

Align User Guide

The logo for the ALIGN system, featuring the word "ALIGN" in a blue, sans-serif font.

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.

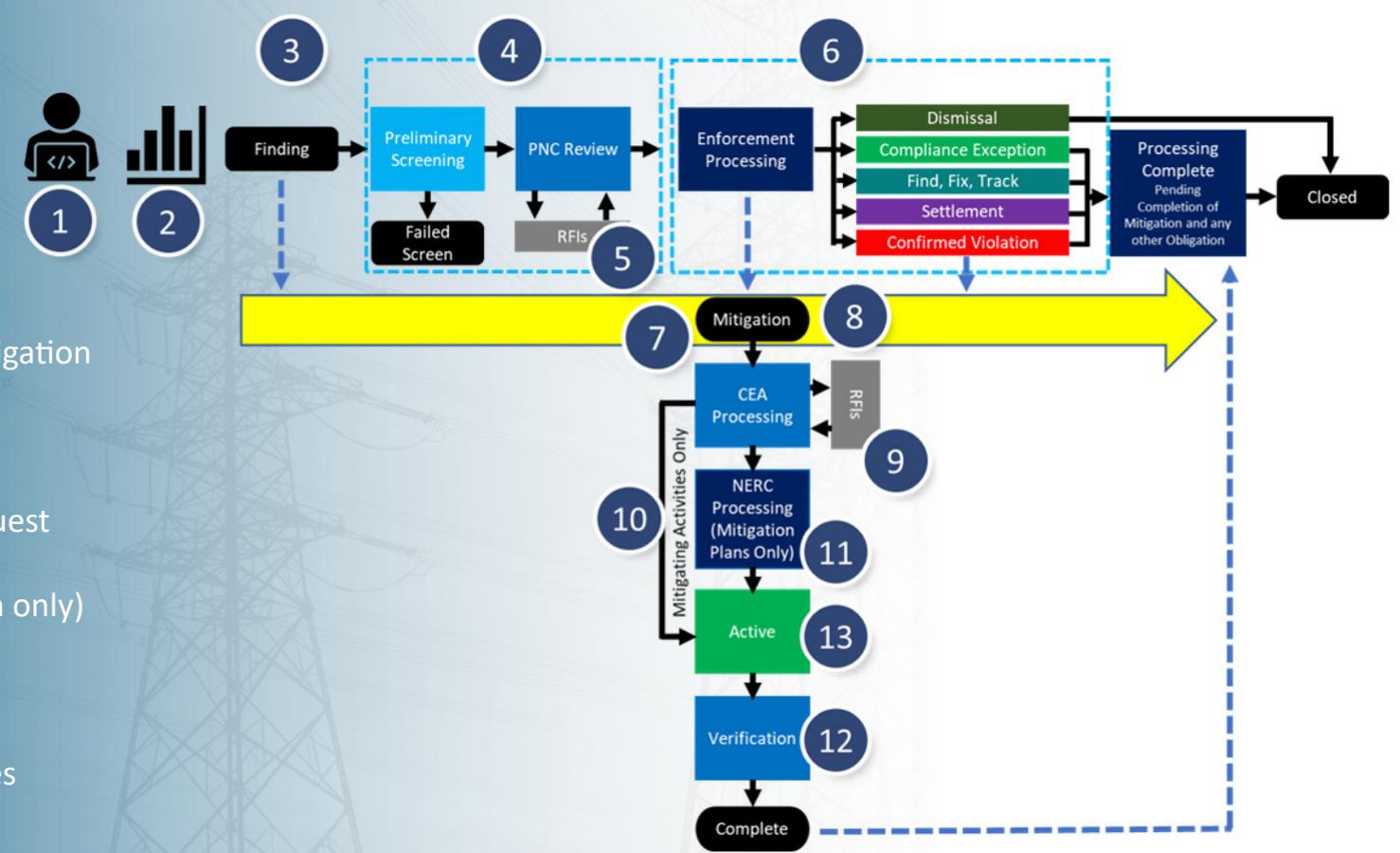
- 1 Accessing Align
- 2 Release 1 Scope
- 3 Reviewing the Dashboard
- 4 Creating a Finding
- 5 Updating a Finding
- 6 Responding to an RFI
- 7 Responding to Notifications
- 8 Mitigating Activities
- 9 Mitigation Status Progression
- 10 Responding to a Mitigation RFI
- 11 Requesting a Milestone Extension
- 12 Mitigation Plans
- 13 Scope Expansion
- 14 The Incomplete Status
- 15 Completing Milestones
- 16 Consolidated Mitigations



Release 1 Process Flow

The focus of release 1 is the life cycles of Self-Logs and Self-Reports, but there are interim ways to handle other kinds of findings as well; at a very high level the scope looks something like the model on the right.

- 1 Log in to Align
- 2 Review the Dashboard
- 3 Create a Finding
- 4 CEA Screen & Review
- 5 Respond to any RFIs
- 6 CEA assigns Disposition
- 7 Submit mitigation
- 8 Update/Resubmit mitigation
- 9 Respond to RFIs
- 10 Submit extension request
- 11 NERC review (Mit Plan only)
- 12 Complete milestones
- 13 Consolidate milestones (if necessary)



Accessing Align



In order to access Align, you will need an ERO Portal account. If you do not have an account, you can register for one at <https://eroportal.nerc.net>.

- 1 From the ERO Portal, select **Request Application Access** from the **My Applications** dropdown
- 2 Click the **Create New Application Access Request** button
- 3 Select your entity
- 4 Select the role that you need from the **Requested Application Role** dropdown:
Editor (able to create/edit findings)
Reader (able to read findings)
Submitter (able to create/edit/submit findings)
- 5 Click the **Submit** button

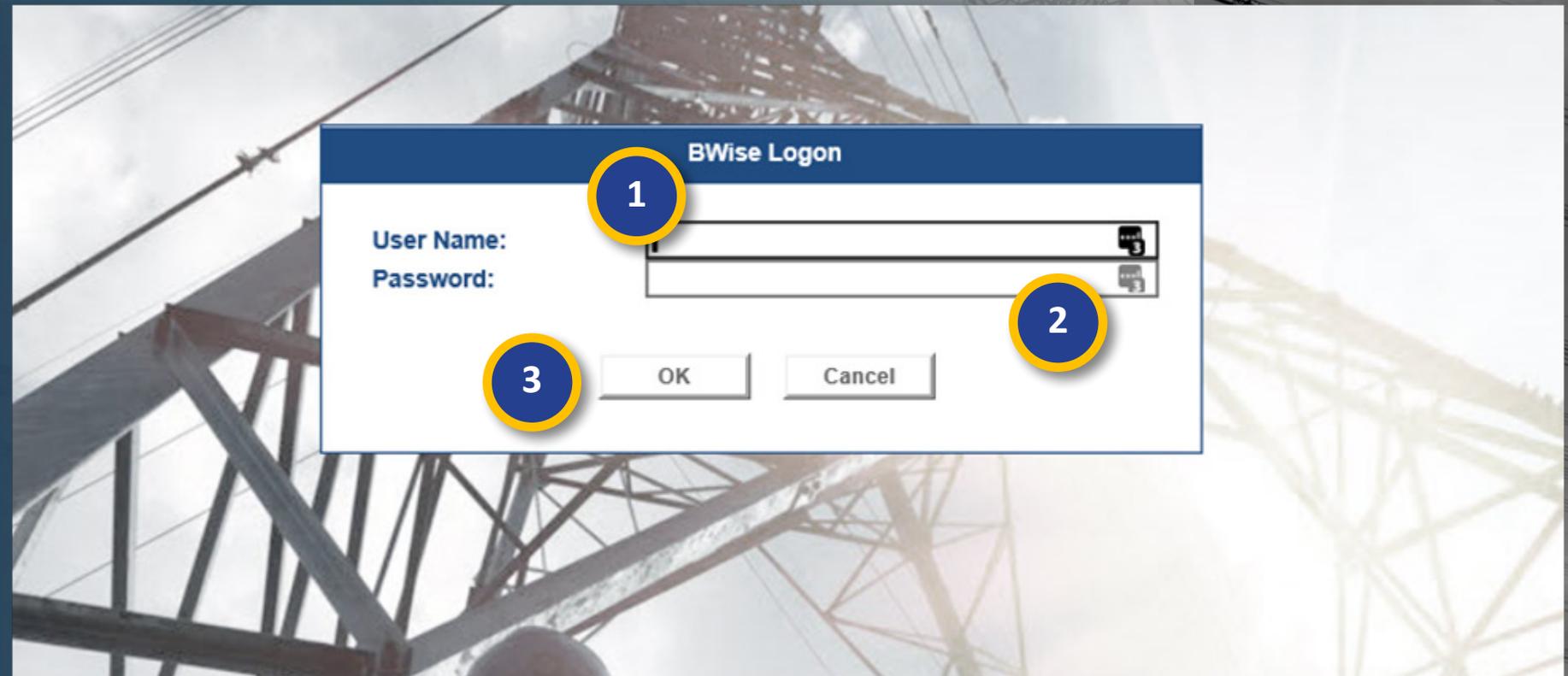
The screenshot shows the NERC (North American Electric Reliability Corporation) ERO Portal interface. At the top, there is a navigation bar with the NERC logo and a menu with items: Home, My Profile, My Resources, My Applications, and Research. The 'My Applications' dropdown menu is open, showing 'My Applications' and 'Request Application Access'. A blue button labeled 'Create New Application Access Request' is visible below the dropdown. Below this is a form titled 'Entity *' with a search input field. Below that is a 'Requested Application Role *' dropdown menu. Below the dropdown is a 'Requester Comments' text area. At the bottom right of the form is a blue 'Submit' button. Numbered callouts 1 through 5 are overlaid on the image to indicate the steps: 1 points to the 'Request Application Access' menu item, 2 points to the 'Create New Application Access Request' button, 3 points to the 'Entity' search field, 4 points to the 'Requested Application Role' dropdown, and 5 points to the 'Submit' button.

Accessing Align



From the *Align Log-in Page*

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





Reviewing the Dashboard

Access the **Align Dashboard**

Notice the **two** sections:

- a) My Tasks
- b) Status of My Findings

1 To open a task, click the **Unique ID**

2 To close a task, click the **X**

MY TASKS

TYPE	UNIQUE ID	REGION OR LR	STATUS	NCR	REGISTRATION	STANDARD	REQ	DUE DATE
Mitigation Plan	2020-00105	RF						
Mitigation Plan	2020-00120	RF						
Mitigation Plan	2020-00112	NPCC						
RFI for Finding	2020-00124 20-000076-R	RF						
RFI for Finding	2020-00123 20-000080-R	RF						
RFI for Mitigation	2020-00122 20-000081-R	RF						
Compliance Exception Letter	2020-00121	RF						

2020-00105

General Information

Type: Mitigation Plan | Related PNC: 2020-00105 | CEA: RF

Registration: TEST00200 - TEST00200-RF in RF

Applicable Requirement: PRC-005-6 R3.

Applicable Part(s): GO

Applicable Reliability Function(s):

Region-Jurisdiction(s) in which the Potential Noncompliance occurred: RF-US

Registered Entity Contact: Please provide a point of contact for this mitigation.

First Name: | Last Name: | This table is empty

Review Results and Due Date

Region Review Results: Submit as Mitigation Plan | NERC Review Results:

CEA Comments: | NERC Comments:

New Submission Due Date:

Root Cause and Interim Risk Reduction

Root Cause: The cause was failure to have adequate controls in place to ensure testing was completed. The entity also failed to have the relays in the tracking system.

Buttons: Save and Action, Save, Close

Mouse over for more information

Reviewing the Dashboard (Sorting & Filtering)



Each table in Align allows you to **Sort** or **Filter** by any column.

1 Hover over a column title and click the **dropdown arrow**

2 From the dropdown, you can sort alphabetically (a), choose columns to show or hide (b), or enter text to **Filter** the table by

3 You can also filter the table to show only items assigned to you by clicking the **Assigned to Me** checkbox

My Align

My Dashboard and Tasks

Assigned To Me

ALIGN

Welcome to Release 1 of the Align system! This is your **Dashboard** screen. Navigate the system by selecting activities in the **Monitoring** section. In the **Enforcement Processing** section, you see the status of Findings (both those you created and those you can edit and manage Mitigating Activities and Mitigation Plans.

MY TASKS

TYPE	REGION OR LRE	STATUS	NCR
RFI for Mitigation	64-R	Awaiting your Response	NCR9999999
RFI for Mitigation	86-R	Awaiting your Response	NCR9999999
RFI for Finding	80-R	Awaiting your Response	NCR9999999
RFI for Finding	2020-00707 20-000210-R	Awaiting your Response	999

My Align

My Dashboard and Tasks

Assigned To Me

ALIGN

Welcome to Release 1 of the Align system! This is your **Dashboard** screen. Navigate the system by selecting activities in the **Monitoring** section. In the **Enforcement Processing** section, you see the status of Findings (both those you created and those you can edit and manage Mitigating Activities and Mitigation Plans.

MY TASKS

TYPE	UNIQUE ID	REGION OR LRE	STATUS
Compliance Exception Letter	2020-00107	MRO	Awaiting your Response
RFI for Mitigation	2020-00108 20-000086-R	MRO	Awaiting your Response
Find Fix Track Letter	2020-00087	MRO	Awaiting your Response
RFI for Finding	2020-00621 20-000180-R	MRO	Awaiting your Response
RFI for Finding	2020-00707 20-000210-R	RF	Awaiting your Response



Reviewing the Dashboard

The **Align Dashboard** provides a snapshot of your current tasks, but you'll need to change views to access other important information and actions.

To change views:

- 3 Click the **dropdown arrow** at the top of the screen
- 4 Click on **the view** that you need to see

The screenshot shows the 'My Align' dashboard. At the top right, there is a dropdown menu labeled 'My Align' with a downward arrow (circled in blue with the number 3). A menu is open, showing options: 'My Align', 'Compliance Monitoring', 'Enforcement Processing' (circled in blue with the number 4), 'Mitigation Management', and 'Reporting'. Below the menu, a table titled 'MY TASKS' is visible with columns: TYPE, UNIQUE ID, REGION OR LRE, STATUS, NCR, REGISTRATION, STANDARD, REQ, DUE DATE. To the right, a bar chart titled 'STATUS OF MY FINDINGS' shows categories: Preliminary Screening, PNC Review, Find, Fix, Track, Enforcement Processing, and Compliance Exception. The x-axis ranges from 0.0 to 5.0.

Mouse over for more information

Creating a Finding



To create a **finding** in Align, navigate to the Compliance Monitoring View

1 Click the **dropdown arrow**

2 Select the **Compliance Monitoring** view

3 Click **Create Finding**

The screenshot shows the Align system interface. The top navigation bar includes a home icon and a dropdown menu labeled 'My Align'. The dropdown menu is open, showing options: 'My Align', 'Compliance Monitoring', 'Enforcement Processing', 'Mitigation Management', and 'Reporting'. A yellow circle with the number '1' highlights the dropdown arrow. A second yellow circle with the number '2' highlights the 'Compliance Monitoring' option. Below the dropdown, a 'MY TASKS' section is visible with a table of tasks. A third yellow circle with the number '3' highlights the 'Create Finding' link in the 'MY REGISTRATIONS' table. The 'MY REGISTRATIONS' table has columns for 'REGISTRATION', 'APPLICABLE REQUIREMENTS', and 'INSTRUCTIONS'. The 'REGISTRATION' column contains two entries: 'TEST00200 - TEST Energy Corp. in WECC' and 'TEST00200 - TEST00200-RF in RF'. The 'APPLICABLE REQUIREMENTS' column contains two 'Create Finding' links. The 'INSTRUCTIONS' column contains a paragraph of text. Below the 'MY REGISTRATIONS' table is a 'MY DRAFTS' table with columns for 'TYPE', 'UNIQUE ID', 'REGISTRATION', 'STANDARD AND REQUIREMENT', 'APPLICABLE FUNCTIONS', 'REGION(S) AND JURISDICTION', and 'START DATE'. The 'MY DRAFTS' table contains one entry: 'Self-Report', '2020-00134', 'TEST00200 - TEST00200-RF in RF', 'PRC-005-6 R3', 'GO', 'RF-US', and '04/15/2020'.



Creating a Finding

Review the relevant **Standard** and create a new **finding**

- 4 Click on a **Standard & Requirement** to review
- 5 Review the language in the right panel
- 6 Click + in the "Create Self-Report" or "Create Self-Log" column

Create Finding 2.0

SELECT APPLICABLE REQUIREMENT

STANDARD	REQ	CREATE	CREATE
CIP-002-5.1a	R1.		
CIP-002-5.1a	R2.		
CIP-003-7	R1.		
CIP-003-7	R2.		
CIP-003-7	R3.		
CIP-003-7			
CIP-004-6			
CIP-004-6			
CIP-004-6	R3.		
CIP-004-6	R4.		
CIP-004-6	R5.		
CIP-005-5	R1.		

Page 1 of 5

REQUIREMENT

Standard and Requirement CIP-003-7 | R1.

Requirement Language Each Responsible Entity shall review and approval at least once every 15 calendar documented cyber security policies that following topics:

Time Horizon(s) Operations Planning Violation Factor

Measure M1. Examples of evidence may include, documents; revision history, records of re from a document management system th cyber security policy at least once every documented approval by the CIP Senior security policy.

Requirement Applicability BA
TOP
TO
RC
IA
GOP
DP
GO

Additional Applicability 4.1. Functional Entities: For the purpose herein, the following list of functional enti

Create Finding 2.0

SELECT APPLICABLE REQUIREMENT

STANDARD	REQ	CREATE SELF-REPORT	CREATE SELF-LOG
CIP-002-5.1a	R1.	+	•
CIP-002-5.1a	R2.	+	•
CIP-003-7	R1.	+	•
CIP-003-7	R2.	+	•
CIP-003-7	R3.	+	•
CIP-003-7	R4.	+	•
CIP-004-6	R1.	+	•
CIP-004-6	R2.	+	•
CIP-004-6	R3.	+	•
CIP-004-6	R4.	+	•
CIP-004-6	R5.	+	•
CIP-005-5	R1.	+	•

Page 1 of 5

Mouse over for more information



Creating a Finding

Ensure the **Requirement Parts** and **Reliability Functions** are applicable for the Self-Report.

Remove any Parts or Functions that do not apply.

7 Click **X** to remove Applicable Parts

8 Click **X** to remove any Reliability Functions

Create a Self Report

Self Reports are encouraged at the time a Registered Entity becomes aware that it has, or may have, violated a Reliability Standard. Self-Reports are encouraged regardless of whether the Reliability Standard requires reporting on a pre-defined schedule in the Compliance Program or whether the violation is determined outside the pre-defined reporting schedule.

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

General Information

Registration: TEST00200 - TEST Energy Corp. in WECC

Applicable Requirement: CIP-003-7 R1.

Applicable Part(s):

CIP-003-7 R1. Part 1. ✕	CIP-003-7 R1. Part 1. ✕
CIP-003-7 R1. Part 2. ✕	CIP-003-7 R1. Part 3. ✕
CIP-003-7 R1. Part 4. ✕	CIP-003-7 R1. Part 5. ✕
CIP-003-7 R1. Part 6. ✕	CIP-003-7 R1. Part 7. ✕
CIP-003-7 R1. Part 8. ✕	CIP-003-7 R1. Part 9. ✕
CIP-003-7 R1. Part 1. ✕	CIP-003-7 R1. Part 2. ✕
CIP-003-7 R1. Part 3. ✕	CIP-003-7 R1. Part 4. ✕
CIP-003-7 R1. Part 5. ✕	CIP-003-7 R1. Part 6. ✕

Region – Jurisdiction in which the Potential Non-Compliance occurred: WECC-US

Other Region – Jurisdiction(s) where you are reporting this Potential Non-Compliance:

Applicable Reliability * Function(s): GO ✕

7 (points to X icons in table)

8 (points to X icon in dropdown)

Save Close

Creating a Finding



Select additional **Regions** to add to the finding, if necessary.

13 Click the **Arrow** to open the drop-down list

14 Select the **Region** from the list

You can Save the finding as a draft at any time. To save:

15 Click the **Save** button

Create a Self Report

Instructions

Self Reports are encouraged at the time a Registered Entity becomes aware that it has, or may have, violated a Reliability Standard. Self-Reporting is required by the Reliability Standard requires reporting on a pre-defined schedule in the Compliance Program or whether the violation is determined outside the pre-defined schedule.

Complete the information on this form and **Save** your Self Report as a draft. You can access draft Self Reports and Self Logs under the My Drafts tab when you are ready to submit.

General Information

Registration: TEST00200 - TEST Energy Corp. in WECC

Applicable Requirement: CIP-003-7 R1.

Applicable Part(s):

- CIP-003-7 R1. Part 1. x CIP-003-7 R1. Part 1. x
- CIP-003-7 R1. Part 2. x CIP-003-7 R1. Part 3. x
- CIP-003-7 R1. Part 4. x CIP-003-7 R1. Part 5. x
- CIP-003-7 R1. Part 6. x CIP-003-7 R1. Part 7. x
- CIP-003-7 R1. Part 8. x CIP-003-7 R1. Part 9. x
- CIP-003-7 R1. Part 1. x CIP-003-7 R1. Part 2. x
- CIP-003-7 R1. Part 3. x CIP-003-7 R1. Part 4. x
- CIP-003-7 R1. Part 5. x CIP-003-7 R1. Part 6. x

Region – Jurisdiction in which the Potential Non-Compliance occurred

Other Region – Jurisdiction(s) where you are reporting this Potential Non-Compliance

FRCC-US

MRO-MB

MRO-SK

MRO-US

NCEA-US

NPCC-NB

NPCC-NS

NPCC-ON

NPCC-QC

NPCC-US

Save Close



Creating a Finding

- 16 Click the **X** to close the Standards window
- 17 Click the **Refresh Icon** to see your new draft in the **Draft Findings** section
- 18 Click the **Unique ID** to open your finding

As you fill out the rest of the form, notice that some fields have a gray **question mark icon** (a). Hover over these to see a description of what information the field is requesting.

The screenshot shows the 'Compliance Monitoring' interface. At the top, there's a 'Create New Self Report or Log' button. Below it, a 'MY REGISTRATIONS' section lists several entries. A 'MY DRAFTS' table is visible, with a callout box 18 pointing to a 'Unique ID' (2020-00134). To the right, a form titled '2020-00138' is open, showing 'Function(s)' and a 'Discovery and Description' section. Callout box 16 points to a close button (X) on a 'REQUIREMENT' window. Callout box 17 points to a refresh icon on the page navigation. A callout box 'a' points to a question mark icon in the 'How was this Potential Non-Compliance discovered?' field.

16 Click the **X** to close the Standards window

17 Click the **Refresh Icon** to see your new draft in the **Draft Findings** section

18 Click the **Unique ID** to open your finding

a How was the issue discovered? Was the issue discovered by an internal control? ((e.g., a specific detective control, CVA, extent of condition as part of mitigation for another issue, etc.)) If discovered through detective controls, explain how the detective control led to the discovery of the noncompliance.

Creating a Finding



Once you have completed the finding form, you'll need to select an **Action** from the Action dropdown (a).

If you try to submit the finding without selecting an Action, you will get an error (b).

19 Select the **Submit** option in the Action dropdown

20 Click the **Save and Action** button to submit

If you have left any required fields blank, the form will identify where you are missing information (c).

Action

Instructions When you are ready to submit your Self Report for screening and review as a Potential Noncompliance, set the Action to **Submit**. You can submit your mitigations with your finding by checking the box, or wait and submit them separately from the **My Mitigations** tab. If you want to delete this draft, choose **Delete**. Once you have selected the appropriate Action, click **Save and Action**. To save without taking action, click **Save**. To close without saving, click **Close**.

Action * No Action

Submit Mitigations for Review with Finding?

Warning

b No flow evaluates to true

You have not selected an Action. If you click **Save and Action**, you will receive this error message. You can either click **Save**, or you can choose an Action (either **Submit** or **Delete**) and then click **Save and Proceed**.

FORM RE-GRD Edit

Save and Action Save Close

Non-Compliance discovered?

How was this Potential Non-Compliance discovered?

Custom validation error: When was the Potential Non-Compliance discovered? (cannot be blank.)

Please describe the Potential Non-Compliance in detail

Is the P... Cor...

c

Action

Instructions When you are ready to submit your Self Report for screening and review as a Potential Noncompliance, set the Action to **Submit**. You can submit your mitigations with your finding by checking the box, or wait and submit them separately from the **My Mitigations** tab. If you want to delete this draft, choose **Delete**. Once you have selected the appropriate Action, click **Save and Action**. To save without taking action, click **Save**. To close without saving, click **Close**.

Action * Submit

Submit Mitigations for Review with Finding?

FORM RE-SRD Edit

20

Save and Action Save Close

19

Creating a Finding



Scroll to the **Discovery and Description** section to complete the finding.

21 Select the **Date** the PNC discovered

22 Enter an **Explanation** of how the PNC was discovered

23 Enter a **Description** of the PNC

2020-00138

Discovery and Description

When was the Potential Non-Compliance discovered? **21**

How was this Potential Non-Compliance discovered? **22**

Please describe the Potential Non-Compliance in detail **23**

When did the Potential Non-Compliance start?

What is the basis for your selecting this start date?

Is the Potential Non-Compliance still occurring?

Creating a Finding



- 24 Select the **Date** the PNC started
- 25 Enter an **Explanation** why you selected the start date
- 26 Select **Yes** or **No** if the PNC is still occurring
- 27 If you selected **No**, select the Date you returned to compliance

2020-00138

Discovery and Description

When was the Potential Non-Compliance discovered?

How was this Potential Non-Compliance discovered?

Please describe the Potential Non-Compliance in detail

When did the Potential Non-Compliance start? 24

What is the basis for your selecting this start date? 25

Is the Potential Non-Compliance still occurring? 26

Is the Potential Non-Compliance still occurring? No

When did you return to compliance? 27

Creating a Finding



To complete the **Extent of Condition and Root Cause** section:

28 Indicate if the Extent of Condition Review has been performed by selecting **Yes, No, or In-Progress**

29 If you selected yes, **describe** the Extent of Condition

30 Enter the **cause(s)** of the PNC

The screenshot shows a form titled "Extent of Condition and Root Cause". It contains three main sections:

- Section 28:** "Has an Extent of Condition Review been performed?" with a dropdown menu set to "Yes".
- Section 29:** "If yes, what was/is the Extent of the Condition?" with a text area containing "Was verified".
- Section 30:** "What cause(s) led to the Potential Non-Compliance?" with a rich text editor containing "Staff failure".

Creating a Finding



To complete the **Risk and Impact** section:

31 Indicate the level of Potential Impact to the BPS as **Minimal, Moderate, or Serious**

32 Enter the **reason** you chose the Potential Impact level you selected

33 Describe **how likely** it is that impact could have occurred

34 Indicate if there was any actual impact to the BPS: **Yes, No, or Unknown**

35 If there was an impact, **describe** what that impact was

Risk and Impact

What do you think the Potential Impact to BPS was/is from this Potential Non-Compliance? **31** Moderate

Why do you believe that to be the correct Potential Impact? **32** Impacte mitigated by other factors

How likely is it that Impact could have actually occurred? **33** moderate possibility

Was there any actual impact to the BPS? **34** Yes

If yes, what was the Actual Impact to the BPS? **35** system went down

Creating a Finding



Scroll to the optional **Additional Comments** section

36

Enter any **Additional Comments** that you want to document

37

Enter any related evidence in the **evidence locker** using the reference number (a) to link it to this finding.

Additional Comments

Please provide any additional comments

36

Evidence and Attachments

Data Locker Instructions

Submit Evidence or Attachments related to this Self Report via [Data Locker](#) with

37

following reference number:



2020-00138

If you are hosting your own Data Locker, please provide a hyperlink to your locker in the comment section above.



Creating a Finding

Every finding will need to be paired with a mitigation record eventually, but the **Mitigation Information** section is optional at this stage

- 38 If you are ready to enter mitigation milestones for this finding, **click** the heading to expand the section
- 39 To add a milestone, click the **+** icon and follow the steps noted [here](#)
- 40 When you're ready to submit the finding, select **Submit** for the action
- 41 If you added Mitigation Information and want to submit it, click the **Submit Mitigations for Review with Finding** checkbox
- 42 Click the **Save and Action** button

Mitigation Information (optional - click to expand) 38

Instructions If possible, and without delaying the Self-Report, a Self-Report may include the actions that have been taken or will be taken to remediate and mitigate the violation. Click the **+** to add each completed and/or planned task for remediation and mitigation. When you Submit your Self Report, this information will be converted into a set of Mitigating Activities that can be submitted concurrently with this Self Report, or separately when it is ready.

	MILESTONE ID	TYPE OF MILESTONE TASK	MILESTONE NAME	PLANNED COMPLETION DATE	ACTUAL COMPLETION DATE
<input type="checkbox"/> 39 + <input type="checkbox"/>	This table is empty				

Action

Instructions When you are ready to submit your Self Report for screening and review as a Potential Noncompliance, set the Action to **Submit**. You can submit your mitigations with your finding by checking the box, or wait and submit them separately from the **My Mitigations** tab. If you want to delete this draft, choose **Delete**. Once you have selected the appropriate Action, click **Save and Action**. To save without taking action, click **Save**. To close without saving, click **Close**.

FORM RE-SP2-Editor

42
Save and Action
Save
Close

Action * Submit 40

Submit Mitigations for Review with Finding? 41

Updating a Finding (Sorting)



1 From the Dashboard, **click** the dropdown Arrow to change the view

2 Select the **Enforcement Processing** view

You can sort or filter the 'My Findings' table by any column to help you locate the finding you are looking for:

3 To sort, hover over a column title and click the **dropdown arrow**

4 Click the **Sort Ascending** or **Sort Descending** option to rearrange the table by the data in that column

The screenshot shows the ALIGN web application interface. The top navigation bar includes 'My Align' and 'Align For Entities'. The main content area is divided into 'MY TASKS' and 'MY FINDINGS' sections. The 'MY FINDINGS' table has columns for 'MONITORING METHOD', 'UNIQUE ID', 'REGION OR LRE', 'DATE SUBMITTED', and 'REGISTRATION'. A dropdown menu is open over the 'REGISTRATION' column, showing 'Sort Ascending', 'Sort Descending', 'Columns', and 'Filters' options. The table contains several rows of finding data, including 'Self-Report' findings with unique IDs and dates.

MONITORING METHOD	UNIQUE ID	REGION OR LRE	DATE SUBMITTED	REGISTRATION
Self-Report	2020-00123	RF	05/13/2020	TEST00200 - TEST00200-RF in RF
Self-Report	2020-00133	RF	05/12/2020	TEST00200 - TEST00200-RF in WECC
Self-Report	2020-00126	RF	05/12/2020	TEST00200 - TEST00200-RF in RF
Self-Report	2020-00105	RF	05/11/2020	TEST00200 - TEST00200-RF in RF
Self-Report	2020-00120	RF	05/11/2020	TEST00200 - TEST00200-RF in RF
Self-Report	2020-00121	RF	05/11/2020	TEST00200 - TEST00200-RF in RF
Self-Report	2020-00122	RF	05/11/2020	TEST00200 - TEST00200-RF in RF
Self-Report	2020-00124	RF	05/11/2020	TEST00200 - TEST00200-RF in RF



Updating a Finding (Filtering)

Depending on what you are looking for, **Filters** may be more effective than sorting. To filter:

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

The screenshot shows the 'Enforcement Processing' section of the 'My Findings' dashboard. A table lists findings with columns for Monitoring Method, Unique ID, Region, Date Submitted, Registration, Standard, Req, Start Date, Finding Status, Send Update, and Mitigation. A dropdown menu is open over the 'STANDARD' column, showing options for sorting and filtering. A search box next to the 'Filters' option contains the text 'CIP-002'. A flowchart at the bottom illustrates the process from Finding to Closed, including stages like Preliminary Screening, PNC Review, Enforcement Processing, and various outcomes like Dismissal, Compliance Exception, Find, Fix, Track, and Settlement.



Updating a Finding

Once you have located the finding that needs to be updated:

9 Click the **+** icon in the **Send Update** column

10 Enter a summary of the changes that you are making into the **Summary of Finding Update** field and add the updated data into the relevant fields

11 Click the **Update** button

MY FINDINGS

MONITORING METHOD	UNIQUE ID	REGION OR LRE	DATE SUBMITTED	REGISTRATION	STANDARD	REQ	START DATE	FINDING STATUS	SEND UPDATE	ACTION
Self-Report	2020-00123	RF	05/13/2020	TEST00200 - TEST00200-RF in RF	PRC-005-6	R3.	04/02/2020	PNC Review	+	Mitigating Activities
Self-Report	2020-00133	RF	05/12/2020	TEST00200 - TEST Energy Corp. in WECC	CIP-002-5.1a	R1.	05/08/2020	Preliminary Screening	+	Mitigating Activities CEA Processing

Create Finding Update

Compliance Enforcement Authority: RF

Monitoring Method: Self-Report

Applicable Requirement: PRC-005-6 R3.

Instructions: Provide additional information in the fields below. Only complete the areas you want to update. If you do not have additional information to provide or the information has not changed, please leave the field blank.

Summary of Finding Update:

Dates:

The date the Potential Noncompliance started:

The date you returned to compliance:

Your basis for selecting the start date:

Extent of Condition, Root Cause, and Risk:

Update **Close**



Updating a Finding

If you want to verify that your update was captured:

- 12** Click the **Unique ID** of the finding you updated
- 13** Scroll down to the **Related Fields** section and click on the Unique ID under the **Submitted Finding Updates** section

MY FINDINGS										
MONITORING METHOD	UNIQUE ID	REGION OR LRE	DATE SUBMITTED	REGISTRATION	STANDARD	REQ	START DATE	FINDING STATUS	SEND UPDATE	MITIGATION
Self-Report	2020-00123	RF	05/13/2020	TEST00200 - TEST00200-RF in RF	PRC-005-6	R3.	04/02/2020	PNC Review	+	Mitigating Activities Complete
Self-Report	2020-00133	RF	05/12/2020	TEST00200 - TEST Energy Corp. in WECC	CIP-002-5.1a	R1.	05/08/2020	Preliminary Screening	+	Mitigating Activities CEA Processing
Self-Report	2020-00126	RF	05/12/2020							Activities
Self-Report	2020-00105	RF	05/11/2020							Plan
Self-Report	2020-00120	RF	05/11/2020							Plan
Self-Report	2020-00121	RF	05/11/2020							Plan

2020-00123

SUBMITTED FINDING UPDATES

UNIQUE ID	SENT
2020-000026	05/17/2020

⏪ ⏩ Page 1 of 1 ⏪ ⏩ 🔄



Responding to an RFI

When your CEA or NERC sends an RFI, you'll see it appear on your dashboard.

- 1 Click the **Unique ID** of the RFI
- 2 Click the **Respondent Contact** dropdown and select the appropriate name.

MY TASKS

TYPE	UNIQUE ID	REGION OR LRE
Mitigation Plan	2020-00105	RF
Mitigation Plan	2020-00120	RF
Mitigation Plan	2020-00112	NPCC
RFI for Finding	2020-00124 20-000076-R	RF
RFI for Finding	2020-00123 20-000080-R	RF
RFI for Mitigation	2020-00122 20-000081-R	RF
Compliance Exception Letter	2020-00121	RF

Request for Information

Original Finding: 2020-00124
 Requestor: RF Editor 5
 Requestor Comments: test
 Requestor Attachments:
 Request Sent On: May 12, 2020
 Response Due By: June 11, 2020

Respondent Contact: **Test Entity Editor 1 Test Energy Co.**

Respondent Comments: -- None --

Evidence and Attachments

Data Locker Instructions: Submit Evidence or Attachments related to this Request via [Data Locker](#) with the following reference: **2020-00124**
 If you are hosting your own Data Locker, please provide a hyperlink to your locker in the comment section above.

Action

Action: Acknowledge/Respond
 Save and Action will acknowledge receipt of this Request and send back any response you have provided. Save will store any response you have provided, but will neither acknowledge nor respond to the Request.

Buttons: Save and Action, Save, Close

Mouse over for more information

Responding to an RFI



3 Enter the **Respondent Comments**

If the response to the RFI requires the uploading of documents, follow the instructions in the **Evidence and Attachments** section.

4 Click the **Save and Action** button to submit to the CEA.

2020-00124 | 20-000076-R

Request for Information

Original Finding	2020-00124	Respondent Contact	Test Entity Editor 1 Test Energy Co.
Requestor	RF Editor 5	Respondent Comments	Paragraph B <i>I</i> ¶ ☰ ☷ ✍ 📎
Requestor Comments	test		Response comments
Requestor Attachments			
Request Sent On	May 12, 2020		
Response Due By	June 11, 2020		

Evidence and Attachments

Data Locker Instructions: Submit Evidence or Attachments related to this Request via [Data Locker](#) with the following reference number:
2020-00124

If you are hosting your own Data Locker, please provide a hyperlink to your locker in the comment section above.

Action

4 Acknowledge/Respond
Save and Action will acknowledge receipt of this Request and send back any response you have provided. Save will store any response you have provided, but will neither acknowledge

[Save and Action](#) [Save](#) [Close](#)



Responding to Notification Letters

Notification letters will appear in your dashboard.

- 1 Click the **Unique ID** to open the notification
- 2 Enter comments in the **Respondent Comments** field
- 3 If you want to contest the disposition, select a **Contestation** from the dropdown
- 4 Add any non-confidential **Attachments**
- 5 Click the **Save and Action**

The screenshot shows the ALIGN dashboard interface. On the left, a 'MY TASKS' table lists various items, with a circled '1' highlighting the 'Compliance Exception Letter' with Unique ID 2020-00121. The main area displays a 'Notification' form for ID 20-000055, dated May 12, 2020. The form includes fields for 'Type', 'From', 'Sent Date', 'Comments', 'Attachments', and 'Response Due Date'. A circled '4' highlights the 'Attachments' section. To the right, the 'Respondent Comments' field is highlighted with a circled '2', and the 'Contestation' dropdown menu is highlighted with a circled '3', showing options like 'Disagree with Allegation' and 'Disagree with Mitigation Requirement'. At the bottom, the 'Action' section is highlighted with a circled '5', showing the 'Save and Action' button.

TYPE	UNIQUE ID	REGION OR LRE
Mitigation Plan	2020-00105	RF
Mitigation Plan	2020-00120	RF
Mitigation Plan	2020-00112	NPCC
RFI for Finding	2020-00124 20-000076-R	RF
RFI for Finding	2020-00123 20-000080-R	RF
RFI for Mitigation	2020-00122 20-000081-R	RF
Compliance Exception Letter	2020-00121	RF

Notification Details:

- Type: Compliance Exception Letter
- From: RF Editor 5
- Sent Date: May 12, 2020
- Comments: Please find attached the CE Opt Out letter. IF you chose to opt out, respond within 10 days.
- Attachments: Test_CEA_Ce_Opt_Out_ActDispo_Attachment.pdf (32.68 KB)
- Response Due Date: June 30, 2020
- Notification ID: 20-000055
- Response Comments: [Field with circled 2]
- Contestation: [Dropdown with circled 3]
- Action: Acknowledge/Respond

Buttons: Save and Action, Save, Close



Submitting Mitigating Activities

If you did not create and submit mitigation milestones during the submit finding process, Align will automatically create a blank draft mitigation record that can be submitted later. If mitigation was submitted to the CEA, you will find the submitted mitigation id under the **My Active Mitigations** tab

- 1 Click the **dropdown arrow** to change views
- 2 Select the **Mitigation Management** view
- 3 Select the **My Draft Mitigations** tab
- 4 Locate the mitigation with the same **Unique ID** as your finding and click the **Unique ID** to open

The screenshot shows the 'My Align' dashboard. A dropdown menu is open, highlighting 'Mitigation Management' (Step 2). Below, the 'MY DRAFT MITIGATIONS' table is visible, with the 'My Draft Mitigations' tab selected (Step 3). A specific mitigation entry with Unique ID '2020-00104' is highlighted (Step 4).

TYPE	UNIQUE ID	REGION OR LRE	REGISTRATION	STANDARD	REQ	REGION AND JURISDICTION	START DATE
Mitigation Plan	2020-00105	RF	TEST00200 - TEST00200-RF in RF	PRC-005-6	R3	RF-US	04/02/2020
Mitigation Plan	2020-00120	RF	TEST00200 - TEST00200-RF in RF	PRC-005-6	R3	RF-US	05/01/2020
Mitigation Plan	2020-00105	RF	TEST00200 - TEST00200-RF in RF	PRC-005-6	R3	RF-US	03/06/2020
Mitigating Activities	2020-00104	RF	TEST00200 - TEST Energy Corp. in WECC	PRC-005-6	R3	WECC-US	04/16/2020

Submitting Mitigating Activities

ALIGN

5 Click the **link icon** in the Entity Contact section

6 Click the **checkbox** next to the correct contact

7 Click **Confirm**

2020-00281

General Information

Type	Mitigating Activities	Related PNC	2020-00281	CEA	MRO
Registration	NCR99999999 - Second Game Day Friday Entity in MRO				
Applicable Requirement	CIP-007-6 R3.	Registered Entity Contact	Please provide a point of contact for this mitigation.		
Applicable Part(s)	CIP-007-6 R3. Part 2.; CIP-007-6 R3. Part 1.; CIP-007-6 R3. Part 3.	<input type="checkbox"/>	FIRST NAME	LAST NAME	
Applicable Reliability Function(s)	RC	This table is empty			
Region-Jurisdiction(s) in which the Potential Noncompliance occurred	MRO-US				
Root Cause	Not available; PNC Review not yet complete				
Interim Risk Reduction					

Mitigation Milestones

<input type="checkbox"/>	MILESTONE ID	TYPE OF MILESTONE TASK
<input type="checkbox"/>		

Instructions When ready for Region Review and Approval

Save and Action **Save** **Close**

Relate Existing

<input type="checkbox"/>	FIRST NAME	LAST NAME	LABEL
<input checked="" type="checkbox"/>	NCR9999999	Editor 1	NCR9999999 Editor 1

Page 1 of 1

Confirm **Close**

Mouse over for more information

← Previous Page | Next Page →

Submitting Mitigating Activities



8 Enter any **Interim Risk Reduction** measures that you are taking

Scroll down to the **Mitigation Milestone** section

9 Click the **+** icon to add a milestone

2020-00104

General Information

Type	Mitigating Activities	Related PNC	2020-00104		CEA	RF
Registration	TEST00200 - TEST Energy Corp. in WECC					
Applicable Requirement	PRC-005-6 R3.	Registered Entity Contact	Please provide a point of contact for this mitigation.			
Applicable Part(s)		<input type="checkbox"/>	FIRST NAME	LAST NAME		
Applicable Reliability Function(s)	GO	This table is empty				
Region-Jurisdiction(s) in which the Potential Noncompliance occurred	WECC-US					
Root Cause	Not available; PNC Review not yet complete.					
Interim Risk Reduction	<div style="font-size: 2em; font-weight: bold; color: white; background-color: #00a0c0; border-radius: 50%; width: 40px; height: 40px; display: flex; align-items: center; justify-content: center; margin: 0 auto;">8</div>					

Mitigation Milestones

	MILESTONE ID	TYPE OF MILESTONE TASK	MILESTONE NAME	PLANNED COMPLETION D...	REVISED PLANNED COMP...	ACTUAL COMPLETION DATE
+	This table is empty					

Instructions When ready for Region Review and Approval, Submit this Mitigation by selecting the "Submit for CEA Review" Action and clicking "Save and Action" below.

Action

2020-00104 FORM READ-CEA

Save and Action
Save and Action
Save
Close

Submitting Mitigating Activities



10 Select the **Type of Milestone Task** from the dropdown list

11 Enter a **Milestone Name**

12 Enter a **Milestone Description**

Milestone

Milestone Information

Type of Milestone Task * | 10

Milestone Name

Description of action

Planned Completion Date *

The screenshot shows a form titled 'Milestone' with a section 'Milestone Information'. The 'Type of Milestone Task' dropdown menu is open, showing options: Remediating Action (highlighted with a blue circle and the number 10), Corrective Control, Preventative Control, Detective Control, and Other. The 'Milestone Name' and 'Description of action' fields are empty. A 'Planned Completion Date' field with a calendar icon is at the bottom.

Milestone

Milestone Information

Type of Milestone Task * Corrective Control

Milestone Name Task 1 11

Description of action Action Description 12

The screenshot shows the same 'Milestone' form. The 'Type of Milestone Task' dropdown is now set to 'Corrective Control'. The 'Milestone Name' field contains 'Task 1' (highlighted with a blue circle and the number 11). The 'Description of action' field contains 'Action Description' (highlighted with a blue circle and the number 12).

Submitting Mitigating Activities



13 Select the **Planned Completion Date**

14 Click the **Update** button to save the milestone

Milestone

Milestone Information

Type of Milestone Task *

Milestone Name

Description of action

Planned Completion Date *

Revised Planned Completion

Actual Completion Date

Submitting Mitigating Activities



15 Select the **Submit for CEA Review** option from the Action dropdown

16 If you are ready to submit the mitigating activities, click the **Save and Action** button

17 If you want to save the data you have entered without submitting, click the **Save** button

Mitigation Milestones

<input type="checkbox"/>	MILESTONE ID	TYPE OF MILESTONE TASK	MILESTONE NAME	PLANNED COMPLETION D...	REVISED PLANNED COMP...	ACTUAL COMPLETION DATE
<input type="checkbox"/>		Corrective Control	Task 1	06/30/2020		

Instructions: When ready for Region Review and Approval, Submit this Mitigation by selecting the "Submit for CEA Review" Action and clicking "Save and Action" below.

Action:

2020-00104 FORM RE-M2-EN

16 **Save and Action** **Save** **Close**

Mitigation Status Progression

Once you submit a mitigation, it will move from the **My Draft Mitigations** tab to the **My Active Mitigations** tab. It will then proceed through the following stages:

1) CEA Processing - This status indicates that the CEA is reviewing the mitigation that you submitted. You may receive RFIs during this stage to help the CEA complete its review.

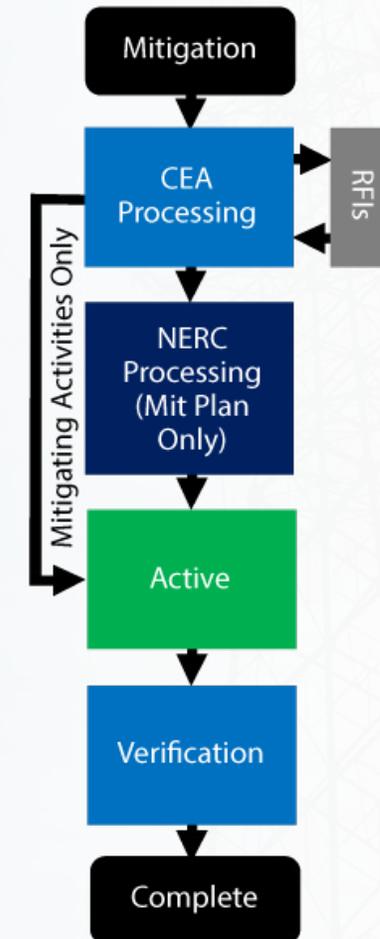
2) NERC Processing - If your CEA converts your mitigating activities to a Mitigation Plan, it will undergo NERC review after you re-submit it. You may receive RFIs during this stage from NERC.

3) Active - Once your mitigation is approved, it will show as Active. While in this stage, you can complete milestones and add scope expansion, but if you need to edit anything else, you will need to have your CEA send it back for a revision.

4) Verification - Once you complete all milestones, you will submit the mitigation for verification by the CEA. The status will change to Verification and the mitigation will no longer be editable. You may receive RFIs during this stage as well.

5) Incomplete - If your mitigation does not pass verification, your CEA will send it back as 'Incomplete.' Unlike other revisions, this will show up on 'My Active Mitigations' tab rather than in your 'My Draft Mitigations' tab.

6) Complete - Once a mitigation has been verified, its status will change to Complete and will stay on the 'My Active Mitigations' tab for reference.



ALIGN

Updating Mitigations: Mitigation RFIs



If your CEA or NERC (for Mit Plans) needs more information to complete their review of your mitigation, they may send an **RFI for Mitigation**. To respond:

- 1 Click the **Unique ID** of the **RFI for Mitigation** on dashboard (a copy of the RFI is also visible from the mitigation record)
- 2 Select a **Respondent Contact** from the dropdown and enter any comments into the **Respondent Comments** field
- 3 Upload any evidence into the **Evidence Locker** using the reference number provided
- 4 Click the **Save and Action** button to submit your response

My Align

My Dashboard and Tasks

ALIGN

Welcome to Release 1 of the Align system! The and Self Logs from the Compliance Monitoring those created by your Regions). In the Mitigation

MY TASKS

TYPE	UNIQUE ID
Mitigation Plan	2020-00105
Mitigation Plan	2020-00120
Mitigation Plan	2020-00112
RFI for Finding	2020-00124 20-000076-R
RFI for Finding	2020-00123 20-000080-R
RFI for Mitigation	2020-00122 20-000081-R

2020-00108 | 20-000086-R

Request for Information

Original Finding: 2020-00108

Requestor: MRO Editor 1

Requestor Comments: Please upload the data we discussed in the evidence locker

Requestor Attachments

Request Sent On: May 18, 2020

Response Due By: June 17, 2020

Respondent Contact: NCR999999 Editor 1

Respondent Comments

Evidence and Attachments

Data Locker Instructions: Submit Evidence or Attachments related to this Request via Data Locker with the following reference number: 2020-00108

If you are hosting your own Data Locker, please provide a hyperlink to your locker in the comment section above.

Action

Action: Acknowledge/Respond

Save and Action Save Close



Updating Mitigations: Submitting Mitigation Plans

If your CEA decides that the **Mitigating Activities** you submitted need to be converted into a **Mitigation Plan**, they will send it back to you to resubmit.

To open the **Mitigation Plan**, EITHER:

1 Click the **Unique ID** of the **Mitigation Plan** on the dashboard

...OR...

2 Go to the **My Draft Mitigations** tab and click the **Unique ID** of the Mitigation Plan

If your CEA asks you to resubmit a mitigation, they will include an explanation for the request in the **Review Results and Due Date** section (a).

My Align

My Dashboard and Tasks

ALIGN

Welcome to Release 1 of the Align system! This is your Dashboard screen. N and Self Logs from the Compliance Monitoring section. In the Enforcement P those created by your Regions). In the Mitigation Management section, you can

TYPE	UNIQUE ID	REGION OR LRE	STATUS
Mitigation Plan	2020-00105	RF	Submit as Mitigation Plan
Mitigation Plan	2020-00120	RF	Submit as Mitigation Plan
Mitigation Plan	2020-00112	NPCC	Reject

Mitigation Management

My Draft Mitigations | My Active Mitigations | Consolidated M

TYPE	UNIQUE ID	REGION OR LRE	REGISTRATION
Mitigation Plan	2020-00121		TEST00200 - TEST00200-RF
Mitigation Plan	2020-00120		TEST00200 - TEST00200-RF
Mitigation Plan	2020-00105		TEST00200 - TEST00200-RF

2020-00105

General Information

Type	Mitigation Plan	Related PNC	2020-00105
Registration	TEST00200 - TEST00200-RF in RF		
Applicable Requirement	PRC-005-6 R3.		
Applicable Part(s)	Registered Entity Cor		
Applicable Reliability Function(s)	GO	FIRST NAM	
Region-Jurisdiction(s) in which the Potential Noncompliance occurred	RF-US		

a Review Results and Due Date

Region Review Results	Submit as Mitigation Plan	NERC Review Res
CEA Comments		NERC Comm
New Submission Due Date		

Root Cause and Interim Risk Reduction

Root Cause	The cause was failure to have adequate controls in place to ensure testing was completed. TH
------------	--

Save and Action | Save | Close



Updating Mitigations: Submitting Mitigation Plans

- 1 Click the **Link** icon to add a **Registered Entity Contact** (required for Mitigation Plans)
- 2 Enter a **Interim Risk Reduction** statement (required for Mitigation Plans)
- 3 Add any milestones or other information requested by your CEA. Then, select **Submit for CEA Review** from the Action dropdown
- 4 Click the **Save and Action** button to submit

General Information

Type	Mitigation Plan	Related PNC	2020-00152	CEA	MRO
Registration	NCR9999999 - Second Game Day Friday Entity in MRO				
Applicable Requirement	CIP-008-5 R3.	Registered Entity Contact	Please provide a point of contact for this mitigation.		
Applicable Part(s)	CIP-008-5 R3. Part 2.	<input type="checkbox"/>	FIRST NAME	LAST NAME	
Applicable Reliability Function(s)	RC	This table is empty			
Region-Jurisdiction(s) in which the Potential Noncompliance occurred	MRO-US				

Review Results and Due Date

Region Review Results	Submit as Mitigation Plan	NERC Review Results	
CEA Comments		NERC Comments	
New Submission Due Date			

Root Cause and Interim Risk Reduction

Root Cause	Not available; PNC Review not yet complete.		
Interim Risk Reduction			

This table is empty

Instructions When ready for Region Review Approval, Submit this Mitigation by selecting the "Submit for CEA Review"

Action Submit for CEA Review

2020-00105 FORM RE-M2 Resubmit

Save and Action
Save
Close

Mouse over for more information



Updating Mitigations: Milestone Extension Requests

To request a mitigation milestone extension:

- 1 Navigate to your **My Active Mitigations**
- 2 Click on the relevant **mitigation record** to highlight it (do not click the Unique ID)
- 3 Click the **+** button in the 'Request Extension' column for the milestone you need to extend

Mitigation Management
Align For Entities

My Draft Mitigations | My Active Mitigations | Deleted Mitigations
NCR9999999 Editor 1

MY MITIGATING ACTIVITIES AND MITIGATION PLANS											
TYPE	UNIQUE ID	REGION OR LRE	REGISTRATION	DATE SUBMITTED	COMPLETION DATE	STANDARD	REQ	REGION AND JURISDICTION	START DATE	STATUS	
Mitigation Plan	2020-00107	MRO	NCR9999999 - Second Game Day Friday Entity in MRO	05/07/2020	05/28/2020	CIP-006-6	R2	MRO-US	05/04/2020	Active	
Mitigation Plan	2020-00082	RF	NCR9999999 - Second Game Day Friday Entity in RF	05/21/2020		CIP-007-6	R5	RF-US	05/03/2020	CEA Processing Due 09/21/2020	
Mitigation Plan	2020-00083	MRO	NCR9999999 - Second Game Day Friday Entity in MRO	05/21/2020		CIP-003-7	R3	MRO-US	05/03/2020	NERC Processing Due 09/21/2020	
Mitigating Activities	2020-00085	RF	NCR9999999 - Second Game Day Friday Entity in RF	05/18/2020		CIP-002-5.1a	R2	RF-US	05/03/2020	Active	
Mitigation Plan	2020-00087	MRO	NCR9999999 - Second Game Day Friday Entity in MRO	05/21/2020		CIP-004-6	R2	MRO-US	05/03/2020	Active	
Mitigating Activities	2020-00106	MRO	NCR9999999 - Second Game Day Friday Entity in MRO	05/07/2020		CIP-007-6	R3	MRO-US	05/04/2020	Complete	
Mitigation Plan	2020-00151	MRO	NCR9999999 - Second Game Day Friday Entity in MRO	05/26/2020		CIP-006-6	R1	MRO-US	05/20/2020	CEA Processing Due 09/29/2020	

Page 1 of 1

ACTIVE REQUESTS FOR INFORMATION

TYPE OF MILESTONE	UNIQUE ID	NAME	DUE DATE	COMPLETION DATE	REQUEST EXTENSION	DUE DATE	ID	COMMENT
Corrective Control	2020-00087 2020-000050	task 1	05/31/2020		+	06/03/2020	2020-00087 20-000064-R	I'm requesting information
Corrective Control	2020-00087 2020-000129	Task 3	07/28/2020		+			
Preventative Control	2020-00087 2020-000122	Task 1b	07/30/2020		+			
Detective Control	2020-00087 2020-000051	task 2	10/04/2020		+			

Mouse over for more information

← Previous Page |
 Next Page →

Updating Mitigations: Milestone Extension Requests



4

Enter your **Proposed New Planned Completion** for the milestone

5

Provide an **Explanation** for the proposed change

6

Click the **Update** to submit

Create Milestone Extension Request

Milestone Extension Request

Mitigation	2020-00104	Proposed New Planned Completion	<input type="text"/>
Related Milestone	Milestone 2020-000115	Explanation	<input type="text"/>
Milestone Name	Task 1		
Compliance Enforcement Authority	RF		
Assigned To	<input type="text"/>		

FORM: Create

6

Updating Mitigations: Completing Milestones



As you complete mitigation milestones, you'll need to indicate the **completion date** in Align.

To do this, open the mitigation and scroll to the **Mitigation Milestone** section.

1 Click the **Milestone ID**

2 Enter the **Actual Completion Date**

3 Click the **Save** button

Mitigation Milestones					
MILESTONE ID	TYPE OF MILESTONE TASK	MILESTONE NAME	PLANNED COMPLETION DATE	REVISED PLANNED COMPLE...	ACTUAL COMPLETION DATE
2020-000124	Preventative Control	Task 1	09/30/2020		

Milestone 2020-000124

Milestone Information

Type of Milestone Task: Preventative Control

Milestone Name: Task 1

Description of Task: This is a preventative control task

Planned Completion Date: September 30, 2020

Revised Completion Date:

Actual Completion Date:

Evidence and Attachments

Data Locker Instructions: Submit Evidence or Attachments related to this Milestone via [Data Locker](#) with the following reference number:
MS-2020-000124
If you are hosting your own Data Locker, please provide a hyperlink to your locker in the comment section above.

2020-000124 FORM Reg/Milestone

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

Updating Mitigations: Scope Expansion



If your mitigation expands the scope of the issue:

- 1 Select **Yes** from the scope expansion dropdown
- 2 Enter an **Explanation** for why the scope has expanded

Once you have completed your mitigation milestones and noted any scope expansion, you'll submit the mitigation to your CEA for verification:

- 3 Select **Submit for CEA Verification** from the Action dropdown
- 4 Click the **Save and Action** button

2020-00125

+	2020-000097	Remediating Action	Testing of Relays	06/30/2020	06/17/2020
	2020-000098	Preventative Control	Develop list of protection components	07/22/2020	07/15/2020
	2020-000099	Preventative Control	Expand SAP tool	08/05/2020	

Requests for Information

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

Has the scope of this issue expanded as a result of these mitigation steps? **1**

Explanation **2**

Action* **3** Submit for CEA Verification

2020-00125 FORM-RE-M2-Update.cdc

4 Save and Action Save Close



Updating Mitigations: Incomplete Status

If your CEA verifies your mitigation as complete, it will show up as **Complete** (a) on your 'My Active Mitigations' tab. If not, your CEA will send it back for you to add what is missing, and it will show up as **Incomplete** (b).

Mitigation Management											
MY MITIGATING ACTIVITIES AND MITIGATION PLANS											Align For Entities
TYPE	UNIQUE ID	REGION OR LRE	REGISTRATION	DATE SUBMITTED	COMPLETION DATE	STANDARD	REQ	REGION AND JURISDICTION	START DATE	STATUS	Test Entity Editor 1 Test Energy Co.
Mitigating Activities	2020-00124	RF	TEST00200 - TEST00200-RF in RF	05/13/2020	07/15/2020	PRC-005-6	R3.	RF-US	04/02/2020	Verification	
Mitigating Activities	2020-00123	RF	TEST00200 - TEST00200-RF in RF	05/14/2020	05/14/2020	PRC-005-6	R3.	RF-US	04/02/2020	Complete	(a)
Mitigating Activities	2020-00104	RF	TEST00200 - TEST Energy Corp. in WECC	05/17/2020		PRC-005-6	R3.	WECC-US	04/16/2020	CEA Processing Due 06/17/2020	
Mitigating Activities	2020-00125	RF	TEST00200 - TEST00200-RF in RF	05/12/2020		PRC-005-6	R3.	RF-US	04/02/2020	Incomplete Returned as Incomplete	(b)
Mitigation Plan	2020-00121	RF	TEST00200 - TEST00200-RF in RF	05/19/2020		PRC-005-6	R3.	RF-US	04/02/2020	CEA Processing Due 06/19/2020	

- 1 Click the **Unique ID** of the **Incomplete** mitigation
- 2 Scroll down to the **Verification** section and read the CEA's comments
- 3 Update the mitigation according to the comments and resubmit by clicking the **Save and Action** button

Verification

CEA Verification Action

Verification Comments Shared with Entity Missing a completion date

Action *

2020-00075 FORM-RE-M2-Update

Save and Action
Save
Close

Mouse over for more information

Managing Consolidated Mitigations



If your CEA consolidates more than one of your findings under the same Enforcement Action, only one of the mitigations associated with those findings will stay active. The rest will move to the **Consolidated Mitigations** tab.

1

Click the **Unique ID** of any consolidated mitigation to review

2

All consolidated mitigations are read-only, so you cannot edit anything at this point. However, Align preserves the mitigation in case you need to copy any information from the consolidated mitigation into the active mitigation

The screenshot displays the 'Mitigation Management' interface. At the top, there are tabs for 'My Draft Mitigations', 'My Active Mitigations', and 'Consolidated Mitigations'. The 'Consolidated Mitigations' tab is selected, showing a list of mitigations with columns for 'TYPE' and 'UNIQUE ID'. A yellow circle with the number '1' highlights the 'UNIQUE ID' column.

Below the list, a detailed view of a mitigation is shown for '2020-00141'. A yellow circle with the number '2' highlights the '2020-00141' ID. The detailed view includes sections for 'General Information', 'Mitigation Milestones', and 'INSTRUCTIONS'.

General Information:

Type	Mitigating Activities	Related PNC	2020-00141	CEA	MRO
Registration	NCR9999999 - Second Game Day Friday Entity in MRO				
Applicable Requirement	CIP-004-6 R3.	Registered Entity Contact	Please provide a point of contact for this mitigation.		
Applicable Part(s)	CIP-004-6 R3, Part 5.	FIRST NAME	LAST NAME		
Applicable Reliability Function(s)	RC	This table is empty			
Region-Jurisdiction(s) in which the Potential Noncompliance occurred	MRO-US				
Root Cause	Not available; PNC Review not yet complete.				
Interim Risk Reduction					

Mitigation Milestones:

MILESTONE ID	TYPE OF MILESTONE TASK	MILESTONE NAME	PLANNED COMPLETION DATE	REVISED PLANNED COMPLE...	ACTUAL COMPLETION DATE
2020-000128	Corrective Control	Task	07/28/2020		

INSTRUCTIONS:

The instructions above are intended to help you review the mitigation.

Action: Submit for CEA Review

Managing Consolidated Mitigations



If you need to add information from a consolidated mitigation to an active one, your CEA will need to send the active mitigation back to you as a revision. Like all revisions, the mitigation will appear on your **My Draft Mitigations** with the yellow triangle icon.

1 Click the **Unique ID** to open the mitigation record

2 Add any information that was on the consolidated mitigations but not on the active mitigation

3 Select **Submit for CEA Review** from the Action dropdown

4 Click **Save and Action**