

# Align Release 4 User Guide



Align Release 4 introduces a number of updates to existing functionalities. These changes will be incorporated into the Release 3 User Guide, but they are documented here for easy identification. Click on a topic in the list below or in the ribbon above to begin.

- 1 Full Year Schedule: ANP Date
- 2 Align User Information
- 3 Resource Management
- 4 Creating Tasks
- 5 Completing a Task (Entity Perspective)
- 6 Monitoring Engagement Dashboard
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- 8 Final Non-Public Reports
- 9 Final Non-Public Reports (Entity View)
- 10 Selecting a Lead Entity
- 11 Working Paper Notes
- 12 RFI Due Date
- 13 RFI Due Date (Entity)



# Full Year Schedule

An ANP DATE column has been added to the Full Year Schedule view:

- 1 Navigate to **Scheduling**
- 2 Click the **Full Year Schedule** tab

The ANP DATE column (A) auto-populates the ANP date for all of your scheduled engagements to coincide with the RoP minimum requirements. Like other columns, it can be sorted and filtered.

NCR/CO GROUP #	ENTITY NAME(S)	LRE	ENGAGEMENT TYPE	ENGAGEMENT SCOPE	SCHEDULE STATUS	MONITORING START DATE	MONITORING END DATE	START DATE	END DATE	ONSITE START DATE	ANP DATE
NCR01143	Southwest Power Pool, Inc.		Compliance Audit	CIP	Approved	07/01/2016	05/24/2022	05/23/2022	12/23/2022		05/24/2022
NCR01143	Southwest Power Pool, Inc.		Compliance Audit	CIP	Approved	07/01/2016	05/23/2022	05/23/2022	12/23/2022		05/24/2022
NCR00977	Corn Belt Power Cooperative		Compliance Audit	CIP	Draft	11/08/2018	11/09/2021	03/07/2022	04/01/2022		11/09/2021
NCR00961	Alliant Energy - East		Compliance Audit	Both	Approved	01/01/2018	02/23/2022	08/29/2022	09/02/2022	08/29/2022	09/02/2022
NCR00102	Basin Electric Power Cooperative		Compliance Audit	O&P	Draft	05/01/2019	05/10/2022	09/26/2022	09/30/2022	06/01/2022	05/27/2022
NCR01143	Southwest Power Pool, Inc.		Compliance Investigation	O&P	Approved	07/01/2019	07/25/2022	05/20/2022	10/20/2023	09/19/2022	09/23/2022
NCR00102	Basin Electric Power Cooperative		Compliance Audit	Both	Draft	05/12/2019	05/13/2022	09/30/2022	10/28/2022	10/14/2022	10/28/2022
NCR01143	Southwest Power Pool, Inc.		Compliance Audit	CIP	Draft	07/01/2019	08/19/2022	05/19/2022	12/23/2022		08/19/2022
NCR01015	Montana-Dakota Utilities Company		Compliance Audit	Both	Approved	03/16/2020	10/05/2021	10/06/2021	10/15/2021		10/06/2021
NCR00961	Alliant Energy - East		Compliance Audit	Both	Approved	12/31/2020	10/11/2021	12/01/2021	03/31/2022		08/03/2021
NCR00824	MidAmerican Energy Company		Compliance Audit	Both	Draft	10/13/2020	10/11/2021	10/27/2021	11/24/2021	11/17/2021	11/24/2021
NCR00961	Alliant Energy - East		Compliance Audit	Both	Approved	10/11/2020	10/11/2021	10/13/2021	12/31/2021		06/15/2021
NCR00961, NCR00962,...	Alliant Energy - East, Alliant Energy - West		Compliance Audit	O&P	Draft	09/13/2020	10/12/2021	10/13/2021	11/30/2021		10/13/2021
NCR00961, NCR00962,...	Alliant Energy - East, Alliant Energy - West		Compliance Audit	O&P	Draft	10/13/2020	10/12/2021	10/13/2021	12/31/2021		10/13/2021



# Align User Information

One way to update an Align user's information:

- 1 Click the **Dropdown Arrow**
- 2 Click the **Entity Information** view
- 3 Click the **Align Users** tab
- 4 Click the **Full Name** link

The screenshot shows the 'Scheduling' dropdown menu with 'Entity Information' selected. Below, the 'Entity Information' view shows the 'Align Users' tab. A table lists users with columns for Full Name, Username, Last Logon, System Roles, Business Roles, and Skills. The record for 'Marcos Rodriguez' is highlighted. Arrows point to the 'Full Name' link (A), the record itself (B), and the 'Area(s) of expertise' field in the user profile (C).

Full Name	Username	Last Logon	System Roles	Business Roles	Skills
Admin Admin	admin	05/25/2022	MRO Region, Region R1 Edit, Region RAM/PNC Reviewer,		
Jason Vik		05/05/2020			
Marcos Rodriguez		07/31/2019			
Kranthi Ganta		08/12/2021	Registered Entity Edit		
MRO Reader 1	mro reader 1	10/07/2021	Region Read, MRO Region		ATL Trained/Certified
MRO Editor 1	mro editor 1	05/31/2022	Region Self-Cert Edit, Region RAM/PNC Reviewer, Region		ATL Trained/Certified
ERO 1	ero 1	05/24/2022	NERC Edit		
FRCC Editor 1	frcc editor 1	05/05/2020	Region R1 Edit		
Justin Lofquist	lofquistj	08/15/2019	Registered Entity Edit	NCR55555-MRO-Submitter, NCR55555-NPCC-Submitter,	
NPCC Reader 1	npcc reader 1	08/10/2020	Region Read, NPCC Region		
NPCC Reader 2	npcc reader 2	07/16/2019	Region Read, NPCC Region		
NPCC Reader 3	npcc reader 3	04/18/2016	Region Read, NPCC Region		

*Notice:* If you click on the record of an Align User (a) rather than the link (b), Align will show you a summary of that user's information on the right (c).



# Align User Information

- 5 Type new info into the **Bio** field
- 6 Select any relevant entities form the **Conflict of Interest** dropdown
- 7 Select any relevant skills from the **Skills** dropdown
- 8 Select relevant **Area(s) of expertise** from the dropdown
- 9 Enter any areas of expertise that were not available in the **Area(s) of expertise** dropdown
- 10 Select trainings from the **Standard Trainings** dropdown
- 11 Enter any **Non-Standard Trainings**
- 12 Click **Update**

The screenshot shows the 'MRO Reader 1' user information form. The form fields and their corresponding callout numbers are: 5 (Bio field), 6 (Conflict of Interest dropdown), 7 (Skills dropdown), 8 (Area(s) of expertise dropdown), 9 (Text area for explaining expertise), 10 (Standard Trainings dropdown), 11 (Non-Standard Trainings text area), and 12 (Update button). The form also includes fields for First Name (MRO Reader), Last Name (1), User ID, Country Code, and Phone Number.



# Align User Information

You can also update an Align user's information from the **Audits and Spot Checks** view:

- 1 Navigate to the **Audits and Spot Checks** view
- 2 Click the **Resource Management** tab
- 3 Click the **Edit Icon** next to the user you want to edit
- 4 Update the form as instructed in the previous page

The screenshot illustrates the process of editing user information in the Align system. It shows the navigation path from the 'Audits and Spot Checks' menu to the 'Resource Management' tab, then to the 'Edit Person' button for a specific user, and finally to the user profile form.

FULL NAME	LAST START DATE	LAST END DATE	ACTIVE ENGAGEMENTS
MRO Reader 1			
MRO Editor 1	December 23, 2022	December 23, 2022	Conflict 5
MRO Editor 2	October 24, 2022	October 07, 2022	1
MRO Editor 3	May 02, 2022	July 04, 2022	1

**MRO Editor 2**

OVERVIEW

Conflict of Interest: NCR00021 - Florida Keys Electric Cooperative Assn in SERC

Country Code: - Phone Number: -

Skills: ATL Trained/Certified

Area(s) of expertise: O&P, CIP, Internal Controls

Standard Trainings: -

Non-Standard Trainings: -



# Resource Management

The **Resource Management** module allows you to see an overview of Active, Future, and Scheduled engagements

- 1 Navigate to the **Audit and Spot Checks** view
- 2 Click the **Resource Management** tab

In the Active, Future, and Scheduled columns (A), Align highlights any conflicts in a person's schedule (B) and shows the number of engagements in blue (C). You can export (D) this table if needed. You can also use the filters (E) at the top to help find what you are looking for.

- 3 For more detail on a set of engagements, click the blue circle under the relevant column.

This screenshot shows the 'Resource Management' view in the 'Audits and Spot Checks' section. A dropdown menu is open, highlighting 'Entity Information' (callout 1). The 'Resource Management' tab is selected (callout 2). The table below shows engagement data with callouts: 'A' points to the engagement columns, 'B' points to a 'Conflict' indicator, 'C' points to a blue circle with the number '1', and 'D' points to the export icon.

Entity	LAST START DATE	LAST END DATE	ACTIVE ENGAGEMENTS	FUTURE MONITOR ENGAGEMENTS	SCHEDULED ENGAGEMENTS
MRO Editor 4					
MRO Editor 5	May 23, 2022	December 23, 2022	Conflict 5		5
MRO Editor 6	January 24, 2022	October 07, 2022	1		3
MRO Editor 4	May 02, 2022	July 04, 2022	1		

This screenshot shows the 'Resource Management' view with filters applied. Callout 'E' points to the filter controls at the top. Callout '3' points to a blue circle with the number '1' under the 'SCHEDULED ENGAGEMENTS' column for 'Richard Samec'.

FULL NAME	LAST START DATE	LAST END DATE	ACTIVE ENGAGEMENTS	FUTURE MONITOR ENGAGEMENTS	SCHEDULED ENGAGEMENTS
Richard Samec	May 23, 2022	December 23, 2022	Conflict 2		1



# Resource Management

Clicking on a set of engagements (active engagements in this case) will bring up a screen like the one to the right, showing the details of each engagement assigned to the resource. Like the Resource Management table, this table can be exported (A).

Audits and Spot Checks

Monitoring Engagements Monitoring Engagement Status Audit Document Library Audit RFI's Resource Management

Align for Regions MRO Editor 1

MRO Editor 1

Active Engagements

NAME	REG/COG	START DATE	END DATE	ASSIGNED RESOURCES	STATUS
ME21-00241	NCR9999999 - Second Game Day Friday Entity in MRO	January 24, 2022	October 07, 2022	Andy Rodriguez, Brenton Matthews, Cory Stockard, MRO Editor 1, MRO Editor 2	Closed
ME21-00244	NCR9999999 - Second Game Day Friday Entity in MRO	January 03, 2022	July 29, 2022	ERO 1, ERO 2, MRO Editor 1	Final (Reopened)
ME22-00340	NCR01143 - Southwest Power Pool, Inc. in MRO	May 09, 2022	August 26, 2022	Brenton Matthews, Carl Epping, Desiree Sawyer, ERO 1, Jeff Norman, Larry Johnson, MRO Editor 1, Richard Samec, Ruvvana Kreidler	Review Completed
ME22-00362	NCR01143 - Southwest Power Pool, Inc. in MRO	May 20, 2022	December 20, 2022	ERO 1, ERO 3, MRO Editor 1	In Progress
ME22-00365	NCR01143 - Southwest Power Pool, Inc. in MRO	May 23, 2022	December 23, 2022	MRO Editor 1, Richard Samec	In Progress

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4 When you are done reviewing, click the **X button** to return to the **Resource Management** screen.



# Creating Tasks

To create a task for a monitoring engagement:

- 1 Navigate to the **Audit and Spot Checks** view
- 2 Click on the relevant engagement in the **Monitoring Engagements** tab
- 3 Click the **ANP** tab
- 4 Click to expand the **Audit Notification Letter** section
- 5 Scroll down to the **Important Dates/Deadlines** section and click the **+** button under

1

2

3

4

5



# Creating Tasks

- 6 Type a title of the task into the **Task Name** field
- 7 Enter the description of the task in the **Description** field
- 8 Select the relevant **Start Date** and **Due Date** for the task
- 9 Select Entity as the **Owner** from the dropdown (NOTE: Assigning the task to the CEA does not actually create a task that the CEA can complete)
- 10 Click the **Update** button

ANP Tasks

Task Name  6

Description  7

Start Date  8

Due Date  8

Owner  9

**Important Dates/Deadlines**

TASK ID	START DATE	DUE DATE
AT22-00100	05/31/2022	06/30/2022

Instructions Submit all evidence, attachments, and responses to data requests above via the ERO Secure Evidence Locker (SEL) <https://eusstg.eroenterprise.com>

For evidence related to NCR01143 use: MRO|NCR01143|ME22-00339|ME22-00339|  
 For evidence related to BAL-001-2 R2. use: MRO|NCR01143|ME22-00339|ME22-00339|BAL-001-2|R2.|  
 For evidence related to BAL-002-3 R1. use: MRO|NCR01143|ME22-00339|ME22-00339|BAL-002-3|R1.|  
 For evidence related to BAL-001-2 R1. use: MRO|NCR01143|ME22-00339|ME22-00339|BAL-001-2|R1.|

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

NOTICE: Once you click Update, the task will show up in the ANP section of the Engagement (A). Currently, the task does not update when the entity completes it or misses the deadline. That is being worked on for Release 4.5.



# Completing a Task (Entity)

To complete a task in a Monitoring Engagement:

- 1 Navigate to the **Audit and Spot Checks** view
- 2 Click on the relevant engagement in the **Monitoring Engagements** tab
- 3 Click the **ANP** tab
- 4 Click on the **Audit Notification Letter** section

The screenshot illustrates the process of completing a task in a monitoring engagement through four numbered steps:

- Step 1:** A dropdown menu is open under 'Audits and Spot Checks', with 'Audits and Spot Checks' selected. A yellow circle with the number '1' highlights this selection.
- Step 2:** The 'Monitoring Engagement Status' tab is active, displaying a table of engagements. A yellow circle with the number '2' highlights the first row (ME22-00365).
- Step 3:** The 'ANP' tab is selected in the top navigation bar of the engagement detail view. A yellow circle with the number '3' highlights this tab.
- Step 4:** The 'Audit Notification Letter' section is highlighted in the main content area. A yellow circle with the number '4' highlights this section.

AUDIT NAME	TYPE NAME	AUDIT STATUS
ME22-00365	Compliance Audit	In Progress
ME22-00364	Compliance Audit	In Progress
ME22-00362	Compliance Audit	In Progress
ME22-00340	Unscheduled Audit	Review Completed
ME21-00162	Compliance Audit	In Progress

ME22-00365

General Working Papers ANP

General

ANP Visibility Date ANP Deadline Date July 25, 2022

Additional Notes/Instructions

ANP Documents

Audit Notification Letter

ANL Info

Registered Entity NCR01143 - Southwest Power Pool, Inc. in MRO

Compliance Audit Type O&P

Start Date May 20, 2022



# Completing a Task (Entity)

- 5 Scroll down to the **Important Dates / Deadlines** section and click the **Task ID**
- 6 Click on the **Task Complete** checkbox
- 7 Select a date from the **Task Completed On** field
- 8 Click on the **Update** button

ME22-00339

Audit Team Lead - OP: MRO Editor 2

Primary - CIP

Primary - OP: Jeff Norman

Member - CIP

Member - OP: MRO Editor 1 ERO 1

Observer

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**Important Dates/Deadlines**

TASK ID	DESCRIPTION	START DATE	DUE DATE	COMPLETION DATE	TASK COMPLETE
AT22-00100	big spud	05/31/2022	30 Jun 2022 30 days to complete		No

5

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AT22-00100

Task Name: Bring me a potato

Description: big

Start Date: M

Due Date: Ju

Task Complete:

Task Completed On:

June 2022

Su	Mo	Tu	We	Th	Fr	Sa
		31	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		

8

**Update** Close



# Monitoring Engagement Dashboard

Release 4 includes the addition of a flag for monitoring engagements with open enforcement actions (A).

Audits and Spot Checks

Monitoring Engagements | Monitoring Engagement Status | Audit Document Library | Audit RFTs | Resource Management

Assigned To Me

ID	REGISTRATION / CO GROUP	TYPE NAME	AUDIT STATUS
ME22-00365	NCR01143 - Southwest Power Pool, Inc. in MRO	Compliance Audit	In Progress
ME22-00364	NCR01143 - Southwest Power Pool, Inc. in MRO	Compliance Audit	In Progress
ME22-00362	NCR01143 - Southwest Power Pool, Inc. in MRO	Compliance Audit	In Progress
ME22-00357	NCR00102 - Basin Electric Power Cooperative in MRO	Compliance Audit	Planned
ME22-00340	NCR01143 - Southwest Power Pool, Inc. in MRO	Unscheduled Audit	Review Completed
ME22-00339	NCR01143 - Southwest Power Pool, Inc. in MRO	Compliance Investigation	In Progress
ME22-00329	NCR00102 - Basin Electric Power Cooperative in MRO	Compliance Audit	Planned
ME22-00327	NCR00961 - Alliant Energy - East in MRO	Compliance Audit	Planned
ME22-00323	NCR00961 - Alliant Energy - East in MRO	Compliance Audit	Review Completed
ME22-00309	NCR00961 - Alliant Energy - East in MRO, NCR00962 - Alliant Energy - West in MRO, NCR10337 - Alliant Energy - East in RF	Compliance Audit	In Progress
ME22-00298	NCR00961 - Alliant Energy - East in MRO	Compliance Audit	Cancelled
ME21-00277	NCR9999999 - Second Game Day Friday Entity in MRO	Compliance Audit	Review Completed
ME21-00269	NCR9999999 - Second Game Day Friday Entity in MRO	Compliance Audit	In Progress
ME21-00257	NCR9999999 - Second Game Day Friday Entity in MRO	Compliance Audit	In Progress
ME21-00252	NCR00961 - Alliant Energy - East in MRO, NCR00962 - Alliant Energy - West in MRO, NCR10337 - Alliant Energy - East in RF	Compliance Audit	In Progress
ME21-00245	NCR9999999 - Second Game Day Friday Entity in MRO	Compliance Audit	In Progress
ME21-00244	NCR9999999 - Second Game Day Friday Entity in MRO	Spot Check	Final (Reopened)
ME21-00241	NCR9999999 - Second Game Day Friday Entity in MRO	Compliance Audit	Closed

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**A**

Audit has open Findings/Enforcement Actions



# Audit Checklist

Align now contains the auditor checklist to be used for audit planning, field work, and reporting. To open the checklist:

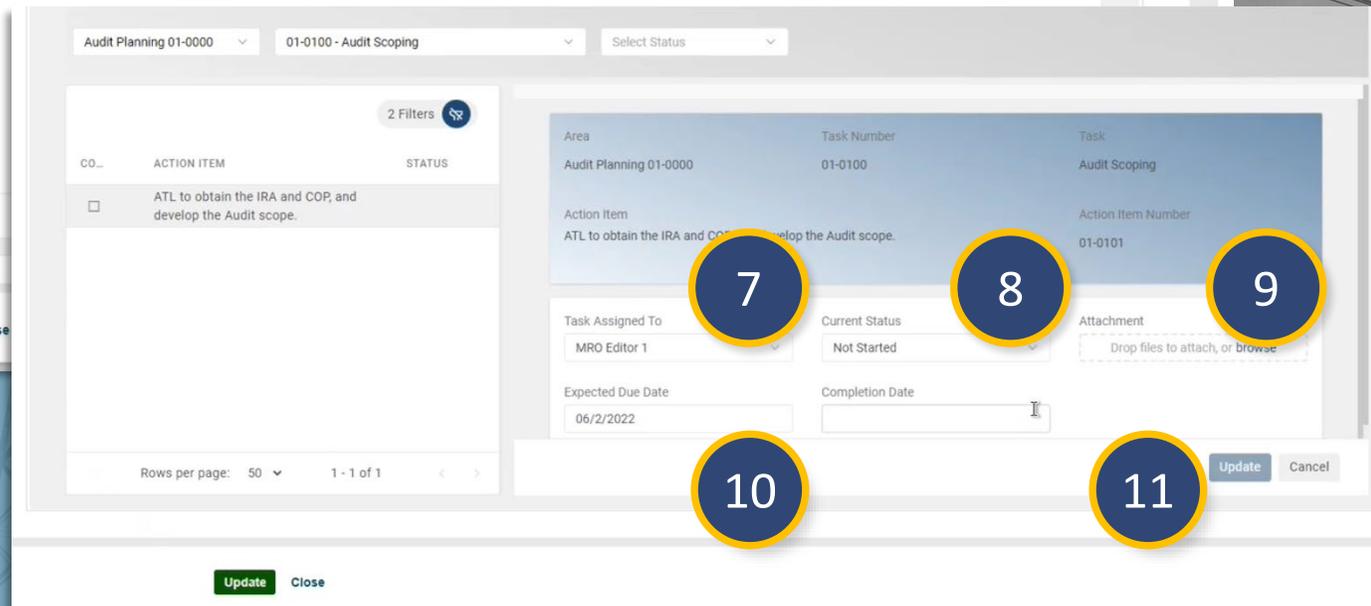
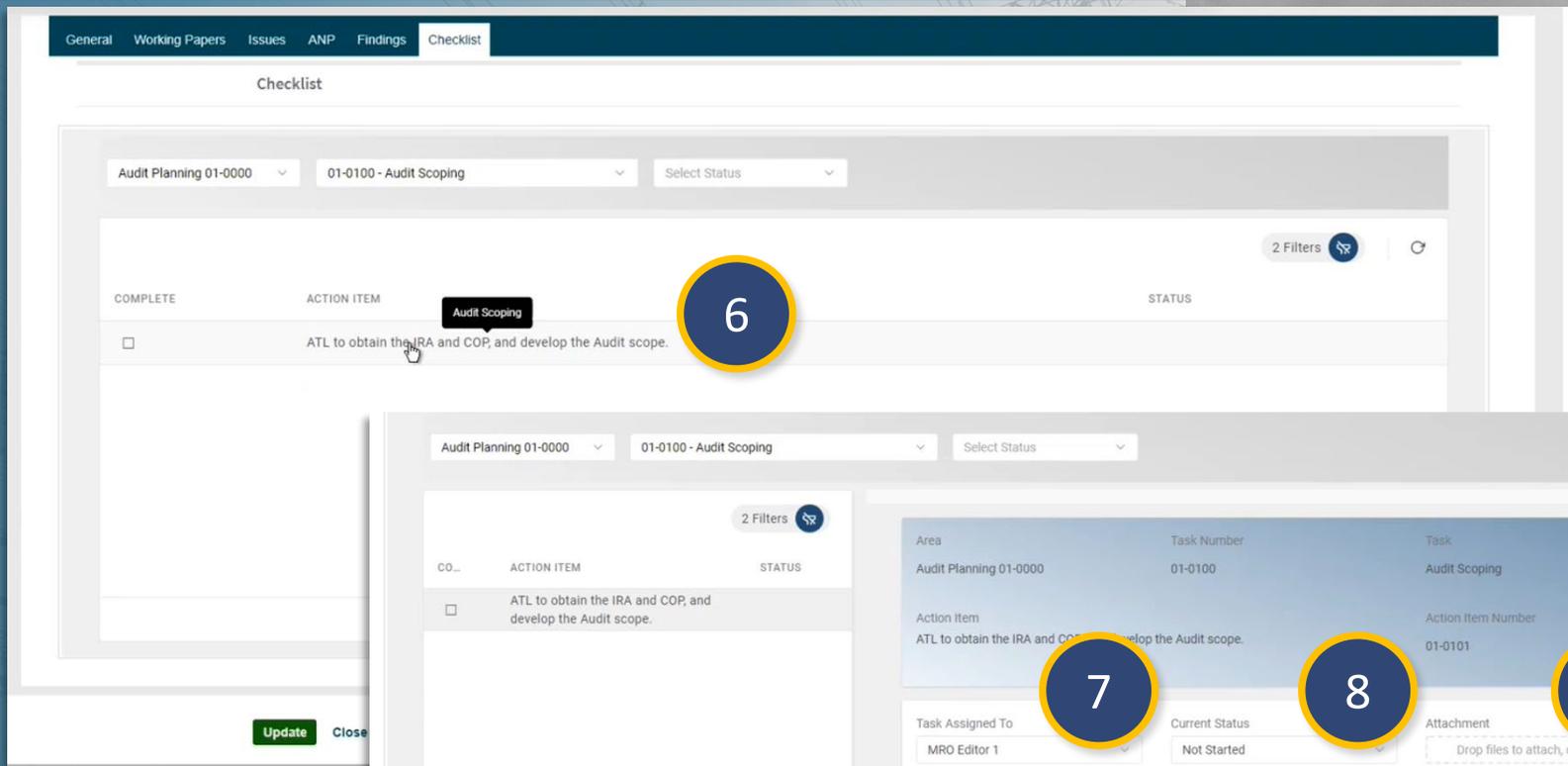
- 1 Navigate to the **Audit and Spot Checks** view
- 2 Click on the relevant engagement in the **Monitoring Engagements** tab
- 3 Click the **Checklist** tab
- 4 Select an option from the **Select Area** dropdown
- 5 Select an option from the **Select Task** dropdown

The screenshot shows the 'Audits and Spot Checks' interface. Callout 1 points to the main header. Callout 2 points to the 'Monitoring Engagements' tab. Callout 3 points to the 'Checklist' sub-tab. Callout 4 points to the 'Select Area' dropdown menu, which is open and showing options like 'Audit Planning 01-0000'. Callout 5 points to the 'Select Task' dropdown menu, which is also open and showing options like '01-0100 - Audit Scoping'. The main content area displays a list of tasks with checkboxes and descriptions. At the bottom, there are 'Update' and 'Close' buttons.



# Audit Checklist

- 6 Click on the **Action Item** to see more detail
- 7 Select a team member from the **Task Assigned To** dropdown
- 8 Select *Not Started*, *In Progress*, or *Closed* from the **Current Status** dropdown
- 9 Upload any relevant **Attachments**
- 10 Enter the **Expected Due Date**
- 11 Click the blue **Update** button





# Audit Checklist

10 Once a task is complete, you can mark it by clicking the **Complete**

11 Click the blue **Update** button

ME22-00357

General Working Papers Issues ANP Findings Checklist

Checklist

Audit Planning 01-0000 01-0100 - Audit Scoping Select Status

2 Filters

COMPLETE	DESCRIPTION	STATUS
<input type="checkbox"/>	ATL to obtain the IRA and COP, and develop the Audit scope.	Not Started

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11 Update Close



# Final Non-Public Reports

As of R4, entities will have access to a PDF of the Final Non-Public Report once you publish it.

- 1 Click on a **Monitoring Engagement**
- 2 Click the **Reports** tab
- 3 Click the **Draft Non-Public Report**
- 4 Click the **Review** tab

Audits and Spot Checks

Monitoring Engagements | Monitoring Engagement Status | Audit Document Library

Assigned To Me

ID	REGISTRATION / CO GROUP
ME22-00365	NCR01143 - Southwest Power Pool, Inc. in MRO
ME22-00364	NCR01143 - Southwest Power Pool, Inc. in MRO
ME22-00362	Power Pool, Inc. in MRO
ME22-00357	NCR00102 - Basin Electric Power Cooperative in MRO
ME22-00340	NCR01143 - Southwest Power Pool, Inc. in MRO
ME22-00339	
ME22-00329	
ME22-00327	

ME22-00365

General | Working Papers | Issues | ANP | Findings | Report | Checklist

Reports

TYPE	SENT DATE
Draft Non-Public Report	

ME22-00365 | Report

General Information | Summary of Findings | Detailed Findings | Detailed AoCs, Recommendations, and Positive Observations | Culture and Participants | Review

Review

CEA Comments

Due date for entity comment

Entity Comment **A**

Actions

Draft Report

Instructions: The Draft report can be made visible to the entity for review by selecting the checkbox below and updating the form.

Make draft report viewable to entity

Non-Public Report

Instructions: The Non-Public Report can be published by selecting the checkbox below and updating the form.

Publish draft report as the Final Non-Public Report



# Final Non-Public Reports

The remaining steps assume that you have already made the draft report visible to Entities (A) and reviewed any comments

- 5 Click the **Publish draft report as the Final Non-Public Report** checkbox
- 6 Click to **Update** the Report
- 7 Click to **Update** the Engagement

This screenshot shows the 'Draft Report' form. Step 4 points to the 'Draft Report' title. Step 5 points to the checkbox labeled 'Publish draft report as the Final Non-Public Report'. Step 6 points to the 'Update' button at the bottom of the form.

This screenshot shows the 'Reports' table for entity ME22-00362. A green banner at the top indicates 'Action succeeded'. The table contains one entry: 'Final Non-Public Report' with a 'SENT DATE' of '05/31/2022'. Step 7 points to the 'Update' button at the bottom of the page.

TYPE	SENT DATE
Final Non-Public Report	05/31/2022



# Final Non-Public Reports (Entity View)

Once you have published the Non-Public Report, your entity will be able to pull a PDF of that report from Align.

They will need to open the relevant engagement from the **Audit and Spot Checks** view (A), click on the **Report** tab (B), and then click the **link** at the bottom of the window (C).

The PDF version of the report will then launch (D).

The screenshot illustrates the workflow for accessing a final non-public report. It is divided into four key steps:

- A:** In the 'Audits and Spot Checks' view, the 'Monitoring Engagement Status' list is shown. The engagement 'ME22-00362' is selected.
- B:** The 'Report' tab is selected within the engagement view.
- C:** A link at the bottom of the report view is clicked, labeled 'Click here to open Audit Non-Public Report'.
- D:** A PDF viewer opens, displaying the 'Entity Audit Non Public Report.pdf'. The 'Table of Contents' is visible, listing sections such as Executive Summary, Compliance Audit Process, and Potential Non-Compliances.



# Selecting a Lead Entity

To select a Lead Entity for a monitoring engagement with multiple entities:

1 Click to the relevant **Monitoring Engagement**

2 Scroll down on the **General** tab to the dropdown labeled, **Lead Entity**

3 Click the **Lead Entity** dropdown to select an entity or start typing to filter the list

4 Click **Update** to save the change

The screenshot shows the 'Audits and Spot Checks' interface. On the left, a sidebar lists monitoring engagements (ME22-00365 to ME22-00329). A yellow circle with the number '1' highlights the selection of ME21-00252. The main panel shows the 'ME21-00252' details under the 'General' tab. A yellow circle with the number '2' highlights the 'Lead Entity' dropdown menu. A yellow circle with the number '3' highlights the dropdown list of entities, including '1234554321 - Victor Test Entity in RF' and others. A yellow circle with the number '4' highlights the 'Update' button at the bottom of the form.



# Selecting a Lead Entity

NOTICE: The Lead Entity dropdown does not filter the list of entities to the ones assigned to the engagement, so it is possible to select an entity that is not a part of the engagement. However, Align does run a validation once you click Update so that you will be alerted (A & B) if you have chosen an invalid entity.

ME21-00252

NAME  
 NCR00961-MRO  
 NCR00962-MRO  
 NCR10337-RF

RSAs will be created for each registration / CO Group selected above. If you require individual responses from all registrations within a CO Group, please select the respective registrations in this section.  
 Selected Registrations/CO Group on the Scheduled Engagement: NCR00961 - Alliant Energy - East in MRO; NCR00962 - Alliant Energy - West in MRO; NCR10337 - Alliant Energy - East in RF

Note: The magnifying glass will filter the list of entities to display only the entities on the engagement. This will ONLY work after the entities have been added to the engagement AND the engagement has been saved.  
 Lead Entity:

Select Engagement Scope

STANDARDS AND REQUIREMENTS  
 BAL-002-3 R1  
 BAL-002-3 R2



ME21-00252

⚠ The form is not valid. Please check the highlighted field(s).

[General](#)
[Working Papers](#)
[Issues](#)
[ANP](#)
[Findings](#)
[Report](#)
[Checklist](#)

General

Start Date: 
 End Date:   
 Scheduled Start Date: November 17, 2021
 Scheduled End Date: November 30, 2021  
 Monitoring Period Start Date: 
 Monitoring Period End Date:   
 Engagement Type: Compliance Audit
 Location: Off-Site  
 Engagement Scope: O&P





# Working Paper Notes

IMPORTANT: There is a glitch that has been discovered in the **Working Papers** section (A) that makes your internal **Notes** (B) visible to entities when you either **Decline** (C) or **Reopen** (D) an entity's submitted work paper.

To avoid this, avoid reopening work papers unless absolutely necessary. Going forward, either keep notes in the SEL or delete notes before Declining by following these steps:

- 1 Click the **checkbox** at the top of the Notes section to select all notes
- 2 Click on the **Trash Can** icon to delete

The screenshot shows the 'Working Papers' interface for entity ME22-00365. It includes a navigation bar with tabs for Working Papers, Issues, ANP, Findings, Report, and Checklist. The 'Working Papers' section displays a list of papers with columns for Name, Title, Version, Date, and Section(s). Below this is the 'Report Narrative (CEA)' section. The 'Issue' section contains a 'Notes' area with a list of notes, each with a checkbox. A 'Delete selected elements' dialog is open over the notes. At the bottom, there are buttons for 'Decline', 'Save Draft', 'Reopen', and 'Close'. Annotations A, B, C, and D are placed over the 'Working Papers' tab, the 'Notes' section, the 'Decline' button, and the 'Reopen' button, respectively. A '1' in a circle is placed over the checkboxes in the notes section, and a '2' in a circle is placed over the trash can icon.



# RFI Due Date

RFI due dates are now visible from within a monitoring engagement's General tab. From the Audit and Spot Checks view:

1 Click on the relevant engagement in the **Monitoring Engagements** tab

2 Scroll to the RFI section on the **General** tab

The RFI **Due Date** is visible in the 3<sup>rd</sup> column of the table (A).



# RFI Due Date (Entity)

RFI due dates are now visible from within a monitoring engagement's General tab. From the Audit and Spot Checks view:

1 Click on the relevant engagement in the **Monitoring Engagements** tab

2 Scroll to the RFI section on the **General** tab

The RFI **Due Date** is visible in the 3<sup>rd</sup> column of the table (A).

ID	CATEGORY	DUE DATE	STATUS	CEA COMMENTS	REGISTRATION COMMENTS
R122-000145	Additional RFI	06/30/2022	Registered Entity Processing	Bring me a shrubbery	