



Align Release 2 User Guide

Welcome to Align Release 2. Along with the Align [instructional videos](#), this user guide will help you navigate through all of the features included in this release. Click on a topic in the list below or in the ribbon above to begin.

- 1 Accessing Align
- 2 Periodic Data Submittals (PDS)
- 3 Sending a PDS Request
- 4 Reviewing a PDS
- 5 Requests for Information (PDS)
- 6 Requests for Extension (PDS)
- 7 Creating a Finding (PDS)
- 8 PDS Templates
- 9 Canceling a PDS
- 10 Reopening a PDS
- 11 Technical Feasibility Exceptions
- 12 Extending TFE Due Dates
- 13 Approving/Disapproving TFEs
- 14 Requests for Information (TFEs)
- 15 Terminating a TFE
- 16 Self-Certifications
- 17 Attestations (Self-Certifications)
- 18 Sending a Self-Certification
- 19 Terminating a Self-Certification
- 20 Reviewing a Self-Certification
- 21 Reopening a Self-Certification
- 22 Self-Certification Templates
- 23 Self-Certification Administration
- 24 List of Email Notifications



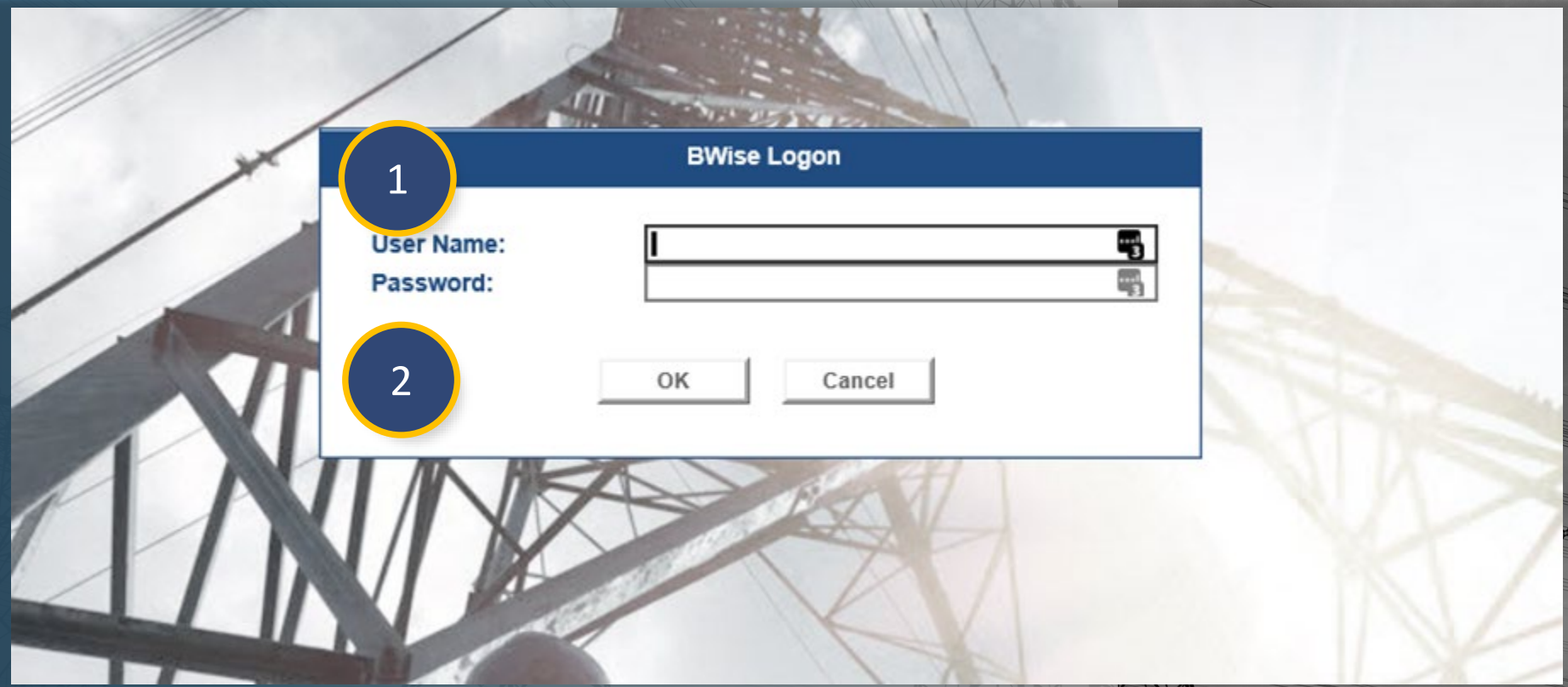
This email icon indicates when an email notification will be sent to a Registered Entity

Accessing Align

From the *Align Log-in Page*

1 Enter the **Align Username**

2 Enter the **Align Password**





Create a PDS Distribution

To create a PDS Distribution navigate to the **Periodic Data Submittal** view:

- 1 Click the **Dropdown Arrow**
- 2 Click the **Periodic Data Submittal** view
- 3 Click the **Create FAC-003 Distribution** or **Create PRC-023-4 R5** tab

1

2

3

PERIODIC DATA SUBMITTAL - BULK DISTRIBUTIONS IN DRAFT

DISTRIBUTION ID	TYPE	FUNCTIONS	REPORT PERIOD	SCHEDULED VISIBILITY DATE	SCHEDULED START DATE	SCHEDULED DUE DATE	SHORT NAME	DESCRIPTION
DP2021-00332	FAC-003-4	GO, TO	05/01/2021 - 05/12/2021	05/20/2021	05/21/2021	05/31/2021	Jeff Test Gamma	
DP2021-00331	PRC-023-4 R5	DP, GO, TO	05/01/2021 - 05/12/2021	05/20/2021	05/21/2021	05/31/2021	Jeff Test Beta	tewt
DP2021-00330	FAC-003-4	GO, TO	05/13/2021 - 05/18/2021	05/20/2021	05/20/2021	05/25/2021	Jeff Test Alpha	
DP2021-00277	FAC-003-4	GO, TO	04/26/2021 - 04/30/2021	05/04/2021	05/04/2021	05/28/2021	5/4 DC TEST	
DP2021-00275	PRC-023-4 R5	DP, GO, TO	04/26/2021 - 04/30/2021	05/04/2021	05/04/2021	05/28/2021	5/4 TEST - 10534 (PRC-023-4 R5)	
DP2021-00274	FAC-003-4	GO, TO	04/26/2021 - 04/30/2021	05/04/2021	05/04/2021	05/28/2021	5/4 TEST - 10534 (FAC-003-4)	
DP2021-00255	FAC-003-4	GO, TO	-	-	-	-	dc test	
DP2021-00251	PRC-023-4 R5	DP, GO, TO	01/01/2021 - 01/31/2021	04/23/2021	04/23/2021	04/28/2021	4/23 DC TEST 10443	test default selection
DP2021-00238	FAC-003-4	GO, TO	04/01/2021 -	04/19/2021	04/19/2021	04/23/2021	TEST 20210419 10242	TESTING QUIT 10242

INSTRUCTIONS

Bulk Distributions are criteria that are used to generate Periodic Data Submittals in bulk. At the top, you can create a FAC-003-4 Distribution, or a PRC-023-4 R5 Distribution.

Previously created Distributions still in draft are shown above.



Create a PDS Distribution

- 4 Enter a custom title for this PDS in the **Short Name** field
- 5 Enter the following dates into the next 3 fields:

Visibility Date: The date the entity can see the PDS

Start Date: The date the entity can begin editing the PDS

Due Date: The date the PDS must be submitted back to the CEA



Create a PDS Distribution

6 Select the **Monitoring Period Start** and **Monitoring Period End** dates to define the time period that you want entities to submit data for

7 Click the **Update** button

Notice: The PDS will now appear in the Bulk Distributions in Draft section

Create Periodic Data Submittal Distribution

General

Short Name *

Visibility Date *

Start Date *

Due Date *

Compliance Enforcement Authority

Monitoring Period Start *

Monitoring Period End *

Action

Instructions Please click "Update" to save your Distribution. The Distribution will be saved as a draft and can be accessed once you refresh the dashboard.

7



Create a PDS Distribution

- 8 Locate the draft you just created and click the **Distribution ID** to open the PDS
- 9 In the **Function Selection** section verify the reliability functions are correct
- 10 If you wish to add or remove a reliability function, click the **hyperlink**

Periodic Data Submittals
Align for Regions

Create Distribution
Scheduled PDS
Active PDS
PDS in Review
Completed PDS
Processed Distributions
ARE PDS

Create FAC-003 Distribution
Create PRC-023-4 R5 Distribution

PERIODIC DATA SUBMITTAL - BULK DISTRIBUTIONS IN DRAFT

DISTRIBUTION ID	REPORTING SCHEDULE
<input type="checkbox"/> DP2021-00334	SCHEDULED
<input type="checkbox"/> DP2021-00332	SCHEDULED
<input type="checkbox"/> DP2021-00331	SCHEDULED
<input type="checkbox"/> DP2021-00330	SCHEDULED
<input type="checkbox"/> DP2021-00277	SCHEDULED
<input type="checkbox"/> DP2021-00275	SCHEDULED
<input type="checkbox"/> DP2021-00274	SCHEDULED
<input type="checkbox"/> DP2021-00255	SCHEDULED
<input type="checkbox"/> DP2021-00251	SCHEDULED

INSTRUCTIONS

Bulk Distributions are criteria that are u

Previously created Distributions still in

Test 5-21

Compliance Enforcement Authority: MRO

Registered Entity Selection

REGION	NCR	REGISTRATION	PCC	CO GROUP
This table is empty				

[+ Click here to Retrieve Applicable Registrations](#)

Function Selection

Reliability Functions: GO; TO

[Click here to add or remove Functions](#)

Update Close



Create a PDS Distribution (Function Selection)

To add a reliability function:

- 1 Click the **link icon**
- 2 Check the **box** next to the reliability function you wish to add
- 3 Click **Confirm**
- 4 Click **Update**

Notice: Align has saved your action but will not reflect the changes you just made until you click Update on the PDS form

The screenshot shows the 'PDS Function Selection' interface. It includes a 'Function Selection' table with columns for 'NAME' and 'TO'. Below the table is a 'Relate Existing' dialog box with a 'SELECT FUNCTIONS' section containing a table with 'FUNCTION' and checkboxes. The 'GO' and 'TO' functions are selected. At the bottom of the dialog are 'Confirm' and 'Close' buttons. The main interface also has an 'Update' button and a 'Click here to add or remove Functions' link.



Create a PDS Distribution (Function Selection)

To remove a reliability function:

- 1 Check the **box** of the reliability function you wish to remove
- 2 Click the **unlink icon**
- 3 Click **Update**

Notice: Align has saved your action but will not reflect the changes you just made until you click Update on the PDS form

The screenshot shows the 'PDS Function Selection' dialog box. It contains a table with the following data:

REGION	FUNCTION	CO GROUP
	GO	
	TO	

Annotations in the screenshot:

- 1: Points to the checked checkbox in the 'GO' row.
- 2: Points to the unlink icon in the 'GO' row.
- 3: Points to the 'Update' button at the bottom of the dialog.



Create a PDS Distribution (RE Selection)

To add registrations to the PDS:

- 1 Click the top **hyperlink** to load all registrations associated with the functions you chose
- 2 You can add or remove registrations by clicking the new **hyperlink** that appears
- 3 Click the **link icon**
- 4 Check the **box** next to the registered entities you wish to add to this PDS
- 5 Click **Confirm**
- 6 Click **Update**

Notice: There are two different links stacked on top of each other here (a). Click the bottom link to add registrations individually rather than by function.

The screenshot shows a web interface for 'Test EM 6-22' with a 'Registered Entity Selection' table. A 'Relate Existing' dialog box is open, showing a list of registrations. A 'PDS Registration Selection' dialog box is also open, showing an empty table. Numbered callouts 1-6 and a letter 'A' point to specific elements in the interface.

REGION	NCR	ENTITY NAME	PCC

REGION	NCR	REGISTRATI...	PCC	CO GROUP
This table is empty				



Create a PDS Distribution (RE Selection)

To remove a registered entity from the PDS:

- 1 In the Registered Entity Selection section, click the **hyperlink**
- 2 Check the **box** next to the Registered entity you wish to remove
- 3 Click the **unlink icon**
- 4 Click **Yes**
- 5 Click **Update**

Notice: Align has saved your action but will not reflect the changes you just made until you click Update on the PDS form

The screenshot shows a PDS form titled "Test 5-21" with fields for Start Date (05/21/2021), Due Date (07/21/2021), and Monitoring Period Start (02/01/2021). The Compliance Enforcement Authority is "MRO". The Registered Entity Selection table is as follows:

REGION	
NCR	
MRO	NCR9999999

Below the table is a link: "Click here to add or remove Registrations". A dialog box titled "PDS Registration Selection" is open, showing "UNRELATE ELEMENTS" and a confirmation question: "Do you want to unrelate the selected element?". The "MRO" entry is selected in the dialog, and the "Yes" button is highlighted. The "Update" button on the main form is also highlighted.



Create a PDS Distribution (Attestation Reaffirmation)

To reaffirm an attestation:

- 1 In the **Bulk Reaffirmation** section, click the **tab**
- 2 Click the **link icon**
- 3 Check the **box** next to the attestation you wish to have reaffirmed
- 4 Click **Confirm**

The screenshot shows the 'Create Attestation Reaffirmation Request' interface. It includes a 'Select Attestations to be Reaffirmed by entities' table and a 'Relate Existing' modal window.

ATTESTATION ID	NAME	REGISTRATION	STANDARD	REQUIREMENT	PART
<input type="checkbox"/>					

ACTIVE ATTESTATIONS						
ATTESTATION ID	REGISTRATION	ATTESTATION SCOPE	EFFECTIVE DATE	RENEWAL DATE	ACTIVE/INACTIVE	
<input checked="" type="checkbox"/> AE / 281041	NCR01020 - Northern States Power (Xcel Energy) in MRO	TPL-001-4	04/06/2021	10/12/2021	Active	
<input type="checkbox"/> AE-281033	NCR00961 - Alliant Energy - East in MRO	FAC-003-4	03/23/2021	10/19/2021	Active	
<input type="checkbox"/> AE / 281049	NCR00961 - Alliant Energy - East in MRO	FAC-008-3 R6	04/19/2021	10/19/2021	Active	



Create a PDS Distribution (Attestation Reaffirmation)

- 5 Select the **Reaffirm Renewal Date**
- 6 Type any notes to the Registered Entity in the **textbox**
- 7 Select **Submit** from the dropdown
- 8 Click **Update**

Create Attestation Reaffirmation Request
✕

<input type="checkbox"/>	AE / 281041	AE / 281041	NCR01020 - Northern States Power (Xcel Energy) in MRO	TPL-001-4
--------------------------	-------------	-------------	---	-----------

Reaffirmation Date 5

Reaffirm Renewal Date

May 2021

Su	Mo	Tu	We	Th	Fr	Sa
25	26	27	28	29	30	1
2	3	4	5	6	7	8
9	10	11	12	13	14	15
16	17	18	19	20	21	22
23	24	25	26	27	28	29
30	31	1	2	3	4	5

Action

Instructions: Please select whether you want to submit a reaffirmation request to the Regional Entity.

Reaffirmation Request Comment

Action 6

Submit

-- None --

Submit 7

No Action

FORM #1_CEA_Create_ReaffirmationRequest

8 Update
 Close

Home |
 Previous Page |
 Next Page



Create a PDS Distribution (Sending the PDS)

- 1 Locate the **draft PDS** you wish to send in the Bulk Distributions in Draft Section
- 2 Click the **Distribution ID** to open the PDS
- 3 In the Action section, select **Submit** from the dropdown
- 4 Click **Update**

Notice: A record of the PDS will now appear in the Active PDS tab if the Visibility Date is the date you are submitting or the Scheduled PDS tab if the Visibility Date occurs in the future





Reviewing a PDS

- 1 Navigate to the **PDS in Review** section
- 2 Locate the PDS you wish to review and click the **Unique ID** to open the PDS
- 3 In the **Entity PDS Response** section, click the **hyperlink** to view the entity's responses
- 4 **Review** the entity's responses

The screenshot shows a multi-step process for reviewing a PDS. Step 1 points to the 'PDS in Review' filter in the top navigation bar. Step 2 points to a table of PDS entries with 'UNIQUE ID' and 'TYPE' columns. Step 3 points to the 'Entity PDS Response' section of a modal window, specifically to a table with columns 'PDS NAME', 'PDS TYPE', and 'RESPONSE DATE'. Step 4 points to a detailed question within the response modal, such as 'Question 1' regarding 'Transmission Vegetation Management'.



Reviewing a PDS (Completing a Review)

If you have completed your review and are ready to close the PDS:

- 5 Select the **CEA Response** from the dropdown
- 6 Type any **comments** in the textbox
- 7 In the **Submit PDS Review** section, select **Review Completed** from the dropdown
- 8 Click **Update**

Test 5-24 EM

Attachments [Attach file](#)

CEA Response

CEA Response 5

CEA Comment 6

-- None --

In review

Close with PNC

Close with no PNC

Submit PDS Review

Instructions Please select "Review Completed" Action option when you have finalized the review and click "Update"

Action 7

-- None --

Reopen

Review In Progress

Review Completed

8 Update



Reviewing a PDS (RFIs)

To send a Request for Information to an entity:

- 1 In the **Requests for Information** section click the **plus icon**
- 2 Type any **comments** in the textbox and add any **attachments**
- 3 Select the **Response Due By** date
- 4 Click **Update**

Notice: Clicking Update will send the Request for Information to the entity for their response. Their response will not appear on your My Align dashboard but will appear in the RFI section of the PDS

The screenshot shows a software interface for reviewing a PDS. The main window is titled 'Test 5-24 EM'. It contains sections for 'Findings', 'Request for Information', and 'Evidence'. A 'Request for Information' modal window is open, showing a form with the following fields and callouts:

- 1**: A plus icon (+) in the 'Request for Information' section.
- 2**: A text area for 'Requestor Comments'.
- 3**: A calendar icon for 'Response Due By' set to 06/23/2021.
- 4**: An 'Update' button at the bottom of the modal.

The 'Request for Information' modal also includes an 'Attach file' button and an 'Action' section with the text: 'Send Update will send this RFI to the Registered Entity.'



Reviewing a PDS (Extension Requests)

If an Entity submits an Extension Request, the notification will appear on your My Align dashboard. To approve/disapprove an extension request:

- 1 Locate the relevant RFE in the **Items Awaiting My Review** section
- 2 Click the **Unique ID** to open the RFE
- 3 Select **Approved** or **Disapproved** from the dropdown

If you selected **Approved**:

- 4 Select the **New Due Date** for the PDS
- 5 Type any **comments** in the textbox
- 6 Click **Update**

The screenshot shows the 'My Align' dashboard with a table titled 'ITEMS AWAITING MY REVIEW'. The table has columns for TYPE, UNIQUE ID, and STANDARD REQUIREMENT. The first row is highlighted with a blue circle '1'. The 'Unique ID' 'Test 5-21 RFE-000122' is clicked, opening a 'Request for Extension' form. In the form, the 'Status' dropdown is set to 'Approved' with a blue circle '3'. The 'New Due Date' is set to '07/13/2021' with a blue circle '4'. A calendar widget is open below the date field with a blue circle '4' on the date '13'. The 'Approval Decision Comment' field contains the text 'test' with a blue circle '5'. At the bottom of the form, the 'Update' button is highlighted with a blue circle '6'.

TYPE	UNIQUE ID	STANDARD REQUIREMENT
RFE for PDS	Test 5-21 RFE-000122	Standard is Scope of PI
RFE for PDS	Test 5-21 RFE-000121	Standard is Scope of PI
RFE for PDS	RFE Test EM 5-24 RFE-000123	Standard is Scope of PI
Attestations to review	AE-281034	
Attestations to review	AE / 281058	CIP-002-5
Finding Update	2020-00701	PER-005-2
Finding Update	2020-00701	PER-005-2
Finding Update	2020-00668	CIP-003-7
RFI Response for Mitigation	2020-00488	CIP-002-5
RFI Response for PNC	2020-00485	CIP-002-5
Dismissal Letter Response	2020-00485	CIP-002-5
RFI Response for PNC	2020-00483	CIP-006-6





Reviewing a PDS (Creating a Finding)

To create a Finding within the PDS form:

- 1 Navigate to the **PDS In Review** tab
- 2 Click the **Unique ID** of the PDS you wish to create a finding for
- 3 Click to expand the **Findings** section
- 4 Locate the relevant requirement and click the **plus icon**

The screenshot shows the 'Periodic Data Submittals' interface. At the top, there are tabs for 'Create Distribution', 'Scheduled PDS', 'Active PDS', 'PDS in Review', 'Completed PDS', 'Processed Distributions', and 'ARE PDS'. The 'PDS in Review' tab is selected and highlighted with a yellow circle labeled '1'. Below the tabs, there is a list of PDS entries with 'UNIQUE ID' and 'PDS / 001093'. The entry 'PDS2021-001845' is selected and highlighted with a yellow circle labeled '2'. To the right of this list, the 'Findings' section is expanded, indicated by a yellow circle labeled '3'. Within the 'Findings' section, there is a table with columns for 'REGISTRATION', 'REQUIREMENT', 'CREATE FINDING', and 'RELATED FINDINGS'. A plus icon in the 'CREATE FINDING' column is highlighted with a yellow circle labeled '4'. Below the table, there are sections for 'Request for Extension' and 'Requests for Information', each with a plus icon and a refresh icon.



Reviewing a PDS (Creating a Finding)

- 5 Fill out the **Create a Finding** form
- 6 Type any comments in the **textbox**
- 7 Click **Save**

Notice: The Finding just created will appear in the Findings section of the PDS but the CEA will need to submit it from the Findings tab in ALIGN.

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.

Created By CEA	Yes
Monitoring Method	Periodic Data Submittal

General Information

Registration	NCR9999999 - Second Game Day Friday Entity in MRO
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Additional Comments

Please provide any additional comments

Entity in Coordinated Oversight	No		which the Potential Noncompliance occurred
Applicable Requirement	FAC-003-4 R1.		Other Region – Jurisdiction(s) where you are reporting this Potential Noncompliance
Applicable Part(s)	<div style="border: 1px solid #ccc; padding: 2px;"> FAC-003-4 R1.1. ✕ FAC-003-4 R1.2. ✕ </div> <div style="border: 1px solid #ccc; padding: 2px;"> FAC-003-4 R1.3. ✕ FAC-003-4 R1.4. ✕ </div>		<div style="border: 1px solid #ccc; height: 20px; width: 100%;"></div>
Applicable Reliability Function(s)	<div style="border: 1px solid #ccc; padding: 2px;"> TO ✕ GO ✕ </div>		

7

Save
Close



Reviewing a PDS (Creating a Finding)

To submit a Finding:

- 8 Navigate to the **Findings** view
- 9 In the **Draft Findings** section, click the **Unique ID** of the Finding to open it
- 10 In the **Action** section, select **Submit** from the **dropdown**
- 11 Click **Save and Action**

The screenshot shows the 'Findings' application interface. At the top, there's a navigation menu with 'Findings' highlighted. Below it is a 'DRAFT FINDINGS' table with columns for Monitoring Method, Unique ID, NCR, and Entity. The table contains several rows, with the row for '2021-00118' circled in blue with a yellow '9' callout. To the right, a detailed view of finding '2021-00118' is shown. This view includes sections for 'Please provide any additional comments', 'Evidence', and 'Action'. The 'Action' section has a dropdown menu with 'Submit' selected, circled in blue with a yellow '10' callout. At the bottom of the form, there are buttons for 'Save and Action', 'Save', and 'Close', with 'Save and Action' circled in blue with a yellow '11' callout. A callout '8' points to the 'Findings' menu item at the top left.

MONITORING METHOD	UNIQUE ID	NCR	ENTITY
Self-Report	2020-00045	NCR00961	Alliant Energy - East
Self-Report	2020-00046	NCR00961	Alliant Energy - East
Self-Report	2021-00048	NCR00961	Minnesota Power (Allele, Inc.)
Self-Certification	2021-00118	NCR00961	Second Game Day Friday Entity
Self-Certification	2021-00059	NCR00961	Alliant Energy - East
Periodic Data Submittal	2021-00107	NCR9999999	Second Game Day Friday Entity
Periodic Data	2021-00108	NCR9999999	Second Game Day Friday Entity



Create a PDS Distribution (Creating a template PDS)

- 1 From the Periodic Data Submittals View, navigate to the **Processed Distributions** tab
- 2 Click the **plus icon** next to the PDS distribution you wish to use as a template
- 3 Type the **Short Name** and update any **Dates**
- 4 Click **Update**

Notice: The draft PDS you just created will now appear under the Create Distribution tab in the Bulk Distributions in Draft section

The screenshot illustrates the software interface for creating a PDS distribution. It shows a list of periodic data submittals with a table containing columns for 'DISTRIBUTION ID' and 'TYPE'. A plus icon is highlighted next to the entry 'DP2021-00349'. A modal window titled 'Create Periodic Data Submittal Distribution' is open, showing a 'General' tab with the following fields: PDS Type (FAC-003-4), Short Name (empty), Visibility Date (05/24/2021), Start Date (05/24/2021), Due Date (07/21/2021), Monitoring Period Start (02/01/2021), Monitoring Period End (02/28/2021), Description (test), and Compliance Enforcement Authority (MRO). At the bottom of the modal, there is a section for 'Previously Selected Function(s) and Registration(s)' with a registration entry 'NCR9999999 - Second Game Day Friday Entity in MRO'. The 'Update' button is highlighted in green.



Create a PDS Distribution (Creating a template PDS)

To mark a particular distribution as a favorite:

- 1 From the Periodic Data Submittals View, navigate to the **Processed Distributions** tab
- 2 Click the **Distribution ID** of the PDS distribution you wish to mark as a favorite
- 3 Click the **checkbox**
- 4 Click **Update**

Notice: The PDS will now have a ribbon icon displayed next to it and appear at the top of the Processed Distributions list

1 From the Periodic Data Submittals View, navigate to the **Processed Distributions** tab

2 Click the **Distribution ID** of the PDS distribution you wish to mark as a favorite

3 Click the **checkbox**

4 Click **Update**

PERIODIC DATA SUBMITTALS

Test 5-24 EM

General

Distribution ID: DP2021-00344 PDS Type: FAC-003-4

Name: Test 5-24 EM

Visibility Date: May 24, 2021

Start Date: May 24, 2021 Monitoring Period Start: April 1, 2021

Due Date: May 31, 2021 Monitoring Period End: April 30, 2021

Description: test

CEA: MRO

Mark as Favorite/Template:

PERIODIC DATA SUBMITTAL - PROCESSED BULK DISTRIBUTIONS

DISTRIBUTION ID	TYPE	FUNCTIONS	REPORTING PERIOD
+ PDSR / 000134	FAC-003-4		02/01/2021 - 03/26/2021

SELECTED REGISTRATIONS

NCR9999999 - Second Game Day Friday

Update Close



Create a PDS Distribution (Canceling a PDS)

To cancel a PDS request that was previously scheduled or sent to an entity:

- 1 Navigate to the **Active PDS tab** or the **Scheduled PDS tab**
- 2 Click the **Unique ID** to open the PDS
- 3 Click **Edit**

Notice: You only need to click edit if the PDS you are trying to cancel is located in the Active PDS tab. Distributions located in the Scheduled PDS tab can be immediately edited.

The screenshot shows the 'Periodic Data Submittals' interface. The 'Active PDS' tab is selected and circled with a '1'. A table of PDS requests is visible, with the 'Unique ID' of 'PDS2021-002118' circled with a '2'. A modal window titled 'Test 5-28 EM' is open, showing 'PDS Details' and 'PDS Content'. The 'Edit' button at the bottom of the modal is circled with a '3'.

UNIQUE ID	TYPE
PDS2021-001678	FA
PDS2021-001840	FA
PDS2021-001844	PE
PDS2021-001849	FA
PDS2021-002118	FA
PDS2021-001676	FA
PDS2021-001697	FA
PDS2021-001819	FA
PDS2021-001655	FA

Test 5-28 EM

PDS Details

PDS Name	Test 5-28 EM	Type of PDS	FAC-003-4
PDS ID	PDS2021-002118	Monitoring Period Start	February 1, 2021
Registration	NCR9999999 - Second Game Day Friday Entity in MRO	Monitoring Period End	February 28, 2021
CEA	MRO	Function	GO; TO
Start Date	June 4, 2021	Due Date	July 5, 2021
Applicable Standard/Requirement/Part	FAC-003-4		
Description of PDS Request	test		

PDS Content

INSTRUCTIONS

PDS RESPONSE BY ENTITY		
PDS NAME	PDS TYPE	RESPONSE DATE

Edit Close



Create a PDS Distribution (Canceling a PDS)

- 4 Scroll to the **Action section**
- 5 Click the **Action bar** to expand it
- 6 Select **Cancel** from the dropdown
- 7 Click **Update**

Test 5-
Test 5-28 EM

Request for Extension

Evidence

Secure Evidence Locker Instructions: Submit Evidence or Attachments related to this Periodic Data Submittal via [ERO Secure Evidence Locker \(SEL\)](#) with the following reference number: **MRO|NCR9999999|VITest 5-28 EM|VITest 5-28 EM|FAC-003-4|**
If the entity is hosting its own SEL, please provide a hyperlink to their locker in the comment section above.

Region Attachments

Attachments [Attach file](#)

5 **Action (Optional - Click to Expand)**

As CEA you can cancel this Periodic Data Submittal by selecting "Cancel" from the action list option below and click "Update"

Action: **6**

- Cancel
- None --
- Cancel
- No Action

4 Attachments [Attach](#)

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



Reviewing a PDS (Reopening a PDS)

To reopen a completed PDS:

- 1 Navigate to the **Completed PDS tab**
- 2 Click the **Unique ID** to open the PDS
- 3 Scroll to the **Action Section**

The screenshot shows the 'Periodic Data Submittals' interface. At the top, there is a navigation bar with a dropdown menu set to 'Periodic Data Submittals'. Below this is a row of tabs: 'Create Distribution', 'Scheduled PDS', 'Active PDS', 'PDS in Review', 'Completed PDS', 'Processed Distributions', and 'ARE PDS'. The 'Completed PDS' tab is selected and highlighted with a yellow circle containing the number '1'. Below the tabs is a table titled 'COMPLETED AND CANCELLED PDS REQUESTS'. The table has a header row with 'UNIQUE ID' and 'Test 5-21'. The table body is empty, with the text 'This table is empty' displayed. Below the table is a section titled 'CEA Response' with a sub-section 'CEA Response' containing the text 'In review' and a 'CEA Comment' field. Below this is a section titled 'Evidence' with a sub-section 'Secure Evidence Locker Instructions' containing the text 'Submit Evidence or Attachments related to this Periodic Data Submittal via ERO Secure Evidence Locker (SEL) with the following reference number: MRO|NCR9999999|VITest 5-21|VITest 5-21|FAC-003-4|' and 'If the entity is hosting its own SEL, please provide a hyperlink to their locker in the comment section above.' Below this is a section titled 'Region Attachments' with a sub-section 'Attachments' containing an 'Attach file' button. At the bottom of the interface is an 'Action (Optional - Click to Expand)' section with 'Update' and 'Close' buttons. A yellow circle containing the number '3' is placed over the 'Action' section. A yellow circle containing the number '2' is placed over the 'UNIQUE ID' column header in the table.



Reviewing a PDS (Reopening a PDS)

- 4 Click the **Action bar** to expand it
- 5 Select **Reopen** from the dropdown
- 6 Click **Update**

Notice: The PDS will now appear in your PDS In Review tab and the entity's PDS Submittals tab. The entity will not be able to edit the PDS.

Test 5-21
✕

CEA Response	In review
CEA Comment	
Evidence	
Secure Evidence Locker Instructions	Submit Evidence or Attachments related to this Periodic Data Submittal via ERO Secure Evidence Locker (SEL) with the following reference number: MRO NCR9999999 VITest 5-21 VITest 5-21 FAC-003-4 If the entity is hosting its own SEL, please provide a hyperlink to their locker in the comment section above.
Region Attachments	
Attachments	Attach file
4	Action (Optional - Click to Expand)
Instructions	As CEA you can reopen this Periodic Data Submittal by selecting "Reopen" from the action list option below and click "Update"
Action	<div style="border: 1px solid #ccc; padding: 5px; display: flex; align-items: center;"> <input style="width: 80%;" type="text" value="Reopen"/> ▾ </div> <ul style="list-style-type: none"> Reopen -- None -- No Action <li style="background-color: #e0f2f1;">Reopen
6	Update



Reviewing a PDS (Reopening a PDS)

To give the entity edit access of the PDS form after reopening:

- 7 Navigate to the **PDS In Review** tab
- 8 Locate the PDS you previously reopened and click the **Unique ID** to open the PDS
- 9 In the **Submit PDS Review** section, Select **Reopen** from the dropdown
- 10 Click **Update**

Notice: The PDS will now appear on your Active PDS tab

The screenshot shows the 'Periodic Data Submittals' interface. The 'PDS in Review' tab is selected and circled with a '7'. A table lists PDS entries with 'Unique ID' highlighted in blue and circled with an '8'. A modal window for 'Test 5-21' is open, showing 'Region Attachments', 'CEA Response' (set to 'In review'), and a 'Submit PDS Review' section. In this section, the 'Action' dropdown is set to 'Reopen' and circled with a '9'. A green 'Update' button is circled with a '10'.



Technical Feasibility Exceptions

To navigate to the **Technical Feasibility Exception** view:

- 1 Click the **dropdown arrow**
- 2 Select the **Technical Feasibility Exception View**

My Align

- Self Cert Administration
- PNC Processing
- Enforcement Processing
- Mitigation Management
- CMEP Activity Search
- Entity Information
- Technical Feasibility Exception
- Attestations
- Report Management
- Reports

Technical Feasibility Exception

TFEs Awaiting Review | Approved TFEs | Inactive TFEs | Disapproved TFEs | ARE TFEs

TFES AND MCRS AWAITING YOUR REVIEW

	TYPE	UNIQUE ID	NCR	ENTITY NAME
➔	MCR	2021-MRO-TFE-000268-2	1	NCR9999999 Second Game Day Friday Entity
	TFE	2021-MRO-TFE-000270-0		NCR9999999 Second Game Day Friday Entity
	TFE	2021-MRO-TFE-000273-0		NCR9999999 Second Game Day Friday Entity
	TFE	2021-MRO-TFE-000274-0	1 2 1	NCR9999999 Second Game Day Friday Entity
	TFE	2021-MRO-TFE-000099-0		NCR01143 Southwest Power Pool, Inc.
	TFE	2021-MRO-TFE-000244-0	1 1	NCR01143 Southwest Power Pool, Inc.
	TFE	2021-MRO-TFE-000228-0	1	NCR01143 Southwest Power Pool, Inc.
	TFE	2021-MRO-TFE-000223-0		NCR01060 Arkansas Electric Cooperative Corporation
	TFE	2021-MRO-TFE-000205-0	1 1	NCR01020 Northern States Power (Xcel Energy)



Technical Feasibility Exceptions (Extending Due Date)

To extend the due date of a **Technical Feasibility Exception**:

- 1 Click the **Unique ID** of the TFE
- 2 In the **Review Conclusion** section, select a new **Review Due Date**
- 3 Select **In Review** from the **dropdown**
- 4 Type any **comments** in the textbox
- 5 Click **Update**

Notice: Comments made in this textbox will not be visible to the entity until the TFE is approved/disapproved

The screenshot shows the 'Technical Feasibility Exception' review interface. On the left, a table lists TFEs with their Unique IDs. Callout 1 points to the Unique ID '2021-MRO-TFE-000270-0'. Callout 2 points to the 'Review Conclusion' section where the 'Region Review Due Date' is set to 'July 12, 2021'. Callout 3 points to a dropdown menu for 'CEA Review Action' with 'In review' selected. Callout 4 points to the 'CEA Review Comment' text area. Callout 5 points to the 'Update' button at the bottom. A calendar widget for June 2021 is also visible, with the 3rd of June highlighted.





Technical Feasibility Exceptions (Approve/Disapprove)

To approve or disapprove a **Technical Feasibility Exception**:

- 1 Click the **Unique ID** of the TFE
- 2 In the **Review Conclusion** section, select **Approved** or **Disapproved** from the dropdown
- 3 Select an **Effective Date**
- 4 Click **Update**

Notice: The TFE will appear in the Approved TFEs or Disapproved TFEs tab

The screenshot displays the 'Technical Feasibility Exception' review process. On the left, a table lists TFEs with their Unique IDs. The main area shows the details for TFE-000270. The 'Evidence' section contains SEL References and a comment. The 'Review Conclusion' section shows the 'Region Review Due Date' as July 12, 2021, and the 'CEA Review Action' set to 'Approved'. A dropdown menu is open for the 'CEA Review Action', and a calendar is open for the 'Effective Date', with June 3, 2021, selected. The 'Update' button is highlighted at the bottom.





Technical Feasibility Exceptions (Issuing RFIs)

To issue a Request for Information within a **Technical Feasibility Exception**:

- 1 Click the **Unique ID** of the TFE
- 2 In the **Requests for Information** section, click the **+ icon**
- 3 Type any **comments**
- 4 Attach any **files**
- 5 Select a **Response Due By Date**
- 6 Click **Update**
- 7 Click **Update** to send the RFI

The screenshot displays the 'Technical Feasibility Exception' management interface. At the top, there are navigation tabs for 'TFEs Awaiting Review', 'Approved TFEs', 'Inactive TFEs', 'Disapproved TFEs', and 'ARE TFEs'. The main content area is titled 'TFES AND MCRS AWAITING YOUR REVIEW' and contains a table with columns for 'TYPE', 'UNIQUE ID', 'MCR', and 'ENTITY NAME'. A list of TFEs is shown, with the first one selected. A modal window titled 'TFE-000270' is open, showing details for a specific TFE, including the 'CIP Sr Manager or Delegate' (Jeffrey Shade) and the 'Authorization date' (May 12, 2021). Below this, there is a section for 'Requests for Information' with a '+ icon' to add a new RFI. A second modal window titled 'Request for Information' is open, showing a form for entering 'Requestor Comments', 'Requestor Attachments', and 'Response Due By' (07/03/2021). A calendar is visible, showing the date July 2, 2021, selected. At the bottom of the RFI modal, there is an 'Update' button. A third modal window titled 'Request for Information' is also visible, showing a form for entering 'Requestor Comments', 'Requestor Attachments', and 'Response Due By' (07/03/2021). A calendar is visible, showing the date July 2, 2021, selected. At the bottom of the RFI modal, there is an 'Update' button.



Technical Feasibility Exceptions (Approving RFIs)

To approve/disapprove a Request for Information within a **Technical Feasibility Exception**:

- 1 Click the **Unique ID** of the TFE
- 2 In the **Requests for Information** section, click the **RFI ID**
- 3 In the **Action** section, select **Complete** or **Incomplete** from the **dropdown**
- 4 Click **Save and Action**

The screenshot displays the 'Technical Feasibility Exception' system interface. It includes a table of 'TFES AND MCRS AWAITING YOUR REVIEW' with columns for TYPE and UNIQUE ID. A detailed view of TFE-000270 is shown, including 'Assertions' and 'Requests for Information'. A 'Request for Information' form for RFI-000359 is also visible, showing fields for 'Original Finding', 'Requestor', 'Requester Comments', 'Request Sent On', 'Response Due By', and 'Evidence and Attachments'. The 'Action' section at the bottom of the RFI form has a dropdown menu with options: 'Complete', '-- None --', 'Complete', and 'Incomplete'. The 'Save and Action' button is highlighted.



Technical Feasibility Exceptions (Terminating a TFE)

To terminate a TFE in Align:

- 1 Navigate to the **Approved TFEs** section
- 2 Click the **Unique ID** of the TFE you wish to terminate
- 3 In the **Action** section, select **Terminate** from the dropdown
- 4 Click the **Update** button

Notice: A record of this TFE will now appear in the **Inactive TFEs Section**

The screenshot shows the 'Technical Feasibility Exception' section in the Align system. The 'APPROVED TFEs' table lists several TFEs with their unique IDs. The detailed view for TFE-000268 shows its revision history and an 'Action' dropdown menu. The 'Action' dropdown is open, showing 'Terminate' as the selected option. The 'Update' button is highlighted in green.

TYPE	UNIQUE ID
TFE	2021-MRO-TFE-000211-0
TFE	2021-MRO-TFE-000219-0
TFE	2021-MRO-TFE-000225-4
TFE	2021-MRO-TFE-000237-0
TFE	2021-MRO-TFE-000268-0

TFE ID	TFE START DATE	TFE END DATE
XXXX-MRO-TFE-000268-3		
2021-MRO-TFE-000268-2		
2021-MRO-TFE-000268-1		





Self-Certifications

To navigate to the **Self Certifications** view:

- 1 Click the **dropdown arrow**
- 2 Select the **Self Certifications** View

My Align

- My Align
- Findings
- Periodic Data Submittals
- Self Certifications
- Self Cert Administration
- PNC Processing
- Enforcement Processing
- Mitigation Management
- CMEP Activity Search
- Entity Information

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 in the **PNC Processing** section, you can screen and review Potential Noncompliances. In the **Enforcement Processing** section, you can dismiss or process Enforcement in **Management** section, you can review, approve, and verify Mitigating Activities and Mitigation Plans. The **CMEP Activity Search** provides other ways to view and find 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



Creating a Self-Certification Distribution (4 ways)

There are 4 ways to create a Self-Certification Distribution:

Create Entity Distribution (A) allows you to pre-select the applicable Registered Entities for the Self-Certification

Create Function Distribution (B) allows you to pre-select the Functions applicable to the Self-Certification

Create Requirement Distribution (C) allows you to pre-select the applicable Requirements for the Self-Certification

General Self-Certification (D) does not pre-select entities, functions, or requirements but creates the most basic version of a Self-Certification

The screenshot shows the 'Self Certifications' interface. At the top, there are tabs for 'Create Distribution', 'Scheduled Self-Certs', 'Active Self-Certs', 'Self-Certs in Review', 'Completed Self-Certs', 'Processed Distributions', and 'ARE Self-Certs'. Below these are three buttons: 'CREATE ENTITY DISTRIBUTION' (labeled A), 'CREATE FUNCTION DISTRIBUTION' (labeled B), and 'CREATE REQ DISTRIBUTION' (labeled C). A fourth button, 'General Self-Certification' (labeled D), is located on the left side of the table. The table is titled 'SELF-CERTIFICATION - BULK DISTRIBUTIONS IN DRAFT' and contains the following data:

REQUEST ID	REQUEST NAME	FUNCTIONS	STANDARD AND REQUIREMENT	START/DUE DATE	MONITORING PERIOD	CREATED BY
<input type="checkbox"/> DS2021-000288	dc test wecc - ncr05392	DP, GO, GOP, TO, TOP	CIP-002-5.1a R1.			Dan Chanda
<input type="checkbox"/> DS2021-000287	dc test2					Dan Chanda
<input type="checkbox"/> DS2021-000286	dc test					Dan Chanda
<input type="checkbox"/> DS2021-000277	Defect testing 5/25/2021		CIP-002-5.1a R1., CIP-002-5.1a R2.	25 May 2021 25 Jun 2021	05/03/2021 - 05/22/2021	MRO Editor 1
<input type="checkbox"/> DS2021-000270	EM Test 2	TO	FAC-003-4 R1.	19 May 2021 09 Jun 2021	02/01/2021 - 02/28/2021	MRO Editor 1
<input type="checkbox"/> DS2021-000195	cvb 28-04	TOP	EOP-010-1 R3.	28 Apr 2021 23 May 2021	04/07/2021 - 05/31/2021	Caroline Van Bommel
<input type="checkbox"/> DS2021-000186	FAC-008 retest of Ready for UAT 10585	GO, GOP	FAC-008-3 R6., VAR-002-4.1 R6.	26 Apr 2021 26 May 2021	04/22/2020 - 04/22/2021	MRO Editor 4
<input type="checkbox"/> DS2021-000174	1904CVB Test1	DP-UFLS, TO		19 Apr 2021 27 May 2021	04/05/2021 - 04/30/2021	Caroline Van Bommel

At the bottom of the table, there is a pagination control showing 'Page 1 of 1' and an 'INSTRUCTIONS' section.



Creating a Self-Certification Distribution

To create a general Self Certification Distribution draft:

- 1 Click the **plus icon**
- 2 Enter a custom title for this Self Certification in the **Name** field
- 3 Enter the following dates into the next 3 fields:
 - Visibility Date:** The date the entity can see the PDS
 - Start Date:** The date the entity can begin editing the PDS
 - Due Date:** The date the PDS must be submitted back to the CEA



The screenshot shows the 'Self Certifications' application interface. At the top, there are navigation tabs: 'Create Distribution', 'Scheduled Self-Certs', 'Active Self-Certs', 'Self-Certs in Review', 'Completed Self-Certs', 'Processed Distributions', and 'ARE Self-Certs'. Below these are three buttons: 'CREATE ENTITY DISTRIBUTION', 'CREATE FUNCTION DISTRIBUTION', and 'CREATE REQ DISTRIBUTION'. The main area displays a table titled 'SELF-CERTIFICATION - BULK DISTRIBUTIONS IN DRAFT' with columns for 'REQUEST ID', 'REQUEST NAME', 'FUNCTIONS', 'STANDARD AND REQUIREMENT', 'START/DUE DATE', 'MONITORING PERIOD', and 'CREATED BY'. A 'Create Self Certification Distribution' dialog box is open, showing a 'General' section with fields for 'Name', 'Compliance Year' (set to 2020), 'Visibility Date', 'Start Date', 'Due Date', 'Monitoring Period Start', and 'Monitoring Period End'. There is also a text area for 'Instructions to entity' and a 'Compliance Enforcement Authority' field set to 'MRO'. Below this is a 'Point of Contact' section with 'FIRST NAME' and 'LAST NAME' fields. At the bottom of the dialog are 'Update' and 'Close' buttons.



Creating a Self-Certification Distribution

4 Select the **Monitoring Period Start** and **Monitoring Period End** dates to define the time period that you want entities to submit data for

If you wish to add a point of contact:

5 Click the **link icon**

6 Check the **checkbox**

7 Click **confirm**

8 Click the **Update button**

Notice: This Self-Certification will now appear as a draft in the Bulk Distributions in Draft section

The screenshot shows the 'Create Self Certification Distribution' form. The 'General' section includes fields for Name, Compliance Year (2020), Visibility Date, Start Date, and Due Date. The 'Monitoring Period Start' and 'Monitoring Period End' fields are highlighted with a yellow circle and the number 4. The 'Compliance Enforcement Authority' is set to 'MRO'. The 'Point of Contact' section has a 'FIRST NAME' field with a link icon highlighted by a yellow circle and the number 5. A 'Relate Existing' modal is open, showing a list of contacts. 'MRO Editor 1' is selected with a checked checkbox, highlighted by a yellow circle and the number 6. At the bottom of the modal, the 'Confirm' button is highlighted by a yellow circle and the number 7. At the bottom of the main form, the 'Update' button is highlighted by a yellow circle and the number 8.



Creating a Self-Certification Distribution (RE Selection)

To add Registered Entities to the distribution:

- 1 Click the **Request ID**
- 2 Navigate to the **Requirement, Function, and Entity Selection** tab
- 3 Click the **hyperlink**
- 4 Click the **link icon**
- 5 Check the **checkbox** to select the entities you wish to add
- 6 Click **Confirm**
- 7 Click the **Update button**

The screenshot shows the 'Self Certifications' application interface. At the top, there are tabs for 'Create Distribution', 'Scheduled Self-Certs', 'Active Self-Certs', 'Self-Certs in Review', 'Completed Self-Certs', 'Processed Distributions', and 'ARE Self-Certs'. Below these are three buttons: 'CREATE ENTITY DISTRIBUTION', 'CREATE FUNCTION DISTRIBUTION', and 'CREATE REQ DISTRIBUTION'. A table titled 'SELF-CERTIFICATION - BULK DISTRIBUTIONS IN DRAFT' lists request IDs and names. A modal window titled 'Test 6-4 EM' is open, showing a 'Requirement, Function, and Entity Selection' tab. Within this modal, a 'Relate Existing' sub-modal is open, displaying a list of registered entities with checkboxes. The 'MRO Editor 1' checkbox is checked. The 'Update' button is visible at the bottom of the 'Relate Existing' modal, and the 'Confirm' button is visible at the bottom of the main modal.



Creating a Self-Certification Distribution (Req. Selection)

To add a requirement to the distribution:

- 1 Navigate to the **Requirement, Function, and Entity Selection** tab
- 2 In the **Requirement Selection** section, click the **hyperlink**
- 3 Click the **link icon**
- 4 Check the **checkbox** to select the requirements you wish to add
- 5 Click **Confirm**
- 6 Click the **Update button**

The screenshot shows a multi-step process in a web application. The main window is titled 'Test 6-4 EM' and has a tab 'Requirement, Function, and Entity Selection'. Below this is a 'Requirement Selection' table with columns 'STD AND REQ' and 'TEXT'. A row is visible with 'FAC-003-4 R1.' and 'Each applicable Transmission O Vegetation Clearance Distance...'. A 'Relate Existing' dialog is open, showing a list of requirements with checkboxes. Two requirements are selected: 'FAC-003-4 R1.' and 'FAC-003-4 R2.'. A 'Self Cert Requirement Selection' dialog is also open, showing a 'Requirement Selection' table with columns 'REQ ID', 'REQ', and 'TEXT'. It lists 'STD AND ...' and 'FAC-003-4 R1.' and 'FAC-003-4 R2.'. The 'Update' button is highlighted in green. A 'Confirm' button is also visible at the bottom of the dialog.



Creating a Self-Certification Distribution (Function Selection)

To add a function to the distribution:

- 1 Navigate to the **Requirement, Function, and Entity Selection** tab
- 2 In the **Function Selection** section, click the **hyperlink**
- 3 Click the **link icon**
- 4 Check the **checkbox** to select the requirements you wish to add
- 5 Click **Confirm**
- 6 Click the **Update button**

The screenshot shows a multi-step process in a web application.

Step 1: The user is in the 'Requirement, Function, and Entity Selection' tab of a 'Test 6-4 EM' window.

Step 2: The user clicks a hyperlink in the 'Function Selection' section.

Step 3: A 'Relate Existing' dialog box opens, showing a table with 'FUNCTION' headers and 'GO' and 'TO' rows. A checkbox is checked next to 'GO'.

Step 4: The user checks the checkbox for the 'GO' function.

Step 5: The user clicks the 'Confirm' button in the dialog.

Step 6: The 'Self Cert Function Selection' dialog box opens, showing the selected 'GO' function. The user then clicks the 'Update' button.



Creating a Self-Certification Distribution (Attestations)

To request an entity to reaffirm an attestation within the Self-Certification Request:

- 1 Navigate to the **Attestations** tab
- 2 Click the **Bulk Reaffirmation** tab
- 3 Click the **link icon**
- 4 Check the **box** next to the attestation you wish to reaffirm
- 5 Click **Confirm**

The screenshot shows the 'Attestations' tab in the 'Test 6-4 EM' window. A modal titled 'Create Attestation Reaffirmation Request' is open, displaying a table of attestations to be reaffirmed. The table has columns for 'ATTESTATION ID', 'NAME', and 'REG'. A checkbox is checked next to the first row. Below the table, there is a 'Reaffirmation Renewal Date' field and an 'Action' section with an 'Update' button. A second modal titled 'Relate Existing' is open, showing a table of 'ACTIVE ATTESTATIONS' with columns for 'ATTESTATION ID', 'REGISTRATION', 'ATTESTATION SCOPE', 'EFFECTIVE DATE', and 'RE'. A checkbox is checked next to the first row. Below the table, there is a 'Confirm' button and a 'Close' button. The interface also includes a 'BULK REAFFIRMATION' tab and a 'link icon'.



Creating a Self-Certification Distribution (Attestations)

- 6 Select the **Reaffirm Renewal Date**
- 7 Type any notes to the Registered Entity in the **textbox**
- 8 Select **Submit** from the dropdown
- 9 Click **Update**

Create Attestation Reaffirmation Request
✕

Attestation Reaffirmation Request ID <Value will be generated>

Select Attestations to be Reaffirmed by entities

<input type="checkbox"/>	ATTESTATION ID	NAME	REGISTRATION	STANDARD	REQUIREMENT	PART
This table is empty						

Reaffirmation Renewal Date

Reaffirm Renewal Date

Action

Instructions To submit this attestation, the registered entity select "submit" from drop down and then click update.

Reaffirmation Request Comment

Action

Submit
 -- None --
 Submit
 No Action

Update
Close



Attestation Reaffirmation Approval (Self-Certifications)

To review attestations sent by the Registered Entity from the Attestations View:

- 1 Navigate to the **Attestations View**
- 2 Click **Review** next to the attestation you wish to review
- 3 Select the **Renewal Date**
- 4 Select **Approve or Disapprove** from the dropdown
- 5 Type any **comments**
- 6 Click **Update**

The screenshot shows the 'My Align' interface. The 'Attestations' view is active, displaying a table of attestations with columns for 'UNIQUE ID', 'REGISTRATION', 'APPLICABLE TO', and 'ACTION'. A 'BULK REVIEW' button is visible. A 'Create Attestation Review' modal form is open, showing the following fields and options:

- Attestation Review ID:** <Value will be generated>
- Review Response:** (Field with callout 3)
- Renewal Date:** 06/15/2022 (Callout 3)
- Attestation Review Conclusion:** -- None --, Approve, Disapprove (Callout 4)
- Attestation Review Comment:** (Text area with callout 5)
- Buttons:** Update (Callout 6), Close



Attestation Reaffirmation Approval (Self-Certifications)

To review multiple attestations sent by the Registered Entity:

- 1 Navigate to the **Attestations View**
- 2 Click the **Bulk Review** button
- 3 Click the **link icon**
- 4 Check the **checkboxes** next to the attestations you wish to review
- 5 Click **Confirm**

The screenshot shows the 'Attestations' view in the ALIGN system. A 'BULK REVIEW' button is highlighted with a callout '2'. Below it, a table lists attestations with checkboxes for selection. A callout '4' points to the checked boxes for AE / 281085 and AE / 281086. A 'Relate Existing' dialog box is open, showing a table of attestations with checkboxes. A callout '5' points to the 'Confirm' button at the bottom of the dialog. Other callouts '1', '3', and '4' point to the 'Attestations' menu item, the link icon, and the 'review' icons in the dialog table, respectively.

UNIQUE ID	CREATE	ATTESTATION ID	REGISTRATION	ATTESTATION SCOPE
AE / 281076	<input type="checkbox"/>	review AE / 281058	NCR00961 - Alliant Energy - East in MRO	CIP-002-5.1a R1.
AE / 281085	<input type="checkbox"/>	review AE / 281072	NCR9999999 - Second Game Day Friday Entity in MRO	FAC-003-4
AE / 281058	<input type="checkbox"/>	review AE / 281076	NCR9999999 - Second Game Day Friday Entity in MRO	FAC-003-4
AE / 281072	<input checked="" type="checkbox"/>	review AE / 281085	NCR9999999 - Second Game Day Friday Entity in MRO	FAC-003-4 R1.
AE / 281086	<input checked="" type="checkbox"/>	review AE / 281086	NCR9999999 - Second Game Day Friday Entity in MRO	BAL-001-2 R1.
AE-281034	<input type="checkbox"/>	review AE-281034	NCR00961 - Alliant Energy - East in MRO	FAC-003-4



Attestation Reaffirmation Approval (Self-Certifications)

- 6 Select the **Renewal Date**
- 7 Type any **comments**
- 8 Select **Approve** or **Disapprove** from the dropdown
- 9 Click **Update**

Create Attestation Review
✕

Attestation Review ID <Value will be generated>

Select Attestations for Review

	APPLICABILITY...	NAME	REGISTRATION	STANDARD	REQUIREMENT	PART	NOTES
<input type="checkbox"/>	AE / 281085	AE / 281085	NCR9999999 - Second Game...		FAC-003-4 R1.		test
<input type="checkbox"/>	AE / 281086	AE / 281086	NCR9999999 - Second Game...		BAL-001-2 R1.		I don't like this

Review Response

Renewal Date

Attestation Review Comment

Attestation Review Conclusion

-- None --
 Approve
 Disapprove

6

8

9 Update
[Close](#)



Attestation Reaffirmation Approval (Self-Certifications)

To request an entity reaffirm an active attestation:

- 1 Navigate to the **Attestations View**
- 2 Click the **Active Attestations** tab
- 3 Click the **Request Reaffirmation link**

The screenshot shows the 'My Align' navigation menu on the left with 'Attestations' highlighted (1). The main content area shows the 'Attestations' view with the 'Active Attestations' tab selected (2). The 'ACTIVE ATTESTATIONS' table lists several entries with 'REQUEST REAFFIRMATION' links (3). Below it is the 'REQUESTED REAFFIRMATIONS' table and an 'INSTRUCTIONS' panel.

UNIQUE ID	REGISTRATION	APPLICABLE TO	EFFECTIVE DATE	RENEWAL DATE	ACTION
AE / 281049	NCR00961 - Alliant Energy - East in MRO	FAC-008-3 R6.	04/19/2021	10/19/2021	REQUEST REAFFIRMATION
AE / 281069	NCR01015 - Montana-Dakota Utilities Company in MRO	FAC-003-4	05/23/2021	05/23/2022	REQUEST REAFFIRMATION
AE / 281070	NCR9999999 - Second Game Day Friday Entity in MRO	PRC-023-4 R5.	05/24/2021	05/24/2022	REQUEST REAFFIRMATION
AE / 281075	NCR9999999 - Second Game Day Friday Entity in MRO	FAC-003-4	06/02/2021	06/08/2022	REQUEST REAFFIRMATION
AE / 281084	NCR01015 - Montana-Dakota Utilities Company in MRO	FAC-003-4	06/08/2021	06/15/2022	REQUEST REAFFIRMATION

UNIQUE ID	REGISTRATION	APPLICABLE TO	RENEWAL DATE	REAFFIRM RENEWAL DATE
AE / 281042	NCR00961 - Alliant Energy - East in MRO	PRC-023-4 R5.	10/07/2021	04/22/2021
AE-281033	NCR00961 - Alliant Energy - East in MRO	FAC-003-4	10/19/2021	06/18/2021
AE / 281041	NCR01020 - Northern States Power (Xcel Energy) in MRO	TPL-001-4	10/12/2021	06/18/2021

INSTRUCTIONS

The Attestations in the top pane have been previously approved and are active. You may issue requests to Registered Entities asking that their validity be reaffirmed. There are two ways to do this.

- To issue each reaffirmation request individually, click **REQUEST REAFFIRMATION** on the right for each specific Attestation.
- To request multiple reaffirmations, click **BULK REAFFIRMATION** at the top of the screen, and follow the instructions.

Attestation Reaffirmation (Self-Certifications)

- 4 Select the **Reaffirm Renewal Date**
- 5 Type any **comments**
- 6 Select **Submit** from the **dropdown**
- 7 Click **Update**

Create Attestation Reaffirmation Request

Reaffirmation Renewal Date

Reaffirm Renewal Date 4

Action

Instructions To submit this attestation reaffirmation request to the registered entity select "submit" from drop down and then click update.

Reaffirmation Request Comment 5

Action 6

- None --
- Submit
- No Action

FORM: 01_CEA_Create_ReaffirmationRequest_Single

7



Sending a Self-Certification Distribution

To send the Self-Certification request to the Registered Entities:

- 1 Click the **Request ID** to open the Self Cert
- 2 Navigate to the **Action** tab
- 3 Select **Submit** from the dropdown
- 4 Click **Update**

Notice: The Self Cert will now appear in the Active Self-Certs tab or the Scheduled Self-Certs tab if the Start Date occurs in the future

The screenshot shows the 'Self Certifications' interface. At the top, there are tabs for 'Create Distribution', 'Scheduled Self-Certs', 'Active Self-Certs', 'Self-Certs in Review', 'Completed Self-Certs', 'Processed Distributions', and 'ARE Self-Certs'. Below these are three buttons: 'CREATE ENTITY DISTRIBUTION', 'CREATE FUNCTION DISTRIBUTION', and 'CREATE REQ DISTRIBUTION'. A table lists 'REQUEST ID' entries with checkboxes. A modal window titled 'Test 6-4 EM' is open, showing tabs for 'General', 'Requirement, Function, and Entity Selection', 'Distribution and Question Preview', 'Attestations', and 'Action'. The 'Action' tab is selected, showing a dropdown menu with options: 'Submit', '-- None --', 'No Action', and 'Submit'. The 'Submit' option is highlighted. At the bottom of the modal, there are 'Update' and 'Close' buttons.





Terminating a Self-Certification

To cancel a Self-Certification request:

- 1 Navigate to the **Active Self-Certs** tab
- 2 Click the **Unique ID** to open the Self-Cert
- 3 Click the **Edit** button
- 4 Click to expand the **Action section**
- 5 Select **Cancel** from the dropdown
- 6 Click **Update**

The screenshot shows the 'Self Certifications' interface. At the top, there are tabs for 'Create Distribution', 'Scheduled Self-Certs', and 'Active Self-Certs'. The 'Active Self-Certs' tab is selected, indicated by a circled '1'. Below the tabs is a table titled 'SELF-CERT REQUESTS ACTIVE IN REGISTERED ENTITY PROCESSING'. The table has a 'UNIQUE ID' column. One row is highlighted, with a circled '2' next to its unique ID. To the right of the table, a modal window is open for 'Test 6-4 EM'. It contains sections for 'Request for Extension', 'Evidence', 'Secure Evidence Locker Instructions', and 'Region Attachments'. At the bottom of the modal, there is an 'Action' section with a dropdown menu. The dropdown is open, showing options: 'Cancel', '-- None --', 'Cancel', and 'No Action'. A circled '5' is next to the 'Cancel' option. Below the dropdown is an 'Update' button, with a circled '6' next to it. At the bottom left of the modal, there are 'Edit' and 'Close' buttons, with a circled '3' next to the 'Edit' button. A circled '4' is next to the 'Action (Optional - Click to Expand)' section header.





Reviewing a Self-Certification (Extension Requests)

When an entity submits an extension request, it will appear on the My Align Dashboard. To approve/disapprove the request:

- 1 Navigate to the **My Align Dashboard**
- 2 Click the **Unique ID** to open the RFE
- 3 Select **Approved or Disapproved** from the dropdown
- 4 Type any **comments** to the entity
- 5 Click **Update**

Notice: If you select Approved, you will need to enter a New Due Date for the Self-Certification

The screenshot shows the 'My Align' dashboard. At the top, there's a navigation bar with 'My Align' and 'Align for Regions'. Below that, a 'Dashboard and Tasks' section has a filter for 'Assigned To Me'. A table titled 'ITEMS AWAITING MY REVIEW' lists several extension requests. The second row is highlighted, and its 'Unique ID' is circled with a '2'. A modal window titled 'Request for Extension' is open, showing details for 'Test 3 EM 518 RFE-000140'. The modal includes fields for 'Registration', 'Original Due Date', 'Requested Due Date', and 'Reason for Extension'. Below these is an 'Approval of Request for Extension' section with a dropdown menu (circled with a '3') showing options: 'Requested', '-- None --', 'Approved', 'Disapproved', and 'Requested'. A text input field for 'Approval Decision Comment' is also present (circled with a '4'). At the bottom of the modal are 'Update' and 'Close' buttons (circled with a '5').



Reviewing a Self-Certification (RFIs)

To send a Request for Information to an entity:

- 1 Navigate to the **Self-Certs In Review** tab
- 2 Click the **Unique ID** to open the RFE
- 3 In the **Requests for Information** section click the **plus icon**
- 4 Type any **comments** in the textbox and add any **attachments**
- 5 Select the **Response Due By** date
- 6 Click **Update**

The screenshot shows the 'Self Certifications' dashboard. The 'Self-Certs in Review' tab is selected, indicated by a circled '1'. A table lists 'SELF-CERT SUBMITTALS AWAITING CEA REVIEW' with columns for 'UNIQUE ID' and 'Test 5-24 EM'. A circled '2' points to the 'UNIQUE ID' column. A 'Request for Information' modal is open, showing a 'Request for Information' form. A circled '3' points to the plus icon in the 'Requests for Information' section. A circled '4' points to the 'Requestor Comments' text area. A circled '5' points to the 'Response Due By' date field, which has a calendar dropdown showing June 2021. A circled '6' points to the 'Update' button at the bottom of the modal.



Reviewing a Self-Certification (Review Notes)

To create a review note for a Self-Certification:

- 1 Navigate to the **Self-Certs In Review** tab
- 2 Click the **Unique ID** to open the Self-Cert
- 3 In the **Self-Cert Assessments** section, click the **plus icon** next to the applicable requirement

The screenshot shows the 'Self Certifications' interface. At the top, there are tabs for 'Create Distribution', 'Scheduled Self-Certs', 'Active Self-Certs', 'Self-Certs in Review' (highlighted with a '1'), 'Completed Self-Certs', 'Processed Distributions', and 'ARE Self-Certs'. Below the tabs is a table titled 'SELF-CERT SUBMITTALS AWAITING CEA REVIEW'. The table has columns for 'UNIQUE ID', 'REGISTRATION', 'SHORT NAME', 'STANDARD(S) AND REQUIREMENT(S)', 'MONITORING PERIOD', and 'SUBMITTAL DATE'. One row is highlighted with a '2' and a magnifying glass icon. This row's 'UNIQUE ID' is 'SC2021-000522'. To the right of the table, a modal window is open for 'Test 1 EM 518'. It shows 'Self-Cert Submitted On: May 19, 2021' and a section for 'Self-Cert Assessments'. Under 'COMPLETED ASSESSMENT SESSIONS', there is a table with columns 'REQUIREMENT (PART)', 'ANSWER', 'CREATE REVIEW NOTE', and 'EDIT/VIEW REVIEW NOTE'. One row is shown with 'REQUIREMENT (PART): BAL-001-2 R1. for VERSION 0', 'ANSWER: Compliant', and a '+' icon in the 'CREATE REVIEW NOTE' column (highlighted with a '3'). At the bottom of the modal are 'Update' and 'Close' buttons.



Reviewing a Self-Certification (Review Notes)

- 4 Select your **Review Response** from the **dropdown**
- 5 Type any **comments** to the entity
- 6 Click **Update**

Notice: If you wish to edit your review note after you submit, click the Edit link in the Self-Cert Assessment section

Test 1 EM 518

Self-Cert Submitted On May 19, 2021

Self-Cert Assessments

COMPLETED ASSESSMENT SESSIONS

REQUIREMENT (PART)	ANSWER	CREATE REVIEW NOTE	EDIT/VIEW REVIEW NOTE
BAL-001-2 R1. for VERSION 0	Compliant		Edit

Review Note

Self Assessment Response

Related Self-Cert Test 1 EM 518

Registration NCR9999999 - Second Game Day Friday Entity in MRO

Requirement BAL-001-2 R1.

Entity Response Not reviewed

Self Assessment Response

Review Response In review

Review Comment test

5

4

6

Update Close



Reviewing a Self-Certification (Review Comments)

To Review Comments to a Self-Certification:

- 1 Navigate to the **Self-Certs In Review** tab
- 2 Click the **Unique ID** to open the Self-Cert
- 3 In the **Review Comments** section, select an **Assigned Reviewer** from the **dropdown**

Notice: For easier selection, you can also type the name of the reviewer to filter the list of results

The screenshot shows the 'Self Certifications' dashboard. The 'Self-Certs in Review' tab is selected, indicated by a circled '1'. A table lists 'SELF-CERT SUBMITTALS AWAITING CEA REVIEW' with columns for Unique ID, Registration, Short Name, Standard(s) and Requirement(s), Monitoring Period, and Submittal Date. The first row is highlighted, and its Unique ID 'SC2021-000522' is clicked, opening a modal window for 'Test 1 EM 518'. In this modal, the 'Review Comments' section is active, and the 'Assigned Reviewer' dropdown is selected, indicated by a circled '3'. Other fields include 'Region comment', 'Region Response' (set to 'In review'), and 'Send Notification of answer to entity?'. The modal also has sections for 'Additional Questions', 'Findings', and 'Request for Extension', along with 'Update' and 'Close' buttons at the bottom.



Reviewing a Self-Certification (Review Comments)

- 4 Type any **comments** to the entity
- 5 Select the **Region Response** from the **dropdown**
- 6 Select **Yes or No** from the Notification **dropdown**

Notice: If you selected Yes, type your response to the entity in the textbox

- 7 Click **Update**

Test 1 EM 518
✕

Review Comments

4

Assigned Reviewer

5

Region comment

6

Region Response

7

Send Notification of answer to entity?

Additional Findings

Request

Update
Close

In review|
-- None --
Closed with no PNC
Closed with PNC
In review
Not reviewed



Reviewing a Self-Certification (Findings)

To create a Finding for a Self-Certification:

- 1 Navigate to the **Self-Certs In Review** tab
- 2 Click the **Unique ID** to open the Self-Cert
- 3 Click to expand the **Findings** section
- 4 Click the **plus icon** next to the applicable requirement

The screenshot shows the 'Self Certifications' application interface. At the top, there are navigation tabs: 'Create Distribution', 'Scheduled Self-Certs', 'Active Self-Certs', 'Self-Certs in Review' (highlighted with a yellow circle and the number 1), 'Completed Self-Certs', 'Processed Distributions', and 'ARE Self-Certs'. Below the tabs is a table titled 'SELF-CERT SUBMITTALS AWAITING CEA REVIEW'. The table has columns for 'UNIQUE ID', 'REGISTRATION', 'SHORT NAME', 'STANDARD(S) AND REQUIREMENT(S)', 'MONITORING PERIOD', and 'SUBMITTAL DATE'. One row is selected, showing 'SC2021-000522' for the unique ID and 'NCR9999999 - Second Game Day Friday Entity in MRO' for the registration. A modal window titled 'Test 1 EM 518' is open, showing the 'Findings' section (highlighted with a yellow circle and the number 3). Within this section, there is a 'CREATE FINDING' table with columns for 'REGISTRATION', 'REQUIREMENT', and 'CREATE FINDING'. A plus sign icon (highlighted with a yellow circle and the number 4) is next to the requirement 'BAL-001-2 R1.'. At the bottom of the modal, there is a 'Request for Extension' section with 'Update' and 'Close' buttons.



Reviewing a Self-Certification (Findings)

- 5 Fill out the **Create a Finding** form
- 6 Type any comments in the **textbox**
- 7 Click **Save**

Notice: The Finding just created will appear in the Findings section of the Self-Certification request but the CEA will need to submit it from the Findings tab in ALIGN.

Create a Finding
5
✕

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.

Created By CEA Yes

Monitoring Method Self-Certification

General Information

Registration [NCR99999999 - Second Game Day Friday Entity in MRO](#)

Additional Comments

Please provide any additional comments

FORM: CEA-F2-Create

6

7
Save
Close



Reviewing a Self-Certification (Findings)

To submit a Finding:

- 8 Navigate to the **Findings** view
- 9 In the **Draft Findings** section, click the **Unique ID** of the Finding to open it
- 10 In the **Action** section, select **Submit** from the **dropdown**
- 11 Click **Save and Action**

The screenshot shows the 'Findings' application interface. At the top, there's a navigation menu with 'Findings' highlighted. Below it, a 'DRAFT FINDINGS' table lists several entries. The entry with Unique ID '2021-00118' is circled with a '9'. To the right, a detailed view of this finding is shown, including sections for 'Evidence' and 'Action'. The 'Action' section has a dropdown menu with 'Submit' selected, circled with a '10'. At the bottom of the detailed view, there are buttons for 'Save and Action', 'Save', and 'Close', with 'Save and Action' circled with a '11'. A '8' is also circled around the 'Findings' menu item.

MONITORING METHOD	UNIQUE ID	NCR	ENTITY
Self-Report	2020-00045	NCR00961	Alliant Energy - East
Self-Report	2020-00046	NCR00961	Alliant Energy - East
Self-Report	2021-00048	NCR00961	Minnesota Power (Allele, Inc.)
Self-Certification	2021-00118	NCR00961	Second Game Day Friday Entity
Self-Certification	2021-00059	NCR00961	Alliant Energy - East
Periodic Data Submittal	2021-00107	NCR9999999	Second Game Day Friday Entity
Periodic Data	2021-00108	NCR9999999	Second Game Day Friday Entity



Reviewing a Self-Certification (Completing a Review)

To complete your review and close the Self-Certification:

- 1 Navigate to the **Self-Certs In Review** tab
- 2 Click the **Unique ID** to open the Self-Cert
- 3 In the Action Section, select **Review Completed** from the **dropdown**
- 4 Click **Update**

The screenshot shows the 'Self Certifications' interface. At the top, there are tabs for 'Create Distribution', 'Scheduled Self-Certs', 'Active Self-Certs', 'Self-Certs in Review', 'Completed Self-Certs', 'Processed Distributions', and 'ARE Self-Certs'. The 'Self-Certs in Review' tab is selected and highlighted with a circled '1'. Below the tabs is a table titled 'SELF-CERT SUBMITTALS AWAITING CEA REVIEW'. The table has columns for 'UNIQUE ID', 'REGISTRATION', 'SHORT NAME', 'STANDARD(S) AND REQUIREMENT(S)', 'MONITORING PERIOD', and 'SUBMITTAL DATE'. One row is highlighted with a circled '2' next to its 'UNIQUE ID' (SC2021-000522). To the right of the table, a detailed view of a self-certification is shown for 'Test 1 EM 518'. This view includes sections for 'Evidence', 'Region Attachments', and 'Action'. In the 'Action' section, a dropdown menu is open, showing options: 'Review Completed', '-- None --', 'Reopen', 'No Action', and 'Review Completed'. The 'Review Completed' option is selected and highlighted with a circled '3'. Below the dropdown menu, there are 'Update' and 'Close' buttons. The 'Update' button is highlighted with a circled '4'.



Reviewing a Self-Certification (Reopening a Self-Cert)

To reopen a Self-Certification:

- 1 Navigate to the **Self-Certs In Review or Completed Self-Certs** tab
- 2 Click the **Unique ID** to open the Self-Cert
- 3 In the Action Section, select **Reopen** from the **dropdown**
- 4 Click **Update**

Notice: The entity will not receive an email notification that the Self-Certification has been reopened. The CEA will need to contact the entity prior to reopening.

The screenshot shows the 'Self Certifications' application interface. At the top, there are navigation tabs: 'Create Distribution', 'Scheduled Self-Certs', 'Active Self-Certs', 'Self-Certs in Review', 'Completed Self-Certs', 'Processed Distributions', and 'ARE Self-Certs'. The 'Self-Certs in Review' tab is selected and highlighted with a yellow circle '1'. Below the tabs is a table titled 'SELF-CERT SUBMITTALS AWAITING CEA REVIEW'. The table has columns for 'UNIQUE ID', 'REGISTRATION', 'SHORT NAME', 'STANDARD(S) AND REQUIREMENT(S)', 'MONITORING PERIOD', and 'SUBMITTAL DATE'. The first row is highlighted with a yellow circle '2' around the 'UNIQUE ID' 'SC2021-000522'. A modal window is open for this self-certification, titled 'Test 1 EM 518'. It contains sections for 'RFI ID', 'REQUESTOR CONTACT', 'RESPONDENT CONTACT', 'RESPONSE DUE BY', 'Evidence', 'Region Attachments', and 'Action'. The 'Action' dropdown menu is open, showing options: 'Reopen', '-- None --', 'Reopen', 'No Action', and 'Review Completed'. The 'Reopen' option is highlighted with a yellow circle '3'. At the bottom of the modal, there is an 'Update' button highlighted with a yellow circle '4' and a 'Close' button.



Self-Certification Templates

To use a previously distributed Self-Certification as a template:

- 1 Navigate to the **Processed Distributions** tab
- 2 Click the **plus icon** next to the Self-Cert you wish to use as a template
- 3 Type the **Short Name** and update any **Dates**
- 4 Click **Update**

Notice: The draft PDS you just created will now appear under the Create Distribution tab in the Bulk Distributions in Draft section.

The screenshot shows the 'Self Certifications' application interface. At the top, there is a navigation bar with tabs: 'Create Distribution', 'Scheduled Self-Certs', 'Active Self-Certs', 'Self-Certs in Review', 'Completed Self-Certs', and 'Processed Distributions'. The 'Processed Distributions' tab is selected and highlighted with a yellow circle containing the number '1'. Below the navigation bar is a table titled 'SELF CERTIFICATIONS - PROCESSED BULK DISTRIBUTIONS'. The table has columns for 'DISTRIBUTION ID', 'STANDARD(S) AND REQUIREMENT(S)', 'MONITORING PERIOD', 'VISIBILITY DATE', 'START DATE', 'SHORT NAME', and 'CA_INSTRUCTIONS'. A yellow circle with the number '2' is placed over the plus icon next to the first row (SCR / 000134). A modal window titled 'Create Self Certification Distribution' is open, showing a 'General' section with fields for 'Name *', 'Compliance Year' (set to 2020), 'Visibility Date *', 'Start Date *', 'Due Date *', 'Monitoring Period Start *', and 'Monitoring Period End *'. A yellow circle with the number '3' is placed over the 'Due Date' field. Below these fields is a text area for 'Instructions to entity' containing 'TEST 1234'. At the bottom of the modal, there are checkboxes for 'Mark as Favorite/Template' and 'Compliance Enforcement Authority' (set to MRO). A 'Point of Contact' section is also visible. A yellow circle with the number '4' is placed over the 'Update' button at the bottom right of the modal.



Self-Certification Administration

To add :

- 1 Click the Menu **dropdown**
- 2 Select the **Self Cert Administration** view
- 3 Click the **New Question Group** link

The screenshot shows the 'My Align' navigation menu on the left, the 'Self Cert Administration' header, and the 'Self-Cert Library' content area. Three callouts are present: 1 points to the 'My Align' menu dropdown, 2 points to the 'Self Cert Administration' option in the dropdown, and 3 points to the 'New Question Group' link in the 'REGION QUESTION LIBRARY INSTRUCTIONS' section.

REGION QUESTION LIBRARY INSTRUCTIONS

From here, you can create region-specific questions to assign to the entire ERO. To begin, create a **New Question Group** and then assign questions (whether it applies to Requirements or Parts) and then the subject requirements/parts) to which it should apply. Then select "Update" to save.

Refresh the top table on the left to see the created question Group. Click on **Assessment Type Missing** and choose the following options:

Negate	do not use this field
Assessment Attribute	Assessmentdefinition.Assessmenttype
Operation Value	=
Value	Self-Certification <your Region>

Add Questions to the Question Group by clicking on the Add Question link. Clicking on a Question Group will filter the Questions below.

SELF CERT ADMINISTRATION - CUSTOM REGION QUESTION GROUPS

GROUP NAME	APPLICABLE SUBJECTS

Page 0 of 0

SELF CERT ADMINISTRATION - CUSTOM REGION QUESTIONS

APPLICABLE TO	QUESTION PREVIEW	TYPE	QUESTION GROUP

Page 0 of 0



Self-Certification Administration

- 4 Enter a **name** for the Question Group
- 5 Select **Self Cert** from the Category dropdown
- 6 Add a **Description** of the Question Group
- 7 Select either **Part** or **Requirement** as the Subject Type

New Question Template

Name * :

Category * :

Description:

Subject Type:

Has Specific Subjects:

Subjects:

Disable Approve/Reject in Multi-step Assessment:

DWH Table Name:

Requirement

PDS Registration Selection

Periodic Data Submittal

Periodic Data Submittal Distribution

Person

Policy

Policy Statement

Potential Non-Compliance

Process

Product

Product Category

Question Template Category

Region-Jurisdiction

Registration

Registration Scope

Reliability Function

Rental Contract

Report Container

Request for Extension

Request for Information

Requirement

Update Cancel



Self-Certification Administration

- 9 Leave the **Has Specific Subjects** field as Yes
- 10 Click the **Ellipsis** button
- 11 Click the **checkboxes** next to the parts or requirements that you want to create a set of questions for
- 12 Click the **OK** button

New Question Template

Name * :

Category * :

Description:

Subject Type:

Has Specific Subjects: 9

Subjects:

Disable Approve/Reject in Multi-step Assessment:

DWH Table Name:

Requirement

Yes

No

11

Selector: Subjects - Google Chrome

nerc-uat.bwise.net/bwise/app/common/SelectInstancesTable.jsp?flushTrees=true&parentLabel=Subjects&formId=Edit...

Select a type: Requirement Select a view: List

<input type="checkbox"/>	Name
<input type="checkbox"/>	BAL-001-0 (Ontario) R1.
<input type="checkbox"/>	BAL-001-0 (Ontario) R2.
<input type="checkbox"/>	BAL-001-0 (Ontario) R3.
<input type="checkbox"/>	BAL-001-0 (Ontario) R4.
<input checked="" type="checkbox"/>	BAL-001-0 R1.
<input checked="" type="checkbox"/>	BAL-001-0 R2.
<input checked="" type="checkbox"/>	BAL-001-0 R3.
<input checked="" type="checkbox"/>	BAL-001-0 R4.
<input type="checkbox"/>	BAL-001-0.1a (Ontario) R1.
<input type="checkbox"/>	BAL-001-0.1a (Ontario) R2.
<input type="checkbox"/>	BAL-001-0.1a (Ontario) R3.
<input type="checkbox"/>	BAL-001-0.1a (Ontario) R4.
<input type="checkbox"/>	BAL-001-0.1a R1.
<input type="checkbox"/>	BAL-001-0.1a R2.
<input type="checkbox"/>	BAL-001-0.1a R3.
<input type="checkbox"/>	BAL-001-0.1a R4.
<input type="checkbox"/>	BAL-001-0a (Ontario) R1.
<input type="checkbox"/>	BAL-001-0a (Ontario) R2.
<input type="checkbox"/>	BAL-001-0a (Ontario) R3.
<input type="checkbox"/>	BAL-001-0a (Ontario) R4.

10

Page 1 of 124 Filter by Name: Go

12 Page Size: 50

OK Cancel Update Cancel



Self-Certification Administration

To filter the list of parts or requirements:

13 Type in a part of the standard you are looking for and click **Go**

14 Even after you click Go, the page numbers may not update. Click the **next arrow** to see more results and the actual page count

15 Select parts or requirements

16 Click the **OK** button

Selector: Subjects - Google Chrome
 nerc-uat.bwise.net/bwise/app/common/SelectInstancesTable.jsp?flushTrees=true&parentLabel=Subjects&formId=Edit...
 Select a type: Part Select a view: List
 Name ▲
 + BAL-001-TRE-1 R10.1
 + BAL-001-TRE-1 R10.2
 + BAL-001-TRE-1 R10.3
 + BAL-001-TRE-1 R2.1
 + BAL-001-TRE-1 R2.2
 + BAL-001-TRE-1 R2.3
 + BAL-001-TRE-1 R6.1
 + BAL-001-TRE-1 R6.2
 + BAL-001-TRE-1 R6.3
 + BAL-001-TRE-1 R9.1
 + BAL-001-TRE-1 R9.2
 + BAL-001-TRE-1 R9.3
 + BAL-001-TRE-2 R10.1
 + BAL-001-TRE-2 R10.2
 + BAL-001-TRE-2 R10.3
 + BAL-001-TRE-2 R2.1
 + BAL-001-TRE-2 R2.2
 + BAL-001-TRE-2 R2.3
 + BAL-001-TRE-2 R6.1
 Page 1 of 228 Filter by Name: BAL-002-1 Go

Selector: Subjects - Google Chrome
 nerc-uat.bwise.net/bwise/app/common/SelectInstancesTable.jsp?rangeStart.selectorattr_subjects=50&formId=Editor&...
 Select a type: Part Select a view: List
 Name ▲
 + BAL-002-1a R4.1
 + BAL-002-1a R4.2
 + BAL-002-1a R5.1
 + BAL-002-1a R5.2
 + BAL-002-1a R6.1
 + BAL-002-1a R6.2
 Page 2 of 2 Filter by Name: BAL-002-1 Go OK Cancel



Self-Certification Administration

17 Click the **Update** button

18 Click the **Refresh** button to pull in the new question group

19 Click the **Assessment Type Missing** link to complete the Group

Subject Type:
 Has Specific Subjects:
 Subjects:
 Disable Approve/Reject in Multi-step Assessment:
 DWH Table Name:

17

Self Cert Administration Align for Regions

MRO Editor 1

REGION QUESTION LIBRARY INSTRUCTIONS

From here, you can create region-specific questions to augment those defined for the entire ERO. To begin, create a **New Question Group** and select the subject type (whether it applies to Requirements or Parts) and then the subjects (i.e., specific requirements/parts) to which it should apply. Then select "Update."

Refresh the top table on the left to see the created question Group. Click on **Assessment Type Missing** and choose the following options:

Negate	do not use this field
Assessment Attribute	Assessmentdefinition.Assessmenttype
Operation Value	=
Value	Self-Certification <your Region>

Add Questions to the Question Group by clicking on the **Add Question** link. Clicking on a Question Group will filter the Questions below.

SELF CERT ADMINISTRATION - CUSTOM REGION QUESTION GROUPS

	GROUP NAME	APPLICABLE SUBJECTS
<input type="checkbox"/>	Test Group Question 2	BAL-002-1a R4.1., BAL-002-1a R4.2.
	Assessment Type Missing	Add Question

Page 1 of 1

19

18



Self-Certification Administration

To fill out the fields on this form, follow the directions in the Instructions panel (A).

20 Leave the **Negate** field at its default selection of "None"

21 Select the **Assessment Definition.Assessment Type** option from the Assessment Attribute dropdown

20 Negate: --- None ---

21 Assessment Attribute * : Assessment Definition.Assessment Type

Operation * :

Update Cancel



Self-Certification Administration

- 21 Select = for the Operation field. This will create a new field called Value
- 22 **IMPORTANT:** Be sure to select the correct Region for whom this Question Group applies in the **Value** field. Align will assign the questions you add to the group to this Region
- 23 Click the **Update** button. Align will assign the questions you add to the group to this Region

New Assessment Condition

Negate: --- None ---

Assessment Attribute *: Assessment Definition.Assessment Type

Operation *: =

Value *: --- None ---

- Self Certification MRO
- Self Certification TXRE
- Self Certification NPCC
- Self Certification WECC
- Self Certification RF
- Self Certification SERC
- Self Certification
- Periodic Data Submittal

Refresh the top table on the left to see the created question Group. Click on **Assessment Type Missing** and choose the following options:

Negate	do not use this field
Assessment Attribute	Assessmentdefinition.Assessmenttype
Operation Value	=
Value	Self-Certification <your Region>

Add Questions to the Question Group by clicking on the **Add Question** link. Clicking on a Question Group will filter the Questions below.

SELF CERT ADMINISTRATION - CUSTOM REGION QUESTIONS

APPLICABLE TO	QUESTION PREVIEW

Page 0 of 0

Update **Cancel**



Self-Certification Administration

To add questions to the group that you have created:

- 24 Click the **Add Question** link
- 25 Give the question a **Name** for your reference
- 26 Type the question that you want the entity to answer into the **Question** field
- 27 Add any instructions or clarifications into the **Help Text** field (not mandatory)

SELF CERT ADMINISTRATION - CUSTOM REGION QUESTION GROUPS

<input type="checkbox"/>	GROUP NAME	APPLICABLE SUBJECTS	
<input type="checkbox"/>	Test Group Question 2 Self Certification MRO	BAL-002-1a R4.1., BAL-002-1a R4.2.	<div style="border: 2px solid blue; border-radius: 50%; width: 40px; height: 40px; display: flex; align-items: center; justify-content: center; margin: 0 auto;">24</div> Add Question

Question

Name * :

Question * :

Question Parameters: <ca_CFRNotApplicable>, <ca_PendingInactive>, <ca_rankID>, <ca_CEANotApplicable>, <ca_AdditionalEffectiveDateDetails>, <ca_CFRNotes>, <ca_PriorVersion>, <ca_AdditionalApplicabilityDetails>, <ca_SubReqOrPartLanguage>, <ca_requirement>, <ca_PartApplicability>, <ca_StandardRegionJurisdiction>, <ca_InactiveDate>, <ca_InternalNotes>, <ca_PartNumber>, <ca_ParentCopy>, <ca_EffectiveDate>, <ca_versionHistory>, <ca_CEANotes>, <ca_MeasuresandValidationGuidance>, <ca_ParentOriginal>, <ca_PublicNotes>, <description>, <label>, <parentObject>

Help Text:

References:

Type * :

Mandatory:

Mandatory based on question:

Before Question:

Grouped Question:

Has Reporting Column:

Type specific details

Default Value:

Number Of Characters:

Style:

Width of Question Text (%):

Is Hidden:



Self-Certification Administration

28 Select the question **Type** from the Predefined Question Type section of the Type dropdown

NOTICE: The Document option in the Type dropdown will allow your entities to Attach documents within Align. This would only be used in rare cases as all documents should come through the SEL

29 Depending on the Type that you select, you can adjust the parameters of the question in the **Type specific details** section (not mandatory)

30 Click the **Update** button

Question Parameters: <ca_CFRNotApplicable>, <ca_PendingInactive>, <ca_rankID>, <ca_CEANotApplicable>, <ca_AdditionalEffectiveDateDetails>, <ca_CFRNotes>, <ca_PriorVersion>, <ca_AdditionalApplicabilityDetails>, <ca_SubReqOrPartLanguage>, <ca_requirement>, <ca_PartApplicability>, <ca_StandardRegionJurisdiction>, <ca_InactiveDate>, <ca_InternalNotes>, <ca_PartNumber>, <ca_ParentCopy>, <ca_EffectiveDate>, <ca_versionHistory>, <ca_CEANotes>, <ca_MeasuresandValidationGuidance>, <ca_ParentOriginal>, <ca_PublicNotes>, <description>, <label>, <parentObject>

Help Text:

References:

Type * : **28** Text Line
 TPL-007-4 Requirement
 Y/N/NA
 ----- Predefined Question Type -----
 Create Issue
 Date
 Document
 No Answer
 Number
 Text
Text Line

29 Type specific details

Default Value:

Number Of Characters:

Style: --- None ---

Width of Question Text (%):

Is Hidden: No

30



Self-Certification Administration

Custom Region Questions (A) Once you complete a question you will see it appear in the Custom Region Questions section. Notice that there are two copies of the same question – one for each Requirement or Part that it applies to

Self-Cert Question Preview (B) Once you have added an active question, you will see it appear on each new Self-Cert that you create in the Self-Cert Preview section

Self Cert Administration
Align for Regions

Self-Cert Library
MRO Editor 1

REGION QUESTION LIBRARY INSTRUCTIONS

From here, you can create region-specific questions to augment those defined for the entire ERO. To begin, create a **New Question Group** and select the subject type (whether it applies to Requirements or Parts) and then the subjects (i.e., specific requirements/parts) to which it should apply. Then select "Update."

Refresh the top table on the left to see the created question Group. Click on **Assessment Type Missing** and choose the following options:

Negate	do not use this field
Assessment Attribute	Assessmentdefinition Assessmenttype
Operation Value	=
Value	Self-Certification <your Region>

Add Questions to the Question Group by clicking on the **Add Question** link. Clicking on a Question Group will filter the Questions below.

SELF CERT ADMINISTRATION - CUSTOM REGION QUESTION GROUPS

	GROUP NAME	APPLICABLE SUBJECTS	
<input type="checkbox"/>	Test Group Question 2	BAL-002-1a R4.1., BAL-002-1a R4.2.	Add Question
Self Certification MRO			

Page 1 of 1

SELF CERT ADMINISTRATION - CUSTOM REGION QUESTIONS

APPLICABLE TO	QUESTION PREVIEW
BAL-002-1a R4.1.	What is today's date? Click here to edit
BAL-002-1a R4.2.	What is today's date? Click here to edit

Page 1 of 1



Self-Cert Question Preview

QUESTIONS

Please indicate your response for this part:

Please indicate your response for this requirement:

Please provide any comments you might have related to this Requirement here:

What is today's date?

Page 1 of 1

Note: Changes to this list of questions can be made in the Question Library.



Self-Cert Administration (Inactivating a question)

If you need to inactivate a question:

- 1 Click the **Click here to edit** link
- 2 Change the **Is Hidden** field to 'Yes'
- 3 Click the **Update** button

SELF CERT ADMINISTRATION - CUSTOM REGION QUESTIONS

APPLICABLE TO	QUESTION PREVIEW
BAL-002-1a R4.1.	What is today's date? Click here to edit
BAL-002-1a R4.2.	What is today's date? Click here to edit

Page 1 of 1

B

1

A

2

30

Question: 1. What is your favorite animal? - Google Chrome

nerc-uat.bwise.net/bwise/app/common/CloseEditor.aspx?action=QuestionAction&scrollY=0

Question: 1. What is your favorite animal?

Type validation failed for attribute Mandatory (A question cannot be hidden and mandatory at the same time)

Name: Question 1

Question * : 1. What is your favorite animal?

Question Parameters: <ca_CFRNotApplicable>, <ca_PendingInactive>, <ca_rankID>, <ca_CEANotApplicable>, <ca_AdditionalEffectiveDateDetails>, <ca_CFRNotes>, <ca_PriorVersion>, <ca_AdditionalApplicabilityDetails>, <ca_SubReqOrPartLanguage>, <ca_requirement>, <ca_PartApplicability>, <ca_StandardRegionJurisdiction>, <ca_InactiveDate>, <ca_InternalNotes>, <ca_PartNumber>, <ca_ParentCopy>, <ca_EffectiveDate>, <ca_versionHistory>, <ca_CEANotes>, <ca_MeasuresandValidationGuidance>, <ca_ParentOriginal>, <ca_PublicNotes>, <description>, <label>, <parentObject>

Help Text:

References:

Type: Text Line

Mandatory: Yes

Mandatory based on question: --- None ---

Before Question: What is today's date?

Grouped Question: No

Has Reporting Column: No

Type specific details

Default Value:

Number Of Characters:

Style: --- None ---

Width of Question Text (%):

Is Hidden: Yes

Formula: No

Initial Value Formula: No

QUESTION GROUP INACTIVE

Test Group Question 2 Yes

Test Group Question 2 Yes

Update Cancel

Email Notifications in Align



The list below contains all instances when Align will generate an email to the Registered Entity under the scope of Release 2

- ✉ Creation of Periodic Data Submittals
- ✉ PDS Extension Request Approval/Disapproval
- ✉ Creation of Self-Certification Requests
- ✉ Terminating Self-Certifications
- ✉ Technical Feasibility Exception Approval/Disapproval
- ✉ Material Change Request Approval/Disapproval*
- ✉ TFE Extension Request Approval*
- ✉ Terminating Technical Feasibility Exceptions

*An email is sent to NERC as well as the Registered Entity