

Align Release 4 User Guide

Align Release 4 introduces a number of updates to existing functionalities. Click on a topic in the list below or in the ribbon above to begin.

- 1 Completing a Task
- 2 Final Non-Public Reports
- 3 RFI Due Date

Completing a Task

To complete a task in a Monitoring Engagement:

- 1 Navigate to the **Audit and Spot Checks** view
- 2 Click on the relevant engagement in the **Monitoring Engagements** tab
- 3 Click the **ANP** tab
- 4 Click on the **Audit Notification Letter** section

The screenshot illustrates the software interface with four numbered callouts corresponding to the steps in the list:

- 1:** A dropdown menu is open under 'Audits and Spot Checks', with 'Audits and Spot Checks' highlighted.
- 2:** The 'Monitoring Engagement Status' tab is selected, showing a table of engagements.
- 3:** The 'ANP' tab is selected in the sub-view header.
- 4:** The 'Audit Notification Letter' section is highlighted in the ANP sub-view.

AUDIT NAME	TYPE NAME	AUDIT STATUS
ME22-00365	Compliance Audit	In Progress
ME22-00364	Compliance Audit	In Progress
ME22-00362	Compliance Audit	In Progress
ME22-00340	Unscheduled Audit	Review Completed
ME21-00162	Compliance Audit	In Progress

ANP Documents

Audit Notification Letter

ANL Info

Registered Entity: NCR01143 - Southwest Power Pool, Inc. in MRO
 Compliance Audit Type: O&P
 Start Date: May 20, 2022

Completing a Task

- 5 Scroll down to the **Important Dates / Deadlines** section and click the **Task ID**
- 6 Click on the **Task Complete** checkbox
- 7 Select a date from the **Task Completed On** field
- 8 Click on the **Update** button

ME22-00339

Audit Team Lead - OP: MRO Editor 2

Primary - CIP

Primary - OP: Jeff Norman

Member - CIP

Member - OP: MRO Editor 1, ERO 1

Observer

Important Dates/Deadlines

TASK ID	DESCRIPTION	START DATE	DUE DATE	COMPLETION DATE	TASK COMPLETE
AT22-00100	big spud	05/31/2022	30 Jun 2022 30 days to complete		No

AT22-00100

Task Name: Bring me a potato

Description: big

Start Date: M

Due Date: Ju

Task Complete:

Task Completed On:

June 2022

Su Mo Tu We Th Fr Sa

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

Update Close

Final Non-Public Reports

Once your CEA has published the Non-Public Report, you will be able to pull a PDF of that report from Align.

- 1 Open the relevant engagement from the **Audit and Spot Checks** view
- 2 Click on the **Report** tab
- 3 Click the **Audit Non-Public Report** link

The PDF version of the report will then launch (D).

The screenshot illustrates the user interface for accessing a Non-Public Report. It is divided into two main sections: the 'Audits and Spot Checks' view and a PDF viewer.

Audits and Spot Checks View:

- Step 1:** The 'Monitoring Engagement Status' list is visible, with engagement ME22-00362 selected.
- Step 2:** The 'Report' tab is selected in the top navigation bar.
- Step 3:** A link labeled 'Click here to open Audit Non-Public Report' is highlighted at the bottom of the report area.

PDF Viewer:

- The PDF is titled 'Entity Audit Non Public Report.pdf'.
- A yellow arrow with the letter 'D' points to the PDF viewer.
- The 'Table of Contents' is displayed, listing sections and their page numbers:

Table of Contents	
I. Executive Summary	3
II. Compliance Audit Process	3
Objectives	3
Scope	3
Internal Compliance Program	4
Controls	4
Confidentiality and Conflict of Interest	4
Methodology	4
Company Profile	4
III. Potential Non-Compliances	4
IV. Areas of Concern	4
V. Recommendations	4
VI. Positive Observations	5
VII. Compliance Culture	5



RFI Due Date

RFI due dates are now visible from within a monitoring engagement's General tab. From the Audit and Spot Checks view:

1 Click on the relevant engagement in the **Monitoring Engagements** tab

2 Scroll to the RFI section on the **General** tab

The RFI **Due Date** is visible in the 3rd column of the table (A).

The screenshot shows the 'Audits and Spot Checks' interface. The 'Monitoring Engagement Status' tab is active, displaying a list of audit names on the left and details for 'ME22-00365' on the right. A yellow circle with the number '1' highlights the 'ME22-00365' entry in the list. The details for 'ME22-00365' are shown under the 'General' tab, with a yellow circle and the number '1' highlighting the 'General' tab itself. Below this, the 'Audit Request for Information' section is visible, containing a table with the following data:

ID	CATEGORY	DUE DATE	STATUS	CEA COMMENTS	REGISTRATION COMMENTS
R122-000145	Additional RFI	06/30/2022	Registered Entity Processing	Bring me a shrubbery	

A yellow arrow labeled 'A' points to the 'DUE DATE' column header in the table. On the right side of the screenshot, a yellow circle with the number '2' is visible, indicating the second step of the process.