities. Select **Resubmit** if the entity needs to edit and resend. Or, select **Submit as Mitigation Plan** if the mitigating activities need to be converted to a Mitigation Plan.

14 Type any notes you want to share with the entity into the **CEA Comments Shared with Entity** field

If you selected **Resubmit** or **Submit as Mitigation Plan**, the mitigation will move to the **Rejected Mitigation** tab (a) until the entity edits and resubmits; it will then move back to the **Mitigations Awaiting Review** tab.

The screenshot shows the 'Mitigation Management' interface for ID 2020-00663. The 'Dates and Reviews' section includes fields for 'Expected Completion Date' (January 7, 2021), 'Entity Completion Date', 'Region Review Due Date' (September 11, 2020), 'Revised CEA Due Date', and 'CEA Revision Explanation'. The 'CEA Review Action' dropdown is highlighted with a callout box containing options: '-- None --', 'Accept' (marked with callout 13), 'Resubmit', and 'Submit as Mitigation Plan'. The 'CEA Comments Shared with Entity' field is marked with callout 14. At the bottom are 'Save and Action', 'Save', and 'Close' buttons.

The 'ACTIVE MITIGATIONS' table is shown below:

TYPE	UNIQUE ID	REGION OR LRE	NCR#
Mitigating Activities	2020-00075	MRO	NCR9999999
Mitigation Plan	2020-00087	MRO	NCR9999999
Mitigation Plan	2020-00107	MRO	NCR9999999
Mitigating Activities	2020-00483	MRO	NCR00658
Mitigating Activities	2020-00663	MRO	NCR00961

Mouse over for more information



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** drop-down, 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** tab to see the it. 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 Entity
Mitigation Plan Contact	NCR9999999 Editor 1
Mitigation Status	CEA Processing
Applicable Requirement	CIP-007-6 R5.
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 ▼

CEA Comments Shared with Entity

- None --
- Accept
- Resubmit
- Submit as Mitigation Plan

Save and Action Save Close

a Mitigation Management ▼

Mitigations Awaiting Review
Rejected Mitigations
Active Mitigations
Mitigations Awaiting Verification
Completed Mitigations
14
All Mitigations

MITIGATING ACTIVITIES AND MITIGATION PLANS									
REGION OR LRE	TYPE	UNIQUE ID	STATUS	NCR#	ENTITY NAME	REGION AND JURISDICTION	STANDARD	REQ.	VIOL. STATUS
RF	Mitigating Activities	2020-00711	Complete	NCR00776	Denton County Wind Farm, LLC	RF-US	CIP-007-6	R4.	07/03
RF	Mitigating Activities	2020-00710	Complete	NCR00778	Exelon Generation Company, LLC - Exelon Nuclear	RF-US	CIP-007-6	R2.	09/01
RF	Mitigation Plan	2020-00709	NERC Processing	NCR00778	Exelon Generation Company, LLC - Exelon Nuclear	RF-US	CIP-002-5.1a	R1.	05/01
RF	Mitigating Activities	2020-00707	CEA Processing	NCR9999999	Second Game Day Friday Entity	RF-US	MOD-025-2	R1.	06/01
RF	Mitigation Plan	2020-00582	NERC Processing	NCR00778	Exelon Generation Company, LLC - Exelon Nuclear	RF-US	VAR-002-4.1	R2.	07/03
RF	Mitigation Plan	2020-00581	Verification	NCR00778	Exelon Generation Company, LLC - Exelon Nuclear	RF-US	PRC-005-6	R1.	07/03



Active Mitigations

Once you accept a Mitigation Plan, it will be submitted for NERC review, and it will move to the **All Mitigations** (a) tab until NERC approves. Once NERC approves the Mitigation Plan, it will appear in the **Active Mitigations** tab (b) along with mitigating activities that you have accepted.

- 1 Click the **Active Mitigations** tab
- 2 Click the **Unique ID** of the mitigating activities

Mitigation Management

Mitigations Awaiting Review
Rejected Mitigations **b**
1 **Active Mitigations**
Mitigations Awaiting Verification
Completed Mitigations

ACTIVE MITIGATIONS

	TYPE	UNIQUE ID	REGION OR LFE	NCR#	ENTITY NAME	STANDARD	REQ.
	Mitigating Activities	2020-00075	MRO	NCR9999999	Second Game Day Friday Entity	CIP-003-7	R1.
	Mitigation Plan	2020-00087	MRO	NCR9999999	Sec		
	Mitigation Plan	2020-00107	MRO	NCR9999999	Sec		
	Mitigating Activities	2020-00483	MRO	NCR00658	Ever		
	Mitigating Activities	2020-00663	MRO	NCR00961	Allia		

Completed Mitigations
Consolidation
a **All Mitigations**

Align for Regions

STANDARD	REQ.	REGION AND JURISDICTIONS	VIOLATION START DATE	ASSIGNED	CEA ACC
CIP-003-7	R1.	MRO-US	04/26/2020		
CIP-004-6	R2.	MRO-US	05/03/2020		05/21/202
CIP-006-6	R2.	MRO-US	05/04/2020		05/07/202
CIP-006-6	R1.	MRO-US	06/01/2020		08/07/202
CIP-003-7	R1.	MRO-US	05/04/2020	MRO Editor 1	08/13/202

Page 1 of 1

Mouse over for more information



Active Mitigations (Revisions)

While mitigations are active, there is not much for you to do other than monitor the updates that your entities make to the mitigation (you can also still send RFIs). However, if you need the entity to make a revision to the mitigation, you can do that from the active mitigation form.

- 3 Scroll to the Comments from **Region and NERC** and add any notes for the entity to the **CEA Comments Shared with the Entity** field
- 4 Select **Submit for Entity Revision** from the Return to Entity for Revision dropdown
- 5 Click **Save and Action**

Once you click **Save and Action** will move the mitigation record to the **Rejected Mitigations** tab until the Entity resubmits.

2020-00075

Interim Risk Reduction

Comments from Region and NERC

CEA Comments Shared with Entity ⌵

3

Missing a completion date

NERC Comments Shared with Entity

ERO Private Internal Notes ⌵

Attachments Attach file

Return to Entity for Revision? ▼

-- None --

Submit for Entity Revision 4

No Action

SNAPSHOT 5

Save and Action
Save
Close

Active Mitigations (Milestone Extension)



If an Entity needs more time to complete a Milestone, it can submit a Milestone Extension Request.

To approve or reject a Milestone Extension Request:

- 1 Navigate to the **My Align** dashboard
- 2 Click the **Unique ID** of the milestone extension request

Dashboard and Tasks

Assigned To Me

ALIGN Welcome to **Align!** This is your **Dashboard** screen. Tasks that are awaiting action and either assigned to you or unassigned are shown below. Navigate the system by selecting activities above. You can create Findings from the **Compliance Monitoring** section. In the **PNC Processing** section, you can screen and review Potential Noncompliances. In the **Enforcement Processing** section, you can dismiss or process Enforcement Actions, and review Penalties and Sanctions. In the **Mitigation Management** section, you can review, approve, and verify Mitigating Activities and Mitigation Plans. The **CMEP Activity Search** provides other ways to view and find PNCs, EAs, and Mitigations. The **Entity Information** section allows you to view registered entity information and Coordinated Oversight Group details. And in the **Reporting** section, you will be able to view and analyze data and information.

ITEMS AWAITING MY REVIEW

TYPE	UNIQUE ID	STANDARD AND REQUIREMENT	REGIONS	REGISTRATION	DUE DATE	ASSIGNED TO
Milestone Extension...	2020-00087	CIP-004-6 R2	MRO-US	NCR9999999 - Second Game Day Friday Entity	09/14/2020	
Milestone Extension...	2020-00087	CIP-004-6 R2	MRO-US	NCR9999999 - Second Game Day Friday Entity	09/14/2020	
Milestone Extension...	2020-00087	CIP-004-6 R2	MRO-US	NCR9999999 - Second Game Day Friday Entity	09/14/2020	
Milestone Extension...	2020-00087	CIP-004-6 R2	MRO-US	NCR9999999 - Second Game Day Friday Entity	09/14/2020	

NEWS AND UPDATES

CURRENT ACTIVITY

- PNCs in Screening
- PNCs in Review
- MPs/MAs in Review
- MPs in NERC Review

Mouse over for more information



Active Mitigations (Milestone Extension)

3 Accept or Reject the request from the **Action** dropdown

4 Click the **Save and Action** button

NOTE: if you accept the milestone extension request, the registered entity will receive an email and the milestone planned completion date will be updated on the milestone record.

If you reject the extension request, the registered entity does not receive a notification so it might be good to contact them to let them know.

2020-00087 | 20-00055-ME

Milestone Extension Request

General

Registration	NCR9999999 - Second Game Day Friday Entity in MRO	Assigned To
Original Finding	2020-00087	<input type="checkbox"/> FIRST NAME LAST NAME
Standard and Requirement	CIP-004-6 R2.	This table is empty
Related Milestone	Milestone 2020-000051	Proposed New Planned Completion August 26, 2020
Milestone Name	task 2	Explanation
Original Planned Completion	October 4, 2020	
Action	<div style="border: 1px solid #ccc; padding: 2px;"> Accept </div>	
Instructions	<div style="border: 1px solid #ccc; padding: 2px;"> -- None -- </div>	

Save and Action
Save
Close

Mouse over for more information

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

MITIGATING ACTIVITIES AND MITIGATION PLANS AWAITING VERIFICATION

	TYPE	UNIQUE ID	NCR#	ENTITY NAME	STANDARD	REQ.	VIOLATION START DATE	COMP DATE
→	Mitigating Activities	2020-00075	9999	Second Game Day Friday Entity	CIP-003-7	R1.	04/26/2020	06/30/20
	Mitigation Plan	2020-00107	NCR999999	Second Game Day Friday Entity	CIP-006-6	R2.	05/04/2020	05/28/20

Page 1 of 1



Verifying Mitigations as Complete

3 Scroll to the Dates and Reviews section and enter the **Actual Completion Date** - this may be the same date as the Entity Completion Date if that date is accurate or a different date if not.

4 Scroll to the Verification section and select **Complete**, **Incomplete** or **Verified Complete** from the CEA Verification Action dropdown

5 Enter any comments in the **Verification Complete Comments** field or the **Verification Incomplete Comments Shared with Entity** field depending on whether the mitigation is complete or incomplete

6 Click **Save and Action**

Dates and Reviews

Expected Completion Date: May 31, 2020

Entity Completion Date: June 30, 2020

Actual Completion Date:

Region Review Due Date: June 18, 2020

Revised Region Due Date:

Region Revision Explanation:

Region Acceptance Date:

Region Review Results:

Due Date:

Region Revision Explanation:

Region Acceptance Date:

Region Review Results:

Verification

Date Certification Received: August 14, 2020

Has the scope of this issue expanded as a result of these mitigation steps? No

Explanation:

CEA Verification Action:

Verification Complete Comments:

Verification Incomplete Comments Shared with Entity:

Mitigation Milestones

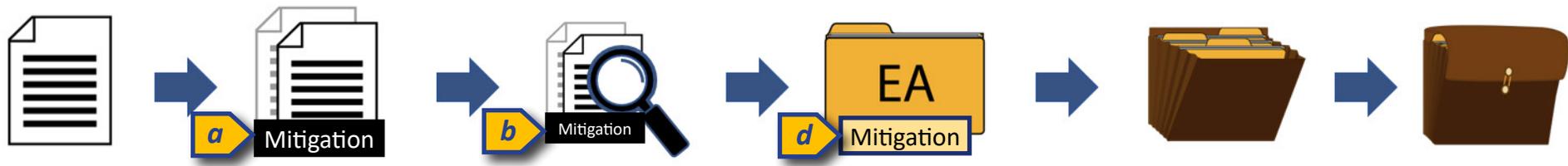
ID	TYPE OF MILEST	MILESTONE NAME	DESCRIPTION	PLANNED COM	DESIRED PLANN	ACTUAL COM

Save and Action Save Close



Consolidated Mitigations

Every new finding in Align generates an associated mitigation record for that finding (a). As a part of the PNCR, you will decide whether to assign the PNC and its mitigation record to a new Enforcement action or consolidate the PNC with an existing EA that already has a mitigation associated with it (b). If the PNC is consolidated with an existing EA, the mitigation originally associated with that PNC is orphaned and moves to the **Consolidations** tab (c) and PNC that was consolidated is now associated with the mitigation record associated with the existing EA (d).



[Finding](#) |
 [Preliminary Screen](#) |
 [PNC Review](#) |
 [Enforcement](#) |
 [Disposition](#) |
 [Closed](#)

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
Mitigating Activities	2020-00037	MRO	NCR00961	Alliant Energy - East	BAL-001-2
Mitigating Activities	2020-00041	MRO	NCR00961	Alliant Energy - East	BAL-001-2



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](#).

Home 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	2020-00084					
Mitigating Activities	2020-00088					
Mitigating Activities	2020-00100					
Mitigating Activities	2020-00101					
Mitigating Activities	2020-00141					

2

Home Mitigation Management

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

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 Function(s)	RC		
Applicable Part(s)	CIP-004-6 R2. Part 2.; CIP-004-6 R2. Part 1.; CIP-004-6 R2. Part 3.	Region-Jurisdiction(s) in which the Potential Noncompliance occurred	MRO-US		
Did scope expand as a result of mitigation?	Yes				
Explanation	scope changes				

Assigned to

FIRST NAME	LAST NAME
This table is empty	

Dates and Reviews

Expected Completion Date	September 03, 2020
--------------------------	--------------------



CMEP Activity Search

The **CMEP Search** view allows you to search all activity regardless of its status. In the **Search My Activity** tab (a), you can find all of the activity in your Region. In the **Search ARE Activity** tab (b), you can search all activity in which your Region is an ARE. In the **Search Other Region Activity** tab (c), you can search all activity throughout the ERO.

My Align

- My Align
- Compliance Monitoring
- PNC Processing
- Enforcement Processing
- Mitigation Management
- CMEP Activity Search** 1
- Entity Information
- Reporting

Activity Search

Search My Activity | Search ARE Activity | Search Other Region Activity

SEARCH ALL ITEMS

TYPE	REGION OR LRE	UNIQUE ID	STATUS	NCR	ENTITY	MONITORING METHOD	STANDARD
PNC	RF	2020-00723	PNC Review	99999	Friday Entity	Self-Report	VAR-002-4
MP	RF	2020-00723	Active	99	Friday Entity	Self-Report	VAR-002-4
MA	RF	2020-00715	Verification	99999	Friday Entity	Self-Report	VAR-002-4
PNC	RF	2020-00715	Preliminary Screening	NCR9999999		Self-Report	VAR-002-4
MA	RF	2020-00707	CEA Processing	NCR9999999	Second Game Day Friday Entity	Self-Report	MOD-025-2
PNC	RF	2020-00707	Preliminary Screening	NCR9999999	Second Game Day Friday Entity	Self-Report	MOD-025-2
PNC	RF	2020-00085	Preliminary Screening	NCR9999999	Second Game Day Friday Entity	Self-Report	CIP-002-5

- 1 Navigate to the **CMEP Activity Search** view
- 2 To search, use the sort and filter functions
- 3 Click the **Unique ID** of the record you want to review

NCR9999999 - Second Game Day Friday Entity in RF

General Information

NERC Compliance Registry ID (NCR #) NCR9999999

Entity name Second Game Day Friday Entity

Registration Date November 8, 2019 Inactive Date

Compliance Enforcement Authority RF Permitted to Self-Log No Did the Entity Go Through ICE

Coordinated Oversight Group

Date Entity Request to Self-Log

Date Region Approved Entity to Self-Log

Region Rejects Entity Self-Logging Request

Relationships

Related Holding Companies NCR11826 - 54KR 8ME LLC in NPCC; NCR11826 - 54KR 8ME LLC in RF; NCR11826 - 54KR 8ME LLC in NERC Subsidiaries

Related Affiliates Potential Relationships



Entity Information

The **Entity Information** view lets you review information about your entities and Cordinated 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

The screenshot shows the 'Entity Information' view. A dropdown menu is open, with 'Entity Information' selected. The main area displays two tables:

REGISTRATION	REGION	PERMITTED TO SELF LOG
NCR00006 in TXRE - Calpine Corporation	TXRE	No
NCR00006 in WECC - Calpine Corporation	WECC	No
NCR00021 in SERC - Florida Keys Electric Cooperative Assn	SERC	No
NCR00022 in SERC - Florida Municipal Power Agency	SERC	No
NCR00023 in SERC - Florida Municipal Power Pool	SERC	No
NCR00024 in SERC - Florida Power & Light Co.	SERC	No
NCR00025 in SERC - Florida Public Utilities Company	SERC	No
NCR00026 in SERC - Florida Reliability Coordinating Council, Inc.	SERC	No
NCR00027 in SERC - Fort Pierce Utilities Authority	SERC	No
NCR00032 in SERC - Gainesville Regional Utilities	SERC	No
NCR00035 in SERC - Hardee Power Partners Limited	SERC	No
NCR00037 in SERC - Homestead, City of	SERC	No
NCR00039 in SERC - Indiantown Cogeneration LP	SERC	No

COORDINATED OVERSIGHT GROUPS	LRE	O&P 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 - Vistra	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 - Hoosier	SERC	RF	RF
CO Group No. 24a - Avangrid	WECC	WECC	WECC
CO Group No. 26 - ITC	RF	RF	RF
CO Group No. 27 - Kiowa	TXRE	TXRE	TXRE
CO Group No. 30 - MISO	SERC	RF	RF
CO Group No. 32 - MISO-RSG	MRO	MRO	MRO
CO Group No. 33 - Montana-Dakota	WECC	MRO	MRO
CO Group No. 34 - MEAN	WECC	MRO	MRO

Entity Information



To find a specific entity in the **Registrations** panel, you can sort or filter the table like any other in Align. Or, you can filter the registrations from the **Coordinated Oversight Panel**. To do that:

3

Click on the Coordinated Oversight record (anywhere except the group name) to highlight it

4

The **Registrations** panel now only shows entities that are a part of that CO group. Click the name link to open the entity information record.

Entity Information

Align for Regions

RF Editor 1

REGISTRATIONS

NCR#	ENTITY NAME	REGION	PERMITTED TO SELF LOG
NCR10133 in NPCC	Luminant Energy Company, LLC	NPCC	No
NCR10133 in RF	Luminant Energy Company, LLC	RF	No
NCR10133 in SERC	Luminant Energy Company, LLC	SERC	No
NCR10133 in TXRE	Luminant Energy Company, LLC	TXRE	No
NCR10133 in WECC	Luminant Energy Company, LLC	WECC	No

COORDINATED OVERSIGHT GROUPS

CO GROUP NAME	LRE	O&P 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 - Vistra	NPCC	RF	RF
CO Group No. 16a - Luminant Energy Company, LLC	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 - Hoosier	SERC	RF	RF
CO Group No. 24a - Avangrid	WECC	WECC	WECC
CO Group No. 26 - ITC	RF	RF	RF
CO Group No. 27 - Kiowa	TXRE	TXRE	TXRE
CO Group No. 30 - MISO	SERC	RF	RF
CO Group No. 32 - MISO-RSG	MRO	MRO	MRO
CO Group No. 33 - Montana-Dakota	WECC	MRO	MRO
CO Group No. 34 - MEAN	WECC	MRO	MRO

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Entity Information

Entity Information records are mostly read-only, but you can edit a few fields related to self-logging and Internal Control Evaluations (ICE).

To respond to a self-log request:

5 Enter dates for the **Date Entity Requested to Self-Log** and either the **Date Region Approved** or **Date Region Rejects** field

6 Click the **Permitted to Self-Log** checkbox to enable self-logging

To record if the entity has gone through an Internal Control Evaluation:

7 Select 'Yes' or 'No' from the **Did the Entity Go Through ICE** drop-down

8 Click the **Update** button

NCR00006 - Calpine Corporation in RF

General Information	
NERC Compliance Registry ID (NCR #)	NCR00006
Entity name	Calpine Corporation
Registration Date	May 30, 2007
Compliance Enforcement Authority	RF
Coordinated Oversight Group	CO Group No. 11 - Calpine
Date Entity Request to Self-Log	<input type="text" value=""/>
Date Region Approved Entity to Self-Log	<input type="text" value=""/>
Date Region Rejects Entity Self-logging request.	<input type="text" value=""/>
Permitted to Self-Log	<input type="checkbox"/>
Inactive Date	<input type="text" value=""/>
Did the Entity Go Through ICE	<input type="text" value=""/>

Relationships	
Related Holding Companies	Related Subsidiaries
Related Affiliates	Potential Affiliate

Contacts	
Primary Compliance Contact (PCC)	
Name	Phil Porter
Phone Number	<input type="text" value=""/>
<input type="button" value="Update"/> <input type="button" value="Close"/>	