

# 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.

- 1 Accessing Align
- 2 Scheduled Engagements
- 3 Coordinated Oversight
- 4 Full Year Schedule
- 5 Schedule/Audit Info
- 6 Scoping Dashboard
- 7 Monitoring Engagements
- 8 Audit Document Library
- 9 Audit Notification Packet
- 10 Reviewing Work Papers
- 11 Creating an RFI
- 12 Sending an RFI
- 13 Reviewing an RFI
- 14 Creating a Finding
- 15 Creating Issues
- 16 Reviewing Issues
- 17 Management Reviewers
- 18 SME Interviews
- 19 Internal Controls Assessments
- 20 Performing a Review
- 21 Running a Public Report
- 22 Uploading Reports and Documents
- 23 Finalizing, Closing, and Reopening
- 24 Appendix: Email Notifications



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



Home



Previous Page

Next Page



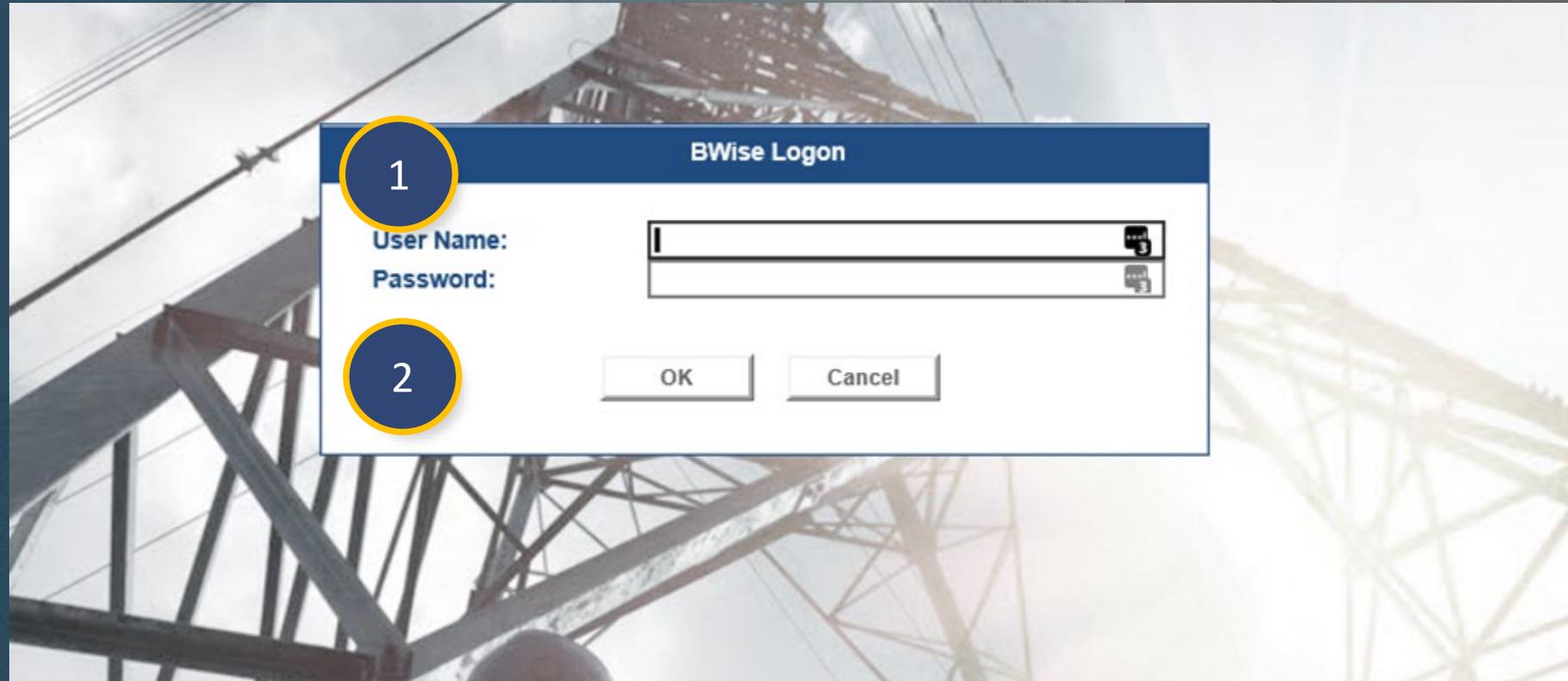
# Accessing Align



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.

The screenshot shows the 'My Align' dashboard. The top navigation bar has a dropdown arrow circled with a '1'. The sidebar menu has 'Compliance Planning' circled with a '2'. The main content area shows a table of 'SCHEDULED ENGAGEMENTS'. The 'ADD ENGAGEMENTS' column has a plus icon circled with a '4'. The table lists various entities and their engagement details.

REGISTRATION	ADD ENGAGEMENTS	SCHEDULE ID	REGISTRATION	START DATE	END DATE	TYPE NAME	EDIT ENGAGEMENT
NCR00102 - Basin Electric Power Cooperative in MRO		SH21-00245	NCR9999999 - Second Game Day Friday Entity in MRO				<a href="#">Edit</a>
NCR00303 - Municipal Energy Agency Of Nebraska in MRO		SH21-00244	NCR9999999 - Second Game Day Friday Entity in MRO	01/03/2022	07/29/2022	Spot Check	<a href="#">Edit</a>
NCR00381 - Hennepin County, MN in MRO		SH21-00241	NCR9999999 - Second Game Day Friday Entity in MRO	01/17/2022	10/15/2022	Compliance Audit	<a href="#">Edit</a>
NCR00658 - Eergy, Inc. in MRO		SH21-00239	NCR9999999 - Second Game Day Friday Entity in MRO	11/05/2021	09/15/2022	Compliance Audit	<a href="#">Edit</a>
NCR00674 - Minnesota Power (Allele, Inc.) in MRO		SH21-00238	NCR9999999 - Second Game Day Friday Entity in MRO	11/09/2021	11/30/2021	Compliance Audit	<a href="#">Edit</a>
NCR00685 - American Transmission Co. LLC in MRO		SH21-00237	NCR00102 - Basin Electric Power Cooperative in MRO				<a href="#">Edit</a>
NCR00685 - American Transmission Co. LLC in RF		SH21-00230	NCR00961 - Alliant Energy - East in MRO	10/30/2021	10/31/2021	Compliance Audit	<a href="#">Edit</a>
NCR00769 - Clearway Energy Operating LLC in MRO		SH21-00230	NCR00962 - Alliant Energy - West in MRO	10/30/2021	10/31/2021	Compliance Audit	<a href="#">Edit</a>
NCR00818 - Madison Gas And Electric Company in MRO		SH21-00230	NCR10337 - Alliant Energy - East in RF	10/30/2021	10/31/2021	Compliance Audit	<a href="#">Edit</a>
NCR00824 - MidAmerican Energy Company in MRO		SH21-00228	NCR00961 - Alliant Energy - East in MRO	10/28/2021	10/30/2021	Compliance Audit	<a href="#">Edit</a>
NCR00860 - Omaha Public Power District in MRO		SH21-00228	NCR00962 - Alliant Energy - West in MRO	10/28/2021	10/30/2021	Compliance Audit	<a href="#">Edit</a>
NCR00952 - Wisconsin Public Service Corporation in MRO		SH21-00227	NCR00961 - Alliant Energy - East in MRO	10/28/2021	11/26/2021	Compliance Audit	<a href="#">Edit</a>
NCR00959 - Alexandria Light & Power in MRO		SH21-00223	NCR00102 - Basin Electric Power Cooperative in MRO				<a href="#">Edit</a>
NCR00961 - Alliant Energy - East in MRO		SH21-00218	NCR00674 - Minnesota Power (Allele, Inc.) in MRO	10/17/2021	11/18/2021	Unscheduled Audit	<a href="#">Edit</a>



# 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** next 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**

SCHEDULE ID	REGISTRATION	START DATE	END DATE	TYPE NAME	EDIT ENGAGEMENT
SH21-00245	NCR99999999 - Second Game Day Friday Entity in MRO				Edit
SH21-00245					Edit
SH21-00245					Edit
SH21-00245					Edit
SH21-00245					Edit
SH21-00245					Edit
SH21-00245					Edit
SH21-00245					Edit

**Select Registration(s)**

REGISTRATION ID

NCR99999999-MRO

**General**

Engagement Start

Location

On-Site Start Date

Changed Date NERC Approval

NERC/FERC-led?

Notification Packet Date

Monitoring Period Start Date

Note

Registered Entity Visibility

**Relate Existing**

NCR	NAME
<input type="checkbox"/>	NCR
<input type="checkbox"/>	NCR00102 Basin Electric Power Cooperative
<input type="checkbox"/>	NCR00303 Municipal Energy Agency Of Nebraska
<input type="checkbox"/>	NCR00381 Hennepin County, MN
<input type="checkbox"/>	NCR00658 Evergy, Inc.
<input type="checkbox"/>	NCR00674 Minnesota Power (Alete, Inc.)
<input type="checkbox"/>	NCR00685 American Transmission Co. LLC
<input type="checkbox"/>	NCR00685 American Transmission Co. LLC
<input type="checkbox"/>	NCR00769 Clearway Energy Operating LLC
<input type="checkbox"/>	NCR00818 Madison Gas And Electric Company
<input type="checkbox"/>	NCR00824 MidAmerican Energy Company
<input type="checkbox"/>	NCR00860 Omaha Public Power District
<input type="checkbox"/>	NCR00952 Wisconsin Public Service Corporation

Page 1 of 10

**Confirm** **Close**



# 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**

SH21-00245

General

Select Registration(s)

	REGISTRATION ID	ENTITY NAME
<input type="checkbox"/>	NCR9999999-MRO	Second Game Day Friday Entity

General

Engagement Type	Engagement Scope
Start Date <input type="text"/>	End Date <input type="text"/>
Location	On-Site Location
On-Site Start Date	On-Site End Date
Changed Date NERC Approval	NERC Approval Date
NERC/FERC-led?	FERC observers?
Notification Packet Date <input type="text"/>	Monitoring Period Start Date <input type="text"/>
Note: The monitoring period is	
Registered Entity Visibility <input type="checkbox"/>	

12

13

14

-- None --

NERC-led

FERC-led

N/A

Home | 
  Previous Page | 
  Next Page



# 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.

SH21-00245

General

Select Registration(s)

	REGISTRATION ID	ENTITY NAME
<input type="checkbox"/>	NCR9999999-MRO	Second Game Day Friday Entity

General

Engagement Type	Engagement Scope
Start Date	End Date
Location	On-Site Location
On-Site Start Date	On-Site End Date
Changed Date NERC Approval	NERC Approval Date
NERC/FERC-led?	NERC/FERC observers?
Notification Packet Date	Monitoring Period End Date
Monitoring Period Start Date	
Note	
Registered Entity Visibility <input type="checkbox"/>	

# 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)

SH21-00250
✕

**A** Changed Date NERC Approval

NERC/FERC-led?

Notification Packet Date

Monitoring Period Start Date

**18**

**Note** The monitoring period is the most... for each entity, therefore the start date is the oldest date available.

Registered Entity Visibility Flag

NERC Approval Date

NERC/FERC observers?

Monitoring Period End Date

---

**19** Change Justifications

Changed Date Justification

20

Date Justification Log

Changed Location Justification

20

Location Justification Log

**Note:** A Change justification must be provided whenever one of the following fields are changed: Start Date, End Date or Location (On-Site/Off-site)

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Registered Functions

Update
Close



# 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.

The screenshot shows the 'Assign Resources' interface for engagement SH21-00250. It includes a table of assigned resources with columns for 'AUDIT ROLE' and 'ASSIGNED RESOURCES'. A 'Select Audit Team Lead' dialog is open, showing a table of members to choose from. A 'Relate Existing' dialog is also open, showing a table of existing members. The interface includes 'Update' and 'Close' buttons at the bottom.

AUDIT ROLE	ASSIGNED RESOURCES
Audit Team Lead - CIP	Assign Resources
Audit Team Lead - OP	
Member - CIP	
Member - OP	
Observers	
Primary - CIP	
Primary - OP	

NAME	SKILLS	AVAILABLE	REGION
<input checked="" type="checkbox"/> MFO Editor	ATL Trained/Certified	N/A	LRE
<input type="checkbox"/> MFO Editor	ATL Trained/Certified	N/A	LRE



# 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.

SH21-00250
✕

### Assign Resources

AUDIT ROLE	ASSIGNED RESOURCES
Audit Team Lead - CIP	<a href="#">Assign Resources</a>
Audit Team Lead - OP	<a href="#">Assign Resources</a>
Member - CIP	<a href="#">Assign Resources</a>
Member - OP	<a href="#">Assign Resources</a>
Observers	<a href="#">Assign Resources</a>
Primary - CIP	<a href="#">Assign Resources</a>
Primary - OP	<a href="#">Assign Resources</a>

Outside Observers

Notify Assigned Resources

Update
Close

# 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.

The screenshot shows the 'Scheduling Milestones' interface. At the top, a table header is visible with columns: SCHEDULING MILESTONE ID, START DATE, END DATE, and DESCRIPTION. The table content is empty, with the text 'This table is empty.' below it. A plus icon (+) is located to the left of the table. A modal window is open, titled 'Scheduling Milestone'. It contains the following fields: 'Scheduling Milestone ID' with a placeholder '<Value will be generated>', 'Start Date' and 'End Date' each with a calendar icon, and a 'Description' text box. At the bottom of the modal, there are 'Update' and 'Close' buttons. Numbered callouts (29-33) are overlaid on the image to indicate the steps: 29 points to the table header, 30 to the plus icon, 31 to the calendar icons, 32 to the description text box, and 33 to the Update button.



# 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

SH21-00258 ✕

General

Select Registration(s)

	REGISTRATION ID	ENTITY NAME
<input type="checkbox"/>	NCR9999999-MRO	Second Game Day Friday Entity

General

<p>Engagement Type: <span style="border: 1px solid #ccc; padding: 2px;">Compliance Audit</span></p> <p>Start Date: <span style="border: 1px solid #ccc; padding: 2px;">11/23/2021</span> <span>📅</span></p> <p>Location: <span style="border: 1px solid #ccc; padding: 2px;">On-Site</span></p> <p>On-Site Start Date: <span style="border: 1px solid #ccc; padding: 2px;">11/23/2021</span> <span>📅</span></p> <p>Changed Date NERC Approval: <span style="border: 1px solid #ccc; padding: 2px;">NERC/FERC-led?</span></p> <p>NERC/FERC-led?: <span style="border: 1px solid #ccc; padding: 2px;">N/A</span></p> <p>Notification Packet Date: <span style="border: 1px solid #ccc; padding: 2px;">11/23/2021</span> <span>📅</span></p> <p>Monitoring Period Start Date: <span style="border: 1px solid #ccc; padding: 2px;">07/22/2021</span> <span>📅</span></p> <p>Note: The monitoring period is the most inclusive period for each entity, therefore the start date is the oldest date available.</p>	<p>Engagement Scope: <span style="border: 1px solid #ccc; padding: 2px;">Both</span></p> <p>End Date: <span style="border: 1px solid #ccc; padding: 2px;">02/23/2022</span> <span>📅</span></p> <p>On-Site Location: <span style="border: 1px solid #ccc; padding: 2px;"></span></p> <p>On-Site End Date: <span style="border: 1px solid #ccc; padding: 2px;">11/26/2021</span> <span>📅</span></p> <p>NERC Approval Date: <span style="border: 1px solid #ccc; padding: 2px;"></span></p> <p>NERC/FERC observers?: <span style="border: 1px solid #ccc; padding: 2px;">FERC Observers</span></p> <p>Monitoring Period End Date: <span style="border: 1px solid #ccc; padding: 2px;">11/22/2021</span> <span>📅</span></p>
--	---

Registered Entity Visibility Flag

Update
Close

34

35



# 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

Compliance Planning

Scheduled Engagements CO

CO GROUP	ADD ENGAGEMENT	SCHEDULE ID	CO GROUP	LRE/ARE	START DATE	END DATE	TYPE NAME	EDIT/VIEW ENGAGEMENT
CO Group No. 21 - NextEra		SH21-00242	CO Group No. 24a - Avangrid	ARE				View
CO Group No. 32 - MISO-RSG		SH21-00207	CO Group No. 21 - NextEra	LRE	11/17/2021	12/15/2021	Compliance Audit	Edit
CO Group No. 33 - Montana-Dakota		SH21-00206	CO Group No. 21 - NextEra	LRE				Edit
CO Group No. 34 - MEAN		SH21-00173	CO Group No. 55a - WAPA-RMR	ARE				View
CO Group No. 49 - Western Farmers		SH21-00172	CO Group No. 73 - SOLV	ARE	09/02/2021	09/08/2021	Compliance Audit	View
CO Group No. 5 - Alliant		SH21-00171	CO Group No. 73 - SOLV	ARE				View
CO Group No. 55B - WAPA-UGP		SH21-00167	CO Group No. 24a - Avangrid	ARE				View
CO Group No. 56 - Xcel		SH21-00130	CO Group No. 82 - Black Hills	ARE				View
CO Group No. 6 - ATC		SH21-00004	CO Group No. 46 - Tri-State	ARE	10/04/2021	11/30/2021	Spot Check	View
CO Group No. 60 - ACE O&M		SH21-00002	CO Group No. 24a - Avangrid	ARE	10/01/2021	11/27/2021	Unscheduled Audit	View
CO Group No. 63 - CHI Power								
CO Group No. 65 - GSEC								
CO Group No. 66 - NRG-GS								

Page 1 of 1



# Scheduled Engagements – Coordinated Oversight

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**

SH21-00272

General

Select CO Group

CO GROUP

CO Group No. 21 - NextEra

Select Particip

REGISTRATION ID

NCR10019-MRO

NCR10019-NPCC

NCR10019-RF

NCR10019-SERC

Update

Relate Existing

SELECT CO GROUP				
<input type="checkbox"/>	COORDINATED OVERSIGHT GROUP NAME	CEA	OIP CEA	OP CEA
<input type="checkbox"/>	CO Group No. 76 - Algonquin	MRO	MRO	MRO
<input type="checkbox"/>	CO Group No. 56 - Xcel	MRO	MRO	MRO
<input type="checkbox"/>	CO Group No. 70 - USACE-NWO	MRO	MRO	MRO
<input type="checkbox"/>	CO Group No. 83 - USACE - Tulsa	MRO	MRO	MRO
<input type="checkbox"/>	CO Group No. 66 - NRG-GS	MRO	MRO	MRO
<input type="checkbox"/>	CO Group No. 60 - ACE O&M	MRO	MRO	MRO
<input type="checkbox"/>	CO Group No. 5 - Alliant	MRO	MRO	MRO
<input type="checkbox"/>	CO Group No. 49 - Western F	MRO	MRO	MRO
<input checked="" type="checkbox"/>	CO Group No. 21 - NextEra	MRO	MRO	MRO
<input type="checkbox"/>	CO Group No. 79 - BEPC	MRO	MRO	MRO

Page 1 of 1

Confirm Close

# 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 be completed following the same steps.

The screenshot shows the engagement interface for SH21-00272. The 'Select Participating CO Group Registrations' section contains a table with the following rows:

REGISTRATION ID
<input type="checkbox"/> NCR10019-MRO
<input type="checkbox"/> NCR10019-NPCC
<input type="checkbox"/> NCR10019-RF
<input type="checkbox"/> NCR10019-SERC
<input type="checkbox"/> NCR10019-TXRE
<input type="checkbox"/> NCR10019-WECC

The 'Relate Existing' modal window is open, displaying a list of existing registrations. The registration 'NCR10019 - NextEra Energy Resources, LLC in NPCC' is selected with a checkmark. At the bottom of the modal, there are 'Confirm' and 'Close' buttons.



# 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.

The screenshot displays the 'Compliance Planning' interface. At the top, there are navigation tabs for 'Scheduled Engagements CO', 'Full Year Schedule', 'Schedule/Audit Info', and 'Scoping Dashboard'. The main area shows a table of 'SCHEDULED ENGAGEMENTS' with columns for CO GROUP, SCHEDULE ID, CO GROUP, LRE/ARE, START DATE, END DATE, TYPE NAME, and EDIT/VIEW ENGAGEMENT. A modal form is open for engagement SH21-00272, showing details like 'Notify Assigned Resources' (checkbox), 'Scheduling Milestones' (empty table), and an 'Action' section with a checked 'Create Related Monitoring Engagement' checkbox and an unchecked 'Move to Cancel' checkbox. The 'Update' button is highlighted at the bottom of the form. Numbered callouts 1 through 4 are overlaid on the interface to guide the user through the steps.



# 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.

The screenshot displays the 'Compliance Planning' interface. At the top, there are navigation tabs: 'Scheduled Engagements', 'Scheduled Engagements CO', 'Full Year Schedule', 'Schedule/Audit Info', and 'Scoping Dashboard'. Below these is a table with columns: 'CO GROUP', 'ADD ENGAGEMENT', 'SCHEDULE ID', 'CO GROUP', 'LRE/ARE', 'START DATE', 'END DATE', 'TYPE NAME', and 'EDIT/VIEW ENGAGEMENT'. A modal window is open for engagement 'SH21-00272'. Inside the modal, there is a 'Notify Assigned Resources' checkbox, a 'Scheduling Milestones' table (currently empty), and an 'Action' section. In the 'Action' section, the 'Create Related Monitoring Engagement' checkbox is checked, and the 'Move to Cancel' checkbox is unchecked. At the bottom of the modal, there are 'Update' and 'Close' buttons.



# 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"*

The screenshot shows the 'Audits and Spot Checks' dropdown menu with the following options: My Align, Compliance Planning, Findings, Periodic Data Submittals, Self Certifications, Self Cert Administration, Audits and Spot Checks (highlighted), PNC Processing, Enforcement Processing, and Mitigation Management. The table below shows engagement records with columns for ID, REGISTRATION, TYPE NAME, and AUDIT STATUS. The first row shows a 'Planned' status, which is highlighted with a yellow arrow labeled 'A'.

ID	REGISTRATION	TYPE NAME	AUDIT STATUS
ME21-00257	NCR999999	Compliance Audit	Planned
ME21-00258	NCR00962	Compliance Audit	In Progress
ME21-00245	NCR999999	Compliance Audit	In Progress
ME21-00244	NCR999999	Spot Check	In Progress
ME21-00241	NCR999999	Compliance Audit	In Review
ME21-00239	NCR99999999 - Second Game Day Friday Entity in MRO	Compliance Audit	Final (Reopened)
ME21-00238	NCR99999999 - Second Game Day Friday Entity in MRO	Compliance Audit	In Progress
ME21-00230	NCR00961 - Alliant Energy - East in MRO, NCR00962 - Alliant Energy - West in MRO, NCR10337 - Alliant Energy - East in RF	Compliance Audit	In Progress
ME21-00228	NCR00961 - Alliant Energy - East in MRO, NCR00962 - Alliant Energy - West in MRO	Compliance Audit	In Progress
ME21-00227	NCR00961 - Alliant Energy - East in MRO	Compliance Audit	In Progress
ME21-00195	NCR99999999 - Second Game Day Friday Entity in MRO	Compliance Audit	Planned
ME21-00190	NCR00961 - Alliant Energy - East in MRO	Compliance Audit	In Progress



# 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.

The screenshot shows the 'My Align' interface. The 'My Align' dropdown menu is open, and the 'Compliance Planning' option is selected. Within the 'Compliance Planning' view, the 'Full Year Schedule' tab is active. The table below displays the schedule data.

YEAR	SCHEDULE ID	ME ID	NCR/CO GROUP #	ENTITY NAME(S)	FUNCTIONS	R / COG	ENGAGEMENT SCOPE	START DATE	END DATE	ANP DATE	ASSIGNED RESOURCES	OBSERVERS
2021	SH21-00033		NCR00303	Municipal Energy Agency Of Nebraska	RP	R		10/24/2021	10/26/2021			
2021	SH21-00143		NCR00658	Eergy, Inc.	BA, DP, GO, GOP, RP, TO,	R	Both	10/20/2021	12/31/2021			
2021	SH21-00191		NCR00102	Basin Electric Power Cooperative	DP, GO, GOP, RP, TO, TP	R	Both	11/08/2021	12/17/2021			
2021	SH21-00193		NCR00102	Basin Electric Power Cooperative	DP, GO, GOP, RP, TO, TP	R	Both	10/25/2021	11/19/2021		MRO Editor 1	
2021	SH21-00207		CO Group No. 21	NextEra NextEra Energy Resources, LLC	GO, GOP	COG	Both	11/17/2021	12/15/2021		ERO 2, MRO Editor 2	
2021	SH21-00217		NCR00303	Municipal Energy Agency Of Nebraska	RP	R		10/28/2021	10/31/2021			
2021	SH21-00218		NCR00674	Minnesota Power (Allete, Inc.)	BA, DP, GO, GOP, RP, TO,	R		10/17/2021	11/18/2021			
2021	SH21-00248		NCR9999999	Second Game Day Friday Entity	BA, GO, TOP	R	Both	11/15/2021	12/15/2021			
2021	SH21-00255		NCR9999999	Second Game Day Friday Entity	BA, GO, TOP	R	Both	11/23/2021	01/24/2022			
2021	SH21-00256		NCR9999999	Second Game Day Friday Entity	BA, GO, TOP	R	Both	11/23/2021	02/23/2022			
2021	SH21-00258		NCR9999999	Second Game Day Friday Entity	BA, GO, TOP	R	Both	11/23/2021	02/23/2022		MRO Editor 1, MRO Editor 2, MRO Editor 5	
2021	SH21-00005	ME21-00005	NCR00961	Alliant Energy - East	BA, DP, GO, GOP, RP	R	O&P	10/05/2021	11/30/2021		MRO Editor 1, MRO Editor 2, MRO Editor 3	
2021	SH21-00010	ME21-	NCR00961	Alliant Energy - East	BA, DP, GO,	R	DP	10/04/2021	10/11/2021		MRO Editor 1, MRO	



# 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.

The screenshot shows the 'My Align' dashboard. A dropdown menu is open, showing 'Compliance Planning' selected. Below it, another dropdown menu is open for 'Compliance Planning', with the 'Schedule/Audit Info' tab selected. The main content area displays a table of scheduled engagements.

REGISTRATION ID	NO FUTURE ENGAGEMENTS	LRE/ARE	DATE LAST COMPLIANCE A...	SCOPE ... AUDIT	DATE LAST COMPLIANCE INV.	SCOPE LAST COMPLIANCE ...	DATE LAST SPOT CHECK	SCOPE LAST SPOT CHECK	DATE LAST SELF-CERTIFICATI...	OVERSIGHT STRATEGY CATEGORY	COP MONITORING INTERVAL
NCR00102 - Basin Electric Power...	(a)	LRE									
NCR00303 - Municipal Energy...		LRE									
NCR00381 - Hennepin County, M...		LRE									
NCR00633 - Tenaska Gateway Partners Lt...		ARE									
NCR00658 - Everyg, Inc. in MRO		LRE									
NCR00674 - Minnesota Power...		LRE									
NCR00685 - American Transmissi...		LRE									
NCR00685 - American Transmissi...		LRE									
NCR00769 - Clearway Energy Operating LL...		LRE									
NCR00818 - Madison Gas And Electric...		LRE									
NCR00824 - MidAmerican Energy...		LRE									
NCR00826 - Midcontinent...		ARE									
NCR00860 - Omaha Public Power District...		LRE									



# 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**

The screenshot shows the 'My Align' interface. The top navigation bar has a dropdown arrow circled with a '1'. Below it, the 'Compliance Planning' view is active, with the 'Scoping Dashboard' tab selected, circled with a '2'. A 'Perform Scoping' button is circled with a '3'. A modal window titled 'Perform Scoping' is open, showing a table with columns: STANDARD / REQUIREMENT, ATTESTATION FLAG, COMPLIANCE AUDIT, SPOT CHECK, SELF-CERT, and CREATE/EDIT SCOPE. The table contains several rows of data. The 'CREATE/EDIT SCOPE' column has 'Edit' links, with one circled by a '4'. A checkbox 'Only show requirements with existing scope' is checked. The page number '1 of 1' is visible at the bottom of the modal.

STANDARD / REQUIREMENT	ATTESTATION FLAG	COMPLIANCE AUDIT	SPOT CHECK	SELF-CERT	CREATE/EDIT SCOPE
CIP-003-8 R2.		Yes	Yes	Yes	Edit
CIP-003-8 R3.		Yes	Yes	No	Edit
CIP-003-8 R4.		No	Yes	No	Edit
CIP-004-6 R1.		Yes	No	Yes	Edit
CIP-004-6 R2.		Yes	No	No	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.

### Requirement Monitoring Scope

#### General

**Registration** NCR9999999 - Second Game Day Friday Entity in MRO

**Standard/ Requirement** CIP-003-8 R4.

**Notes**

---

**Determine scope per engagement type**

Compliance Audit  **5**

Spot Check

Self-Certification

**6** Update Close



# 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**

The screenshot shows a multi-step navigation process:

- Step 1:** A dropdown arrow in the top navigation bar is highlighted with a yellow circle containing the number 1.
- Step 2:** The 'Compliance Planning' view is selected, and the 'Scoping Dashboard' tab is highlighted with a yellow circle containing the number 2.
- Step 3:** The 'Perform Scoping' button is highlighted with a yellow circle containing the number 3.
- Step 4:** A checkbox labeled 'Only show requirements with existing scope' is highlighted with a yellow circle containing the number 4, and it is currently unchecked.

STANDARD / REQUIREMENT	ATTESTATION FLAG	COMPLIANCE AUDIT	SPOT CHECK	SELF-CERT	CREATE/ EDIT SCOPE
BAL-001-2 R1.					+
BAL-001-2 R2.					+
BAL-002-3 R1.					+
BAL-002-3 R2.					+
BAL-002-3 R3.					+
BAL-003-2 R1.					+
BAL-003-2 R2.					+
BAL-003-2 R3.					+
BAL-003-2 R4.					+
BAL-005-1 R1.					+

Page 1 of 11

# 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.

**Perform Scoping** ✕

Only show requirements with existing scope

STANDARD / REQUIREMENT	ATTESTATION FLAG	COMPLIANCE AUDIT	SPOT CHECK	SELF-CERT	CREATE/ EDIT SCOPE
BAL-001-2 R1.	5				+ 6
BAL-001-2 R2.		● No	● No	● No	Edit a
BAL-002-3 R1.					+
BAL-002-3 R2.					+
BAL-002-3 R3.					+
BAL-003-2 R1.					+
BAL-003-2 R2.					+
BAL-003-2 R3.					+
BAL-003-2 R4.					+
BAL-005-1 R1.					+

⏪ ⏩ Page  of 11 ⏴ ⏵ 🔄



# 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.

Perform Scoping ✕

Only show requirements with existing scope

STANDARD / REQUIREMENT	ATTESTATION FLAG	COMPLIANCE AUDIT	SPOT CHECK	SELF-CERT	CREATE/ EDIT SCOPE
BAL-001-2 R1.					<b>1</b> +
BAL-001-2 R2.		● No	● No	● No	Edit
BAL-002-3 R1.					
BAL-002-3 R2.					
BAL-002-3 R3.					
BAL-003-2 R1.					
BAL-003-2 R2.					
BAL-003-2 R3.					
BAL-003-2 R4.					
BAL-005-1 R1.					

Requirement Monitoring Scope ✕

Notes

Determine scope per engagement type

Compliance Audit

Spot Check

Self-Certification

Actions

Delete Scope

Update



# 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**

ME21-00257
✕

General
Working Papers
Issues
ANP
Findings

**General**

Start Date	<input type="text"/>		End Date	<input type="text"/>
Scheduled Start Date	November 23, 2021		Scheduled End Date	January 26, 2022
Monitoring Period Start Date	05/10/2021		Monitoring Period End Date	11/22/2021
Engagement Type	Compliance Audit		Location	On-Site
Engagement Scope	Both			
Link to Post Audit Feedback Survey	<input type="text"/>			
Compliance Culture Internal Notes	5		Compliance Culture Report Narrative	6
Entity Audit Participants	7			

Update
Close



# Monitoring Engagements

8 Scroll to the **Select Registration** section

9 Click the **link icon**

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

11 Click **Confirm**

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

ME21-00257

Select Registration

8

9

10

11

Relate Existing

- REGISTRATION / CO GROUP
- NCR9999999 - Second Game Day Friday Entity in MRO
- NCR989898989898 - Align Prod Integration Test in MRO
- NCR55555 - Testing Company Name Update, LLC in MRO
- NCR44444 - Align Integration Test 2 in MRO
- NCR12105 - Dakota Range III, LLC in MRO
- NCR12102 - Sundance Wind Project, LLC in MRO
- NCR12101 - Invernergy Services-Sundance in MRO
- NCR12100 - Shackatan Hills, LLC in MRO
- NCR12099 - Lakota Ridge, LLC in MRO
- NCR12094 - Wapello Solar LLC in MRO
- NCR12091 - Deuel Harvest Wind Energy, LLC in MRO
- NCR12077 - Tatanka Ridge Wind, LLC in MRO
- NCR12076 - Invernergy Services-Tatanka in MRO
- NCR12075 - Invernergy Services-Coyote Ridge in MRO

Page 1 of 10

Confirm Close

Update Close



# 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**

ME21-00257

Select Engagement Scope

Relate Existing

STANDARD/REQUIREMENT	TAGGED IN SCOPE
<input type="checkbox"/> BAL-005-1 R4.	
<input type="checkbox"/> BAL-005-1 R5.	
<input type="checkbox"/> BAL-005-1 R6.	
<input type="checkbox"/> BAL-005-1 R7.	
<input type="checkbox"/> CIP-002-5.1a R1.	
<input type="checkbox"/> CIP-002-5.1a R2.	
<input type="checkbox"/> CIP-003-8 R1.	
<input checked="" type="checkbox"/> CIP-003-8 R2.	✓
<input type="checkbox"/> CIP-003-8 R3.	✓
<input type="checkbox"/> CIP-003-8 R4.	
<input checked="" type="checkbox"/> CIP-004-6 R1.	✓
<input checked="" type="checkbox"/> CIP-004-6 R2.	✓
<input type="checkbox"/> CIP-004-6 R3.	

Page 1 of 11

Confirm Close



# 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**

ME21-00257
✕

Engagement

---

Select Engagement Scope

<input type="checkbox"/>	STANDARDS AND REQUIREMENTS	
<input type="checkbox"/>		CIP-003-8
<input type="checkbox"/>		CIP-004-6
<input type="checkbox"/>		CIP-004-6

CIP Scope Reviewed by Management ✓

O&P Scope Reviewed by Management ✓

Management Review of Scope Justification

16

17

---

Assigned Resources

AUDIT ROLE	ASSIGNED RESOURCES	
Audit Team Lead - CIP	MRO Editor 1	<a href="#">Edit Resources</a>

Update
Close



# Monitoring Engagements

To view the Audit Team on the Engagement:

18 Scroll to the **Assigned Resources** section

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

19 Click **Edit Resource**

20 Click the **link icon**

ME21-00257

Assigned Resources

AUDIT ROLE	ASSIGNED RESOURCES
Audit Team Lead - CIP	MRO Editor 1 <a href="#">Edit Resources</a>
Audit Team Lead - OP	MRO Editor 1 <a href="#">Edit Resources</a>
Member - CIP	
Member - OP	
Observers	
Primary - CIP	MRO Editor 1
Primary - OP	MRO Editor 1

SH21-00257 Audit Team Lead - OP

Select Audit Team Lead

FIRST NAME LAST NAME

MRO Editor 1

Update Close

# 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)

Relate Existing

SELECT AUDIT TEAM LEAD

<input type="checkbox"/>	NAME	SKILLS	AVAILABLE	REGION
<input checked="" type="checkbox"/>	MRO Editor 1	ATL Trained/Certified	No	LRE
<input checked="" type="checkbox"/>	MRO Editor 2	ATL Trained/Certified	No	LRE

Confirm Close

Update Close



# 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**

The screenshot shows the 'Audit Document Library' interface. At the top, the 'Audit Document Library' tab is selected (1). Below the navigation bar, the 'Add Document to Library' button is highlighted (2). A 'Create Audit Document' modal window is open, showing the 'General' section. The 'Document Name' field is active (3), and the 'Document Type' dropdown menu is open, showing 'Audit Notification Packet' and 'Engagement Workpaper' (4). The 'Related Requirements' section is empty. At the bottom of the modal, there are 'Update' and 'Close' buttons. The background shows a list of existing audit documents with IDs AD21-0003, AD21-00017, and AD21-00042.

# 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

The screenshot shows the 'Create Audit Document' form with the following elements and callouts:

- 5**: Callout pointing to the 'CEA \*' dropdown menu, which is open and shows a list of CEA options: FRCC, MRO, NCEA, NERC, NPCC, RF, SERC, SPPRE, TXRE, and WECC.
- 6**: Callout pointing to the 'Attach file' button in the 'Document' field.
- 7**: Callout pointing to the 'Description' text input field.
- 8**: Callout pointing to the link icon (two interlocking circles) in the 'Related Requirements' section.

The form includes fields for 'Document Name \*', 'Document Type \*', and 'Description'. The 'Related Requirements' section has a checkbox for 'REQUIREMENT' and a message 'This table is empty'. At the bottom, there are 'Update' and 'Close' buttons.

# 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

The screenshot shows the 'Audits and Spot Checks' interface. The 'Monitoring Engagements' tab is selected, showing a list of engagement records. The record with ID 'ME21-00257' is highlighted. The 'ANP' (Audit Notification Packet) tab is selected for this record. A calendar icon is visible next to the 'ANP Visibility Date' field, which is highlighted by a blue circle with the number 4. The calendar is open, showing the month of December.

# 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**

ME21-00257

General Working Papers Issues ANP Findings

**General**

ANP Visibility Date

ANP Deadline Date November

ANP Ready to Publish

Submit ANP **5**

Additional Notes/Instructions for Registered Entity **6**

**7**

ANP Documents

Audit Notification Letter

Pre-Audit Survey

**Update** **Close**



# 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

ME21-00257
✕

**Submit ANP**

Submit

**Additional Notes/Instructions for Registered Entity**

test

---

**ANP Documents**

- AUDIT DOCUMENT ID
- AD21-00042

Relate Existing

AUDIT DOCUMENT LIBRARY

A	AUDIT DOCUMENT ID	DOCUMENT NAME	DOCUMENT TYPE	REQUIREMENT(S)	CEA
<input type="checkbox"/>	AD21-00003	Avience document	Audit Notification Packet	CIP-002-5.1a R2., CIP-003-8 R3.	MRO
<input type="checkbox"/>	AD21-00017	Biographies	Audit Notification Packet	BAL-002-3 R1., BAL-002-3 R2., BAL-002-3 R3.	MRO
<input checked="" type="checkbox"/>	AD21-00042	Test document upload	Audit Notification Packet	CIP-002-5.1a R1., CIP-003-8 R2., CIP-003-8 R4.	MRO

Update
Confirm
Close



# 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**

The screenshot shows a software interface for adding an audit document. The main window is titled 'ME21-00257' and contains a 'Submit ANP' section with a 'plus' icon (callout 9) and a list of existing documents. An 'Audit Document' modal window is open, showing a 'General' tab with a 'Document Name' field (callout 10), an 'Attach file' button (callout 11), a 'Description' text area (callout 12), and 'Update' and 'Close' buttons (callout 13).



# 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**

ME21-00257

**Audited Functions**

<input type="checkbox"/>	NAME
<input type="checkbox"/>	FUNCTION
<input type="checkbox"/>	BA
<input type="checkbox"/>	FC
<input checked="" type="checkbox"/>	TO
<input type="checkbox"/>	TOP
<input type="checkbox"/>	DP
<input checked="" type="checkbox"/>	GO
<input type="checkbox"/>	GOP
<input type="checkbox"/>	IA

**Assigned Resources**

Audit Team Lead - CIP MRO Editor 1  
Primary - CIP MRO Editor 1  
Member - CIP  
Observers

**Important Dates/De**

<input type="checkbox"/>	TASK ID	ST
--------------------------	---------	----

Page 1 of 1

Update Close

Relate Existing

SELECT FUNCTIONS

Confirm Close



# 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**

The screenshot displays the 'ANP Tasks' modal window. It features a 'Task Name' input field (callout 19), a larger 'Description' text area (callout 20), and 'Start Date' and 'Due Date' fields with calendar icons (callout 21). The background shows the 'Important Dates/Deadlines' section of the main interface (callout 17) and a plus icon (callout 18) used to add tasks.



# 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



Home



Previous Page

Next Page





# 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.

The screenshot shows the 'Audits and Spot Checks' view in the ALIGN system. A dropdown menu is open, listing various categories like 'My Align', 'Compliance Planning', and 'Audits and Spot Checks'. The 'Audits and Spot Checks' option is highlighted with a blue circle and the number '1'. Below the dropdown, a list of engagement records is visible. The record with ID 'ME21-00245' is highlighted with a blue circle and the number '2'. To the right, the 'Working Papers' tab is selected, also highlighted with a blue circle and the number '3'. The main area displays a table of work papers with columns for SUBJECT, ASSIGNED TEAM MEMBERS, RSAW STATUS, REVIEW STATUS, and SEL REFERENCE.

SUBJECT	ASSIGNED TEAM MEMBERS	RSAW STATUS	REVIEW STATUS	SEL REFERENCE	ACTION
NCR9999999 - Second Game Day Friday Entity in MRO				MRO\NCR9999999\ME21-00245\ME21-00245\	
QP-003-8 R2, for NCR9999999-MRO	ERO 1	Not Started	PNC	MRO\NCR9999999\ME21-00245\ME21-00245\QP-003-8\ R2\	
QP-003-8 R3, for NCR9999999-MRO	ERO 1	Not Started	PNC	MRO\NCR9999999\ME21-00245\ME21-00245\QP-003-8\ R3\	
QP-003-8 R4, for NCR9999999-MRO	ERO 1	Not Started	PNC	MRO\NCR9999999\ME21-00245\ME21-00245\QP-003-8\ R4\	
QP-004-6 R1, for NCR9999999-MRO	ERO 3	Not Started	No Finding	MRO\NCR9999999\ME21-00245\ME21-00245\QP-004-6\ R1\	
QP-004-6 R2, for NCR9999999-MRO	MRO Editor 1	Not Started	Open Enforcement Action	MRO\NCR9999999\ME21-00245\ME21-00245\QP-004-6\ R2\	



# Reviewing Work Papers

- 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.

ME21-00244

General Working Papers Issues ANP Findings Report

SUBJECT

Registration NCR9999999 - Second Game Day Friday Entity in MRO

CIP-003-8 R2.

Compliance Narrative: Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Registered Entity Evidence

File Name	Document Title	Revision or Version	Document Date	Relevant Page(s) or Section(s)	Description of Applicability of Document

Report Narrative (CEA)

Accept Decline Save Draft Close



# 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**

ME21-00244 - CIP-003-8 R2. - CIP-003-8 R2. - NCR9999999 Second Day Training Test 2 Editor 2 (Nov 15, 2021, 4:22:2... ✕

Registered Entity Evidence

File Name	Document Title	Revision or Version	Document Date	Relevant Page(s) or Section(s)	Description of Applicability of Document

Report Narrative (CEA) ⌵

test

Issue

---

Notes

Notes

+

COMMENT AUTHOR RESPONSE

This table is empty

Accept
Decline
Save Draft
Close

3

1

2

# 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

Note

Comment

Addressees

Priority

Update Close

Accept DRAFT Save Draft Close



# 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**

The screenshot shows a software interface for creating an RFI. On the left, a list of monitoring engagements is shown with IDs like ME21-00269, ME21-00257, etc. A modal window titled 'ME21-00269' is open, showing the 'Audit Request for Information' section. The modal contains a table with columns: ID, CATEGORY, STATUS, REQUIREMENT(S), REQUESTOR COMMENTS, and RESPONDENT COMMENTS. A plus icon is located in the top right of the table area. Below the table, there is a note: 'Note: To view newly created Requests for Information please update the table above.' and a checkbox with the text 'Please check this box and update the form if you would like to send out all the draft RFI's to the selected entities'. At the bottom of the modal, there are 'Update' and 'Close' buttons.



# 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 part 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

Create Audit RFI
✕

**Status** Create

**Requestor Comments**

**Related Audit** ME21-00269

**Requestor Attachments**

Attach file

**Response Due By** 01/05/2022

A ANP

B Sampling

**Calendar**

January 2022

Mo	Tu	We	Th	Fr	Sa
26	27	28	29	30	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	31	1	2	3	4
5					

**Registration** NCR9999999 - Second Ga

**Requirement**

CIP-004-6 R1. ✕ CIP-004-6 R2. ✕ BAL-005-1 R3. ✕

CIP-003-8 R2. ✕ CIP-003-8 R3. ✕

automatically selected requirements(s) can be edited after updating and reopening this Audit RFI.

**Action**

Instructions Update will save this Audit RFI as a draft by default. By selecting 'Submit' instead of 'Draft' below, this Audit RFI will be immediately send to the Registered Entity. Note that draft ANP RFI's will be automatically submitted and sent to the Registererd Entity once the ANP is being submitted.

Action Draft

Update

Close

Home
 Previous Page
 Next Page



# 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.

Create Audit RFI
✕

Status: Create
Related Audit: ME21-00269

Requestor Comments

Requestor Attachments

Attach file

Response Due By

01/05/2022 📅

ANP

Sampling

**Registration and Requirement(s)**

Registration

NCR9999999 - Second Game Day Friday Entity in MRO ✕

Requirement

CIP-004-6 R1. ✕
CIP-004-6 R2. ✕
BAL-005-1 R3. ✕
CIP-003-8 R2. ✕
CIP-003-8 R3. ✕

**Note:** The automatically selected requirements(s) can be edited after updating and reopening this Audit RFI.

**Action**

Instructions: Update will save this Audit RFI as a draft by default. By selecting 'Submit' instead of 'Draft' below, this Audit RFI will be immediately send to the Registered Entity. Note that draft ANP RFI's will be automatically submitted and sent to the Registererd Entity once the ANP is being submitted.

Action

Draft

Draft

-- None --

Draft

Submit

10

Update

Close

Home
 Previous Page
 Next Page



# 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**

Note: To view newly created Requests for Information please update the table above.

Please check this box and update the form if you would like to send out all the draft RFI's to the selected entities  11

---

Action

---

**Instructions** This Monitoring Engagement can be moved to "In Review" by selecting the "In Review" Action option and clicking "Update" below.

**Action** Submit 12

13 **Update** Close

 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

The screenshot shows the 'Audits and Spot Checks' interface. A sidebar on the left lists monitoring engagements with IDs. A modal window titled 'ME21-00238 Audit Request for Information' is open, showing a table of RFI requests. Three callouts are present: '1' points to an engagement ID in the sidebar, '2' points to the 'Audit Request for Information' section header in the modal, and '3' points to an RFI ID in the table.

ID	CATEGORY	STATUS	REQUIREMENT(S)	REQUESTOR COMMENTS	RESPONDENT COMMENTS
R21-000083	ANP	CEA Review	BAL-002-3 R2.	requesting info	test
R21-000084	ANP	Registered Entity Processing	BAL-002-3 R1., BAL-002-3 R2., BAL-002-3 R3.	test	
R21-000085	ANP	Registered Entity Processing	BAL-002-3 R1., BAL-002-3 R3.	more info please	



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

ME21-00238 | RI21-000083
✕

### Request for Information

Original Monitoring Engagement	ME21-00238		<b>RFI Status</b>	Registered Entity Processing
Registration	NCR9999999 - Second Game Day Friday Entity in MRO			
Requirements	BAL-002-3 R2.			
Category	ANP			
Requestor	MRO Editor 1		<b>Registration Comments</b>	test
CEA Comments	requesting info			
<b>Requestor Attachments</b>				
Request Sent On	November 9, 2021			
Due Date	December 9, 2021			

---

### Evidence and Attachments

Locker Reference	MRO NCR9999999  ME21-00238 ME21-00238 RI21-000083			
------------------	---	--	--	--

---

### Action

**Instructions** Mark this Audit RFI as Complete by selecting one of the options in the dropdown below and update the form.

**Action**

Received

-- None --

Received

Incomplete

Reviewed

Update

Close



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

The screenshot shows the 'Audits and Spot Checks' dropdown menu open, with 'Audits and Spot Checks' selected. The table below lists various audit records with columns for ID, TYPE NAME, and AUDIT STATUS.

ID	TYPE NAME	AUDIT STATUS
ME21-00257	Compliance Audit	Planned
ME21-00252	Alliant Energy - West in MRO, NCR10337 - Alliant Energy - East in RF	In Progress
	Compliance Audit	In Progress
	Spot Check	In Progress
	Compliance Audit	In Review
	Compliance Audit	Final (Reopened)
ME21-00238	NCR9999999 - Second Game Day Friday Entity in MRO	In Progress
ME21-00230	NCR00961 - Alliant Energy - East in MRO, NCR00962 - Alliant Energy - West in MRO, NCR10337 - Alliant Energy - East in RF	In Progress
ME21-00228	NCR00961 - Alliant Energy - East in MRO, NCR00962 - Alliant Energy - West in MRO	In Progress
ME21-00227	NCR00961 - Alliant Energy - East in MRO	In Progress
ME21-00195	NCR9999999 - Second Game Day Friday Entity in MRO	Planned
ME21-00190	NCR00961 - Alliant Energy - East in MRO	In Progress



# Creating a Finding

3 Select the **Working Papers** tab

4 Identify the **relevant requirement**

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

ME21-00238

General
Working Papers
Findings
Report

**3** Working Papers

SUBJECT	ASSIGNED TEAM MEMBERS	RSAW STATUS	REVIEW STATUS	SEL REFERENCE	ACTION
NCR9999999 - Second Game Day Friday Entity in MRO					
BAL-002-3 R1. for NCR9999999-MRO	Assign Team Member	Ready For Review	PNC	MRO NCR9999999 ME21-00238 ME21-00238 BAL-002-3 R1.	
BAL-002-3 R2. for NCR9999999-MRO	Assign Team Member	Ready For Review	PNC	MRO NCR9999999 ME21-00238 ME21-00238 BAL-002-3 R2.	
BAL-002-3 R3. for NCR9999999-MRO	Assign Team Member	Ready For Review	Not Applicable	MRO NCR9999999 ME21-00238 ME21-00238 BAL-002-3 R3.	

Page 1 of 1

Update
Close

Home | 
  Previous Page | 
  Next Page



# 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**

Create a Finding

**Instructions**

Complete the information on this form and choose **Save** to save as a draft Audit Finding. Go to the Findings tab to edit and Submit.

**Monitoring Method** Audit

**General Information**

**Registration** NCR9999999 - Second Game Day Friday Entity in MRO

**Applicable Requirement** BAL-002-3 R1.

**Region - Jurisdiction in which the Potential Noncompliance occurred** MRO-US

**Discovery and Description**

**When was the Potential Noncompliance discovered?\*** 12/07/2021  **6**

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

**How was this Potential Noncompliance discovered? \*** **7**

**What is the basis for your selecting this start date? \***

**Description** **8**

**Is the Potential Noncompliance still occurring? \***

**Save** **Close**





# 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**

Create a Finding

**Extent of Condition and Root Cause**

Has an Extent of Condition Review been performed? \*

What cause(s) led to the Potential Noncompliance? \*

**Risk and Impact**

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

How likely is it that Impact could have actually occurred? \*

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

Was there any actual impact to the BPS? \*

**Additional Comments**

Please provide any additional comments

ME21-00238  
BAL-002-3 R1.  
ME21-00238  
NCR9999999 - Second Game Day Friday Entity in MRO  
MF21-00238



# 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** from the **dropdown**

Create a Finding
✕

**Extent of Condition and Root Cause**

Has an Extent of Condition Review been performed? \*

What cause(s) led to the Potential Noncompliance? \*

---

**Risk and Impact**

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

How likely is it that Impact could have actually occurred? \*

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

Was there any actual impact to the BPS? \*

---

**Additional Comments**

Please provide any additional comments

ME21-00238  
BAL-002-3 R1.  
ME21-00238  
NCR9999999 - Second Game Day Friday Entity in MRO  
MF21-00238

Save
Close



# Creating a Finding

To save the Finding Form:

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

21 Click **Save**

### Create a Finding

Risk and Impact

What do you think the Potential Impact to BPS was/is from this Potential Noncompliance? *	<input type="text"/>	How likely is it that Impact could have actually occurred? *	<input type="text"/>
Why do you believe that to be the correct Potential Impact? *	<input type="text"/>	Was there any actual impact to the BPS? *	<input type="text" value="Unknown"/>

### Additional Comments

Please provide any additional comments	<input type="text" value="20"/>	ME21-00238 BAL-002-3 R1. ME21-00238 NCR9999999 - Second Game Day Friday Entity in MRO ME21-00238
--	---------------------------------	--

21



# 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.

2021-50045

**Extent of Condition and Root Cause**

Has an Extent of Condition Review been performed? \*

What cause(s) led to the Potential Noncompliance? \*

test

**Risk and Impact**

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

How likely is it that Impact could have actually occurred? \*

etst

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

test

Was there any actual impact to the BPS? \*

**Action**

Action

No Action

-- None --

No Action

Delete

Submit

Save
Close

27

28

29



# 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.

SUBJECT	ASSIGNED TEAM MEMBERS	RSAW STATUS	REVIEW STATUS	SEL REFERENCE	ACTION
NCR9999999 - Second Game Day Friday Entity in MRO				MRO\NCR9999999\ME21-00245\ME21-00245\	
QP-003-8 R2, for NCR9999999-MRO	ERO 1	Not Started	PNC	MRO\NCR9999999\ME21-00245\ME21-00245\QP-003-8\ R2\	
QP-003-8 R3, for NCR9999999-MRO	ERO 1	Not Started	PNC	MRO\NCR9999999\ME21-00245\ME21-00245\QP-003-8\ R3\	
QP-003-8 R4, for NCR9999999-MRO	ERO 1	Not Started	PNC	MRO\NCR9999999\ME21-00245\ME21-00245\QP-003-8\ R4\	
QP-004-6 R1, for NCR9999999-MRO	ERO 3	Not Started	No Finding	MRO\NCR9999999\ME21-00245\ME21-00245\QP-004-6\ R1\	
QP-004-6 R2, for NCR9999999-MRO	MRO Editor 1	Not Started	Open Enforcement Action	MRO\NCR9999999\ME21-00245\ME21-00245\QP-004-6\ R2\	



# 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**

The screenshot shows the 'ME21-00245' Working Papers interface. At the top, there are tabs for 'General', 'Working Papers', 'Issues', 'ANP', 'Findings', and 'Report'. The 'Working Papers' tab is active. Below the tabs is a table with columns: SUBJECT, ASSIGNED TEAM MEMBERS, RSAW STATUS, REVIEW STATUS, SEL REFERENCE, and ACTION. A callout '4' points to the 'ACTION' column. Below the table is a 'Create Position' form. The form has a 'General' section with a 'Name' field (callout '5'), a 'Description' field (callout '6'), and an 'ID' field. Below this are sections for 'Monitoring Method' (Compliance Audit), 'Engagement Scope' (O&P), 'Status' (Draft), 'No Additional Review Needed' (checkbox), 'Standards and Requirements' (BAL-002-3 R2), 'Reviewer Comments', and 'Follow-up Comments'. At the bottom of the form are 'Save' and 'Close' buttons (callout '7').



# 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)

The screenshot shows the ALIGN system interface. On the left, a navigation menu lists various categories including 'Audits and Spot Checks'. A dropdown menu is open, showing 'Audits and Spot Checks' highlighted. In the center, a list of monitoring engagements is displayed with columns for ID and description. The engagement 'ME21-00238' is selected. On the right, the detailed view for 'ME21-00238' is shown, with the 'Issues' tab selected. The interface displays a table of areas of concern and positive observations. A refresh icon labeled 'A' is visible at the bottom of the table.



# 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**

The screenshot shows the ALIGN software interface. At the top, there is a navigation menu with various options. Below the menu, there is a list of monitoring engagements. The engagement with ID ME21-00238 is selected. The detailed view of this engagement shows several sections: Management Reviewer, SME Interviews, and Internal Controls Assessment. The Management Reviewer section has a table with columns for FIRST NAME, LAST NAME, and Editor 1. The SME Interviews section has a table with columns for NAME, REQUESTED DATE, DESCRIPTION, and NOTES. The Internal Controls Assessment section has a table with columns for NAME, RISK CATEGORY, and PRACTICES AND CONTROLS ASSESSMENT. The table in this section is currently empty. At the bottom of the detailed view, there are buttons for 'Update' and 'Close'.



# 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

ME21-0

FIRST NAME

MRO

---

FIRST NAME

ERO

MRO

SME In

NAME

+ Mr. Manager

Intern

NAME

+

Update

Relate Existing

SELECT MANAGEMENT REVIEWER

<input type="checkbox"/>	NAME	CEA
<input type="checkbox"/>	MRO Reader 1	MRO
<input checked="" type="checkbox"/>	MRO Editor 1	MRO
<input checked="" type="checkbox"/>	ERO 1	MRO
<input type="checkbox"/>	Andy Rodriguez	MRO
<input type="checkbox"/>	Victor Myers	MRO
<input type="checkbox"/>	ERO 2	MRO
<input type="checkbox"/>	ERO 3	MRO
<input type="checkbox"/>	ERO 4	MRO
<input type="checkbox"/>	ERO 5	MRO
<input type="checkbox"/>	ERO 6	MRO
<input type="checkbox"/>	ERO 7	MRO
<input type="checkbox"/>	ERO 8	MRO
<input type="checkbox"/>	ERO 9	MRO
<input type="checkbox"/>	ERO 10	MRO
<input type="checkbox"/>	MRO0000000_Special_Dev_Training_Test_2_Editor_2	MRO

Page 1 of 5

6 Confirm Close



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**

The screenshot shows the 'Audits and Spot Checks' view. A dropdown menu is open, highlighting 'Audits and Spot Checks'. The 'Monitoring Engagements' list is visible, with 'ME21-00238' selected. The 'SME Interviews' section is expanded, showing a table with one entry: 'Mr. Manager' on '11/09/2021' with description 'Manager, we'd just say manager' and notes 'test'. A plus icon is visible next to the table header to add a new record.



# 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**

The screenshot shows the 'SME Interviews' form interface. It includes a sidebar on the left with a list of entries, one of which is 'Mr. Manager'. The main form area contains the following fields and elements:

- Name:** A text input field with callout 5.
- Requested Date:** A date picker field with a calendar icon and callout 6.
- Description:** A large text area with callout 7.
- Notes:** A text area with callout 8.
- Standards and Requirements:** A section with a note: "Please update both the SME Interviews form and the Audit form to view the standards and requirements that can be selected for the interviews."
- Buttons:** 'Update' and 'Close' buttons are located at the bottom of the form, with callout 9 pointing to the 'Update' button in the main form and callout 10 pointing to the 'Update' button in the sidebar.



# 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**

The screenshot shows a multi-step process in the SME Interviews application. It includes a list of interviews, a detailed view of an interview, and a dialog box for relating it to existing requirements. Numbered callouts (8-16) highlight the specific UI elements mentioned in the instructions.



# 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**

The screenshot shows the 'Audits and Spot Checks' view in the ALIGN system. A dropdown menu is open, highlighting 'Audits and Spot Checks' (Step 1). The 'Monitoring Engagements' list is visible, with ID 'ME21-00238' selected (Step 2). The engagement record for 'ME21-00238' is displayed, showing 'SME Interviews' and 'Internal Controls Assessment' sections. The 'Internal Controls Assessment' section is highlighted (Step 3), and a plus icon is visible next to it (Step 4). The 'Upload Reports and Documents' section at the bottom includes buttons for 'Attach file' for Draft, Non-Public, Public, and Exit Briefing reports, along with an 'Exit Briefing Date Conducted' field.



# 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

The screenshot shows a web form titled "Internal Controls Assessment" with a teal header. Below the header is a text area with the instruction "document their internal controls assessment and conclusions in section below". The form is divided into sections: "General Information", "Registered Entity Responses", and "Control Objective". In the "General Information" section, there is a "Name" field with a placeholder "<Value will be generated>", a "Risk Category" dropdown menu (highlighted with a yellow circle and the number 5), and a "Risk and Operational Concerns" text area (highlighted with a yellow circle and the number 6). Below this is another text area (highlighted with a yellow circle and the number 7) with a yellow arrow icon labeled "A" pointing to it. The "Registered Entity Responses" section contains a "Control Objective" text area. At the bottom of the form are "Update" and "Close" buttons.



# 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 Assessment

Registered Entity Responses

Control Objective	<div style="border: 1px solid #ccc; height: 100px; width: 100%;"></div>	8
Registered Entity Control Activities	<div style="border: 1px solid #ccc; height: 100px; width: 100%;"></div>	9

Internal Controls Assessment and Conclusions

Control Design Assessment	<div style="border: 1px solid #ccc; height: 100px; width: 100%;"></div>	10
---------------------------	---	----

Update Close



# 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 Assessment

Internal Controls Assessment and Conclusions

Control Design Assessment	
Control Implementation/Effectiveness Assessment	11
Practices and Controls Assessment	12
Conclusion (Areas of Concern/Improvement/Positive Observation)	13

Update Close



# 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 Assessment

### Other Information

RELIABILITY STANDARD AND REQUIREMENTS

This table is empty

Scope  **17**

Testing Type

Reference Workpapers

Internal Notes



# Internal Controls Assessments

- 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.

Internal Controls Assessment

### Other Information

RELIABILITY STANDARD AND REQUIREMENTS
 

This table is empty
---------------------

Scope ?

Testing Type ?

18

- Computer Assisted Audit Technique (CAAT)
- Examination/Inspection of Evidence
- Inquiry
- Observation/Walkthrough
- Re-performance

Reference Workpapers ?

Internal Notes ?

Update
Close

22
Update
Close



# 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**

The screenshot illustrates the software interface with four numbered callouts:

- 1**: A dropdown menu is open, showing 'Audits and Spot Checks' selected.
- 2**: A table of monitoring engagements is shown, with the ID 'ME21-00241' highlighted.
- 3**: A modal window for 'ME21-00241' is open, with the 'Report' tab selected.
- 4**: A table of reports is shown, with the 'Draft Non-Public Report' link highlighted.



# 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**

ME21-00241 | Report
5

General Information
Summary of Findings
Detailed Findings
Detailed AoCs, Recommendations, and Positive Observations
Culture and Participants
5

**Review**

CEA Comments

Comments 6

Due date for entity comments

02/17/2022

Entity Comments

comments 7

---

**Draft Report**

**Instructions** The Draft Report will be made visible to the entity for review by selecting the checkbox below and updating the form.

Make draft report viewable to entity  8

**Non-Public Report**

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

9

Update
Close



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



Home



Previous Page

Next Page





# 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**

ME21-00241 | Report
✕

**CEA Comments** Comment

**Due date for entity comments** 02/17/2022

**Entity Comments** comments

---

**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**

11

Update

Close



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



Home



Previous Page

Next Page





# 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*

The screenshot shows the 'ME21-00241' monitoring engagement record. The 'General' tab is active. A table with one row is visible, with a 'Page 1 of 1' indicator. Below the table is a 'Note' and a checkbox. The 'Action' section contains two dropdown menus: 'Management Reviewer Approval' (set to 'Approved') and 'Action' (set to 'Review Completed'). At the bottom, there are 'Update' and 'Close' buttons.



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**

The screenshot shows the Align software interface. At the top, there is a navigation bar with various menu items. A dropdown menu is open, showing 'Audits and Spot Checks' selected. Below this, a list of engagement records is displayed. The record with ID 'ME21-00241' is selected. The record view is open, showing a 'Reports' section with a 'Public Report' link highlighted. The interface includes a search bar, a 'My Align' section, and a 'Reports' table with columns for 'TYPE' and 'SENT DATE'. The 'Public Report' link is highlighted in blue. The 'Report' tab is selected in the top navigation bar of the record view. The 'Public Report' link is highlighted in blue in the 'Reports' section. The 'Public Report' link is highlighted in blue in the 'Reports' section. The 'Public Report' link is highlighted in blue in the 'Reports' section.



# 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 screenshot shows a web application window titled "ME21-00241 | Report". At the top, there is a navigation bar with tabs: "General Information", "Summary of Findings", "Detailed Findings", and "Review". The "Review" tab is selected and highlighted with a yellow circle containing the number 5. Below the tabs, the "Review" section contains two text input areas: "CEA Comments" and "Entity Comments". The "CEA Comments" area has a "Comments" label and a large text box with a yellow circle containing the number 6. Below the "Entity Comments" section, there is a "Public Report" section. It includes an "Instructions" section with the text "The Public Report can be published by selecting the checkbox below and updating the form." and a "Publish Public Report" checkbox that is checked, with a yellow circle containing the number 7. At the bottom of the window, there is a yellow circle containing the number 8, and a green "Update" button and a grey "Close" button.



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



Home



Previous Page

Next Page



# 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

The screenshot shows the 'Audits and Spot Checks View' with a dropdown menu open. The 'Upload Reports and Documents' modal is displayed over the engagement record for ID ME21-00241. The modal contains several 'Attach file' buttons for different report types and a table for 'Audit Request for Information'.

ID	CATEGORY	STATUS	REQUIREMENT(S)	REQUESTOR COMMENTS	RESPONDENT COMMENTS
RI21-000094	ANP	Create	CI-003-8 R2., CI-003-8 R3., CI-004-6 R1.	RFI Instructions or comments	



# 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.

ME21-00241

Upload Reports and Documents

Upload Draft Report Attach file

Upload Non-Public Report Attach file

Upload Public Report Attach file

Upload Exit Briefing Attach file

Upload Opening Presentation Attach file

Upload Closing Presentation Attach file

Upload Supporting Documents Attach file

Exit Briefing Date Conducted

Opening Presentation Date Conducted

Closing Presentation Date

Audit Request for Information

Click on the + sign to add a new Request for Information +

ID	CATEGORY	STATUS	REQUIREMENT(S)	REQUESTOR COMMENTS	RESPONDENT COMMENTS
RI21-000094	ANP	Create	CIP-003-8 R2., CIP-003-8 R3., CIP-004-6 R1.	RFI Instructions or comments	

6
Update
Close



# 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**

The screenshot shows the ALIGN system interface. At the top, there is a navigation menu with various options. Below the menu, there is a header area with 'Align for Regions' and 'MRO Editor 1'. The main content area is divided into several sections:

- 1**: A dropdown menu is open, showing 'Audits and Spot Checks' selected.
- 2**: A list of monitoring engagements is visible, with the ID 'ME21-00241' highlighted.
- 3**: The detailed view of engagement 'ME21-00241' is shown. It includes a 'Note' section, a checkbox for sending out draft RFI's, and an 'Engagement Review' section with details like 'Management Reviewer: MRO Editor 1' and 'Engagement moved to 'Review Completed' By: MRO Editor 1'.
- 4**: The 'Action' section is visible, showing a dropdown menu with 'Final' selected.
- 5**: The 'Update' button is highlighted.



# Finalizing, Closing, and Reopening

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 screenshot shows the ALIGN system interface. At the top, there's a navigation bar with 'Align for Regions' and 'MRO Editor 1'. Below that, a table lists monitoring engagements with columns for ID and status. The engagement ID 'ME21-00241' is highlighted. A dropdown menu is open, showing 'Audits and Spot Checks' selected. Below the table, there's a form for 'Engagement Review' and 'Action'. The 'Action' section has a dropdown menu with 'Closed' selected. At the bottom, there are 'Update' and 'Close' buttons.



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**

The screenshot shows the ALIGN system interface. On the left, a list of monitoring engagements is displayed with IDs ranging from ME21-00257 to ME21-00190. A dropdown menu is open, showing options like 'My Align', 'Compliance Planning', 'Findings', 'Period', 'Self C', 'Self C', 'Audits', 'PNC F', 'Enforc', and 'Mitiga'. The main view shows the details for engagement ME21-00241, including 'Engagement Review' and 'Action' sections. The 'Action' section has a dropdown menu set to 'Reopen' and a text box for justification. At the bottom, there are 'Update' and 'Close' buttons.



# Appendix: Release 3 Notifications



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



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



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



'Not Approved' Management Review will trigger an email to the Audit Leads



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



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



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



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



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