Align Release 4 User Guide

ALIGN

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.

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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.

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

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

ALIGN

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**

MRO Reader 1

First Name: MRO Reader
Last Name: 1
User ID

Bio: Ninja **5**

6

Conflict of Interest: NCR00006 - Calpine Corporation in FRCC ×

Country Code | Phone Number

Skills: ATL Trained/Certified × | **7** | Area(s) of expertise: Others × Internal Controls × O&P × CIP × | **8**

Explain "other" areas of expertise: Paragraph ▼ A ▼ Helvetica ... 14px | I U 🖼 ≔ ≣ 🔗 Timestamp

sneaking| **9**

10

Standard Trainings: NERC Gathering Quality Evidence × | NERC Fundamentals of Auditing × | NERC Audit Team Leader Training ×

Non-Standard Trainings: **11**

12 Update | Close

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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

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.

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).

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

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

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

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

Monitoring Engagement Dashboard

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

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

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

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Audit Checklist

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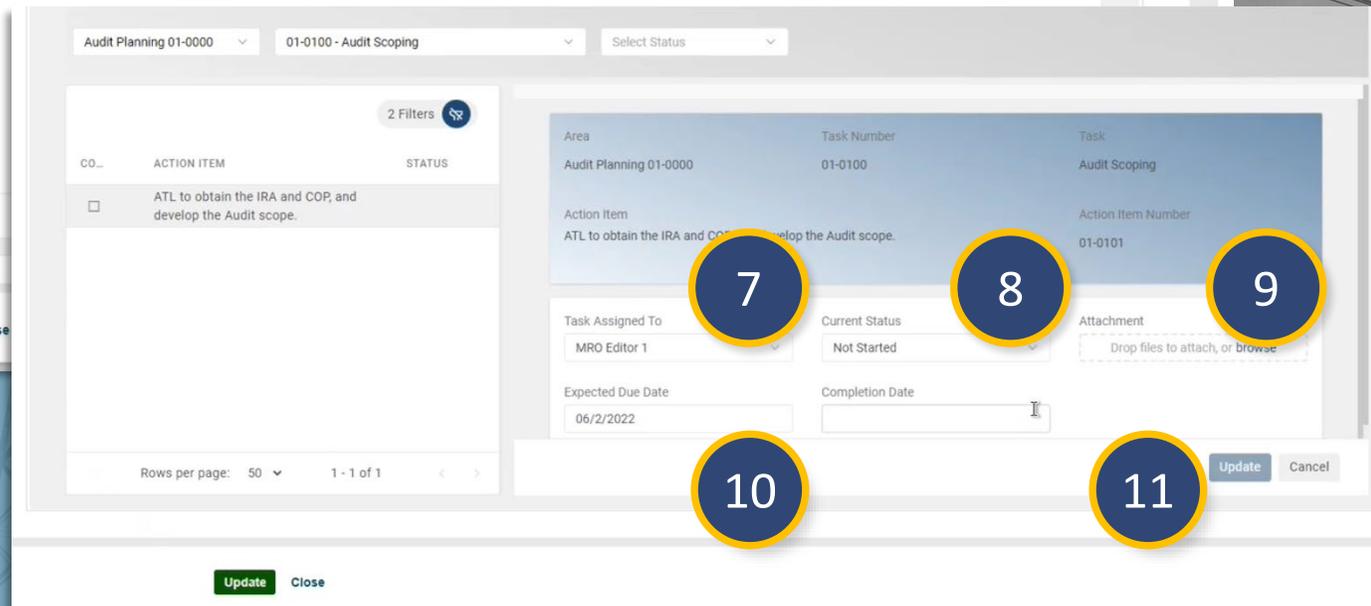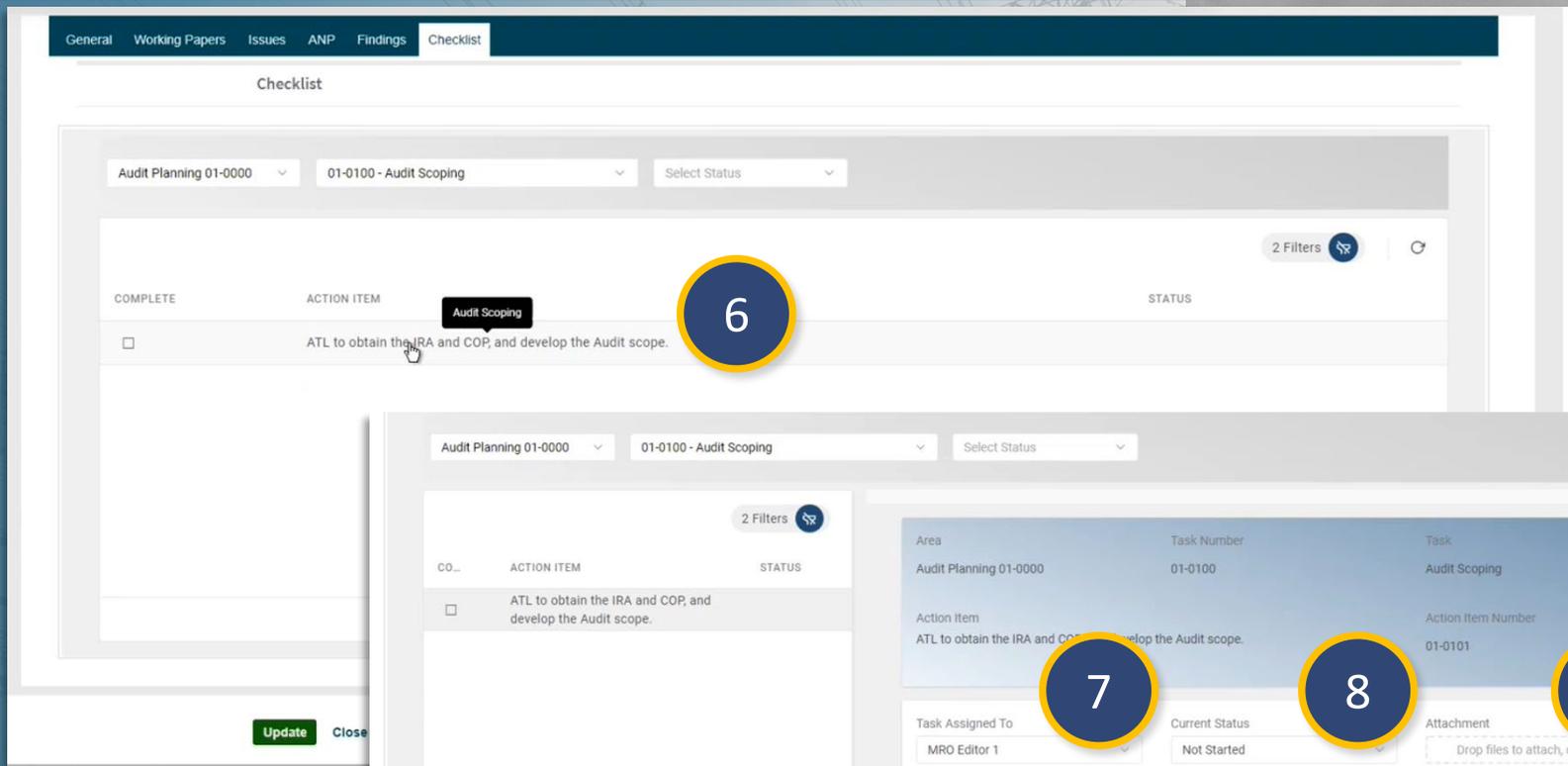
(10) Once a task is complete, you can mark it by clicking the **Complete**

(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	ACTION ITEM	STATUS
☐	**(A)** Due in 2 days ⚠ ATL to obtain the IRA and COP, and develop the Audit scope.	Not Started

Rows per page: 50 ▾   1 - 1 of 1

(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

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

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RFI Due Date (Entity)

Final Non-Public Reports (Entity View)

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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).

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

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.

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

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 3rd column of the table (A).

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RFI Due Date (Entity)

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