

Align Release 4.5 User Guide



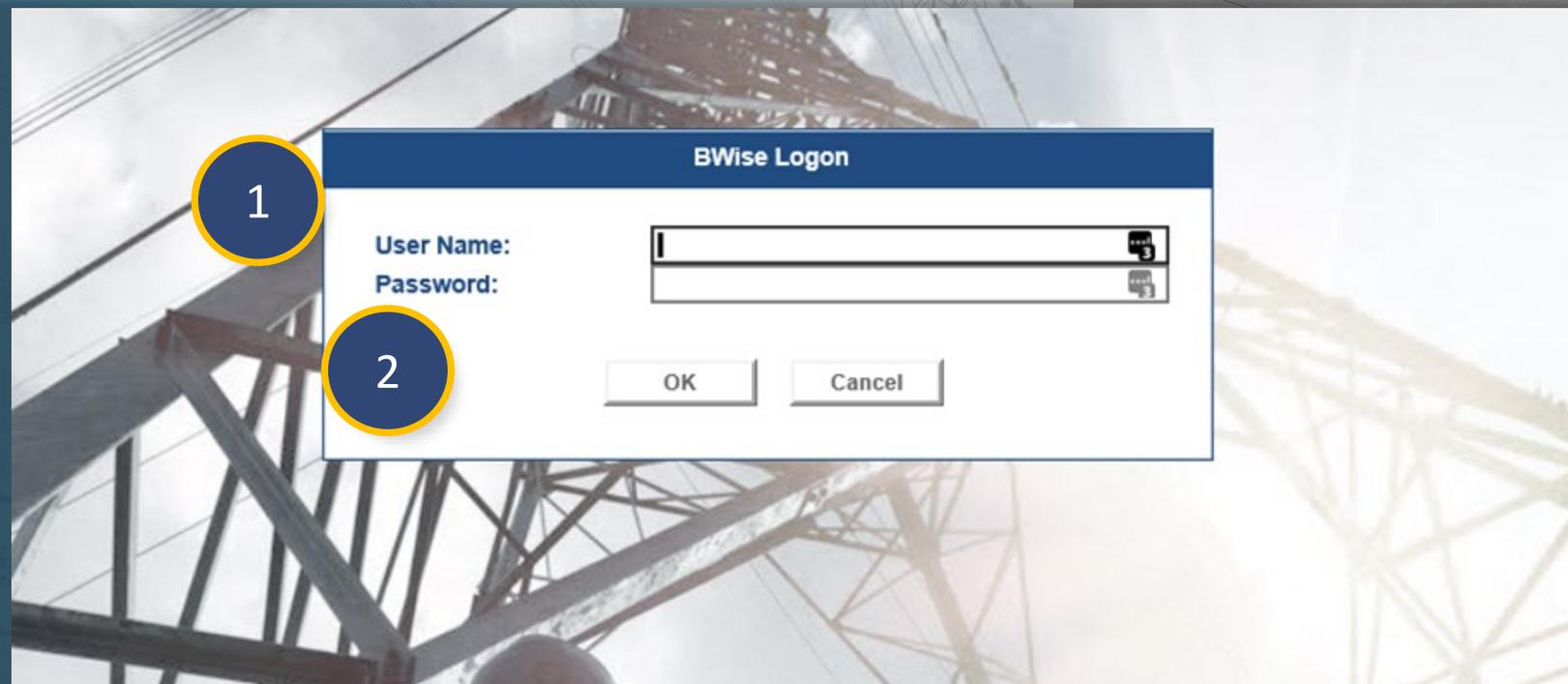
Welcome to Align Release 4.5, which introduces the IRA and COP functions. Along with the [Align instructional videos](#), this user guide will help you navigate through all the features included in this release. Click on a topic in the list below or in the ribbon above to begin.

- 1 Creating a New IRA
- 2 Sending & Reviewing Questionnaires
- 3 Completing an IRA Assessment
- 4 Reviewing & Approving IRAs
- 5 IRA CO Tab
- 6 IRA ERPQ Library
- 7 IRA RFQ Library
- 8 IRA Risk Factors
- 9 Creating a New COP
- 10 Reviewing and Approving a COP
- 11 COP CO Tab
- 12 Historical COPs
- 13 COP Risk Factors
- 14 COP Risk Elements
- 15 COP Risk Categories
- 16 COP Performance Considerations

Accessing Align

From the *Align Log-in Page*

- 1 Enter the **Align Username**
- 2 Enter the **Align Password**



Notice: All Align users MUST have an ERO Portal Account. Refer to the [CEAs Align User Access Guide](#) for details.



Creating a New IRA

To create a new IRA:

- 1 Use the dropdown to navigate to the **IRA** view.
- 2 Navigate to the appropriate Entity.
- 3 Click the **+** button in the CREATE NEW / OPEN IRA column. This creates the Open IRA option.
- 4 Then click the **Open IRA** link to open the IRA.

The screenshots illustrate the process of creating a new IRA in the ALIGN system. The first screenshot shows the user navigating to the 'IRA' view from a dropdown menu. The second screenshot shows the 'IRA STATUS' table with a '+' button in the 'CREATE NEW / OPEN IRA' column. The third screenshot shows the user clicking the '+' button, which triggers a tooltip that says 'Click to edit the IRA'.

ENTITY NAME	CO GROUP	CEA (LRE)	CREATE NEW / OPEN IRA	IRA STATUS	DUE DATE / IRA REFRESH	LATEST IRA FINALIZATION DATE
NCR9999999 - Second Game Day Friday Entity in MRO	MRO		+			
NCR989898989898 - Align Prod Integration Test in MRO	MRO		+	Initiated		
NCR55555 - Test Company 2-1 in MRO	MRO		Open IRA	Initiated		
NCR44444 - Align Integration Test 2 in MRO	MRO		+			



Creating a New IRA

5 Select an **IRA Refresh Due Date**

6 If applicable, click to expand the **Include Multiple Registrations (Optional)** section

The screenshot shows the 'IRA' configuration window for 'IR22-00265 NCR9999999 - Second Game Day Friday Entity in MRO'. The 'General' section contains the following fields:

- Registration: NCR9999999 - Second Game Day Friday Entity in MRO
- Applicable CO Group: [Empty]
- IRA Created On: November 3, 2022
- IRA Created By: MRO Editor 1
- IRA Finalized On: [Empty]
- IRA Refresh Due Date: [Calendar icon]

The 'Include Multiple Registrations (Optional)' section is highlighted with a yellow circle '6'. A calendar for November 2023 is open, showing the date '3' (November 3rd) highlighted with a yellow circle '5'.

At the bottom of the form, there are 'Update' and 'Close' buttons.



Creating a New IRA

To add another registration to the IRA:

- 7 Click the **link** icon.
- 8 Select the **checkbox** next to the appropriate entity or entities.
- 9 Click **Confirm**.

Include Multiple Registrations (Optional)

REGISTRATION ID	ENTITY NAME	COORDINATED OVERSIGHT GROUP
<input type="checkbox"/> NCR		
<input type="checkbox"/> NCR9999999	Second Game Day Friday Entity	

To remove an entity from the list:

- 10 Click the **checkbox** next to the entity or entities you want to remove.
- 11 Click the **unlink** icon.

Include Multiple Registrations (Optional)

REGISTRATION ID	ENTITY NAME
<input checked="" type="checkbox"/> NCR00006-NPCC	Calpine Corporation
<input type="checkbox"/> NCR9999999-MRO	Second Game Day Friday Entity

IRA Assessment

IRA Compliance Scope

Update **Close**



Creating a New IRA

12 Click the **IRA Compliance Scope** section to expand and review the data (this section is read-only).

13 Click the **CFR/JRO Agreements** section to expand and review the data (this section is read-only).

Notice: The **IRA Assessment** section (A) is not detailed at this step. To see how to fill out this section, refer to the [Completing an IRA Assessment](#) portion of this user guide.

The screenshot shows a web application window titled "IR22-00265 NCR9999999 - Second Game Day Friday Entity in MRO". It displays two sections: "IRA Assessment" and "IRA Compliance Scope".

The "IRA Assessment" section is marked with a yellow arrow labeled 'A'. Below it, the "IRA Compliance Scope" section is highlighted with a blue bar and a yellow circle containing the number '12'. This section contains a table with the following data:

REGION	FUNCTION	EFFECTIVE DATE	INACTIVE DATE
MRO-US	GO	03/12/2021	
MRO-US	TOP	02/12/2021	
MRO-US	BA	04/14/2021	
MRO-US	RC	11/08/2019	

Below the "IRA Compliance Scope" section, the "CFR/JRO Agreements" section is highlighted with a blue bar and a yellow circle containing the number '13'. This section contains a table with the following data:

APPLICABILITY EXCEPTION ID	SOURCE	TYPE	CFR TYPE	SCOPE	EFFECTIVE DATE	ERO NOTES

The interface includes navigation controls such as "Page 0 of 0" and "Previous Page", "Next Page" buttons.



Creating a New IRA

14 Click the **Assigned Resources** section to expand.

For each of the roles listed in this section:

15 Click the **link** icon.

16 Click the **checkbox** next to the resource(s) you want to assign to the role.

17 Click the **Confirm** button in Relate Existing.

Notice: The people assigned to the Reviewer and Approver roles are the only users that can progress an IRA to the next stage (refer to [Reviewing & Approving an IRA](#)).

14 Assigned Resources

CIP Lead

<input type="checkbox"/>	FIRST NAME	LAST NAME
This table is empty		

OP Lead

<input type="checkbox"/>	FIRST NAME	LAST NAME
This table is empty		

Reviewer

<input type="checkbox"/>	FIRST NAME	LAST NAME
This table is empty		

Relate Existing

ASSIGNED RESOURCES

<input type="checkbox"/>	NAME
<input type="checkbox"/>	MRO Editor 1
<input type="checkbox"/>	MRO Editor 2
<input type="checkbox"/>	MRO Editor 3
<input type="checkbox"/>	MRO Editor 4
<input type="checkbox"/>	MRO Editor 5
<input type="checkbox"/>	MRO Editor 6
<input type="checkbox"/>	MRO MB Regulator1
<input type="checkbox"/>	MRO MB Regulator2

Page 1 of 1

17 Confirm Close



Creating a New IRA

For any Supporting Materials to add to the IRA:

- 18 Click to expand the **Supporting Materials** section.
- 19 Click the **Attach file** button to select and add any files.
- 20 Type any additional notes into the **Comments** field.

Once you have added the initial information:

- 21 Click **Update** to save changes.

The screenshot shows a web form titled "IR22-00265 NCR9999999 - Second Game Day Friday Entity in MRO". The form has several sections: "IRA Compliance Scope", "CFR/JRO Agreements", "Assigned Resources", and "Supporting Materials". The "Supporting Materials" section is highlighted with a blue bar and a callout "18". Below this section, there are instructions: "Please upload Supporting Materials relevant to this IRA below and specify the content of the file(s) in the comments section." There is an "Attachment" section with an "Attach file" button (callout "19") and a "Comments" text area (callout "20"). At the bottom of the form, there is an "Action" section with an "Update" button (callout "21") and a "Close" button. The form ID "FORM_01_CEA_DivIIIRA" is visible at the bottom left of the form area.



Sending & Reviewing Entity Questionnaires

When you are ready to send entity questionnaires, open the relevant IRA and:

- 1 Click the **Entity Questionnaires** tab.
- 2 Click the **Create Questionnaires** link for the relevant entity.
- 3 Select a submission **Due Date**.
- 4 Click the **Update** button.

The screenshot illustrates the process of creating an entity questionnaire in four steps:

- Step 1:** The user is on the 'Entity Questionnaires' tab of the 'Inherent Risk Assessment' section for the entity 'IR22-00265 NCR999999 - Second Game Day Friday Entity in MRO'.
- Step 2:** The user clicks the 'Create Questionnaires' link under the 'REGISTRATION' section for the same entity.
- Step 3:** A calendar pop-up titled 'Select a Due Date for the Entity to Submit the Questionnaire' is shown. The 'Due Date' field is set to 11/03/2022, and the calendar for January 2023 is displayed with the 3rd highlighted.
- Step 4:** The user clicks the 'Update' button at the bottom of the calendar pop-up to save the due date.



Sending & Reviewing Entity Questionnaires

Once you send the entity a questionnaire, the status will change to **Requested** (A).

Once the entity has completed the questionnaire, the status will change to **CEA Review** (B).

To review an entity's submitted questionnaire:

5 Click the **Questionnaires sent to Entity** link.

To review each Risk Factor Question:

6 Click on the **View Answers** link for each Risk Factor question.

IR22-00265 NCR9999999 - Second Game Day Friday Entity in MRO

Inherent Risk Assessment | Entity Questionnaires

ENTITY RISK FACTOR AND RISK PROFILE QUESTIONNAIRES

REGISTRATION	START ASSESSMENT	IRA ID	QUESTIONNAIRE STATUS
NCR9999999 - Second Game Day Friday Entity in MRO	Questionnaires sent to Entity	IR22-00265	Requested A

IR22-00265 NCR9999999 - Second Game Day Friday Entity in MRO

Inherent Risk Assessment | Entity Questionnaires

ENTITY RISK FACTOR AND RISK PROFILE QUESTIONNAIRES

REGISTRATION	START ASSESSMENT	IRA ID	QUESTIONNAIRE STATUS
NCR9999999 - Second Game Day Friday Entity in MRO	Questionnaires sent to Entity	IR22-00265	CEA Review B

Questionnaires

RISK FACTOR QUESTIONS

SUBJECT	STATUS
UVLS Answered by NCR9999999 Second Day Training Test 2 Editor 2 View Answers	COMPLETED
Critical Transmission Answered by NCR9999999 Second Day Training Test 2 Editor 2 View Answers	COMPLETED
CIP – Monitor and Control Capability Answered by NCR9999999 Second Day Training Test 2 Editor 2 View Answers	COMPLETED
Total Generation Capacity Answered by NCR9999999 Second Day Training Test 2 Editor 2 View Answers	COMPLETED
Variable Generation Answered by NCR9999999 Second Day Training Test 2 Editor 2 View Answers	COMPLETED

Page 1 of 1



Sending & Reviewing Entity Questionnaires

7 Review the submitted answers and click **Close**.

To review the ERPQ:

8 Scroll down to the ERPQ section and click the **View Answers** link.

9 Review the ERPQ answers and click **Close** when finished.

10 To export the questionnaire, click the **'here'** link on 'Click here to export'.

Notice: The export will only pull the current version of the ERPQs. If questions and answers are needed from an IRA that was completed using a previous version of the ERPQ, use the 'View Answers' link instead of the export link.

IR22-00265 - RFQ-22-00001309 - NCR9999999 - Second Game Day Friday Entity in MRO - Critical Transmission - NCR9999...

Critical Transmission

Do you own, operate, coordinate, plan, design, or monitor the status of transmission facilities? * Yes

Is your entity's system critical to adjacent entities in that the system is used a flow through for power flow? * No

Does your entity's system include elements (owned or operated) of an IROL, Flowgate, Cranking Path, a Major Transmission Path (if in WECC), or a Generic Transmission Limit (if in Texas RE)? * No

7 **Close**

ENTITY RISK PROFILE QUESTIONNAIRE (ERPQ)

SUBJECT

BA, GO, RC, TOP

Answered by NCR9999999 Second Day Training Test 2 Editor 2 [View Answers](#)

8

Page 1 of 1

Click [here](#) to export

10

Update Close

(EQ_021) Not including control centers, if you have BES facilities with Medium Impact BES Cyber Systems (BCS), do any of those BCSs have External Routable Connectivity (ERC)? Yes

(EQ_022) Does your company use your EMS/SCADA to control any BES Cyber Assets which are not owned by your company? No

(EQ_023) Does your company use your EMS/SCADA to control any devices at BES asset locations which also have devices controlled by -----? Yes

9 **Close**



Completing an IRA Assessment

Once you have reviewed the questionnaires from the entity, you are ready to complete the IRA Assessment:

- 1 Click to open the **Inherent Risk Assessment** tab of the relevant IRA.
- 2 Click to expand the **IRA Assessment** section.
- 3 In the IRA Risk Factors sub-section, click the **+** button next to each applicable Risk Factor.
- NOTE: If Align has a previous IRA on file for the entity, the Risk Factor Rating from the previous IRA will show here instead of the + button.
- 4 Select a rating from the **Risk Factor Rating** dropdown.
- 5 Type in a **Justification** for the rating in the comments field.

Notice: Any narrative included in the Justification box will be visible to the entity in the COP.

The screenshot shows the 'IR22-00265 NCR9999999 - Second Game Day Friday Ent' interface. It is divided into two main sections: 'Inherent Risk Assessment' and 'Entity Questionnaires'. The 'Inherent Risk Assessment' section has a 'General' sub-section with fields for 'Registration', 'IRA Created On', and 'IRA Finalized On'. Below this is a toggle for 'Include Multiple Registrations (Optional)'. The 'Entity Questionnaires' section has a toggle for 'IRA Assessment' and a table of 'IRA Risk Factors'. The table has columns for 'RISK FACTOR', 'FUNCTIONS', and 'RISK FACTOR RATING'. The first row is 'Balancing Authority (BA) Coordination' with a '+' button. The second row is 'CIP - External Electronic Communication' with a '+' button. The third row is 'CIP - Impact Rating Criteria' with a '+' button. A 'Create Risk Factor Rating' modal is open, showing the 'Risk Factor' section with 'Related IRA', 'Risk', and 'Related Registration' fields. The 'Risk Factor Rating' section has a dropdown menu with options: '-- None --', High, Medium, Low, N/A - Applicability, N/A - Other, and N/A - Registration. A text field for 'Please provide a justification for the given rating' is also present.



Completing an IRA Assessment

6 Click the **Update** button to save the Risk Factor Rating.

Once you have assigned a Risk Factor Rating for each Risk Factor:

7 Scroll down to the Inherent Risk Level sub-section and select a level from the **Inherent Risk Level** dropdown.

8 Add a justification for the inherent risk level to the **Justification** text field.

Create Risk Factor Rating
✕

Risk Factor

Related IRA: IR22-00265 NCR9999999 - Second Game Day Friday Entity in MRO

Risk: Balancing Authority (BA) Coordination

Related Registration: NCR9999999 - Second Game Day Friday Entity in MRO

Risk Factor Rating Medium

Please provide a justification for the given rating

Justification

Risk Factor Criteria

High Risk Factor Criteria: Entity's BA Area ratio is more than

Medium Risk Factor Criteria: Entity's BA Area

6
Update

IR22-00265 NCR9999999 - Second Game Day Friday Entity in MRO
✕

Variable Generation	BA	Low	test
Voltage Control	TOP, TO, GOP, GO	Medium	test
Workforce Capability	BA, TOP, RC	High	test

Page 1 of 1

Inherent Risk Level

Instructions: Please specify the Inherent Risk Level here based on the assessment of Risk Factors above.

Inherent Risk Level:

Justification:

7

-- None --

Lower

Moderate

Higher

IRA Compliance Scope

Update
Close

IR22-00265 NCR9999999 - Second Game Day Friday Entity in MRO
✕

Inherent Risk Level

Instructions: Please specify the Inherent Risk Level here based on the assessment of Risk Factors above.

Inherent Risk Level:

Justification:

8



Completing an IRA Assessment

9 Scroll down the form and click to expand the **Action** section.

10 Check the **Move to In Progress** checkbox. This will change the IRA status from “Initiated” state to “In Progress.”

11 Click the **Update** button.

The screenshot shows a web form titled "IR22-00265 NCR9999999 - Second Game Day Friday Entity in MRO". The form has several sections: "Justification", "IRA Compliance Scope", "CFR/JRO Agreements", "Assigned Resources", "Supporting Materials", and "Action". The "Action" section is expanded, showing instructions: "Please select the next action step in the section to the right." There is a "Move to In Progress" checkbox which is checked. At the bottom of the form, there are "Update" and "Close" buttons.



Reviewing & Approving an IRA

Once the IRA is ready for review:

1 Navigate to the appropriate Entity and click **Open IRA**.

2 Check the **Move to CEA Review** checkbox.

3 Click the **Update** button.

Notice: To cancel an IRA, check the Move to Cancel (A) checkbox and click the Update button. This can only be done after the IRA has been moved from an "Initiated" state to "In Progress" (as shown on the previous slide).

The screenshot shows the 'IRA STATUS' table with the following data:

ENTITY NAME	CO GROUP	CEA (LRE)	CREATE NEW/ OPEN IRA	IRA STATUS	DUE DATE IRA REFRESH	LATEST IRA FINALIZATION DATE
NCR9999999 - Second Game Day Friday Entity in MRO		MRO	Open IRA	In Progress	11/03/2023	
NCR989898989898 - Align Prod Integration Test in MRO		MRO	+			
NCR55555 - Test Company 2-1 in MR						
NCR44444 - Align Integration Test 2 in						
NCR12105 - Dakota Range III, LLC in						
NCR12102 - Sundance Wind Project,						
NCR12101 - Invenergy Services-Sund						
NCR12100 - Shaokatan Hills, LLC in M						
NCR12099 - Lakota Ridge, LLC in MR						
NCR12094 - Wapello Solar LLC in MR						

The detailed view for 'IR22-00265 NCR9999999 - Second Game Day Friday Entity in MRO' shows the following sections:

- IRA Compliance Scope
- CFR/JRO Agreements
- Assigned Resources
- Supporting Materials

The 'Action' section contains the following instructions and options:

Instructions: Please select the next action step in the section to the right.

Move to CEA Review
 Move to Cancel (A)

At the bottom of the modal, there are 'Update' and 'Close' buttons.



Reviewing & Approving an IRA

The people designated as ‘Reviewer’ in the Assigned Resources (A) section are the only users who can move the IRA to the next stage (as shown below).

Once the ‘Reviewer’ has reviewed the IRA and is ready to recommend it for approval:

- 4 Navigate to the appropriate Entity and click **Open IRA**.
- 5 Click to expand the **Action** section.
- 6 Check the **Move to CEA Approval** checkbox.
- 7 Click the **Update** button.

The screenshot shows the 'IRA STATUS' table and a detailed view of an IRA. The table lists various entities with columns for Entity Name, CO Group, CEA (LRE), Create New/Open IRA, IRA Status, Due Date, and Latest IRA Finalization Date. A callout '4' points to the 'Open IRA' button in the table. The detailed view shows sections for Justification, IRA Compliance Scope, CFR/JRO Agreements, Assigned Resources (with a callout 'A' pointing to the Reviewer field), Supporting Materials, and Action. In the Action section, a callout '5' points to the section header and a callout '6' points to the 'Move to CEA Approval' checkbox, which is checked. At the bottom, a callout '7' points to the 'Update' button.



Reviewing & Approving an IRA

The people designated as 'Approver' in the Assigned Resources section of the IRA are the only users who can move the IRA to the next stage.

Once the 'Approver' has reviewed the IRA and is ready to mark it as Completed (thus indicating approval):

- 8 Navigate to the appropriate Entity and click **Open IRA**.
- 9 Click to expand the **Action** section.
- 10 Check the **Move to Complete** checkbox.
- 11 Click the **Update** button.

ENTITY NAME	CO GROUP	CEA (LRE)	CREATE NEW/ OPEN IRA	IRA STATUS	DUE DATE IRA REFRESH
NCR9999999 - Second Game Day Friday Entity in MRO	MRO	MRO	Open IRA	CEA Approval	11/03/2023
NCR989898989898 - Align Prod Integration Test in MRO	MRO	MRO	+		

Assigned Resources

Supporting Materials

Action

Instructions: Please select the next action step in the section to the right.

Move to Complete

FORM BY: CEA

Update Close

ENTITY NAME	CO GROUP	CEA (LRE)	CREATE NEW/ OPEN IRA	IRA STATUS	DUE DATE IRA REFRESH
NCR9999999 - Second Game Day Friday Entity in MRO	MRO	MRO	View IRA +	Complete	11/03/2023
NCR989898989898 - Align Prod Integration Test in MRO	MRO	MRO	+		
NCR55555 - Test Company 2-1 in MRO	MRO	MRO	Open IRA	Initiated	

Once the IRA is in a status of Complete, the option to open and edit the IRA will no longer be available. At this point, users can View IRA or create a new IRA with the + button (A).



IRA CO Tab

The IRA CO tab functions similarly to the IRA tab, except this is where you will go to create IRAs for groups in Coordinated Oversight (CO).

1 Navigate to the appropriate CO Group and click **Open IRA**. You have the same options to create, open or view CO IRAs as you do in the IRA tab.

The **General** information for the CO IRA differs slightly from single-entity IRA to reflect the registrations within the CO group (A).

The other difference is the Entity Questionnaires tab includes separate **Create Questionnaires** links for each entity registration (B).

The screenshot displays the IRA CO Tab interface. At the top, there is a navigation bar with tabs for IRA, IRA CO, ERPQ Library, RFQ Library, and Risk Factors. Below this is a list of CO groups with columns for CO GROUP NAME and actions like CREATE NEW / OPEN IRA, View IRA, and Open IRA. A yellow circle with the number '1' highlights the 'Open IRA' link for the 'CO Group No. 32 - MISO-RSG' group.

The detailed view for 'IR22-00266 CO Group No. 33 - Montana-Dakota' is shown below. It has two tabs: 'Inherent Risk Assessment' and 'Entity Questionnaires'. The 'General' section includes fields for 'IRA Created On' (November 3, 2022), 'IRA Created By' (MRO Editor 1), 'IRA Refresh Due Date', and 'IRA Finalized On'. A yellow arrow labeled 'A' points to the 'Registrations' field, which lists 'NCR01015 - Montana-Dakota Utilities Company in WECC; NCR01015 - Montana-Dakota Utilities Company in MRO'.

The 'Entity Questionnaires' tab is also shown, featuring a section for 'ENTITY RISK FACTOR AND RISK PROFILE QUESTIONNAIRES'. It contains a table with columns for 'REGISTRATION' and 'START ASSESSMENT'. Two rows are visible, both for 'NCR01015 - Montana-Dakota Utilities Company in WECC'. A yellow arrow labeled 'B' points to the 'Create Questionnaires' link in the 'START ASSESSMENT' column for the first row.



IRA ERPQ Library

The Entity Risk Profile Questionnaire (ERPQ) Library tab is for reference only.

To access the information here:

1 Click the **ERPQ Library** tab.

2 Click a **question number** highlighted in blue to see more detail.

You can view the questions included in the questionnaire you selected in Align or you can download them (A) to an Excel workbook.

When you are done reviewing:

3 Click the **Close** button.

QUESTIONNAIRE NAME	QUESTIONS	ASSESSMENT
ERPQ Standard Template	Questions 174	ERPQ Questionnaire
ERPQ WECC	Questions 64	ERPQ Questionnaire
ERPQ NPCC	Questions 65	ERPQ Questionnaire
ERPQ RF	Questions 59	ERPQ Questionnaire
ERPQ SERC		
ERPQ TexasRE		
ERPQ MRO		

QUESTION ID	QUESTION	TYPE	MANDATORY
cc001	(cc001) What is the entity's workforce capability status?	Text Line	false
cc002	(cc002) Do you own or have an agent that owns primary Control Centers, back-up Control Centers, local transmission Control Centers, or intermediate Control Centers for BA and Local BA for both system operations, generator or and transmission operations that are associated with BES facilities?	Enumeration	false
cc003	(cc003) Local BA for both system operations, generator or and transmission operations that are associated with BES facilities?	Enumeration	false
cc004	(cc004) List all other regional dispatch centers or control centers that have any operational, functional, and or jurisdictional control over BES assets and describe the relationship between these control centers and the primary/back-up control center(s).	Text	false



IRA Risk Factor Question (RFQ) Library

The RFQ Library tab is for reference only. To access the information here:

- 1 Click the **RFQ Library** tab.
- 2 Click a **question number** highlighted in blue to see more detail.
- 3 Click the **Close** button when you are done reviewing.

The screenshot shows the IRA RFQ Library interface. The 'RFQ Library' tab is selected and highlighted with a yellow circle '1'. The table below lists various questionnaires and their associated risk factors. The 'CIP - Impact Rating Criteria' row has a blue '1' in its 'Questions' column, which is circled with a yellow circle '2'. A modal window titled 'CIP - Impact Rating Criteria' is open, showing a table of related questions. The 'Close' button in the bottom right corner of the modal is circled with a yellow circle '3'.

QUESTIONNAIRE NAME	QUESTIONS	RISK FACTOR(S)	FUNCTION(S)	ASSESSMENT TYPE
Balancing Authority Coordination	Questions 1	△ Balancing Authority (BA) Coordination	BA	ERP Questionnaire
CIP - External Electronic Communication	Questions 1	△ CIP - External Electronic Communication	BA, DP, GO, GOP, RC, TO, TOP	ERP Questionnaire
CIP - Impact Rating Criteria	Questions 6	△ CIP - Impact Rating Criteria	BA, DP, GO, GOP, RC, TO, TOP	ERP Questionnaire

QUESTION ID	QUESTION	TYPE	MANDATORY
CIP_Q1A	Does your entity own any high impact BES Cyber Systems (BCS)?	Enumeration	true
CIP_Q2A	What are the total number of high impact BES Cyber Systems (BCS) that your entity is responsible for operating, monitoring, or maintaining?	Number	true
CIP_Q1B	Does your entity own any medium impact BES Cyber Systems (BCS)?	Enumeration	true
CIP_Q2B	What are the total number of medium impact BES Cyber Systems (BCS) that your entity is responsible for operating, monitoring, or maintaining?	Number	true
CIP_Q1C	Does your entity own any low impact BES Cyber Systems (BCS)?	Enumeration	true

IRA Risk Factors

The Risk Factors tab is for reference only. To access the information here:

- 1 Click the **Risk Factors** tab.
- 2 Click on the **name** of the risk factor you want review.
- 3 Click through the tabs (Overview, Standards & Requirements, Related Functions, and Related CEA) within the Risk Factor form to explore its details.
- 4 Click the **Close** button.

Notice: The Risk Factors tab includes a filtering function (A) and warning icons (B). You can hover over the icons to see the warning, but NERC will need to intervene to correct any issues.

The screenshot shows the IRA Risk Factors interface. Callout 1 points to the 'Risk Factors' tab in the top navigation bar. Callout 2 points to the 'Balancing Authority (BA) Coordination' entry in a table. Callout 3 points to the 'Overview' tab in the detail view for 'Balancing Authority (BA) Coordination'. Callout 4 points to the 'Close' button in the bottom right corner of the detail view. Callout A points to the 'Select Function' dropdown menu, and callout B points to a warning icon (a triangle with an exclamation mark) next to the 'Balancing Authority (BA) Coordination' entry in the table.

NAME	RISK FACTOR LANGUAGE	CEA	FUNCTIONS
⚠ Balancing Authority (BA) Coordination			⊞ BA
⚠ CIP - External Elec Communication			⊞ BA, DP, GO, GOP, RC, TO, TOP
⚠ CIP - Impact Rating Criteria			⊞ BA, DP, GO, GOP, RC, TO, TOP

⚠ Balancing Authority (BA) Coordination

OVERVIEW | STANDARDS AND REQUIREMENTS | RELATED FUNCTIONS | RELATED CEA

Name * Balancing Authority (BA) Coordination

Risk Factor Status * Active

Risk Factor Language -

Risk Factor Criteria

High Risk Factor Criteria Entity's BA Area has greater than 10,000 MW of generation capacity - or - Entity's BA Area has greater than 5,000 MW of generation capacity and its Generation to Peak Load ratio is more than 1.2

Medium Risk Factor Criteria Entity's BA Area has between 5,000 - 10,000 MW of generation capacity

Close



Creating a New COP

To create a new Compliance Oversight Plan (COP):

- 1 Use the dropdown to navigate to the **COP** view.

The screenshot shows the 'My Align' dashboard interface. A navigation menu is open on the left side, listing various options: My Align, Scheduling, IRA, COP, Findings, Internal Control Assessments, Periodic Data Submittals, Self Certifications, Self Cert Administration, and Audits and Spot Checks. The 'COP' option is highlighted with a blue bar and a yellow circle containing the number '1'. The main dashboard area contains a welcome message, a 'NEWS AND UPDATES' section, and a 'CURRENT ACTIVITY' section with a horizontal bar chart.

Activity	Count
PNCs in Review	60
MPs/MAs in Verification	5
MPs/MAs in Review	12
MPs in NERC Review	5
EAs in Processing	40



Creating a New COP

- 2 Navigate to the appropriate Entity.
- 3 Click the + button in the CREATE NEW / OPEN COP column.
- 3 Then click the **Open COP** link. This will open the new COP to the General tab [A] where you can review basic information, such as the Registrations assigned to this COP, the CEA, the COP Status, etc.

The screenshot shows the 'COP STATUS' table with the following data:

ENTITY NAME	CO GROUP	CEA (LRE)	CREATE / EDIT COP	COP STATUS	MONITORING INTERVAL	LATEST COP FINALIZATION DATE
NCR9999999 - Second Game Day Friday Entity in MRO	MRO		View COP +	Complete	Every 3-5 years	11/04/2022
NCR9999999 - Second Game Day Friday Entity in MRO	MRO		Open COP View COP	Initiated	Every 3-5 years	
NCR98989898989898 - Align Prod Integration Test in MRO	MRO		+			
NCR55555 - Test Cor						
NCR44444 - Align						
NCR12105 - Dak						

The detailed view for 'COP22-00090 NCR9999999 - Second Game Day Friday Entity in MRO' is shown below:

General

Registration(s)	NCR9999999 - Second Game Day Friday Entity in MRO	CO Group	
Compliance Enforcement Authority	MRO	COP Status	Initiated
COP Created On	November 4, 2022	COP Created By	MRO Editor 1
Approval Date			

Additional sections include 'Include Multiple Registrations (Optional)' and 'Assigned Resources'.



Creating a New COP

4 Click the **Include Multiple Registrations (Optional)** section.

To add another registration to the COP:

5 Click the **link** icon.

6 Select the **checkbox** next to the appropriate entity or entities.

7 Click **Confirm**.

To remove an entity from the list:

8 Click the **checkbox** next to the entity or entities you want to remove.

9 Click the **unlink** icon.

The screenshot shows the 'Include Multiple Registrations (Optional)' dialog box. It contains a table with columns for 'REGISTRATION ID', 'ENTITY NAME', and 'COORDINATED OVERSIGHT GROUP'. Two rows are visible: 'NCR9999999-MRO' (Second Game Day Friday Entity) and 'NCR00102' (Basin Electric Power Cooperative). A 'link' icon is on the left. A 'Relate Existing' modal is open, showing a list of existing entities with checkboxes. The 'NCR00102' entry is selected. A 'Confirm' button is at the bottom right of the modal.

The screenshot shows the 'Include Multiple Registrations (Optional)' dialog box. The 'NCR00102-MRO' entry is now checked. An 'unlink' icon is on the left. A 'Unrelate selected elements' modal is open, showing the selected entry. An 'Update' button is at the bottom right of the dialog box.

Creating a New COP

10 Click the **Assigned Resources** section to expand.

For each of the roles listed in this section:

11 Click the **link** icon.

12 Check the **checkbox** next to the resource(s) you want to assign to the role.

13 Click the **Confirm** button.

Notice: A Reviewer must be added to allow that user to edit the 'Reviewer Comments and Approval' section of the General tab.

A Final Approver must be added to allow the COP to be moved to CEA Approval.

The screenshot shows a web interface for creating a COP. The title bar reads "COP22-00090 NCR9999999 - Second Game Day Friday Entity in MRO". Below the title bar is a section titled "Include Multiple Registrations (Optional)". Underneath is the "Assigned Resources" section, which is expanded. It contains four role-based tables: "CIP Lead", "Reviewer", "OP Lead", and "Final Approver". Each table has columns for "FIRST NAME" and "LAST NAME" and currently displays "This table is empty". Callout 10 points to the "Assigned Resources" header. Callout 11 points to a link icon on the left of the "CIP Lead" table. Callout 12 points to a checkbox next to "MRO Editor 3" in a "Relate Existing" modal window. Callout 13 points to the "Confirm" button at the bottom of the modal. The modal also shows "MRO Editor 6" with an unchecked checkbox. At the bottom of the modal are "Page 1 of 1" and "Confirm" and "Close" buttons.



Creating a New COP

14 Click to expand the **Related IRA** section.

15 Click the **link** button.

16 Check the **checkbox** next to the most recent IRA.

17 Click the **Confirm** button to relate the chosen IRA to the COP.

14

15

16

17

NAME	REGISTRATION	IRA STATUS	IRA CREATED ON
<input type="checkbox"/>			
Relate Existing			
SELECT RELATED IRA			
IRA ID	REGISTRATION	STATUS	CREATED ON
<input type="checkbox"/>	IR22-00265	NCR9999999 - Second Game Day Friday Entity in MRO	Complete
<input type="checkbox"/>	IR22-00267	NCR9999999 - Second Game Day Friday Entity in MRO	In Progress 🟡

Page 1 of 1

Confirm **Close**

COP22-00090 NCR9999999 - Second Game Day Friday Entity in MRO

Related IRA

NAME	REGISTRATION	IRA STATUS	IRA CREATED ON
<input type="checkbox"/>	IR22-00265	NCR9999999 - Second Game Day Friday Entity in MRO	Complete



Creating a New COP

- 18 Click to expand the **Related ICA** section.
- 19 Click the link button to relate an existing ICA or click the **+** button to create a new ICA.
- 20 Fill in the ICA form (A) and click the **Update** button on the Internal Controls Assessment window when finished.
- 21 Click the **Update** button.

COP22-00090 NCR9999999 - Second Game Day Friday Entity in MRO

Related IRA

Related ICA **18**

<input type="checkbox"/>	NAME	RISK CATEGORY	PRACTICES AND CONTROLS AS...	CREATED ON	MODIFIED ON
This table is empty.					

Internal Controls Assessment

General Information

Name <Value will be generated>

A Risk Category

and Operational Concerns

Process

Registered Entity Responses

Control Objective

20 Update Close

Actions

Instructions Please select the next action step in the section to the right. Please note that if no check box appears, this might mean that you do not have the required access rights to move the COP to the next step. Only Final Approvers can move COP to CEA Approval status.

Click here to open [COP Report](#)

FORM BY_CEA_EARCO

21 Update Close



New COP: Risk Categories

To select the Risk Categories for a COP, open the relevant COP and:

- 1 Click the **Risk Categories** tab.
- 2 Then click the **+** button to set a new priority or click a number to edit.
- 3 Select a **Priority** number from the Priority dropdown.
- 4 Click the **Include in COP Report** checkbox to include on the COP report and to add its Risk Category information to Applicable Standards and Requirements table.
- 5 Type a justification for your priority in the **Justification** text box (viewable to the entity)
- 6 Click the **Update** button.
- 7 Click the **Update** button.

Notice: Any narrative in the Justification box will be visible to the entity.

The screenshot shows the 'Risk Categories' tab in a web application. A table lists risk categories with columns for 'RISK CATEGORY', 'PRIORITY', 'INCLUDE IN COP', and 'RISK CATEGORY LANGUAGE'. A modal window titled 'Create COP Risk Category Prioritization' is open, showing details for a specific risk category and a 'Risk Category Prioritization' section with a priority dropdown, an 'Include in COP Report?' checkbox, and a 'Justification' text area. A sub-modal is also visible at the bottom right, showing a list of categories with '+' buttons and 'Update'/'Close' buttons.



New COP: Performance Considerations

To select the Performance Considerations for a COP, open the relevant COP and:

- 1 Click the **Performance Considerations** tab.
- 2 Then click the **+** button to set a new priority or click Edit Scoring to modify.
- 3 Select a rating from the **Performance Rating** dropdown.
- 4 Type a justification for your rating in the **Justification** text box.
- 5 Click the **Update** button.

The screenshot shows the 'Performance Considerations' tab selected in the top navigation bar. Below the navigation bar, there is a table with columns: PERFORMANCE CONSIDERATION, SCORE / EDIT PERFORMANCE CONSIDERATION, PERFORMANCE RATING, and SCORE JUSTIFICATION. A '+' button is visible next to the 'Affiliates' row. A modal window titled 'Create Performance Consideration Scoring' is open, showing details for a 'Performance Consideration' related to 'COP22-00090 NCR999999 - Second Game Day Friday Entity in MRO'. The modal includes a 'Performance Rating' dropdown menu (highlighted with callout 3) and a text box for 'Please provide a justification for the given scoring' (highlighted with callout 4). At the bottom of the modal, there are 'Update' and 'Close' buttons (highlighted with callout 5).

Notice: Any narrative included in the Score Justification box will be visible to the entity in Appendix A of the Compliance Oversight Plan.



New COP: Performance Considerations

6 Select an **Overall Positive Performance Decision** from the dropdown.

7 Type a justification for your decision into the **Justification** textbox.

8 Click the **Update** button to save the COP.

COP22-00090 NCR9999999 - Second Game Day Friday Entity in MRO

Misoperations +

System Events +

Page 1 of 1

Overall COP Positive Performance Decision

Overall COP Positive Performance Decision: With Demonstrated Positive Performance (6)

Please provide a justification for the given Overall COP Positive Performance Decision

7

Internal Controls (Placeholder)

FORM 01_CEA_EaRCOP

8 Update Close

Notice: Any narrative in the Overall COP Positive Performance Decision boxes will be visible to the entity.



New COP: Oversight Strategy

To select the Oversight Strategy for a COP, open the relevant COP and:

- 1 Click the **Oversight Strategy** tab.
- 2 Select an **Oversight Strategy Category** from the dropdown.

COP22-00090 NCR9999999 - Second Generation
Friday Entity in MRO
✕

General
Risk Categories
Performance Considerations
1
Oversight Strategy
Performance Standards and Requirements
Supporting Documentation
COP History

Select Oversight Strategy

Oversight Strategy Category Category 3

-- None --

Category 1

Category 2

Category 3 2

Category 4

Category 5

Category 6

Please update the form after selecting an oversight strategy from the dropdown on the left, to see this change being reflected in the table below.

SELECTED	CATEGORY	DESCRIPTION	TARGET MONITORING INTERVAL	PRIMARY CMEP TOOLS
	1	Represented positive performance	Every 1-3 years	Compliance Audit (on/off-site), Self-Certification, Spot Check
	2	Represented positive performance	Every 2-4 years	Compliance Audit (on/off-site), Self-Certification, Spot Check
✔	3	Represented positive performance	Every 3-5 years	Compliance Audit (on/off-site), Self-Certification, Spot Check
	4	Represents an entity that has moderate inherent risk with demonstrated positive performance considerations.	Every 4-6 years	Compliance Audit (off-site), Self-Certification, Spot Check
	5	Represents an entity that has lower inherent risk without demonstrated positive performance considerations.	Every 5-7 years	Compliance Audit (off-site), Self-Certification, Spot Check
	6	Represents an entity that has lower inherent risk with demonstrated positive performance considerations.	Every 6+ years	Compliance Audit (off-site), Self-Certification, Spot Check

Update
Close



New COP: Oversight Strategy

- 3 Type in a **COP Report Narrative**
- 4 Type in an **Oversight Strategy Comment.**
- 5 Click the **Update** button.

Narrative and Comment

COP Report Narrative

3

Oversight Strategy Comment

4

FORM: 01_CEA_EIRSCOP

5

Update Close

Notice: Any narrative in the COP Report Narrative box will be visible to the entity.



New COP: Applicable Standards & Requirements

To view the Applicable Standards and Requirements for a COP, open the relevant COP and:

- 1 Click the **Applicable Standards and Requirements** tab.
- 2 Click the **+** button to retrieve the standards and requirements.
- 3 Once the NOTE in red (A) is visible, click the **Refresh** button to populate the standards and requirements into the form.

You have the option to edit the applicable requirements list (B), if needed. After making a change, click refresh (3) to update the list.

- 4 Click the **Update** button.

COP22-00090 NCR9999999 - **1** e Day Friday Entity in MRO

General Risk Categories Performance Considerations Oversight Strategy **Applicable Standards and Requirements** Supporting Documentation COP History

Applicable Standards and Requirements

COP22-00090 NCR9999999 - Second Game Day Friday Entity in MRO

General Risk Categories Performance Considerations Oversight Strategy **Applicable Standards and Requirements** Supporting Documentation COP History

Applicable Standards and R

COP22-00090 NCR9999999 - Second Game Day Friday Entity in MRO

General Risk Categories Performance Considerations Oversight Strategy **Applicable Standards and Requirements** Support

Applicable Standards and Requirements

REQUIREMENT EFFECTIVE DATE INACTIVE DATE RISK FACTORS RISK CATEGORY

BAL-001-2 R1.	07/01/2016		Balancing Authority (BA) Coordination (Medium) IR Level-	
BAL-001-2 R2.	07/01/2016		Balancing Authority (BA) Coordination (Medium) IR Level-	
BAL-002-3 R1.	04/01/2019		Balancing Authority (BA) Coordination (Medium) IR Level-	
BAL-002-3 R2.	04/01/2019		Balancing Authority (BA) Coordination (Medium) IR Level-	
BAL-002-3 R3.	04/01/2019		Balancing Authority (BA) Coordination (Medium) IR Level-	
BAL-003-2 R1.	10/01/2020		Balancing Authority (BA) Coordination (Medium) IR Level-	
			Balancing Authority (BA)	

Page 0 of 0

3 Update Close

4 Update Close



New COP: Supporting Documentation & COP History

To add any Supporting Documentation or view the COP History, open the relevant COP and:

- 1 Click the **Supporting Documentation** tab.
- 2 Click the **Attach file** button to upload any supporting files.
- 3 Type any comments into the **Supporting Documentation Comments** textbox.
- 4 Click the **COP History** tab.
- 5 Click the **name** of a historical COP to view its details.
- 6 Click the **Update** button.

COP22-00090 NCR9999999 - Second Game Day Friday Entity in MRO

General Risk Categories Performance Considerations Oversight Strategy Applicable Standards and Requirements Supporting Documentation COP History

Instructions Please upload Supporting Materials relevant to this COP below and specify the content of the file(s) in the comments section.

Supporting Documentation **Attach file**

Supporting Documentation Comments

FORM 01_CEA_EditCOP

COP22-00090 NCR9999999 - Second Game Day Friday Entity in MRO

General Risk Categories Performance Considerations Oversight Strategy Applicable Standards and Requirements Supporting Documentation COP History

COP History

COP NAME	MONITORING INTERVAL	FINALIZED DATE
COP22-00089	Every 3-5 years	11/04/2022

Update **Close**



Reviewing & Approving a COP

Once the Compliance Oversight Plan is ready for review:

- 1 Navigate to the appropriate entity and click **Open COP**.
- 2 Scroll down on the **General** tab.
- 3 Click to expand the **Assigned Resources** section.
- 4 Ensure a **Reviewer** and a **Final Approver** are linked.

The screenshot shows the 'COP STATUS' table and the 'Assigned Resources' section. Callout 1 points to the 'COP +' button in the table. Callout 2 points to the 'General' tab. Callout 3 points to the 'Assigned Resources' section header. Callout 4 points to the 'Reviewer' table.

ENTITY NAME	CO GROUP	CEA (LRE)	CREATE / EDIT	COP STATUS	MONITORING INTERVAL	LATEST COP FINALIZATION DATE
NCR9999999 - Second Game Day Friday Entity in MRO	MRO	MRO	COP +	Complete	Every 3-5 years	11/04/2022
NCR98989898989898 - Align Prod Integration Test in MRO	MRO	MRO	+			
NCR55555 - Test Company 2-1 in MRO	MRO	MRO	+			

Assigned Resources

CIP Lead

FIRST NAME	LAST NAME
This table is empty	

Reviewer

FIRST NAME	LAST NAME
This table is empty	

OP Lead

FIRST NAME	LAST NAME
This table is empty	

Final Approver

FIRST NAME	LAST NAME
This table is empty	

Buttons: Update, Close

Reviewing & Approving a COP

- 5 Click to expand the **Actions** section.
- 6 Check the **Move to CEA Review** checkbox.
- 7 Click the **Update** button.

COP22-00090 NCR9999999 - Second Game Day Friday Entity in MRO

General Risk Categories **5** **Actions** Performance Considerations Oversight Strategy Applicable Standards and Requirements Supporting Documentation COP History

5 **Actions**

6 **Move to CEA Review** ✓

Instructions Please select the next action step in the section to the right. Please note that if no check box appears, this might mean that you do not have the required access rights to move the COP to the next step. Only Final Approvers can move COP to CEA Approval status.

Click here to open [COP Report](#)

FORM: 01_CEA_EditCOP

7 **Update** Close



Reviewing & Approving a COP

Once the COP review is complete, the people designated as Reviewer(s) selected in the Assigned Resources section need to:

- 8 Navigate to the appropriate entity and click **Open COP**.
- 9 Navigate to the **General** tab.
- 10 Click to expand the **Reviewer Comments and Approval** section.
- 11 Click the **+** button.

8

Align for Regions

MRO Editor 1

COP COP CO Historical COPs Risk Factors Risk Elements Risk Categories Performance Considerations

COP STATUS

ENTITY NAME	CO GROUP	CEA (LRE)	CREATE / EDIT COP	COP STATUS	MONITORING INTERVAL	LATEST COP FINALIZATION DATE
NCR9999999 - Second Game Day Friday Entity in MRO	MRO	MRO	View COP +	Complete	Every 3-5 years	11/04/2022
NCR989898989898 - Align Prod Integration Test in MRO	MRO	MRO	+			
NCR55555 - Test Company 2-1 in MRO	MRO	MRO	+			
NCR44444 - Align Integration Test 2 in MRO	MRO	MRO	+			
NCR12105 - Dakota Range III, LLC in MRO	MRO	MRO	+			

9

COP22-00090 NCR9999999 - Second Game Day Friday Entity in MRO

General Risk Categories Performance Considerations Oversight Strategy Applicable Standards and Requirements Supporting Documentation COP History

General

10

Reviewer Comments and Approval

REVIEWER	READY FOR APPROVAL	REVIEWER COMMENTS
MRO Editor 3	No	+ 11



Reviewing & Approving a COP

- 12 Check the **Ready for Approval** checkbox.
- 13 Add any comments to the **Comments** textbox.
- 14 Click the **Update** button.
- 15 Click the **Update** button.

The screenshot shows a web form titled "Create COP Reviewer Approval". It includes a "Related COP" dropdown menu with the value "COP2211111111 - Second Game Day Friday Entity in MRO". Below this is a "Ready for Approval" checkbox, which is highlighted with a yellow circle and the number 12. Underneath is a large text area for "Comments", also highlighted with a yellow circle and the number 13. At the bottom of the form, there are two buttons: "Update" (highlighted with a yellow circle and the number 14) and "Close".

The screenshot shows a web form titled "Related ICA". It has a section for "Actions" with a sub-section for "Instructions". The instructions text reads: "Please select the next action step in the section to the right. Please note that if no check box appears, this might mean that you do not have the required access rights to move the COP to the next step. Only Final Approvers can move COP to CEA Approval status." To the right of the instructions, there are two buttons: "Move to CEA" and "Move to". At the bottom of the form, there are two buttons: "Update" (highlighted with a yellow circle and the number 15) and "Close".



Reviewing & Approving a COP

Once the COP is ready for approval, the people designated as Final Approver(s) in the Assigned Resources section need to:

- 16 Navigate to the appropriate Entity and click the **Open COP** link.
- 17 Click to expand the **Reviewer Comments and Approval** section.
- 18 Click the **View** link.
- 19 Read the reviewer's comments and click **Update**.
- 20 Check the **Move to CEA Approval** checkbox.
- 21 Click the **Update** button to change the COP status to CEA Approval.



Reviewing & Approving a COP

Once the COP has been reviewed and approved, the person(s) designated as Final Approver needs to:

- 22 Navigate to the appropriate Entity and click the **Open COP** link.
- 23 Click to expand the **Actions** section.
- 24 Check the **Move to Complete** checkbox.
- 25 Click the **Update** button to change the COP Status to Complete.

Notice: You can click the COP Report link (A) to open the Compliance Oversight Plan as a pdf.

Once the IRA is in a status of Complete, the option to open and edit the IRA will no longer be available. At this point, users can View COP or create a new COP with the + button (B).

The screenshot displays the 'COP' management interface. The top navigation bar includes 'COP', 'COP CO', 'Historical COPs', 'Risk Factors', 'Risk Elements', 'Risk Categories', and 'Performance Considerations'. A green banner at the top indicates 'Action succeeded'. Below this is a table with columns: ENTITY NAME, CO GROUP, CEA (LRE), CREATE / EDIT COP, and COP STATUS. The first row shows 'NCR9999999 - Second Game Day Friday Entity in MRO' with 'MRO' as the CO GROUP. A yellow circle '22' highlights the 'Open COP' link in the 'CREATE / EDIT COP' column. Below the table is an 'Actions' section with instructions: 'Please select the next action step in the section to the right. Please note that if no check box appears, this might mean that you do not have the required access rights to move the COP to the next step.' A yellow circle '23' highlights the 'Instructions' text, and a yellow circle '24' highlights the 'Move to Complete' checkbox. A yellow arrow 'A' points to a link 'Click here to open COP Report' with the text 'FORM: 02_CEA_Approval' below it. At the bottom of the actions section are 'Update' and 'Close' buttons, with a yellow circle '25' highlighting the 'Update' button. The bottom part of the screenshot shows the 'COP STATUS' table with columns: ENTITY NAME, CO GROUP, CEA (LRE), CREATE / EDIT COP, COP STATUS, MONITORING INTERVAL, and LATEST CO FINALIZATION. The first row shows 'NCR9999999 - Second Game Day Friday Entity in MRO' with 'MRO' as the CO GROUP, 'MRO' as the CEA (LRE), 'View COP +' in the 'CREATE / EDIT COP' column, 'Complete' in the 'COP STATUS' column, 'Every 3-5 years' in the 'MONITORING INTERVAL' column, and '11/04/2022' in the 'LATEST CO FINALIZATION' column. A yellow arrow 'B' points to the '+' button in the 'CREATE / EDIT COP' column.



COP CO Tab

The COP CO tab functions similarly to the COP tab, except this is where you will go to create, edit or view COPs for groups in Coordinated Oversight (CO).

- 1 Click the **COP CO** tab.
- 2 Navigate to the appropriate CO Group and click the **+** button, **Open COP** link, or **View COP** link.

Notice: You fill out the COP CO form (A) in the same manner you would complete a Compliance Oversight Plan form for an individual entity.

The screenshot displays the 'COP CO' interface. At the top, there is a navigation bar with tabs for 'COP', 'COP CO', 'Historical COPs', 'Risk Factors', 'Risk Elements', 'Risk Categories', and 'Performance Considerations'. The 'COP CO' tab is selected and highlighted with a yellow circle and the number '1'. Below this is a table titled 'COP STATUS CO GROUPS' with columns for 'CO GROUP NAME', 'LRE', 'CREATE NEW OPEN COP', 'COP STATUS', 'MONITORING INTERVAL', and 'LATEST COP FINALIZATION DATE'. The table lists several CO Groups, including 'CO Group No. 21 - NextEra'. A yellow circle and the number '2' are placed over the '+ View COP' link in the 'CREATE NEW OPEN COP' column for this group. A yellow arrow labeled 'A' points to the 'CO Group No. 21 - NextEra' row. A modal window titled 'COP22-00091 CO Group No. 21 - NextEra' is open, showing a form with tabs for 'General', 'Risk Categories', 'Performance Considerations', 'Oversight Strategy', 'Applicable Standards and Requirements', 'Supporting Documentation', and 'COP History'. The 'General' tab is active, displaying fields for 'Registrations', 'CO Group', 'COP Status', 'COP Created By', 'Lead Regional Entity (LRE)', 'COP Created On', and 'Approval Date'. The 'Registrations' field contains a list of entities: 'NCR10019 - NextEra Energy Resources, LLC in RF; NCR10019 - NextEra Energy Resources, LLC in SERC; NCR10019 - NextEra Energy Resources, LLC in TXRE; NCR10019 - NextEra Energy Resources, LLC in WECC; NCR10019 - NextEra Energy Resources, LLC in MRO; NCR10019 - NextEra Energy Resources, LLC in NPCC'. The 'CO Group' field is 'CO Group No. 21 - NextEra', 'COP Status' is 'Initiated', and 'COP Created By' is 'MRO Editor 1'. The 'Lead Regional Entity (LRE)' is 'MRO' and 'COP Created On' is 'November 4, 2022'. Below these fields are sections for 'Include Multiple Registrations (Optional)', 'Assigned Resources', 'Reviewer Comments and Approval', and 'Related IRA'. At the bottom of the modal are 'Update' and 'Close' buttons.



Historical COPs

The Historical COPs tab gives to a list of all past COPs. To open a historical COP:

1 Click the **Historical COP** tab.

2 Click on the relevant **COP Name** to open and review.

The screenshot shows the 'Historical COPs' tab selected in the application. The table below lists various COPs with their respective details.

COP NAME	REGISTRATION(S) / CO GROUP NAME	MONITORING INTERVAL	FINALIZED DATE
COP22-00013	NCR00082 - Plains End II, LLC in WECC	Every 3-5 years	07/14/2022
COP22-00014	NCR00024 - Florida Power & Light Co. in SERC	Every 4-6 years	07/15/2022
COP22-00018	CO Group No. 33 - Montana-Dakota	Every 5-7 years	07/25/2022
COP22-00022	NCR00170 - Benton County Wind Farm, LLC in RF	Every 6+ years	07/21/2022
COP22-00027	CO Group No. 33 - Montana-Dakota	Every 5-7 years	07/25/2022
COP22-00038	NCR00168 - Lakewood Cogeneration, LP in RF	Every 2-4 years	07/28/2022
COP22-00053	NCR00024 - Florida Power & Light Co. in SERC	Every 1-3 years	08/31/2022
COP22-00078	NCR00086 - Boise-Kuna Irrigation District in WECC	Every 6+ years	10/05/2022
COP22-00082	NCR00086 - Boise-Kuna Irrigation District in WECC	Every 3-5 years	10/05/2022
COP22-00083	NCR00086 - Boise-Kuna Irrigation District in WECC	Every 1-3 years	10/06/2022
COP22-00085	NCR00125 - DGC Operations, LLC in WECC	Every 1-3 years	10/06/2022
COP22-00089	NCR9999999 - Second Game Day Friday Entity in MRO	Every 3-5 years	11/04/2022



COP Risk Factors

The Risk Factors tab is for reference only.

To access the information here:

- 1 Click the **Risk Factors** tab.
- 2 Click on the **name** of the risk factor you want to review.
- 3 Click through the tabs (Overview, Standards & Requirements, Related Functions, and Related CEA) within the Risk Factor form to explore its details.
- 4 Click the **Close** button.

Notice: The Risk Factors tab includes a robust filtering function (A) and warning icons (B). You can hover over the icons to see the warning, but NERC will need to intervene to correct any issues.

The screenshot shows the 'COP' application interface. At the top, a navigation bar includes tabs for 'COP', 'COP CO', 'Historical COPs', 'Risk Factors', 'Risk Elements', 'Risk Categories', and 'Performance Considerations'. The 'Risk Factors' tab is selected and highlighted with a yellow circle '1'. Below the navigation bar, there are two dropdown menus: 'Select Function' and 'Select CEA', with a yellow arrow 'A' pointing to the 'Select Function' dropdown. The main content area displays a table of risk factors. The table has columns for 'NAME', 'RISK FACTOR LANGUAGE', 'CEA', and 'FUNCTIONS'. Three rows are visible, each with a warning icon (a triangle with an exclamation mark) next to the 'NAME' column. A yellow arrow 'B' points to the first warning icon. The first row is 'Balancing Authority (BA) Coordination', highlighted with a yellow circle '2'. Below the table, a modal window titled 'Balancing Authority (BA) Coordination' is open, highlighted with a yellow circle '3'. The modal has tabs for 'OVERVIEW', 'STANDARDS AND REQUIREMENTS', 'RELATED FUNCTIONS', and 'RELATED CEA'. The 'OVERVIEW' tab is active, showing fields for 'Name *', 'Risk Factor Status *', and 'Risk Factor Language'. Below these fields is a section titled 'Risk Factor Criteria' with two entries: 'High Risk Factor Criteria' and 'Medium Risk Factor Criteria'. A yellow circle '4' is placed over the 'Close' button in the bottom right corner of the modal.



COP Risk Elements

The Risk Elements tab is for reference only.

To access the information here:

- 1 Click the **Risk Elements** tab.
- 2 Click on the **name** of the risk element you want to review.
- 3 Click through the tabs (Overview and Related Standards & Requirements) within the Risk Element form to explore its details.
- 4 Click the **Close** button.

Notice: The data in the Risk Elements tab can be downloaded by clicking the download icon (A). You can hover over the warning icons (B) to see what the warning is, but NERC will need to intervene to correct any issues.

The screenshot shows the 'COP' interface with the 'Risk Elements' tab selected. Callout 1 points to the 'Risk Elements' tab. Callout 2 points to the 'Extreme Events' row in the table. Callout 3 points to the 'RELATED STANDARDS AND REQUIREMENTS' sub-tab. Callout 4 points to the 'Close' button. Callout A points to the download icon, and callout B points to a warning icon in the table.

NAME	RISK ELEMENT DESCRIPTION	ERO RISK?	CEA
4.5 UAT ERO TEST	description	Yes	Applicable to all regions
Extreme Events	UAT	Yes	Applicable to all regions
Gaps in Program Execution	UAT	Yes	Applicable to all regions

NAME	EFFECTIVE DATE	INEFFECTIVE DATE
CIP-008-6 R2.	January 01, 2021	
CIP-009-6 R1.	July 01, 2016	
CIP-008-6 R1.	January 01, 2021	
TOP-002-4 R4.	April 01, 2017	
CIP-009-6 R2.	July 01, 2016	



COP Risk Categories

The Risk Categories tab is for reference only.

To access the information here:

- 1 Click the **Risk Categories** tab.
- 2 Click on the **name** of the risk category you want to review.
- 3 Click through the tabs (Overview and Related Standards & Requirements) within the Risk Category form to explore its details.
- 4 Click the **Close** button.

Notice: The data in the Risk Categories tab can be downloaded by clicking the download icon (A). You will can hover over warning icons (B) to see what the warning is, but NERC will need to intervene to correct any issues.

The screenshot shows the 'COP Risk Categories' tab selected in the application. The interface includes a search bar, a table of risk categories, and a detailed view for 'Asset/System Identification'.

NAME	RISK CATEGORY LANGUAGE	STATUS
Another 4.5 test	description of something	Active
Asset/System Identification	The identification and tracking of assets and BES Facilities is required and critical to	Active
Asset/System Management and Maintenance	BPS reliability depends on an entity's success in tracking, managing and maintainin	Active
Asset/System Physical Protection	Failure to ensure physical protection of BES assets could lead to access by unautho	Active

The detailed view for 'Asset/System Identification' shows the following information:

- Name:** Asset/System Identification
- Risk Category Description:** The identification and tracking of assets and BES Facilities is required and critical to BPS reliability. Failure to correctly identify, document, and track items may result in gaps and compromise the integrity and reliability of the BPS.
- Risk Category Status:** Active



COP Performance Considerations

The Performance Considerations tab is for reference only.

To access the information here:

- 1 Click the **Performance Considerations** tab.
- 2 Click on the **name** of the risk consideration you want to review.
- 3 Click the **Close** button.

NOTICE: The data in the Performance Considerations tab can be downloaded by clicking the download icon (A). You can hover over warning icons (B) to see what the warning is, but NERC will need to intervene to correct any issues.

The screenshot shows the 'COP' application interface. At the top, a navigation bar includes tabs for 'COP', 'COP CO', 'Historical COPs', 'Risk Factors', 'Risk Elements', 'Risk Categories', and 'Performance Considerations'. The 'Performance Considerations' tab is selected and highlighted with a yellow circle labeled '1'. Below the tabs is a search bar with a download icon (A) and a refresh icon. A table lists performance considerations with columns for 'NAME' and 'PERFORMANCE CONSIDERATION LANGUAGE'. Two rows are visible: 'Affiliates' and 'Compliance History'. The 'Affiliates' row has a green warning triangle icon (B) next to it. A modal window titled 'Misoperations' is open, showing 'General Information' for a 'Misoperations' risk. The modal has a 'Close' button at the bottom right, highlighted with a yellow circle labeled '3'. A yellow circle labeled '2' is positioned over the 'Misoperations' row in the table.



Appendix: Revision History

Revision Date	Brief Description of Updates
2022	Initial release of guide
May 2024	Corrected typos Updated steps and screenshots to match recent updates in IRA and COP module

