

# Align IRA and COP User Guide



Welcome to the Align User Guide for the Inherent Risk Assessment (IRA) and Compliance Oversight Plan (COP) module specific to registered entity role. Along with the Align [instructional videos](#), this user guide will help navigate the features of this module. Click on a topic in the list below or in the ribbon above to begin.

- 1 Accessing Align
- 2 IRA Questionnaire
- 3 IRA Questionnaire: Risk Factors
- 4 IRA Questionnaire: ERPQ
- 5 IRA Questionnaire: Submitting for CEA Review
- 6 Compliance Oversight Plan
- 7 Risk Elements
- 8 Risk Categories
- 9 Performance Considerations

# Accessing Align



From the *Align Log-in Page*

1 Enter the **Align Username**

2 Enter the **Align Password**

B Wise Logon

User Name:

Password:

OK Cancel

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

# IRA Questionnaire



To answer an IRA Questionnaire:

- 1 Navigate to the **IRA and COP** view.
- 2 On the IRA Questionnaires tab, select the relevant **Label ID** of the questionnaire to answer.
- 3 Review the **General** information.

The screenshot displays the ALIGN system interface. The top navigation bar includes 'My Align' and 'Align For Entities'. The main content area shows the 'IRA and COP' view with a sidebar menu on the left. The sidebar menu has 'IRA and COP' highlighted with a circled '1'. The main area shows a table of questionnaires with 'IRA Questionnaires' selected. A circled '2' highlights the 'Label ID' 'IR22-00265' in the table. Below the table, a detailed view of the 'IR22-00265' questionnaire is shown, with a circled '3' highlighting the 'General' information section.

LABEL ↑	ENTITY	RISK FACTORS	MONITORING PERI...	DUE DATE	QUESTIONNAIRE S...
IR22-00265	NCR9999999 - Second Game Day Friday Entity in MRO	Balancing Authority (BA) Coordination, CIP - External Electronic Communication, CIP -	11/03/2022 - 02/03/2	2/3/2023 92 days to complete	Requested

**IR22-00265**

**General**

Assessment Type ERP Questionnaire IRA Name IR22-00265 NCR9999999 - Second Game Day Friday Entity in MRO

Registration NCR9999999 - Second Game Day Friday Entity in MRO Submit on or after 11/3/2022

Assessors - But no later than 02/3/2023

Risk Factors Largest Generation Facility, CIP - Monitor and Control Capability, CIP - External Electronic Communication, Workforce Capability, Transmission Portfolio, Variable Generation, Voltage Control, Critical Transmission, Balancing Authority (BA) Coordination, CIP - Impact Rating Criteria, UVLS, Total Generation Capacity, UFLS Development and Coordination, System Restoration, Planned Facilities, RAS/SPS CEA MRO

Update Cancel





# IRA Questionnaire: Risk Factors

4

Scroll down to the Risk Factor Questions and click the **Click to assign** link for each question to initialize the assignment process.

5

Once you click the Click to assign option, the **Click here to Finalize** link will appear to finalize assigning each risk factor question. Click the link to assign a user to the question.

The screenshot displays the IRA Questionnaire Risk Factors interface. It features two overlapping windows. The top window shows a table with columns SUBJECT, REVISION, and STATUS. The bottom window shows a list of risk factor questions with 'Click to assign' links. A third window shows the 'RFQ-22-00001307' assignment form with instructions and a list of persons to assign.

SUBJECT	REVISION	STATUS
Critical Transmission  <a href="#">Click to assign</a>	Not Assigned	NOT ASSIGNED

  

SUBJECT	REVISION	STATUS
Critical Transmission <a href="#">Assignment Finalization Incomplete - Click here to Finalize</a>		
UVLS  <a href="#">Click to assign</a>		
CIP – Monitor and Control Capability  <a href="#">Click to assign</a>		
Total Generation Capacity  <a href="#">Click to assign</a>		
Variable Generation  <a href="#">Click to assign</a>		
Transmission Portfolio  <a href="#">Click to assign</a>		
Balancing Authority (BA) Coordination  <a href="#">Click to assign</a>		

  

**RFQ-22-00001307**

**General Instructions**

Assignment must have only **One** Person assigned.

To submit the Assignment, select **Assign** in the **Action** field and click the **Update** button.

**Persons**

- ASSIGNEE
- NCR9999999 Second Day Training Test 2 Editor 2

**Update** **Cancel**



# IRA Questionnaire: Risk Factors



Each question will automatically populate the assignee list with the account you are using (A). If you want to add other assignees, click the link icon (B) in the corner.

- Once you have the correct accounts in the Assignee list, select **Assign** from the Action dropdown.
- Click the **Update** button to save the assignments.

The screenshot displays a web application window titled "RFQ-22-00001307". It features a table with the following content:

Persons	
<input type="checkbox"/>	ASSIGNEE
<input type="checkbox"/>	NCR9999999 Second Day Training Test 2 Editor 2

At the top right of the table is a link icon labeled "B". Below the table, there is a pagination control showing "Rows per page: 25" and "1 - 1 of 1".

An action dropdown menu is open, showing the following options:

- Action
- Search...
- None
- Assign

The "Assign" option is highlighted with a yellow circle labeled "6".

At the bottom right of the window, there are "Update" and "Cancel" buttons. The "Update" button is highlighted with a yellow circle labeled "7".

A yellow arrow labeled "A" points to the "ASSIGNEE" row in the table.



# IRA Questionnaire: Risk Factors

If you need to assign a question to a different person after you have already assigned it to someone else:

- 8 Click the **Assign again** link next to the relevant question.
- 9 This will duplicate the question (A). Look for the **Click here to Finalize** link to re-assign the question and follow steps 6 and 7 to assign user(s) to the question.
- 10 The assignee can then click the **Click here to answer** link to submit an answer.

IR22-00265

SUBJECT	REVISION	STATUS
Critical Transmission  <a href="#">Assign again</a> Assigned to you NCR9999999 Second Day Training Test 2 Editor 2 - <a href="#">Click here to answer</a>	Initial Response	<b>NEW</b>
UVLS  <a href="#">Assign again</a> Assigned to you NCR9999999 Second Day Training Test 2 Editor 2 - <a href="#">Click here to answer</a>	Initial Response	<b>NEW</b>
CIP - Monitor and Control Capability  <a href="#">Click to assign</a>	Not Assigned	<b>NOT ASSIGNED</b>

IR22-00265

SUBJECT	REVISION	STATUS
Critical Transmission  <a href="#">Assign again</a> Assigned to you NCR9999999 Second Day Training Test 2 Editor 2 - <a href="#">Click here to answer</a>	Initial Response	<b>NEW</b>
UVLS  <a href="#">Assign again</a> Assigned to you NCR9999999 Second Day Training Test 2 Editor 2 - <a href="#">Click here to answer</a>	Initial Response	<b>NEW</b>
Critical Transmission Assignment Finalization Incomplete - <a href="#">Click here to Finalize</a>		
CIP - Monitor and Control Capability  <a href="#">Click to assign</a>		

IR22-00265

SUBJECT	REVISION	STATUS
Critical Transmission  <a href="#">Assign again</a> Assigned to you NCR9999999 Second Day Training Test 2 Editor 2 - <a href="#">Click here to answer</a>	Initial Response	<b>NEW</b>
UVLS  <a href="#">Assign again</a> Assigned to you NCR9999999 Second Day Training Test 2 Editor 2 - <a href="#">Click here to answer</a>	Initial Response	<b>NEW</b>
Critical Transmission  <a href="#">Assign again</a> Assigned to you NCR9999999 Second Day Training Test 2 Editor 2 - <a href="#">Click here to answer</a>	Initial Response	<b>NEW</b>
CIP - Monitor and Control Capability  <a href="#">Click to assign</a>	Not Assigned	<b>NOT ASSIGNED</b>

# IRA Questionnaire: Risk Factors

To delete duplicate questions:

11 Click the **checkbox** link next to the duplicate question.

12 This will show the **delete** icon. Click it to delete the selected duplicate question.

13 Click **Yes** to confirm.

14 Click the **Refresh** icon to refresh the list.

RISK FACTOR QUESTIONS

<input checked="" type="checkbox"/> SUBJECT ↑	REVISION	STATUS
CIP - Impact Rating Criteria  Assign again Assigned to you NCR9999999 Second Day Training Test 2 Editor 2 - Click here to answer	Initial Response	<u>NEW</u>
<input checked="" type="checkbox"/> CIP - Impact Rating Criteria Assigned to you NCR9999999 Second Day Training Test 2 Editor 2 - Click here to answer	Not Assigned	<u>PENDING ASSIGNMENT</u>
Largest Generation Facility  Click to assign	Not Assigned	<u>NOT ASSIGNED</u>
Planned Facilities  Click to assign	Not Assigned	<u>NOT ASSIGNED</u>
RAS/SPS  Click to assign	Not Assigned	<u>NOT ASSIGNED</u>
System Restoration  Click to assign	Not Assigned	<u>NOT ASSIGNED</u>

11

12

14

## Delete Elements

Do you want to delete the selected elements?

13

Yes

No



# IRA Questionnaire: Risk Factors

15 Answer the **questions** associated with this Risk Factor. You can click the Previous button (A) to see your answers from a previous IRA in a side-by-side view.

16 When you are ready to submit the answer click the **Save** button. If you are not ready to submit, click **Save Draft**.

17 You will not be able to modify answers once you save them, so Align asks you to confirm. Click **Yes** if you are ready to submit the answers.

18 Click the **X** button to close out of the blank window that remains after you save.

IR22-00267 - RFQ-22-00001340 - NCR99999999 - Second Game Day Friday Entity in MRO - Transmission Portfolio - NCR999999...

### Transmission Portfolio

Is Texas RE your Region?  Yes  No

What is the length of transmission lines for which your entity is currently responsible for owning, coordinating, planning, or monitoring? List total transmission lines in miles for the following voltage class: 100 kV ≤ and < 200 kV. **15**

What is the length of transmission lines for which your entity is currently responsible for owning, coordinating, planning, designing, or monitoring? List total transmission lines in miles for the following voltage class: 200 kV ≤ and < 300 kV.

What is the length of transmission lines for which your entity is currently responsible for owning, coordinating, planning, designing, or monitoring? List total transmission lines in miles for the following voltage class: > 300 kV.

What is the maximum voltage class for a transmission facility that your entity owns, operates, or monitors?

**16**

**17**

**18**

**A** Previous

SAVE

Stored answers cannot be changed. Do you want to continue?

Questions



# IRA Questionnaire: ERPQ

After completing Risk Factor Questions, scroll down to the Entity Risk Profile Questionnaire (ERPQ) to assign the ERPQ:

- 19 Click the **Click to assign** link to initialize the assignment process and the **Click here to Finalize** (once visible) link to finalize assigning the ERPQ. Click the link to assign a user to the ERPQ.
- 20 Assign the appropriate people to the **Assignee** section.
- 21 Select **Assign** from the Action dropdown.
- 22 Click the **Update** button.

The screenshot shows the IRA Questionnaire: ERPQ interface. The main window displays the ERPQ details for IR22-00267, including sections for RAS/SPS, Workforce Capability, and Transmission Portfolio. Below these is the 'ENTITY RISK PROFILE QUESTIONNAIRE (ERPQ)' section with a 'SUBJECT' dropdown and an 'Assignment Finalization Incomplete - Click here to Finalize' link. A modal window is open, showing the 'ASSIGNEE' list with one user selected: 'NCR9999999 Second Day Training Test 2 Editor 2'. The 'Action' dropdown is set to 'Assign', and the 'Update' button is highlighted.

# IRA Questionnaire: ERPQ

23

Answer the **questions** associated with this ERPQ. You can click the **Previous** button to see your entity's answers to a previous IRA.

24

Answer the **questions** on the left panel (using the right for reference of previously provided responses).

25

It is mandatory to answer the **final question**, as this acknowledges when you click the Save button, you will submit the ERPQ and will not be able to edit responses.

26

Click the **Save** button when you are ready to submit your answers. Click **Save Draft** if you want to come back and edit later.

*Notice:* If you identify a need to update your ERPQ responses after submission to CEA, please work with your region directly.

The screenshot displays the IRA Questionnaire: ERPQ interface. It features a 'Questions' panel on the left and a 'Previous Answers' panel on the right. The 'Questions' panel shows the entity 'NCR9999999 - Second Game Day Friday Entity in MRO' and the subject 'IR22-00267'. A question is displayed: '(EQ\_002) Describe the type of monitoring and situational awareness tools used.' Below the question is a text input field containing 'test'. The 'Previous Answers' panel shows the same question and subject, with the answer 'test'. A confirmation dialog box is overlaid on the interface, asking 'I acknowledge that clicking 'Save' will submit the questionnaire and I will not be able to' with a 'Yes' dropdown menu. Below the dialog is a 'Delegate Section' toggle switch. At the bottom of the dialog are 'Save Draft', 'Save', and 'Cancel' buttons. A 'Timestamp' icon is visible in the bottom left of the 'Questions' panel. A vertical sidebar on the right contains navigation icons for 'Previous' and 'Next'.

# IRA Questionnaire: ERPQ

To export the Risk Factor and ERPQ Questionnaires after completion:

27 At the bottom of the IRA Questionnaires tab in the Export section, click the [here](#) link within 'Click here to export'.

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

28 This will open a new tab on your browser with both the [RFQ and ERPQ Questionnaires](#). Responses that have been saved will show on the export.

29 Click the [Save](#) button to save the questionnaire as a PDF to your desired file location.

*Notice:* The questionnaire within the Align interface will hide or show questions based on responses to previous questions. However, when you export the questionnaires to PDF, it will show all questions.

**Action**

Instructions

Please select the next action step below

IRA cannot be submitted for CEA Review until all Risk Factor Questions and the ERPQ are in a COMPLETED status.

Move to CEA Review

**Export** 27

Click here to export

Update Cancel

7 Items

Web Intelligence

Navigation Map

28

29

CIP - Impact Rating Criteria

Question	Answer	Assessor	Answered On
Does your entity own any high impact BES Cyber Systems (BCS)?			
Does your entity own any low impact BES Cyber Systems (BCS)?			
Does your entity own any medium impact BES Cyber Systems (BCS)?			
What are the total number of high impact BES Cyber Systems (BCS) that your entity is responsible for operating, monitoring, or maintaining?			
What are the total number of low impact BES Cyber Systems (BCS) that your entity is responsible for operating, monitoring, or maintaining?			

# IRA Questionnaire: Submitting for CEA Review

30

Scroll down to the **Evidence** section to find the SEL Reference ID to use in the submission portal for uploading any necessary documents to the Secure Evidence Locker.

31

Click to expand the **Action** section.

32

Toggle on the **Move to CEA Review** option.

33

Click the **Update** button when you are ready to submit the IRA for CEA review.

**Evidence**

Secure Evidence Locker Instructions

Submit Evidence or Attachments related to this Entity Profile Questionnaire via ERO Secure Evidence Locker (SEL) with the following reference number:

**SERC|NCR01166|IR24-00257|IR24-00257|||**

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

**Action**

**Export**

Click here to export

**IR22-002**

**Action**

Instructions

Please select the r

IRA cannot be submitted for CEA Review until all Risk Factor Questions and the ERPQ are in a COMPLETED status.

Move to CEA Review

**Export**

Click here to export

**Update** **Cancel**

# Compliance Oversight Plan



The Compliance Oversight Plan tab is for reference only. To view a Compliance Oversight Plan:

- 1 Click the **Compliance Oversight Plan** tab, under the **IRA and COP** view.
- 2 Click the **View COP** link.
- 3 Click through the tabs within the COP form to explore its details, or
- 4 You can see the same information in a PDF form by clicking the COP Report link accessed on the General tab.
- 5 Click the **Close** button.

*Notice:* A red X in the 'View COP' and 'Status' column means a COP is not currently available for the entity in that region.

The screenshot shows the 'IRA and COP' view in the system. The 'Compliance Oversight Plan' tab is selected. A table lists COPs with columns for Entity Name, CO Group, CEA, View COP, Status, Monitoring Interval, and Latest COP Finalization Date. A modal window is open for 'COP22-00094 NCR9999999 - Second Game Day Friday Entity in MRO'. The modal has tabs for General, 1.0 Purpose, 2.0 Analysis and Results, 3.0 Oversight Strategy, Appendix A: IRA Results Summary, and Appendix B: Standards and Requirements for Monitoring. The 'General' tab is active, showing details like Registration, Compliance Enforcement Authority, COP Created On, and Approval Date. A 'Click here to open COP Report' link is visible. A 'Close' button is at the bottom right of the modal.

ENTITY NAME	CO GROUP	CEA	VIEW COP	STATUS	MONITORING INTERVAL	LATEST COP FINALIZATION DATE
NCR9999999 - Second Game Day Friday Entity in MRO		MRO	<a href="#">View COP</a>	Complete	Every 2-4 years	11/08/2022
NCR9999999 - Second Game Day Friday Entity in RF		RF	X			

**Modal Window: COP22-00094 NCR9999999 - Second Game Day Friday Entity in MRO**

General | 1.0 Purpose | 2.0 Analysis and Results | 3.0 Oversight Strategy | Appendix A: IRA Results Summary | Appendix B: Standards and Requirements for Monitoring

**General**

Registration: [NCR9999999 - Second Game Day Friday Entity in MRO](#)

Registration(s): NCR9999999 - Second Game Day Friday Entity in MRO

Compliance Enforcement Authority: MRO

COP Created On: November 8, 2022

Approval Date: November 8, 2022

Note: Please note that you are viewing this form with a read-only account, therefore causing certain actions not to be permitted.

[Click here to open COP Report](#)

FORM 83\_RE\_Completed

Close



# Risk Elements

The Risk Elements tab is for reference only and is not related to a current COP. To access the information :

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

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

The screenshot shows the 'Risk Elements' tab selected under the 'IRA and COP' view. The table lists several risk elements with their descriptions, ERO Risk status, and CEA applicability. A download icon (A) is visible in the top right of the table. A warning icon (B) is shown over the 'Extreme Events' row. The detailed view for 'Extreme Events' is open, showing the 'RELATED STANDARDS AND REQUIREMENTS' tab. A 'Close' button is located at the bottom right of the detailed view.

NAME	RISK ELEMENT DESCRIPTION	ERO RISK?	CEA
4.5 UAT ERO TEST	description	Yes	Applicable to all regions
Extreme Events	UAT	Yes	Applicable to all regions
Gaps in Program Execution	UAT	Yes	Applicable to all regions
Models Impacting Long-term and Operational Planning	UAT	Yes	Applicable to all regions

  

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

# Risk Categories



The Risk Categories tab is for reference only and is not related to a current COP. To access the information:

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

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

The screenshot shows the 'IRA and COP' view with the 'Risk Categories' tab selected. A table lists risk categories with columns for NAME, RISK CATEGORY LANGUAGE, and STATUS. A search bar and a download icon (A) are at the top right. A warning icon (B) is shown next to the 'Asset/System Identification' row. A modal window (3) displays the details for 'Asset/System Identification', including a 'General Information' section with fields for Name, Risk Category Description, and Risk Category Status. A 'Close' button (4) is at the bottom right of the modal.

NAME	RISK CATEGORY LANGUAGE	STATUS
Another 4.5 test	description of something	Active
Asset/System Identification	The identification and tracking of assets and BES Facilities is required and critical to	Active
Asset/System Management and Maintenance	BPS reliability depends on an entity's success in tracking, managing and maintaining	Active

### Asset/System Identification

OVERVIEW RELATED STANDARDS AND REQUIREMENTS

**General Information**

Name \* Asset/System Identification

Risk Category Description The identification and tracking of assets and BES Facilities is required and critical to BPS reliability. Failure to correctly identify, document, and track items may result in gaps and compromise the integrity and reliability of the BPS.

Risk Category Status Active

Close



# Performance Considerations



The Performance Considerations tab is for reference only and is not related to a current COP. To access the information:

- 1 Click the **Performance Considerations** tab, under the **IRA and COP** view
- 2 Click on the **name** of the performance consideration you want to review.
- 3 Click the **Close** button.

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

The screenshot shows the 'Performance Considerations' tab in the ALIGN system. The interface includes a navigation bar with tabs for 'IRA Questionnaires', 'Compliance Oversight Plan', 'Risk Elements', 'Risk Categories', and 'Performance Considerations'. The 'Performance Considerations' tab is selected and highlighted with a yellow circle labeled '1'. Below the navigation bar is a search bar with a download icon (A) and a warning icon (B). The main content area displays a table with columns for 'NAME' and 'PERFORMANCE CONSIDERATION LANGUAGE'. The table lists several performance considerations, including 'Affiliates', 'Compliance History', 'Culture of Compliance', and 'Generator Outages'. The 'Culture of Compliance' row is highlighted with a yellow circle labeled '2'. A modal window titled 'Compliance History' is open, showing details for the selected row. The modal window has a 'Close' button at the bottom right, highlighted with a yellow circle labeled '3'.

NAME	PERFORMANCE CONSIDERATION LANGUAGE
Affiliates	This performance consideration relates to the Affiliates.
Compliance History	This performance consideration relates to the Compliance History.
Culture of Compliance	This performance consideration relates to the Culture of Compliance.
Generator Outages	This performance consideration relates to the Generator Outages.

**Compliance History**

OVERVIEW

**General Information**

Name \* Compliance History

Performance Consideration Language \* This performance consideration relates to the Compliance History.

Performance Consideration Status \* Active

Close



# Appendix: Revision History

Revision Date	Brief Description of Updates
2022	Initial release of guide
May 2024	Retitled user guide to reflect Align module rather than release 4.5 Corrected typos Updated steps and screenshots to match recent updates in IRA and COP module

The logo for ALIGN, featuring the word "ALIGN" in a blue, sans-serif font. The letter "A" is stylized with a diagonal line through it. The background of the page features a grayscale image of high-voltage power lines and towers against a cloudy sky.