

# Align User Guide



Welcome to Align. Along with the Align [instructional videos](#), this user guide will help you navigate through all of the features included in release 1. Click on a topic in the list below or in the ribbon above to begin.

- |   |   |
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# Accessing Align



To gain access to Align, submit a Helpdesk ticket.  
When you log your help ticket:

- 1 Select 'NERC Align Access' as the **Service**
- 2 Enter the type of access you need in the **Description** box: *Basic Access, Report Writer Access, Standards Writer Access*
- 3 Click the **Submit** button

### NERC Helpdesk Ticket Submission System

[Submit](#) \* required fields | [Home](#) | [Contact Us](#)

**Submit a new Ticket**

**Title \***  **Region \***  **Priority \***

**Service \***  **1**

**File Attachment** (If you need to send multiple files, please use a single zip file)  
 No file chosen

**Your Personal Information**

**Last Name \***  **First Name \***  **Email Address \***

**User ID**  **Phone \*** (Format: xxx-xxx-xxxx)  **Company \***

**Description**

**Description \*** (1000 characters remaining)

**2**

**3**

# Accessing Align



Once you have access to Align, navigate to the [Align login page](#) (this link is for the Training environment)

- 1 Enter your **User Name**
- 2 Enter your **Align Password**
- 3 Click the **OK** button
- 4 Click the **Align for NERC** button

NERC  
NORTH AMERICAN ELECTRIC  
RELIABILITY CORPORATION

Sign in

Username **1**

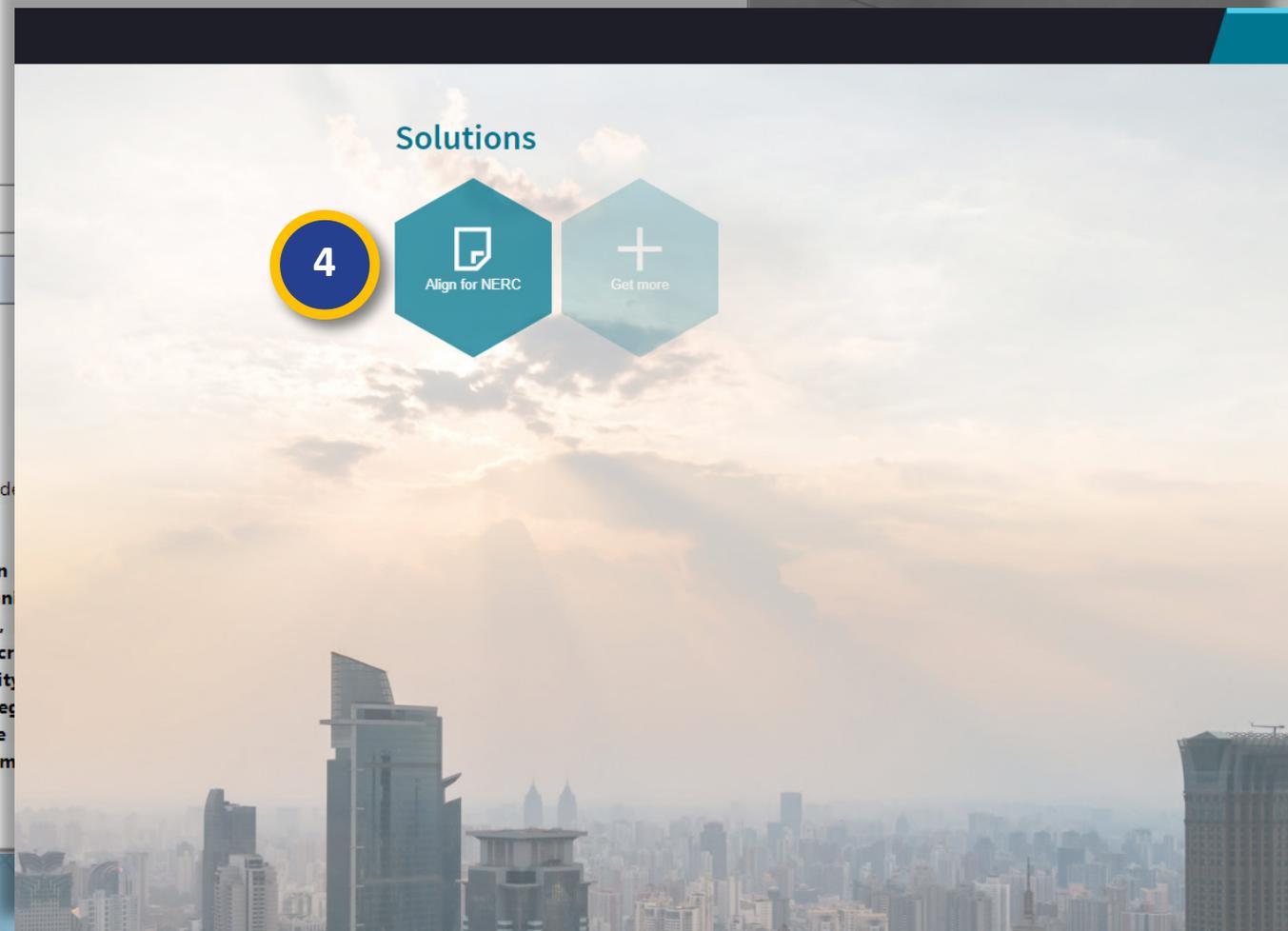
..... **2**

Keep me signed in

Sign in **3**

Forgot Password/Username? Please contact the NERC Helpdesk

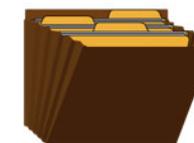
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# Align Data Flow



In addition to knowing the business process that Align supports, it's important to know the way data flows through Align. Roll over the icons to learn about each stage represented below.



Finding

Preliminary  
Screen

PNC Review

Enforcement

Disposition

Closed



# Reviewing the Dashboard

The Align dashboard is your default view. Here you can see most of your actionable items, including dispositions, mitigations and items that need to be reported to FERC in the **Items Awaiting My Review** section (a) and a quick breakdown of how many items you have in review in the **My Dashboard** section (b).

The screenshot shows the Align dashboard with the following components:

- Navigation Bar:** My Align, Dashboard and Tasks, Align for NERC, ERO 2.
- NEWS AND UPDATES:** 11/21/2019 | End to End Testing is in Progress. Thank you in advance for your hard work and diligence...
- ITEMS AWAITING MY REVIEW (Section a):** A table with columns: TYPE, UNIQUE ID, CEA, NCR, ENTITY, STANDARD AND REQ, DUE DATE, ASSIGNED TO. A yellow circle with the number '1' highlights the 'Confirmed Violation' row with Unique ID 2020-00271.
- MY DASHBOARD (Section b):** A horizontal bar chart showing counts for: SEs in NERC Review (~6), MPs in NERC Review (~10), FFTs in NERC Review (~4), and CEs in NERC Review (~8).
- Footer:** Page 1 of 1.

1 To open a item, click its **Unique ID**



# Reviewing the Dashboard (Sorting/Filtering)

You can sort or filter tables in Align by any column to locate the item you are looking for. To **sort**:

- 2 Hover over a column title and click the **dropdown arrow**
- 3 Click the **Sort Ascending** or **Sort Descending** option

To **filter**:

- 4 Hover over a column title and click the **dropdown arrow**
- 5 Select the **Filters** option
- 6 Enter part or all of the item that you are looking for
- 7 To remove the filter, click the **checkbox** next to the Filters option

The image displays two screenshots of a table titled "ITEMS AWAITING MY VIEW". The table has columns for TYPE, UNIQUE ID, CEA, NCR, and ENTITY. The first screenshot shows a dropdown menu for the "TYPE" column with options for "Sort Ascending", "Sort Descending", "Columns", and "Filters". The second screenshot shows the same table with a search filter "Mitigation" applied to the "TYPE" column, and a "Filters" option checked in the dropdown menu.

TYPE	UNIQUE ID	CEA	NCR	ENTITY
Dismissal	2020-00044			
Dismissal	2020-00102			
Dismissal	2020-00353			
Dismissal	2020-00408			
Dismissal	2020-00331			
Dismissal	2020-00300			
Dismissal	2020-00361			
Mitigation Plan		SERC	NCR01166	Alabama Power Company
Mitigation Plan		MRO	NCR9999999	Second Game Day Friday En
Mitigation Plan		NPCC	NCR00126	North Attleborough Electric D
Mitigation Plan		NPCC	NCR00124	Municipal Light Depa
Mitigation Plan		RF	NCR00780	Dominion Energy Fairless, LL
Mitigation Plan		RF	NCR00780	Dominion Energy Fairless, LL
Mitigation Plan		RF	NCR00780	Dominion Energy Fairless, LL
Mitigation Plan		RF	NCR00778	Exelon Generation Company Nuclear
Mitigation Plan		SERC	NCR00022	Florida Municipal Power Agen
Mitigation Plan		RF	NCR00778	Exelon Generation Company Nuclear



# Reviewing the Dashboard (Data Export)

Another feature that you will see on all tables is the ability to export the table data. To export:

- 8 Click the  icon
- 9 Hover over the scope of data that you want to export
- 10 Select the format of the data you want to export

The screenshot shows the ALIGN dashboard interface. At the top, there's a navigation bar with the ALIGN logo and a welcome message. Below that, a table titled 'ITEMS AWAITING MY REVIEW' is displayed. The table has columns for TYPE, UNIQUE ID, CEA, NCR, and ENTITY. A dashed blue line highlights a row in the table. An export icon (a square with a right-pointing arrow) is clicked, opening a dropdown menu. This menu has three options: 'Current page', 'All filtered data', and 'All data'. The 'All data' option is selected, which opens a second dropdown menu with three options: 'Excel xlsx', 'CSV', and 'HTML'. The 'HTML' option is highlighted. On the right side of the dashboard, there's a 'NEWS AND UPDATES' section with a bar chart showing various metrics like 'SEs in NERC Review', 'MPs in NERC Review', 'FFTs in NERC Review', and 'CEs in NERC Review'.

# Approving/Failing a Disposition



Navigate to the **Enforcement Processing** view to see all PNCs, EAs, and dispositions in the ERO.

1 Click the **dropdown arrow**

2 Select the **Enforcement Processing** view

By default, you will land on the **PNCs and Enforcement Actions** tab (a), where you can view all PNCs and EAs in the ERO.

**My Align** dropdown menu:

- My Align
- Enforcement Processing
- Mitigation Management
- FERC Reporting
- Entity Information

**Enforcement Processing** view tabs:

- PNCs and Enforcement Actions
- Dispositions Awaiting Review
- Dispositions Pending Closure
- Closed Enforcement Actions
- Filings

**ITEMS AWAITING MY REVIEW**

TYPE	UNIQUE ID	CEA	NCR
Settlement	2019-00453	RF	NCR00168
Confirmed Violation	2019-00595	WECC	NCR00086
Dismissal	2019-00694	SERC	NCR01166
Dismissal	2019-00616	SERC	NCR01166
Dismissal	2019-00739	WECC	NCR00086
Dismissal	2019-00704	RF	NCR00168
Dismissal	2019-00699	WECC	NCR00086
Dismissal	2019-00703	WECC	NCR00082
Dismissal	2019-00696	WECC	NCR00082
Dismissal	2019-00688	NPCC	NCR00124
Dismissal	2019-00695	SERC	NCR01166
Dismissal	2019-00683	WECC	NCR00086
Dismissal	2019-00671	WECC	NCR00086

**PNCs AND ENFORCEMENT ACTIONS**

TYPE	REGION OR LRE	UNIQUE ID	STATUS	NCR	ENTITY
PNC	MRO	2020-00279	Preliminary Screening	NCR99999	Test Entity
PNC	MRO	2020-00277	Preliminary Screening	NCR99999	Test Entity
EA	WECC	2020-00276 (Consolidation) 2020-00275, 2020-00278	CEA Processing	NCR00082	Plains End II, LLC
EA	WECC	2020-00274 (Consolidation) 2020-00273, 2020-00274	CEA Processing	NCR00082	Plains End II, LLC
EA	MRO	2020-00272	CEA Processing	NCR99999	Test Entity
EA	MRO	2020-00271	CEA Processing	NCR99999	Test Entity
PNC	NPCC	2020-00270	PNC Review	NCR00126	North Attleborough Electric Department
PNC	NPCC	2020-00269	PNC Review	NCR00126	North Attleborough Electric Department
EA	NPCC	2020-00267 (Consolidation) 2020-00267, 2020-00268	Settlement Pending Close	NCR00126	North Attleborough Electric Department
EA	WECC	2020-00265 (Consolidation) 2020-00265, 2020-00266	CEA Processing	NCR00086	Boise-Kuna Irrigation District
EA	WECC	2020-00263 (Consolidation) 2020-00263, 2020-00264	CEA Processing	NCR00086	Boise-Kuna Irrigation District
EA	WECC	2020-00262	CEA Processing	NCR00086	Boise-Kuna Irrigation District
EA	WECC	2020-00261	CEA Processing	NCR00086	Boise-Kuna Irrigation District
EA	WECC	2020-00260	CEA Processing	NCR00086	Boise-Kuna Irrigation District
PNC	MRO	2020-00259	Preliminary Screening	NCR99999	Test Entity
EA	WECC	2020-00258	CEA Processing	NCR00086	Boise-Kuna Irrigation District
EA	WECC	2020-00257	CEA Processing	NCR00086	Boise-Kuna Irrigation District
EA	WECC	2020-00256	CEA Processing	NCR00086	Boise-Kuna Irrigation District



# Approving/Failing a Disposition

Dispositions awaiting your review will appear on the **Dispositions Awaiting Review** tab as well as on your **My Align** dashboard.

- 3 Click on the **Dispositions Awaiting Review** tab
- 4 Click on the **Unique ID** to open a disposition
- 5 Review the information on the disposition form
- 6 Click on the **Enforcement Action IDs** to review the EAs under this disposition

The screenshot shows the 'Enforcement Processing' section with the 'Dispositions Awaiting Review' tab selected. A table lists various dispositions with columns for Type, Unique ID, and CEA. A specific disposition with Unique ID 2020-00272 is highlighted. The detailed view for this disposition shows 'General Information' including Disposition ID (20-000303), Type (Compliance Exception), and CEA Action (Submit). It also shows 'Related EAs' with columns for Original Finding, Enforcement Action ID, Applicable Requirement, Registration, and Region. A table of related EAs is shown below, with one entry highlighted. Finally, 'Related Notifications' are listed with columns for Type, Name, Sent, and Response Due.

TYPE	UNIQUE ID	CEA
Compliance	2020-00272	MRO
Confirmed Violation	2020-00271	MRO
Settlement	2020-00223	MRO
Find, Fix, Track	2020-00161	TXRE
Settlement	2020-00146	NPCC
Compliance Exception	2020-00139	MRO
Find, Fix, Track	2020-00043	WECC

ORIGINAL FINDING	ENFORCEMENT ACTION ID	APPLICABLE REQUIREMENT	REGISTRATION	REGION - JURISDICTION(S) IN W...
2020-00272	2020-00272	CIP-003-7 R1.		MRO-US
2020-00178	EA2020021800006	CIP-004-6 R1.		MRO-US

TYPE	NAME	SENT	RESPONSE DUE
Compliance Exception Letter	20-000366	03/24/2020	

Mouse over for more information



# Approving/Failing a Disposition

- 7 Review the information on the EA form
- 8 Click the **PNC IDs** to review the PNCs related to this EA
- 9 Click the **Close** button when you have completed your review of the PNC
- 10 Click the **Save** or **Close** button when you have completed your review of the EA

2020-00272-E

Region - Jurisdiction(s) in which the Potential Non-Compliance occurred: MRO-US

Date Region Closed the Violation:

**Related PNCs**

Related PNC's

PNC ID	APPLICABLE REQUIREMENT	AC
2020-00272	CIP-003-7 R1.	03

**Notes**

ERO Private Internal Notes

**Dispositions**

TYPE	DISPOSITION CREATED	CASE FILE ID	NE
Compliance Exception	03/24/2020	123	
Compliance Exception	03/24/2020	12345	

Save
Close

2020-00272-P

PNC: 2020-00272  
CEA or LRE: MRO

**General Information**

<ul style="list-style-type: none"> <li>- From Original Finding</li> <li>Monitoring Method: Self-Report</li> <li>Registration: NCR99999 - Test Entity in MRO</li> <li>Applicable Requirement: CIP-003-7 R1.</li> <li>Applicable Part(s):</li> <li>Applicable Reliability Function(s): BA, RC</li> <li>Region - Jurisdiction(s) in which the Potential Non-Compliance occurred: MRO-US</li> <li>Other Region-Jurisdictions where you are reporting this Potential Noncompliance:</li> <li>Additional Coordinated Oversight Registrations Impacted:</li> </ul>	<ul style="list-style-type: none"> <li>- Recorded on this PNC</li> <li>Actual Monitoring Method: Self-Report</li> <li>Registration: NCR99999 - Test Entity in MRO</li> <li>Coordinated Oversight: No</li> <li>Applicable Requirement: CIP-003-7 R1.</li> <li>Applicable Part(s):</li> <li>Applicable Reliability Function(s): BA, RC</li> <li>Region - Jurisdiction(s) in which the Potential Non-Compliance occurred: MRO-US</li> </ul>
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**Discovery and Description**

<ul style="list-style-type: none"> <li>- From Original Finding</li> <li>Basis for Dates: how I know</li> <li>Discovery Date: March 2, 2020</li> </ul>	<ul style="list-style-type: none"> <li>- Recorded on this PNC</li> <li>Basis for Dates: how I know</li> <li>Discovery Date: 03/02/2020</li> </ul>
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Close

# Approving/Failing a Disposition



11 Click on the notification link

12 Open the **attachment** sent to the entity to review

13 Click the **Close** button to return to the Disposition

2020-00087 | 20-000125

### Related Notifications

TYPE	NAME
Find Fix Track Letter	<a href="#">20-000087</a>

Page 1 of 1

### Notification

Type	Find Fix Track Letter	Notification ID	20-000087
From	MRO Editor 1	Respondent Comments	
Sent Date	June 29, 2020	Response	No Response
Comments		Contestation	
Attachments	<a href="#">Test.docx</a> 13.41 KB	Response Attachments	
Response Due Date	June 30, 2020	Acknowledged Date	

ERO Private Internal Notes

Attachments

SEL Reference: **MRO|NCR9999999|F2020-00087--N20-000087**

Related EAs and PNCS

TYPE	UNIQUE ID	METHOD	REQ
EA	2020-00087	Self-Report	CIP-004-6 R2.
PNC	2020-00087	Self-Report	CIP-004-6 R2.
PNC	2020-00141	Self-Report	CIP-004-6 R3.

### Settlement Information

OBLIGATION ID

20-000125 FORM: NERCViewer

### Region Drafts for CE, FFT, SNO

# Approving/Failing a Disposition



On the disposition form, scroll down to the **Settlement Information** section. In general, this section is reserved for Settlement or NOCV dispositions, but in some cases, CEAs might use this section for CEs or FFTs as well.

The screenshot displays the disposition form interface. The main form is titled "2020-00271 | 20-000304". It features a "Related Notifications" table with one entry: "Notice of Confirmed Violation" with ID "20-000367". Below this is the "Settlement Information" section, which contains a table of obligations. The table has columns for "OBLIGATION ID" and "OBLIGATION TYPE". Two obligations are listed: "20-000053-S" (Penalty) and "20-000054-S" (Non-monetary sanctions). A blue circle with the number "14" highlights the "20-000054-S" row. Below the table is a "Region Drafts for CE, FFT, SNOP, or NO" section with a "Draft Filing Attachments" area containing an "Attach file" button. At the bottom of the form are "Save and Action", "Save", and "Close" buttons. A modal window is open on the right, titled "2020-00271 | 20-000304 Obligation 20-000053-S". It shows "Obligation Type" as "Penalty" and "Obligation Details" including "Due date" (04/30/2020), "Completion Date", "Completion Verified By", and "Completion Verified Date". A blue circle with the number "15" highlights the "Obligation Type" field. Below the details is an "Attachments" section. At the bottom of the modal is a "Close" button, highlighted with a blue circle and the number "16".

14 Click the **Obligation ID** for each obligations

15 Review the obligation details

16 Click the **Close** button



# Approving/Failing a Disposition: Settlements

In the case of a Settlement disposition, you will see a few additional fields in the **Settlement Information** section for your review.

You also have access to a **Settlement Status** field that you can use to communicate with your CEAs.

- 17 Click the **Settlement Status** dropdown arrow
- 18 Select a status that you want to communicate to the CEA
- 19 Click the **Save** button to update the disposition

The screenshot shows the 'Enforcement Processing' interface. On the left, a sidebar lists 'DISPOSITIONS AWAITING REVIEW' with a table containing entries like 'Compliance Exception', 'Confirmed Violation', 'Settlement', 'Find, Fix, Track', etc. The main area displays 'Related Notifications' and 'Settlement Information'. The 'Settlement Information' section includes a 'Settlement Status' dropdown menu (highlighted with a blue circle and the number 17) currently set to 'In Drafting'. Below it, there are fields for 'Settlement Requested On', 'Settlement Execution Date', and 'Settlement Status History'. To the right, there are input fields for 'Proposed settlement amount (USD)' and 'Final settlement amount (USD)', an 'Attach file' button, and a file upload area showing 'Settlement Agreement.docx' (11.22 KB). At the bottom, a 'Save and Action' button is highlighted with a blue circle and the number 19.

# Approving/Failing a Disposition



Once you have reviewed the information on the disposition form (including EAs and PNCs), return to the top of the form to either approve or fail the disposition.

20 Click the **NERC Review** dropdown

21 Select **Approved** or **Failed**

22 Click the **Save and Action** button

2020-00272 | 20-000303

### General Information

Disposition ID	20-000303	Registration	NCR99999 - Test Entity in MRO
Type	Compliance Exception	Case File ID	12345
CEA Action	Submit	NERC NOC #	
		Violation Closed Date	
		NERC Review	-- None --

### Related EAs

	ORIGINAL FINDING	ENFORCEMENT ACTION ID	APPLICABLE REQUIREMENT	REGISTRATION	REGION - JURISDICTION(S) IN W...
<input type="checkbox"/>	2020-00272	2020-00272	CIP-003-7 R1.		MRO-US
<input type="checkbox"/>	2020-00178	EA2020021800006	CIP-004-6 R1.		MRO-US

### Related Notifications

TYPE	NAME	SENT	RESPONSE DUE
Compliance Exception Letter	<a href="#">20-000366</a>	03/24/2020	

22 **Save and Action** Save Close

21 Approved Failed



# Dispositions Pending Closure/Closed EAs

After you approve a disposition, it will move to the **Dispositions Pending Closure** tab (a). From here, you can open any record to review.

Once the CEA closes a disposition, the EAs consolidated under that disposition will move to the **Closed Enforcement Actions** tab (b). You can open any of these for review, but they are not editable at this stage.

The screenshot shows the 'Enforcement Processing' interface with two tabs highlighted by callouts 'a' and 'b'.

**Tab (a): DISPOSITIONS PENDING CLOSURE**

TYPE	UNIQUE ID	CEA	NCR	ENTITY NAME	CASE FILE ID	NERC NOC #	FILING ID	FILING TYPE
Find, Fix, Track	2020-00006	WECC						
Compliance Exception	2020-00126	RF						
Compliance Exception	2020-00125	RF						
Compliance Exception	2020-00121	RF						
Compliance Exception	2020-00107	MRO						
Compliance Exception	2020-00174	NPCC						
Find, Fix, Track	2020-00122	RF						

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**RELATED PENALTIES AND SANCTIONS**

TYPE

- Penalty
- No Penalty
- Non-monetary sanctions

Page 1 of 1

**Tab (b): CLOSED ENFORCEMENT ACTIONS**

DISPOSITION	UNIQUE ID	NCR#	ENTITY NAME
Compliance Exception	2020-00026	NCR00961	Alliant Energy - East CO Group No. 5 - Alliant
Compliance Exception	2020-00027	NCR00961	Alliant Energy - East CO Group No. 5 - Alliant
Dismissal	2020-00042	NCR00961	Alliant Energy - East CO Group No. 5 - Alliant
Dismissal	2020-00044	NCR00961	Alliant Energy - East CO Group No. 5 - Alliant
Dismissal	2020-00081	NCR00961	Alliant Energy - East CO Group No. 5 - Alliant
Dismissal	2020-00102	NCR00961	Alliant Energy - East CO Group No. 5 - Alliant
Dismissal	2020-00353	NCR00961	Alliant Energy - East CO Group No. 5 - Alliant
Compliance Exception	2020-00009	NCR00086	Boise-Kuna Irrigation District
Dismissal	2020-00154	NCR04015	Brazos Electric Power Co Op, Inc. CO Group No. 10 - Brazos
Find, Fix, Track	2020-00028	NCR00124	Ipswich Municipal Light Department
Dismissal	2020-00112	NCR00130	Neptune Regional Transmission System, LLC
Settlement	2020-00066	NCR00126	North Attleborough Electric Department
Compliance Exception	2020-00074	NCR00126	North Attleborough Electric Department
Dismissal	2020-00086	NCR00126	North Attleborough Electric Department
Compliance Exception	2020-00092	NCR00126	North Attleborough Electric Department
Compliance Exception	2020-00003	NCR00126	North Attleborough Electric Department



# Mitigations

The **Mitigation Management** view shows:

**a) Mitigations Awaiting Review**

This tab shows all Mitigation Plans that you need to approve or fail.

**b) Active Mitigations**

You can review Active mitigations for information, but there is no action for you to take during this stage.

**c) Completed Mitigations**

Completed mitigation are stored here for your review but are uneditbale.

**d) Consolidations**

Go [here](#) for a description.

**e) All Mitigations**

Use this tab to search for mitigations in any stage of the mitigation life cycle.

REGION OR LRE	TYPE	UNIQUE ID	STATUS	NCR#	ENTITY NAME
RF	Mitigating Activities	2020-00146	CEA Processing	NCR00168	Lakewood Cogeneration, LP
MRO	Mitigation Plan	2020-00144	Complete	NCR9999999	Second Game Day Friday Entity
MRO	Mitigating Activities	2020-00143	Complete	NCR9999999	Second Game Day Friday Entity
NPCC	Mitigation Plan	2020-00142	Verification	NCR00130	Neptune Regional Transmission System, LLC
MRO	Mitigating Activities	2020-00141	Complete	NCR9999999	Second Game Day Friday Entity
NPCC	Mitigating Activities	2020-00140	Verification	NCR00126	North Attleborough Electric Department
RF	Mitigating Activities	2020-00133	CEA Processing	TEST00200	TEST Energy Corp.



# Mitigations: Review

To review new Mitigation Plans from the **Mitigation Awaiting Review** tab:

- 1 Click on the **Unique ID** of the Mitigation Plan that you need to review
- 2 Scroll down to review additional sections

The screenshot shows the 'Mitigation Management' interface. On the left, a table lists mitigation plans with columns for 'TYPE' and 'UNIQUE ID'. The entry for '2020-00087' is highlighted with a yellow circle and the number '1'. On the right, a detailed view for '2020-00087' is shown, divided into 'General Information' and 'Dates and Reviews' sections. The 'General Information' section includes fields for Type (Mitigation Plan), Registration (NCR9999999 - Second Game Day Friday Entity in MRO), Mitigation Plan Contact (NCR9999999 Editor 1), Mitigation Status (NERC Processing), and Applicable Requirement (CIP-004-6 R2). The 'Dates and Reviews' section includes Expected Completion Date (October 4, 2020), Region Review Due Date (June 21, 2020), and NERC Review Due Date (June 21, 2020). A yellow circle with the number '2' is placed over the 'Region Review Explanation' field in the 'Dates and Reviews' section. At the bottom of the detailed view, there are buttons for 'Save and Action', 'Save', and 'Close'.

# Mitigations: Review



3

Click on the **Unique ID** of each **Mitigation Milestone** to review

4

Click on the **Extent of Condition, Root Cause, and Risk Analysis from Potential Non-Compliance Review** section

5

Review the **Interim Risk Reduction**

**NOTE:** Align does not programmatically require Registered Entities to enter an interim risk reduction statement on Mitigation Plans, so make sure that this field is not blank

6

Type any comments you want to share with the Entity in the **NERC Comments Shared with Entity** field. Type any comments that you want to keep private in the **ERO Private Internal Notes** field

Mitigation Milestones							
	MILESTONE ID	TYPE OF MILESTONE ...	MILESTONE NAME	DESCRIPTION OF AC...	PLANNED COMPLETI...	REVISED PLANNED C...	ACTUAL COMPLETIO...
<input type="checkbox"/>	2020-000050	Corrective Control	task 1	description	05/31/2020		
<input type="checkbox"/>	2020-000051	Detective Control	task 2	deate	10/04/2020		
<input type="checkbox"/>	2020-000122	Control	Task 1b	description	07/30/2020		
<input type="checkbox"/>	20						

3

4

**Extent of Condition, Root Cause, and Risk Analysis from Potential Non-Compliance Review**

- Extent of Condition

Scope Determination

Number of Instances

- Root Cause

Root Cause

Root Cause Code

Contributing Cause

5

**Interim Risk Reduction**

interim risk reduction statement

- Risk Analysis

Potential Impact to BPS

Detailed Description of

Potential Impact to BPS

Likelihood of Impact to

BPS

**Comments from Region and NERC**

CEA Comments Shared  
with Entity ?NERC Comments Shared  
with Entity ?ERO Private Internal  
Notes ?

Comments for the entity ... LOOK AT ME!!!

6

# Mitigations: Review Extension



By default, Align will give you 30 days to review a Mitigation Plan. If you need more time:

- 7 Select a new due date in the **Revised NERC Due Date** field
- 8 Type any notes regarding the review extension in the **NERC Revision Explanation** button
- 9 Click the **Save** button

2020-00087
✕

<p>Expected Completion Date October 4, 2020</p> <p>Entity Completion Date</p> <p>Actual Completion Date</p> <p>Region Review Due Date June 21, 2020</p> <p>Revised Region Due Date</p> <p>Region Revision Explanation</p> <p>Region Acceptance Date May 21, 2020</p> <p>Region Review Results Accept</p>	<p>NERC Review Due Date June 21, 2020</p> <p>Revised NERC Due Date <input style="width: 100%;" type="text" value="07/21/2020"/></p> <p>NERC Revision Explanation <input style="width: 100%;" type="text" value="reason for extension"/></p> <p>NERC Review Action <input style="width: 100%;" type="text"/></p>
--	---

**FERC Reporting Information**

FERC Mitigation Plan Notification Due Date <input type="text" value="05/28/2020"/>	MP Sent to FERC <input type="checkbox"/>
	Date MP Sent to FERC <input type="text"/>

**Mitigation Milestones**

	MILESTONE ID	TYPE OF MILESTONE ...	MILESTONE NAME	DESCRIPTION OF AC...	PLANNED COMPLETI...	REVISED PLANNED C...	ACTUAL COMPLETIO...
<input type="checkbox"/>	2020-000050	Corrective Control	task 1	description	05/31/2020		
<input type="checkbox"/>	2020-000051	Detective Control	task 2	deate	10/04/2020		
<input type="checkbox"/>	2020-000122	Preventative Control	Task 1b	description	07/30/2020		
<input type="checkbox"/>	2020-000129	Corrective Control		This task involves actions that take a long time to...	07/28/2020		



# Mitigations: Approving or Rejecting

Once you have completed your review:

10 Select Approve or Reject from the **NERC Review Action** dropdown

If you reject the Mitigation Plan review, be sure to contact the CEA prior to rejecting and make sure to document any issues in the comment boxes.

11 Click the **Save and Action** button

The screenshot shows a web application interface for managing mitigations. The top header displays the ID '2020-00087' and the status 'Noncompliance Occurred'. The main content area is divided into several sections:

- Dates and Reviews:** This section contains various dates and review information. A dropdown menu for 'NERC Review Action' is open, showing options: 'Approve' (highlighted with a blue bar and a '10' callout), '-- None --', and 'Reject'. Other fields include 'Expected Completion Date' (October 4, 2020), 'Region Review Due Date' (June 21, 2020), and 'Region Review Results' (Accept).
- FERC Reporting Information:** This section includes 'FERC Mitigation Plan Notification Due Date' (05/28/2020) and 'MP Sent to FERC' (checkbox).
- Mitigation Milestones:** A table listing milestones with columns for Milestone ID, Type, Name, Description, Planned Completion, Revised Planned Completion, and Actual Completion. The first row shows a 'Corrective Control' milestone with ID '2020-000050' and a planned completion date of '05/31/2020'. The second row shows a 'Detective Control' milestone with ID '2020-000051' and a planned completion date of '10/04/2020'. A '11' callout points to the 'Save and Action' button at the bottom of this section.

# Mitigations: RFIs



If you need more information during your review, contact the CEA first to see if it can be addressed with them; if not, you can issue an RFI to the Registered Entity:

The screenshot shows the 'Requests for Information' interface. It features a table with a '+' button (1) to create a new RFI. A modal window titled 'Request for Information' is open, showing a 'Requestor Contact' dropdown (2) set to 'ERO 2', a 'Requestor Comments' text area (3) containing 'comments|', an 'Attach file' button (4), and a 'Response Due By' date field (5) set to '06/21/2020'. At the bottom of the modal, there are 'Update' and 'Close' buttons (6).

1 Click the **+** button to create a new mitigation RFI

2 Select a contact from the **Requestor Contact** dropdown

3 Enter any comments in the **Requestor Comments** field

4 Use the **Attach File** button to add any attachments

5 Select a **Response Due Date**

6 Click **Update**

# Mitigations: RFIs



7

It is critical at this point to hit the **Save** button. If you close without saving, Align will delete the RFI without sending it.

2020-00083

### Mitigation Milestones

<input type="checkbox"/>	MILESTONE ID	TYPE OF MILESTONE ...	MILESTONE NAME	DESCRIPTION OF AC...	PLANNED COMPLETI...	REVISED PLANNED C...	ACTUAL COMPLETI...
+	This table is empty						

---

### Requests for Information

<input type="checkbox"/>	RFI ID	REQUESTOR CONTACT	RESPONDENT CONTACT	RESPONSE DUE BY
+	<a href="#">20-000091-R</a>	<a href="#">ERO 2</a>	<a href="#">NCR9999999 Editor 1</a>	06/21/2020
+		<a href="#">ERO 2</a>		06/21/2020

---

### Extent of Condition, Root Cause, and Risk Analysis from Potential Non-Compliance Review

### Interim Risk Reduction

---

### Comments from Region and NERC

CEA Comments Shared with Entity ?

NERC Comments Shared with Entity ?

7

Save and Action
Save
Close

# Mitigations: RFIs



When you receive a response, open the mitigation RFI from the mitigation form. Then:

- 8 Review **Respondent Comments** and any evidence in the evidence locker
- 9 If the RFI is still incomplete, add any further comments into the **Requestor Comments** field
- 10 If the RFI is still incomplete, add any additional attachments
- 11 Select 'Incomplete' to send the RFI back to the Registered Entity for additional information or select 'Complete' (if the RFI response was acceptable) from the **Review Results** dropdown
- 12 Click the **Save and Action** button (selecting 'Complete' and clicking the Save and Action button will remove this from the Dashboard)

The screenshot shows a web interface for a Request for Information (RFI) form. The form is titled "Request for Information" and includes the following fields and elements:

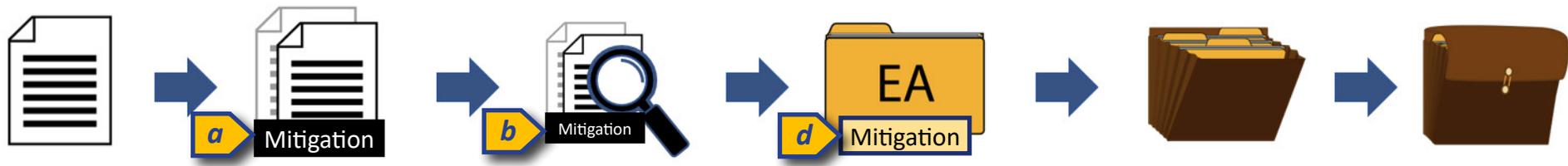
- Original Finding:** 2020-00083
- Requestor:** ERO 2
- Requestor Comments:** A text area containing the word "comments".
- Requestor Attachments:** A button labeled "Attach file".
- Request Sent On:** May 22, 2020
- Response Due By:** June 21, 2020
- Review Results:** A dropdown menu with options: "-- None --", "Complete", and "Incomplete".
- Respondent Comments:** A section with a "comments" field and a "more comments" link.
- Buttons:** "Save and Action", "Save", and "Close" buttons are located at the bottom of the form.

Numbered callouts (8-12) highlight specific areas: 8 points to Respondent Comments, 9 to Requestor Comments, 10 to Attach file, 11 to the Review Results dropdown, and 12 to the Save and Action button.



# Consolidated Mitigations

Every new finding in Align generates an associated mitigation record for that finding (a). As a part of the PNCR, the CEA will decide whether to assign the PNC and its mitigation record to a new Enforcement action or consolidate the PNC with an existing EA that already has a mitigation associated with it (b). If the PNC is consolidated with an existing EA, the mitigation originally associated with that PNC is orphaned and moves to the Consolidates tab (c) and PNC that was consolidated is now associated with the mitigation record associated with the existing EA (d).



Mitigation Management

[Mitigations Awaiting Review](#) | 
 [Active Mitigations](#) | 
 [Completed Mitigations](#) | 
 [Consolidations](#) | 
 [All Mitigations](#)

CONSOLIDATED MITIGATING ACTIVITIES AND MITIGATION PLANS

TYPE	UNIQUE ID	REGION OR LRE	NCR	ENTITY NAME	STANDARD	REQ	REGION AND JURISDICTION	STATUS
Mitigating Activities	2020-00037	MRO	NCR00961	Alliant Energy - East	BAL-001-2	R1.	MRO-US	Consolidated
Mitigating Activities	2020-00041	MRO	NCR00961	Alliant Energy - East	BAL-001-2	R1.	MRO-US	Consolidated
Mitigating Activities	2020-00068	NPCC	NCR00126	North Attleborough Electric Department	PRC-005-6	R5.	NPCC-US	Consolidated



# Consolidated Mitigations

Mitigations in the **Consolidations** tab are closed and cannot be edited, but they are still available for

- 1 Click the **Unique ID** to review a mitigation
- To view the EA that this mitigation was consolidated under:
- 2 Navigate to the Enforcement Processing view and click the **PNCs and Enforcement Actions** tab
- 3 Filter the **Unique ID** column by the ID of the consolidated mitigation; you will see that ID number listed underneath the EA (a)
- 4 Click on the **PNC ID** to review the original PNC

The screenshot shows the 'Mitigation Management' interface. The 'Consolidations' tab is selected. A list of mitigation activities is shown on the left. The 'Enforcement Processing' view is open, showing 'PNCs and Enforcement Actions'. A filter is applied to the 'UNIQUE ID' column, showing a dropdown menu with 'Sort Ascending', 'Sort Descending', 'Columns', and 'Filters' options. The search results show a table of 'PNCs Consolidated under this EA' with columns for PNC ID, APPLICABLE REQUIREMENT, and ACTUAL START DATE. Below this is a 'Dispositions' table with columns for DISPOSITION ID, TYPE, CASE FILE ID, NERC NOC #, DISPOSITION CREATED, and ACTION.

TYPE	UNIQUE ID	REGION OR LRE	STATUS	NCR	ENTITY
Mitigation Plan	2020-00117	TX			
Mitigating Activities	2020-00132	NE			
Mitigating Activities	2020-00108	MF			
Mitigating Activities	2020-00140	NE			
Mitigating Activities	2020-00141	MF			
Mitigation	2020-00142	NE			
Mitigating Activities	2020-00343	TX			
Mitigation Plan	2020-00371	MRO			
Mitigating Activities	2020-00405	MF			
Mitigating Activities	2020-00285	MF			
Mitigating Activities	2020-00406	MF			
Mitigating Activities	2020-00344	TX			
Mitigating Activities	2020-00446	MF			
Mitigating Activities	2020-00453	MF			

TYPE	REGION OR LRE	UNIQUE ID	STATUS	NCR	ENTITY
EA	MRO	2020-00087 (Consolidated) 2020-00087, 2020-00141	Sort Ascending Sort Descending Columns Filters	NCR9999999	Secur...me Day Friday Entity

PNCs Consolidated under this EA		
PNC ID	APPLICABLE REQUIREMENT	ACTUAL START DATE
2020-00087	CIP-004-6 R2.	05/03/2020
2020-00141	CIP-004-6 R3.	05/05/2020

Dispositions					
DISPOSITION ID	TYPE	CASE FILE ID	NERC NOC #	DISPOSITION CREATED	ACTION
20-000125	Find, Fix, Track			06/29/2020	Submit



# FERC Reporting

The **FERC Reporting** tab allows you to view the items that need to be reported to FERC. The actual sending of the reports will take place outside of Align. The items you will see here are *Screening Passed*, *Dismissal*, *NAVAPS Issued*, and *Mit Plan Approved*.

1 Click the **dropdown arrow** to change your view

2 Click on **FERC Reporting**

**1** Click the dropdown arrow to change your view

**2** Click on FERC Reporting

TYPE	UNIQUE ID	CEA
Screening	2020-00280	MRO
Screening	2020-00279	MRO
Screening	2020-00272	MRO
Screening	2020-00271	MRO
Confirmed Violation	2020-00271	MRO
Screening	2020-00178	MRO
Screening	2020-00177	MRO

UNIQUE ID	REPORTING TASK	ENTITY NAME
2020-00124	Screening Passed	TEST00200 - TEST00200-RF
2020-00125	Screening Passed	TEST00200 - TEST00200-RF
2020-00105	Screening Passed	TEST00200 - TEST00200-RF
2020-00120	Screening Passed	TEST00200 - TEST00200-RF
2020-00121	Screening Passed	TEST00200 - TEST00200-RF
2020-00122	Screening Passed	TEST00200 - TEST00200-RF
2020-00126	Screening Passed	TEST00200 - TEST00200-RF
2020-00123	Screening Passed	TEST00200 - TEST00200-RF
2020-00213	Screening Passed	NCR01145 - Southwestern Public Service Co. (Xcel Energy)
2020-00088	Screening Passed	NCR9999999 - Second Game Day Friday Entity
2020-00108	Screening Passed	NCR9999999 - Second Game Day Friday Entity
2020-00141	Screening Passed	NCR9999999 - Second Game Day Friday Entity
2020-00144	Mit Plan Approved	NCR9999999 - Second Game Day Friday Entity
2020-00087	Mit Plan Approved	NCR9999999 - Second Game Day Friday Entity
2020-00107	Screening Passed	NCR9999999 - Second Game Day Friday Entity
2020-00087	Screening Passed	NCR9999999 - Second Game Day Friday Entity

# FERC Reporting



Like all tables in Align, the **FERC Reporting Task List** can be sorted and filtered to help you find the item you are looking for.

3

Hover over the title of any column and click the **dropdown** arrow

4

Select an option to **Sort** or **Filter**

5

If you select **Filter**, enter in the task you want to filter by

6

Click the **Unique ID** of the item that needs to be reported to FERC

The screenshot shows the 'FERC Reporting' section with a 'FERC REPORTING TASK LIST' table. The table has columns for UNIQUE ID, REPORTING TASK, ENTITY NAME, STANDARD, REQ, and DUE DATE. A dropdown menu is open over the 'ENTITY NAME' column, showing options for 'Sort Ascending', 'Sort Descending', 'Columns', and 'Filters'. A search box with the text 'naval' is visible next to the 'Filters' option. A second screenshot below shows the table after filtering, with the 'Unique ID' 2020-00060 highlighted.

UNIQUE ID	REPORTING TASK	ENTITY NAME	STANDARD	REQ	DUE DATE
2020-00003	Screening Passed	Boise-Kuna Irrigation District	CIP-002-5.1a	R1.	04/07/2020
2020-00006	Screening Passed	Boise-Kuna Irrigation District	CIP-003-7	R1.	04/07/2020
2020-00004	Screening Passed	Boise-Kuna Irrigation District	EOP-004-4	R1.	04/08/2020
2020-00005	Screening Passed	Boise-Kuna Irrigation District	FAC-003-4	R2.	04/08/2020
2020-00009	Screening Passed	NCR00086 - Boise-Kuna Irrigation District	PRC-004-5(i)	R1.	04/08/2020
2020-00015	Screening Passed	NCR00086 - Boise-Kuna Irrigation District	EOP-004-4	R1.	04/08/2020
2020-00023	Screening Passed	NCR00961 - Alliant Energy - East	BAL-002-3	R2.	04/13/2020
2020-00024					
2020-00025					
2020-00026					
2020-00027					
2020-00035	2020-00060	NAVAPS Issued	NCR00961 - Alliant Energy - East	BAL-001-2	R1.
2020-00036	2020-00075	NAVAPS Issued	NCR9999999 - Second Game Day Friday Entity	CIP-003-7	R1.
2020-00037	2020-00317	NAVAPS Issued	NCR00961 - Alliant Energy - East	CIP-011-2	R1.
2020-00039					
2020-00038					
2020-00040					
2020-00077					

# FERC Reporting



Once you open the specific task that needs to be reported to FERC, you can review the details of the task, any attachments that were sent to the Registered Entity, view the Related EAs associated to the Notification object, and then mark it as having been sent to FERC and the Date the task will be sent to FERC

7

Click the **Sent to FERC** checkbox to confirm that you have sent this item to FERC

8

Enter the **Date** that the item was sent to FERC

9

Click the **Save** button

2020-00075

### Notification

<p>Type: Notice of Alleged Violation and Proposed Penalty or Sanction</p> <p>From: MRO Editor 1</p> <p>Comments: test</p> <p>Attachments:</p> <p>Sent Date: April 29, 2020</p> <p>Due Date:</p> <p>ERO Private Internal Notes</p>	<p>Notification ID: 20-000042</p> <p>Respondent: Mark Lauby</p> <p>Acknowledged Date:</p> <p>Respondent Comments:</p> <p>NAVAPS Resposne: No Response</p> <p>NAVAPS Contestation:</p> <p>Response Attachments:</p>
---	--

### FERC Reporting Information

NAVAPS Sent to FERC <input checked="" type="checkbox"/>	Date NAVAPS Sent to FERC: 06/30/2020
---	--------------------------------------

### Related EAs and PNCS

TYPE	UNIQUE ID	METHOD	REQ	START DATE
EA	2020-00075	Self-Report	CIP-003-7 R1.	04/26/2020
PNC	2020-00075	Self-Report	CIP-003-7 R1.	04/26/2020
PNC	2020-00108	Self-Report	CIP-004-6 R2.	05/17/2020

9
Save Close

# Filings

ALIGN

The **Filings** tab in the Enforcement Processing view allows you to keep track of the dispositions that you have filed.

- 1 Click the **Filings** tab
- 2 Click the **Unique ID** of any existing filings to review or edit
- 3 If you make any edits, click the **Save** button or **Save Draft** button
- 4 To add a new filing, click the **Add Filing** button

The screenshot shows the ALIGN Filings interface. The top navigation bar includes tabs for PNCs and Enforcement Actions, Dispositions Awaiting Review, Dispositions Pending Closure, Closed Enforcement, and Filings. The Filings tab is selected, indicated by a yellow circle with the number 1. Below the navigation bar, there is a list of filings with unique IDs (FI-2020-00001 to FI-2020-00009). A yellow circle with the number 2 highlights the ID FI-2020-00006. To the left of this list is an 'Add Filing' button, highlighted with a yellow circle and the number 4. The main content area displays a 'Regulatory Filing' form for 'May Filing (FFT May 28, 2020)'. The form includes fields for Filing Type (FFT), Name (May Filing), Filing Date (05/28/2020), and Docket Number. There is an 'Attach file' button for Filing Documents. Below the form is a table titled 'Included Dispositions' with columns: TYPE, ORIGINAL SOURCE, DISPOSITION ID, CEA, CASE FILE ID, NERC NOC #, and REGISTRATION. The table contains one row with the following data: TYPE: Find, Fix, Track; ORIGINAL SOURCE: 2020-00094; DISPOSITION ID: 20-000082; CEA: NPCC; CASE FILE ID: May FFT filing - ready; REGISTRATION: NCR00126 - North Attleborough Electric... At the bottom of the form are buttons for 'Save', 'Save Draft', and 'Close'. A yellow circle with the number 3 highlights the 'Save' button.

Enforcement Processing

PNCs and Enforcement Actions | Dispositions Awaiting Review | Dispositions Pending Closure | Closed Enforcement | Filings

Add Filing

FILING INFORMATION

ID

FI-2020-00001

FI-2020-00002

FI-2020-00003

FI-2020-00004

FI-2020-00005

FI-2020-00006

FI-2020-00007

FI-2020-00008

FI-2020-00009

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May Filing (FFT May 28, 2020)

Regulatory Filing

Filing Type: FFT

Name: May Filing

Description:

Filing Date: 05/28/2020

Docket Number:

Filing Documents: Attach file

Included Dispositions

TYPE	ORIGINAL SOURCE	DISPOSITION ID	CEA	CASE FILE ID	NERC NOC #	REGISTRATION
<input type="checkbox"/> Find, Fix, Track	2020-00094	20-000082	NPCC	May FFT filing - ready		NCR00126 - North Attleborough Electric...

Save Save Draft Close

# Filings

ALIGN

5 Select the **Filing Type**

6 Enter its **Name** and  
**Description**

7 Indicate the **Filing Date**

8 Enter a **Docket Number**, if  
applicable

9 Use the **Attach file** button  
to add any important files

10 Click the **link icon** in the  
Included Dispositions  
section to add a disposition  
to the filing

Create Filing

Regulatory Filing

Filing Type: CE

Name: July CEs

Description: Description of Filing

Filing Date: 07/14/2020

Docket Number:

Filing Documents: [Attach file](#)

Test.jpg 1.22 MB

Included Dispositions

<input type="checkbox"/>	TYPE	ORIGINAL SOURCE	DISPOSITION ID	CEA	CASE FILE ID	NERC NOC #	REGISTRATION
<input type="checkbox"/>	Compliance Exception		20-000087	RF			TEST00200 - TEST00200-RF in RF

[Save](#) [Save Draft](#) [Close](#)



# Filings

14 To remove a disposition, check the **checkbox** beside the unwanted disposition

15 Click the **unlink icon**

16 Click the **Save** button or the **Save Draft** button to save this change

15

14

16

July CEs (CE July 14, 2020)

### Regulatory Filing

Filing Type	CE	Filing Date	07/14/2020
Name	July CEs	Docket Number	
Description	Description of Filing		

Filing Documents [Attach file](#)

Test.jpg 1.22 MB

---

Included Dispositions

	TYPE	ORIGINAL SOURCE	DISPOSITION ID	CEA	CASE FILE ID	NERC NOC #	REGISTRATION
<input type="checkbox"/>	Exception	2020-00125	20-000087	RF			TEST00200 - TEST00200-RF in RF
<input checked="" type="checkbox"/>	Exception		20-000089	RF			TEST00200 - TEST00200-RF in RF

Save
Save Draft
Close



# Entity Information

The **Entity Information** view lets you review information about your entities and Cordinated Oversight groups brought in from the CORES application. This is also where you will go to enable or disable the self-log function for entities.

- 1 Click the **dropdown arrow** to change views
- 2 Select the **Entity Information** view

**REGISTRATIONS**

NCR#	ENTITY NAME	REGION	PERMITTED TO SELF LOG
NCR0003 in SERC	Bartow, City of	SERC	No
NCR0004 in SERC	Beaches Energy Services of Jacksonville Beach	SERC	No
NCR0006 in NPCC	Calpine	NPCC	No
NCR0006 in RF	Calpine	RF	No
NCR0006 in SERC	Calpine	SERC	No
NCR0006 in TXRE	Calpine Corporation	TXRE	No
NCR0006 in WECC	Calpine Corporation	WECC	No
NCR0021 in SERC	Florida Keys Electric Cooperative Assn	SERC	No
NCR0022 in SERC	Florida Municipal Power Agency	SERC	No
NCR0023 in SERC	Florida Municipal Power Pool	SERC	No
NCR0024 in SERC	Florida Power & Light Co.	SERC	No
NCR0025 in SERC	Florida Public Utilities Company	SERC	No
NCR0026 in SERC	Florida Reliability Coordinating Council, Inc.	SERC	No
NCR0027 in SERC	Fort Pierce Utilities Authority	SERC	No
NCR0032 in SERC	Gainesville Regional Utilities	SERC	No
NCR0035 in SERC	Hardee Power Partners Limited	SERC	No
NCR0037 in SERC	Homestead, City of	SERC	No
NCR0039 in SERC	Indiantown Cogeneration LP	SERC	No

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**COORDINATED OVERSIGHT GROUPS**

CO GROUP NAME	LRE	O&P LRE	CIP LRE
CO Group No. 1 - AEP	RF	RF	RF
CO Group No. 10 - Brazos	TXRE	TXRE	TXRE
CO Group No. 11 - Calpine	TXRE	TXRE	TXRE
CO Group No. 15a - Duke	SERC	SERC	SERC
CO Group No. 15b - Duke Renewables	WECC	TXRE	TXRE
CO Group No. 16 - Vistra	NPCC	RF	RF
CO Group No. 16a - Luminant	TXRE	TXRE	TXRE
CO Group No. 17a - Entergy	SERC	SERC	SERC
CO Group No. 2 - AES	WECC		RF
CO Group No. 21 - NextEra	SERC	MRO	MRO
CO Group No. 23 - Hoosier	SERC	RF	RF
CO Group No. 24a - Avangrid	WECC	WECC	WECC
CO Group No. 26 - ITC	RF	RF	RF
CO Group No. 27 - Kiowa	TXRE	TXRE	TXRE
CO Group No. 30 - MISO	SERC	RF	RF
CO Group No. 32 - MISO-RSG	MRO	MRO	MRO
CO Group No. 33 - Montana-Dakota	WECC	MRO	MRO
CO Group No. 34 - MEAN	WECC	MRO	MRO

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# Entity Information



To find a specific entity in the **Registrations** panel, you can sort or filter the table like any other in Align. Or, you can filter the registrations from the **Coordinated Oversight Panel**. To do that:

3

Click on the Coordinated Oversight record (anywhere except the group name) to highlight it

4

The **Registrations** panel now only shows entities that are a part of that CO group. Click the name link to open the entity information record.

Entity Information

Align for Regions

RF Editor 1

REGISTRATIONS

NCR#	ENTITY NAME	REGION	PERMITTED TO SELF LOG
<a href="#">NCR10133 in NPCC</a>	Luminant Energy Company, LLC	NPCC	No
<a href="#">NCR10133 in RF</a>	Luminant Energy Company, LLC	RF	No
<a href="#">NCR10133 in SERC</a>	Luminant Energy Company, LLC	SERC	No
<a href="#">NCR10133 in TXRE</a>	Luminant Energy Company, LLC	TXRE	No
<a href="#">NCR10133 in WECC</a>	Luminant Energy Company, LLC	WECC	No

COORDINATED OVERSIGHT GROUPS

CO GROUP NAME	LRE	O&P LRE	CIP LRE
<a href="#">CO Group No. 1 - AEP</a>	RF	RF	RF
<a href="#">CO Group No. 10 - Brazos</a>	TXRE	TXRE	TXRE
<a href="#">CO Group No. 11 - Calpine</a>	TXRE	TXRE	TXRE
<a href="#">CO Group No. 15a - Duke</a>	SERC	SERC	SERC
<a href="#">CO Group No. 15b - Duke Renewables</a>	WECC	TXRE	TXRE
<a href="#">CO Group No. 16 - Vistra</a>	NPCC	RF	RF
<a href="#">CO Group No. 16a - Luminant Energy Company, LLC</a>	TXRE	TXRE	TXRE
<a href="#">CO Group No. 17a - Entergy</a>	SERC	SERC	SERC
<a href="#">CO Group No. 2 - AES</a>	WECC		RF
<a href="#">CO Group No. 21 - NextEra</a>	SERC	MRO	MRO
<a href="#">CO Group No. 23 - Hoosier</a>	SERC	RF	RF
<a href="#">CO Group No. 24a - Avangrid</a>	WECC	WECC	WECC
<a href="#">CO Group No. 26 - ITC</a>	RF	RF	RF
<a href="#">CO Group No. 27 - Kiowa</a>	TXRE	TXRE	TXRE
<a href="#">CO Group No. 30 - MISO</a>	SERC	RF	RF
<a href="#">CO Group No. 32 - MISO-RSG</a>	MRO	MRO	MRO
<a href="#">CO Group No. 33 - Montana-Dakota</a>	WECC	MRO	MRO
<a href="#">CO Group No. 34 - MEAN</a>	WECC	MRO	MRO

Page 1 of 1

Page 1 of 3

# Entity Information



**Entity Information** records are mostly read-only, but you can edit a few fields related to self-logging and Internal Control Evaluations (ICE).

To respond to a self-log request:

5 Enter dates for the **Date Entity Requested to Self-Log** and either the **Date Region Approved** or **Date Region Rejects** field

6 Click the **Permitted to Self-Log** checkbox to enable self-logging

To record if the entity has gone through an Internal Control Evaluation:

7 Select 'Yes' or 'No' from the **Did the Entity Go Through ICE** drop-down

8 Click the **Update** button

NCR00006 - Calpine Corporation in RF

### General Information

NERC Compliance Registry ID (NCR #)	NCR00006		
Entity name	Calpine Corporation		
Registration Date	May 30, 2007	Inactive Date	
Compliance Enforcement Authority	RF	Permitted to Self-Log	<input type="checkbox"/>
Coordinated Oversight Group	CO Group No. 11 - Calpine		
Date Entity Request to Self-Log	<input type="text"/>	Did the Entity Go Through ICE	<input type="text"/>
Date Region Approved Entity to Self-Log	<input type="text"/>		
Date Region Rejects Entity Self-logging request.	<input type="text"/>		

### Relationships

Related Holding Companies	Related Subsidiaries
Related Affiliates	Potential Affiliate

### Contacts

Primary Compliance Contact (PCC)	
Name	Phil Porter
Phone Number	

**Update** **Close**