Align Release 3 User Guide

Welcome to Align Release 3. Along with the Align instructional videos, this user guide will help you navigate through all the features included in this release. Click on a topic in the list below or in the ribbon above to begin.

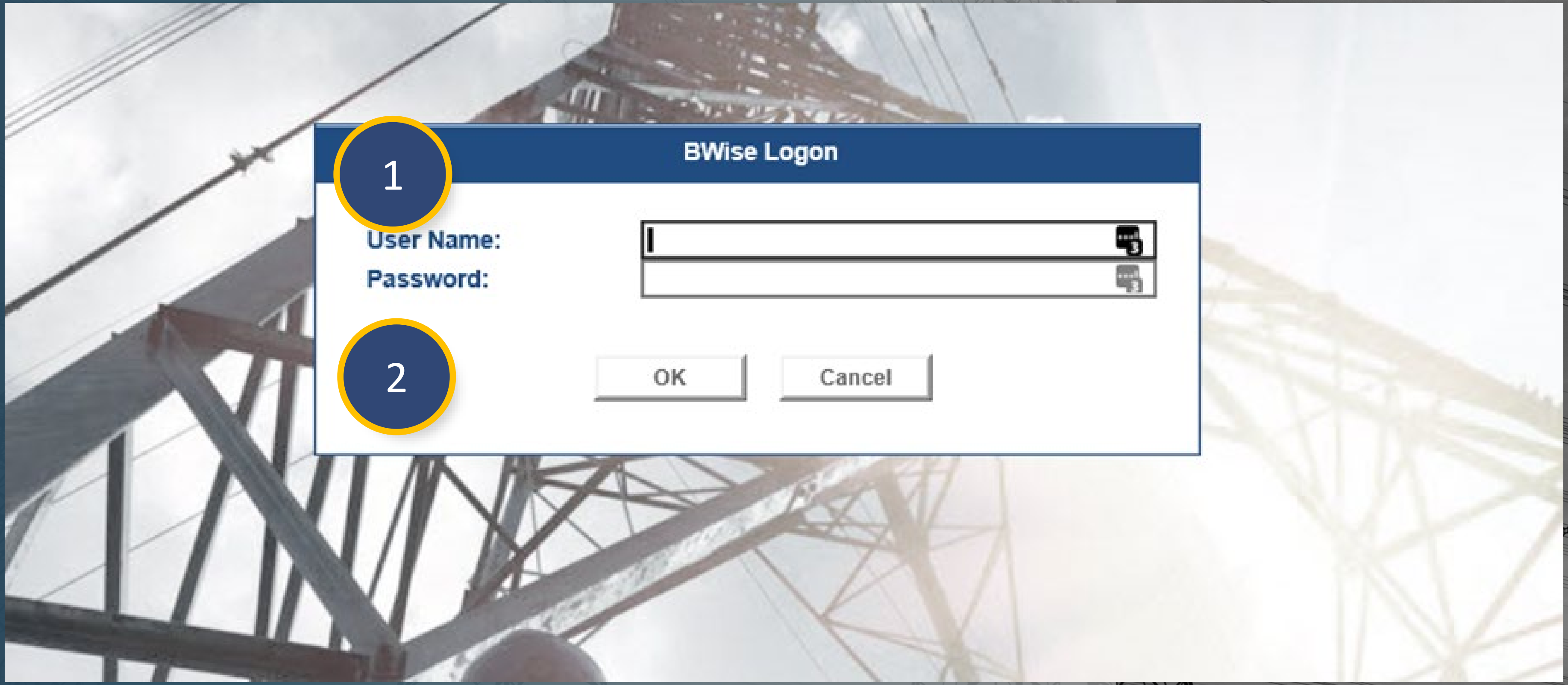
This email icon indicates when an email notification will be sent to a Registered Entity

Accessing Align

*From the **Align Log-in Page***

1 Enter the **Align Username**

2 Enter the **Align Password**

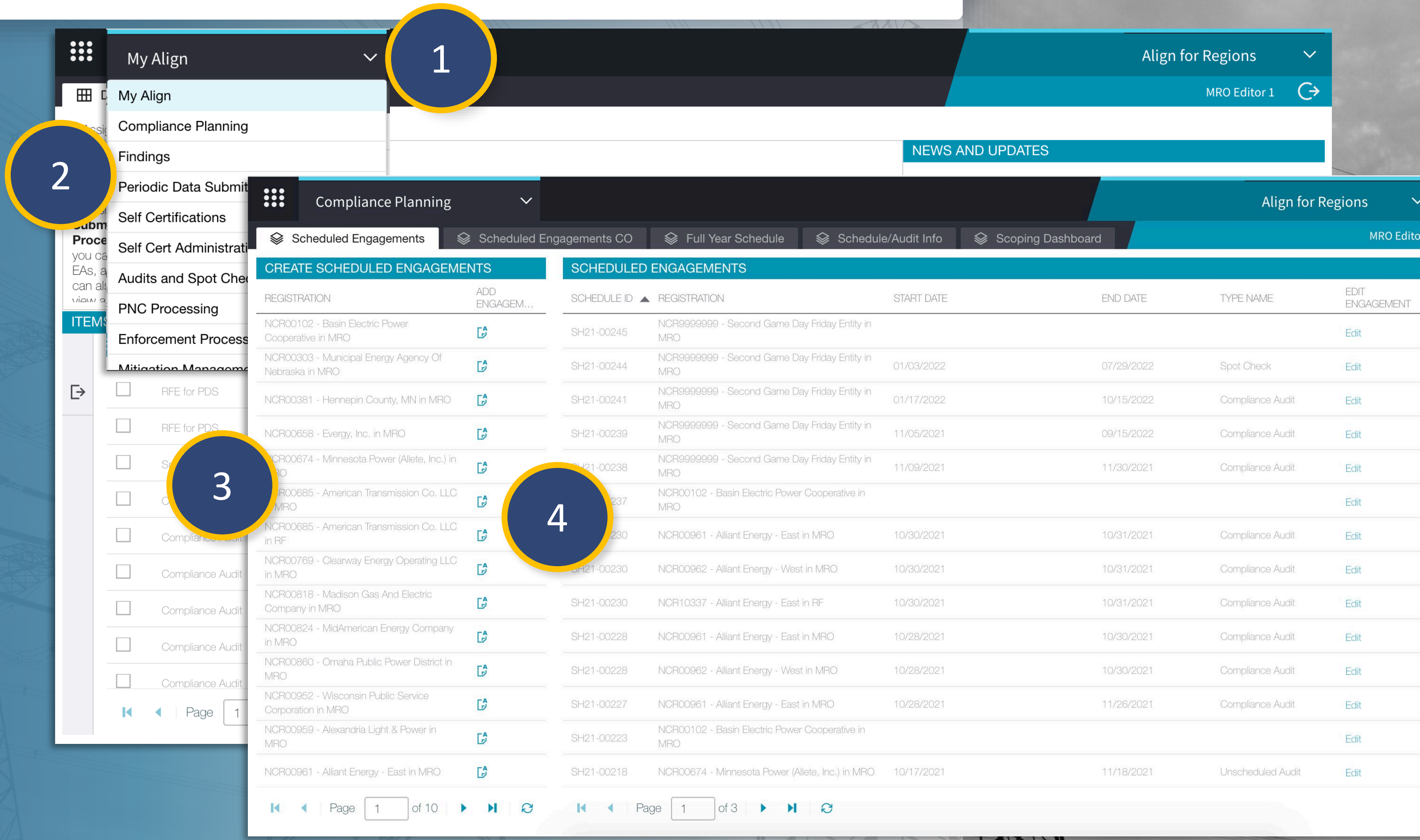


Scheduled Engagements

To create a Scheduled Engagement in Align, navigate to the ***Compliance Planning*** *view:*

1. Click the **Dropdown Arrow**
2. Click the **Compliance Planning** view
3. Locate the **Registered Entity** you wish to create an engagement for
4. Click the **icon** in the Add Engagements column

Notice: The engagement you just created will appear in the Scheduled Engagements section.



Scheduled Engagements

To edit the Scheduled Engagement you just created:

5 Click **Edit**

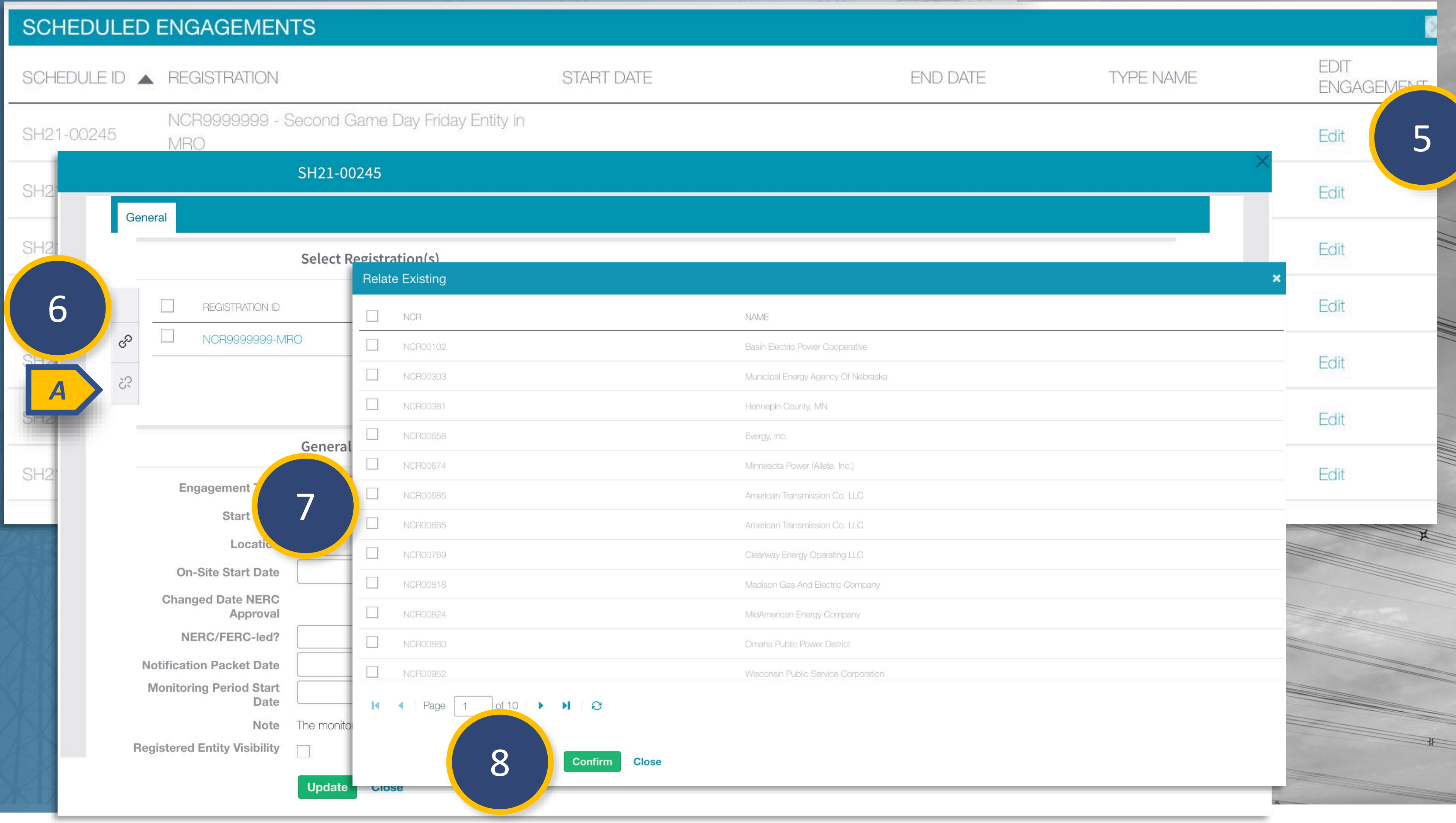
To link an additional Registered Entity to the engagement:

6 Click the **link icon**

7 Check the **box** nest to the Registered Entity you wish to link

8 Click **Confirm**

Notice: to unlink the registration you just linked, check the box next to the entity and hit the unlink icon (A).



Scheduled Engagements

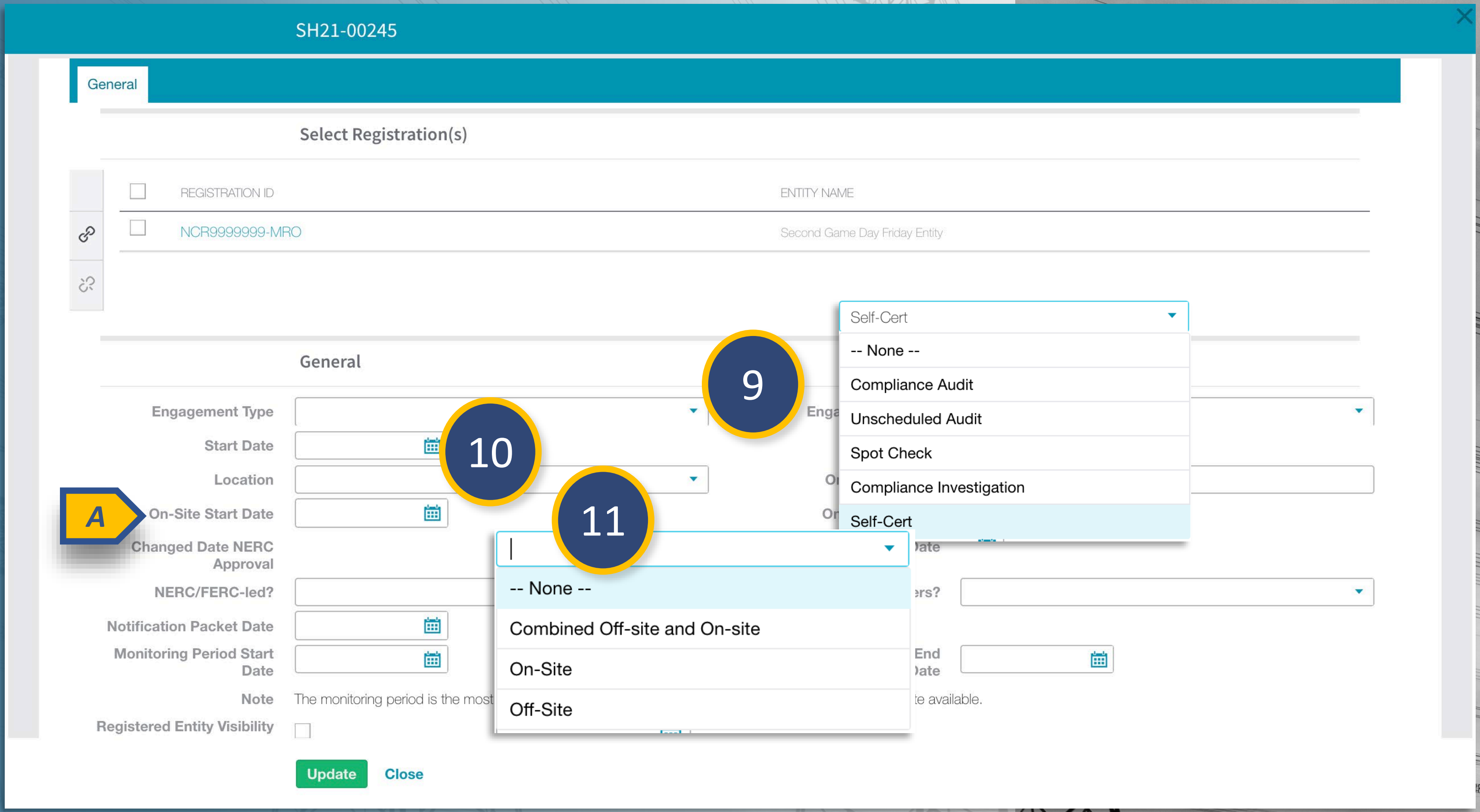
In the General Section of the Scheduled Engagements Form:

9 Select the **Engagement Type** from the **dropdown**

10 Click the **calendar icon** to select the **Start Date**

11 Select the **Location** from the **dropdown**

Notice: If you select On-Site of Combined Off-site and On-site, you will need to select an on-site start and end date (a)



Scheduled Engagements

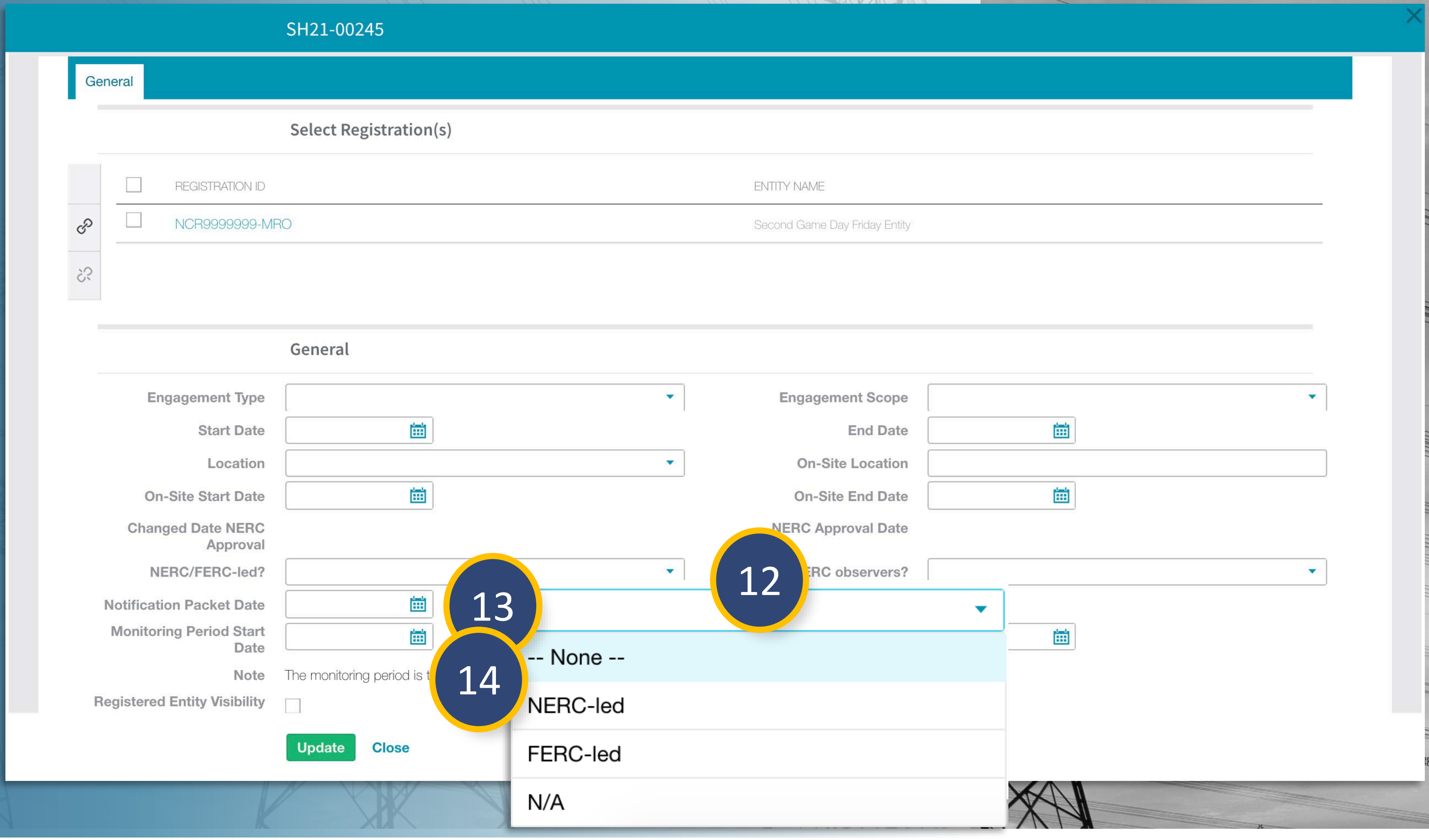
12 Select **NERC-led, FERC-led, or N/A** from the **dropdown**

Notice: Selecting N/A means this scheduled engagement is a regular engagement and is neither NERC-led or FERC-led

13 Click the **calendar** to select the **Notification Packet Date**

Notice: The Notification Packet Date will pre-populate in Align so only complete this step if this date is different than the one automatically assigned in Align

14 Click the **calendar** to select the **Monitoring Period Start Date**



Scheduled Engagements

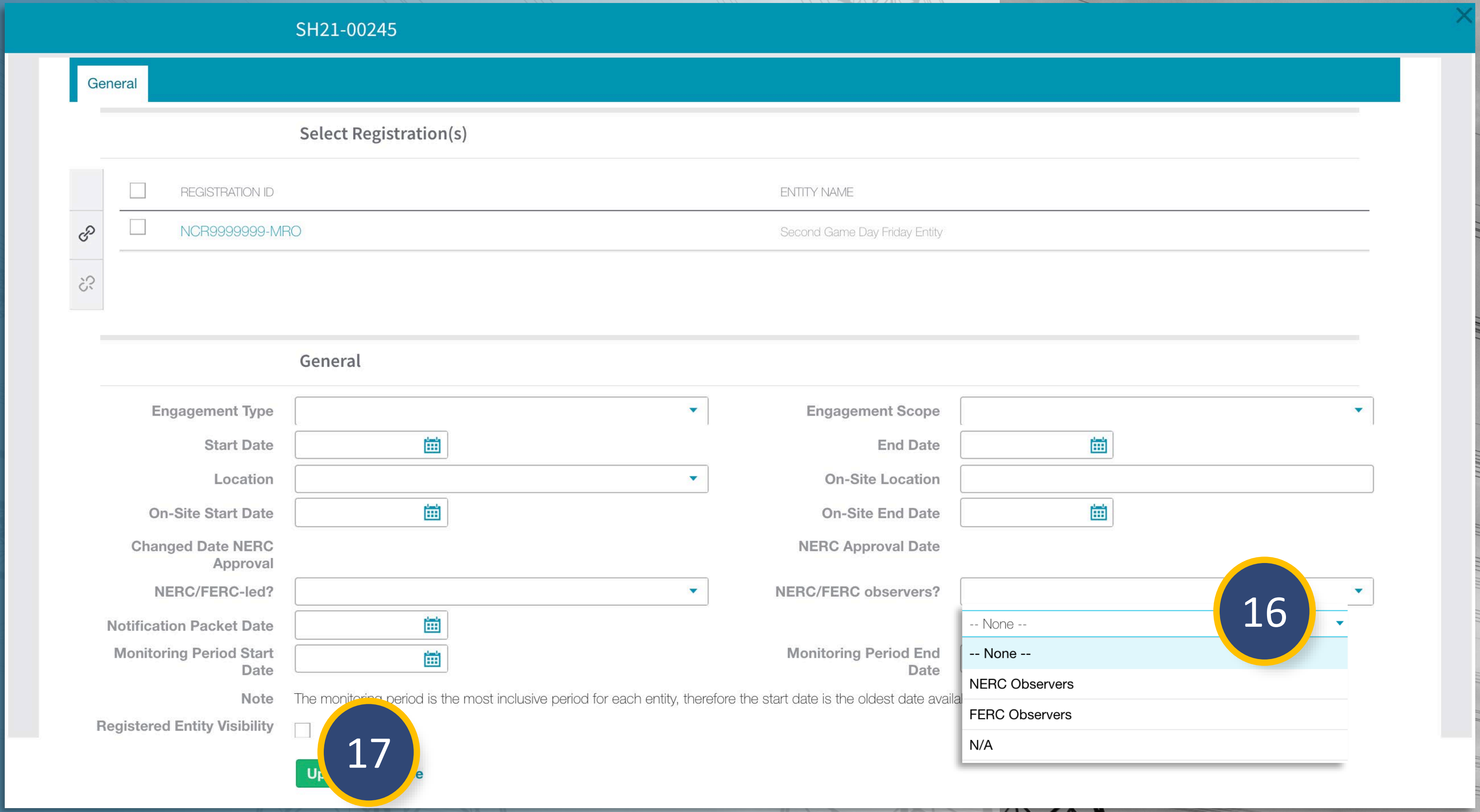
If there will be NERC or FERC observers on the audit:

16 Select **NERC Observers, FERC Observers or N/A** from the **dropdown**

Notice: Selecting N/A means this scheduled engagement is a regular engagement and is neither NERC-led or FERC-led

17 If you would like the engagement to be visible to the RE, check the **Registered Entity Visibility checkbox**

Notice: Selecting this checkbox will alert the Registered Entity of the engagement when you update the form. Only check this box if you are ready to notify the entity.



Scheduled Engagements

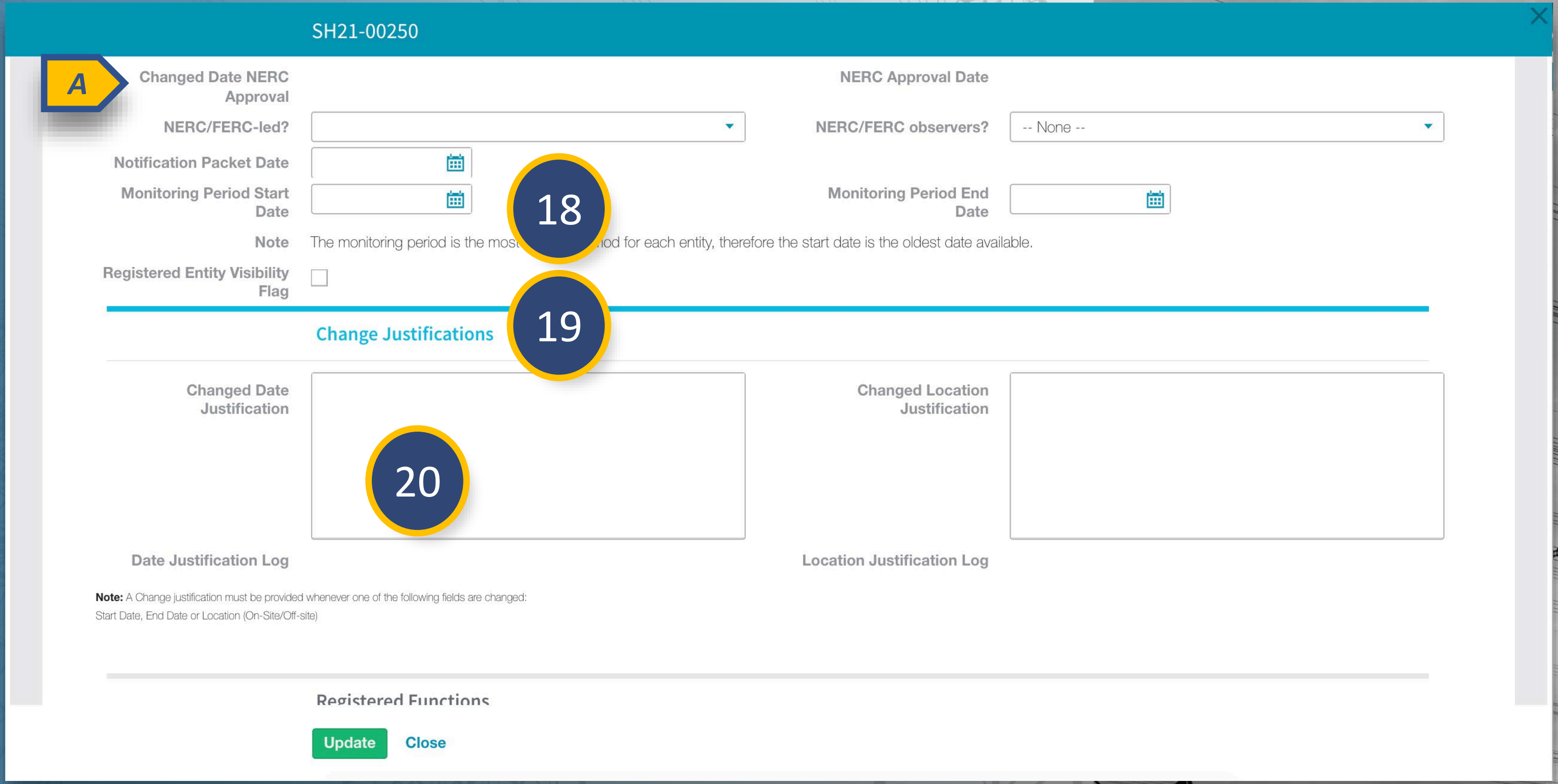
If you need to change the Monitoring Period Dates or Location after you have saved the engagement:

18 Click the **calendar** to select the new **Monitoring Period Start Date**

19 Click to expand the **Change Justifications section**

20 Type the reason in the **Change Date Justification** or **Change Location Justification textbox**

Notice: Once NERC approves your request, the date of approval will appear in the Changed Date Approval section above (a)



Scheduled Engagements

To assign members to the engagement team:

21 Scroll to the **Assign Resources section**

22 Select **Assign Resources**

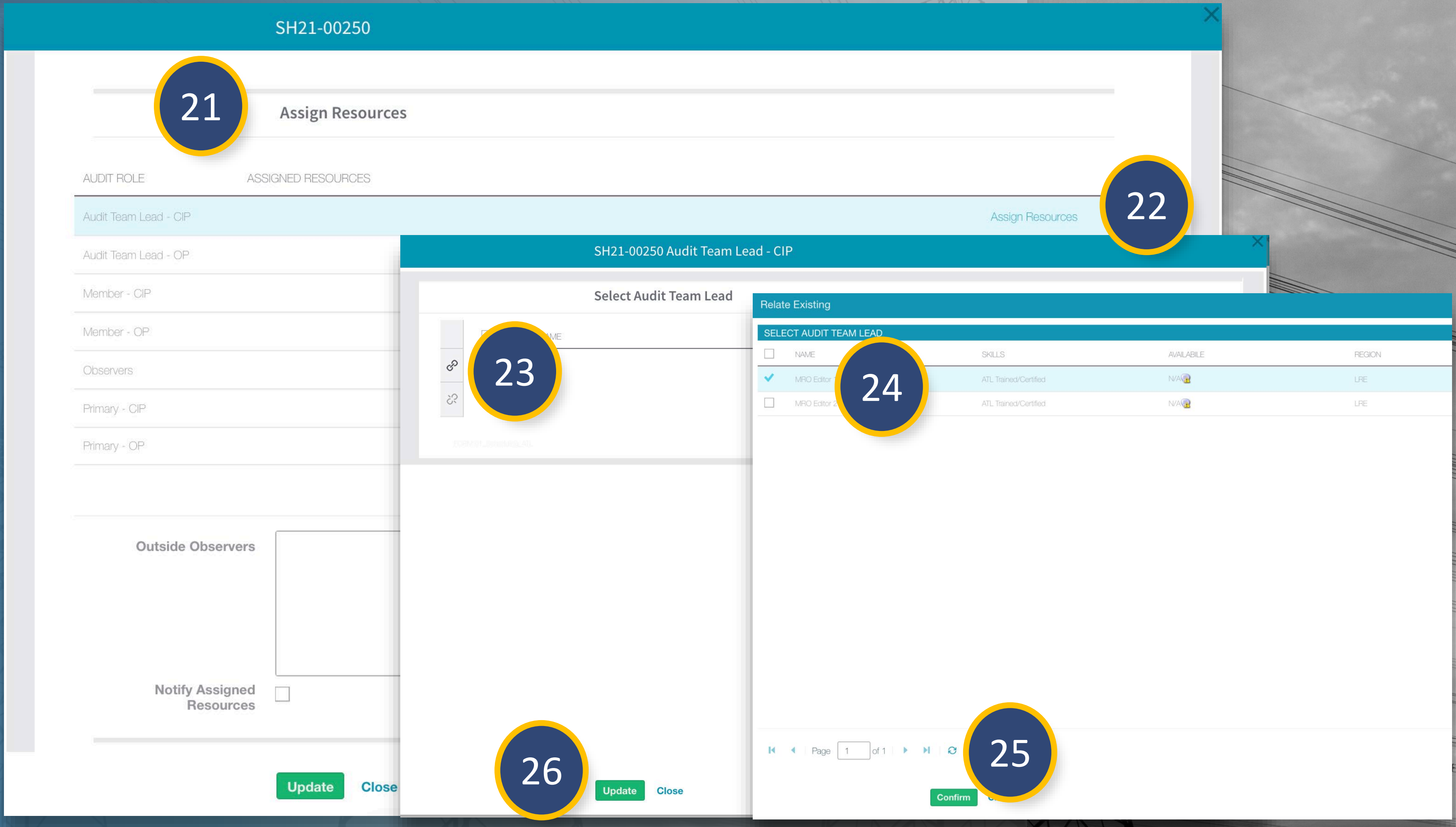
23 Click the **link icon**

24 Check the **box** next to the member you wish to assign

25 Click **Confirm**

26 Click **Update**

Notice: The member you just selected is assigned to the Audit role and is visible in the Assign Resources section.



Scheduled Engagements

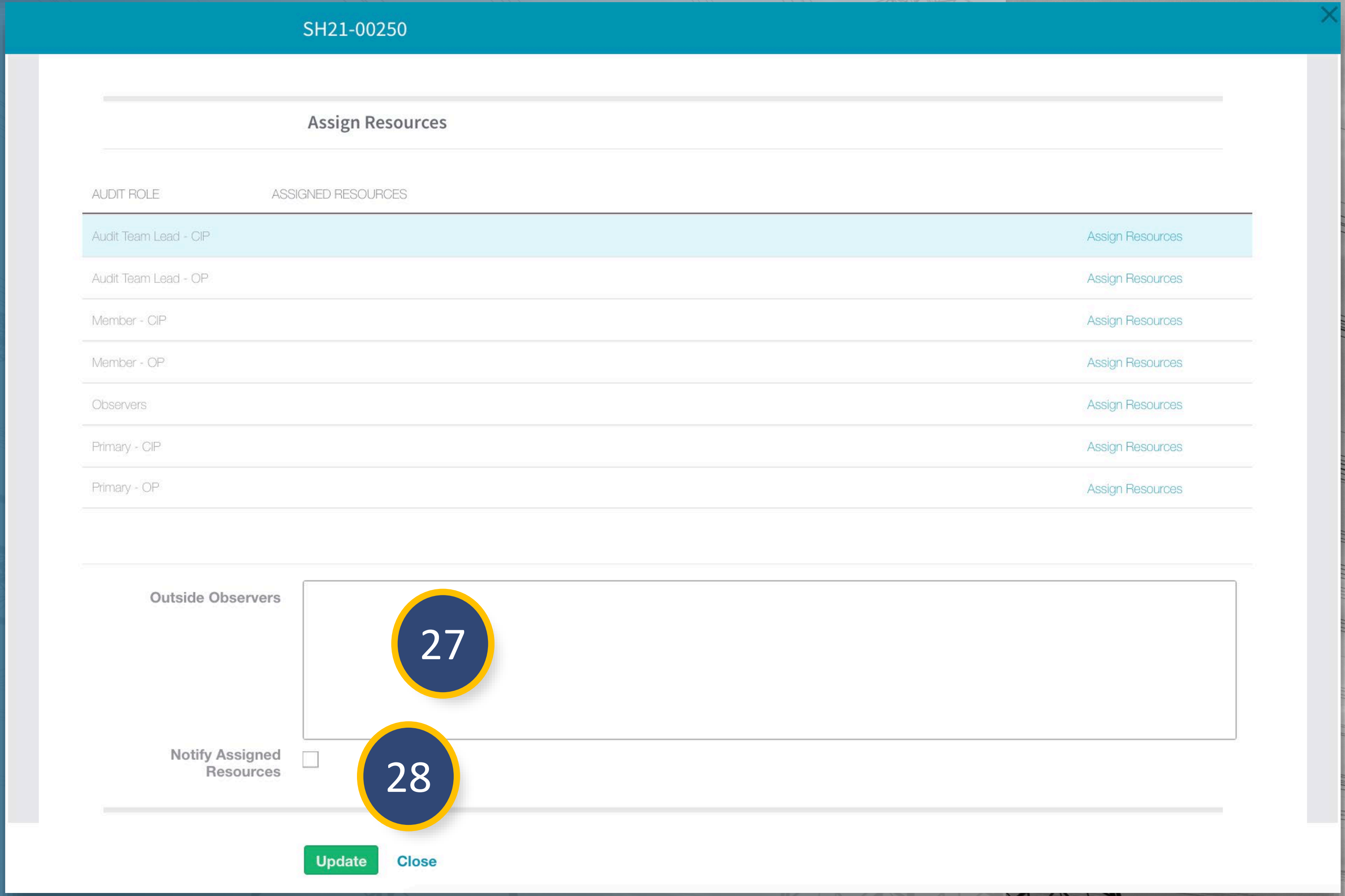
To add an observer without an Align account:

27 Type their name and title in the **Outside Observers textbox**

When you are ready to notify the engagement team:

28 Check the **Notify Assigned Resources checkbox**

Notice: Checking the Notify Assigned Resources checkbox will trigger a notification in Align. Users without an Align account will need to be notified separately.



Scheduled Engagements

To add a Scheduled Milestone to the engagement:

29 Scroll to the **Scheduling Milestones section**

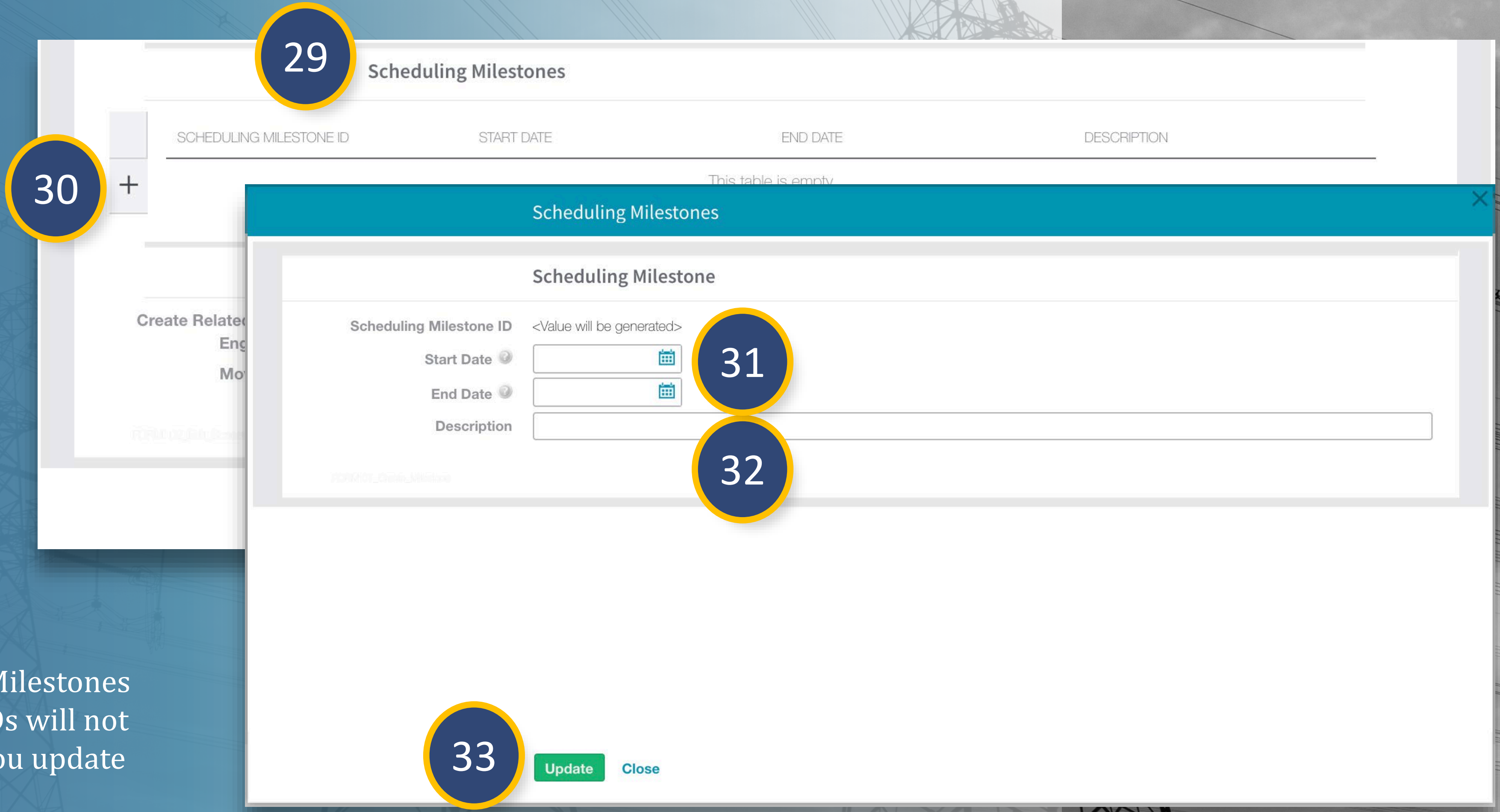
30 Click the **plus icon**

31 Click the **calendar icon** to choose a Start and End Date for the milestone

32 Type a description of the Milestone in the **textbox**

33 Click **Update**

Notice: Repeat this process to add as many Milestones as you would like. However, the Milestone IDs will not appear for the milestones you create until you update the Scheduled Engagement Form.



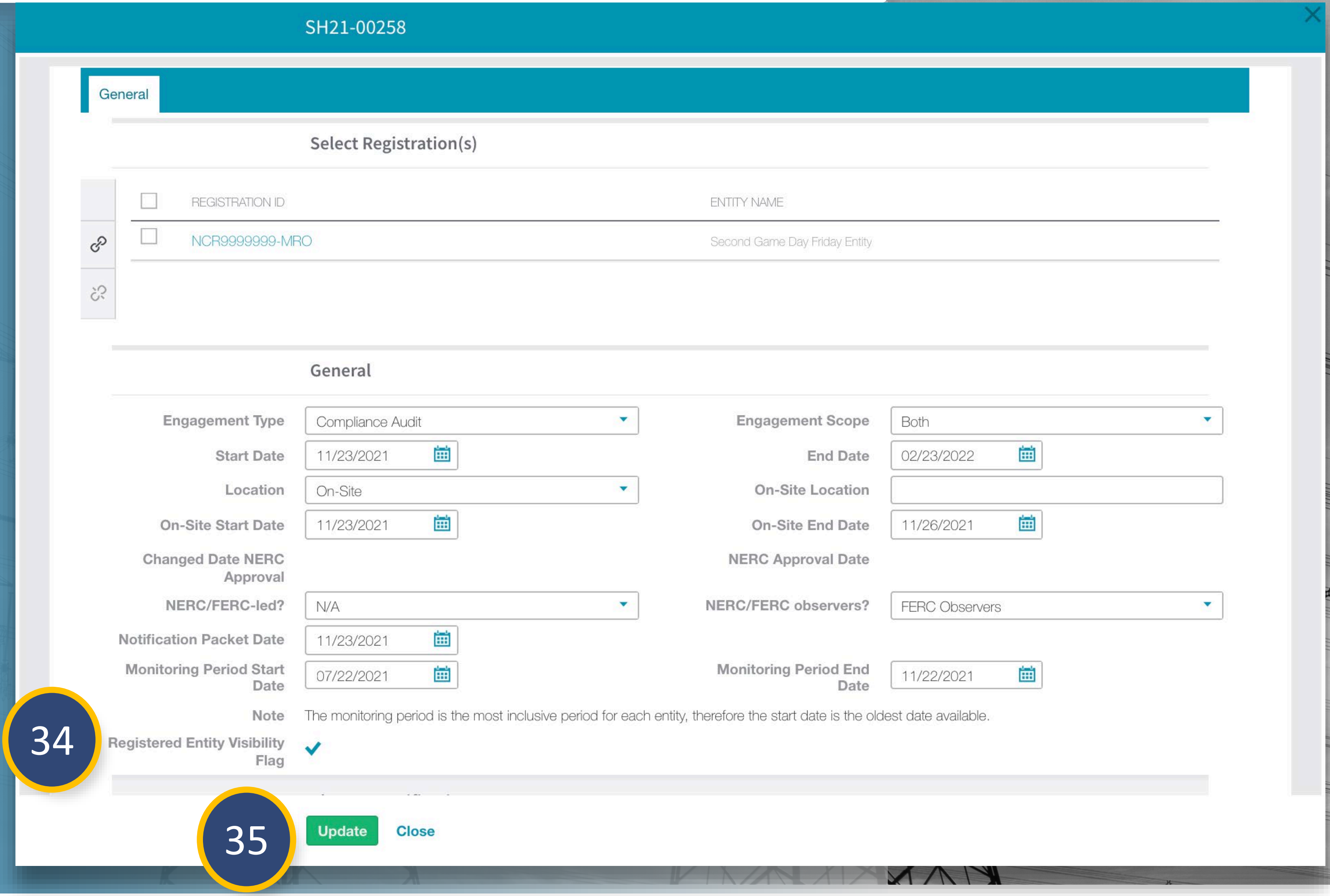
Scheduled Engagements

Once you have verified the information is correct and you are ready to submit the Scheduled Engagement:

34 In the **General section,** verify the Registered Entity Visibility Flag checkbox is checked

35 Click **Update**

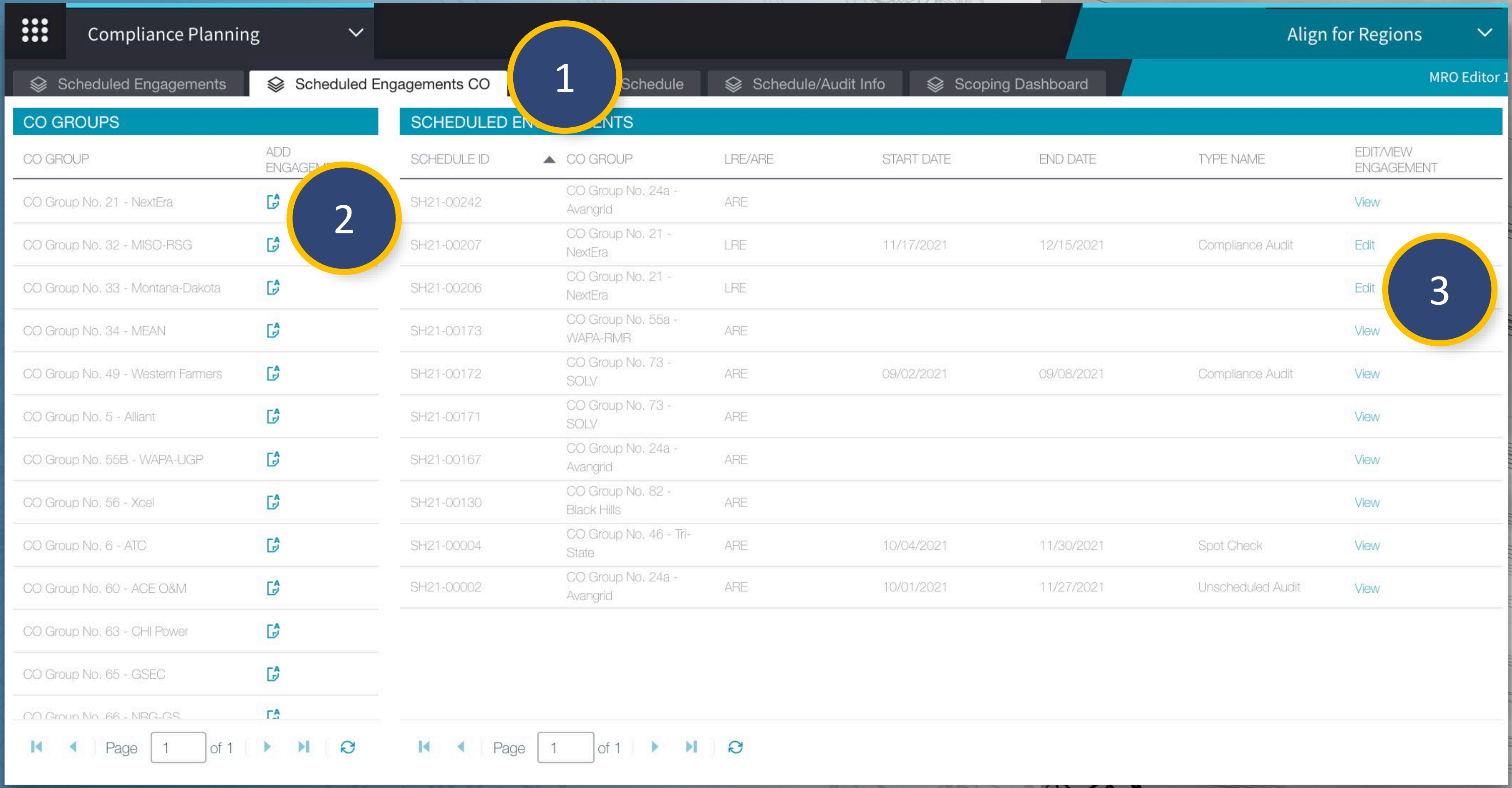
Notice: If the information is incomplete or the dates entered in the form are incorrect, Align will issue a warning and you will be unable to submit the Scheduled Engagement



Scheduled Engagements – Coordinated Oversight

If you wish to create a Scheduled Engagement for a Coordinated Oversight group:

1. Navigate to the **Scheduled Engagements CO tab**
2. Click the **icon** in the Add Engagement column
3. Click **Edit** to view the engagement you just created

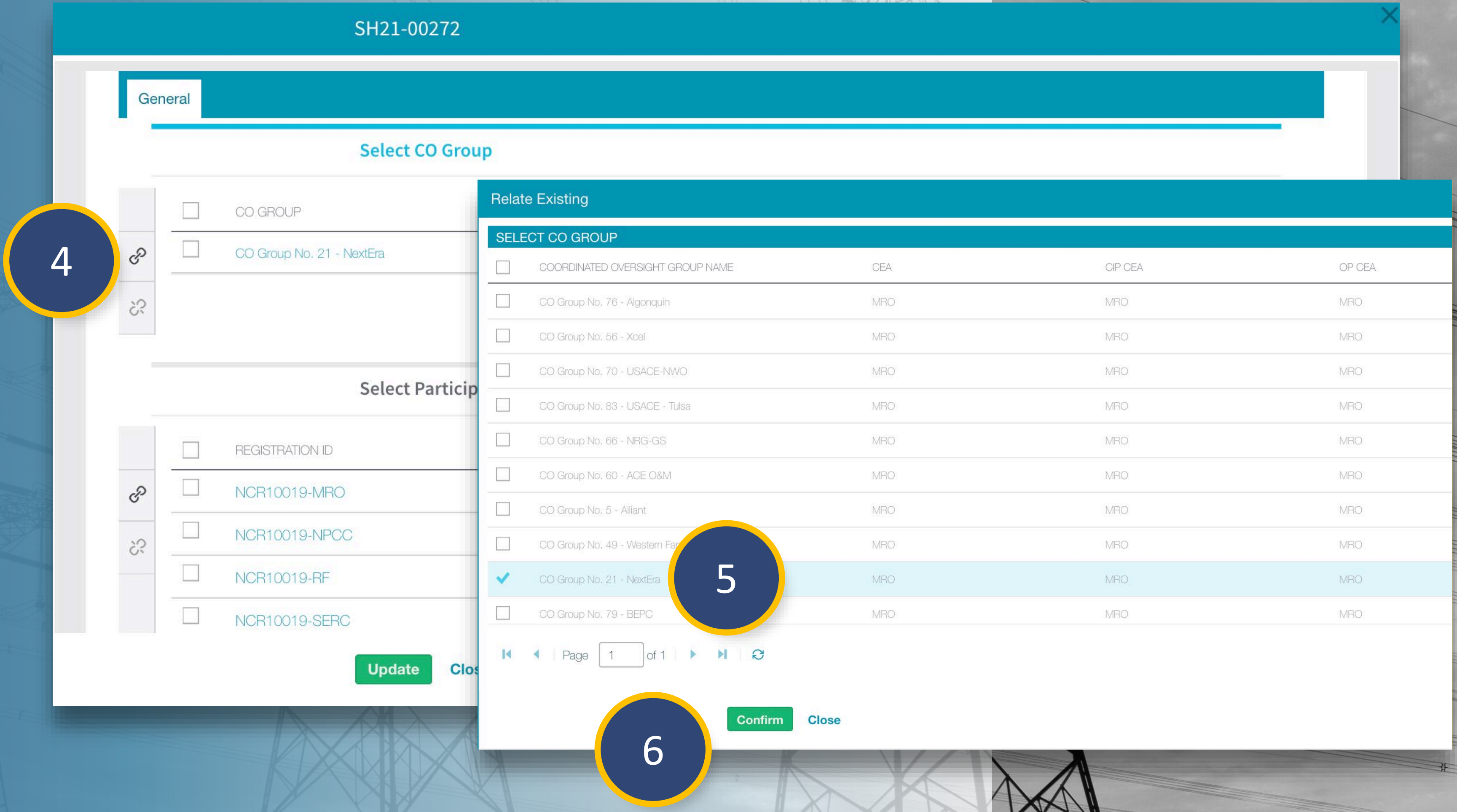


Scheduled Engagements – Coordinated Oversight

ALIGN

To select a Coordinated Oversight Group:

4. In the Select CO Group section, click the **link icon**
5. Check the **checkbox** next to the CO group you wish to add
6. Click **Confirm**



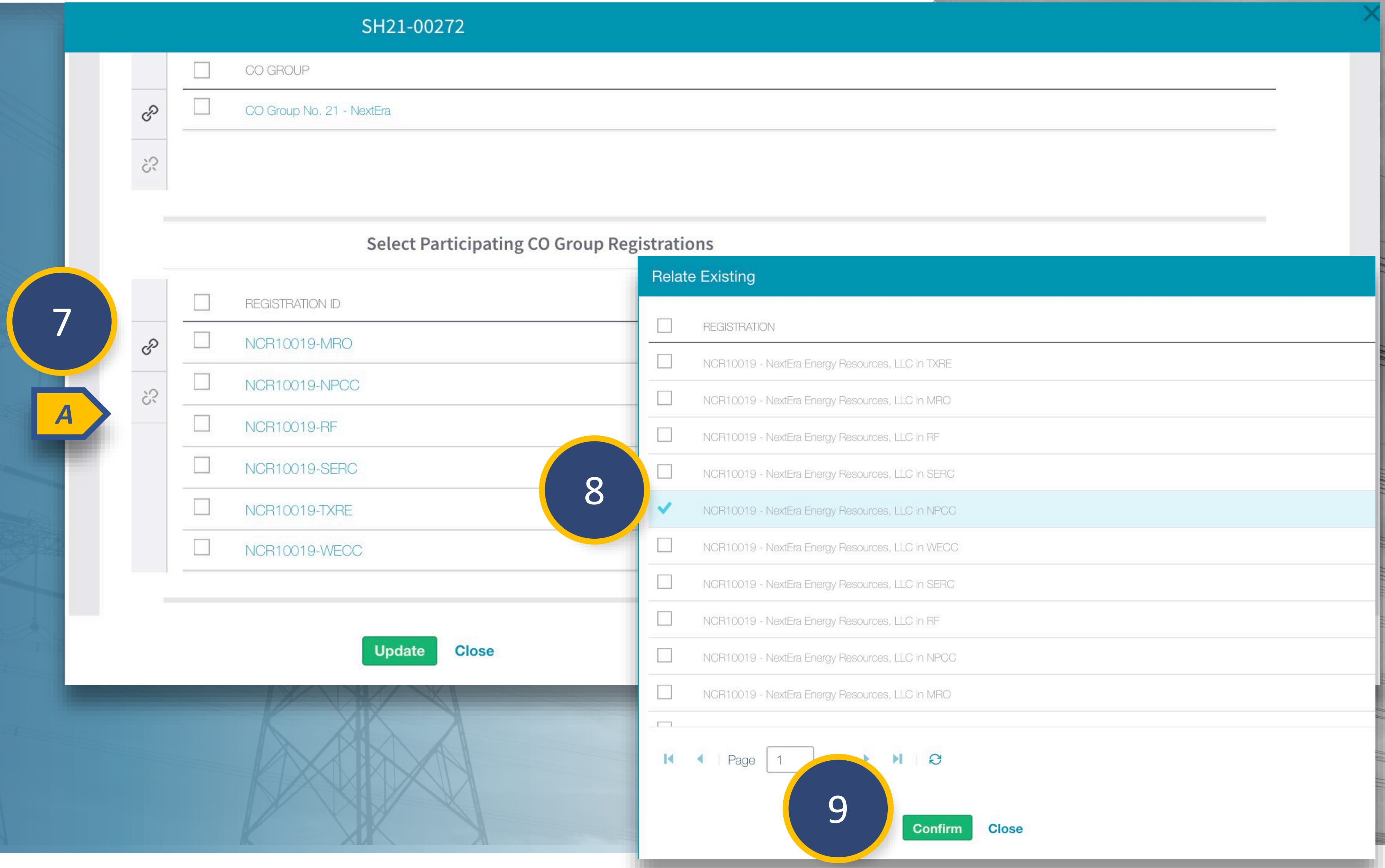
Scheduled Engagements – Coordinated Oversight

To add additional Registration Functions to the Engagement:

7. In the Select Participating CO Group Registrations section, click the **link icon**
8. Check the **checkbox** next to the registration you wish to add
9. Click **Confirm**

Notice: To remove a registration from the engagement, click the unlink icon (a)

Notice: The rest of the Scheduled Engagement - Coordinated Oversight form follows the same steps as the Scheduled Engagements form and can completed following the same steps.

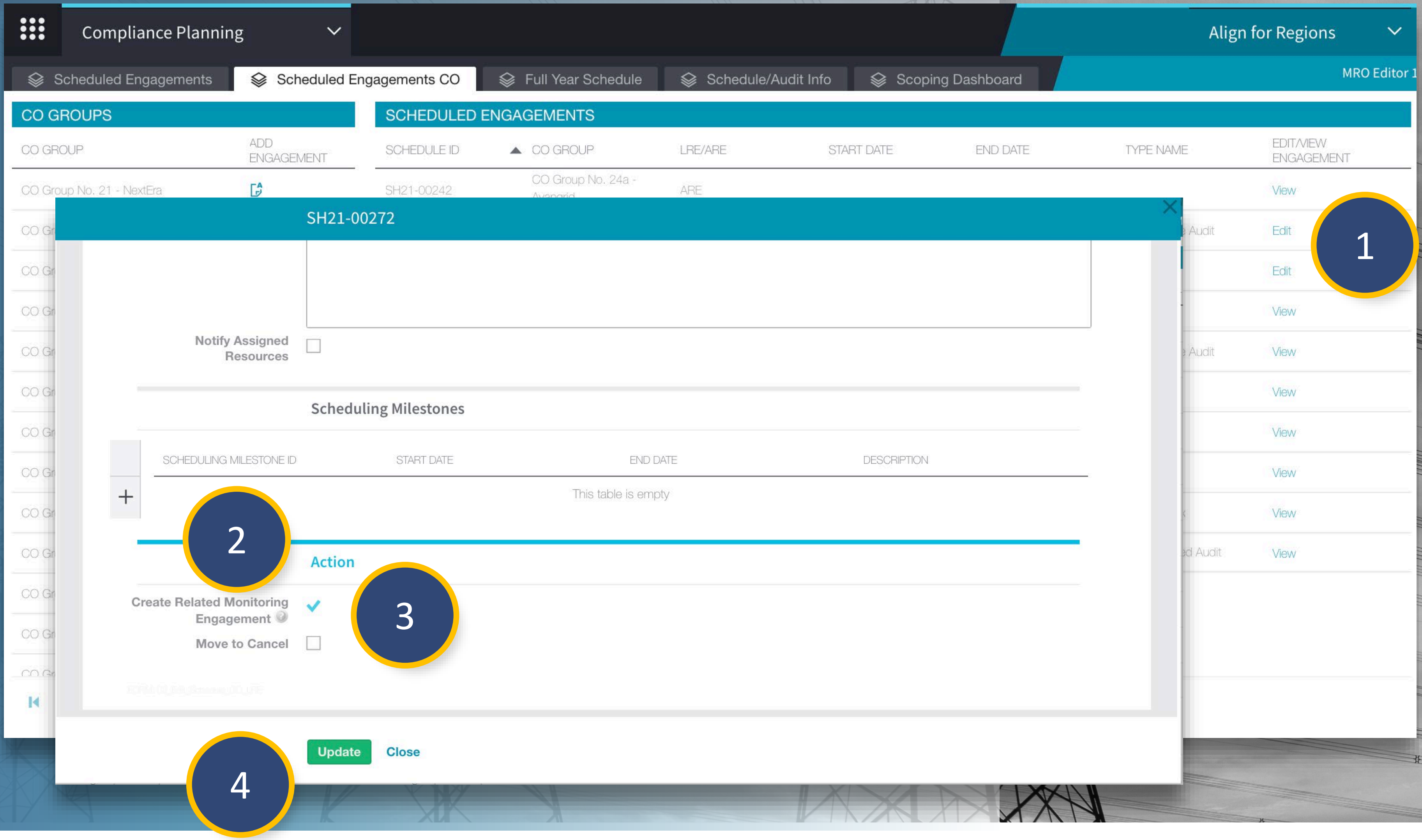


Scheduled Engagements – Coordinated Oversight

If you need to cancel a Scheduled Engagement:

1. Click **Edit** to open the scheduled engagement
2. Scroll to the **Action section**
3. Check the **checkbox** next to Move to Cancel
4. Click **Update**

Notice: This action cannot be undone. Verify all information is correct before updating the form.

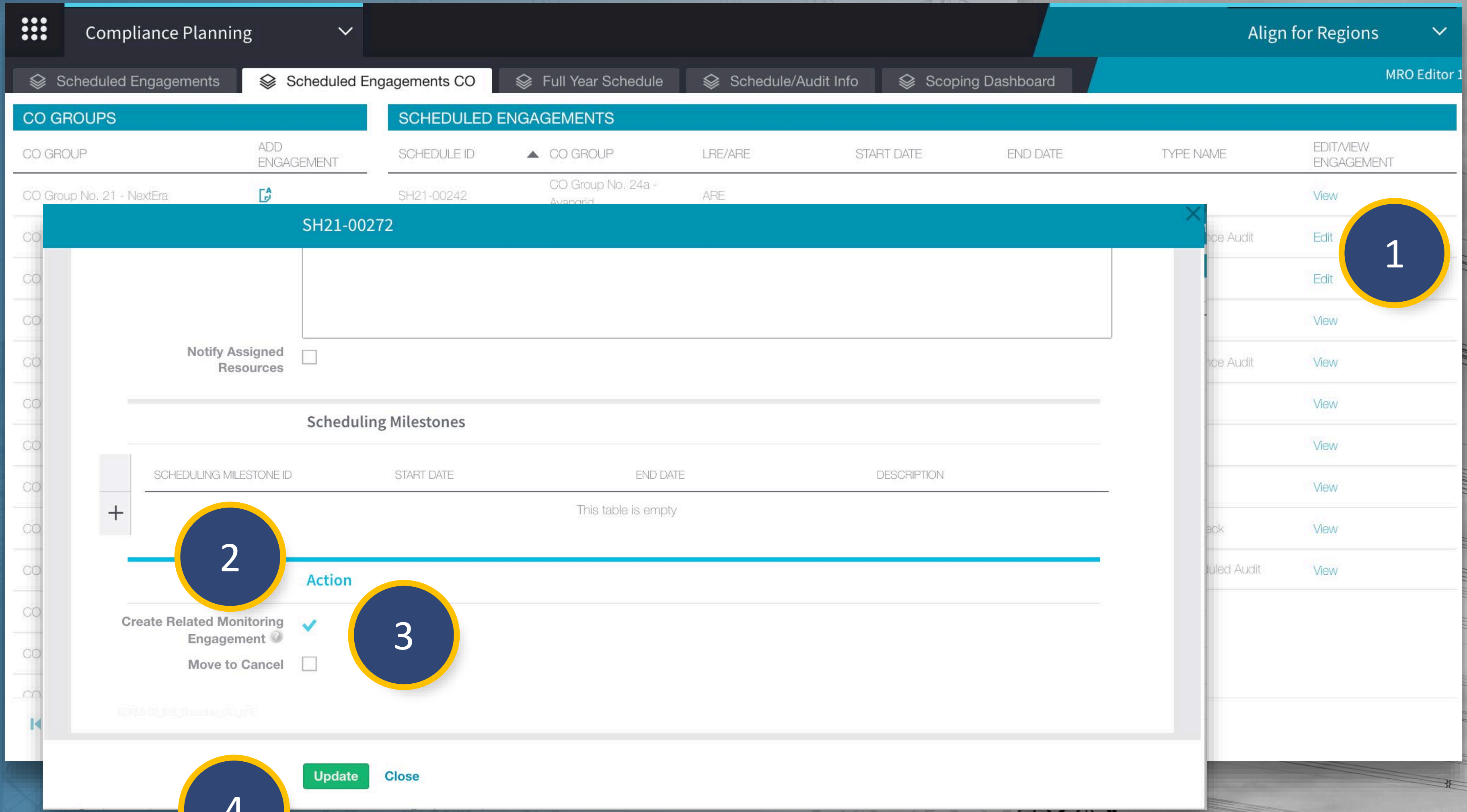


Scheduled Engagements – Coordinated Oversight

To create the Related Engagement Record for a Scheduled Engagement:

1. Click **Edit** to open the scheduled engagement
2. Scroll to the **Action section**
3. Check the **checkbox** next to Create Related Monitoring Engagement
4. Click **Update**

Notice: This action cannot be undone. Verify all information is correct before updating the form.



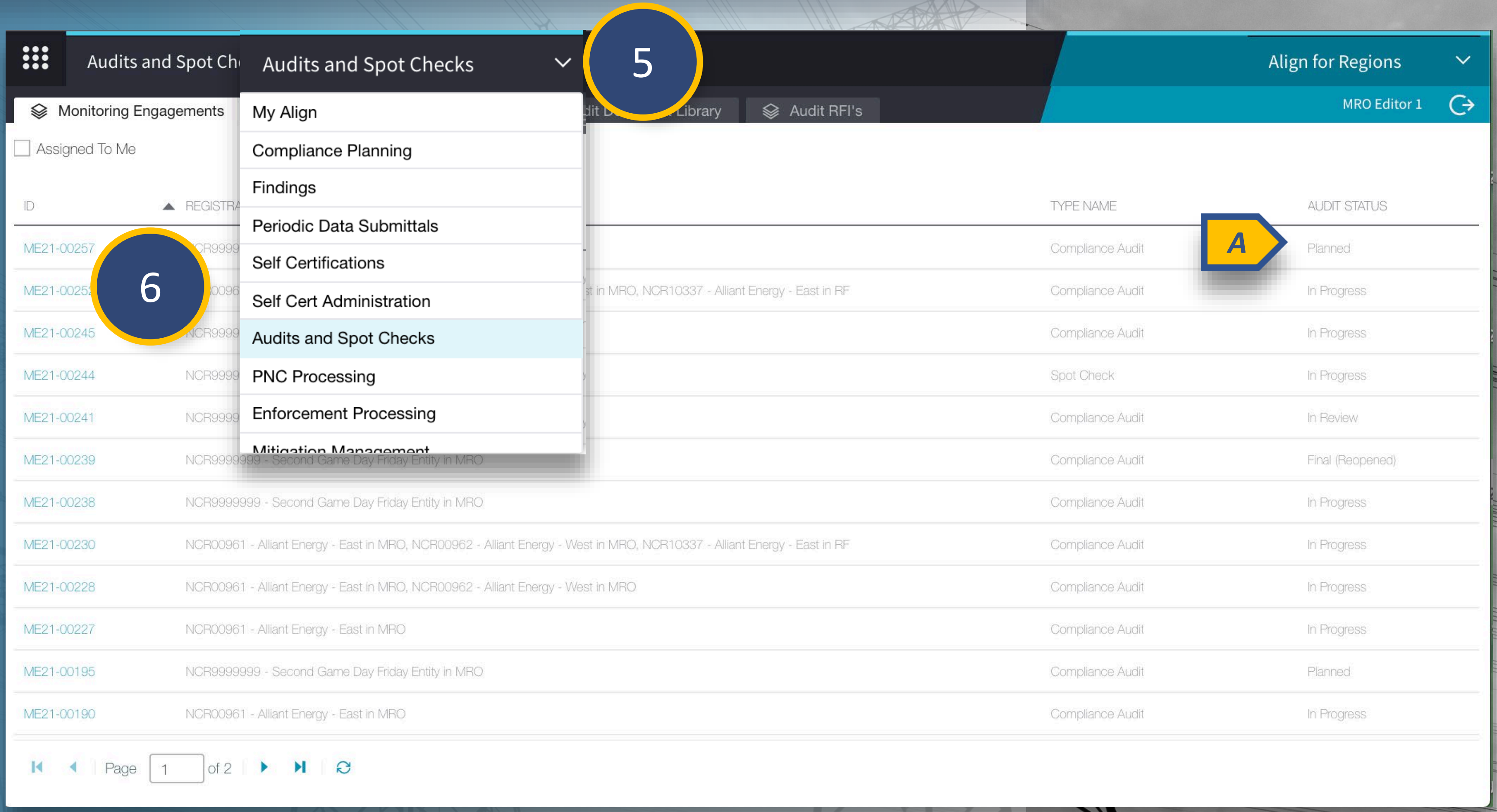
Scheduled Engagements – Coordinated Oversight

To view the Engagement Record you just created:

5. Navigate to the **Audit and Spot Checks View** from the **dropdown menu**

6. Locate the Engagement Record you just created in the **Monitoring Engagements tab**

Notice: The Audit Status (a) should now state “Planned”



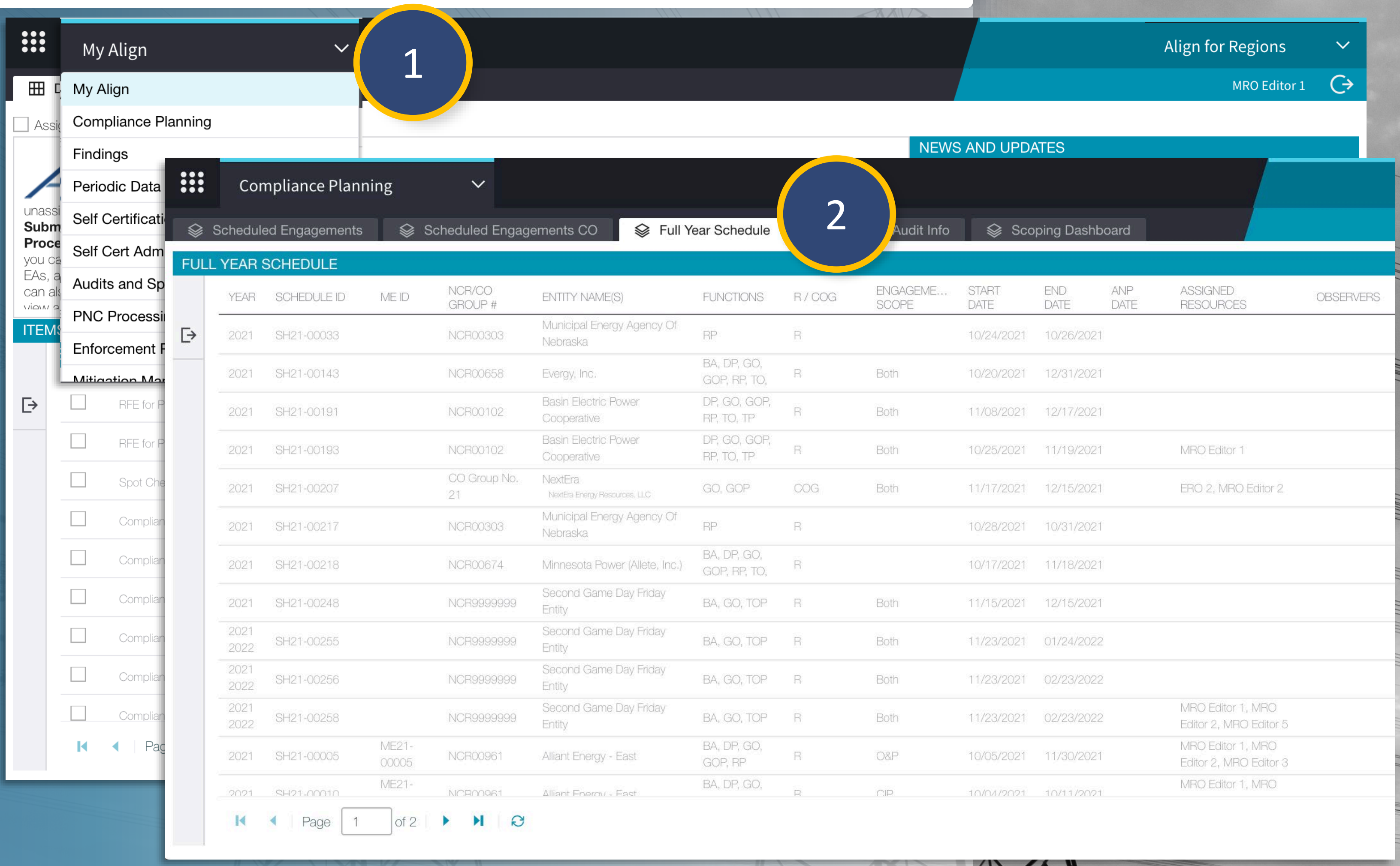
Scheduled Engagements – Full Year Schedule

To view current and upcoming Scheduled Engagements:

1. Click the **dropdown arrow** to navigate to the **Compliance Planning View**

2. Select the **Full Year Schedule tab**

Notice: The Full Year Schedule tab shows all current and upcoming Engagements. All information in the columns is populated from the scheduling forms you created in the Scheduled Engagements tab.



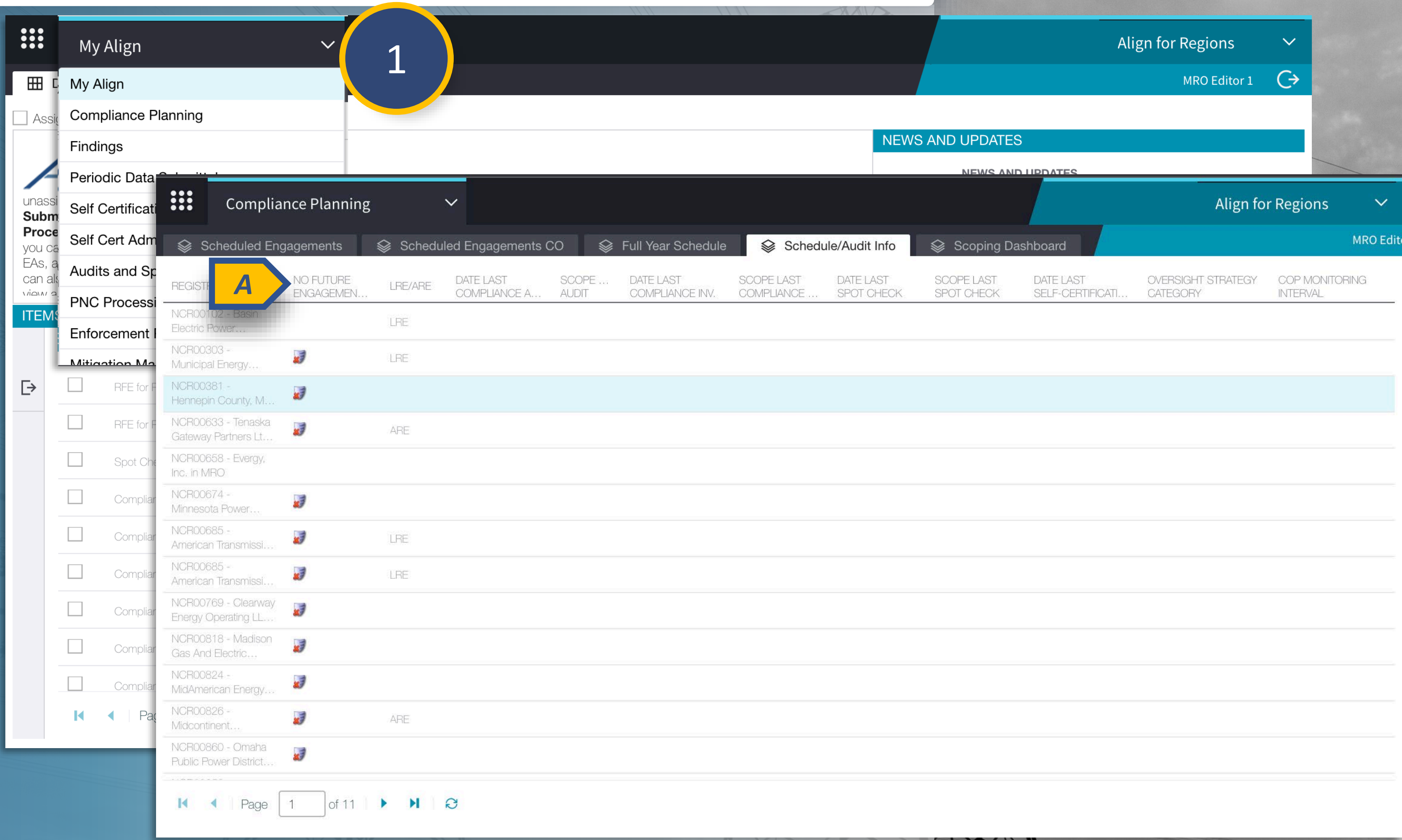
Scheduled Engagements – Schedule/Audit Info

To view past Scheduled Engagements:

1. Click the **dropdown arrow** to navigate to the **Compliance Planning View**

2. Select the **Schedule/Audit Info tab**

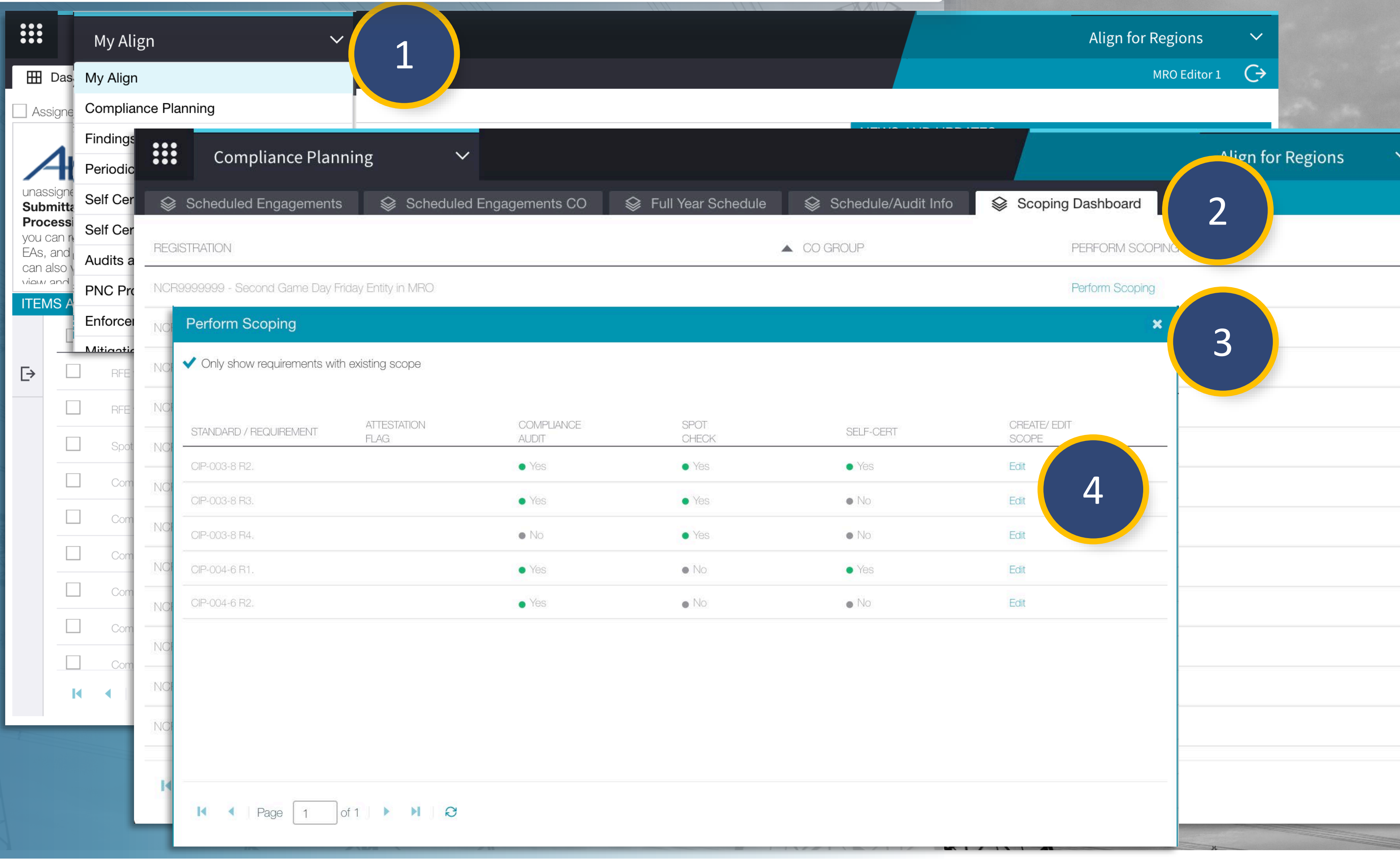
Notice: The icons in the No Future Engagements Column (a) indicate whether an entity has an Engagement scheduled. Registrations without an icon have an Engagement on the schedule, while those with an icon do not.



Scheduled Engagements – Scoping Dashboard

To edit an existing Scope Determination for an entity:

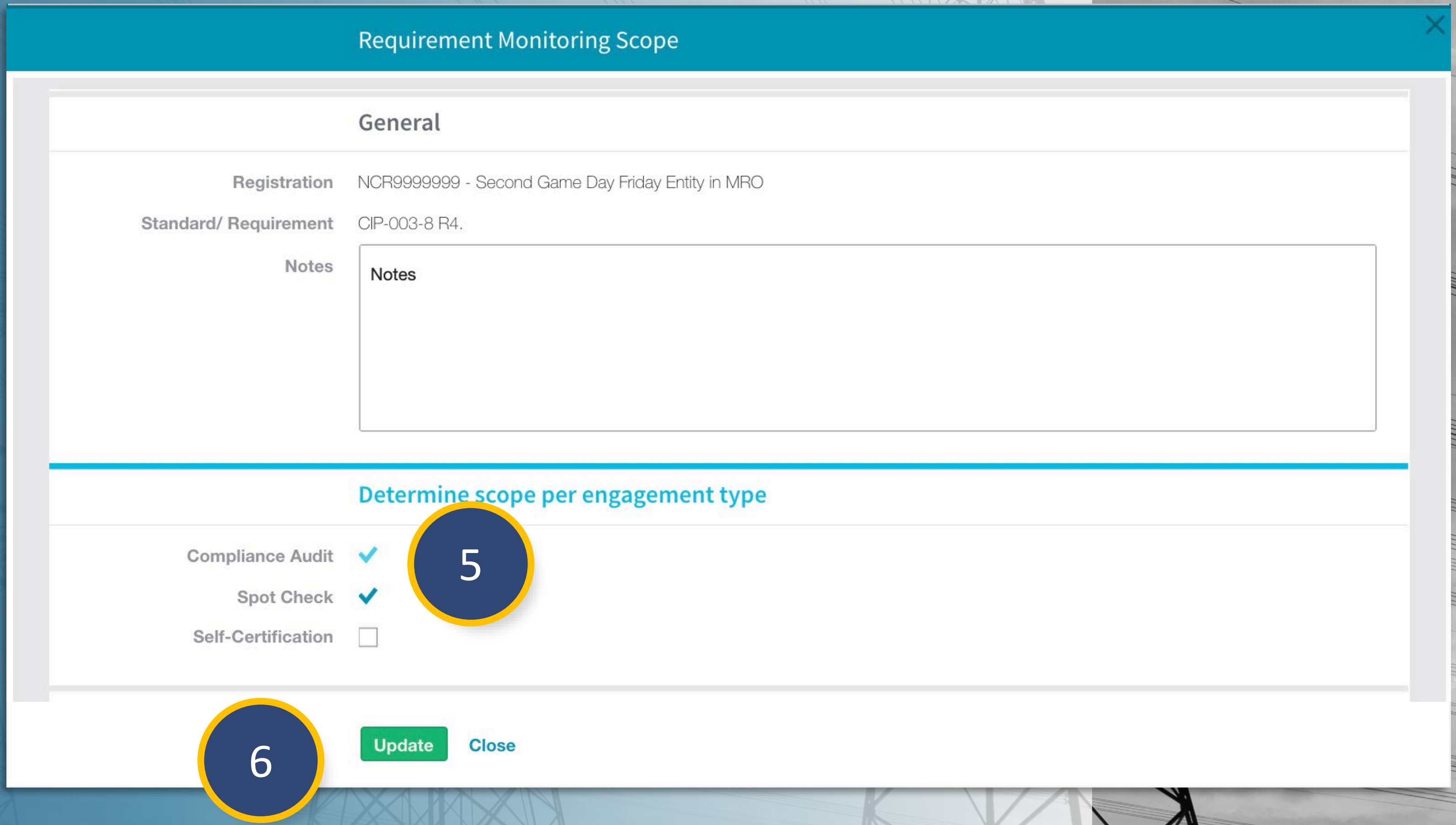
1. Click the **dropdown arrow** to navigate to the **Compliance Planning View**
2. Select the **Scoping Dashboard tab**
3. Click **Perform Scoping**
4. In the **Create/Edit Scope** column, select **Edit**



Scheduled Engagements – Scoping Dashboard

5. Check the **checkbox** next to the element you wish to add to the scope
6. Click **Update**

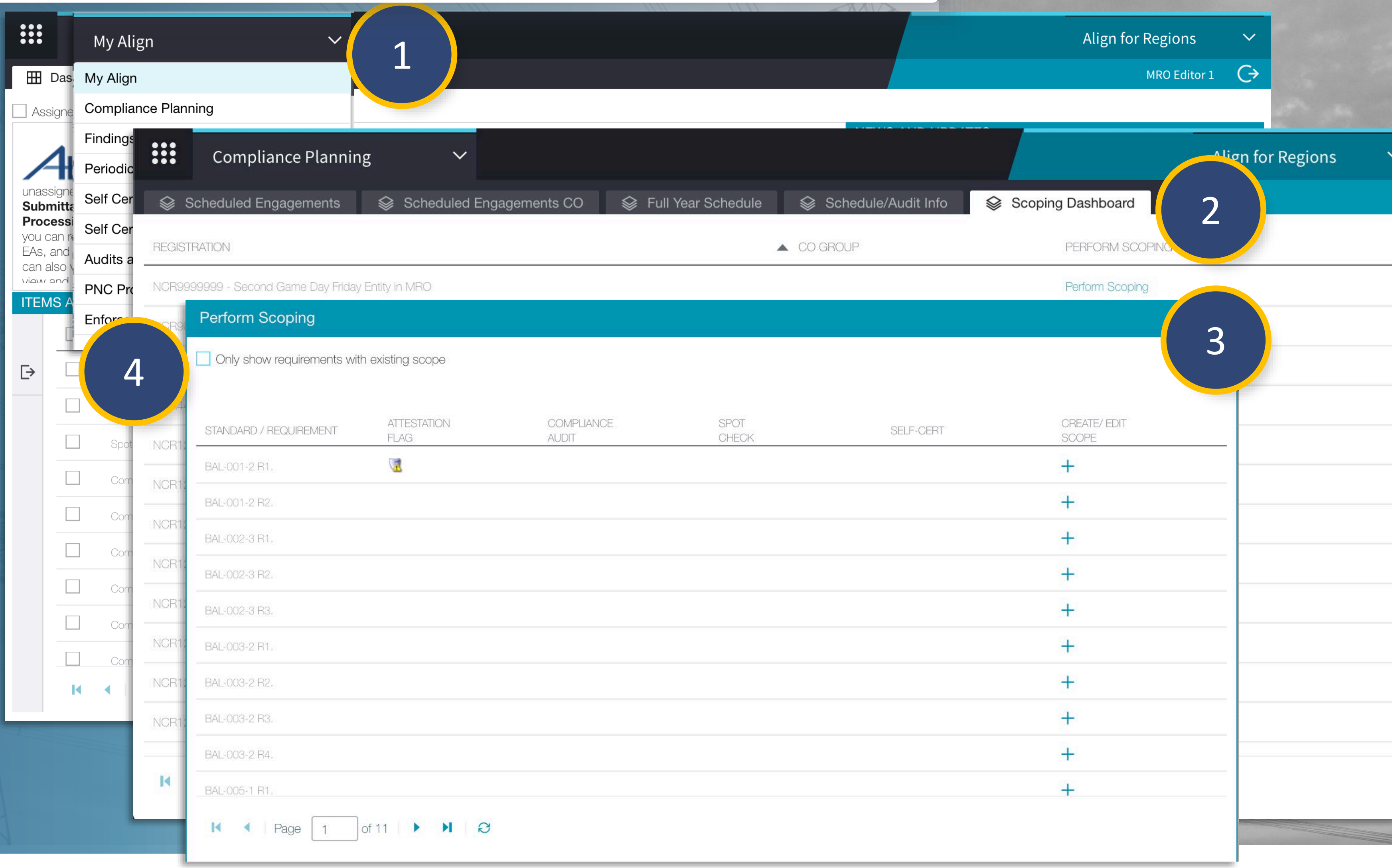
Notice: The elements you just selected will appear on any engagement created for the registration you selected.



Scheduled Engagements – Scoping Dashboard

To create a new Scope Determination for an entity:

1. Click the **dropdown arrow** to navigate to the **Compliance Planning View**
2. Select the **Scoping Dashboard tab**
3. Click **Perform Scoping**
4. Uncheck the **checkbox**

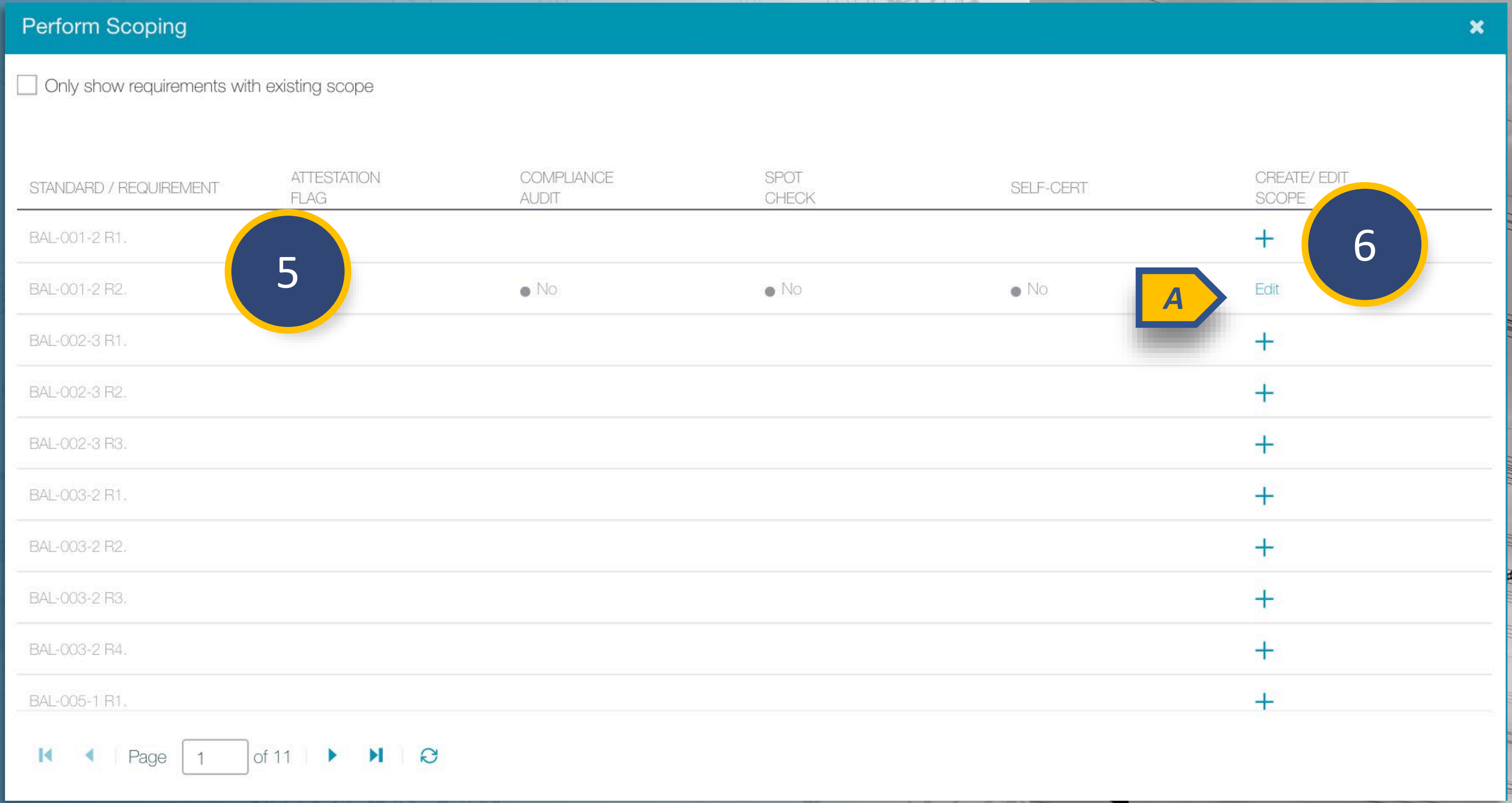


Scheduled Engagements – Scoping Dashboard

5 Locate the **Standard/Requirement** you wish to create a scope for

6 Click the **plus icon**

Notice: Clicking the plus icon will create an empty scope for the requirement. Click the edit button (a) and follow the same steps as before to edit the scope.

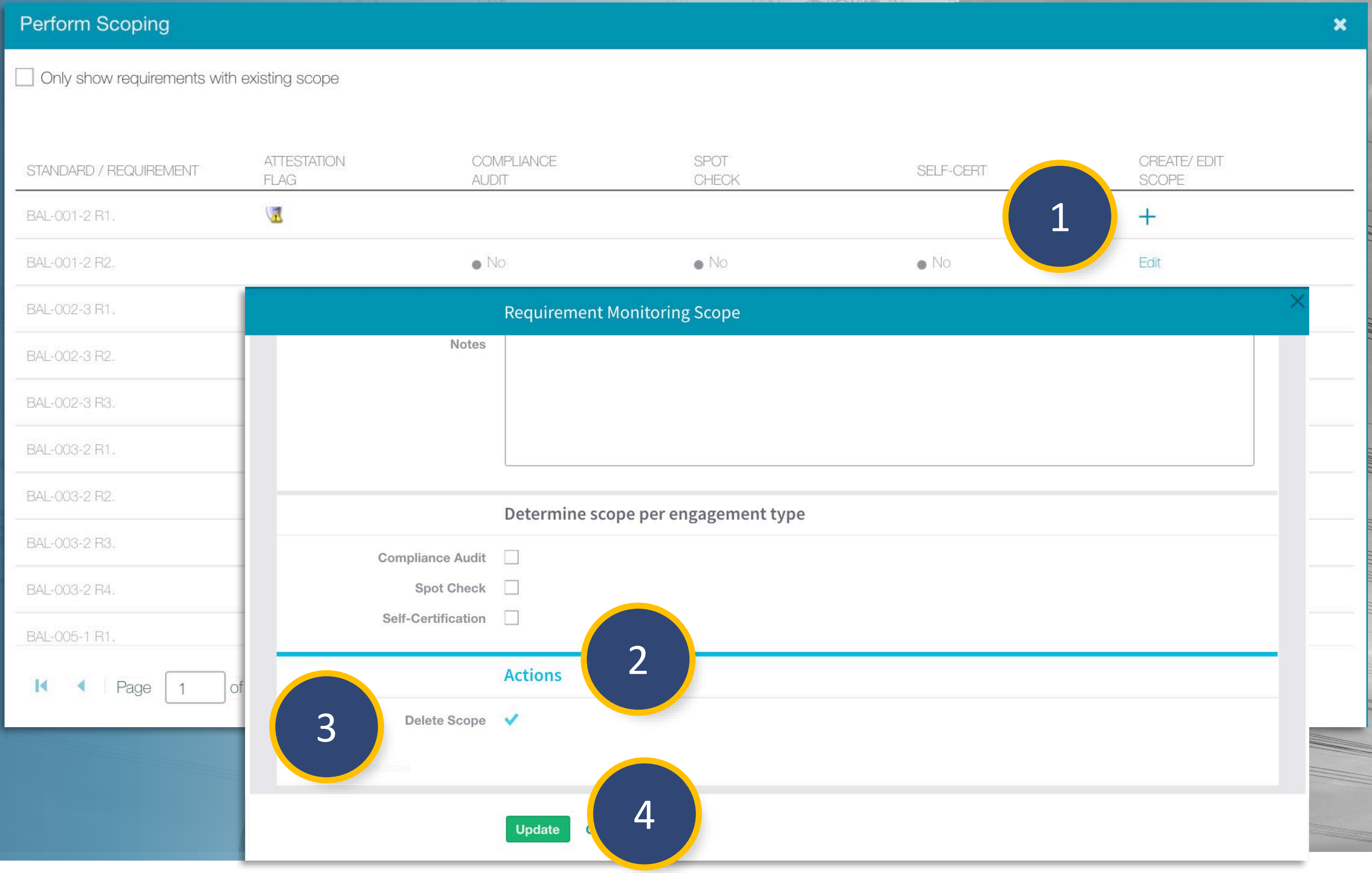


Scheduled Engagements – Scoping Dashboard

To delete a scope for a requirement:

1. Click the **plus icon**
2. Scroll to the **Actions section**
3. Check the **checkbox**
4. Click **Update**

Notice: The scope will now be empty and show a plus icon in the Create/Edit Scope column.

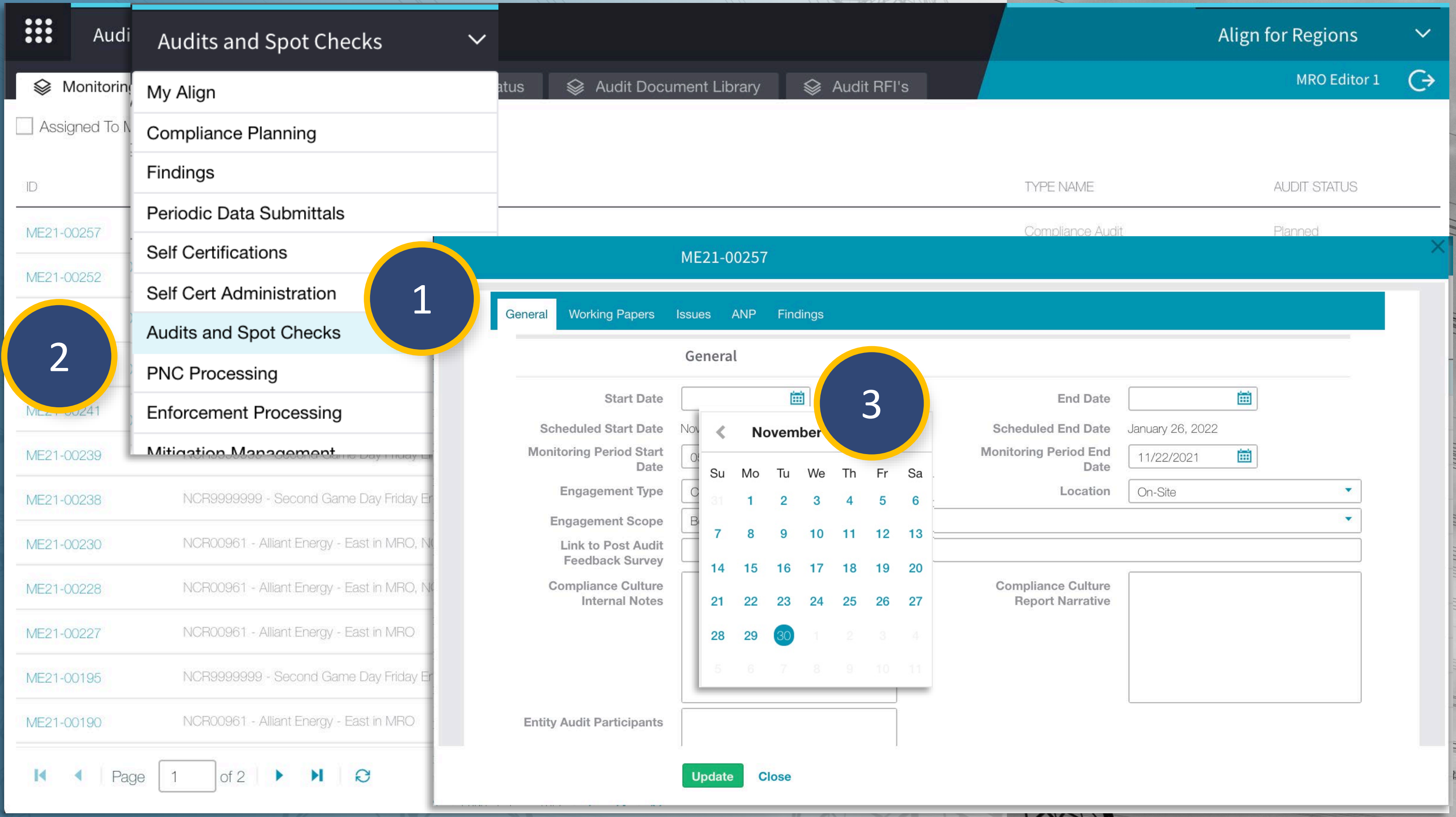


Monitoring Engagements

To complete the Monitoring Engagement Form:

1. Click the **dropdown arrow** to navigate to the **Audit and Spot Checks View**
2. Click the **ID** to open to Engagement form
3. Click the **calendar icon** to select the Start Date and End Date

Notice: Currently, Align does not auto-populate these dates from the Scheduled Engagements form. Ensure the dates you enter are the same as the dates you entered on the Scheduled Engagements form.



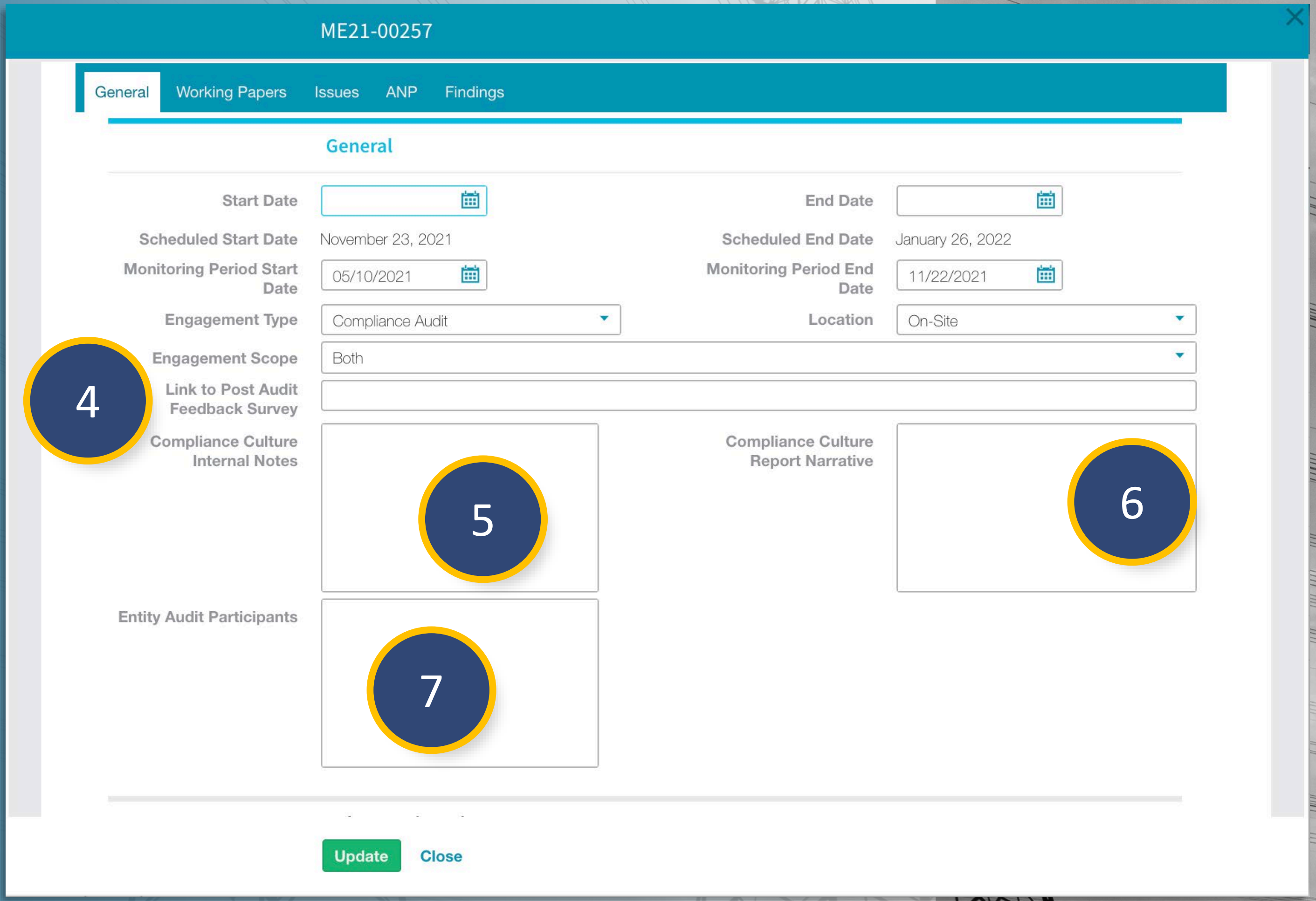
Monitoring Engagements

4 Enter the **Link to Post Audit Feedback Survey**

5 Type the **Compliance Culture Internal Notes**

6 Type the **Compliance Culture Report Narrative**

7 Type the **Entity Audit Participants**



Monitoring Engagements

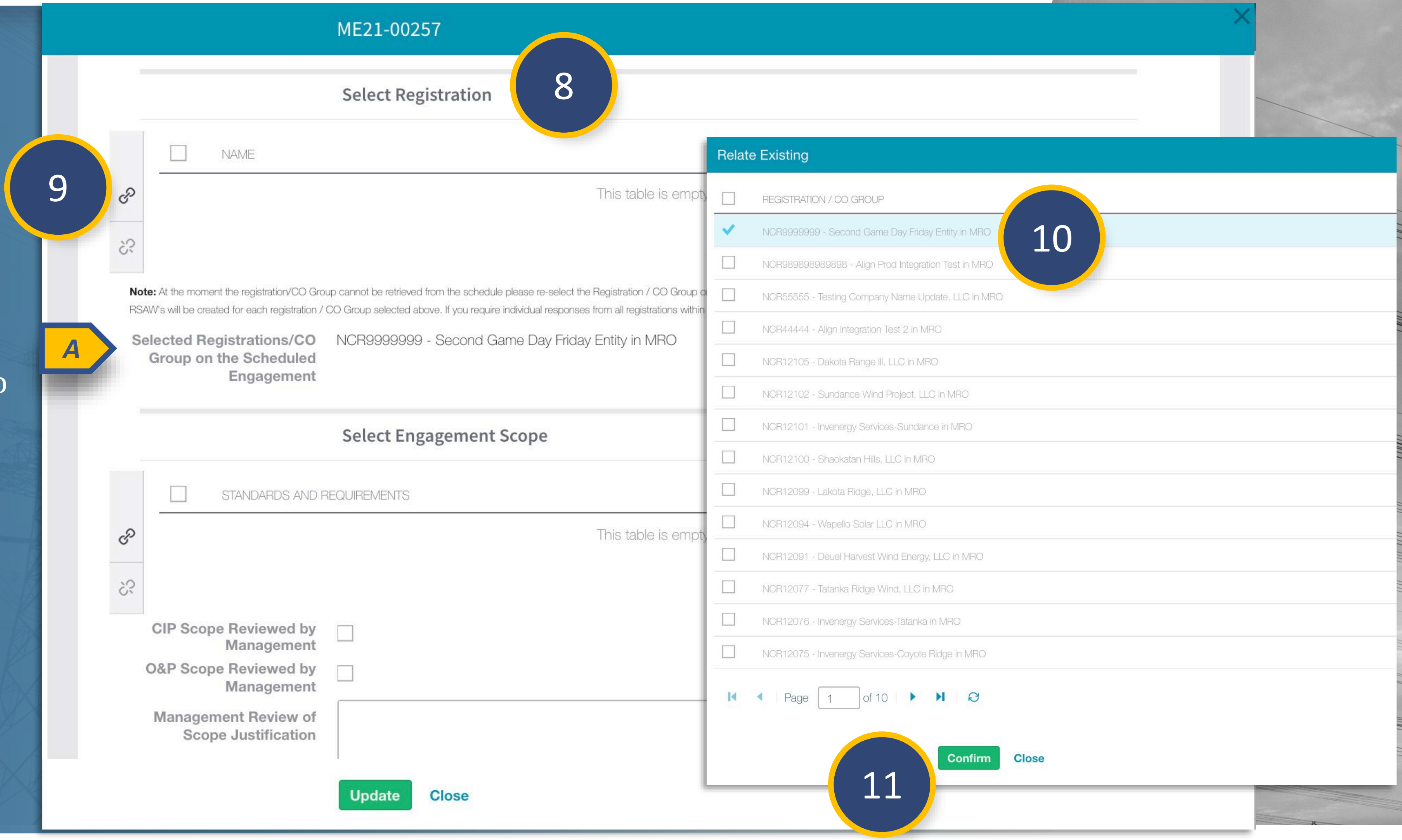
8. Scroll to the **Select Registration section**

9. Click the **link icon**

10. Check the **checkbox** next to the appropriate entities

Notice: The entities you selected on the scheduled engagements form appear in the Select Registration section (a)

11. Click **Confirm**



Monitoring Engagements

To add an Engagement Scope to the form:

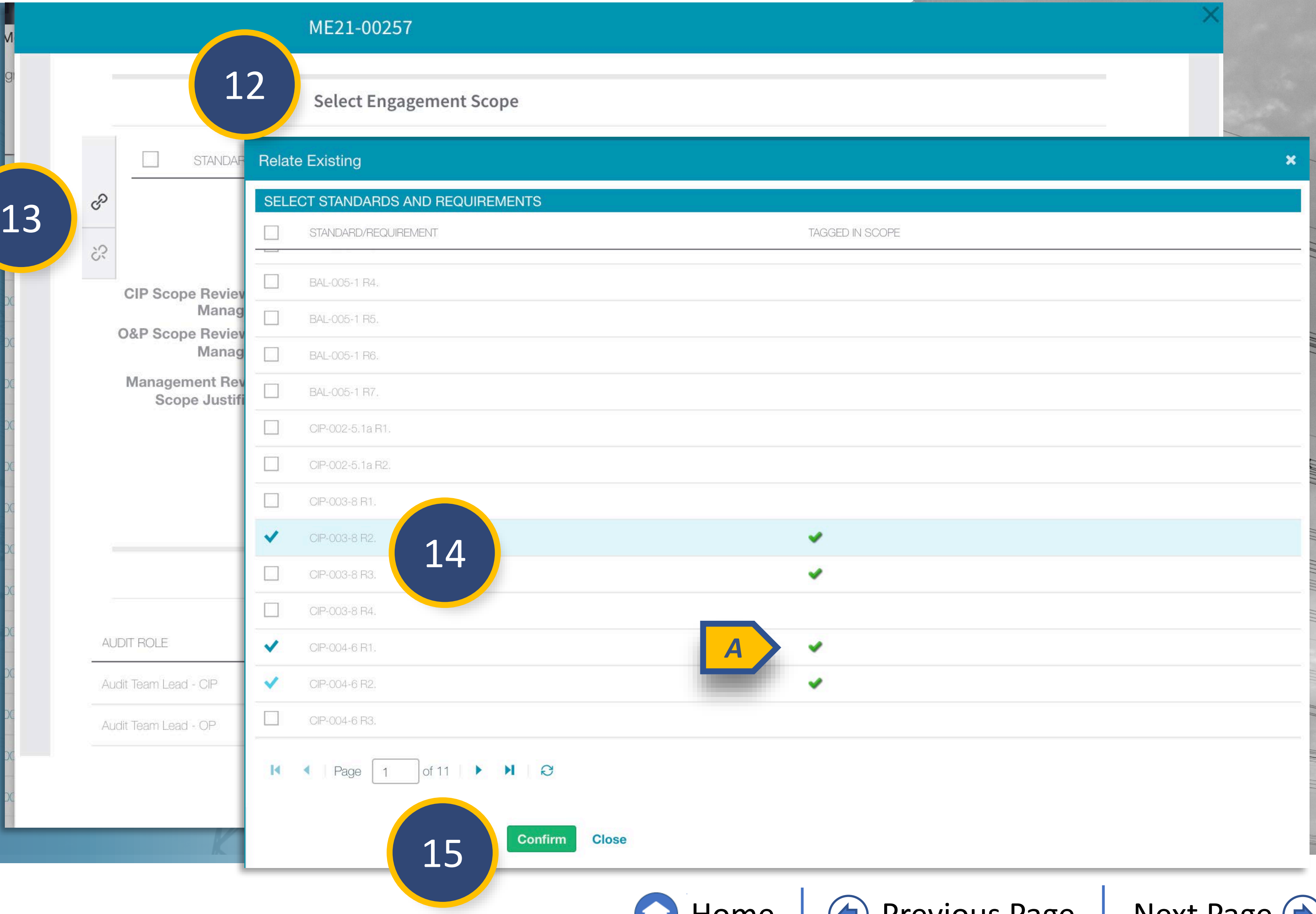
12 Scroll to the **Select Engagement Scope section**

13 Click the **link icon**

14 Check the **checkboxes** next to the requirements you wish to add

Notice: The check icons (A) indicate which requirements are included in the existing scope, but you may select additional requirements.

15 Click **Confirm**

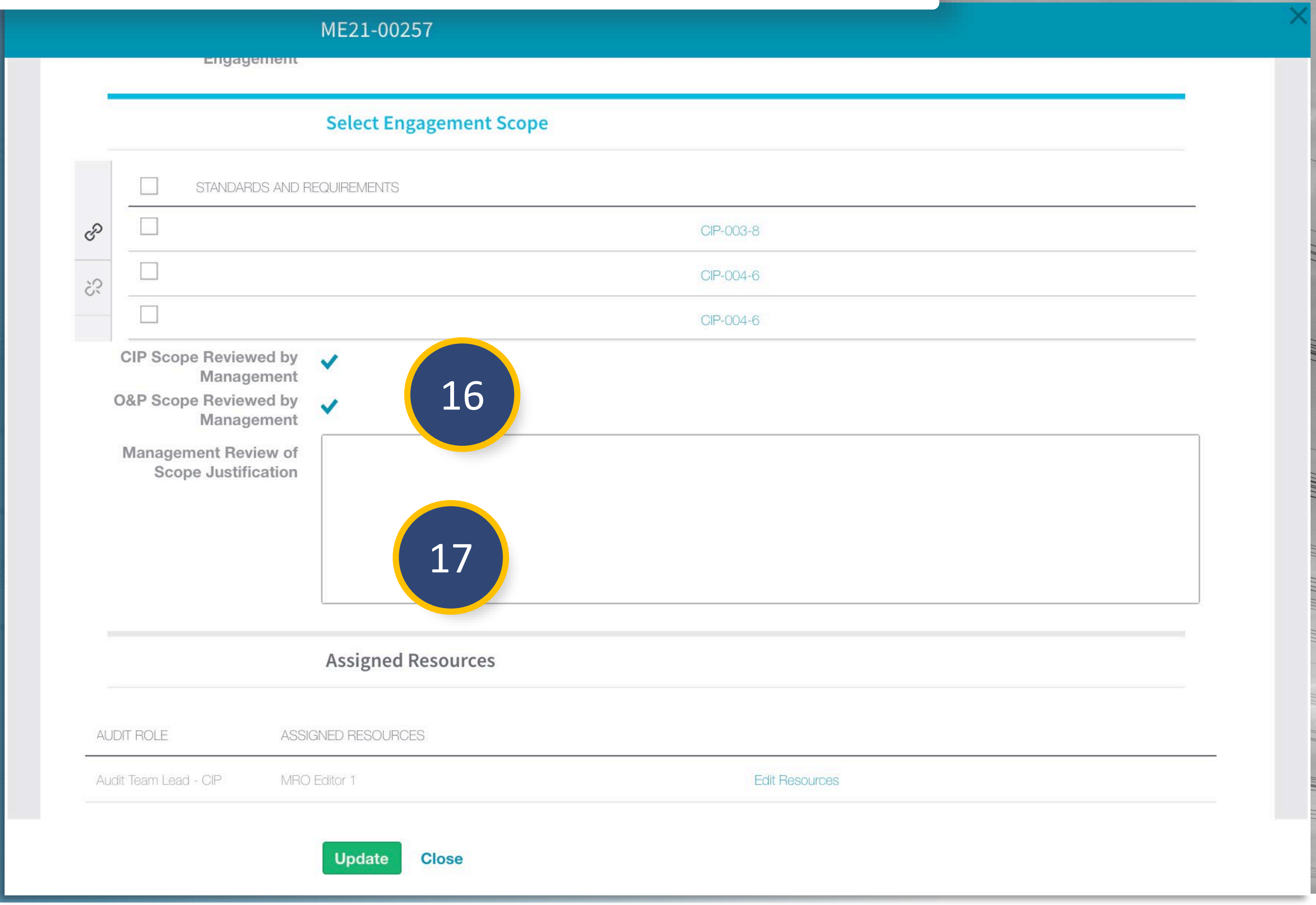


Monitoring Engagements

Once the Engagement Scope has been reviewed:

16 Check the **checkboxes** to indicate the Scope has been reviewed by management

17 Type the **Management Review of Scope Justification** in the **textbox**



Monitoring Engagements

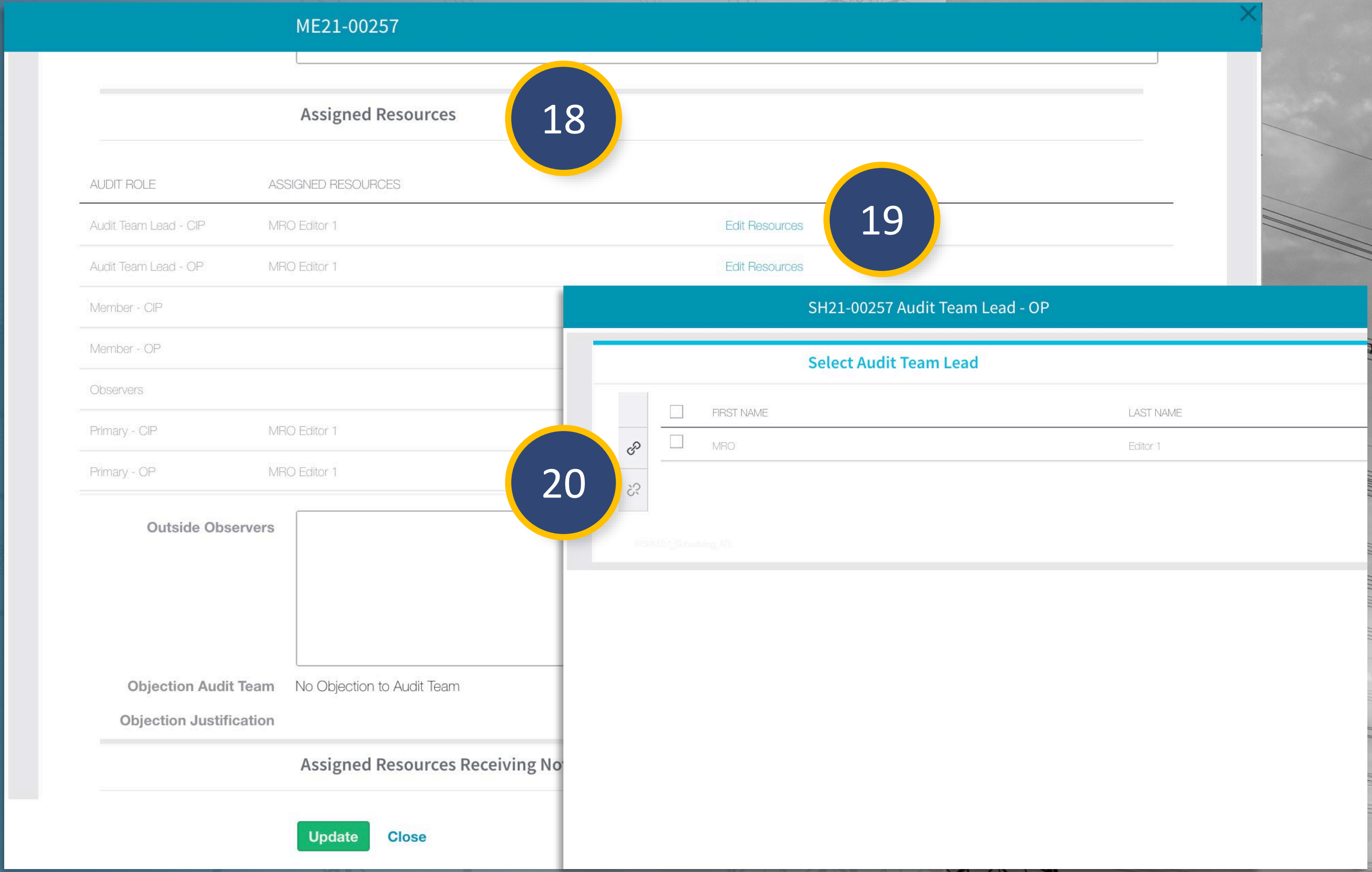
To view the Audit Team on the Engagement:

18 Scroll to the **Assigned Resources section**

Notice: The Assigned Resources section auto populated form the Scheduled Engagements form. To edit an assigned resource:

19 Click **Edit Resource**

20 Click the **link icon**



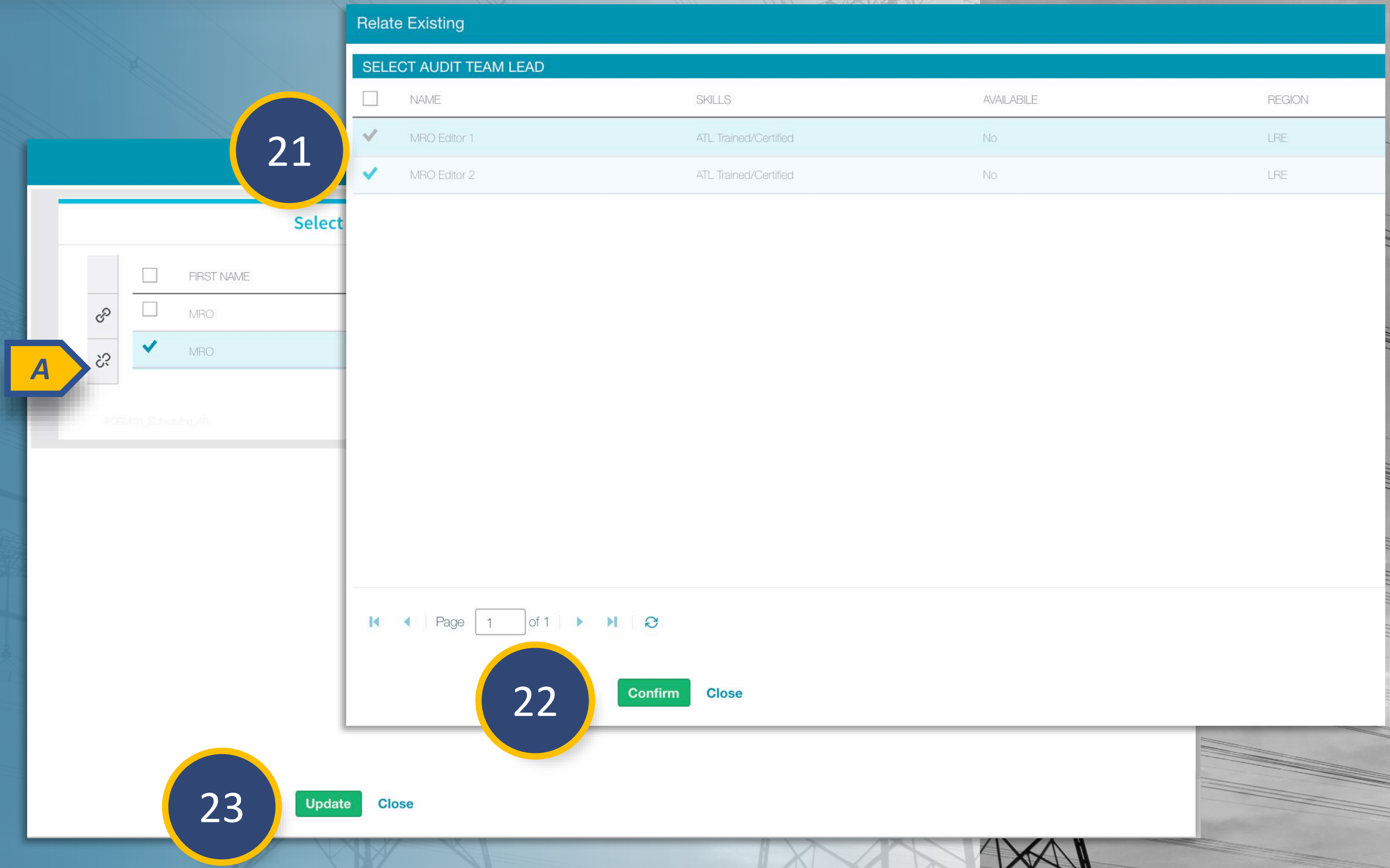
Monitoring Engagements

21 Check the **checkbox** next to the resource you wish to add

22 Click **Confirm**

23 Click **Update**

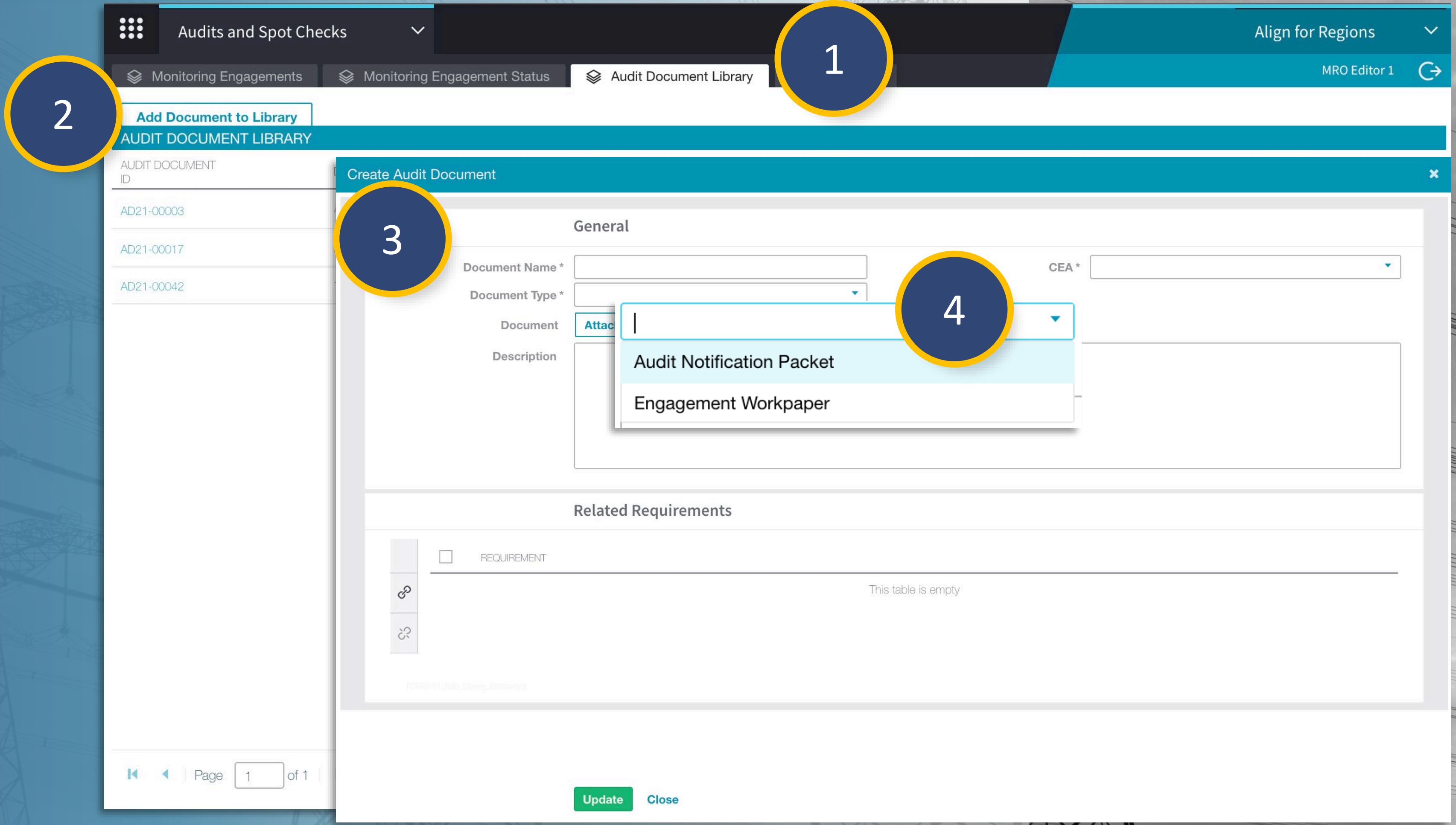
Notice: Align will not allow you to assign more than one resource to one role. You must unlink the previously assigned resource to add a new resource. This can be done by clicking the unlink icon (a)



Monitoring Engagements – Audit Document Library

To add a document to the Audit Document Library:

1. Navigate to the **Audit Document Library tab**
2. Click the **Add Document to Library button**
3. In the Create Audit Document window, type a **Document Name**
4. Select the Document Type from the **dropdown menu**



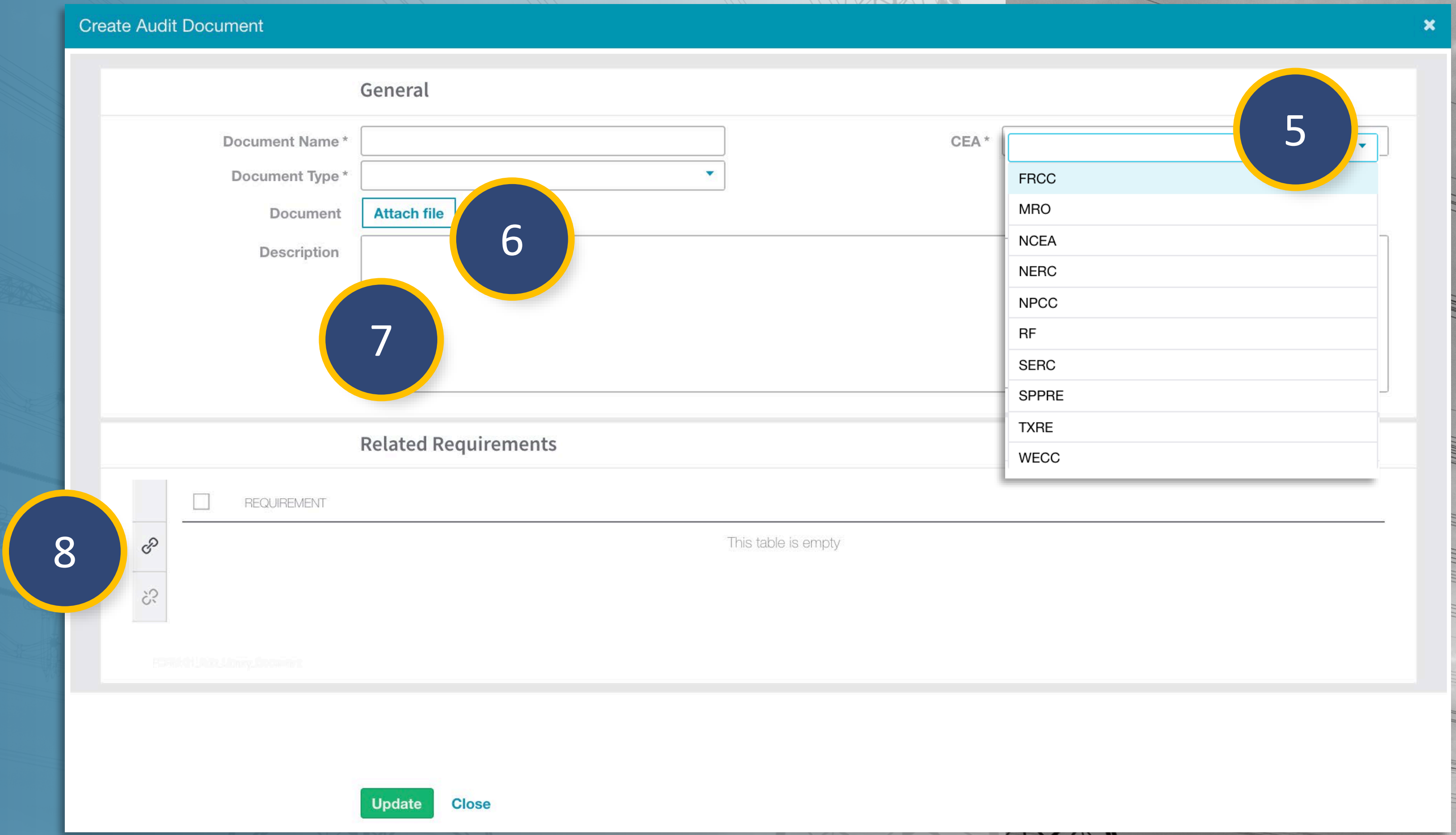
Monitoring Engagements – Audit Document Library

5 Select the CEA from the **dropdown menu**

6 To attach the file, click the **Attach file button**

7 Type a Description in the **textbox**

8 Click the **link icon** to add related requirements



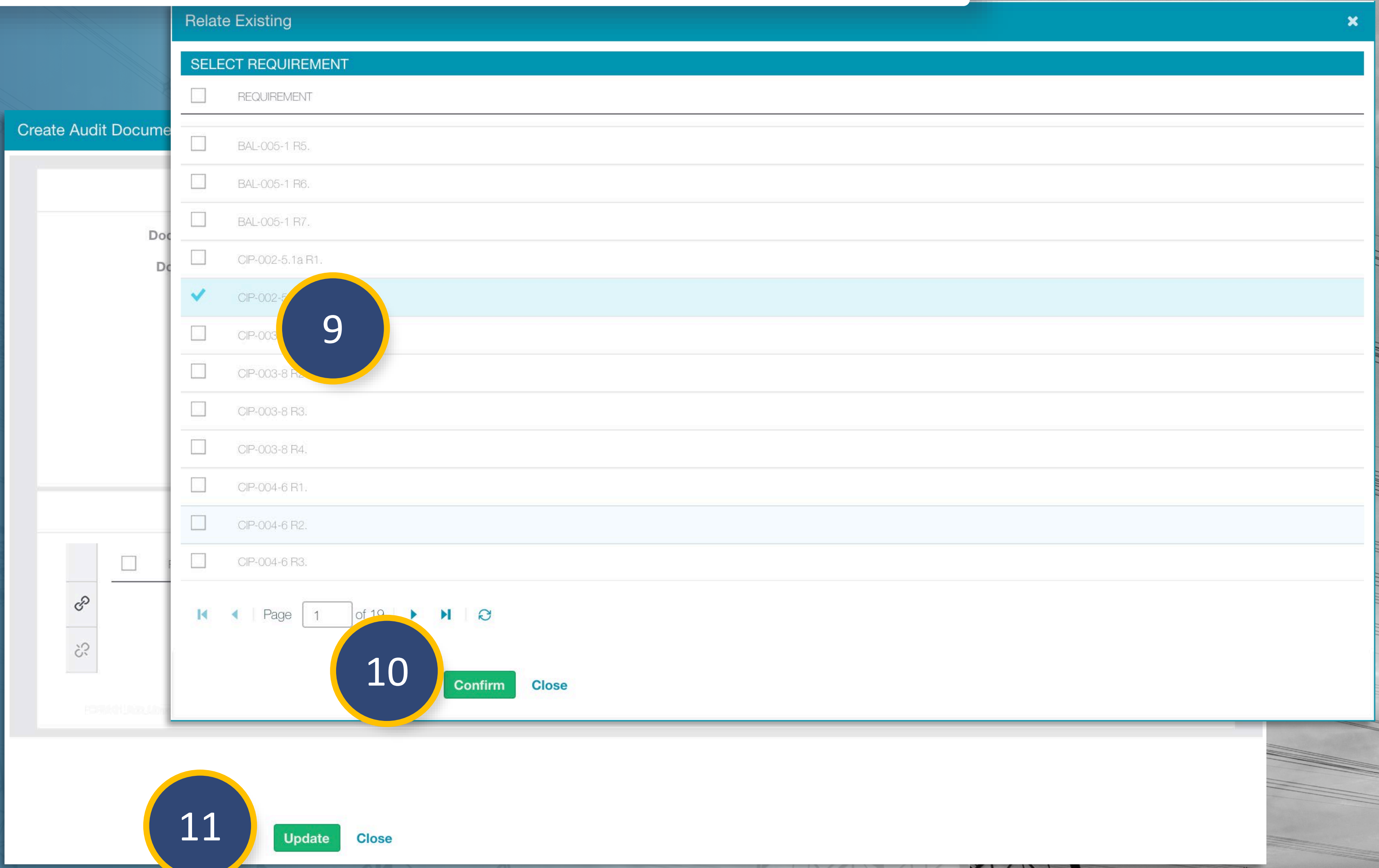
Monitoring Engagements – Audit Document Library

9 Check the **checkbox** next to the related requirements

10 Click **Confirm**

11 Click **Update** to upload the document

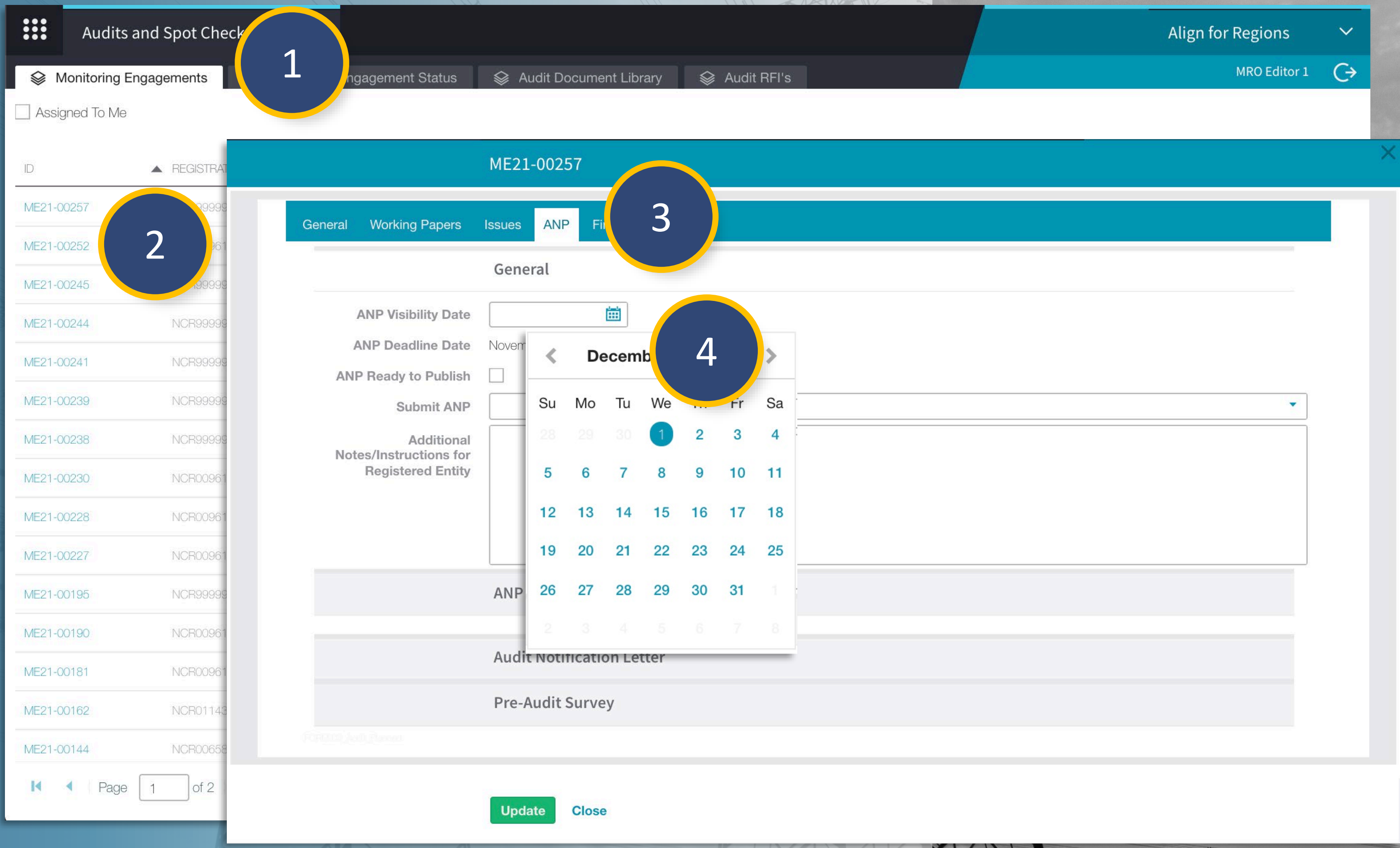
Notice: The document you just uploaded should now appear in the Audit Document Library



Monitoring Engagements – Audit Notification Packet

To send the Audit Notification Packet to the Registered Entity:

1. Navigate to the **Monitoring Engagements tab**
2. Click the **ID** to open the Engagement Record
3. Click the **ANP tab**
4. Click the **calendar icon** to select the ANP Visibility Date



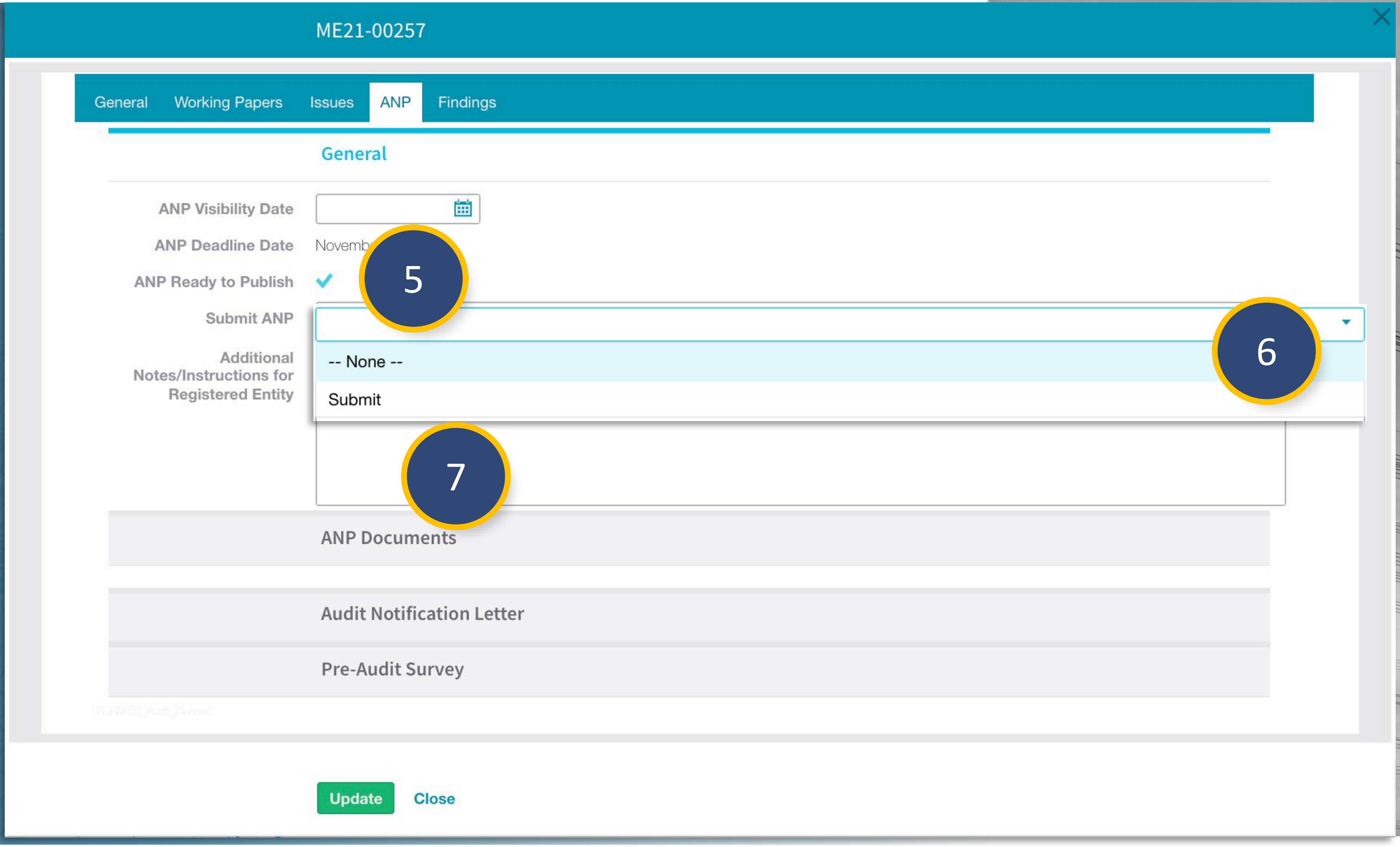
Monitoring Engagements – Audit Notification Packet

5 Check the **checkbox**

6 Select **Submit** from the dropdown menu

Notice: Do not complete Steps 5 and 6 until you are ready to send the ANP to the Registered Entity. Verify all information in the form is correct before selecting Submit.

7 Type any Additional Notes/Instructions for the Registered Entity in the **textbox**

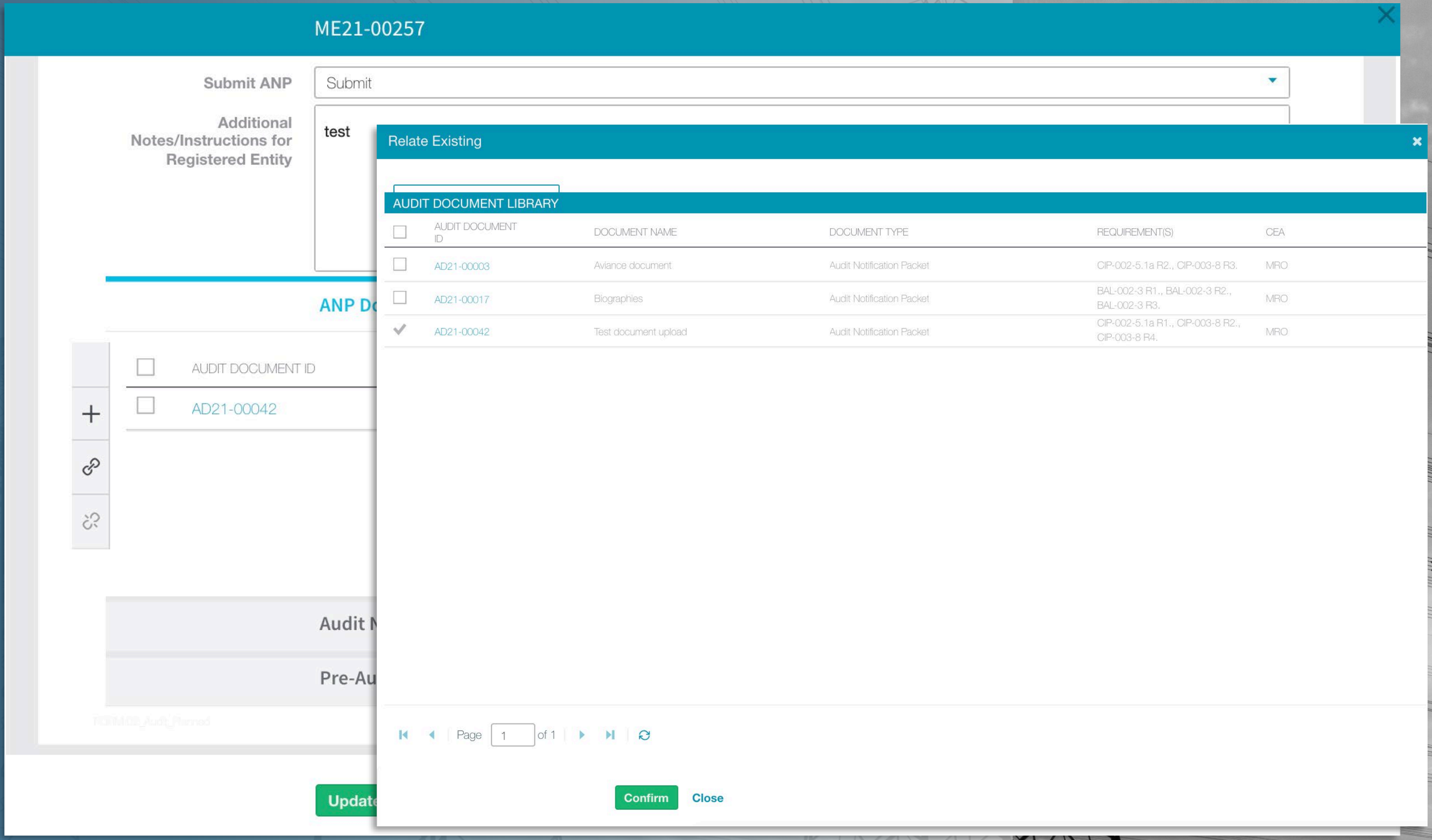


Monitoring Engagements – Audit Notification Packet

To attach a document to the ANP:

5. Click to expand the **ANP Documents section**
6. Click the **link icon**
7. Check the **checkbox** next to the document you wish to add
8. Click **Confirm**

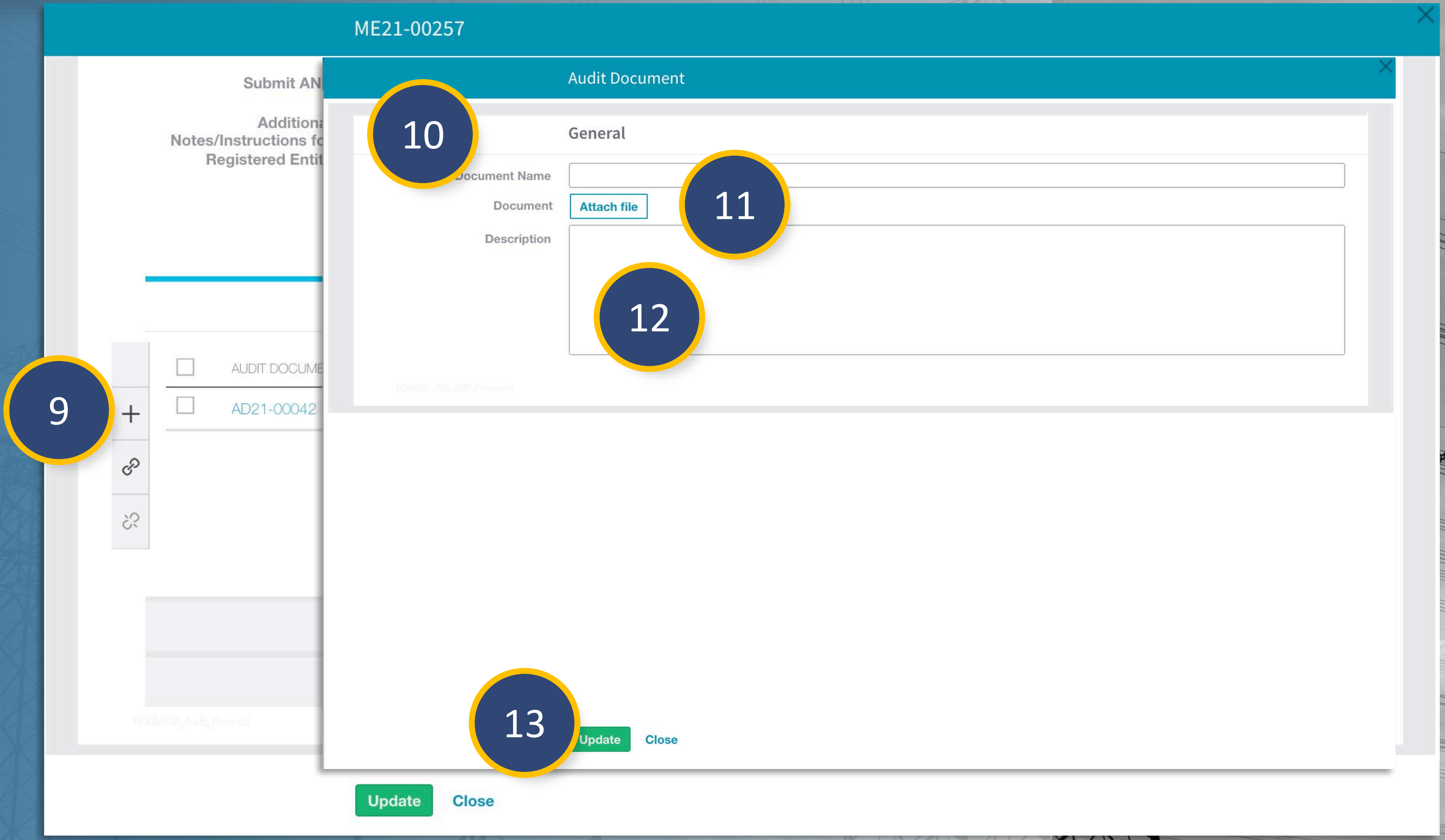
Notice: The document will now appear in the ANP Documents section



Monitoring Engagements – Audit Notification Packet

To attach a document to the ANP that is not already uploaded to the Audit Document Library:

9. Click the **plus icon**
10. Type the **Document Name**
11. Click the **Attach File button**
12. Type a **Description** of the document
13. Click **Update**



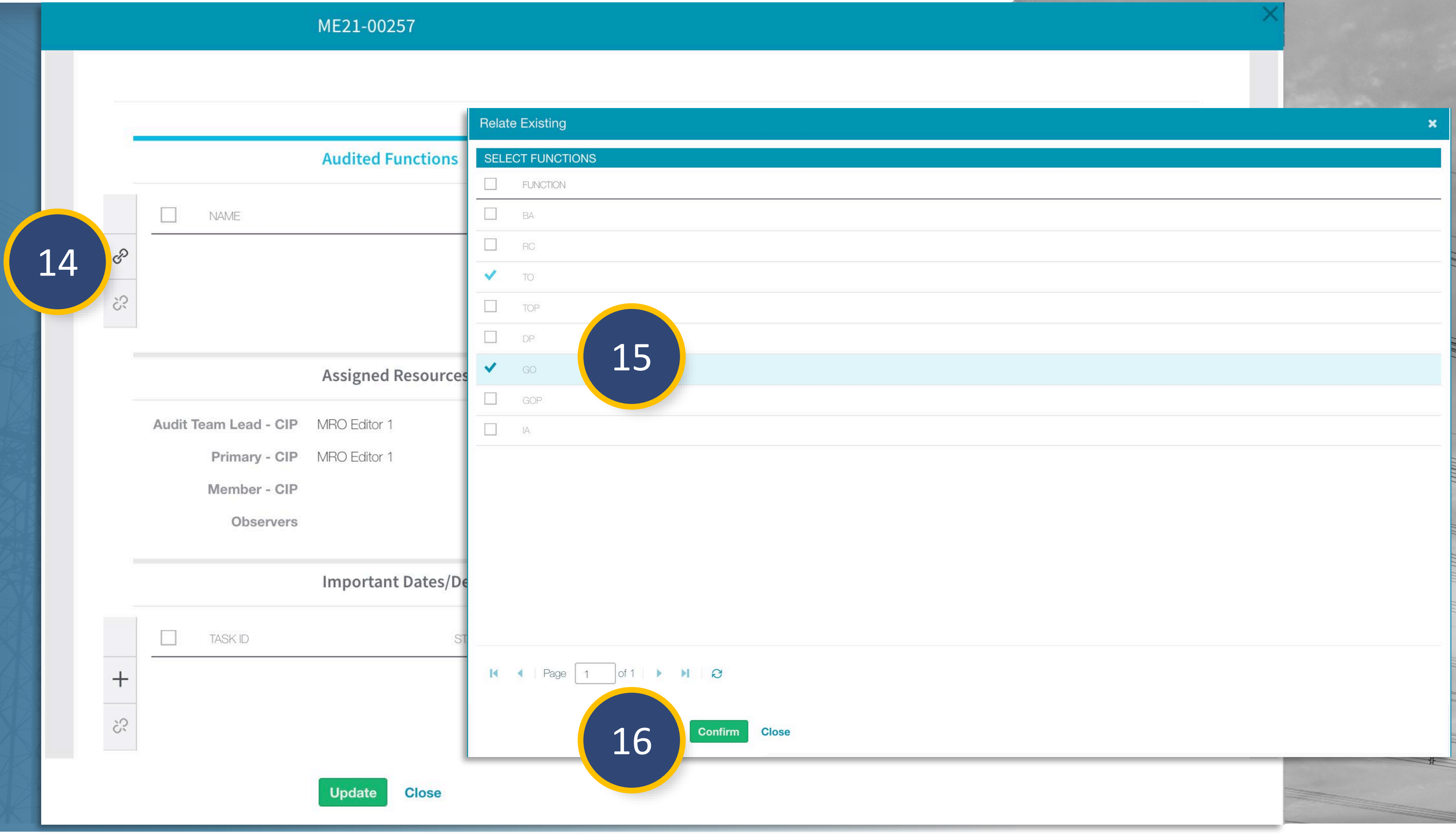
Monitoring Engagements – Audit Notification Packet

To edit the functions of an ANP:

14 Click the **link icon** in the Audited Functions section

15 Check the **checkboxes** next to the applicable functions

16 Click **Confirm**



Monitoring Engagements – Audit Notification Packet

To add Scheduled Milestones to the ANP:

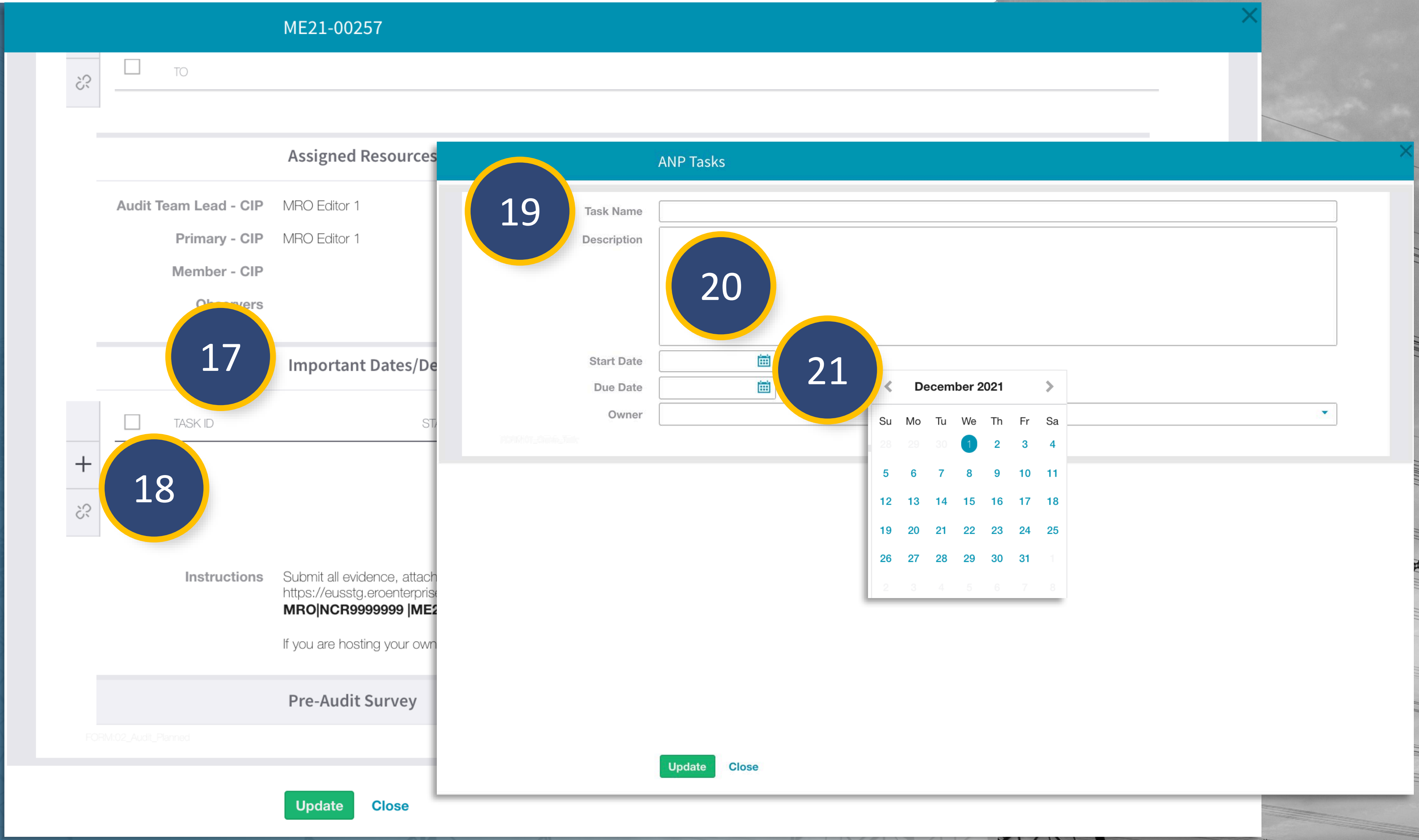
17 Scroll to the **Important Dates/Deadlines section**

18 Click the **plus icon**

19 Type a **Task Name**

20 Type a **Description**

21 Click the **calendar icon** to select a **Start Date** and **End Date**

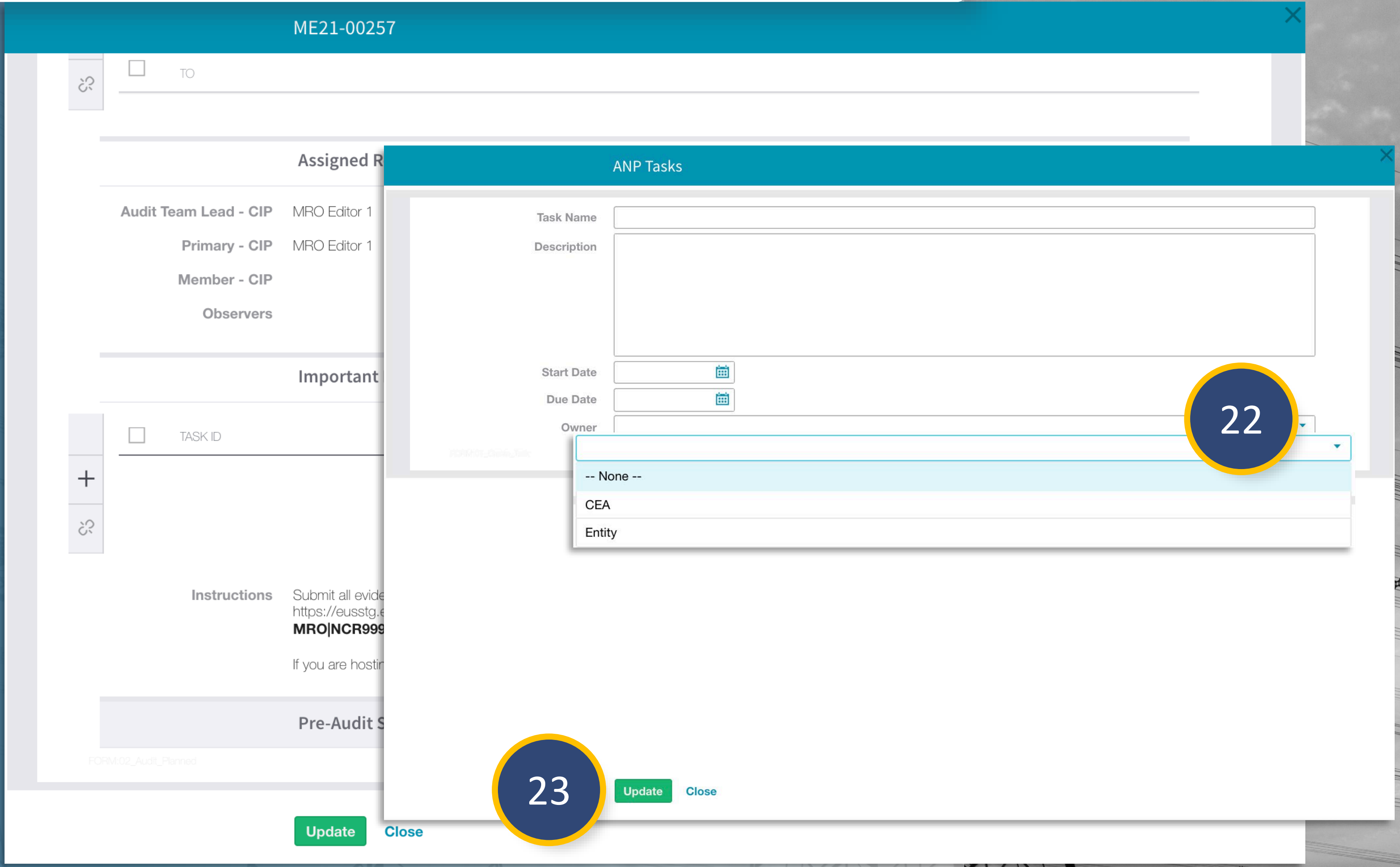


Monitoring Engagements – Audit Notification Packet

22 Select **CEA** or **Entity** from the **dropdown menu**

23 Click **Update**

Notice: The Important Dates/Deadlines section should mirror the Scheduled Milestones you entered on the Scheduled Engagements form. Be sure to verify all Scheduled Milestones are entered correctly on this form.



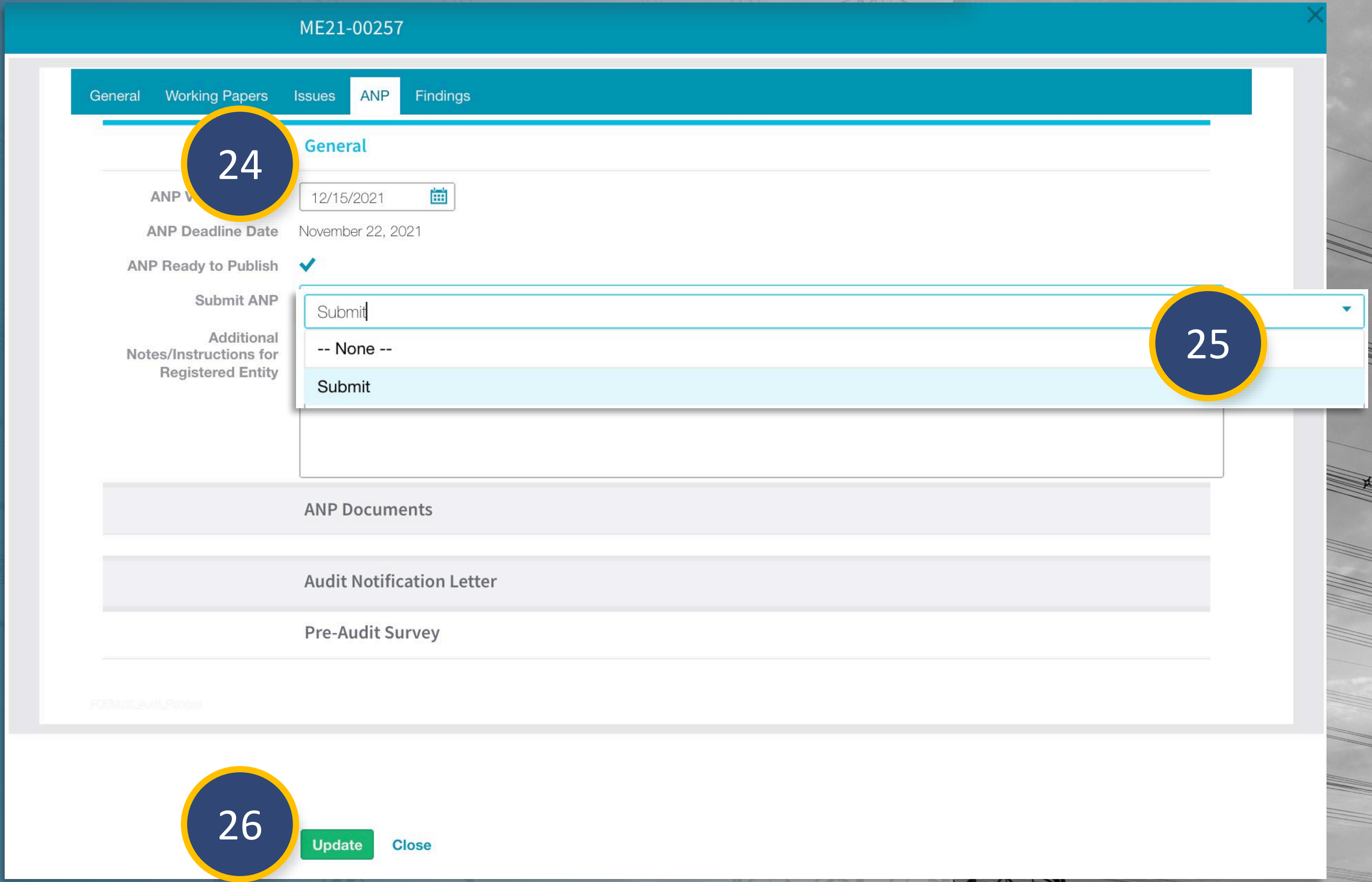
Monitoring Engagements – Audit Notification Packet

To send the ANP to the Registered Entity:

24 Scroll to the **General Section**

25 Select **Submit** from the **dropdown menu**

26 Click **Update** to send the ANP



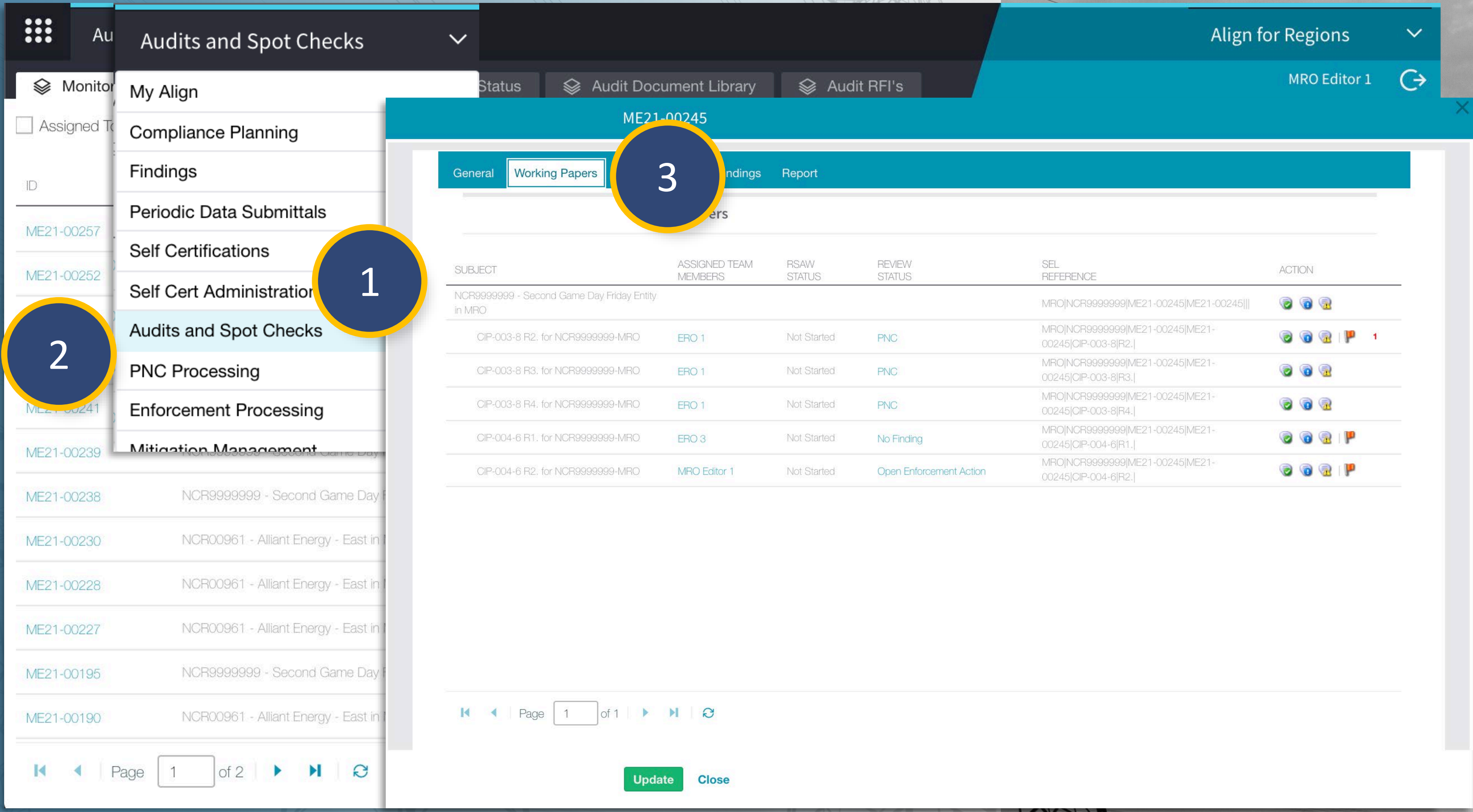
Once the ANP is submitted, the PCC, ACC, NERC and the CEA Engagement Editors will receive an email

Reviewing Work Papers

To review a work paper submitted by a Registered Entity:

1. Click the **dropdown arrow** to navigate to the **Audit and Spot Checks View**
2. Click the **ID** to open the Engagement Record
3. Select the **Working Papers tab**

Notice: Gray text means the entity has not submitted the RSAW yet. Blue text indicates the RSAW is ready for review.



Reviewing Work Papers

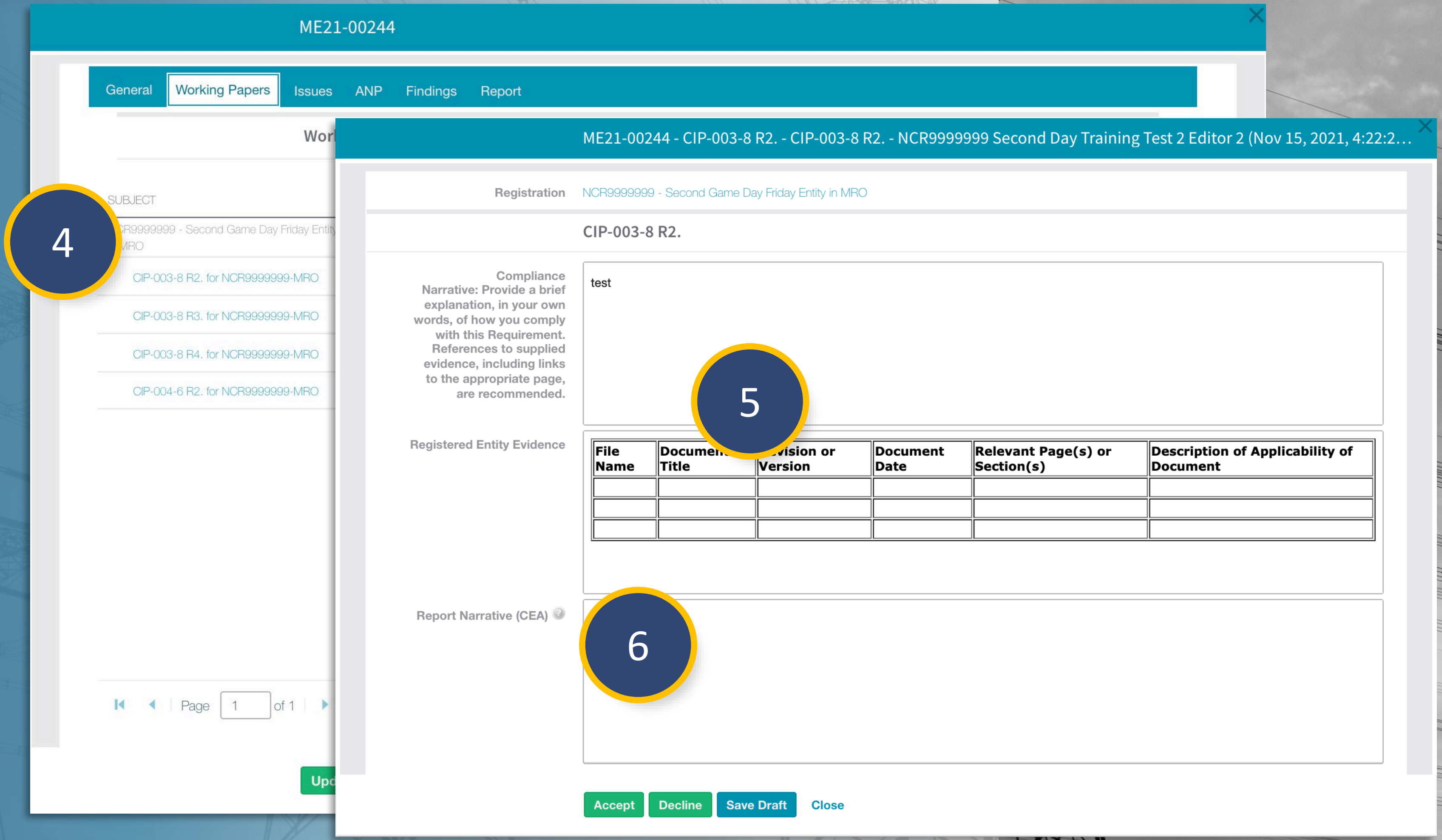
ALIGN

4 Click the **Subject ID** to open the RSAW

5 Review the **Compliance Narrative and Registered Entity Evidence**

6 When you have completed your review, type your **Report Narrative** in the **textbox**

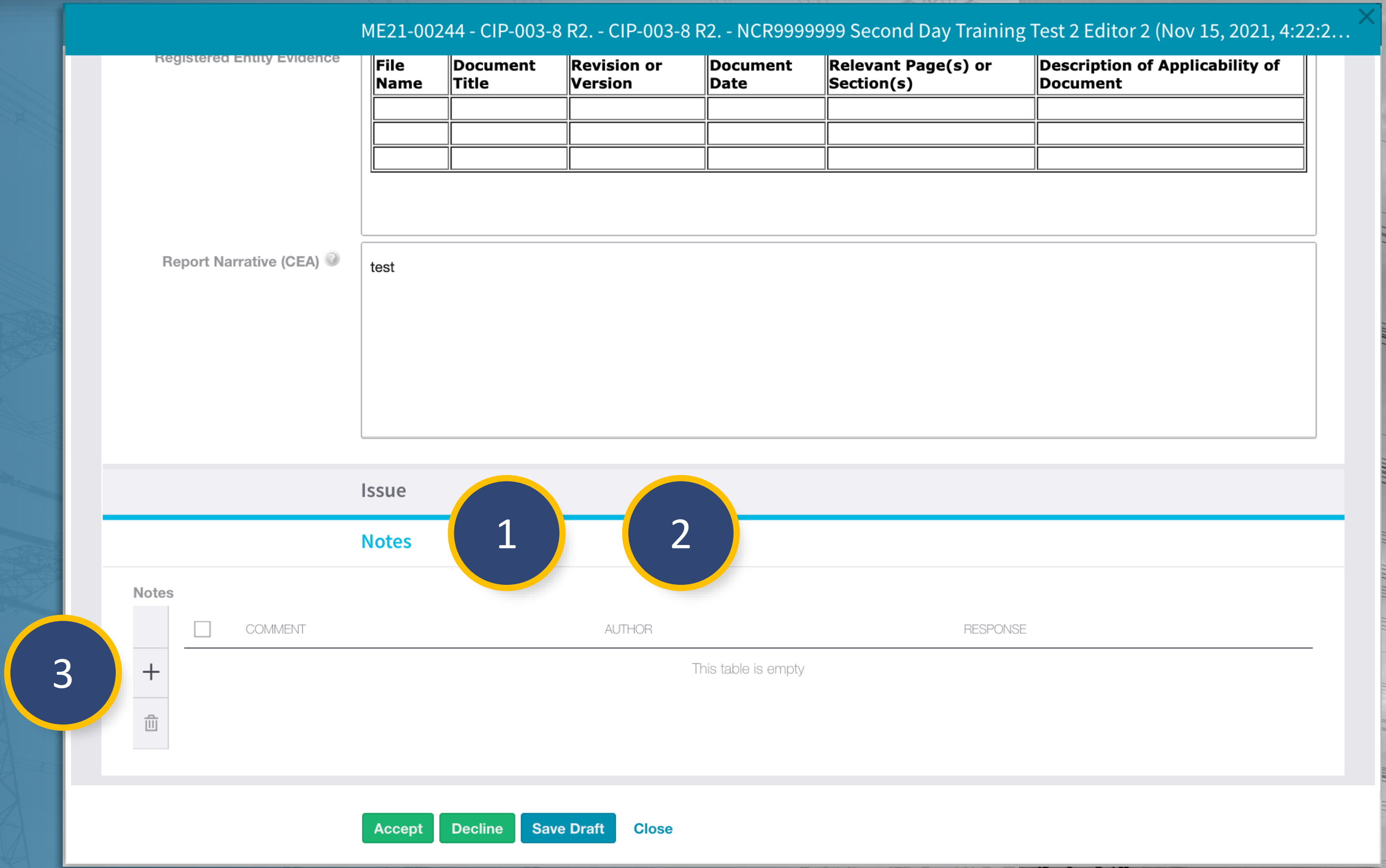
Notice: Comments in this textbox will ultimately be visible to the Registered Entity. Do not include information in this textbox that should not be viewed by the RE. Confidential information should be included in the Notes section.



Reviewing Work Papers

To add a note to the RSAW:

1. Scroll to the **Notes section**
2. Click to **expand** the section
3. Click the **plus icon**



Reviewing Work Papers

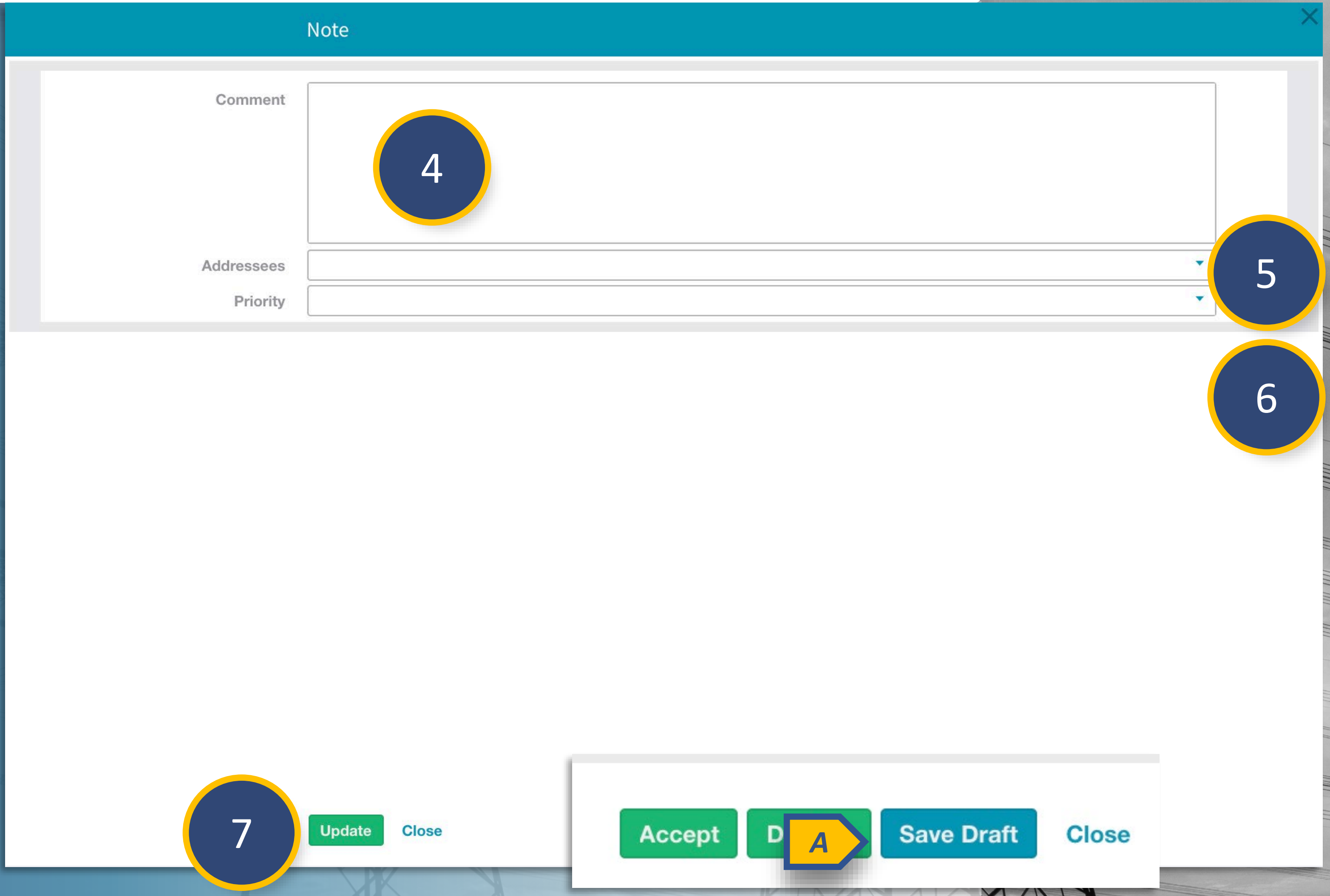
4 Type **Comments** in the **textbox**

5 Select **Addressees** from the **dropdown**

6 Select a **Priority status** from the **dropdown**

7 Click **Update**

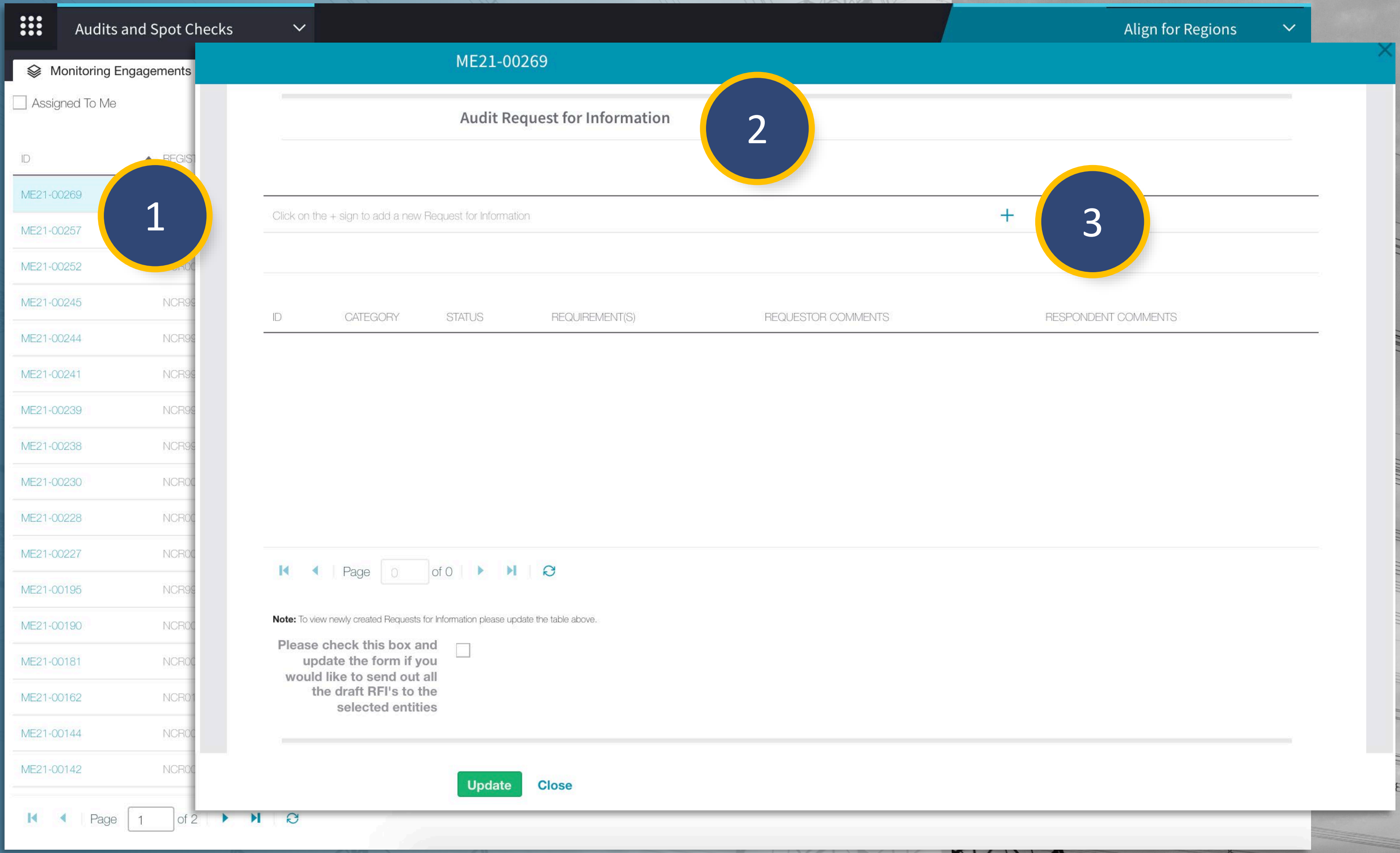
Notice: After completing these steps, save your draft (a) to populate the details of your note into the RSAW



Requests for Information – Creating an RFI

To submit a request for information:

1. Click the **ID** to open the Monitoring Engagement
2. Scroll to the **Audit Request for Information section**
3. Click the **plus icon**



Requests for Information – Creating an RFI

To complete the Request for Information form:

4 Type your **comments** in the **textbox**

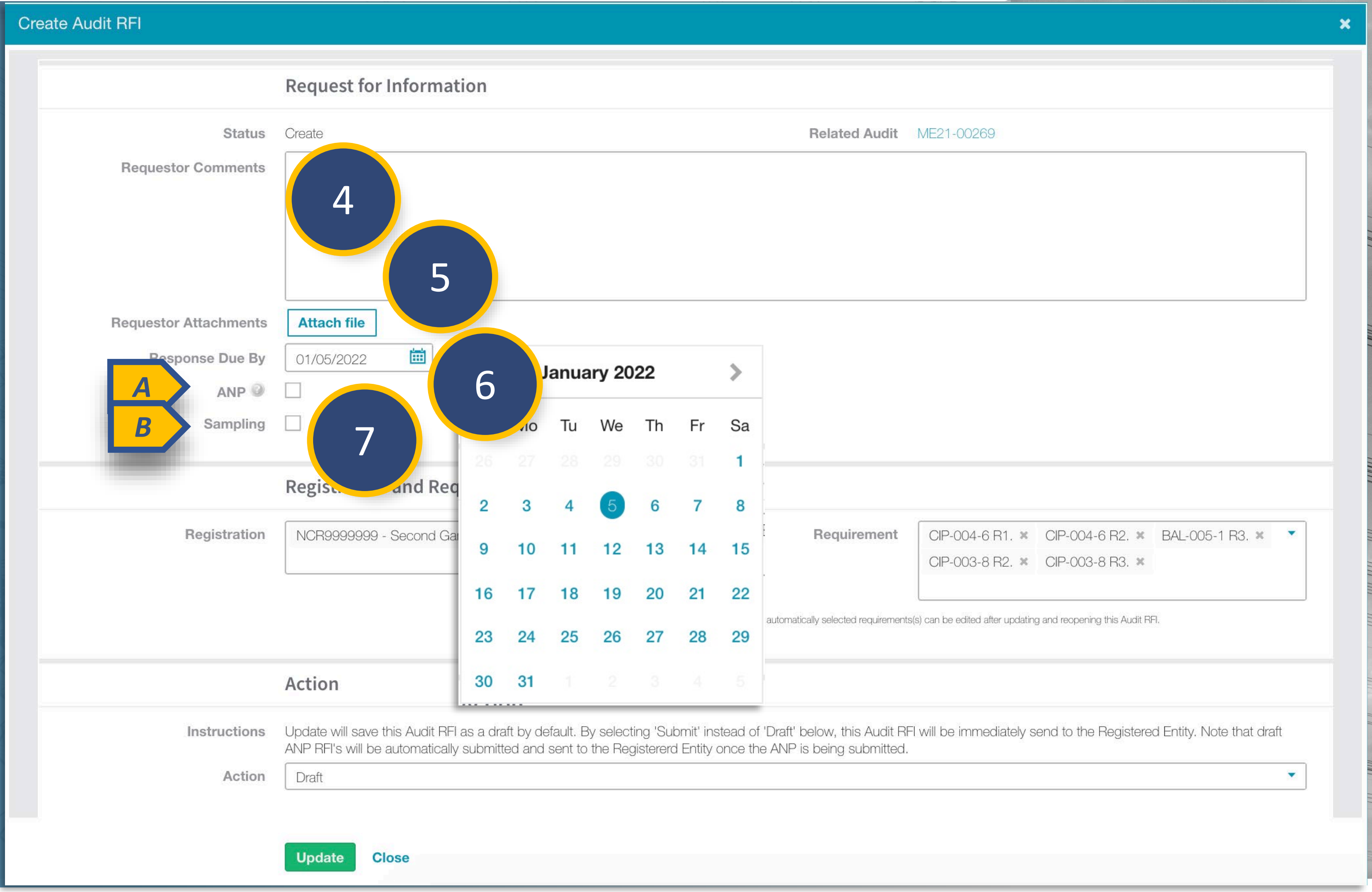
5 Click the **Attach file button** to upload any documents

6 Click the **calendar icon** to select a Response Due Date

7 Click the applicable **checkbox**

(A) Select the **ANP checkbox** if this RFI is apart of a large batch of RFIs to be sent out with the ANP

(B) Select the **Sampling checkbox** if this RFI will use the evidence sampling process



Requests for Information – Creating an RFI

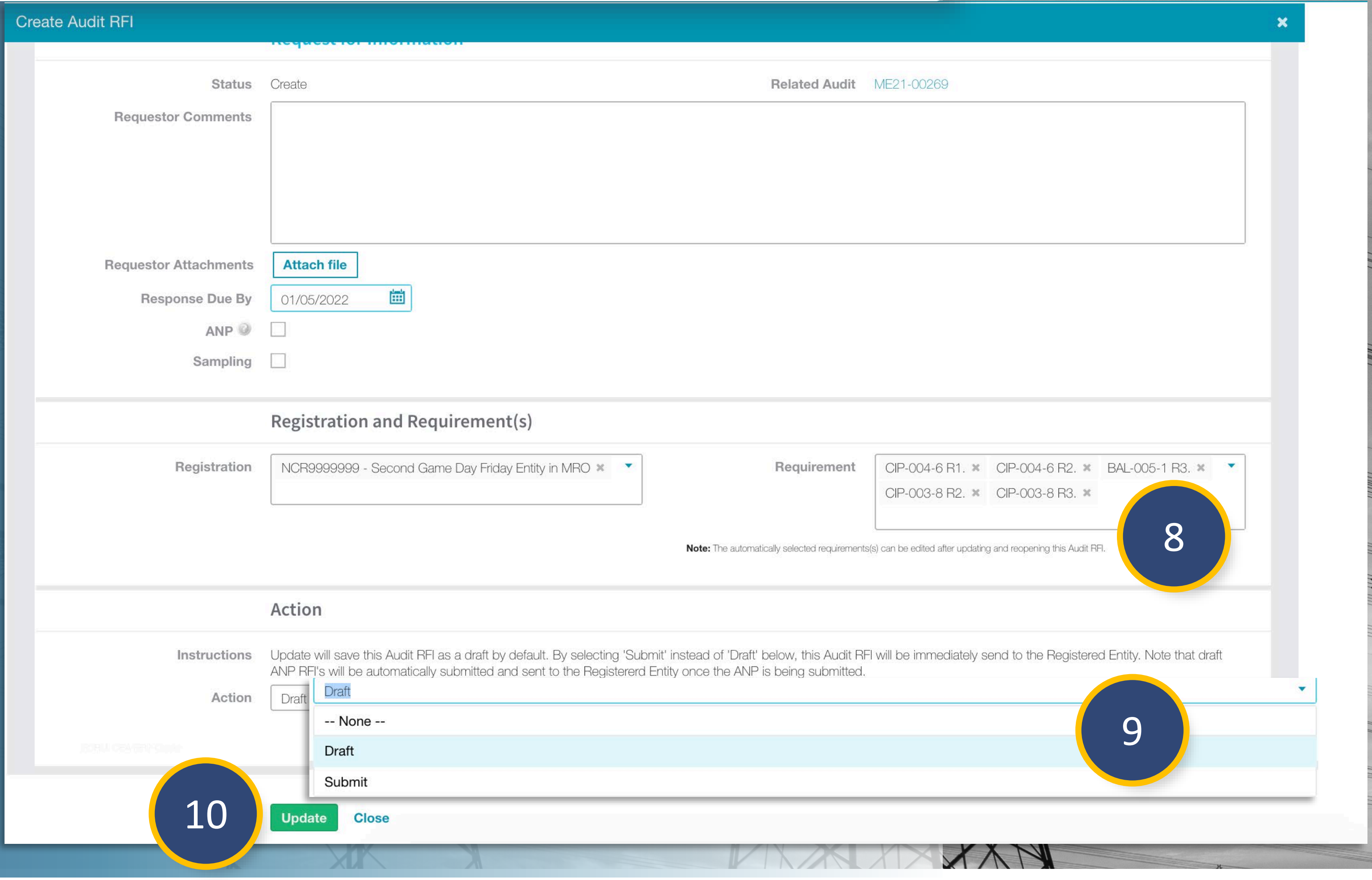
8 Click the **X** to remove any unwanted requirements

9 Select **Draft** from the dropdown

Notice: If you select Submit, the RFI will be sent to the RE once you update the form. Selecting Draft will save your RFI and send it out when the ANP is sent to the RE.

10 Click **Update**

Notice: The RFI you just created will now appear in the Audit Requests for Information section.



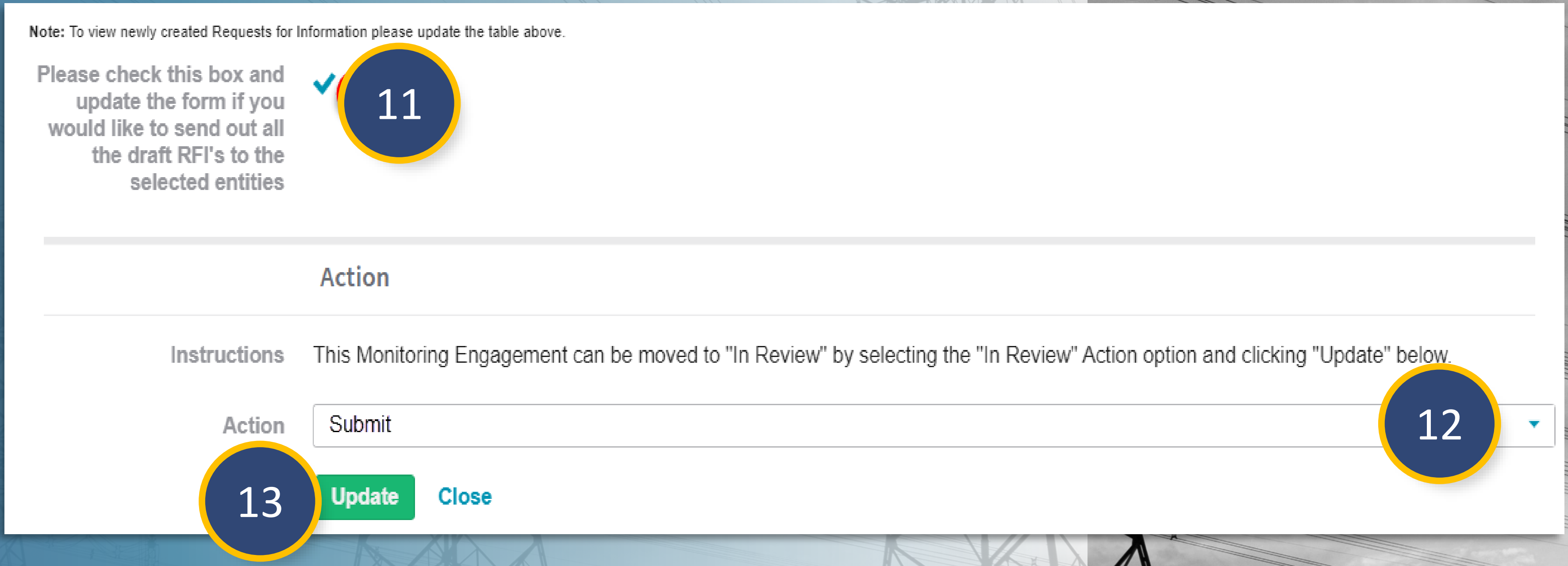
Requests for Information – Sending an RFI

When you are ready to send the draft RFIs to the RE:

11 Click the **checkbox**

12 Select **Submit** from the dropdown menu

13 Click **Update**

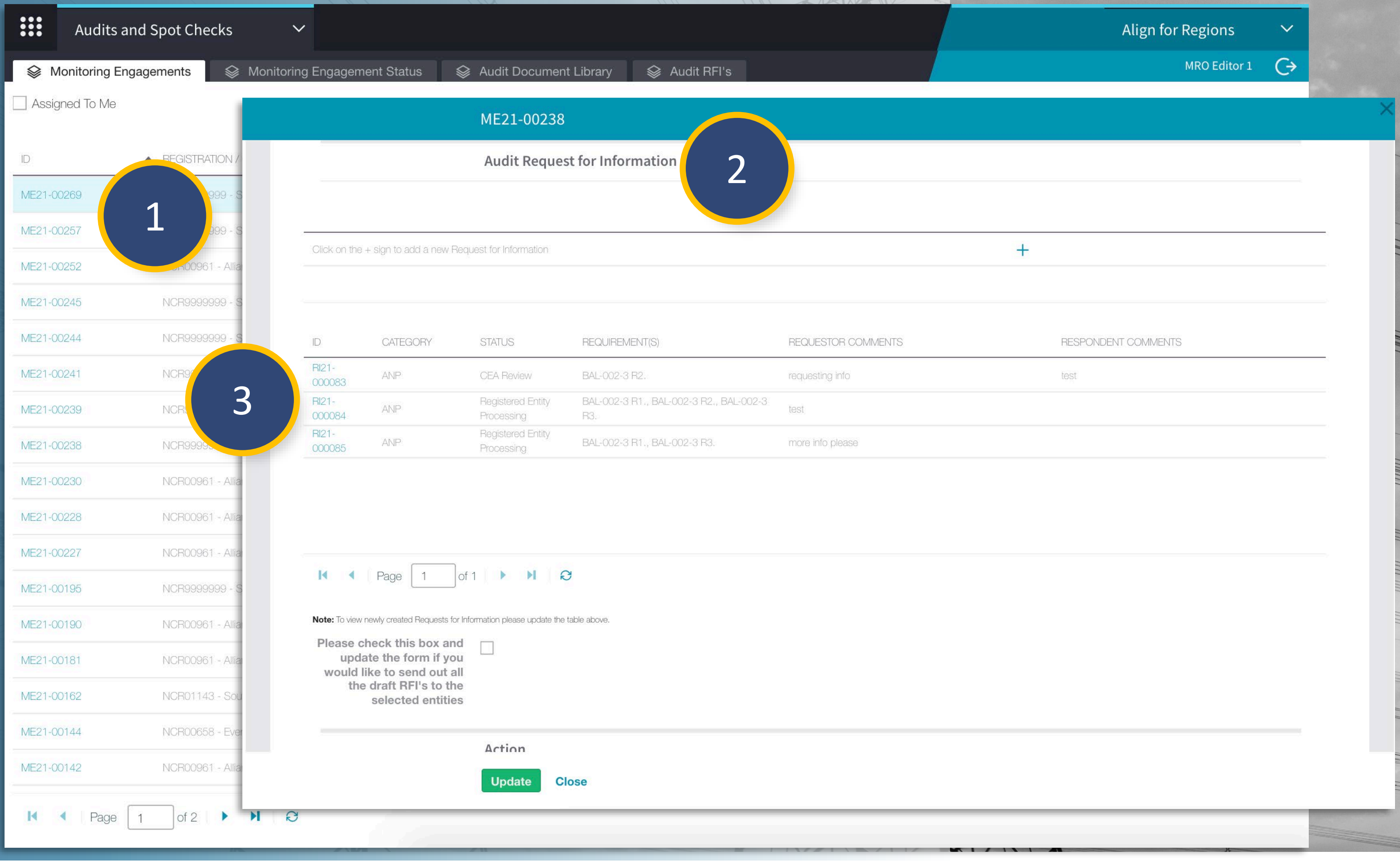


The PCC, ACC and RFI Respondent will receive an email once an Audit RFI is sent

Reviewing an RFI

To review a Request for Information an RE has submitted:

1. Click the **ID** to open the Monitoring Engagement
2. Scroll to the **Audit Request for Information section**
3. Click the **ID** of the RFI you wish to review



Designated email recipients will receive an email when the entity submits the RFI

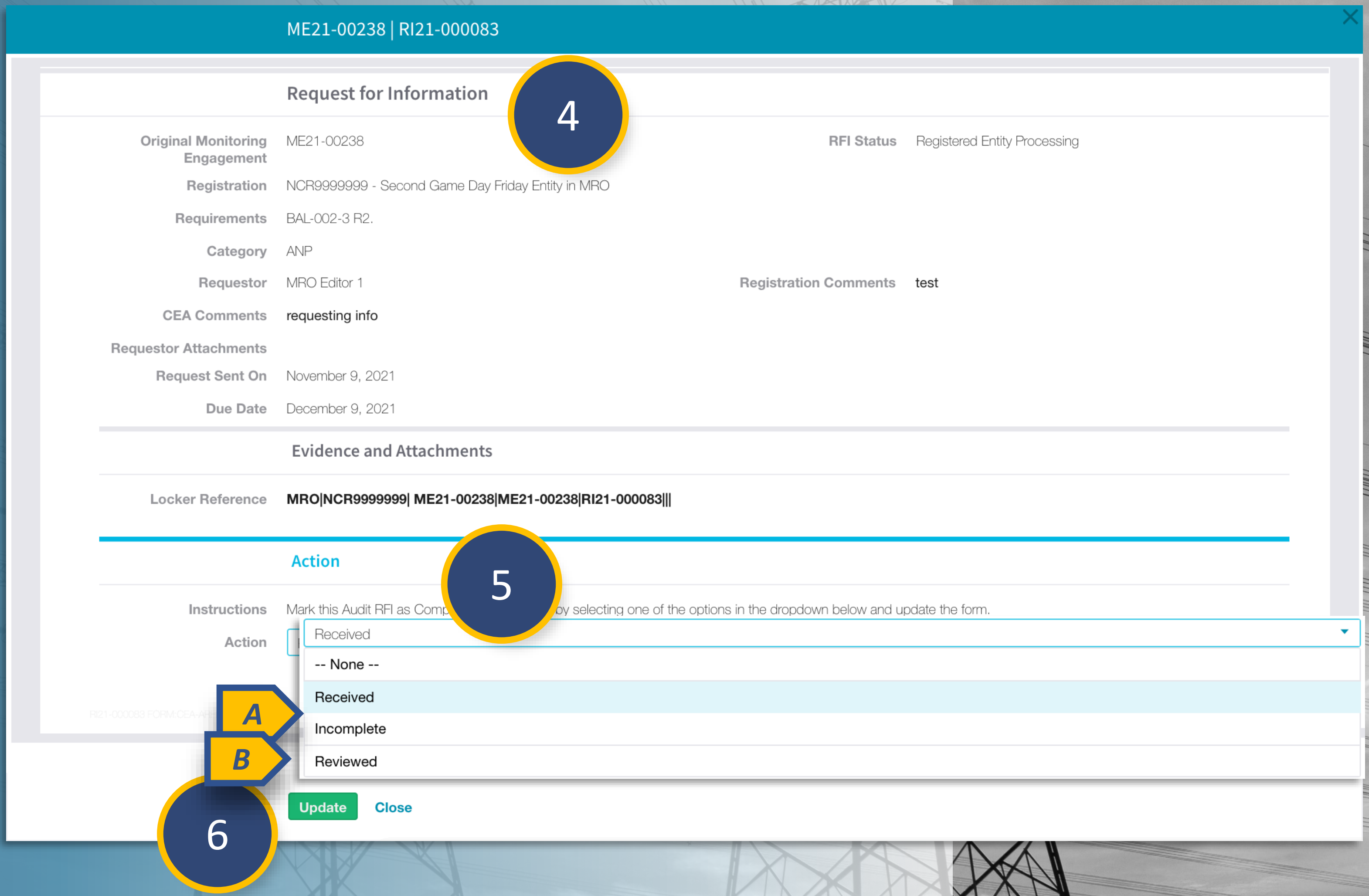
Reviewing an RFI

4 Review the information in the **Request for Information section**

5 Select an option from the **Action dropdown**

Notice: If you select Incomplete (a) the RFI will be sent back to the Registered Entity. If you select Reviewed (b) the RFI will be complete and marked as reviewed in Align.

6 Click **Update** to save your changes

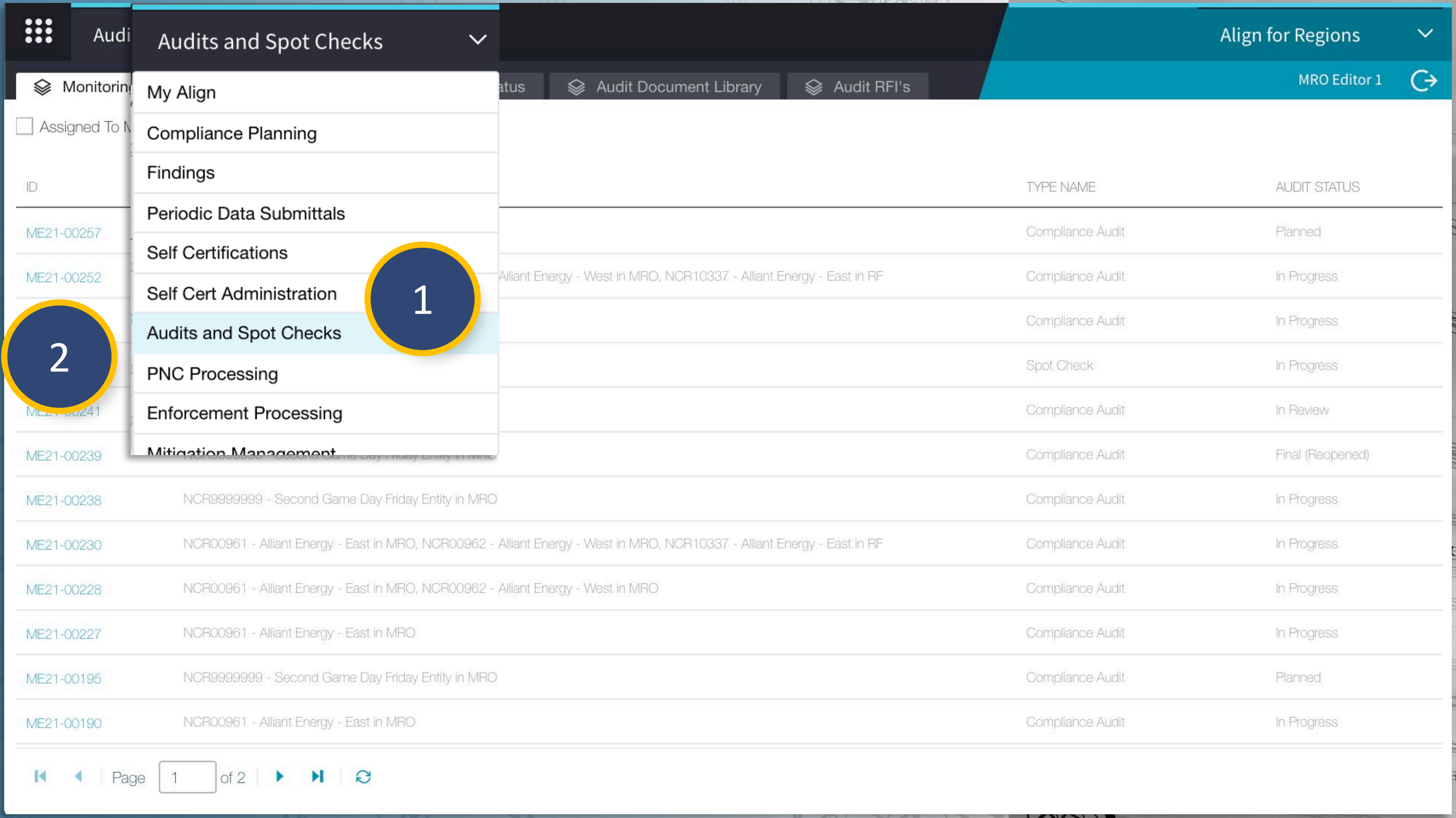


The PCC, ACC and RFI Respondent will receive an email if you add comments to an RFI

Creating a Finding

To create a Finding for a Potential Non-Compliance:

1. Click the **dropdown arrow** to navigate to the **Audit and Spot Checks View**
2. Click the **ID** to open to Engagement form

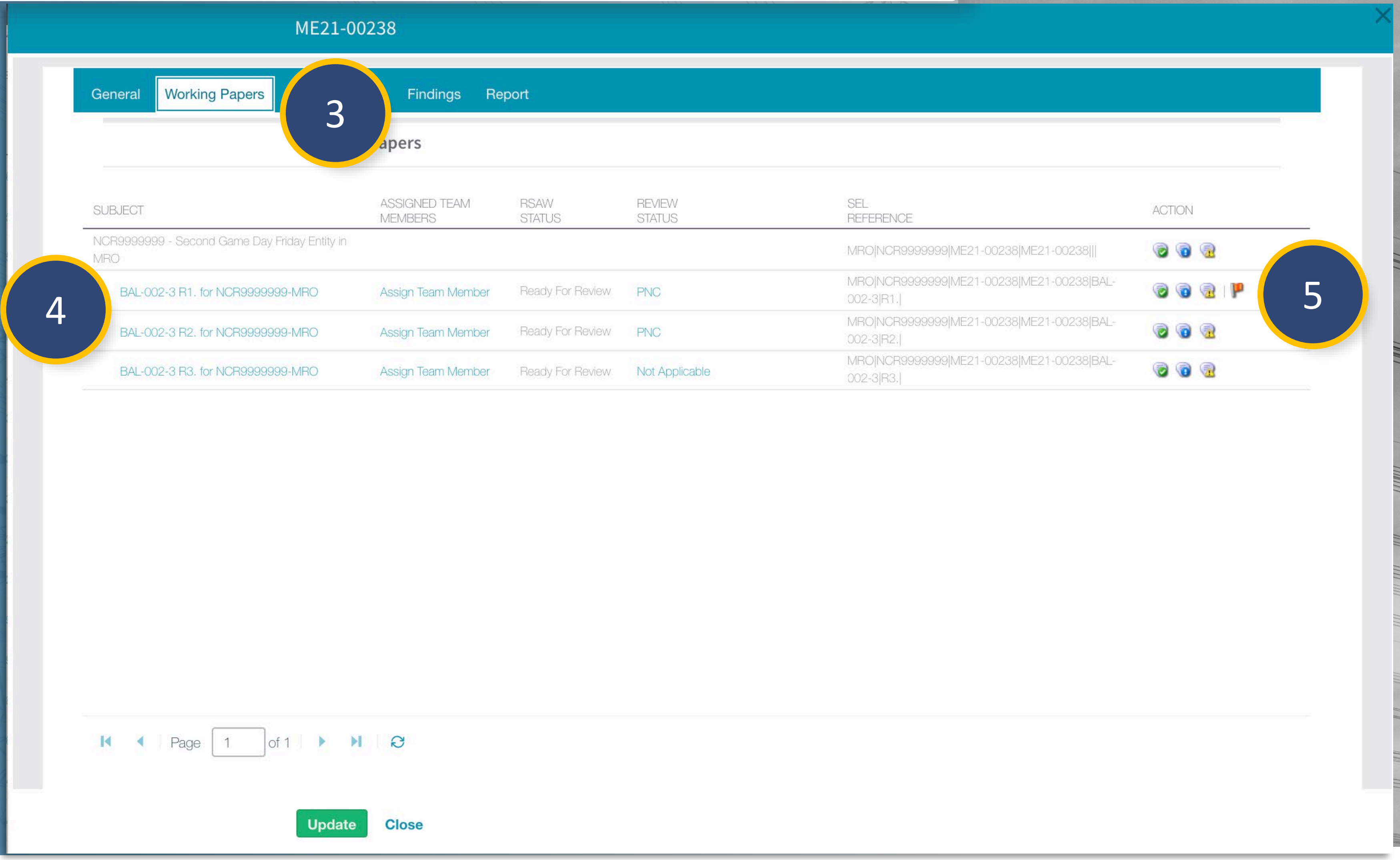


Creating a Finding

3 Select the **Working Papers tab**

4 Identify the **relevant requirement**

5 Click the **flag icon** in the **Action column**

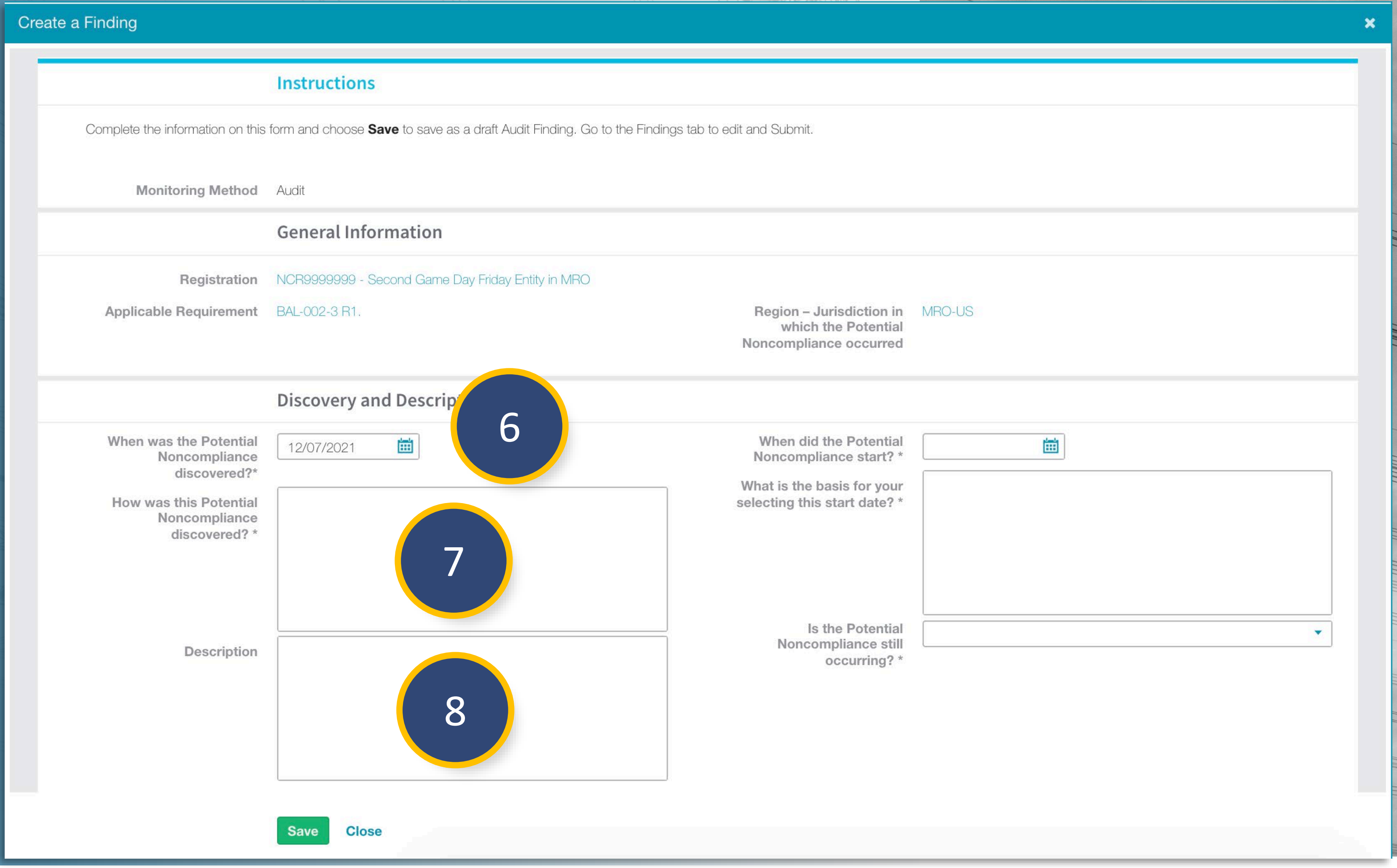


Creating a Finding

6 Click the **calendar icon** to select the Discovery Date of the PNC

7 Type how the PNC was discovered in the **textbox**

8 Type a Description of the PNC in the **textbox**



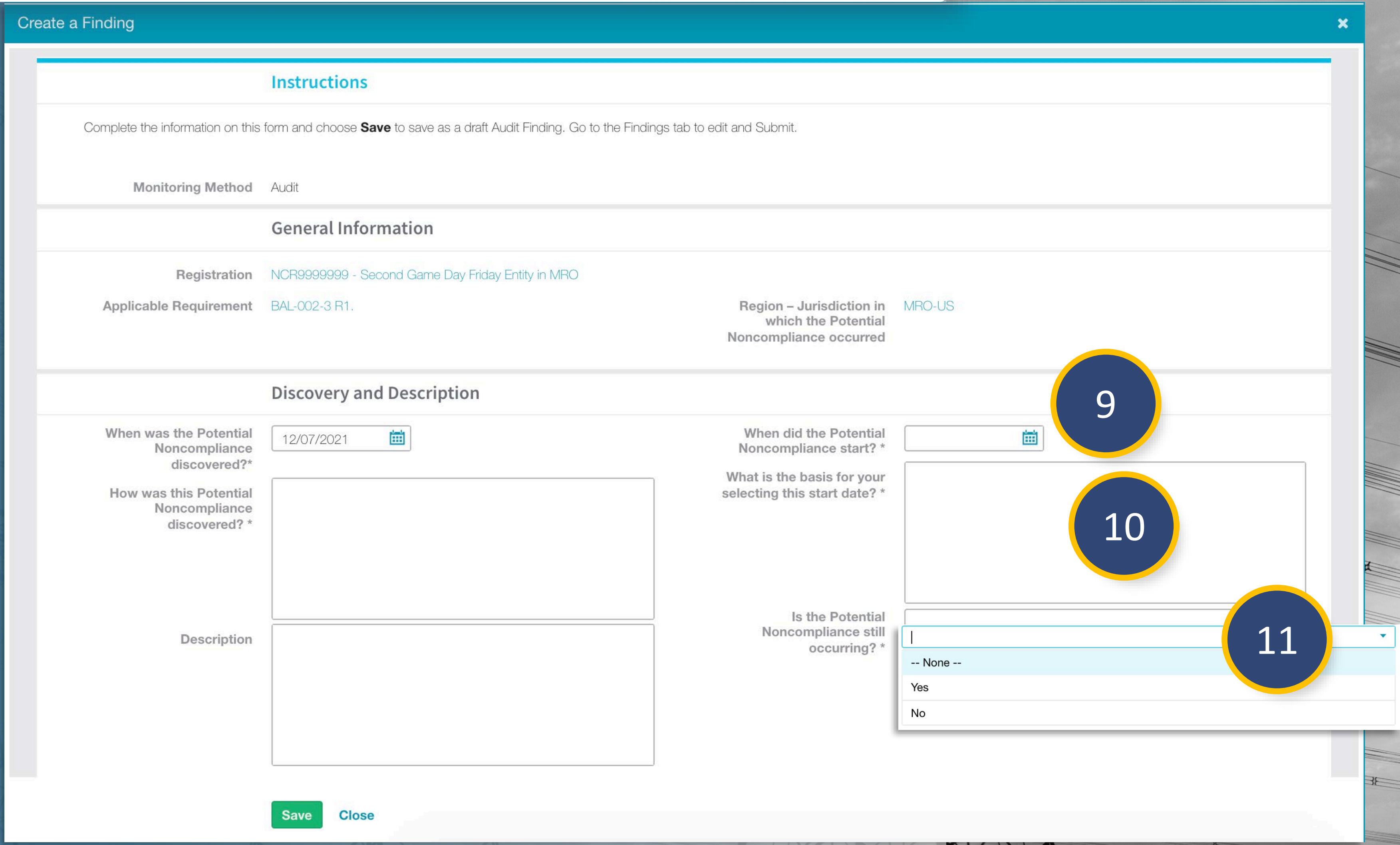
Creating a Finding

9 Click the **calendar icon** to select the PNC Start Date

10 Type the **basis** for the PNC Start Date

11 Select **Yes or No** from the dropdown

Notice: If you select No, use the calendar to select a PNC End Date

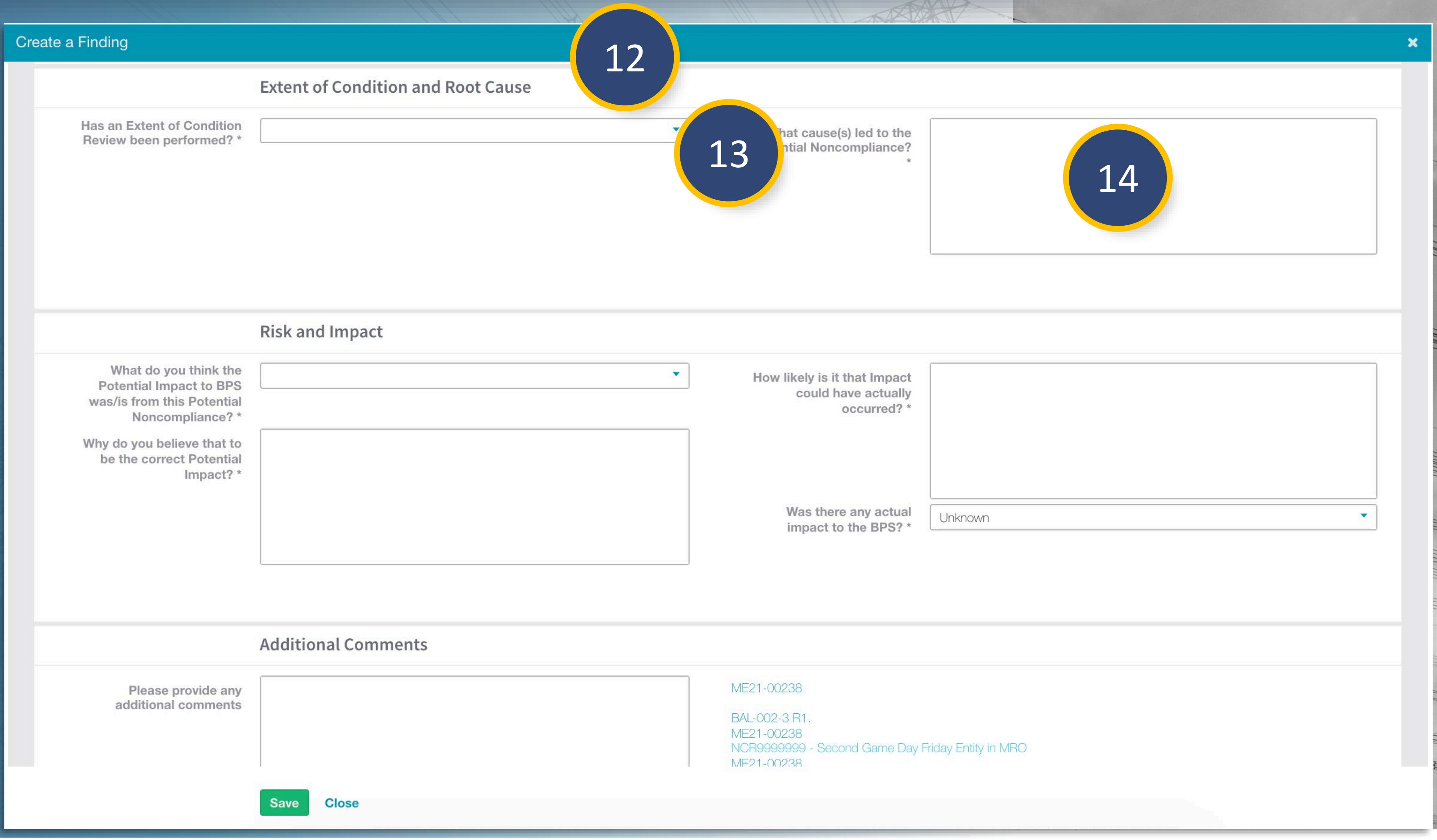


Creating a Finding

12 Scroll to the **Extent of Condition and Root Cause section**

13 Select **Yes, No, or In Progress** from the **dropdown**

14 Type the **cause of the PNC** in the **textbox**



Creating a Finding

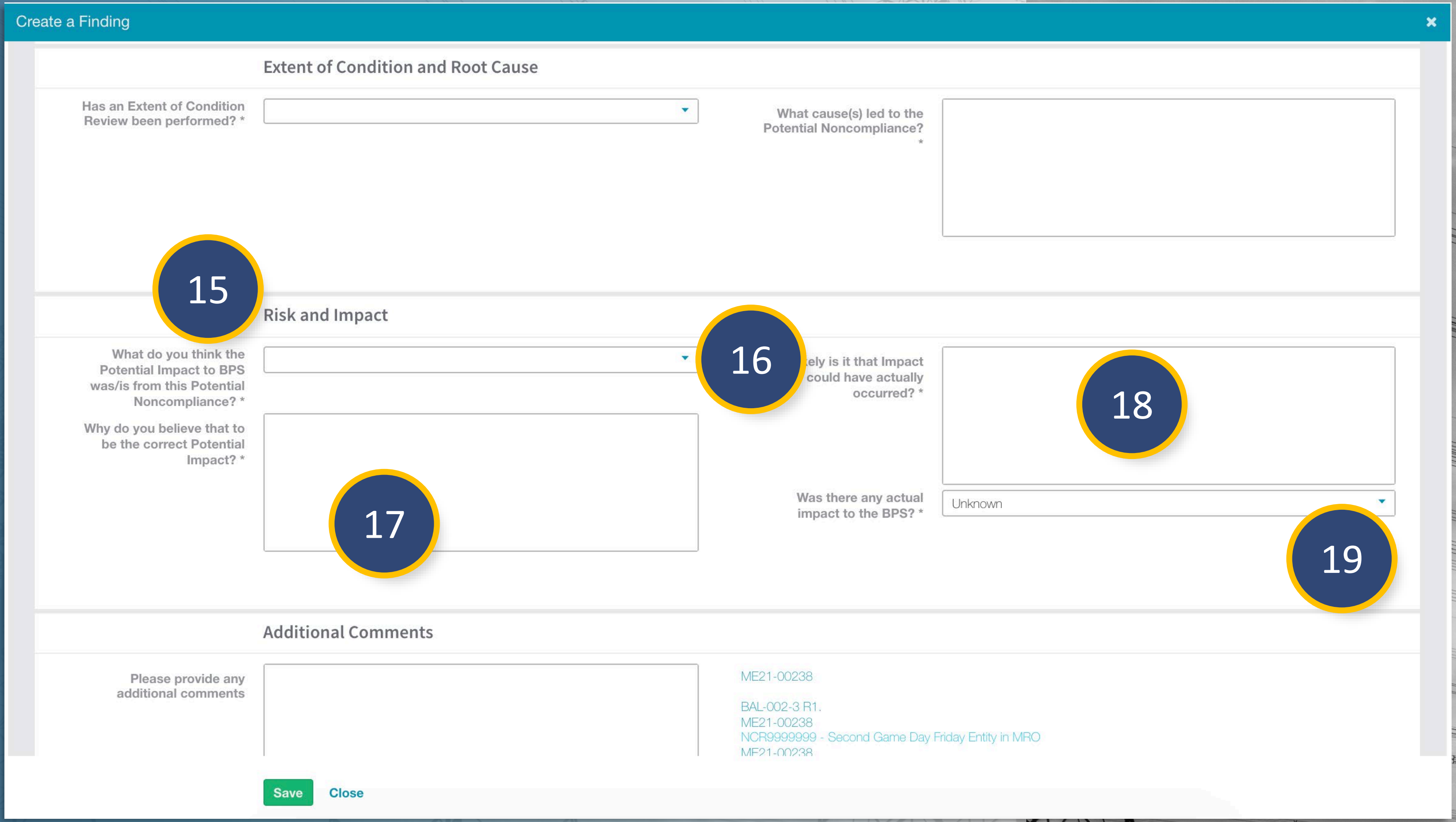
15 Scroll to the **Risk and Impact section**

16 Select **Minimal, Moderate, or Serious** from the **dropdown**

17 Type the **impact of the PNC** in the **textbox**

18 Type the **likelihood that the impact occurred** in the **textbox**

19 Select **Yes, No, or Unknown** form the **dropdown**

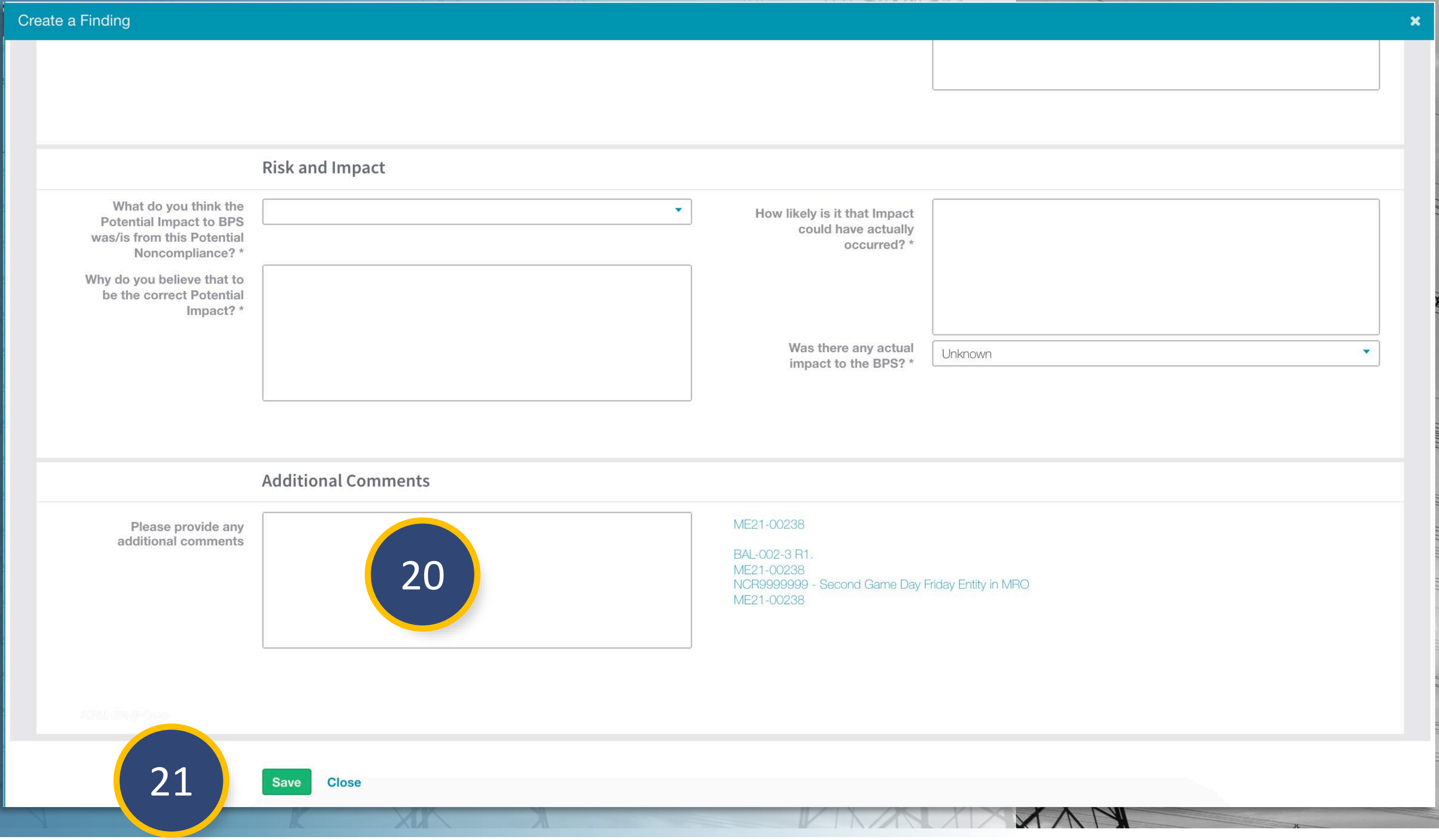


Creating a Finding

To save the Finding Form:

20 Type any **additional comments** in the **textbox**

21 Click **Save**



Creating a Finding

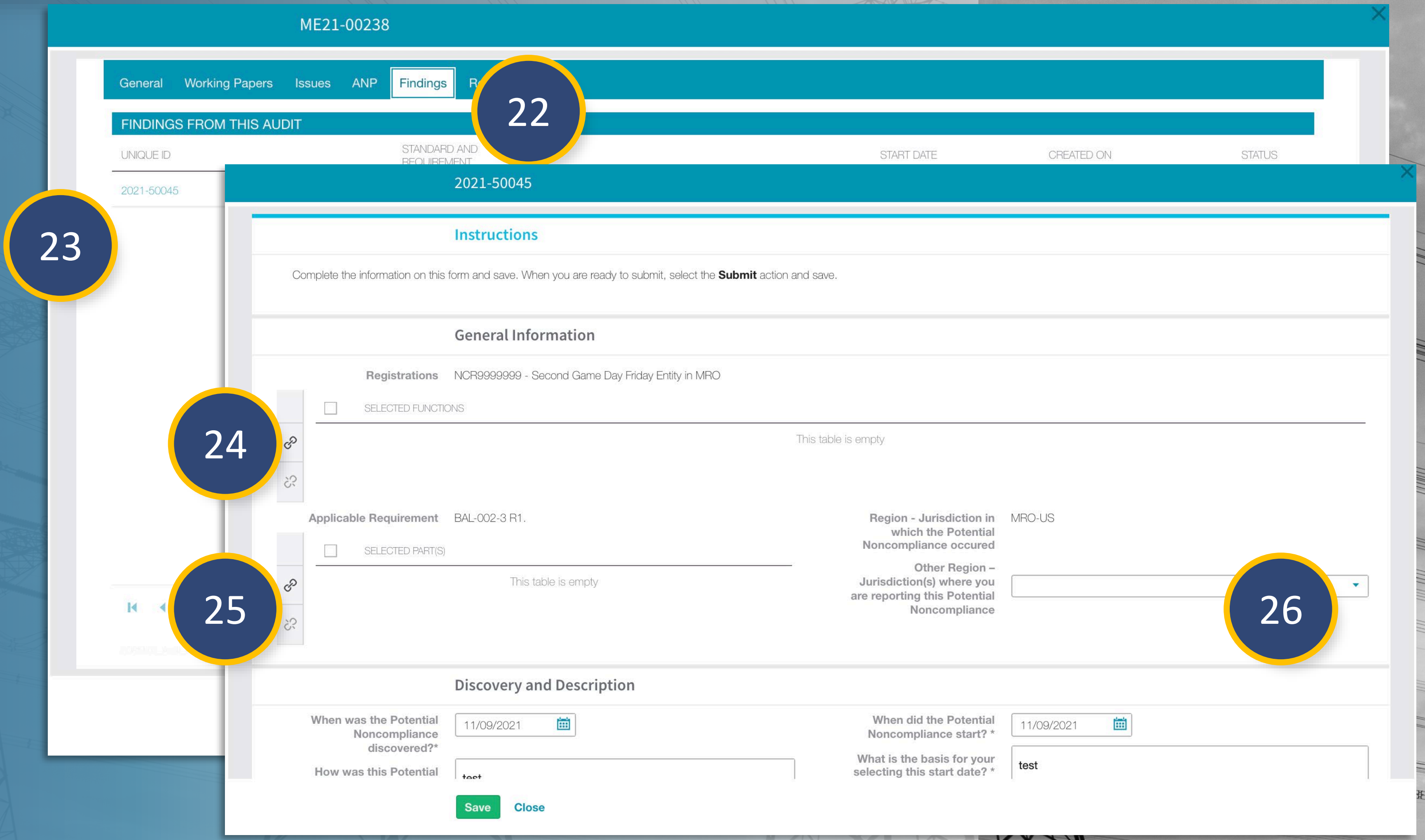
22 Navigate to the **Findings tab**

23 Click the **ID** to open the Finding you just created

24 Click the **link icon** to add additional registrations to the Finding

25 Click the **link icon** to add additional applicable requirements

26 Select additional Regions you wish to add to the Finding from the **dropdown**



Creating a Finding

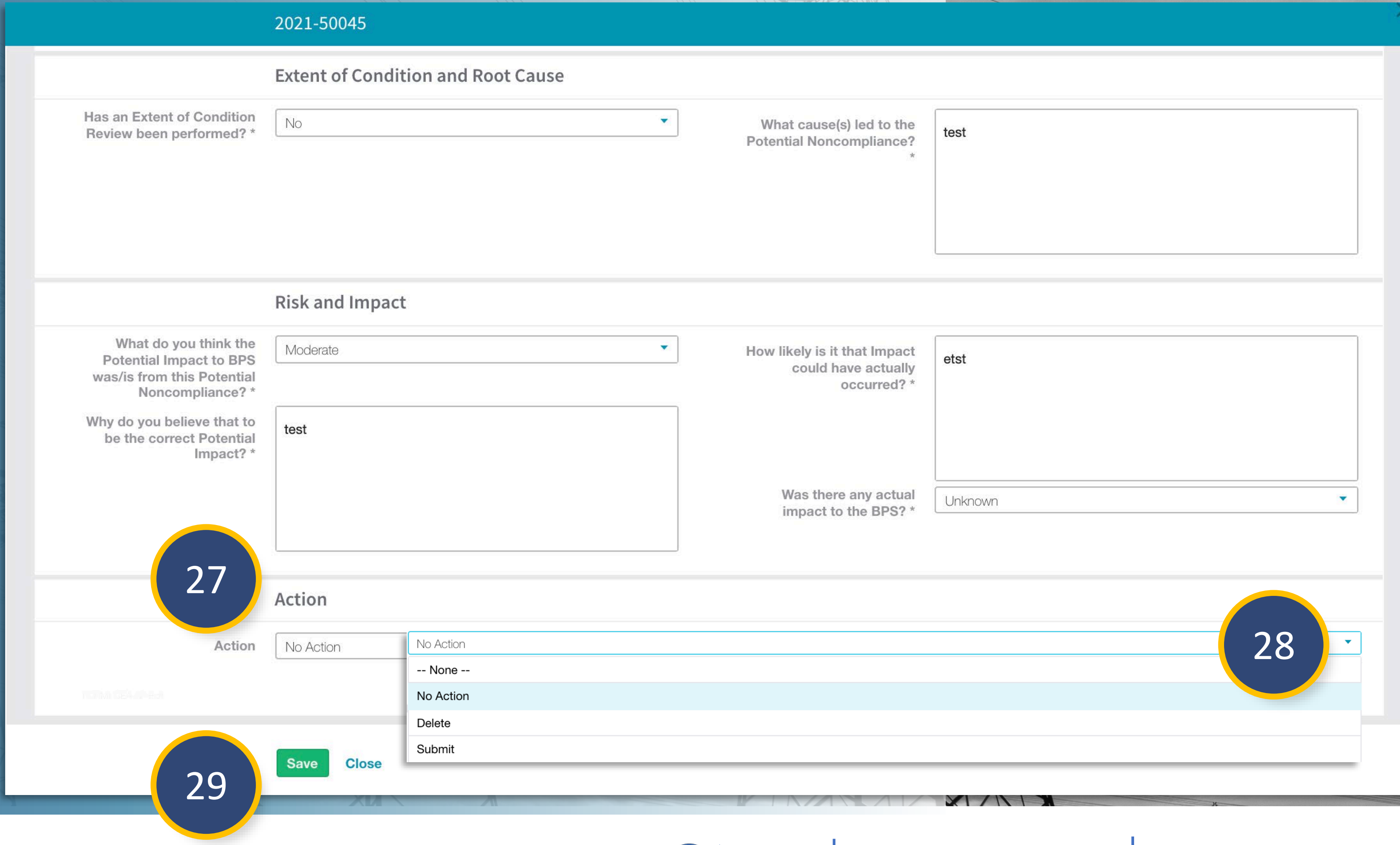
To submit the Finding Form:

27 Scroll to the **Action section**

28 Select **Submit from the dropdown**

29 Click **Save** to submit the Finding

Notice: When you complete this step, the Finding will be submitted to the Preliminary Screen. If you created the Finding by mistake, select Delete from the the dropdown to delete the Finding record.

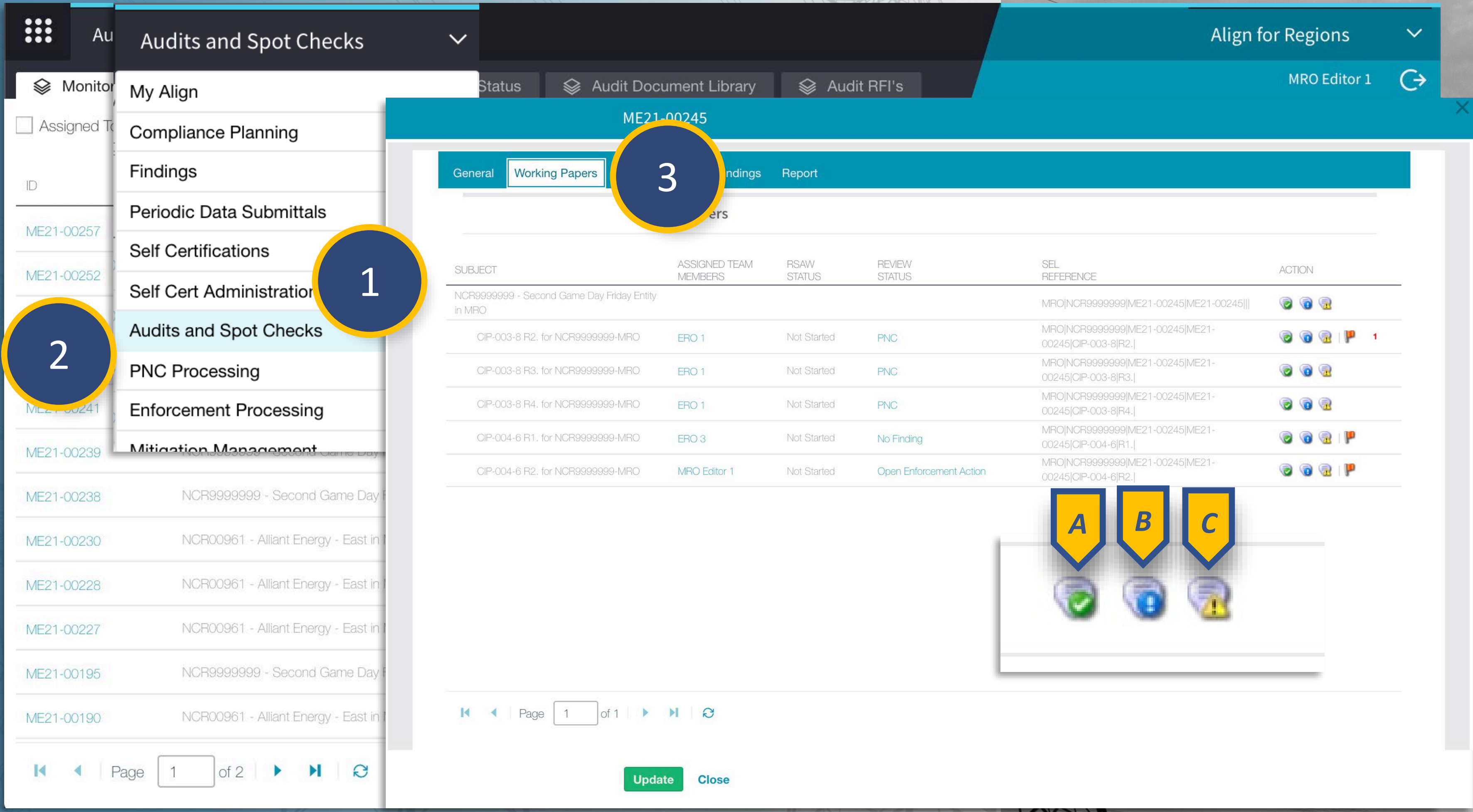


Creating Issues

To create an Issue for a Monitoring Engagement:

1. Click the **dropdown arrow** to navigate to the **Audit and Spot Checks View**
2. Click the **ID** to open the Engagement Record
3. Select the **Working Papers tab**

Notice: There are three types of Issues that can be created in Align. The green icon (a) will create a Positive Observation. The blue icon (b) will create a Recommendation. The yellow icon (c) will create an Area of Concern.



Creating Issues

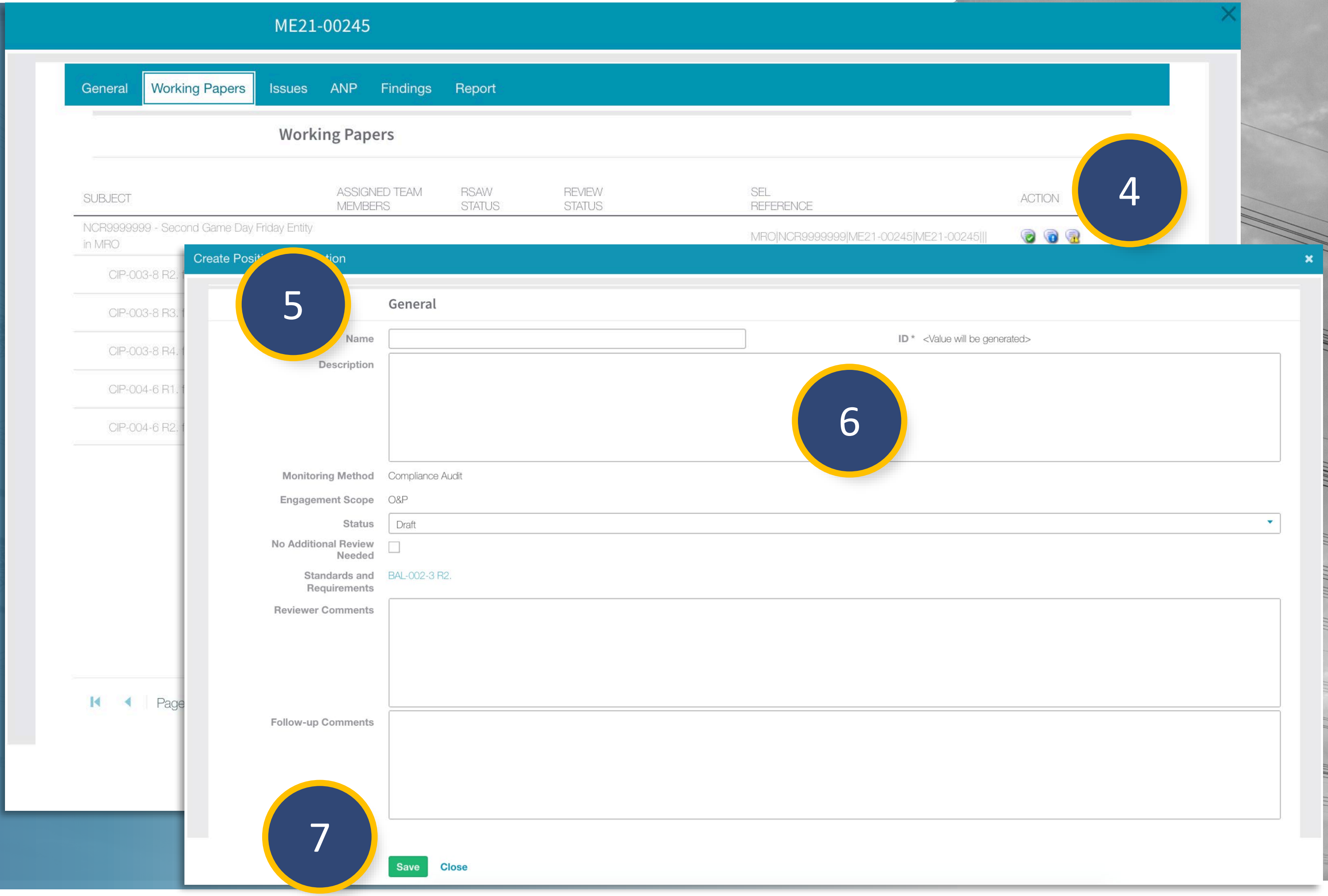
4 Click the applicable **icon**

5 Type a name in the **textbox**

6 Type a description in the **textbox**

Notice: The status of this Issue is Draft. This allows another reviewer from your Region to add comments before the Issue is finalized. Leave the status as draft until the Issue has been reviewed.

7 Click **Save**

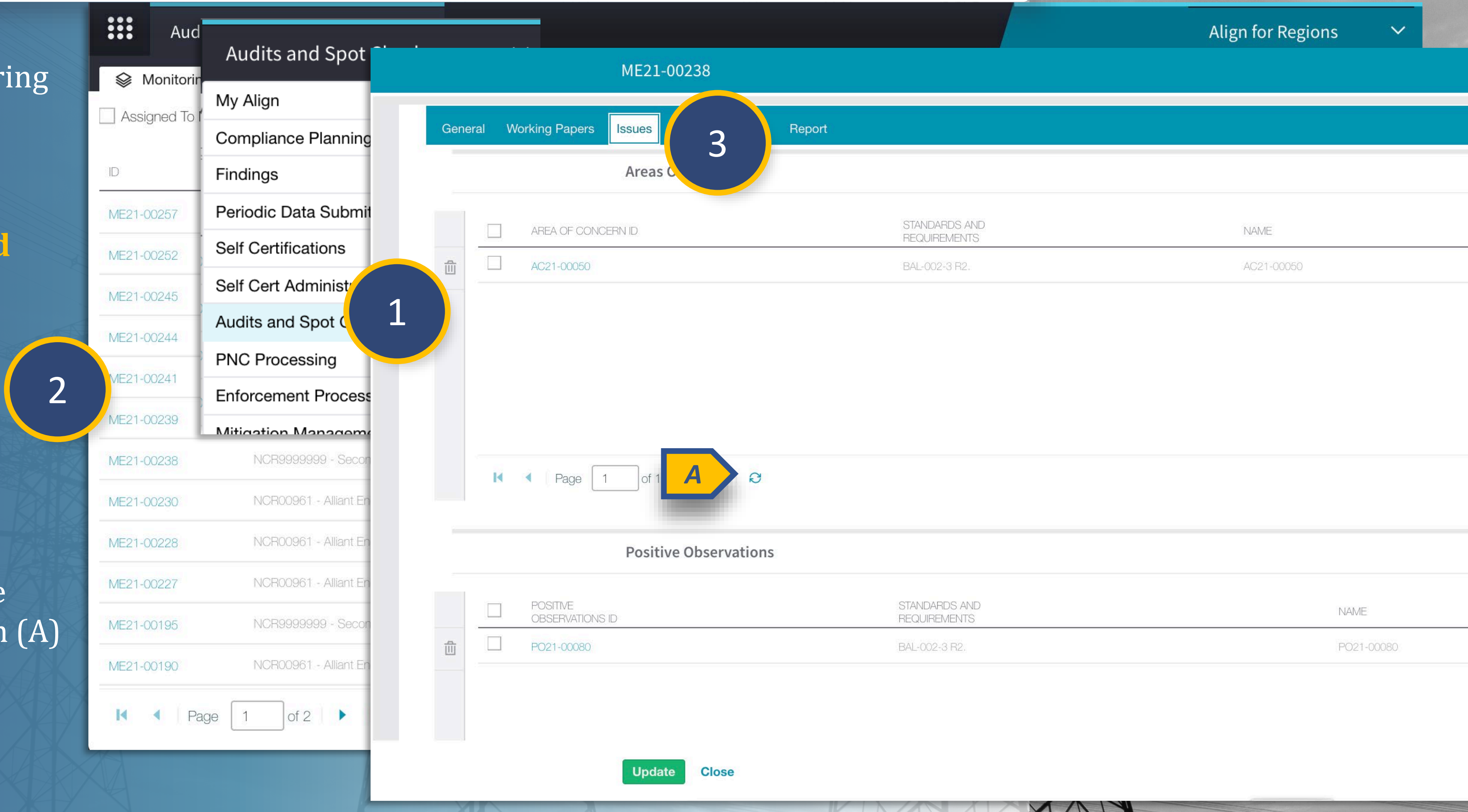


Reviewing Issues

To review an Issue for a Monitoring Engagement:

1. Click the **dropdown arrow** to navigate to the **Audit and Spot Checks View**
2. Click the **ID** to open the Engagement Record
3. Select the **Issues tab**

Notice: If you do not see the Issue you created, click the refresh icon (A)

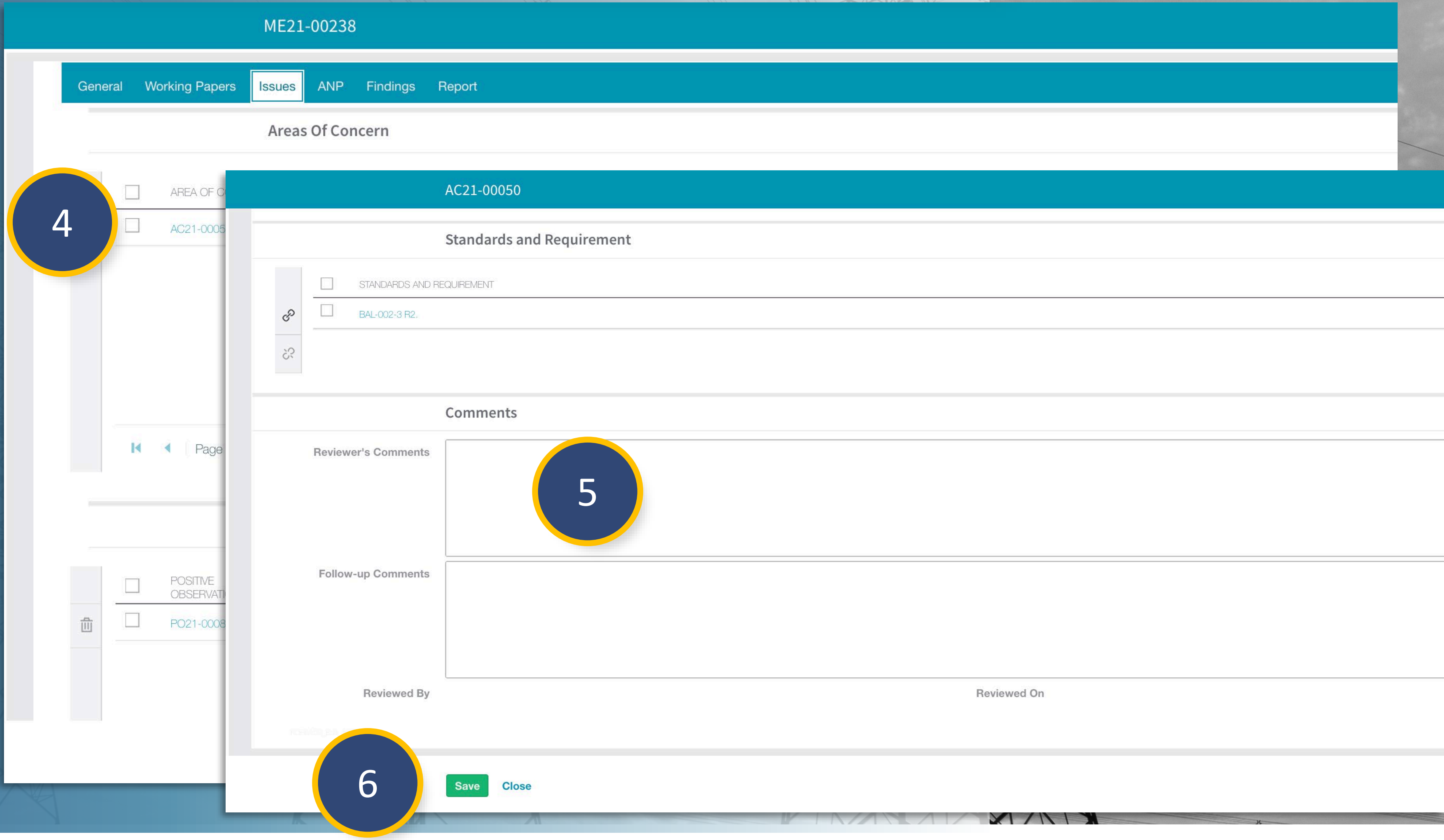


Reviewing Issues

4 Click the **ID** to open the Issue

5 In the Comments section, type **Reviewer's Comments**

6 Click **Save** to save your comments



Reviewing Issues

When you are ready to complete the review:

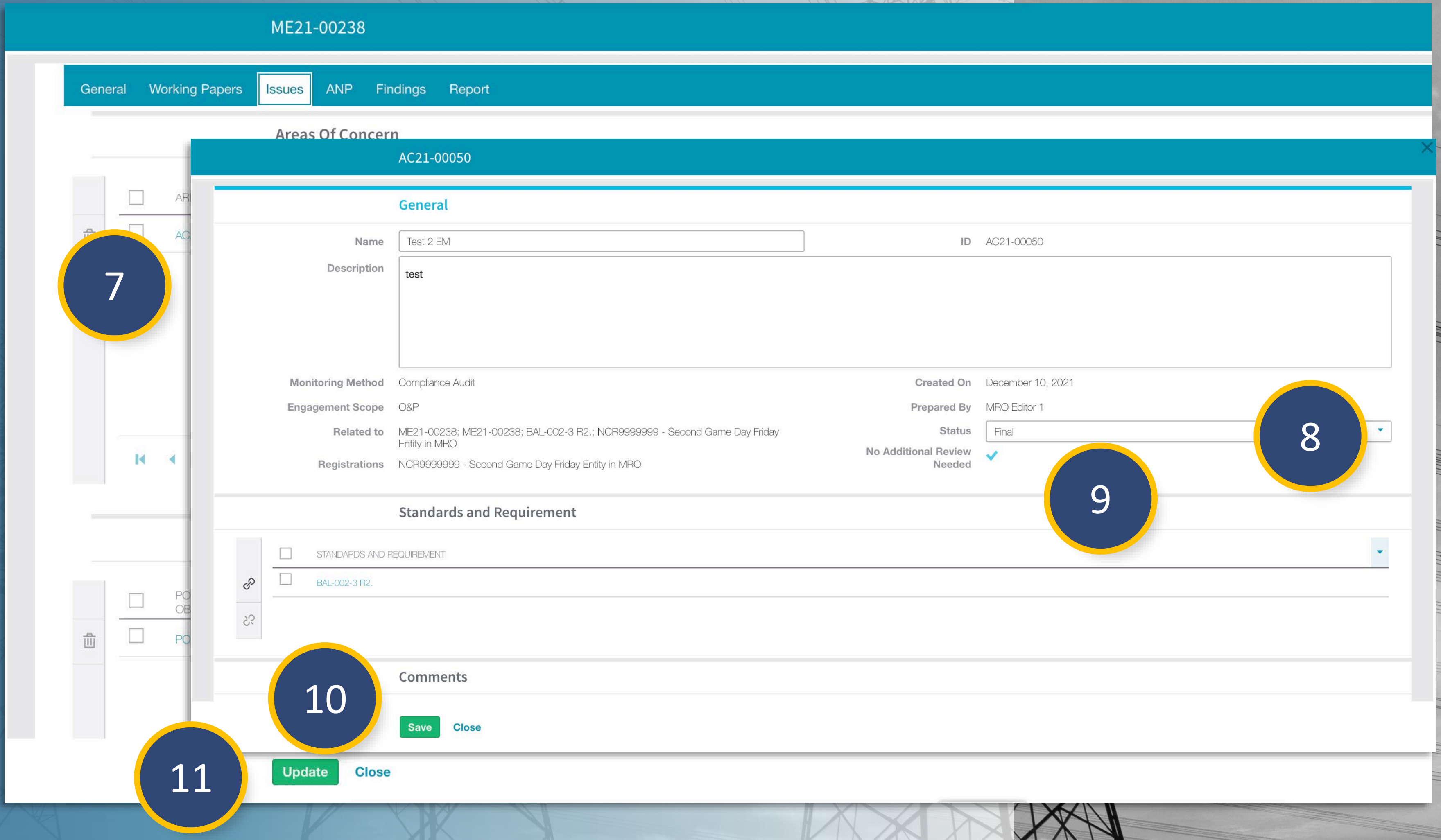
7 Click the **ID** to open the Issue

8 Select **Final** from the **dropdown**

9 Check the **No Additional Review Needed checkbox**

10 Click **Save**

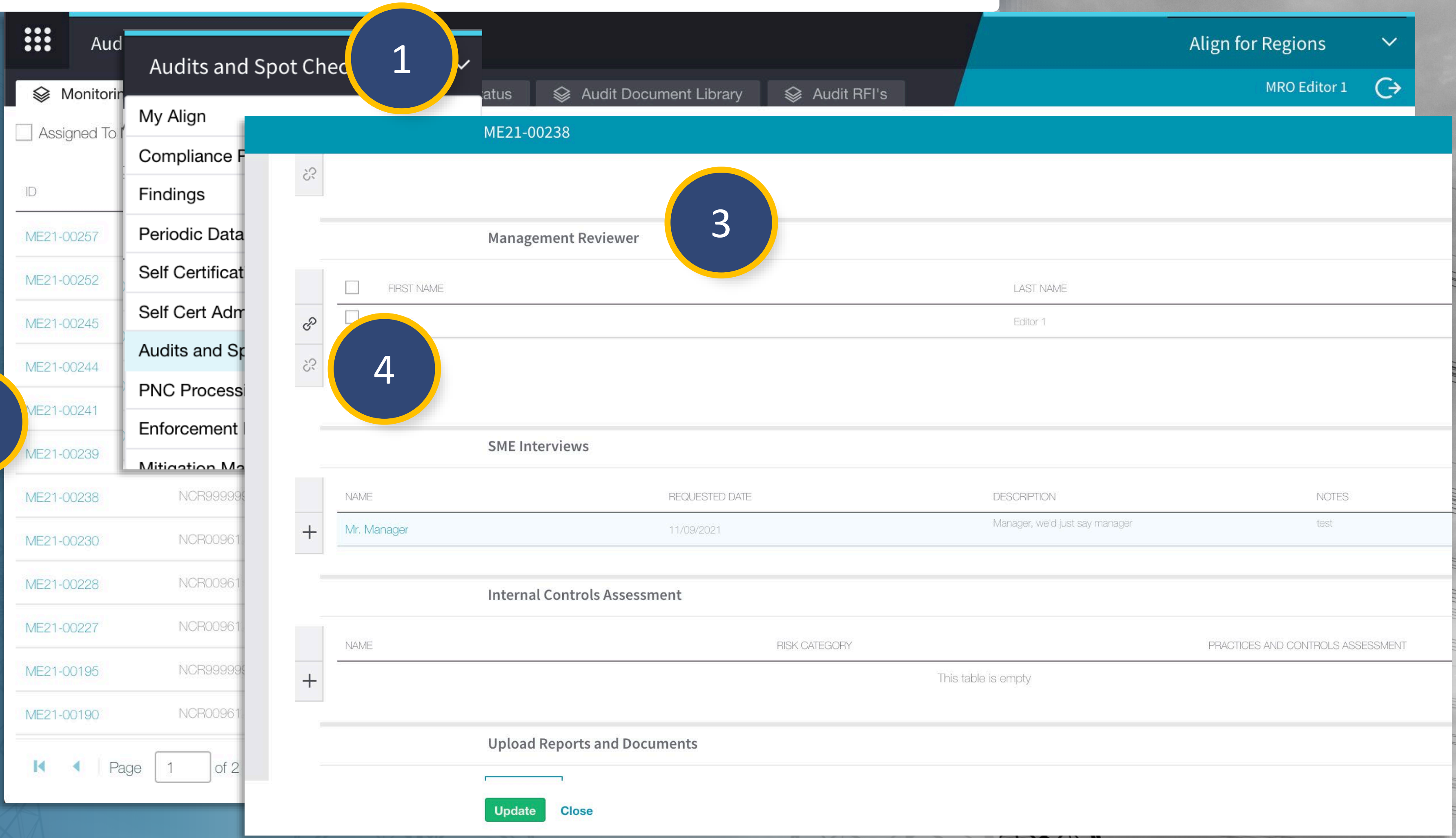
11 Click **Update**



Management Reviewers

To assign a Management Reviewer to a Monitoring Engagement:

1. Click the **dropdown arrow** to navigate to the **Audit and Spot Checks View**
2. Click the **ID** to open the Engagement Record
3. Scroll to the **Management Reviewer section**
4. Click the **link icon**

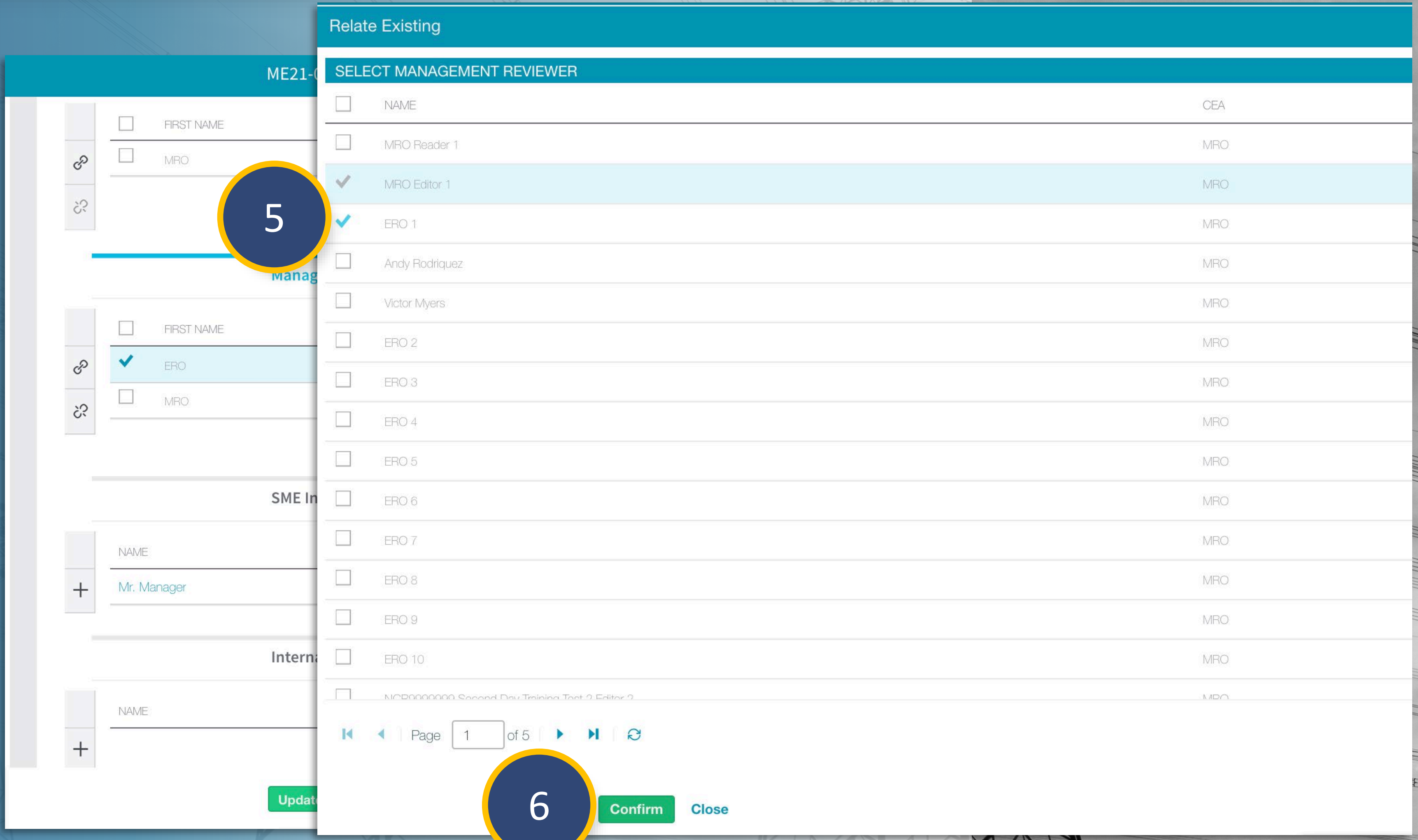


Management Reviewers

5 Check the **checkbox** next to the Management Reviewer you wish to add

6 Click **Confirm**

Notice: The Reviewer you just added should appear in the Management Reviewer Section of the Engagement Form

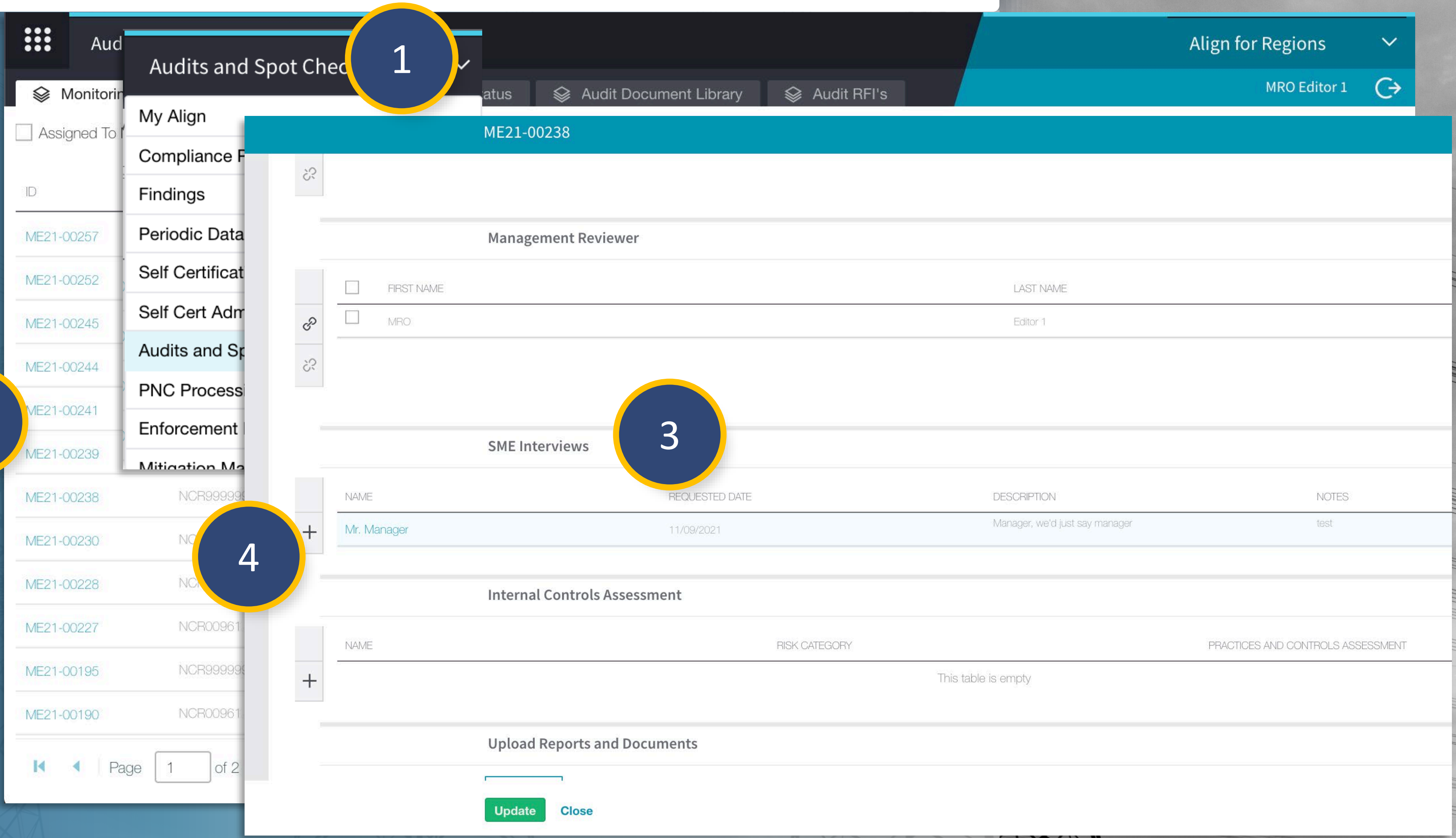


The reviewers that you select here will receive an email once you Update the Monitoring Engagement

SME Interviews

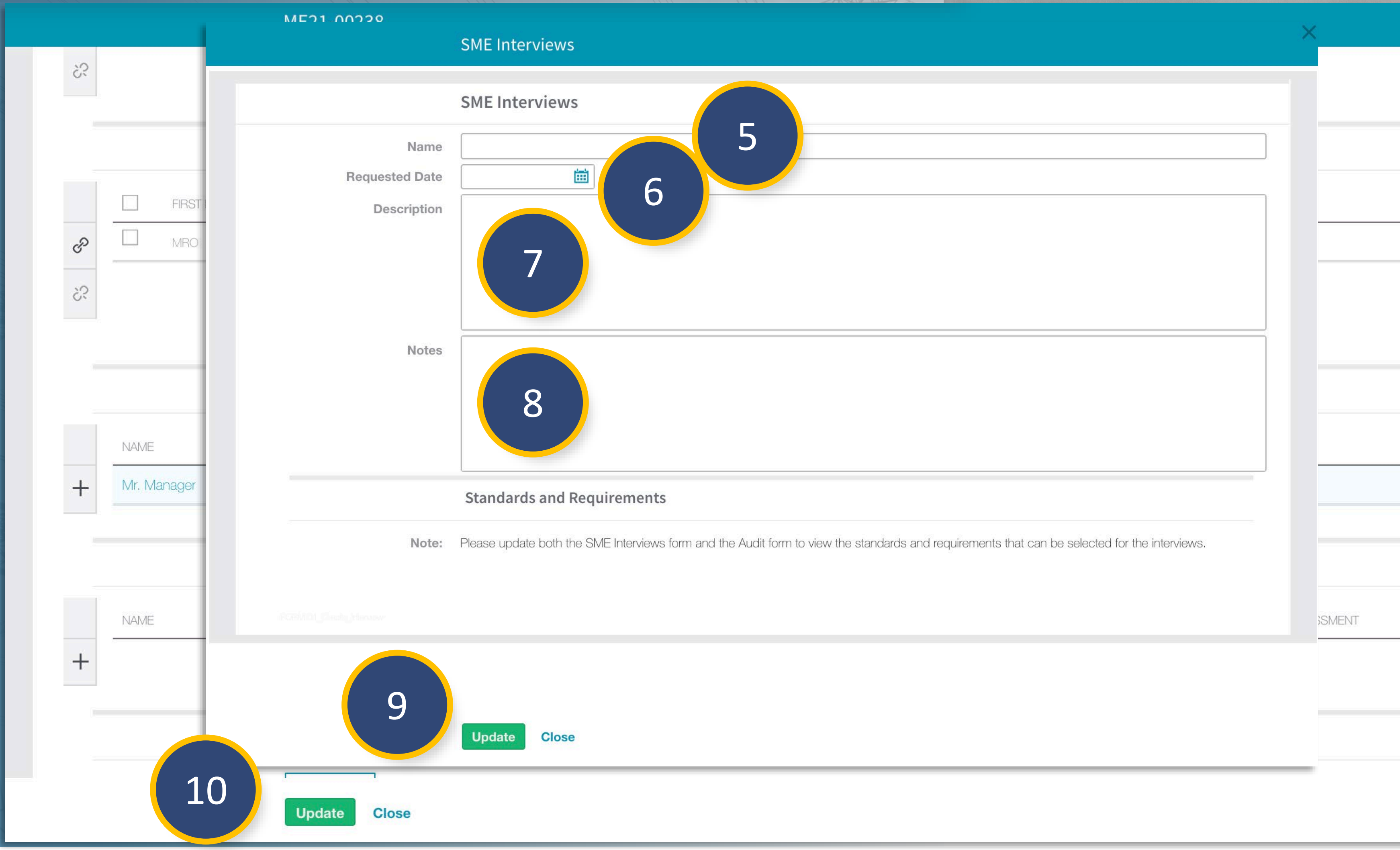
To add a SME Interview record to a Monitoring Engagement:

1. Click the **dropdown arrow** to navigate to the **Audit and Spot Checks View**
2. Click the **ID** to open the Engagement Record
3. Scroll to the **SME Interviews section**
4. Click the **plus icon**



SME Interviews

5. Type the **Name** of the person who was interviewed in the **textbox**
6. Click the **calendar icon** to select the **Request Date**
7. Type a **Description** in the **textbox**
8. Type any **Notes** in the **textbox**
9. Click **Update**
10. Click **Update**



SME Interviews

To relate the SME Interview to a specific requirement:

11 Click the **Name** to reopen the record

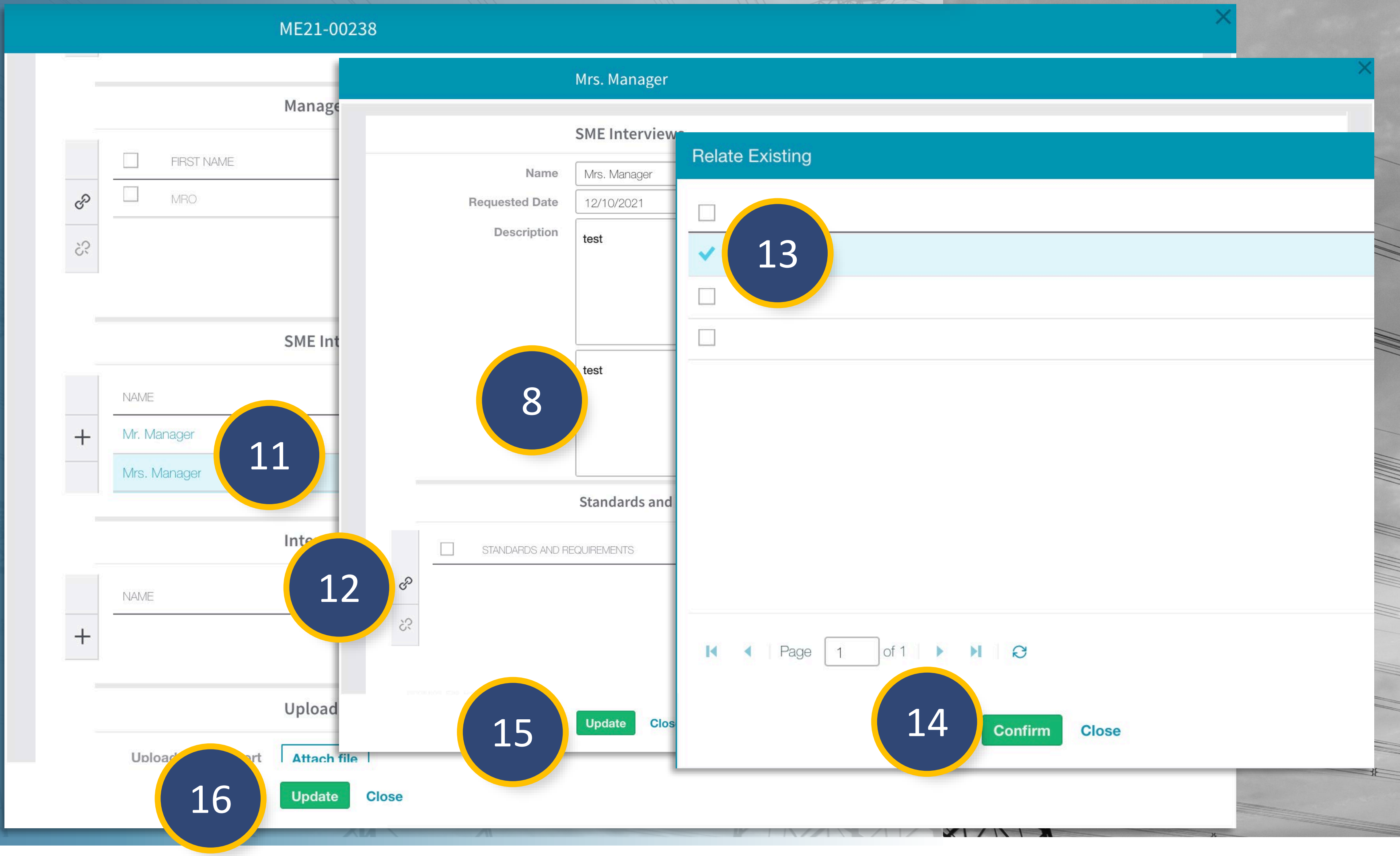
12 Click the **link icon**

13 Check the **checkbox** next to the relevant requirement

14 Click **Confirm**

15 Click **Update**

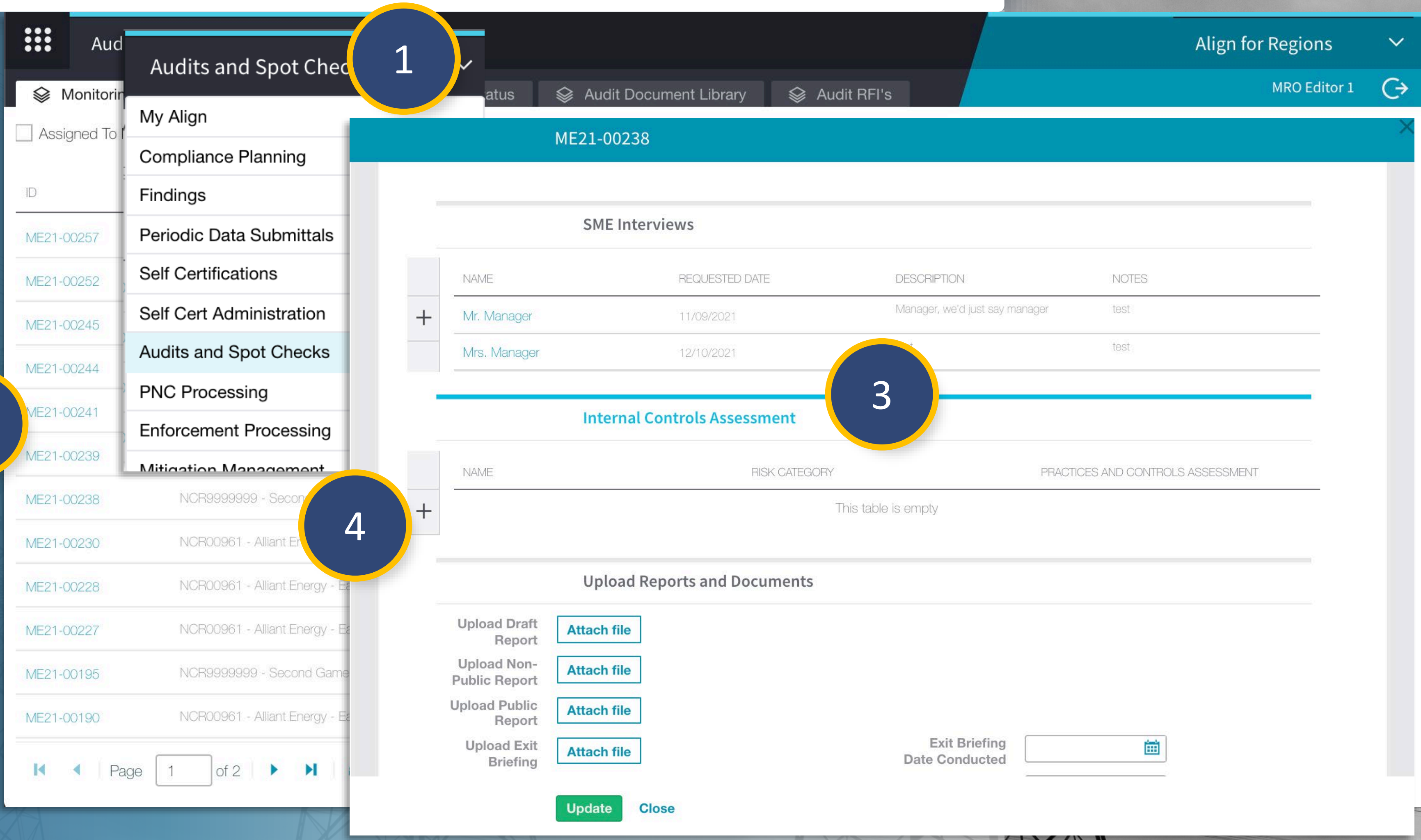
16 Click **Update**



Internal Controls Assessments

To add an Internal Controls Assessment to the Monitoring Engagement

1. Click the **dropdown arrow** to navigate to the **Audit and Spot Checks View**
2. Click the **ID** to open the Engagement Record
3. Scroll to the **Internal Controls section**
4. Click the **plus icon**



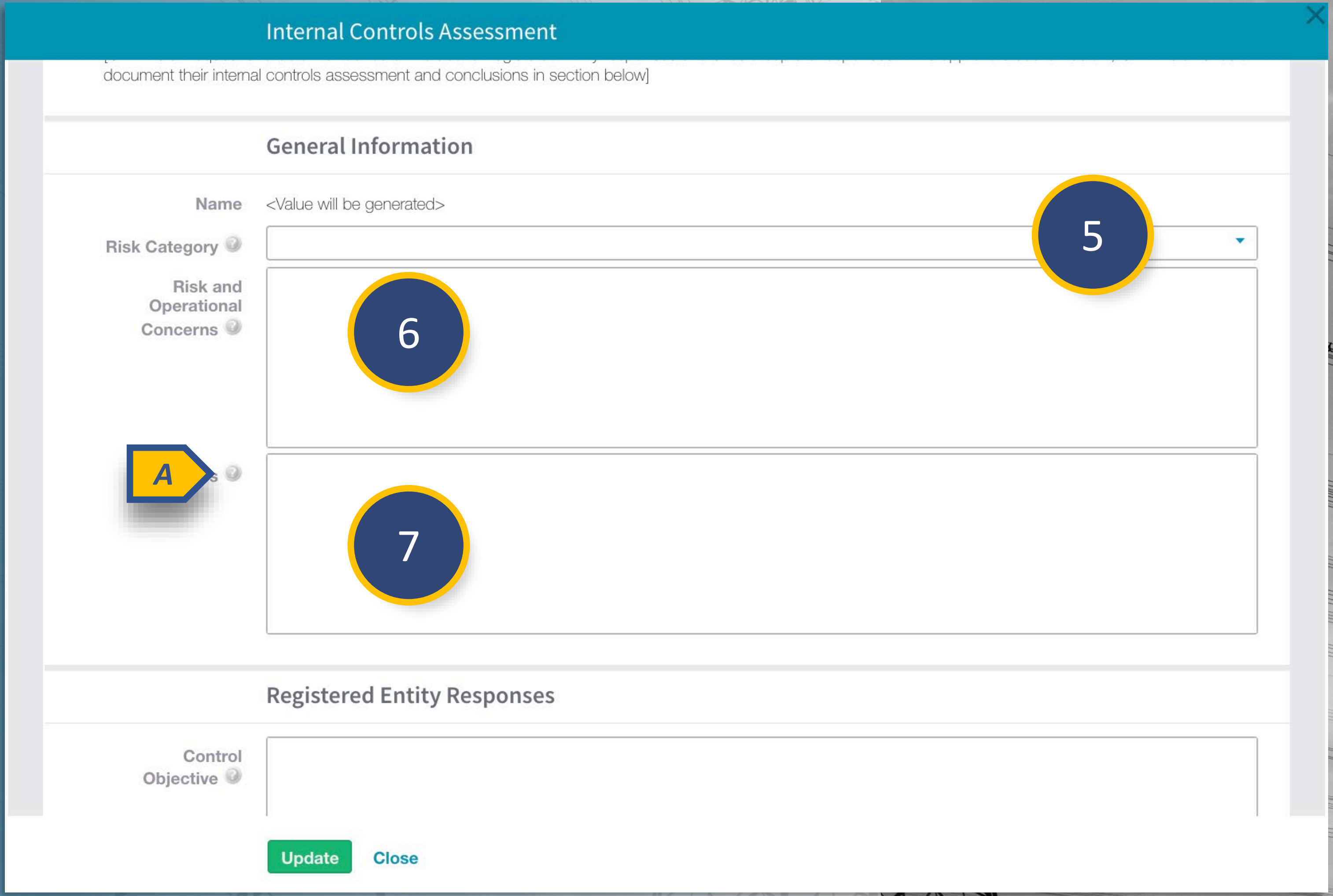
Internal Controls Assessments

5 Select the **Risk Category** from the **dropdown**

6 Type the **Risk and Operational Concerns** in the **textbox**

7 Type the **Process** in the **textbox**

Notice: If you are unsure of what to put for an answer, hover over the question mark icon (a) for instructions and additional information

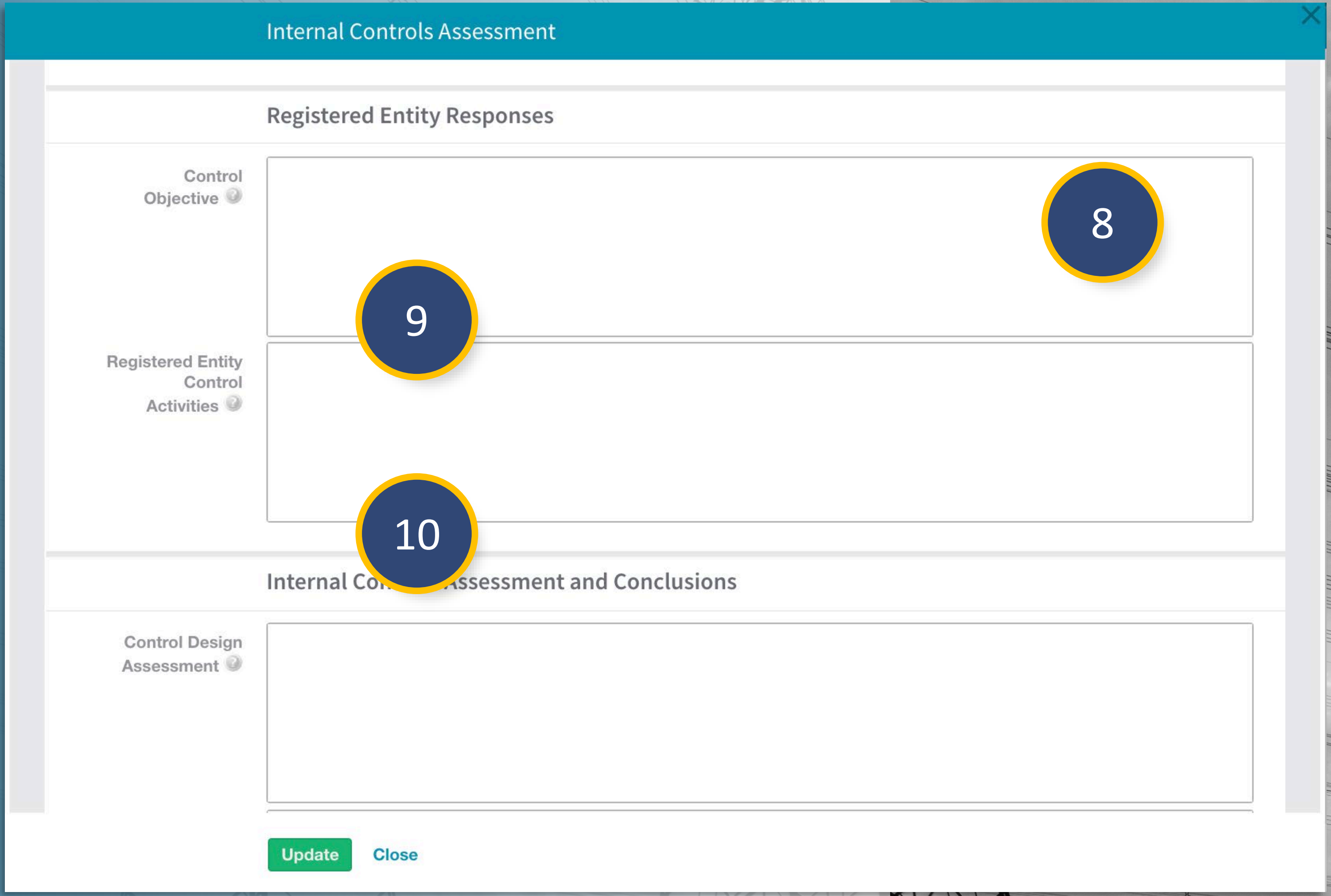


Internal Controls Assessments

8. Type the **Control Objective** in the **textbox**

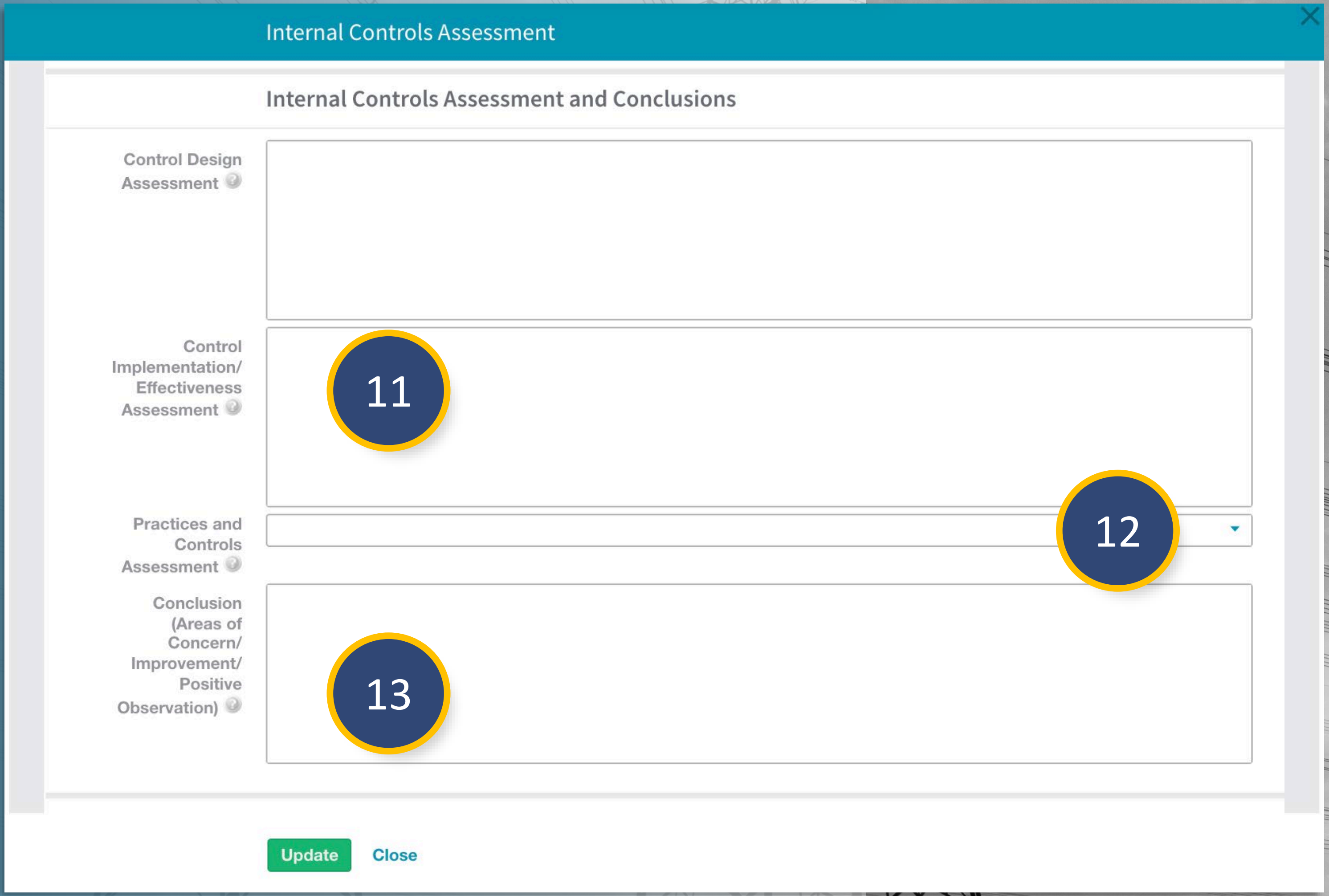
9. Type the **Registered Entity Control Activities** in the **textbox**

10. Type the **Control Design Assessment** in the **textbox**



Internal Controls Assessments

11. Type the **Control Implementation/Effectiveness Assessment** in the **textbox**
12. Select the **Practices and Controls Assessment** from the **dropdown**
13. Type the **Conclusion** in the **textbox**

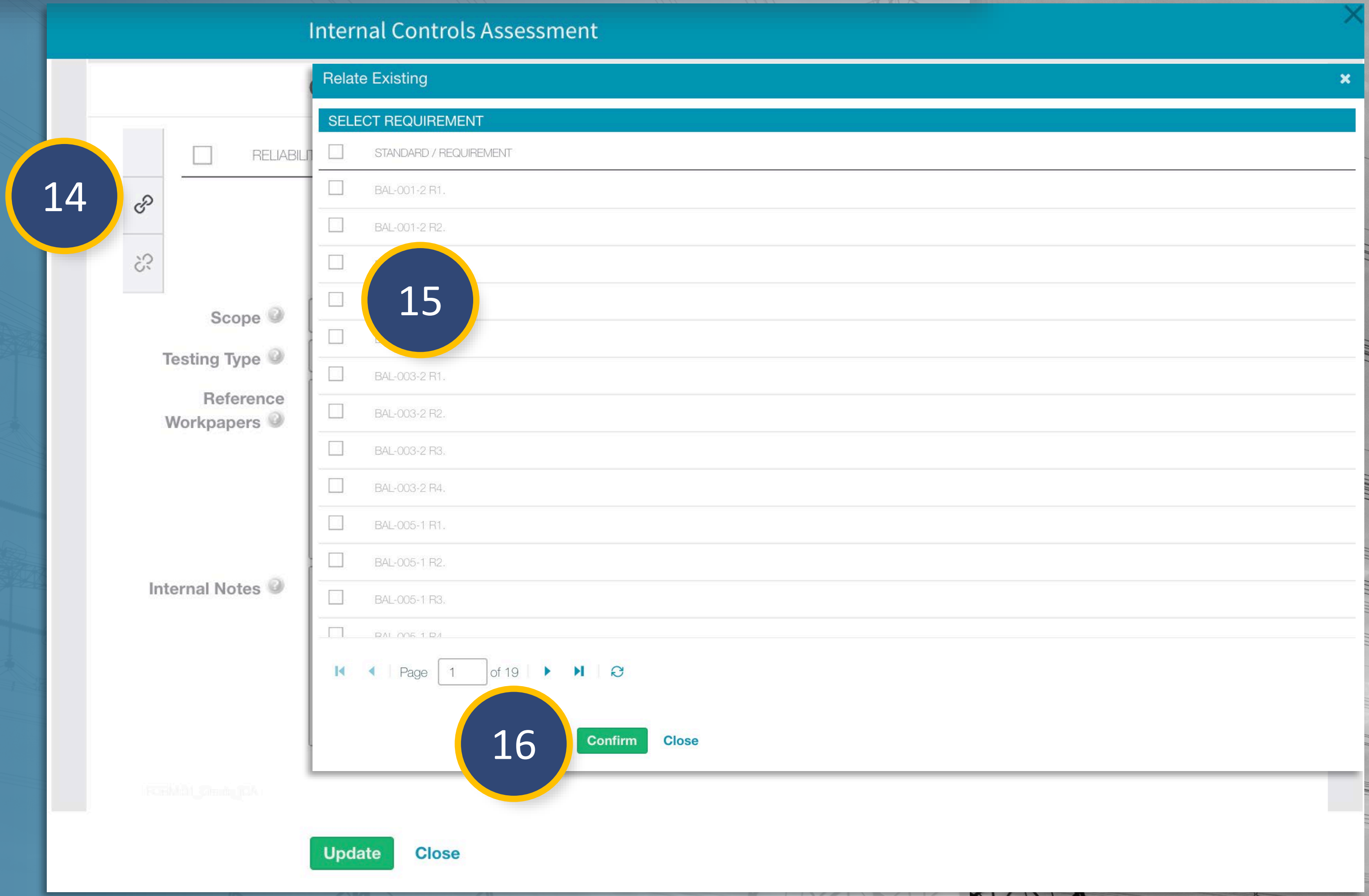


Internal Controls Assessments

14 Click the **link icon**

15 Check the **checkbox** next to the relevant requirement

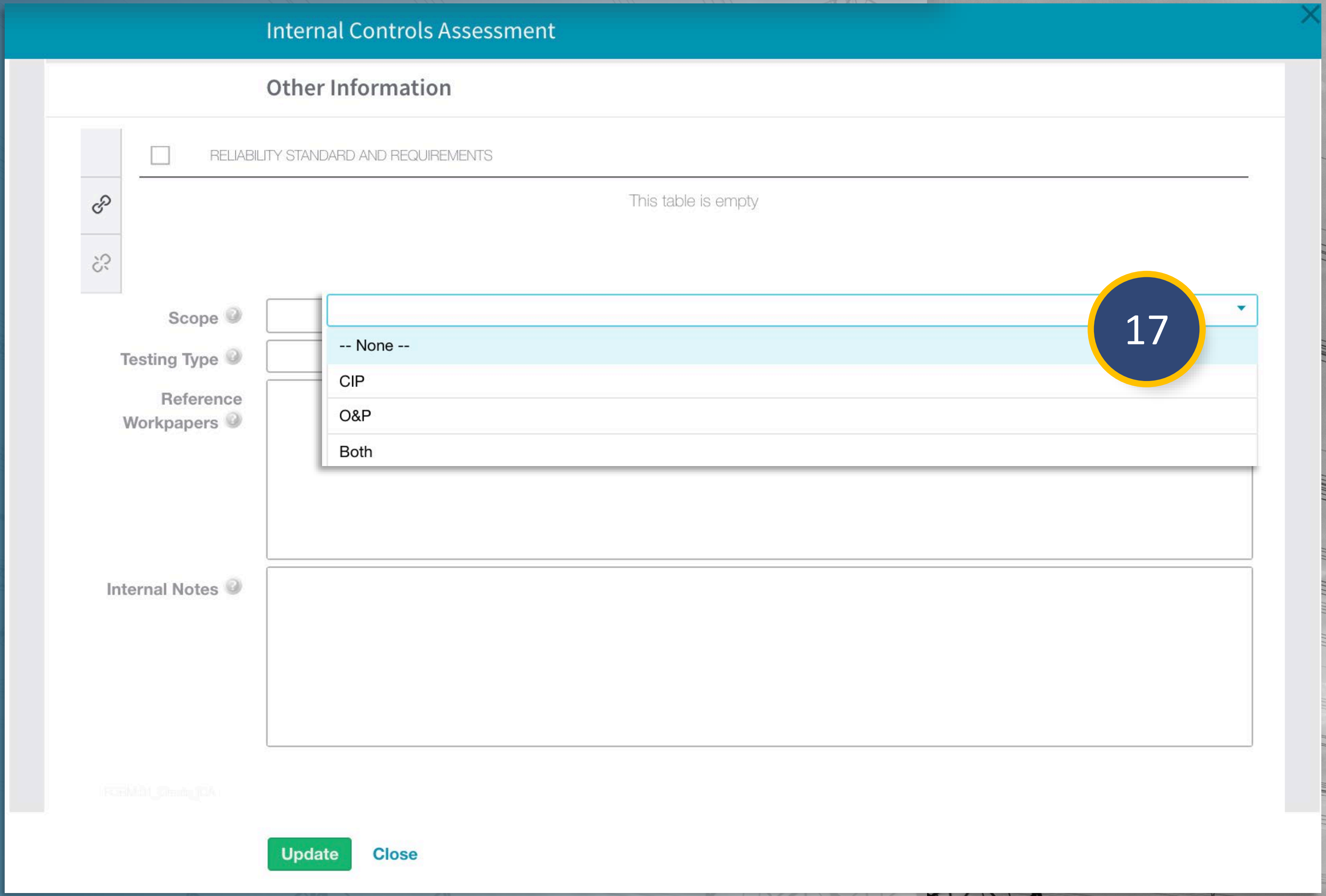
16 Click **confirm**



Internal Controls Assessments

17 Select a **Scope** from the **dropdown**

Notice: Align does not validate if the Scope you assign is the correct Scope for the Monitoring Engagement. Ensure the Scope you select is appropriate for the Monitoring Engagement.



Internal Controls Assessments

ALIGN

18. Select a **Testing Type** from the **dropdown**

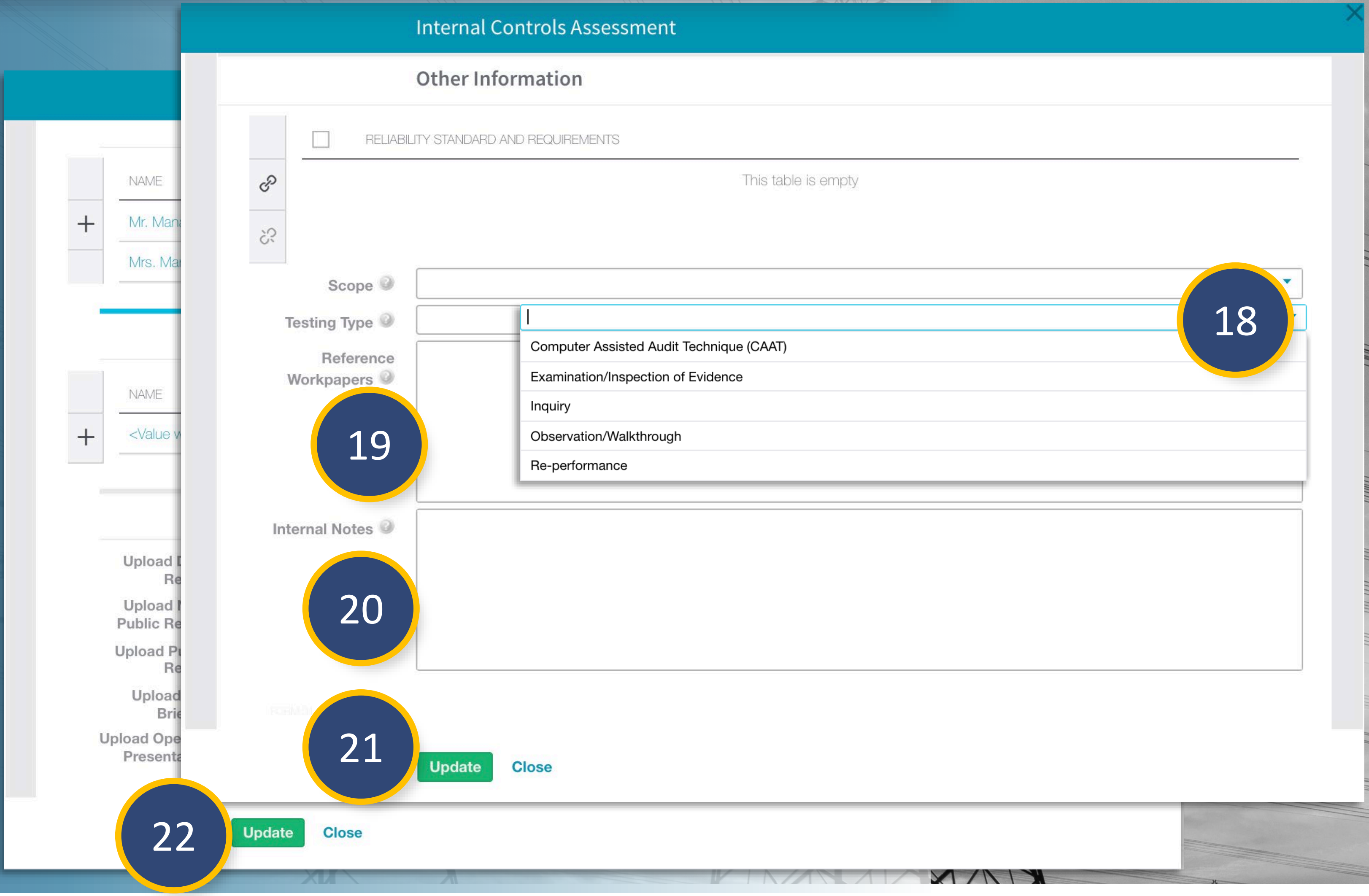
19. Type the **Reference Workpapers** in the **textbox**

20. Type any **Internal Notes** in the **textbox**

21. Click **Update**

22. Click **Update**

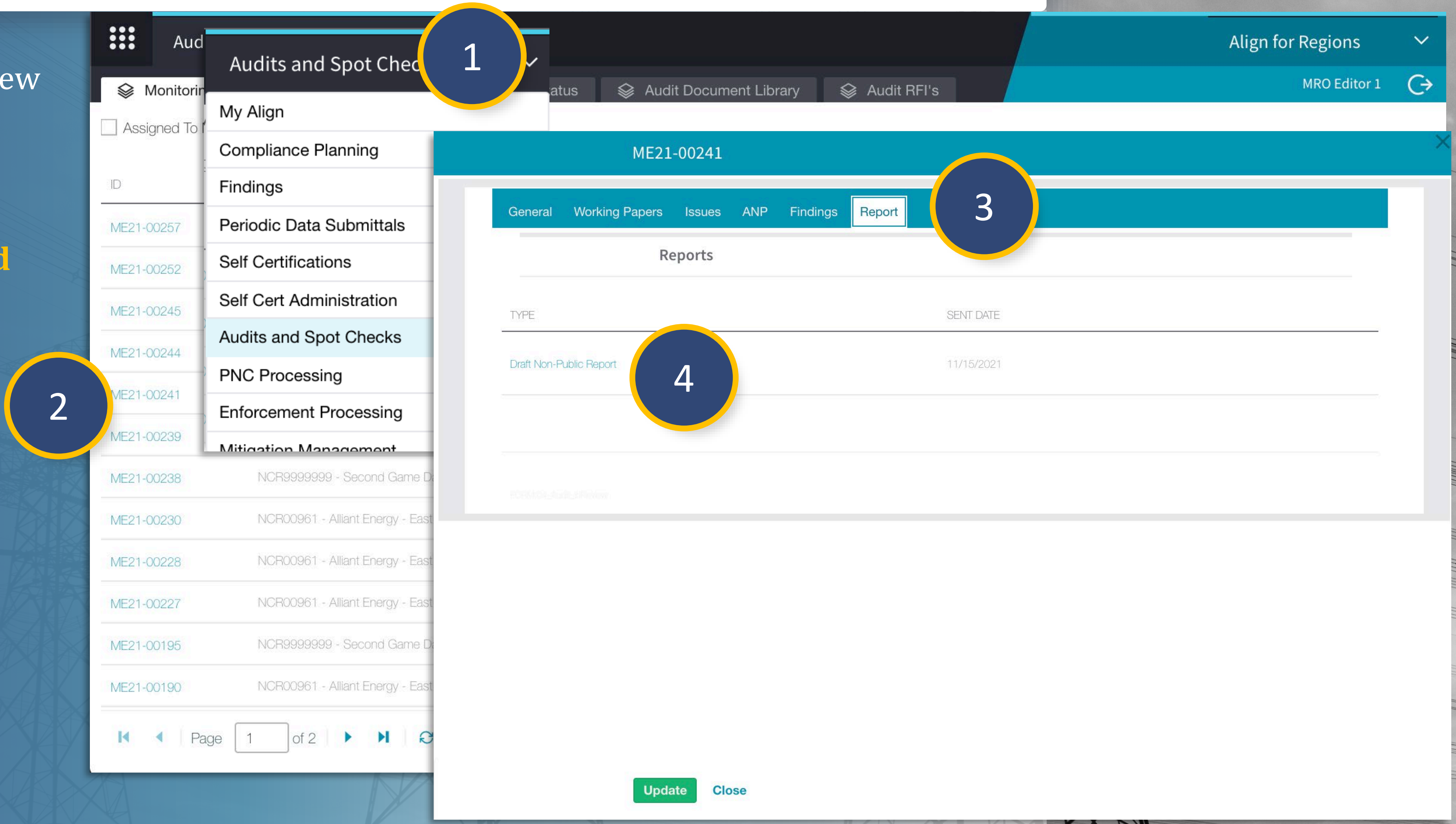
Notice: If you do not click Update on the Monitoring Engagement form, you will lose all the changes you just made.



Performing a Review

To perform the management review of a Monitoring Engagement:

1. Click the **dropdown arrow** to navigate to the **Audit and Spot Checks View**
2. Click the **ID** to open the Engagement Record
3. Click the **Report tab**
4. Click the **Draft Non-Public Report link**



Performing a Review

Use the tabs at the top of the report to perform your review. When you are ready to send the review to the Registered Entity:

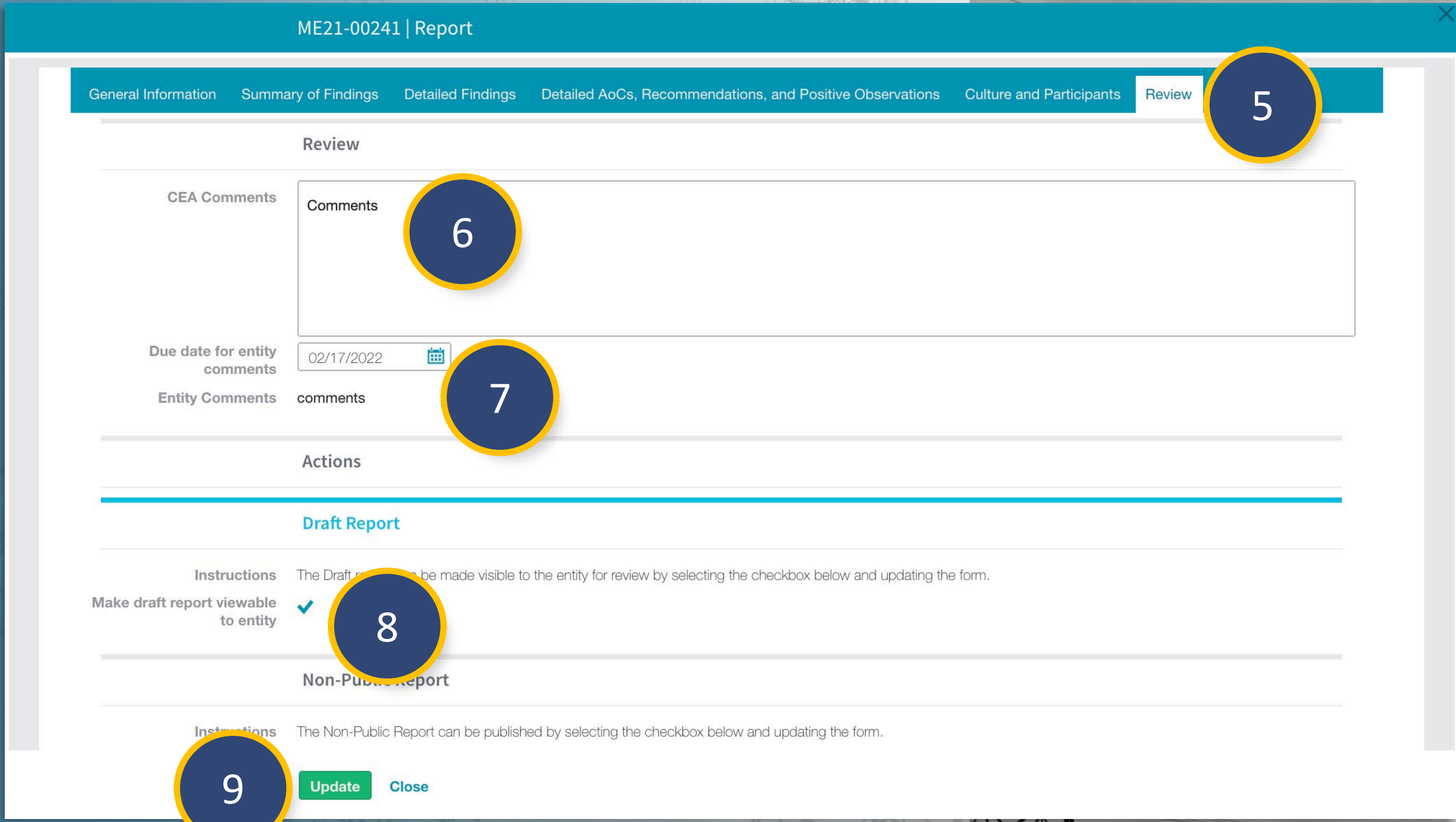
5 Click the **Review tab**

6 Type **CEA Comments** in the **textbox**

7 Click the **calendar icon** to select a Due Date for entity comments

8 Check the **checkbox** to make the report visible to the entity

9 Click **Update**



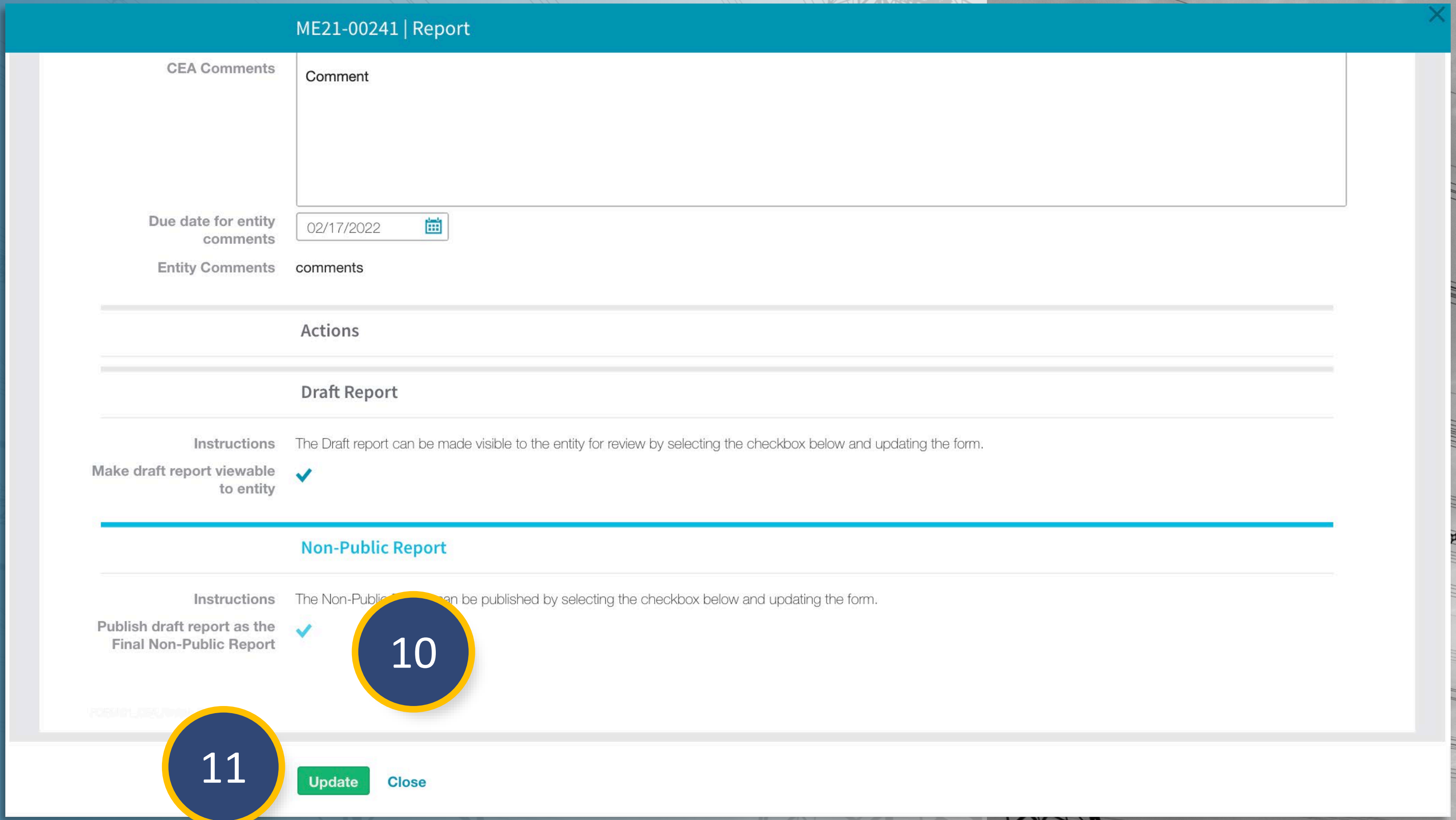
The PCC, ACC, NERC and CEA Engagement Editors will receive an email when the draft report is created

Performing a Review

Once the entity has reviewed and provided follow-up comments:

10 In the **Non-Public Report section**, check the **checkbox**

11 Click **Update**



The PCC, ACC, NERC and CEA Engagement Editors will receive an email when the final report is created

Performing a Review

To approve the Monitoring Engagement Record:

12 Click the **General tab**

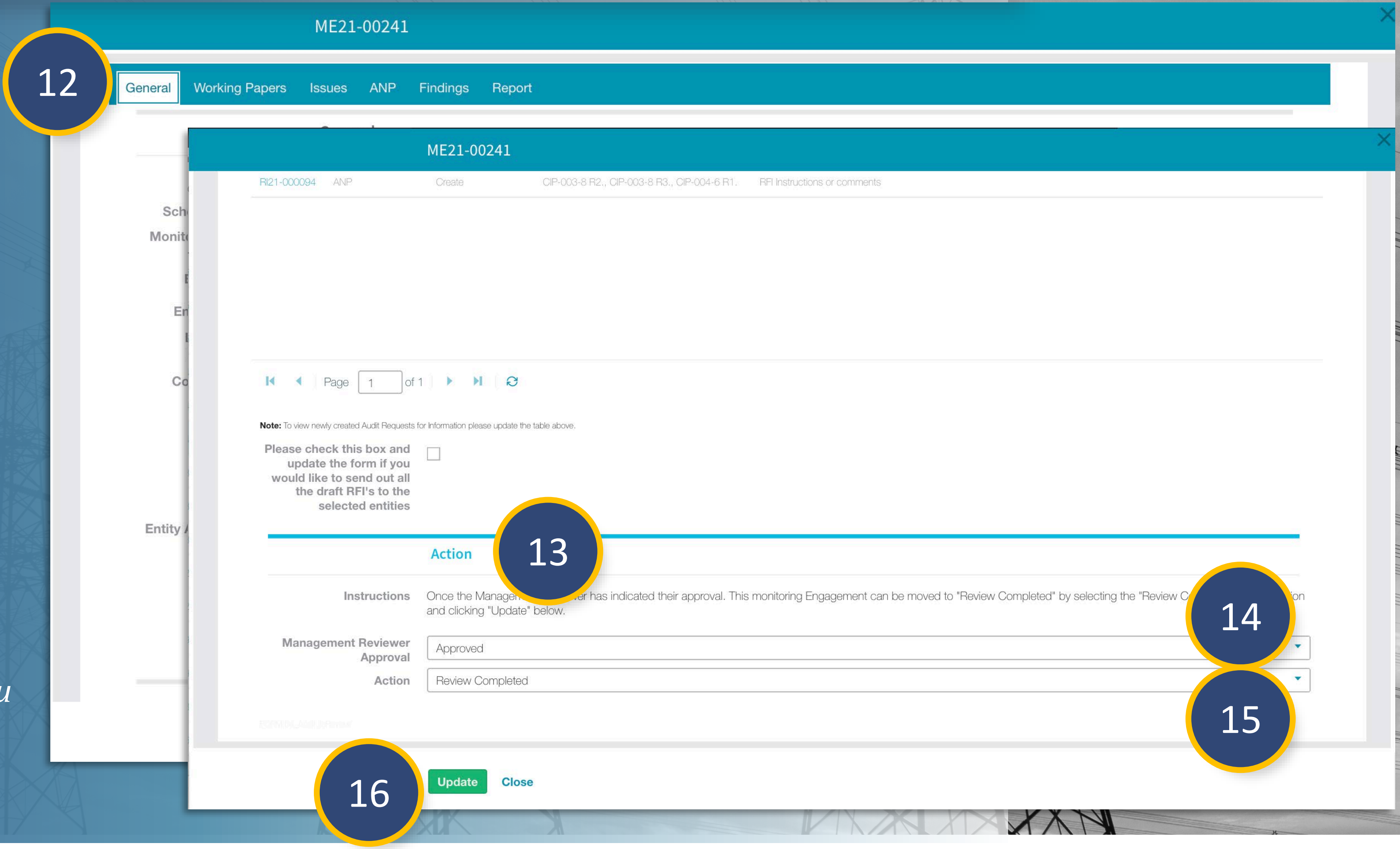
13 Scroll to the **Action section**

14 Select **Approved** from the **dropdown**

15 Select **Review Completed** from the **dropdown**

15 Click **Update**

Notice: If changes need to be made, you can select 'Not Approved' for the Management Reviewer Approval field

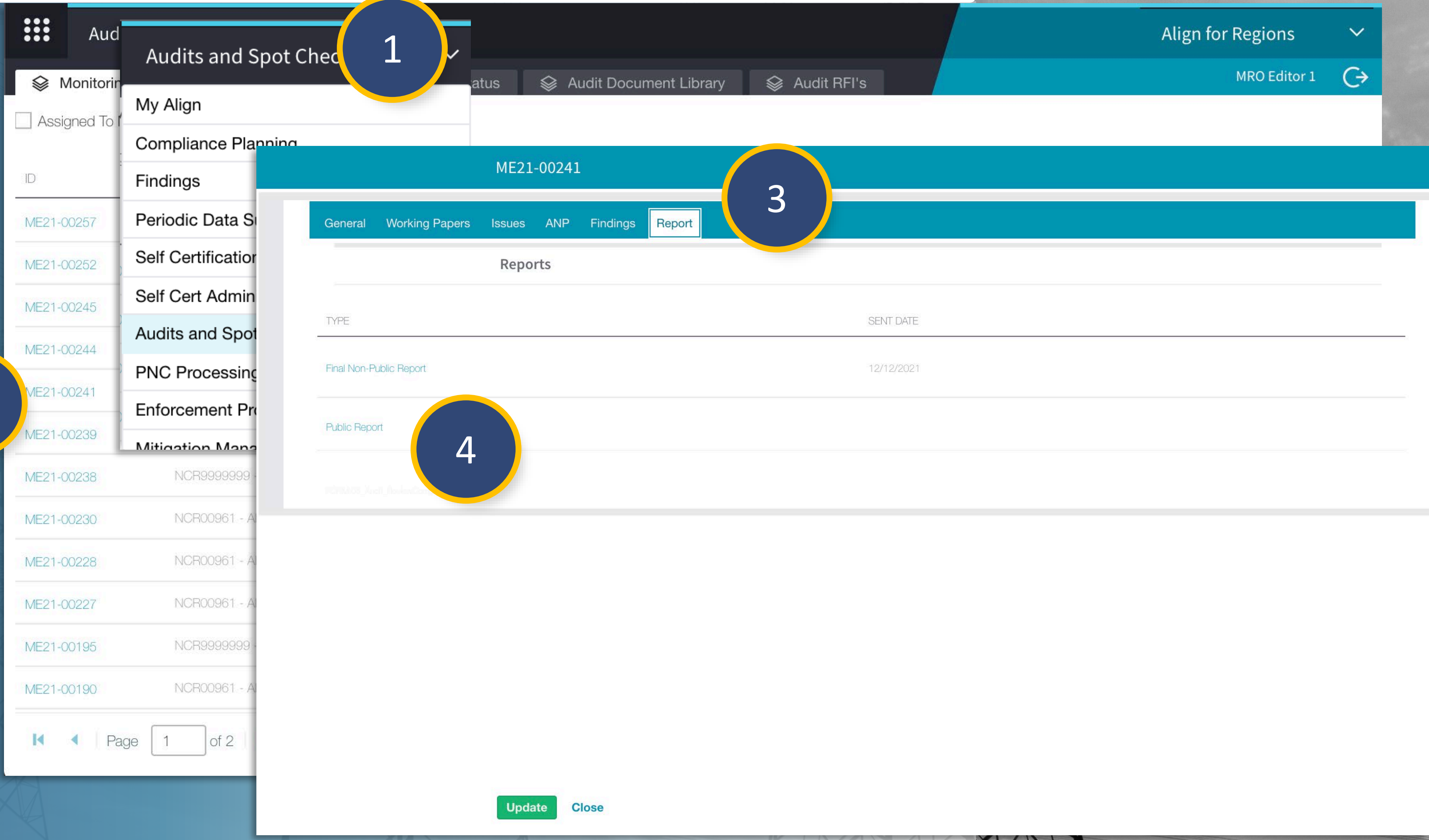


If you select 'Not Approved' and click Update, an email will be sent to the Audit Leads

Running a Public Report

Once the review has been completed and all PNCs have been addressed, you can run a public report in Align:

1. Click the **dropdown arrow** to navigate to the **Audit and Spot Checks View**
2. Click the **ID** to open the Engagement Record
3. Click the **Report tab**
4. Click the **Public Report link**



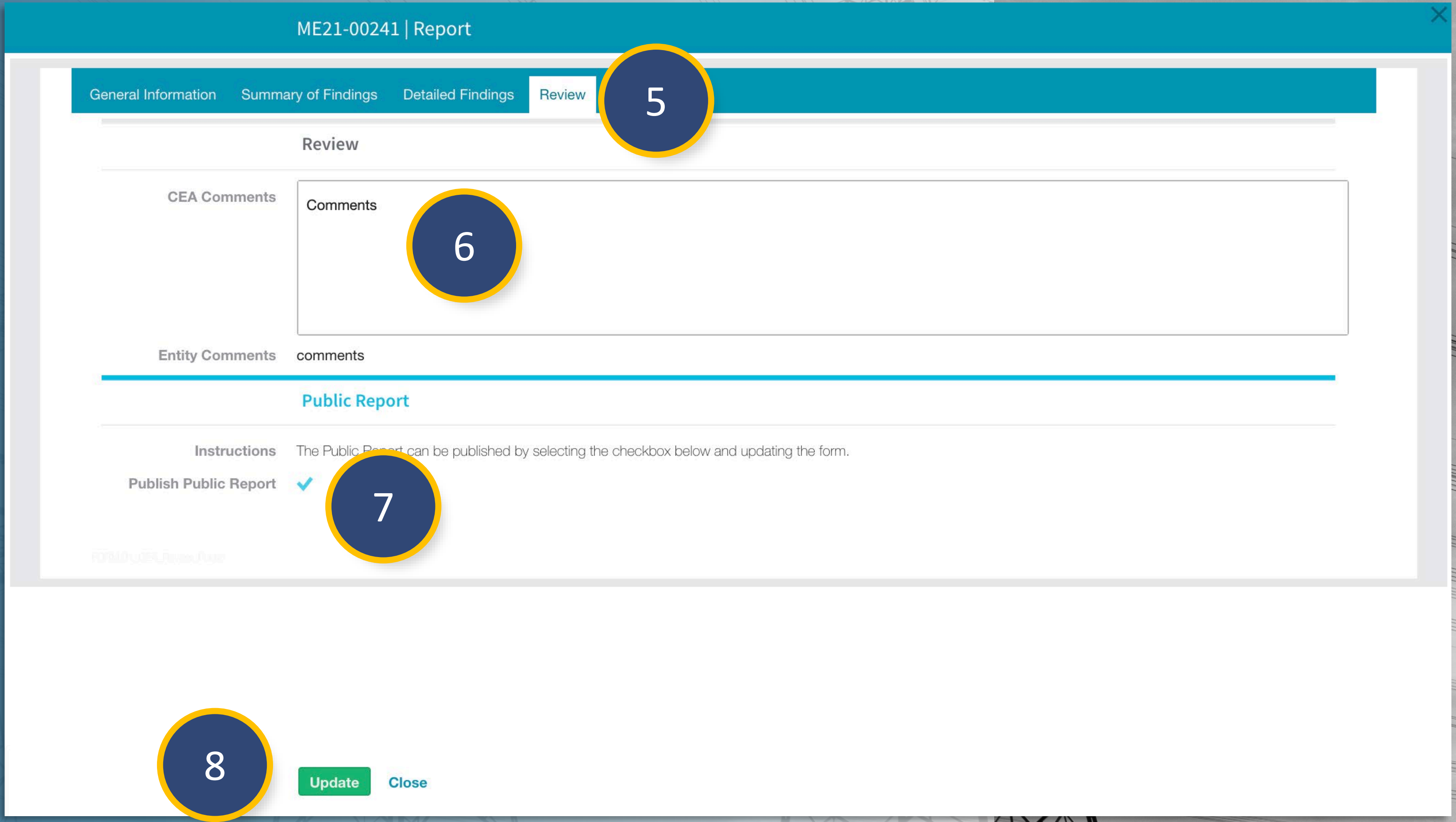
Running a Public Report

5 Click the **Review tab**

6 Type any **additional comments** in the **textbox**

7 Check the **Publish Public Report checkbox**

8 Click **Update**

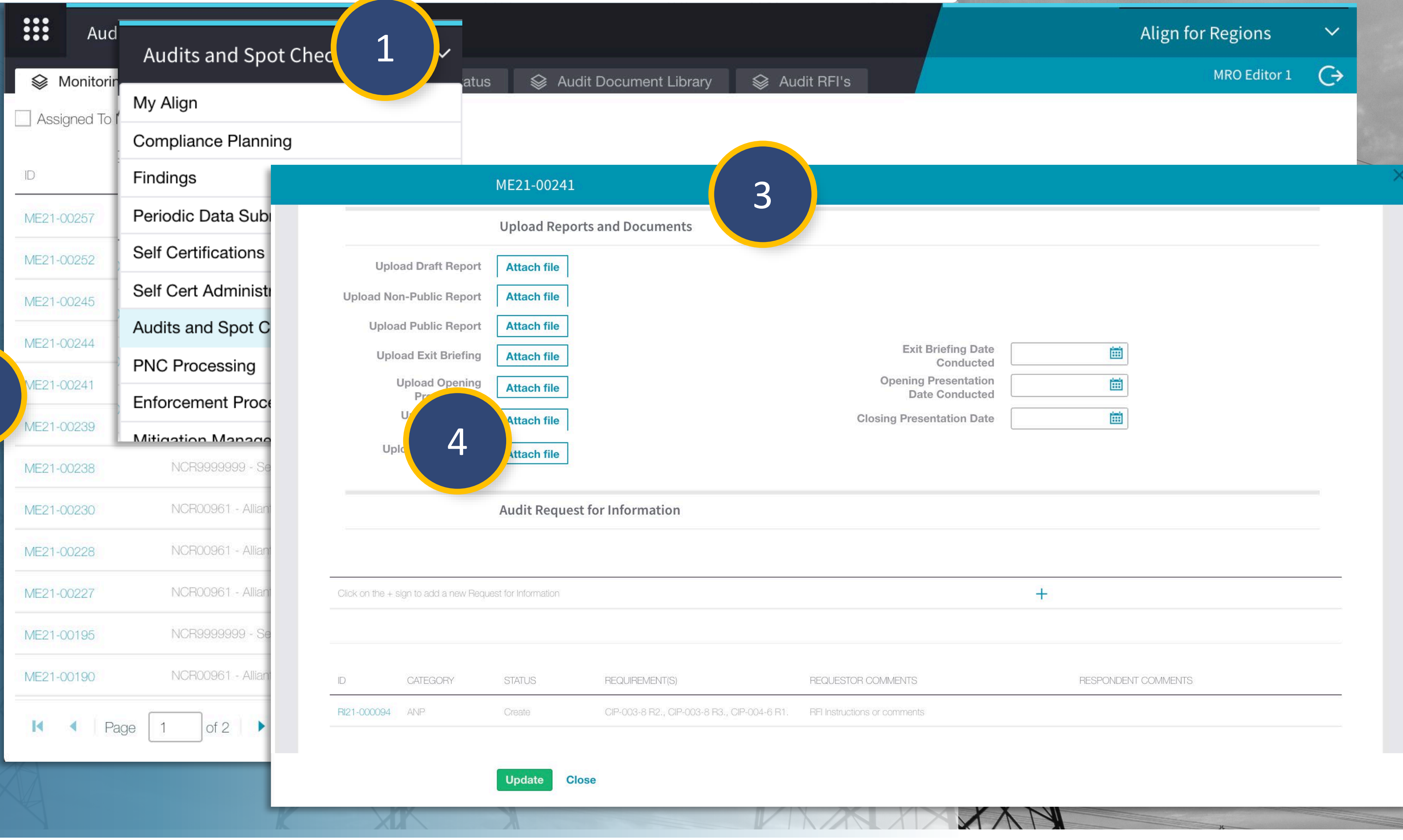


The PCC, ACC, NERC and CEA Engagement Editors will receive an email when the final report is created

Uploading Reports and Documents

To upload copies of your reports, opening presentation, exit briefing, and supporting documents to the Monitoring Engagement:

1. Click the **dropdown arrow** to navigate to the **Audit and Spot Checks View**
2. Click the **ID** to open the Engagement Record
3. Scroll to the **Upload Reports and Documents section**
4. Click the **attach file button** to add the relevant documents

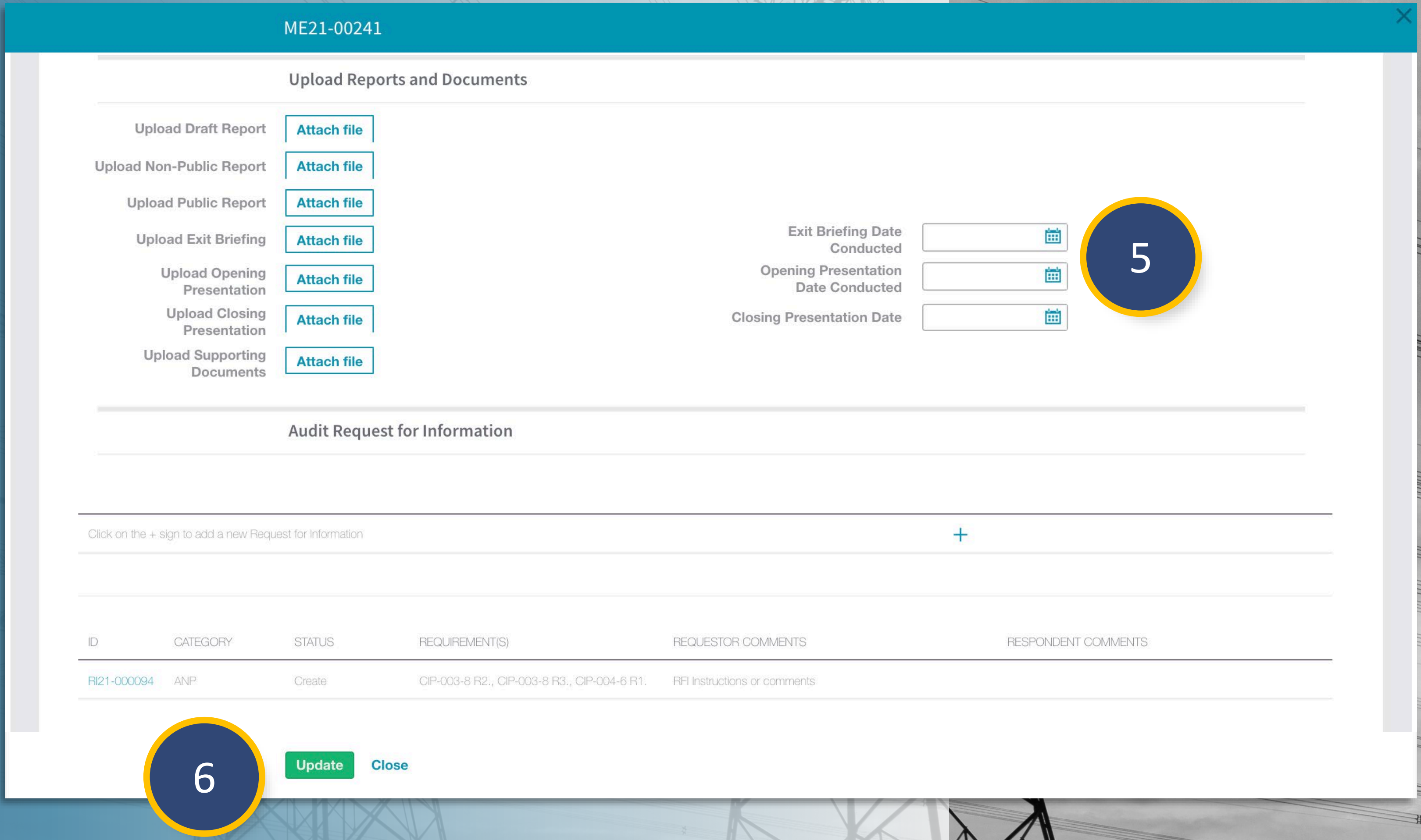


Uploading Reports and Documents

5 Click the **calendar icon** to add the relevant dates

6 Click **Update**

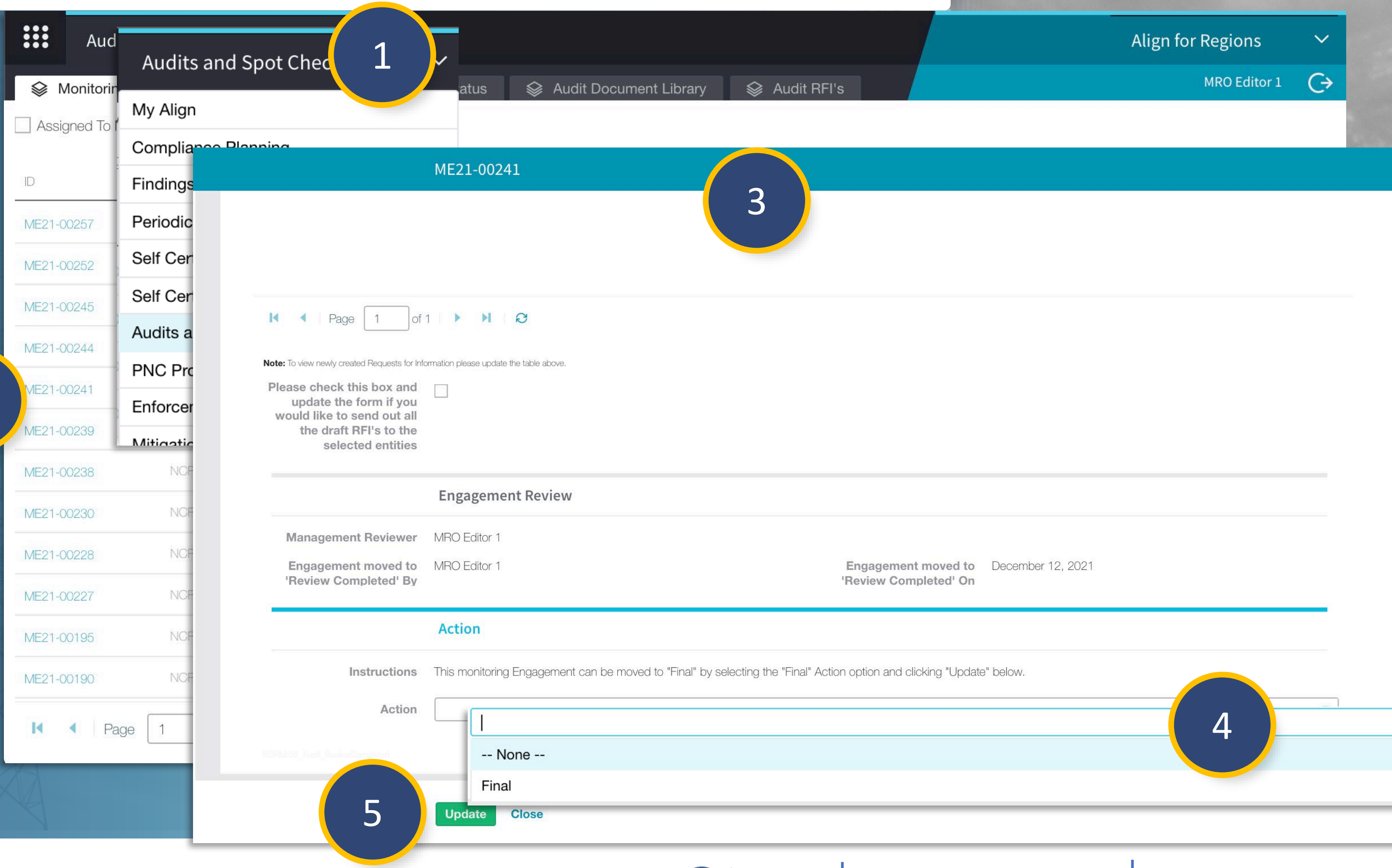
Notice: The Opening Presentation and Exit Briefing documents and relevant dates are visible to the Registered Entity. The Reports and Supporting Documents are not visible to the Entity currently.



Finalizing, Closing, and Reopening

To finalize a Monitoring Engagement:

1. Click the **dropdown arrow** to navigate to the **Audit and Spot Checks View**
2. Click the **ID** to open the Engagement Record
3. Scroll to the **Action section**
4. Select **Final** from the **dropdown**
5. Click **Update**



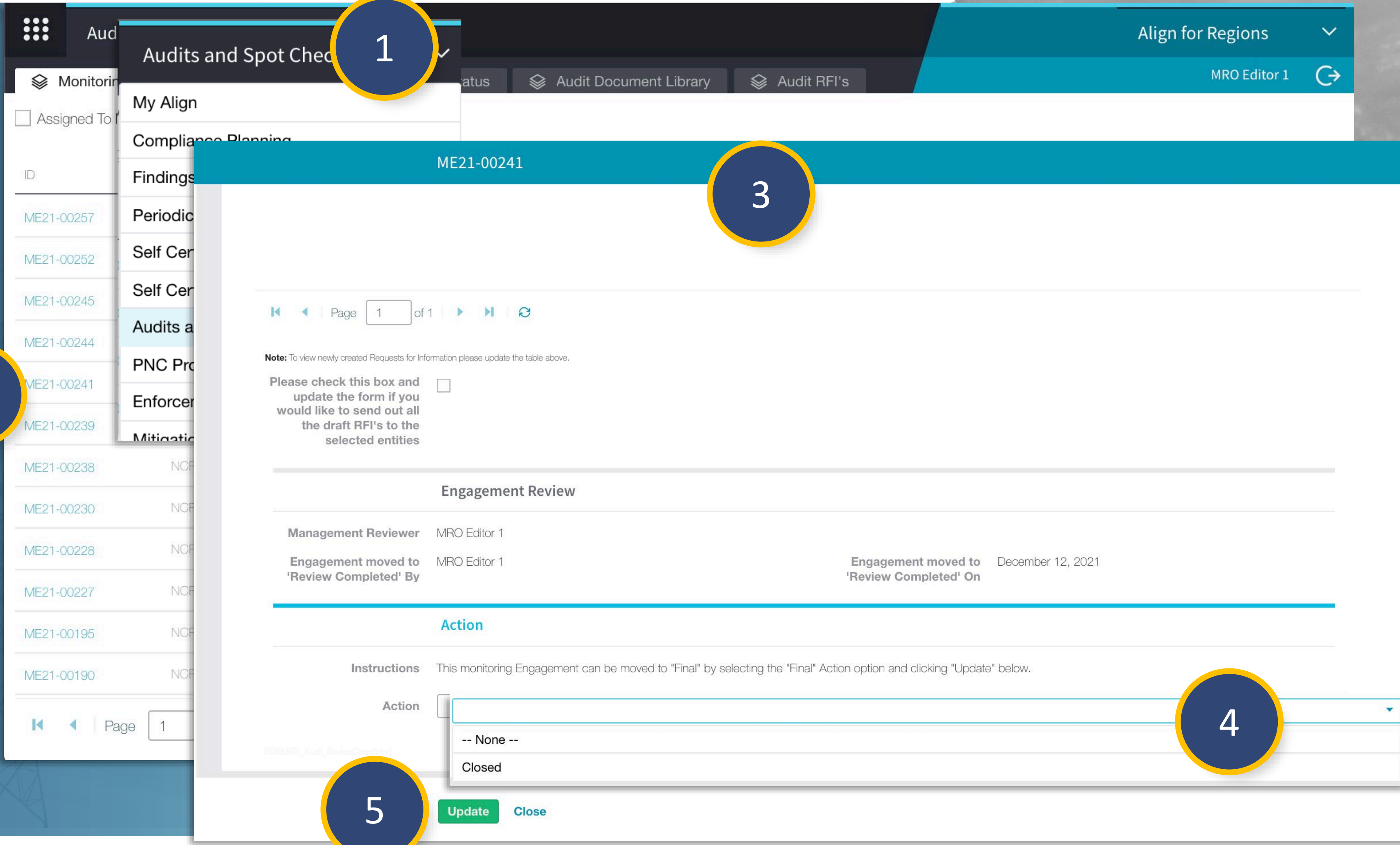
Finalizing, Closing, and Reopening

ALIGN

To close a Monitoring Engagement:

1. Click the **dropdown arrow** to navigate to the **Audit and Spot Checks View**
2. Click the **ID** to open the Engagement Record
3. Scroll to the **Action section**
4. Select **Closed** from the **dropdown**
5. Click **Update**

Notice: The Monitoring Engagement will now be read-only.

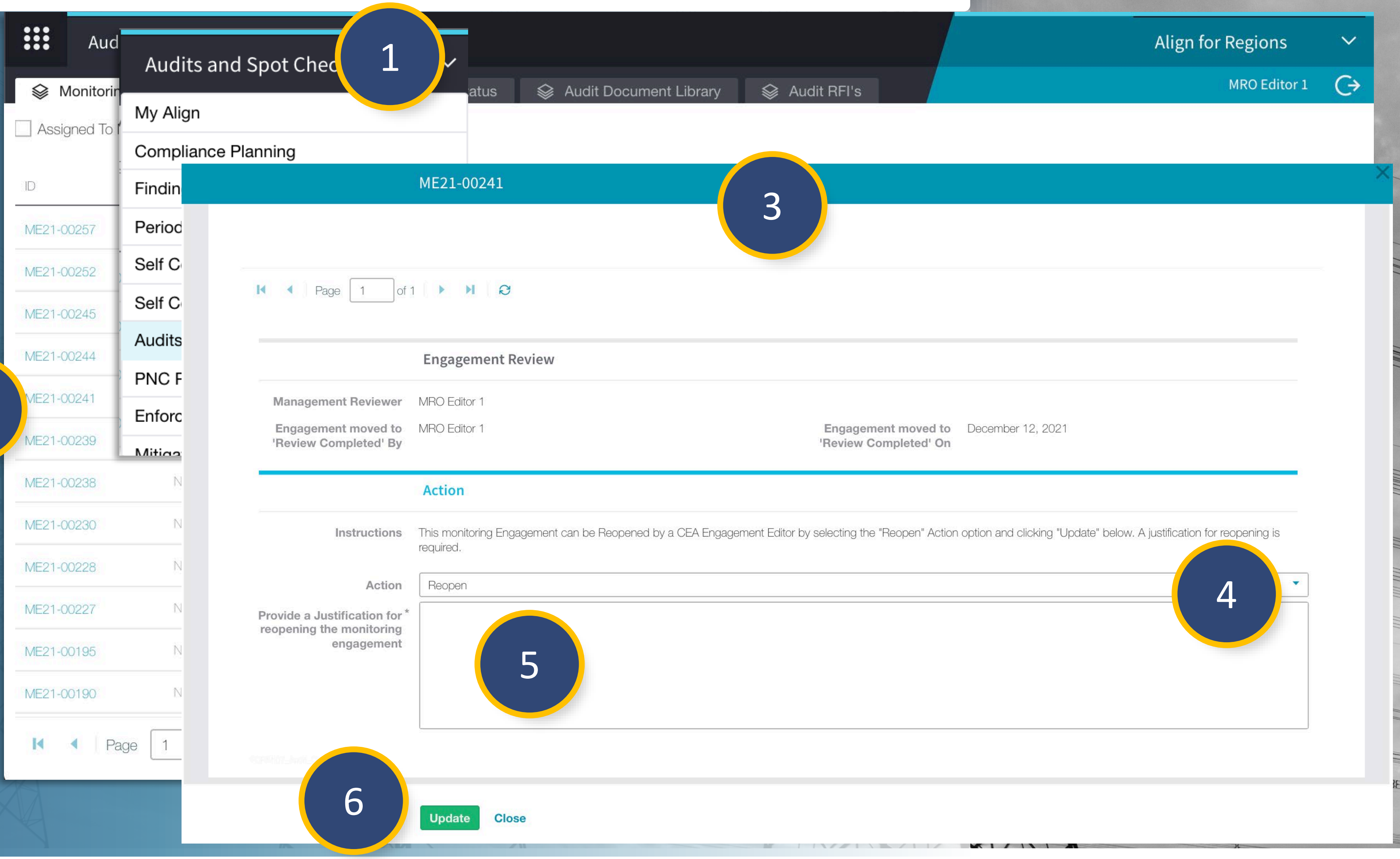


The PCC, ACC, and NERC will receive an email when the engagement is Closed

Finalizing, Closing, and Reopening

To re-open a closed Monitoring Engagement:

1. Click the **dropdown arrow** to navigate to the **Audit and Spot Checks View**
2. Click the **ID** to open the Engagement Record
3. Scroll to the **Action section**
4. Select **Re-open** from the **dropdown**
5. Type a **Justification** in the **textbox**
6. Click **Update**



Appendix: Release 3 Notifications

ALIGN

- Once the ANP is submitted, the PCC, ACC, NERC and the CEA Editors will receive an email
- The PCC, ACC and RFI Respondent will receive an email once an Audit RFI is sent
- Designated email recipients will receive an email when the entity submits the RFI
- The PCC, ACC and RFI Respondent will receive an email if you add comments to an RFI
- Management Reviewers will receive an email once you Update the Monitoring Engagement
- The PCC, ACC, NERC and CEA Editors will receive an email when the draft report is created
- The PCC, ACC, NERC and CEA Editors will receive an email when the final report is created
- ‘Not Approved’ Management Review will trigger an email to the Audit Leads
- The PCC, ACC, NERC and CEA Editors will receive an email when the final report is created
- The PCC, ACC, and NERC will receive an email when the engagement is Closed