Align Self-Certification User Guide

ALIGN

Welcome to the Align User Guide for the Self-Certifications (Self-Cert) module specific to the CEA role. Along with the Align **instructional videos**, this user guide will help you navigate all the features included in this module. Click on a topic in the list below or in the ribbon above to begin.

1. Accessing Align
2. Self-Certification Overview
3. Creating a Distribution
4. Attestations (Self-Certifications)
5. Sending a Self-Certification Distribution
6. Request for Extensions
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14. Submitting a Finding

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16. Completing a Self-Certification Review
17. Reopening a Self-Certification
18. Cancelling a Self-Certification
19. Self-Certification Templates
20. Self-Certification Administration

Notice: Updates to the Self-Certifications and Attestation functionality remain under development as of this version update. This User Guide reflects current functionality in the Align and updates will be made as future releases are deployed to improve Self-Certifications and Attestation functionality.

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.

Self-Certification Overview

There are two modules related to Self-Certifications for CEA users: Self-Certifications and Self-Certification Administration.

(1) Self-Certifications module is used for creating new Self-Certifications Distributions as well as processing the Self-Certifications records themselves. The bulk of this User Guide focuses on the Self-Certification module.

(2) Self-Certification Administration module is used for managing region-specific (custom) questions used by CEAs to augment Self-Certification requests.

Self-Certification Overview

In the CEA view of the Self-Certification module in Align, there are several tabs with different purposes:

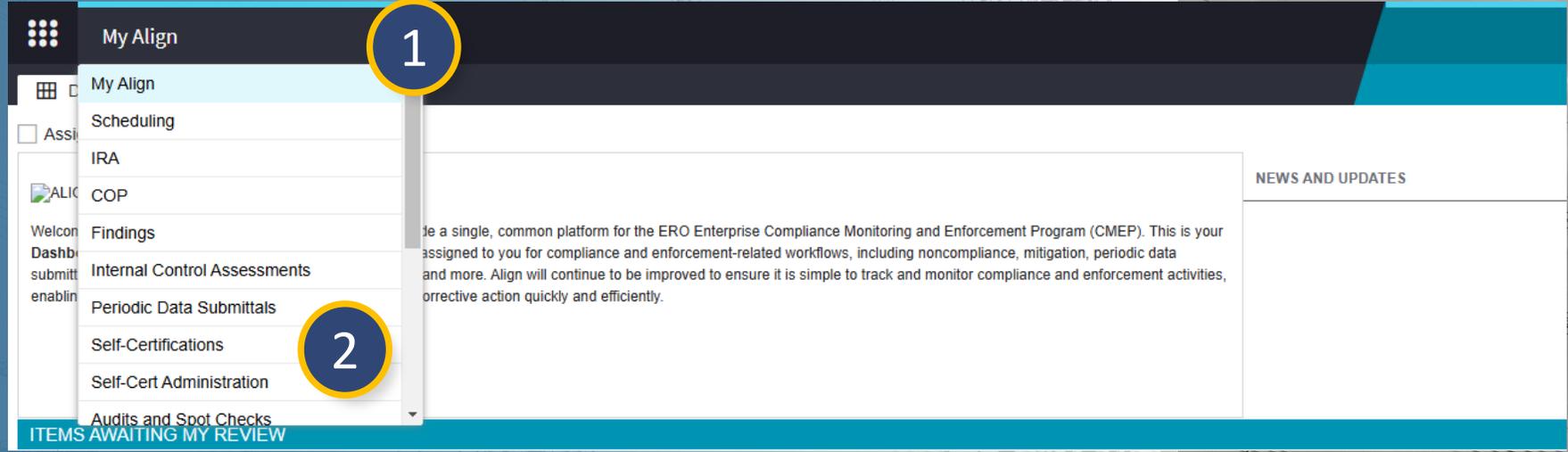**Create Distribution** – Create new Self-Certification Distributions.

Active – Lists active Self-Certifications pending entity responses.

Scheduled – Lists scheduled Self-Certifications but not yet visible to entities.

In Review – Lists Self-Certifications submitted for review.

Completed – Displays all completed Self-Certification requests.

Processed Distributions – Lists processed Self-Cert distributions and may be used to create distribution templates or locate favorite templates.

ARE Self-Certs – Displays Self-Cert requests for which the CEA is an Affected Regional Entity (ARE) in the Coordinated Oversight Program.

RFIs – Lists active Self-Cert Requests for Information.

RFEs – Lists all Self-Cert Requests for Extension.

Create a Self-Certification Distribution

To navigate to the **Self-Certifications** module:

1 Click the **dropdown arrow.**

2 Select the **Self Certifications** View.

My Align

- My Align
- Scheduling
- IRA
- COP
- Findings
- Internal Control Assessments
- Periodic Data Submittals
- Self-Certifications
- Self-Cert Administration
- Audits and Spot Checks

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ITEMS AWAITING MY REVIEW

Welcome... de a single, common platform for the ERO Enterprise Compliance Monitoring and Enforcement Program (CMEP). This is your **Dashb**... assigned to you for compliance and enforcement-related workflows, including noncompliance, mitigation, periodic data submitt... and more. Align will continue to be improved to ensure it is simple to track and monitor compliance and enforcement activities, enablin... orrective action quickly and efficiently.

NEWS AND UPDATES

Create a Self-Certification Distribution

There are 4 ways to create a Self-Certification Distribution:

Create Entity Distribution (A) button allows you to pre-select the applicable Registered Entities for the Self-Certification.

Create Function Distribution (B) button allows you to pre-select the Functions applicable to the Self-Certification.

Create Requirement Distribution (C) button allows you to pre-select the applicable Requirements for the Self-Certification.

General Self-Certification (D) does not pre-select entities, functions, or requirements but creates a basic version of a Self-Certification.

Create a Self-Certification Distribution

To draft a general Self Certification Distribution:

① Click the **plus icon.**

② Enter a custom title for this Self-Cert in the **Name** field. This will be visible to entities.

③ Click the **calendar** icons to enter dates.

Visibility Date: The date the entity can see the Self-Cert.

Start Date: The date the entity can begin editing the Self-Cert.

Due Date: The date the entity is expected to submit its Self-Cert response to the CEA.

Notice: The Visibility and Start Date will automatically populate to the current date. The Due Date will automatically populate to 30 days from the current date.

Create a Self-Certification Distribution

4 Click the calendar to select the **Monitoring Period Start** and **Monitoring Period End** dates to define the Self-Cert monitoring period.

5 The **Instructions to entity** field, which will be visible to entities, can be used to provide additional instruction.

The **Instructions to entity** field should be used to provide clarity on requests of the Self-Certification, including if evidence is requested and contact information for follow-up questions from the entity.

Create Self Certification Distribution ✕

General

Name * [   ]   Compliance Year [2020   ]

Visibility Date * ⑦ [📅]   Monitoring Period Start * [📅] **4**

Start Date * ⑦ [📅]   Monitoring Period End * [📅]

Due Date * ⑦ [📅]   Instructions to entity [   ] **5**

Compliance Enforcement Authority   MRO

Point of Contact

☐	FIRST NAME	LAST NAME
	This table is empty	

🔗
🔗

Action

[**Update**] [Close]

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Create a Self-Certification Distribution

If you wish to add a point of contact, you can link a CEA user in the **Point of Contact** section.

6   Click the **link icon.**

7   Check the **checkbox.**

8   Click **confirm.**

9   Click the **Update** button.

The Self-Certification distribution will now appear as a draft in the Bulk Distributions in Draft section.

Notice: When a Point of Contact is listed, it cannot be changed after the distribution is processed.

Create a Self-Certification Distribution

To add Registered Entities to the distribution:

1 Click the **Request ID** of the draft distribution.

2 Navigate to the **Requirement, Function, and Entity Selection** tab.

3 Click the **hyperlink** to add or remove registrations.

4 Click the **link icon.**

5 Check the **box(es)** next to the registered entities you wish to add to this Self-Cert distribution.

6 Click **Confirm.**

7 Click the **Update** button.

Create a Self-Certification Distribution

To add a requirement to the distribution:

1. Navigate to the **Requirement, Function, and Entity Selection** tab.

2. In the **Requirement Selection** section, click the **hyperlink** to add or remove requirements.

3. Click the **link icon.**

4. Check the **box(es)** to select the requirements you wish to add.

5. Click **Confirm.**

6. Click the **Update** button.

Create a Self-Certification Distribution

To add a function to the distribution:

1 Navigate to the **Requirement, Function, and Entity Selection** tab.

2 In the **Function Selection** section, click the **hyperlink** to add or remove functions.

3 Click the **link icon.**

4 Check the **box(es)** to select the functions you wish to add.

5 Click **Confirm.**

6 Click the **Update** button.

Create a Self-Certification Distribution

To preview the drafted Self-Certification with chosen entities, requirements, and functions, navigate to the **Distribution and Question Preview** tab.

1 Review the Self-Cert Distribution Preview to confirm selections are correct.

2 Review the Self-Cert Question Preview to confirm questions are correct.

Notice: The draft distribution may need to be **Updated** (A) before the information will display in the preview.

Create a Self-Certification Distribution

To request an entity to reaffirm an attestation within the Self-Certification Request:

1 Navigate to the **Attestations tab.**

2 Click the **Bulk Reaffirmation tab.**

3 Click the **link icon.**

4 Check the **box** next to the attestation you wish to reaffirm.

5 Click **Confirm.**

Notice: At the time of updating this User Guide, there are ongoing enhancements ready for future Align deployments to fix Attestation functionality. User Guides will be updated when the deployment(s) occur. The following information reflects the limited functionality that currently exists.

Create a Self-Certification Distribution

6 Select the **Reaffirm Renewal Date.**

7 Type any notes to the Registered Entity in the **textbox.**

8 Select **Submit** from the dropdown.

9 Click **Update.**

Notice: At the time of updating this User Guide, there are ongoing enhancements ready for future Align deployments to fix Attestation functionality. User Guides will be updated when the deployment(s) occur. The following information reflects the limited functionality that currently exists.

Create Attestation Reaffirmation Request

| Attestation Reaffirmation Request ID | <Value will be generated> |

Select Attestations to be Reaffirmed by entities

		ATTESTATION ID	NAME	REGISTRATION	STANDARD	REQUIREMENT	PART
				This table is empty			

Reaffirmation Renewal Date

| Reaffirm Renewal Date | | |

May 2021

Su	Mo	Tu	We	Th	Fr	Sa
25	26	27	28	29	30	1
2	3	4	5	6	7	8
9	10	11	12	13	14	15
16	17	18	19	20	21	22
23	24	25	26	27	28	29
30	31	1	2	3	4	5

Action

Instructions | To submit this attesta... ...tered entity select "submit" from drop down and then click update.

Reaffirmation Request Comment

Action | Submit

-- None --
Submit
No Action

Update **Close**

Attestations (Reaffirmation Approval)

To review attestations sent by the Registered Entity :

1 Navigate to the **Attestations** module.

2 Click **Review** next to the attestation you wish to review.

3 Select the **Renewal Date.**

4 Select **Approve or Disapprove** from the dropdown.

5 Type any **comments.** (Will be visible to the Entity)

6 Click **Update.**

Notice: At the time of updating this User Guide, there are ongoing enhancements ready for future Align deployments to fix Attestation functionality. User Guides will be updated when the deployment(s) occur. The following information reflects the limited functionality that currently exists.

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Attestations (Reaffirmation Approval)

To review multiple attestations sent by the Registered Entity:

1. Navigate to the **Attestations** module.

2. Click the **Bulk Review** button.

3. Click the **link icon.**

4. Check the **checkboxes** next to the attestations you wish to review.

5. Click **Confirm.**

Notice: At the time of updating this User Guide, there are ongoing enhancements ready for future Align deployments to fix Attestation functionality. User Guides will be updated when the deployment(s) occur. The following information reflects the limited functionality that currently exists.

Attestations (Reaffirmation Approval)

⑥ Select the **Renewal Date.**

⑦ Type any **comments.** (Will be visible to the Entity)

⑧ Select **Approve or Disapprove** from the dropdown.

⑨ Click **Update.**

Notice: At the time of updating this User Guide, there are ongoing enhancements ready for future Align deployments to fix Attestation functionality. User Guides will be updated when the deployment(s) occur. The following information reflects the limited functionality that currently exists.

Create Attestation Review

Attestation Review ID   <Value will be generated>

Select Attestations for Review

		APPLICABILITY...	NAME	REGISTRATION	STANDARD	REQUIREMENT	PART	NOTES
🔗	☐	AE / 281085	AE / 281085	NCR9999999 - Second Game...		FAC-003-4 R1.		test
⛓	☐	AE / 281086	AE / 281086	NCR9999999 - Second Game...		BAL-001-2 R1.		I don't like this

Review Response

Renewal Date   06/15/2022   📅

Attestation Review Comment

Attestation Review Conclusion

-- None --
Approve
Disapprove

Update   Close

Attestations (Reaffirmation Request)

To request an entity reaffirm an active attestation:

1 Navigate to the **Attestations** module.

2 Click the **Active Attestations** tab.

3 Click the **Request Reaffirmation link.**

Notice: At the time of updating this User Guide, there are ongoing enhancements ready for future Align deployments to fix Attestation functionality. User Guides will be updated when the deployment(s) occur. The following information reflects the limited functionality that currently exists.

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Attestations (Reaffirmation Request)

ALIGN

4 Select the **Reaffirm Renewal Date.**

5 Type any **comments.** (Will be visible to the Entity)

6 Select **Submit** from the **dropdown.**

7 Click **Update.**

Notice: The renewal of the Active Attestation will now appear in the Requested Reaffirmations section shown on the previous slide.

Notice: At the time of updating this User Guide, there are ongoing enhancements ready for future Align deployments to fix Attestation functionality. User Guides will be updated when the deployment(s) occur. The following information reflects the limited functionality that currently exists.

Create Attestation Reaffirmation Request ✕

Reaffirmation Renewal Date

Reaffirm Renewal Date [📅] **4**

Action

Instructions — To submit this attestation reaffirmation request to the registered entity select "submit" from drop down and then click update.

Reaffirmation Request Comment **5**

Action [|] **6**

-- None --
Submit
No Action

FORM: 01_CEA_Create_ReaffirmationRequest_Single

7 **Update** Close

Sending a Self-Certification Distribution

To send the Self-Certification request(s) to identified Registered Entities:

1 Click the **Request ID** on the Create Distribution tab.

2 Navigate to the **Action tab.**

3 Select **Submit** from the dropdown.

4 Click **Update.**

Notice: The Self –Certification request(s) will now appear in the Active Self-Certs tab or the Scheduled Self-Certs tab if the Start Date occurs in the future

Requests for Extensions

An entity may submit a Request for Extension (RFE) for the Self-Cert. RFEs appear on the My Align dashboard and can be accessed from the Self-Cert RFEs tab.

To approve/disapprove an RFE:

1 Locate the relevant Request for Extension (RFE) in the **Items Awaiting My Review** section in the My Align dashboard (A) or navigate to the **RFEs** tab in the **Self-Certifications** module (B).

2 Click the **RFE Unique ID** to open the RFE for review.

Requests for Extensions

3 Review the request and select **Approved** or **Disapproved** from the dropdown.

If you selected Approved:

4 Select the **New Due Date** for the Self-Cert.

5 Type any **comments** in the textbox for approving.

6 Click **Update.**

If you selected Disapproved:

7 Type any **comments** in the textbox for disapproving.

8 Click **Update.**

Notice: If you select Disapproved, the Entity will need to resubmit the request.

SC2021-000189 | RFE-000043

Request for Extension

Registration: NCR55555 - Test Entity Name Change in WECC
Parent Source: SC2021-000189
Standard / Requirement /Parts: CIP-003-8 R2.; PRC-005-6 R1.
Original Due Date: November 30, 2021
Requested Due Date*: December 1, 2021
Reason for Extension*: Reason

Approval of Request for Extension

Status: Approved
New Due Date: 12/01/2021
Approval Decision Comment:

Requested
-- None --
Approved
Disapproved
Requested

Update   Close

FORM: CEA_RFE_Review

Approval of Request for Extension

Status: Disapproved
Approval Decision Comment:

FORM: CEA_RFE_Review

Update   Close

Reviewing a Self-Certification Response

To view entities' Self-Cert responses submitted for CEA review:

1 Navigate to the **In Review** tab.

2 Open the **Unique ID** you wish to review.

3 In the **Self-Cert Assessments** section, click the **hyperlink** to open the entity's responses.

4 **Review** the entity's responses, including answers.

Reviewing a Self-Certification Response

5 If you need the entity to update their response, select **Revise.**

6 In the **Note** textbox, provide an update to explain to the entity your revision request.

7 Click **Update.**

Self-Cert Assessments

QUESTIONS

REQUIREMENT (PART)	ANSWERED BY	ANSWER	REVIEW NOTE	REVISE
CIP-002-5.1a R1.	NCR55555 Test Company in WECC Editor 1	Compliant	+	
CIP-002-5.1a R1.1.	NCR55555 Test Company in WECC Editor 1	Written Text - Open to View Answer		
	NCR55555 Test Company in WECC Editor	Written Text - Open to View Answer		

Click here to mark this item for Entity revision

Create Session Revision Flag

Session: SC2021-000142 - NCR55555 - Test Entity Name Change in WECC - CIP-002-5.1a R1. - NCR55555 Test Company in WECC Editor 1 (Sep 16, 2021, 7:57:38 PM)

Note *:

Update Close

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Requests for Information

To send a Request for Information to an entity:

1 In the **Requests for Information** section click the **plus icon.**

2 Type request **comments** in the textbox and add any **attachments.**

Notice: You must have an Applicable Standard/Requirement/Part (A) filled in to be able to submit the RFI.

3 Select the **Response Due By** date.

4 Click **Update.**

Notice: Clicking Update will send the Request for Information to the entity for their response. Their response will <u>not</u> appear on your My Align dashboard but will appear in the RFI section of the Self-Cert. In addition, RFIs can be submitted at any time after distribution. RFIs should be placed in Completed status prior to Completing the Self-Cert Review.

| Accessing Align | Self-Cert Overview | Creating a Distribution | Attestations (Self-Certs) | Sending a Self-Cert | Request for Extensions | Reviewing a Self-Cert | Request for Information | Review Notes | Review Comments | Additional Question Responses | Related Findings | Creating a Finding | Submitting a Finding | Related Issues | Completing a Self-Cert Review | Reopening a Self-Cert | Cancelling a Self-Cert | Self-Cert Templates | Self-Cert Admin |

Review Notes

To create a Review Note for a Self-Certification and capture fieldwork details:

1 Navigate to the **In Review** tab.

2 Click the **Unique ID** to open the desired Self-Cert.

3 In the **Self-Cert Assessments section**, click the **plus icon** next to the applicable requirement.

Notice: Self-Cert Review Notes will not be visible to the entity. Adding Review Notes is not required to complete and close the Self-Cert.

Self-Certifications ⌄

Align for Regions ⌄

Create Distribution | Scheduled | Active | **In Review** | Completed | Processed Distributions | ARE Self-Certs | RFIs | RFEs

SELF-CERT SUBMITTALS AWAITING CEA REVIEW

	UNIQUE ID	REGISTRATION	CEA POC	SHORT NAME	STANDARD(S) AND REQUIREMENT(S)	MONITORING PERIOD	SUBMITTAL DATE
☐	SC2021-000136	NCR55555 - Test Entity Name Change in WECC		8/11_Demo_SC	PRC-005-6 R3., CIP-003-8 R2., PRC-019-2 R1., CIP-002-5.1a R1.	01/01/2020 - 12/31/2020	Aug 26, 2021
☐	SC2021-000142	NCR55555 - Test Entity Name Change in WECC		8/17_Demo1_DC	PRC-005-6 R1., CIP-002-5.1a R1., CIP-002-5.1a R2	01/01/2020 - 12/31/2020	Sep 16, 2021
☐	SC2021-000183						
☐	SC2021-000185						
☐	SC2021-000189						

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INSTRUCTIONS

These Self-Certifications have been

Test 1 EM 518

Self-Cert Submitted On   May 19, 2021

Self-Cert Assessments

COMPLETED ASSESSMENT SESSIONS

REQUIREMENT (PART)	ANSWER	CREATE REVIEW NOTE	EDIT/VIEW REVIEW NOTE
BAL-001-2 R1. for VERSION 0	Compliant	**3** +	

Update   **Close**

🏠 Home | ← Previous Page | Next Page →

Review Notes

ALIGN

4 Select your **Review Response** from the **dropdown.**

5 Type any **comments** related to the review completed.

6 Click **Update.**

If you wish to edit your Review Note after creating, click the **Edit** link (A) in the Self-Cert Assessment section to resume updating Review Notes.

Notice: Review Notes are not visible to the Registered Entity.

Review Note

Self Assessment Response

Related Self-Cert	Test 1 EM 518
Registration	NCR9999999 - Second Game Day Friday Entity in MRO
Requirement	BAL-001-2 R1.
Entity Response	Not reviewed

Self Assessment Response

Review Response: In review

- In review
- -- None --
- Closed with no PNC
- Closed with PNC
- In review
- Not reviewed

Review Comment: test

Update **Close**

Self-Cert Assessments

COMPLETED ASSESSMENT SESSIONS

REQUIREMENT (PART)	ANSWER	CREATE REVIEW NOTE	EDIT/VIEW REVIEW NOTE
BAL-001-2 R1. for VERSION 0	Compliant		Edit

A

Review Comments

The **Review Comments** section of the Self-Cert is used to document the CEA reviewer, region comments and response for the overall Self-Cert (summary for all requirement(s) included in the Self-Certification) as well as confirm sending notification to the entity when ready.

Text written into the Region Comment field will be visible to the entity when they open the Self-Cert in Align.

When the review is completed and Region Response is marked Closed, CEAs should ensure "Send Notification of answer to entity" is marked yes.

Test 1 EM 518

Review Comments

Assigned Reviewer

Region comment

Region Response: In review

Send Notification of answer to entity?

Additional Questions

Findings

Request for Extension

Update   Close

Review Comments

ALIGN

To update Review Comments on a Self-Certification:

1 Navigate to the **In Review** tab.

2 Click the **Unique ID** to open the Self-Cert.

3 Scroll to the **Review Comments** section.

Self-Certifications

Align for Regions

Create Distribution | Scheduled | Active | **In Review** | Completed | Processed Distributions | ARE Self-Certs | RFIs | RFEs

SELF-CERT SUBMITTALS AWAITING CEA REVIEW

	UNIQUE ID	REGISTRATION	CEA POC	SHORT NAME	STANDARD(S) AND REQUIREMENT(S)	MONITORING PERIOD	SUBMITTAL DATE
	SC2021-000136	NC					
	SC2021-000142	NC					
	SC2021-000183	NC					
	SC2021-000185	NC					
	SC2021-000189	NC					

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INSTRUCTIONS

These Self-Certifications have been submitted by

SC2021-000183

3 Review Comments

Assigned Reviewer

Region comment

Paragraph | A | Helvetica Neue | 14px | B I U | Timestamp

Region Response | In review

Ensure any Draft Findings created by the CEA are submitted before closure of the Self-Cert. Draft Findings should be submitted from the Findings dashboard.

Send Notification of answer to entity?

Additional Questions

Findings

Request an Extension

Request for Information

Update | Close

Review Comments

(4) Click in the **Assigned Reviewer** field and select reviewer from the dropdown.

Notice: For easier selection, you can also type the name (A) of the reviewer in this field to filter the list of results. Ensure correct name is selected, as this list will currently display entity users as well.

SC2021-000183

Review Comments

(4) Assigned Reviewer

Region comment

Region Response | In review

Ensure a

Assigned Rev **(A)** | WECC E

Region comment | -- None --

WECC Editor 1

WECC Editor 2

WECC Editor 3

WECC Editor 4

WECC Editor 5

WECC Editor 6

Region Response

Ensure any Draft Findings cre

Send Notification of

Update | Close

Review Comments

5. Use the **Region Comment** field to provide any comments to the entity specific to the state of the review (Region Response field). Text entered in this field is visible to the entity.

When closing the Self-Cert, this field should be used to summarize the closure for notification to the entity.

6. Select the **Region Response** from the **dropdown.** Options are:
   Closed with no PNC
   Closed with PNC
   In Review
   Not Reviewed

Notice: When closing the Self-Cert "with PNC" or "with no PNC", if any requirement(s) in scope of the Self-Cert activity resulted in Non-Compliant (entity or CEA determination), "Closed with PNC" should be selected for Region Response status.

SC2021-000183

Review Comments

Assigned Reviewer: WECC Editor 1

Region comment: The responses to this Self-Certification have been reviewed and will be closed with no PNC based on review.

Region Response: Closed with no PNC | In review

-- None --
Closed with no PNC
Closed with PNC
In review
Not reviewed

Ensure any Draft Findings created by the CEA are submitted

Send Notification of answer to entity?

Additional Questions

Findings

Request an Extension

Request for Information

Update Close

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Review Comments

7 Select **Yes or No** for "Send Notification of answer to entity?" using the **dropdown**.

If you select **Yes**, type the response for notification (A) to the entity in the provided textbox. This text is included in the email notification.

If you select **No**, a notification will not be sent to the entity. The entity will not receive an automatic nonfiction of review completed.

Notice: When closing the Self-Cert "with PNC", if any requirement(s) in scope of the Self-Cert activity resulted in Non-Compliant identified by the CEA, ensure Draft Findings are created and submitted (from **Findings** module) before closure of the Self-Cert to ensure preliminary screening occurs with required Rules of Procedure timelines.

8 Click **Update.**

SC2021-000183

Review Comments

Assigned Reviewer	WECC Editor 1
Region comment	The responses to this Self-Certification have been reviewed and will be closed with no PNC based on review.
Region Response	Closed with no PNC

Ensure any Draft Findings created by the CEA are submitted before closure of the Self-Cert. Draft Findings should be submitted from the Findings dashboard.

7

Send Notification of answer to entity?	Yes
Notification content of answer to entity	**A** This Self-Certification review is completed and closed. Please refer to Align for additional information, including specifics on provided Related Issues.

Additional Questions

8 Update   Close

Reviewing Additional Question Responses

If Additional Questions were included in the Self-Certification activity, entity responses should be reviewed.

1. Scroll to the **Additional Questions** section of the Self-Cert.

2. Review the answers to any additional questions included.

Notice: Additional Questions are added through the **Self-Certification Administration** module. Additional details for custom questions will be included in future user guide revisions.

Short Name

① Additional Questions

QUESTION	ANSWER
What is your favorite color?	Green

②

Findings

Request for Extension

Requests for Information

Accessing Align | Self-Cert Overview | Creating a Distribution | Attestations (Self-Certs) | Sending a Self-Cert | Request for Extensions | Reviewing a Self-Cert | Request for Information | Review Notes | Review Comments | Additional Question Responses | Related Findings | Creating a Finding | Submitting a Finding | Related Issues | Completing a Self-Cert Review | Reopening a Self-Cert | Cancelling a Self-Cert | Self-Cert Templates | Self-Cert Admin

Related Findings

Any Findings related to the scope of the Self-Cert can be reviewed through the Findings section of the Self-Cert record. The Related Findings portlet will display the Align ID, requirement, status, start date, and monitoring method.

To locate:

1 Scroll to the **Findings** section and click to expand.

2 Click on any ID, if any, to see further details about the finding.

Notice: If the entity replied to any Self-Cert Assessments as Non-Compliant but a related Finding cannot be identified, such as one identified with "Self-Certification" as the monitoring method (A), region staff should follow up with the entity to confirm Finding record(s) exist.

SC2021-000189

Findings **1**

Note: The red flag indicates there is an Active Attestation

CREATE FINDING

REGISTRATION	REQUIREMENT	CREATE FINDING
NCR55555 - Test Entity Name Change in WECC	PRC-005-6 R1.	+
NCR55555 - Test Entity Name Change in WECC	CIP-003-8 R2.	+

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RELATED FINDINGS **2**

ID	REGISTRATION	REQUIREMENT	STATUS	START ...	MONIT...
Type: Potential Non-	NCR55555 - Test Entity Name...	CIP-003-8 R2.	Processing Complete	08/24/2020	Self-Report
Type: Potential Non-	NCR55555 - Test Entity Name...	PRC-005-6 R1.	Processing Complete		Self-Certification **A**
Type: Potential Non-	NCR55555 - Test Entity Name...	CIP-003-8 R2.	Processing Complete	02/24/2021	Self-Report
2021-00600 Type: Potential Non-	NCR55555 - Test Entity Name...	CIP-003-8 R2.	Processing Complete		Self-Certification
Type: Potential Non-	NCR55555 - Test Entity Name...	CIP-003-8 R2.	PNC Review		Self-Certification

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Request an Extension

Request for Information

Creating a Finding

To create a Finding related to the Self-Certification:

(1) Navigate to the **In Review** tab.

(2) Click the **Unique ID** to open the Self-Cert.

(3) Click to expand the **Findings** section.

(4) Locate the relevant requirement and click the **plus icon.**

Creating a Finding

5 Following region processes, fill out the **Create a Finding** form.

6 Click **Save.**

The draft Finding created will display in the Findings section of the Self-Cert, but the CEA will need to submit the draft from the **Findings** module in Align.

Ensure any changes to the Self-Cert record are saved (pressing Update) before moving to next steps.

Notice: Refer to the **Align Enforcement and Mitigation User Guide** for additional instructions when creating a Finding.

Create a Finding

Instructions **5**

Complete the information on this form and **Save** your Finding as a draft. You can access draft Findings under the **Drafts** section of the **Create Finding** tab and continue editing until you are ready to submit.

Created By CEA   Yes

Monitoring Method   Self-Certification

General Information

Registration   NCR55555 - Test Entity Name Change in WECC

Entity in Coordinated Oversight   No

Applicable Requirement   PRC-005-6 R1.

Applicable Part(s)   PRC-005-6 R1.1. ×   PRC-005-6 R1.2. ×

Applicable Reliability Function(s)   BA ×   GO ×

Region – Jurisdiction in which the Potential Noncompliance occurred   WECC-US

Other Region – Jurisdiction(s) where you are reporting this Potential Noncompliance

Discovery and Description

When was the Potential Noncompliance discovered?*

How was this Potential Noncompliance

When did the Potential Noncompliance start? *

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

Save   Close   **6**

Submitting a Finding

To submit a Finding:

1 Navigate to the **Findings** module.

2 In the **Draft Findings** section, click the **Unique ID** of the Finding to open it.

3 If the Finding drafted is ready for next steps, in the **Action** section, select **Submit** from the **dropdown.**

4 Click **Save and Action.**

Notice: Clicking Save will only update the draft and will not *action* the Finding to a submitted state.

Related Issues

To create a Positive Observation, Area of Concern, or Recommendation:

1 Navigate to the **In Review** tab.

2 Click the **Unique ID** to open the Self-Cert.

3 Click to expand the **Related Issues** section.

4 Click the applicable **plus icon** to add a:
(A) Positive Observation
(B) Area of Concern
(C) Recommendation

Notice: There is a delay after clicking the + sign to add Positive Observations, Areas of Concern, and Recommendations. Please be patient for the pop-up to open. Any additional clicking will result in multiple popup windows opening unnecessarily.

Related Issues

5 Fill out the information related to the Issue for the Self-Cert.

6 Click **Save**.

Notice: The Related Issue that was just created will be in a "Draft" status by default. The user can choose to change the status to "Final" prior to saving, or the user can go back in and change the status to "Final" prior to completing the Self-Cert Review. All issues must be completed prior to completing the Self-Cert.

Also, entities are not automatically notified of any included Related Issues with the Self-Cert review. CEAs should ensure the entity is notified if Related Issues are included in the completion of the Self-Cert.

Completing a Self-Certification Review

If you have completed your review and are ready to close the Self-Cert:

1 Ensure **Review Comments** section is updated and **Region Response** per region processes. If closed with PNC, ensure related Finding(s) exist. Also ensure a notification is sent to the entity with completion.

2 Scroll to the **Action** section, select **Review Completed** from the dropdown.

3 Click **Update.**

SC2021-000183

1 **Review Comments**

Assigned Reviewer: WECC Editor 1

Region comment: The responses to this Self-Certification have been reviewed and will be closed with no PNC based on review.

Region Response: Closed with no PNC

Ensure any Draft Findings created by the CEA are submitted before closure of the Self-Cert. Draft Findings should be submitted from the Findings dashboard.

Send Notification of answer to entity?: Yes

Notification content of answer to entity: This Self-Certification review is completed and closed. Please refer to Align for additional information, including specifics on provided Related Issues.

Region Attachments

Attachments: **Attach file**

Action **2**

Instructions: When Review and Approval have been completed, this Self Certification can be completed by selecting the "Review Completed" Action option and clicking "Update" below.

Action: Review C | Review Completed
-- None --
Reopen
No Action
Review Completed

Update **3**

Reopening a Self-Certification

Sometimes a Self-Cert should be reopened to allow the Registered Entity to revise their response or for the CEA to add additional notes.

To reopen a completed Self-Cert:

1 Navigate to the **In Review** or **Completed** tab.

2 Click the **Unique ID** to open the Self-Cert.

3 Scroll to the **Action Section.**

Reopening a Self-Certification

4 Click the **Action** section to expand it.

5 Select **Reopen** from the dropdown.

6 Click **Update.**

By reopening the Self-Cert, it will be sent back to the **Active** tab, and the entity will be able to edit its response.

Notice: The entity will not receive an email notification that the Self-Certification has been reopened. The CEA will need to contact the entity prior to reopening.

Test 1 EM 518

	RFI ID	REQUESTOR CONTACT	RESPONDENT CONTACT	RESPONSE DUE BY
		This table is empty		

Evidence

Secure Evidence Locker Instructions — Submit Evidence or Attachments related to this Self-Cert via ERO Secure Evidence Locker (SEL) with the following reference number:

MRO|NCR9999999|VITest 1 EM 518|VITest 1 EM 518|BAL-001-2|R1.|1.

If the entity is hosting its own SEL, please provide a hyperlink to their locker in the comment section above.

Region Attachments

Attachments — **Attach file**

Action

4

Instructions — When Review and Approval have been completed, this Self Certification can be completed by selecting the "Review Completed" Action option and clicking "Update" below.

Action — Reopen

Reopen
-- None --
Reopen
No Action
Review Completed

5

Update Close

6

Cancelling a Self-Certification

To cancel a Self-Certification request that was previously scheduled or sent to an entity:

1 Navigate to the **Active** or **Scheduled** tab.

2 Click the **Unique ID** to open the Self-Cert.

3 Click the **Edit** button.

4 Click **Action (Optional – Click to Expand)** and then select **Cancel** from the dropdown.

5 Click **Update.**

Notice: The Self-Cert will now appear in the Completed Self-Certs section with a status of Cancelled. A Self-Cert request can only be canceled if it is in Active or Scheduled Status. To cancel a Self-Cert in Review, the user must reopen it to send it back to Active Status and then follow the steps to cancel.

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Self-Certification Templates (Create)

Previous Self-Cert Distributions can be used to create templates for Self-Cert Distributions.

To create a template from a previous distribution:

① From the Self-Certification module, navigate to the **Processed Distributions** tab.

② Click the **plus icon** next to the Self-Cert distribution you wish to use for creating a template.

Self-Certification Templates

3 Type the **Name, Compliance Year,** and update any **Dates**. The short name will be visible to entities.

4 Update instructions for this distribution in the field labeled **Instructions to entity**.

Notice: Any text added to this field will be visible to the entity(ies) that are included in this distribution.

5 Click **Update.**

Notice: The draft Self-Cert template you just created will now appear under the **Create Distribution** tab (A).

Self-Certification Templates (Favorite)

To mark a particular Self-Cert distribution as a favorite:

1 From the Self-Certifications module, navigate to the **Processed Distributions** tab.

2 Click the **plus icon** next to the Self-Cert distribution you wish to mark as a favorite for templates.

3 Populate **General** information per previous page of instructions.

4 Select the **checkbox** next to Mark as Favorite/Template.

5 Click **Update.**

Notice: Once the draft distribution is processed, it will display with a ribbon icon next to it (A) and appear at the top of the Processed Distributions tab's list for future use.

Self-Certification Administration

Regions can create specific custom questions to augment Self-Certification activities using the **Self-Cert Administration** module.

When region users are drafting potential custom questions for Self-Certs, please ensure the Align Training environment is used to test prior to creating in production. This ensures any configuration issues are identified and resolved before questions are used with an active Self-Cert distribution.

Notice: Additional instructions for custom questions will be added in future user guide revisions to detail nuances and lessons learned through CMEP activities.

Self-Certification Administration

To add a custom question:

① Navigate to the **Self Cert Administration** module.

② Click the **New Question Group** link.

③ The **New Question Template** window will open for next steps.

Self-Certification Administration

4 Enter a **name** for the Question Group.

5 Select **Self Cert** from the Category dropdown.

6 Add a **Description** of the Question Group.

7 Select either **Part** or **Requirement** as the Subject Type.

New Question Template

Name * :
Category * :
Description:

--- None ---
--- None ---
Question Templates
------- Question Template Category -------
PDS
Self-Cert

Subject Type:
Has Specific Subjects:
Subjects:

Disable Approve/Reject in Multi-step Assessment:
DWH Table Name:

Requirement
PDS Registration Selection
Periodic Data Submittal
Periodic Data Submittal Distribution
Person
Policy
Policy Statement
Potential Non-Compliance
Process
Product
Product Category
Question Template Category
Region-Jurisdiction
Registration
Registration Scope
Reliability Function
Rental Contract
Report Container
Request for Extension
Request for Information
Requirement

Update | Cancel

Self-Certification Administration

8 Leave the **Has Specific Subjects** field as Yes.

9 Click the **Ellipsis (...)** button.

10 Check the **boxes** next to the parts or requirements you want to create a set of questions for.

11 Click the **OK** button.

Self-Certification Administration

To filter the list of parts or requirements:

13 Type in a part of the standard you are looking for and click **Go.**

14 After you click Go, the page numbers may not update. Click the **next arrow** to see more results and the actual page count.

15 Select parts or requirements.

16 Click the **OK** button.

Accessing Align | Self-Cert Overview | Creating a Distribution | Attestations (Self-Certs) | Sending a Self-Cert | Request for Extensions | Reviewing a Self-Cert | Request for Information | Review Notes | Review Comments | Additional Question Responses | Related Findings | Creating a Finding | Submitting a Finding | Related Issues | Completing a Self-Cert Review | Reopening a Self-Cert | Cancelling a Self-Cert | Self-Cert Templates | Self-Cert Admin

Self-Certification Administration

17 Click the **Update** button.

18 Click the **Refresh** button to pull in the new question group.

19 Click the **Assessment Type Missing** link to complete the Group.

Subject Type: Part
Has Specific Subjects: Yes
Subjects: BAL-002-1a R4.1.
BAL-002-1a R4.2.
Disable Approve/Reject in Multi-step Assessment: No
DWH Table Name:

Update | Cancel

17

Self Cert Administration

Align for Regions

Self-Cert Library

MRO Editor 1

REGION QUESTION LIBRARY INSTRUCTIONS

From here, you can create region-specific questions to augment those defined for the entire ERO. To begin, create a **New Question Group** and select the subject type (whether it applies to Requirements or Parts) and then the subjects (i.e., specific requirements/parts) to which it should apply. Then select "Update."

Refresh the top table on the left to see the created question Group. Click on Assessment Type Missing and choose the following options:

Negate	do not use this field
Assessment Attribute	Assessmentdefinition.Assessmenttype
Operation Value	=
Value	Self-Certification <your Region>

Add Questions to the Question Group by clicking on the Add Question link. Clicking on a Question Group will filter the Questions below.

SELF CERT ADMINISTRATION - CUSTOM REGION QUESTION GROUPS

	GROUP NAME	APPLICABLE SUBJECTS	
☐	Test Group Question 2 Assessment Type Missing	BAL-002-1a R4.1., BAL-002-1a R4.2.	Add Question

19

Page 1 of 1

18

Self-Certification Administration

To fill out the fields on this form, follow the directions in the Instructions panel (A).

20   Leave the **Negate** field at its default selection of "None".

21   Select the **Assessment Definition.Assessment Type** option from the Assessment Attribute dropdown.

Self-Certification Administration

22 Select **=** for the Operation field. This will create a new field called Value.

23 **IMPORTANT**: Be sure to select the correct Region for whom this Question Group applies in the **Value** field. Align will assign the questions you add to the group to this Region.

24 Click the **Update** button. Align will assign the questions you add to the group to this Region.

Self-Certification Administration

To add questions to the group that you have created:

(25) Click the **Add Question** link.

(26) Give the question a **Name** for your reference.

(27) Type the question that you want the entity to answer into the **Question** field.

(28) Add any instructions or clarifications into the **Help Text** field (not mandatory).

SELF CERT ADMINISTRATION - CUSTOM REGION QUESTION GROUPS

	GROUP NAME	APPLICABLE SUBJECTS	
	Test Group Question 2 Self Certification MRO	BAL-002-1a R4.1., BAL-002-1a R4.2.	Add Question

(25)

Question

Name * :
Question * : **(26)**

(27)

Question Parameters: <ca_CFRNotApplicable>, <ca_PendingInactive>, <ca_rankID>, <ca_CEANotApplicable>, <ca_AdditionalEffectiveDateDetails>, <ca_CFRNotes>, <ca_PriorVersion>, <ca_AdditionalApplicabilityDetails>, <ca_SubReqOrPartLanguage>, <ca_requirement>, <ca_PartApplicability>, <ca_StandardRegionJurisdiction>, <ca_InactiveDate>, <ca_InternalNotes>, <ca_PartNumber>, <ca_ParentCopy>, <ca_EffectiveDate>, <ca_versionHistory>, <ca_CEANotes>, <ca_MeasuresandValidationGuidance>, <ca_ParentOriginal>, <ca_PublicNotes>, <description>, <label>, <parentObject>

Help Text: **(28)**

References:

Type * :	Text Line
Mandatory:	No
Mandatory based on question:	--- None ---
Before Question:	--- None ---
Grouped Question:	No
Has Reporting Column:	No

Type specific details

Default Value:	
Number Of Characters:	
Style:	--- None ---
Width of Question Text (%):	
Is Hidden:	No

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Self-Certification Administration

29 Select the question **Type** from the Predefined Question Type section of the Type dropdown.

NOTICE: The Document option in the Type dropdown will allow your entities to Attach documents within Align. This would only be used in rare cases as all artifacts should come through the ERO SEL.

30 Depending on the Type that you select, you can adjust the parameters of the question in the **Type specific details** section (not mandatory).

31 Click the **Update** button.

Question Parameters: `<ca_CFRNotApplicable>, <ca_PendingInactive>, <ca_rankID>, <ca_CEANotApplicable>, <ca_AdditionalEffectiveDateDetails>, <ca_CFRNotes>, <ca_PriorVersion>, <ca_AdditionalApplicabilityDetails>, <ca_SubReqOrPartLanguage>, <ca_requirement>, <ca_PartApplicability>, <ca_StandardRegionJurisdiction>, <ca_InactiveDate>, <ca_InternalNotes>, <ca_PartNumber>, <ca_ParentCopy>, <ca_EffectiveDate>, <ca_versionHistory>, <ca_CEANotes>, <ca_MeasuresandValidationGuidance>, <ca_ParentOriginal>, <ca_PublicNotes>, <description>, <label>, <parentObject>`

Help Text:

References:

Type * : Text Line

TPL-007-4

Mandatory: TPL-007-4 Requirement

Mandatory based on question: Y/N/NA

------- Predefined Question Type -------

Before Question: Create Issue

Grouped Question: Date

29 Document

Has Reporting Column: No Answer

Number

Type specific details Text

Text Line

30 Default Value:

Number Of Characters:

Style: --- None ---

Width of Question Text (%):

Is Hidden: No

31 Update | Cancel

Self-Certification Administration

Custom Region Questions (A)

Once you complete a question, it will appear in the Custom Region Questions section. Notice that there are two copies of the same question – one for each Requirement or Part that it applies to.

Self-Cert Question Preview (B)

Once you have added an active question, you will see it appear on each new Self-Cert that you create in the Self-Cert Question Preview section when creating distributions. The question preview will only show up prior to the Self-Certification being distributed (only while it appears in the Create Distribution tab of the Self-Certification module).

Notice: It is vital to ensure custom questions are working properly. Region users should first create these questions in the Align Training environment prior to creating them in Production. If errors are made when entering questions in Production and distributed to entities, they cannot be fixed after and will require cancelling the Self-Cert request(s) to reissue with fixed questions.

Self-Certification Administration

If you need to inactivate a question, from the Self-Cert Administration module:

1 Select the **Click here to edit** link for the desired question.

2 Change the **Is Hidden** field to 'Yes'.

NOTICE: You cannot hide a question that is mandatory (A). This will throw an error (B). Ensure questions are not marked mandatory before hiding them.

3 Click the **Update** button.

Appendix: Revision History

Revision Date	Brief Description of Updates
2021	Initial release of guide (Align Release 2)
December 2024	Retitled user guide to reflect Align module rather than Release 2 Corrected typos Updated steps and screenshots to match recent updates in SC module