

# Align Release 2 User Guide

Welcome to Align Release 2. Along with the Align [instructional videos](#), this user guide will help you navigate through all of the features included in this release. Click on a topic in the list below or in the ribbon above to begin.

- 1 Accessing Align
- 2 Technical Feasibility Exceptions (TFEs)
- 3 Submitting TFEs
- 4 TFE Terminations
- 5 Updates to TFEs
- 6 Material Change Requests (MCRs)
- 7 Periodic Data Submittals (PDS)
- 8 Requests for Extensions (PDS)
- 9 Requests for Information (PDS)
- 10 Attestations (PDS)
- 11 Self-Certifications
- 12 Creating Findings (Self-Certs)
- 13 Attestations
- 14 Requests for Extensions (Self-Certs)

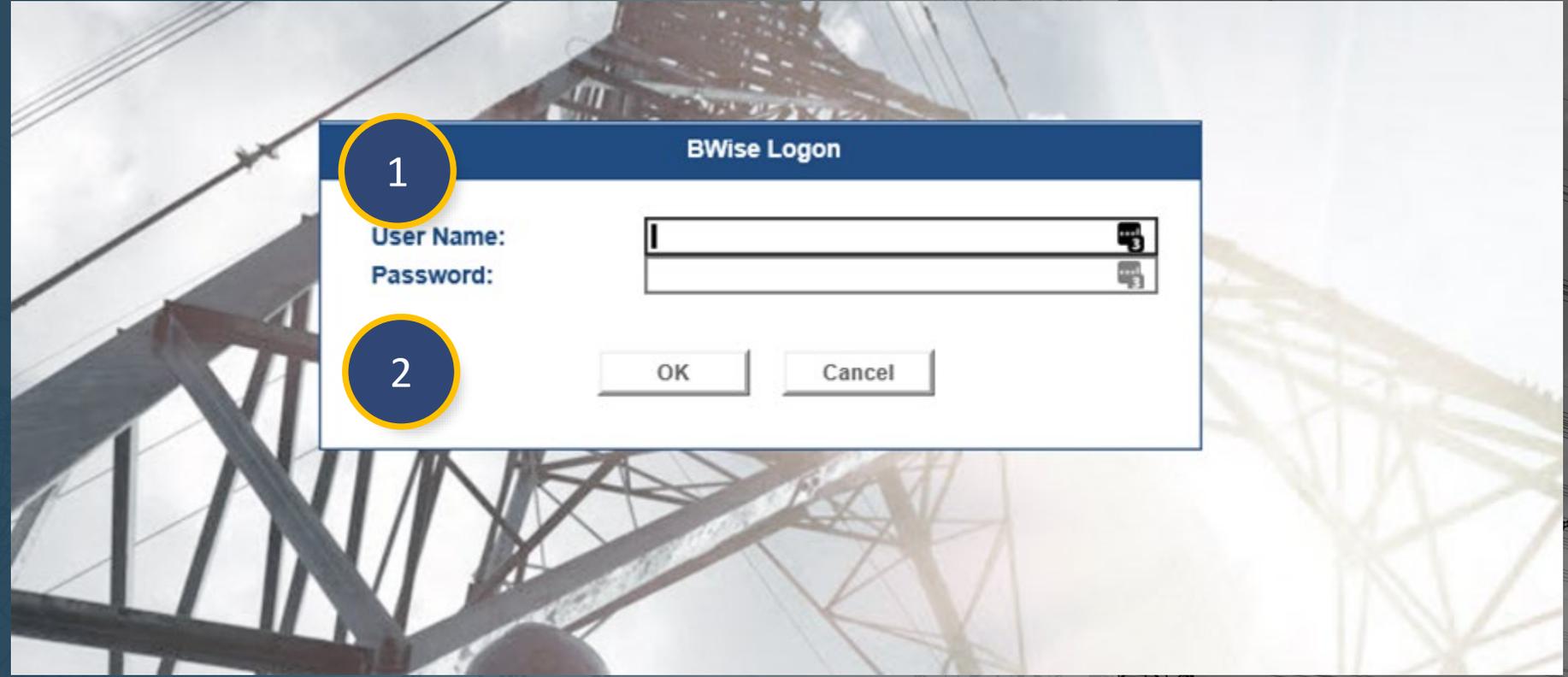




# Accessing Align

From the *Align Log-in Page*

- 1 Enter the **Align Username**
- 2 Enter the **Align Password**





# Technical Feasibility Exceptions

To navigate to the **Technical Feasibility Exception** view:

- 1 Click the **Dropdown Arrow**
- 2 Click the **Technical Feasibility Exception** view
- 3 Click the **Create TFE** link next to the relevant registration
- 4 Click the **+ button** next to the relevant requirement

| SELECT APPLICABLE REQUIREMENT AND PART | REQUIREMENT   |
|--|---|
| STD REQ AND PART                       |   |
| CIP-005-6 R1.4                         | <p><b>Standard and Requirement</b> CIP-005-6   R1.</p> <p><b>Requirement Language</b> Each Responsible Entity shall implement one or more documented processes that collectively include CIP-005-6 Table R1 – Electronic Security Perimeter.</p> <p><b>Time Horizon(s)</b> Operations Planning Same-Day Operations <b>Violation Risk Factor (VRF)</b> Medium</p> <p><b>Requirement Number</b> R1.</p> <p><b>Measure</b> M1. Evidence must include each of the applicable documented processes that collectively include CIP-005-6 Table R1 – Electronic Security Perimeter and additional evidence to demonstrate implementation of the table.</p> <p><b>Requirement Applicability</b> BA<br/>TOP<br/>TO<br/>RC<br/>IA<br/>GOP<br/>DP<br/>GO</p> <p><b>Additional Applicability Details</b> 4.1.2. Distribution Provider that owns one or more of the following Facilities, systems, and equipment:<br/>4.1.2.1. Each underfrequency Load shedding (UFLS) or undervoltage Load shedding (UVLS) system<br/>4.1.2.1.1. Is part of a Load shedding program that is subject to one or more requirements in a NERC</p> |
| CIP-005-6 R2.1                         |   |
| CIP-005-6 R2.2                         |   |
| CIP-005-6 R2.3                         |   |
| CIP-005-6 R2.4                         |   |
| CIP-005-6 R2.5                         |   |
| CIP-006-6 R1.3                         |   |
| CIP-007-6 R1.1                         |   |
| CIP-007-6 R4.3                         |   |
| CIP-007-6 R5.1                         |   |
| CIP-007-6 R5.6                         |   |



# Technical Feasibility Exceptions

- 5 Ensure that the information in the **General** section is accurate
- 6 Enter the **Asset Counts** for each type of Asset
- 7 Select the **Basis For the TFE Request** from the dropdown
- 8 Type a **Statement justifying TFE statement** in the textbox

Create TFE

**5** **General**

Applicable Requirement: [CIP-005-6 R1.](#)

Registration: [NCR01020 - Northern States Power \(Xcel Energy\) in MRO](#)

Region - Jurisdiction(s): [MRO-US](#)

Applicable Part: [CIP-005-6 R1.4.](#)

Compliance Enforcement Authority

**6** **Asset Count**

|                     |                                 |                     |                                 |
|---------------------|---------------------------------|---------------------|---------------------------------|
| Asset Count BCA *   | <input type="text" value="24"/> | Asset Count Other * | <input type="text" value="0"/>  |
| Asset Count BCS *   | <input type="text" value="10"/> | Asset Count PACS *  | <input type="text" value="2"/>  |
| Asset Count EACMS * | <input type="text" value="5"/>  | Asset Count PCA *   | <input type="text" value="10"/> |

**7** **Basis for TFE**

Basis For The TFE Request \*

- None --
- Not technically possible
- Operationally infeasible
- Cannot be achieved by compliant date
- Safety risks outweigh reliability benefits
- Cause non-compliance of requirement
- Incurrence of costs exceed benefits

**8** Statement justifying TFE request \*

Provide a brief summary of compensating and/or mitigating measures that are planned or have been implemented \*



# Technical Feasibility Exceptions

9 Type a **summary of planned or implemented mitigating measures** in the text box

*Notice:* Do not include sensitive information in this summary. Include all sensitive information in the Secure Evidence Locker

10 Select **Yes or No** from the dropdown to indicate the completion status of the mitigating measures

11 Enter the **actual or proposed** completion date of the mitigating measures

Create TFE

|  |   |
|--|---|
| Asset Count BCA * <input type="text" value="24"/><br>Asset Count BCS * <input type="text" value="10"/><br>Asset Count EACMS * <input type="text" value="5"/> | Asset Count Other * <input type="text" value="0"/><br>Asset Count PACS * <input type="text" value="2"/><br>Asset Count PCA * <input type="text" value="5"/> |
|--|---|

Basis for TFE

|   |  |
|---|--|
| Basis For The TFE Request * <input type="text" value="Cannot be achieved by compliant date"/> | Statement justifying TFE request * <div style="border: 1px solid #ccc; height: 100px; width: 100%;"></div> |
|---|--|

---

Proposed Mitigation

|  |   |  |
|--|---|--|
| Provide a brief summary of compensating and/or mitigating measures that are planned or have been implemented * | <div style="border: 1px solid #ccc; height: 40px; width: 100%;"></div> <div style="text-align: center; font-size: 2em; font-weight: bold; border: 2px solid #00a0c0; border-radius: 50%; width: 40px; height: 40px; margin: 0 auto; display: flex; align-items: center; justify-content: center;">9</div> | Have the compensating and/or mitigating measures been fully implemented? * <input type="text" value="No"/>                   |
| Have the compensating and/or mitigating measures been fully implemented? * <input type="text" value=""/>       | Have a plan and a time schedule been proposed to terminate the TFE? * <input type="text" value=""/>   | What is proposed date for implementing all necessary compensating and/or mitigating measures * <input type="text" value=""/> |

FORM: R2\_TFE\_01\_Create

---

|   |  |
|---|--|
| Have the compensating and/or mitigating measures been fully implemented? * <input type="text" value="Yes"/> | Actual completion date * <input type="text" value=""/> |
|---|--|

FORM: R2\_TFE\_01\_Create

Update
Close



# Technical Feasibility Exceptions

*If there is a plan for the termination of the TFE:*

- 12 Select **Yes** from the dropdown menu
- 13 Select the **proposed termination date**
- 14 Type a **brief description of the termination plan** in the textbox

*If there is no proposed termination of the TFE:*

- 15 Select **No** from the dropdown menu
- 16 Type an **explanation of why an open TFE is requested** in the textbox

Create TFE

**Basis for TFE**

Basis For The TFE Request \*

Statement justifying TFE request \*

**Proposed Mitigation**

Provide a brief summary of compensating and/or mitigating measures that are planned or have been implemented \*

Have the compensating and/or mitigating measures been fully implemented? \*

Yes  No

Proposed termination date \*

Has a plan and a time schedule been proposed to terminate the TFE? \*

Yes  No

Provide a brief description of the termination plan \*

Have the compensating and/or mitigating measures been fully implemented? \*

Yes  No

Has a plan and a time schedule been proposed to terminate the TFE? \*

Yes  No

Proposed termination date \*

Provide a brief description of the termination plan \*

Update
Close



# Technical Feasibility Exceptions

To submit the TFE:

- 17 Once you have verified all information is correct, click the **Update button**
- 18 In the **My Draft TFEs and MCRs section** click the **Unique ID** of the TFE you wish to submit

Create TFE

**Basis for TFE**

Basis For The TFE Request \*

Statement justifying TFE request \*

**Proposed Mitigation**

Provide a brief summary of compensating and/or mitigating measures that are planned or have been implemented \*

Have the compensating and/or mitigating measures been fully implemented? \*

Has a plan and a time schedule been proposed to terminate the TFE? \*

Explanation why an open ended TFE is requested \*

Update
Close

Align For Entities
NCR9999999 Second Day Training Test 2 Editor 2

Create New TFE
TFEs In Process
Approved TFEs
Inactive TFEs
Disapproved TFEs

| MY REGISTRATIONS                                  |  | INSTRUCTIONS   |
|---|--|--|
| REGISTRATION                                      | APPLICABLE REQUIREMENTS                            | This is the Registered Entity Technical Feasibility Exception (TFE) page. On the left, you can view your registrations and browse to a specific Requirement and Part to create a TFE. Below you can edit any draft TFEs or MCRs you have not yet submitted. To see the status of TFEs that have been submitted, review older submittals, update your TFE, or create a Material Change Report, go to the next tabs. |
| NCR9999999 - Second Game Day Friday Entity in MRO | <a href="#" style="color: #00a090;">Create TFE</a> |  |
| NCR9999999 - Second Game Day Friday Entity in RF  | <a href="#" style="color: #00a090;">Create TFE</a> |  |

Page 1 of 1

| MY DRAFT TFEs AND MCRs |                       |   |                           |
|------------------------|-----------------------|---|---------------------------|
|                        | UNIQUE ID             | REGISTRATION                                      | PROPOSED TERMINATION DATE |
| <b>18</b>              | XXXX-MRO-TFE-000278-0 | NCR9999999 - Second Game Day Friday Entity in MRO | CIF-006-6 R1.4            |

Page 1 of 1



# Technical Feasibility Exceptions

- 19 In the **Assertions** section, type the **name of the CIP Sr. Manager or delegate**
- 20 Select the **Authorization Date** of the TFE
- 21 Check the **box** to verify the signature of the CIP Sr. Manager or delegate
- 22 In the **Action** section, select **CEA Review** from the dropdown
- 23 Type any **comments** in the textbox
- 24 Click the **Update button** to submit the TFE for CEA Review

Notice: the TFE you just submitted will now appear in the **TFEs in Process Tab**

The screenshot shows the 'Technical Feasibility Exception' form for TFE-000278. The form is divided into several sections:

- Assertions:** Contains a text input for 'CIP Sr. Manager or Delegate name \*' (callout 19), a date picker for 'Authorization date \*' (callout 20), and a checkbox for 'Signature of CIP Sr. Manager or delegate \*' (callout 21). Below the checkbox is a text area for a signature statement.
- Evidence:** Includes 'Secure Evidence Locker Instructions' with a reference number 'MRO|NCR999999|TFE-000278|TFE-000278|CIP-005-6|R1.' and a text input for 'SEL Comment'.
- Action:** Features a dropdown menu for 'Action' (callout 22) with options: '-- None --', 'CEA Review', and 'No Action'. Below it is a text input for 'Submission Comment\*' (callout 23).
- Buttons:** At the bottom right, there are 'Update' and 'Close' buttons (callout 24).



# Technical Feasibility Exceptions

To save the draft TFE without submitting:

25 Select **No Action** from the dropdown

26 Click the **Update** button

Notice: The TFE will remain in the **My Draft TFEs and MCRs Section**

The screenshot shows the 'Technical Feasibility Exception' form for TFE-000278. The form is divided into several sections:

- Assertions:** Includes fields for 'CIP Sr. Manager or Delegate name \*', 'Signature of CIP Sr. Manager or delegate \*', and 'Authorization date \*'. A checkbox is present with the text: 'By checking this box, I affirm that I am the CIP Sr. Manager or Delegate identified above, and I have read this TFE Request and approve the proposed compensating measures and/or mitigating measures and the implementation plan, and that on behalf of NCR9999999 - Second Game Day Friday Entity in MRO, I believe approval of this TFE Request is warranted pursuant to the criteria specified in Section 3.1 of Appendix 4D of the NERC Rules of Procedure.'
- Evidence:** Includes 'Secure Evidence Locker Instructions' with a reference number 'MRO|NCR9999999|TFE-000278|TFE-000278|CIP-005-6|R1|' and a 'SEL Comment' field.
- Action:** Features an 'Instructions' section and an 'Action' dropdown menu. The dropdown is currently set to 'No Action', which is highlighted with a blue circle and the number '25'. Below it is a 'Submission Comment\*' text area.

At the bottom of the form, there is a green 'Update' button and a 'Close' button. The 'Update' button is highlighted with a blue circle and the number '26'.



# Technical Feasibility Exceptions (Terminate a TFE)

To terminate a TFE in Align:

- 1 Navigate to the **Approved TFEs** section
- 2 Click the **Unique ID** of the TFE you wish to terminate
- 3 In the **Action** section, select **Terminate** from the dropdown
- 4 Click the **Update** button

*Notice:* This TFE will now appear in the **Inactive TFEs Section**

The screenshot displays the 'Approved TFEs' section in the Align application. At the top, the navigation bar shows 'Approved TFEs' selected. Below this, a table lists TFEs with columns for 'UNIQUE ID' and 'TFE ID'. The first TFE, '2021-MRO-T...', is highlighted. A callout '2' points to this row. To the right, a detailed view for TFE-000267 is shown. It includes a 'TFE Revision History' section and an 'Action' section. In the 'Action' section, a dropdown menu is open, and 'Terminate' is selected. A callout '3' points to this dropdown. At the bottom of the detailed view, there is an 'Update' button and a 'Close' button. A callout '4' points to the 'Update' button. A callout '1' points to the 'Approved TFEs' tab in the navigation bar.



# Technical Feasibility Exceptions (Non-material changes)

To submit non-material changes to an approved TFE:

- 1 Navigate to the **Approved TFEs** section
- 2 Click the **Unique ID** to open the TFE
- 3 Check the **box** to confirm this change is not a material change

The screenshot displays the 'Approved TFEs' section of the system. A modal window for TFE-000267 is open, showing the following details:

- General**
  - Registration: NCR9999999 - Second Game Day Friday Entity in MRO
  - Applicable Requirement: CIP-005-6 R2.
  - Applicable Part: CIP-005-6 R2.2.
  - CEA: MRO
  - Region - Jurisdiction(s) in which the TFE is applicable to: MRO-US
  - Submission comment: comment
  - Reason and Nature MCR
- Asset Count**
  - Confirm that this is not a material change:  (highlighted with '3')
  - Check the  if you would like to update this TFE with a non-material change.
  - Asset Count BCA: 2
  - Asset Count BCS: 43
  - Asset Count EACMS: 2
  - Asset Count Other: 6
  - Asset Count PACS: 0
  - Asset Count PCA: 0
- Basis for TFE**
  - Update
  - Close



# Technical Feasibility Exceptions (Non-material changes)

4 **Update** the information in the textbox

5 In the Action section, select **No Action** from the dropdown

6 Click the **Update** button

*Notice:* If changes are made to the asset count section, a new TFE Excel Spreadsheet must be uploaded to the Secure Evidence Locker with a new version number

### Asset Count

Confirm that this is not a material change

- Check the box above if you would like to update this TFE with a non-material change.

|                     |   |
|---------------------|---|
| Asset Count BCA 2   | Asset Count BCA Lowered <input style="width: 80%;" type="text" value="2"/>  |
| Asset Count BCS 43  | Asset Count BCS Lowered <input style="width: 80%;" type="text" value="43"/> |
| Asset Count EACMS 2 | Asset Count EACMS Lowered <input style="width: 80%;" type="text"/>          |
| Asset Count Other 6 | Asset Count Other Lowered <input style="width: 80%;" type="text"/>          |
| Asset Count PACS 0  | Asset Count PACS Lowered <input style="width: 80%;" type="text"/>           |
| Asset Count PCA 0   | Asset Count PCA Lowered <input style="width: 80%;" type="text"/>            |

---

### Action

**Instructions** If you have made non-material changes, click **Update** to save those changes.

If you would like to Terminate this TFE, select the **Terminate** action and click **Update**.

If you would like to make a Material Change Report, select the **MCR** action and click **Update**. A MCR will be saved to your Draft TFEs and MCRs, located on the Create TFE tab.

**Action**

-- None --

MCR

Terminate

No Action

FORM: R2\_TFE\_04b\_Approved\_FF

6
Update
Close



# Material Change Requests

To submit a Material Change Request (MCR):

- 1 Navigate to the **Approved TFEs** section
- 2 Click the **Unique ID** of the TFE you wish to submit a Material Change Request for
- 3 In the **Action** section, select **MCR** from the dropdown
- 4 Click the **Update** button

*Notice:* The TFE record will now appear as a draft MCR under the Create New TFE tab

The screenshot shows the 'Approved TFEs' section of the software. A table lists TFEs with their Unique IDs. A modal window is open for TFE-000268, showing an 'Action' dropdown menu with 'MCR' selected. An 'Update' button is visible at the bottom of the modal.

| UNIQUE ID             |
|-----------------------|
| 2021-MRO-TFE-000267-0 |
| 2021-MRO-TFE-000268-0 |

TFE-000268

2021-MRO-TFE-000268-2

2021-MRO-TFE-000268-1

Page 1 of 1

**Action**

Instructions: If you have made non-material changes, click **Update** to save those changes. If you would like to Terminate this TFE, select the **Terminate** action and click **Update**. If you would like to make a Material Change Report, select the **MCR** action and click **Update**. A MCR will be saved to your Draft TFEs and MCRs, located on the Create TFE tab.

Action:



# Material Change Requests

- 5 Navigate to the **Create New TFE** section
- 6 In the **My Draft TFEs and MCRs** section, click the **Unique ID** of the MCR you wish to submit
- 7 **Edit** the form to reflect the Material Change Request

*Notice: If the MCR affects the Basis for the TFE or the proposed mitigating measures those sections will need to be updated as well*

The screenshot shows the 'Technical Feasibility Exception' section of the system. At the top, there are navigation tabs: 'Create New TFE', 'TFEs In Process', 'Approved TFEs', 'Inactive TFEs', and 'Disapproved TFEs'. A callout '5' points to the 'Create New TFE' tab. Below this is a table titled 'MY DRAFT TFEs AND MCRs'. A callout '6' points to the 'UNIQUE ID' column of the table, which lists entries like 'NCR9999999 - Second Game Day Friday Entity'. A callout '7' points to the 'Update' button in the modal form that is open over the table. The modal form is for TFE-000278 and contains the following sections:

- General:**
  - Type of Submission: TFE
  - Applicable Requirement: CIP-005-6 R1.
  - Registration: NCR9999999 - Second Game Day Friday Entity in MRO
  - Entity in Coordinated Oversight: No
  - Applicable Part: CIP-005-6 R1.4.
  - CEA: MRO
  - Region - Jurisdiction(s) in which the TFE is applicable to: MRO-US
- Asset Count:**
  - Asset Count BCA \*: 2
  - Asset Count BCS \*: 0
  - Asset Count EACMS \*: 0
  - Asset Count Other \*: 0
  - Asset Count PACS \*: 0
  - Asset Count PCA \*: 0
- Basis for TFE:**
  - Basis For The TFE Request \*: Not technically possible
  - Statement justifying TFE request \*: statement

At the bottom of the modal form are 'Update' and 'Close' buttons.



# Material Change Requests

- 8 In the **Assertions** section, type the **CIP Sr. Manager or delegate name**
- 9 Check the **box** to verify the signature
- 10 Select the **authorization date**
- 11 Submit **updated information** to the Secure Evidence Locker

TFE-000268

Schedule been proposed to terminate the TFE? \*

Explanation why an open ended TFE is requested \*

---

**8** CIP Sr. Manager or Delegate name \*

Authorization date \*

**10**

Signature of CIP Sr. Manager or delegate \*

- By checking this box, I affirm that I am the CIP Sr. Manager or Delegate identified above, and I have read this Material Change Report and approve the proposed compensating measures and/or mitigating measures and the implementation plan, and that on behalf of NCR99999999 - Second Game Day Friday Entity in MRO, I believe approval of this Material Change Report is warranted pursuant to the criteria specified in Section 3.1 of Appendix 4D of the NERC Rules of Procedure.

---

**Evidence**

**Secure Evidence Locker Instructions** Submit Evidence or Attachments related to this TFE/MCR via [ERO Secure Evidence Locker \(SEL\)](#) with the following reference number:  
**MRO|NCR99999999|TFE-000268|TFE-000268|CIP-005-6|R1.1|**

If you are hosting your own SEL, please provide a hyperlink to your locker in the comment section below.

**SEL Comment**

---

**TFE Revision History**

Update [Close](#)



# Material Change Requests

12 In the **Action** section, select **CEA Review** from the dropdown

13 Type the **reason and nature of the MCR** in the textbox

14 Click the **Update** button

*Notice:* The MCR will now appear in the TFEs in Process tab until the CEA approves it.

TFE-000268 ✕

|                       |            |
|-----------------------|------------|
| 2021-MRO-TFE-000268-2 |            |
| 2021-MRO-TFE-000268-1 |            |
| 2021-MRO-TFE-000268-0 | 05/14/2021 |

⏪ ⏩ Page  of 1 ⏪ ⏩ 🔄

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Action

**Instructions** Instructions, as RE it is possible to Close this MCR Request, click the action item below and select Close option and click "Update". It is also possible to submit this MCR for CEA review,click the action item below and select MCR option and click "Update"

**Action**

Reason and nature MCR \*

CEA Review

CEA Review

-- None --

No Action

CEA Review

Close

FORM: R2\_TFE\_DE\_MCR

14

Update
Close

12

13

14



# Periodic Data Submittals (Responding to a PDS Request)

To navigate to the **Periodic Data Submittal** view:

- 1 Click the **Dropdown Arrow**
- 2 Click the **Periodic Data Submittal** view
- 3 Click the **Active PDS Requests** tab

**Step 1:** Click the **Dropdown Arrow** in the top left corner of the 'My Align' header.

**Step 2:** Click the **Periodic Data Submittal** view in the dropdown menu.

**Step 3:** Click the **Active PDS Requests** tab in the 'Periodic Data Submittal' view.

| PDS ID         | TYPE          | REPORTING PERIOD        | ENTITY  | SHORT NAME         | DUE DATE   |
|----------------|---------------|-------------------------|---|--------------------|------------|
| PDS2021-001844 | PRC-023-4 R5. | 05/11/2021 - 05/17/2021 | NCR9999999 - Second Game Day Friday Entity in MRO | Jeff Test Eta      | 05/31/2021 |
| PDS2021-001678 | FAC-003-4     | 01/01/2021 - 03/31/2021 | NCR9999999 - Second Game Day Friday Entity in MRO | MRO Test 5/20/2021 | 06/20/2021 |
| PDS2021-001840 | FAC-003-4     | 05/01/2021 - 05/06/2021 | NCR9999999 - Second Game Day Friday Entity in MRO | Jeff Test Epsilon  | 06/23/2021 |
| PDS2021-001849 | FAC-003-4     | 04/01/2021 - 04/30/2021 | NCR9999999 - Second Game Day Friday Entity in MRO | RFE Test EM 5-24   | 06/24/2021 |
| PDS2021-002119 | FAC-003-4     | 02/01/2021 - 02/28/2021 | NCR9999999 - Second Game Day Friday Entity in MRO | Test 2 5-28 EM     | 07/31/2021 |



# Periodic Data Submittals (Responding to a PDS Request)

- 4 Click the **PDS ID** to open the PDS Request
- 5 Click the **Click to Assign** link

Periodic Data Submittals
Align For Entities

Active PDS Requests | 
 PDS Submittals | 
 Completed PDS Requests | 
 Create PDS
NCR9999999 Second Day Training Test 2 Editor 2

| ACTIVE PDS REQUESTS AWAITING MY RESPONSE |           |                  |        |            |          |  |
|--|-----------|------------------|--------|------------|----------|--|
| PDS ID                                   | TYPE      | REPORTING PERIOD | ENTITY | SHORT NAME | DUE DATE |  |
| PDS2022-000012                           | FAC-003-4 |                  |        | Test PDS   |          |  |
| PDS2022-000013                           | FAC-003-4 |                  |        |            |          |  |
| PDS2021-002403                           | FAC-003-4 |                  |        |            |          |  |
| PDS2021-002402                           | FAC-003-4 |                  |        |            |          |  |
| PDS2021-001849                           | FAC-003-4 |                  |        |            |          |  |
| PDS2021-002355                           | FAC-003-4 |                  |        |            |          |  |
| PDS2021-002123                           | FAC-003-4 |                  |        |            |          |  |
| PDS2021-002124                           | FAC-003-4 |                  |        |            |          |  |
| PDS2021-001840                           | FAC-003-4 |                  |        |            |          |  |

Page 1 of 1

**INSTRUCTIONS**

Above are Periodic Data Submittals awaiting your response. On behalf of your company, you will be asked to submit data to the SEL.

Periodic Data Submittals that have been selected for your review will have a link to the PDS that you can click to assign.

**Test PDS**

**Unique ID** PDS2022-000013

**PDS for** PRC-023-4 R5. **Region/LRE** MRO

**Registration** NCR9999999 - Second Game Day Friday Entity in MRO

**PDS Name** Test PDS

**Description of Request**

**Submit on or after** April 15, 2022 **Monitoring Period Start** April 1, 2022

**But no later than** April 29, 2022 **Monitoring Period End** April 8, 2022

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**Questions**

**Instructions** To create a new Assignment click **Click to Assign** below. Once Assignment is created click **Edit and Finalize Assignment** to submit Assessment. Open the questions below and answer each question. Need more time? Scroll down to **Request an Extension**. Have evidence to upload? Scroll down to the **Evidence** section.

**PDS ASSIGNMENTS**

| SUBJECT   | REVISION     | STATUS       |
|---|--------------|--------------|
| PRC-023-4 R5<br><a href="#">Click to Assign</a> | Not Assigned | Not Assigned |

Update
Close



# Periodic Data Submittals (Responding to a PDS Request)

- 6 Click the **Click Here to Finalize** link
- 7 Click the **Lick Icon** to select an Assignee (or check the checkbox beside an Assignee and click the unlink icon to remove an Assignee)
- 8 Select **Assign** from the Action dropdown
- 9 Click **Update**

Test PDS

PDS for: PRC-023-4 R5. Region/LRE: MRO

Registration: NCR9999999 - Second Game Day Friday Entity in MRO

PDS Name: Test PDS

Description of Request: [Empty]

Submit on or after: April 15, 2021

But no later than: April 29, 2021

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Question: [Empty]

Instructions: To create a... Once Assign... Open the... Need... Have...

AS-22-0000030

**Assignment**

**Instructions:** Assignment must have only **One** Person assigned. To submit the Assignment, select **Assign** in the **Action** field and click the **Save** button.

**Persons**

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

**PDS Scope:** PRC-023-4 R5. x

---

**Action**

Action: Assign

Update
Close

**PDS ASSIGNMENTS**

| SUBJECT  |
|--|
| PRC-023-4 R5.<br><a href="#">Assignment Finalization Incomplete - Click here to Finalize</a> |

Update



# Periodic Data Submittals (Responding to a PDS Request)

10 Click the **Click here to answer** to open the PDS questions

Notice: if you need to assign the questions to someone else, click **Assign Again** (a)

11 **Complete** the questions in the Questions form

Notice: You will not be able to edit your responses to the questions after you click Save. If you are not ready to submit your PDS response, click **Save Draft**.

Also, note that there are often links to specific forms (b & c) that you will need to upload to the SEL.

12 Click **Save**

13 Click **Yes**

The screenshot shows a web interface for 'Test PDS'. It includes a 'Description of Request' section with submission dates (April 15, 2022 to April 29, 2022), a 'Questions' section with instructions, and a 'PDS ASSIGNMENTS' table. Callout 10 points to the 'Click here to answer' link in the assignment table. Callout 11 points to the question form, which contains four questions about transmission vegetation management. Callout 12 points to the 'Save' button at the bottom of the question form. Callout 13 points to the 'Yes' button in a confirmation dialog box that appears after clicking 'Save'.



# Periodic Data Submittals (Responding to a PDS Request)

Once you upload evidence to the SEL with the reference number provided (a), you can submit the PDS for review

14 In the Action section, select **Submit** from the dropdown

Notice: If you are not ready to submit your PDS response, select In Progress. Or, if you have no data to provide, select Submit Without Data.

15 Check the **checkbox**

16 Click **Update**

Notice: This PDS will now appear under the PDS Submittals tab.

Test 2 5-28 EM
✕

[Click here to make an Attestation](#)

[Click here to Request an Extension](#)

**Evidence**



Secure Evidence Locker

Submit Evidence or Attachments related to this Periodic Data Submittal via [ERO Secure Evidence Locker \(SEL\)](#) with the following reference number:

**MRO|NCR9999999|VITest 2 5-28 EM|VITest 2 5-28 EM|FAC-003-4|**

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

---

**Action**

Instructions Please select "Submit" in the Action option below if you have uploaded PDS form to the SEL. Select "Submit Without Data" in case you have not submitted any data. In case you requested a Request for Extension please leave the status "In Progress". Click "Update" to save the PDS and process it according to the selected Action.

Action \*

I have uploaded evidence related for this PDS to the SEL

Submit

In Progress

Submit Without Data

Submit

**15**
**14**

Update
Close

16

14



# Periodic Data Submittals (Reopened PDS Requests)

Your CEA may reopen a PDS after you submit it so that you can make necessary changes. The only difference with a reopened PDS is how you respond to the Questions section. To respond:

- 1 Click the link in the **Action** column
- 2 **Close** or **Cancel** the screen that pops up
- 3 Click on the new **Questions link**, and complete the question set as normal

### Questions

**Instructions** Open the questions to the right and answer each question. Need more time? Scroll down to **Request an Extension**. Have evidence to upload? Scroll down to the **Evidence** section.

| QUESTIONS |   | ACTION   |
|-----------|---|--|
| COMPLETED | Questions related to FAC-003-4 VERSION for NCR9999999 | You have been requested to perform a re-assessment |

Please answer the following questions: - Google Chrome

nerc-uat.bwise.net/bwise/app/today/editors/AssessmentSessionEditor.jspx?dataObjectl...

Please answer the following questions:

Subject: NCR9999999 - Second Game Day Friday Entity in MRO

Section: FAC-003-4

### QUESTIONS

| QUESTIONS |   | ACTION   |
|-----------|---|--|
| NEW       | Questions related to FAC-003-4 VERSION 1 for NCR9999999 |  |
| COMPLETED | Questions related to FAC-003-4 VERSION for NCR9999999   | You have been requested to perform a re-assessment |



# Periodic Data Submittals (Extension Requests)

To request an extension for an active Periodic Data Submittal:

- 1 In the Active PDS Request tab, click the **PDS ID** to open the PDS Request
- 2 Click to expand the **Request an Extension** section
- 3 Click the **plus icon**

Periodic Data Submittals
Align For Entities

Active PDS Requests | 
 PDS Submittals | 
 Completed PDS Requests | 
 Create PDS

| ACTIVE PDS REQUESTS AWAITING MY RESPONSE |                  |                  |            |          |  |
|--|------------------|------------------|------------|----------|--|
| PDS ID                                   | REPORTING PERIOD | ENTITY           | SHORT NAME | DUE DATE |  |
| PDS2021-001844                           |                  | RFE Test EM 5-24 |            |          |  |
| PDS2021-001678                           |                  |                  |            |          |  |
| PDS2021-001840                           |                  |                  |            |          |  |
| PDS2021-001849                           |                  |                  |            |          |  |

Click here to make an Attestation

Click here to Request an Extension

| RFE ID     | ORIGINAL DUE DATE | REQUESTED NEW DUE DA... | APPROVED NEW DUE DATE | REASON FOR EXTENSION | STATUS    |
|------------|-------------------|-------------------------|-----------------------|----------------------|-----------|
| RFE-000123 | 06/24/2021        | 07/24/2021              |                       | test                 | Requested |

**Evidence**

**Secure Evidence Locker Instructions** Submit Evidence or Attachments related to this Periodic Data Submittal via [ERO Secure Evidence Locker \(SEL\)](#) with the following reference number:  
**MRO|NCR9999999|VIRFE Test EM 5-24|VIRFE Test EM 5-24|FAC-003-4|**  
 If the entity is hosting its own SEL, please provide a hyperlink to their locker in the comment section above.

**Action**

**Instructions** Please select "Submit" in the Action option below if you have uploaded PDS form to the SEL. Select "Submit Without Data" in case you have not submitted

Update
Close



# Periodic Data Submittals (Extension Requests)

- 4 Select a **New Due Date** for the PDS Request
- 5 Type a **Reason for extension**
- 6 Click **Update**
- 7 In the Action Section, select **In Progress** from the **dropdown**
- 8 Click **Update**

Request for Extension

Requested New Due Date

Reason for extension

4

Ju

| Su | Mo | Tu | We | Th | Fr | Sa |
|----|----|----|----|----|----|----|
| 30 | 31 | 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 | 1  | 2  | 3  |
| 4  | 5  | 6  | 7  | 8  | 9  | 10 |

**Action**

Action  Update will send this RFE to the CEA.

Update
Close

Request for Extension

**ACTION**

Instructions Please select "Submit" in the Action option below if you have uploaded PDS form to the SEL. Select "Submit Without Data" in case you have not submitted any data. In case you requested a Request for Extension please leave the status "In Progress". Click "Update" to save the PDS and process it according to the selected Action.

Action\*

Update
Close

| EXTENSION | STATUS    |
|-----------|-----------|
|           | Requested |
|           |           |
|           |           |
|           |           |
|           |           |

EL) with the following reference number:



# Periodic Data Submittals (RFIs)

To respond to a Request for Information from the CEA:

- 1 Navigate to the **My Align dashboard**
- 2 Click the **Unique ID** to open the Request for Information
- 3 Type **comments** in the **Respondent Comments** textbox
- 4 Click **Save and Action** to send the response to the CEA

**1** My Align

Align For Entities

NCR9999999 Second Day Training Test 2 Editor 2

My Dashboard and Tasks

Assigned To Me

WELCOME TO RELEASE 1 OF THE **Align** SYSTEM! Self Reports and Self Logs from the **Compliance** (both those you created and those created by Activities and Mitigation Plans.

**MY TASKS**

| TYPE               | UNIQUE ID                | REGID OR LE |
|--------------------|--------------------------|-------------|
| RFI for Mitigation | 2020-00087   20-000064-R | MRO         |
| RFI for Mitigation | 2020-00108   20-000086-R | MRO         |
| RFI for Mitigation | 2020-00715   20-000214-R | RF          |
| RFI for Mitigation | 2020-00723   20-000221-R | RF          |
| RFI for PDS        | RF21-000364              | MRO         |
| RFI for PDS        | RF21-000378              | MRO         |
|                    | RF21-000344              | MRO         |
|                    | RF21-000352              | MRO         |

Page 1 of 1

**RF21-000378**

**Request for Information**

**Original Finding**

**Requestor** MRO Editor 1

**Requestor Comments** test

**Requestor Attachments**

**Request Sent On** June 11, 2021

**Response Due By** July 11, 2021

**Respondent Comments**

**3**

**Evidence**

**Secure Evidence Locker Instructions** Submit Evidence or Attachments related to this item via ERO Secure Evidence Locker (SEL) located at <https://eusstg.eroenterprise.com/nero-infrastructure> with the following reference number:  
 ||Test 5-24 EM|Test 5-24 EM,RF21-000378||

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

**Action**

**4** Save and Action Save Close

# Periodic Data Submittals (Attestations)

To create an Attestation to a requirement:

- 1 In the Active PDS Request tab, click the **PDS ID** to open the PDS Request
- 2 Click to expand the **Attestation** section
- 3 Click the **plus icon**

Periodic Data Submittals

Align For Entities

Active PDS Requests | PDS Submittals | Completed PDS Requests | Create PDS

ACTIVE PDS REQUESTS AWAITING MY RESPONSE

RFE Test EM 5-24

PDS ID: PDS2021-001844, PDS2021-001678, PDS2021-001840, PDS2021-001849

1

2 Click here to make an Attestation

| CREATE ATTESTATION |          |                    | ATTESTATION OVERVIEW |                   |                |              |           |
|--------------------|----------|--------------------|----------------------|-------------------|----------------|--------------|-----------|
| ATTESTATION SCOPE  | FUNCTION | CREATE ATTESTATION | ATTESTATION ID       | ATTESTATION SCOPE | EFFECTIVE DATE | RENEWAL DATE | STATUS    |
| FAC-003-4          | GO       | +                  | AE / 281072          | FAC-003-4         | 05/24/2021     |              | Requested |

3

Page 1 of 1

Click here to Request an Extension

Update Close



# Periodic Data Submittals (Attestations)

4 Type any **Notes** in the **textbox**

5 Click **Update** to save the Attestation

6 Click **Update** to send the attestation to the CEA

The screenshot shows a web application window titled "Create Applicability Exception". The window has a teal header and a white body. The "General" tab is active, showing the following information:

- Source: Attestation
- Registration: NCR9999999 - Second Game Day Friday Entity in MRO
- Function(s): GO

Below this information, there are three columns: "Standard" (FAC-003-4), "Requirement", and "Part". A "Notes" section contains a large text area with a yellow circle containing the number "4" overlaid on it. At the bottom left of the form, there is a yellow circle containing the number "5" overlaid on a green "Update" button and a grey "Close" button. Below the form, there is a grey bar with the text "Click here to Request an Extension" and a yellow circle containing the number "6" overlaid on a green "Update" button and a grey "Close" button. On the right side of the window, a sidebar is partially visible with a table containing columns for "RENEWAL DATE" and "STATUS", and a row with the value "Requested".



# Periodic Data Submittals (Reaffirming Attestations)

To navigate to the **Attestations** view:

- 1 Click the **Dropdown Arrow**
- 2 Click the **Attestations** view
- 3 Click the **Attestations to Reaffirm** tab

**Attestations**

Active Attestations | Attestations in Review | **Attestations to Reaffirm** | Attestations

**BULK REAFFIRM**

ATTESTATIONS AWAITING MY REAFFIRMATION

| REGISTRATION                                      | APPLICABLE TO | RENEWAL DATE | REAFFIRM RENEWAL DATE | ACTION   |
|---|---------------|--------------|-----------------------|----------|
| NCR9999999 - Second Game Day Friday Entity in MRO | PRC-023-4 R5  | 05/24/2022   | 06/02/2021            | REAFFIRM |

INSTRUCTIONS

The above Attestations have been previously approved, and you are being asked to reaffirm their validity. There are two ways to do this.

- To reaffirm each Attestation individually, click **REAFFIRM** on the right for each specific Attestation.
- To reaffirm multiple Attestations as a group, click **BULK REAFFIRM** at the top of the screen, and follow the instructions.



# Periodic Data Submittals (Reaffirming Attestations)

- 4 Click **Reaffirm** in the action column
- 5 Select **Reaffirm** from the **dropdown**
- 6 Type any **comments**
- 7 Click **Update**

The screenshot shows the 'Attestations' interface. At the top, there are tabs for 'Active Attestations', 'Attestations In Review', 'Attestations to Reaffirm', and 'Inactive Attestations'. The 'Attestations to Reaffirm' tab is active. Below the tabs is a table titled 'ATTESTATIONS AWAITING MY REAFFIRMATION'. The table has columns for 'REGISTRATION', 'APPLICABLE TO', 'RENEWAL DATE', 'REAFFIRM RENEWAL DATE', and 'ACTION'. A row is visible with the registration 'NCR9999999 - Second Game Day Friday Entity in MRO' and the action 'REAFFIRM'. A modal window titled 'Create Attestation Reaffirmation' is open over the table. The modal contains an 'Action' dropdown menu with options: 'Reaffirm', '-- None --', 'Reaffirm', and 'No Action'. Below the dropdown is a text input field for 'Reaffirmation Comment'. At the bottom of the modal are 'Update' and 'Close' buttons. Numbered callouts are placed over the interface: '4' is over the 'REAFFIRM' button in the table; '5' is over the 'Reaffirm' option in the dropdown; '6' is over the 'Reaffirmation Comment' text box; and '7' is over the 'Update' button.



# Periodic Data Submittals (Bulk Reaffirmations)

To reaffirm multiple Attestations:

- 1 Click the **Bulk Reaffirm** button
- 2 Click the **link icon**
- 3 Check the **checkbox** next to the relevant attestations
- 4 Click **Confirm**

The screenshot shows the 'Attestations' management interface. A 'BULK REAFFIRM' button is highlighted with a '1'. A modal window titled 'Create Attestation Reaffirmation' is open, showing a 'Relate Existing' dialog with a table of attestations. A 'link icon' is highlighted with a '2', and a checkbox next to an attestation is highlighted with a '3'. A 'Confirm' button is highlighted with a '4'.

| ATTESTATION ID           | REGISTRATION                                      | ATTESTATION SCOPE | EFFECTIVE DATE | RENEWAL DATE | REAFFIRMED RENEWAL DATE | STATUS                  |
|--------------------------|---|-------------------|----------------|--------------|-------------------------|-------------------------|
| <input type="checkbox"/> |   |                   |                |              |                         |                         |
| <input type="checkbox"/> | NCR9999999 - Second Game Day Friday Entity in MRO | PRC-023-4 R5.     | 05/24/2021     | 05/24/2022   | 06/02/2021              | Reaffirmation Requested |



# Periodic Data Submittals (Bulk Reaffirmations)

- 5 Select **Reaffirm** from the **dropdown**
- 6 Type any **comments**
- 7 Click **Update**

Create Attestation Reaffirmation

Instructions Click the link on the left to choose one or more Attestations you would like to relate to this Reaffirmation. Then, select "Reaffirm," provide a comment below, and click Update to submit your Reaffirmation. Select Close to cancel.

| <input type="checkbox"/> | APPLICABILITY EXCEPTIO... | NAME        | REGISTRATION  | STANDARD | REQUIREMENT                  | PART |
|--------------------------|---------------------------|-------------|---|----------|------------------------------|------|
| <input type="checkbox"/> | AE / 281070               | AE / 281070 | <a href="#">NCR9999999 - Second Game Day Friday Entity in MRO</a> |          | <a href="#">PRC-023-4 R5</a> |      |

Attestation Reaffirmation  5

Reaffirmation Comment  6

FORM: 02\_RE\_Reaffirm\_Attestation

# Self-Certifications



To navigate to the **Self Certifications** view:

- 1 Click the **dropdown arrow**
- 2 Select the **Self Certifications** View

The screenshot shows the 'My Align' dropdown menu. A yellow circle with the number '1' highlights the dropdown arrow in the top right corner of the 'My Align' header. Another yellow circle with the number '2' highlights the 'Self Certifications' menu item, which is currently selected and highlighted in light blue. The menu items listed are: My Align, Self Reports and Logs, Periodic Data Submittals, Self Certifications, Enforcement Processing, Mitigation Management, Technical Feasibility Exception, Attestations, and Reports. Below the menu, a table header is visible with columns: STATUS, NCR, REGISTRATI..., STANDARD, REQ, and DUE DATE.



# Self-Certifications (Self-Cert Assessment)

To respond to a Self-Certification Request:

- 1 Navigate to the **Active Self Cert Requests** tab
- 2 Click the **Unique ID** to open to the Self-Certification
- 3 Click the **Click to Assign** link
- 4 Click the **Click to Finalize** link

The screenshot illustrates the workflow for responding to a self-certification request. It is divided into four numbered steps:

- Step 1:** The user navigates to the 'Active Self Cert Requests' tab in the 'Self Certifications' section.
- Step 2:** The user clicks on a 'Unique ID' (e.g., SC2022-000005) from the 'MY ACTIVE SELF-CERTS' list to open the 'Self-Cert Test JS' page.
- Step 3:** On the 'Self-Cert Test JS' page, the user clicks the 'Click to Assign' link for a specific subject (e.g., PRC-023-4 R1).
- Step 4:** The user is taken to a 'Self-Cert Test JS' page with a table of 'SELF-CERT ASSIGNMENTS'. Here, they click the 'Click to Assign' link for a specific assignment (e.g., PRC-023-4 R1).

The 'SELF-CERT ASSIGNMENTS' table in the final step shows the following data:

| SUBJECT      | REVISION  | STATUS             |
|--------------|---|--------------------|
| PRC-023-4 R1 | Assignment Finalization Incomplete - Click here to Finalize | Pending Assignment |
| PRC-023-4 R2 | Not Assigned  | Not Assigned       |
| PRC-023-4 R3 | Not Assigned  | Not Assigned       |
| PRC-023-4 R4 | Not Assigned  | Not Assigned       |
| PRC-023-4 R5 | Not Assigned  | Not Assigned       |



# Self-Certifications (Self-Cert Assessment)

- 5 Click the **Lick Icon** to select an Assignee (or check the checkbox beside an Assignee and click the unlink icon to remove an Assignee)
- 6 Click the **Link Icon** to select the Self-Cert Scope
- 7 Click the **checkbox** next to the requirement(s) you want to assign the assignee to
- 8 Click **Confirm**

The screenshot displays the 'Assignment' interface for AS-22-00000032. It includes instructions, a list of persons with checkboxes and link/unlink icons, a list of self-cert scopes with checkboxes and link/unlink icons, and an action field set to 'None'. A 'Relate Existing' modal is open, showing a list of requirements with checkboxes. The 'Confirm' button in the modal is highlighted with a yellow circle and the number 8.

**Assignment**

Instructions: Assignment must have only **One** Person assigned. You must have at least **One** Requirement populated. To submit the Assessment, select **Assign** in the **Action** field and click the **Save** button.

**Persons**

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

**Self-Cert Scope**

|                          |               |                          |
|--------------------------|---------------|--------------------------|
| <input type="checkbox"/> | REQUIREMENT   | <input type="checkbox"/> |
| <input type="checkbox"/> | PRC-023-4 R1. | <input type="checkbox"/> |

**Action**

Action: None

**Relate Existing**

|                                     |               |
|-------------------------------------|---------------|
| <input type="checkbox"/>            | REQUIREMENT   |
| <input checked="" type="checkbox"/> | PRC-023-4 R1. |
| <input type="checkbox"/>            | PRC-023-4 R2. |
| <input type="checkbox"/>            | PRC-023-4 R3. |
| <input type="checkbox"/>            | PRC-023-4 R4. |
| <input type="checkbox"/>            | PRC-023-4 R5. |

Page 1 of 1

**Confirm** **Close**



# Self-Certifications (Self-Cert Assessment)

9 When ready, select **Assign** in the Action field

10 Click **Update**

11 Click the **Click her to Answer** link

**Persons**

- ASSIGNEE
- NCR9999999 Second Day Training Test 2 Editor 2

**Self-Cert Scope**

- REQUIREMENT
- PRC-023-4 R1.
- 
- 
- 
-

**Action**

Action: Assign 9

10 Update Close

| SELF-CERT ASSIGNMENTS   |                  |  |
|---|------------------|--|
| SUBJECT   | REVISION         | STATUS   |
| PRC-023-4 R1.   <a href="#">Assign Again</a><br>Assigned to you (NCR9999999 Second Day Training Test 2 Editor 2) - <a href="#">Click here to Answer</a> | Initial Response | NEW <div style="width: 100%; height: 10px; background-color: #ccc; position: relative;"> <div style="width: 10%; background-color: #0070c0;"></div> </div> |
| PRC-023-4 R2.   <a href="#">Assign Again</a><br>Assigned to you (NCR9999999 Second Day Training Test 2 Editor 2) - <a href="#">Click here to Answer</a> | Initial Response | NEW <div style="width: 100%; height: 10px; background-color: #ccc; position: relative;"> <div style="width: 10%; background-color: #0070c0;"></div> </div> |
| PRC-023-4 R3.   <a href="#">Assign Again</a><br>Assigned to you (NCR9999999 Second Day Training Test 2 Editor 2) - <a href="#">Click here to Answer</a> | Initial Response | NEW <div style="width: 100%; height: 10px; background-color: #ccc; position: relative;"> <div style="width: 10%; background-color: #0070c0;"></div> </div> |
| PRC-023-4 R4.   <a href="#">Assign Again</a><br>Assigned to you (NCR9999999 Second Day Training Test 2 Editor 2) - <a href="#">Click here to Answer</a> | Initial Response | NEW <div style="width: 100%; height: 10px; background-color: #ccc; position: relative;"> <div style="width: 10%; background-color: #0070c0;"></div> </div> |
| PRC-023-4 R5.   <a href="#">Assign Again</a><br>Assigned to you (NCR9999999 Second Day Training Test 2 Editor 2) - <a href="#">Click here to Answer</a> | Initial Response | NEW <div style="width: 100%; height: 10px; background-color: #ccc; position: relative;"> <div style="width: 10%; background-color: #0070c0;"></div> </div> |

11



# Self-Certifications (Self-Cert Assessment)

12 Select your **response** from the **dropdown**

*Notice:* To delegate a section of the question to another user, click the **Delegate Section** checkbox (a), select someone from the **Delegated To** dropdown (b), enter any remarks (c), and click **Save Draft**.

13 Type any **comments** in the textbox

14 Click **Save**

15 Click **Yes**

*Notice:* If you are not ready to submit your answers, click **Save Draft**. The **Close** button will exit the Self-Cert Assessment form without saving

The screenshot shows a web form titled "SC2021-000546 - NCR9999999 - Second Game Day Friday Entity in MRO - FAC-003-4 R1. - NCR9999999 Second D...".

- 12:** A dropdown menu is open, showing options: "Compliant", "-- None --", "Compliant", "Non-Compliant", "Not-Applicable", and "Do Not Own".
- 13:** A text input field for "Please provide any comments you might have related to this Requirement here:" is highlighted.
- A:** A checkbox labeled "Delegate Section" is checked.
- B:** A dropdown menu for "Delegated To" is open, showing "NCR9999999 Second Day Training Test 2 Editor 2".
- C:** A text input field for "Delegation Remarks" is highlighted.
- 14:** At the bottom of the form are three buttons: "Save", "Save Draft", and "Close".
- 15:** A "SAVE" dialog box is open, asking "Stored answers cannot be changed. Do you want to continue?" with "Yes" and "No" buttons.



# Self-Certifications (Reopened Assessments)

To respond to assessments in a reopened Self-Certification:

- 1 Click the link in the **Action** column
- 2 **Close** or **Cancel** the screen that pops up
- 3 Click on the new **Questions link**, and complete the question set as normal

*Notice:* Your CEA may reopen a Self Cert after you submit it so that you can make necessary changes. Only click the Action link (a) for the questions you need to change. Once a new question set (b) is created, you will not be able to resubmit before completing it again.

The screenshot shows a 'Questions' table with three rows of 'COMPLETED' question sets. The 'Action' column contains a link labeled '1' with a tooltip that says 'You have been requested to perform a re-assessment'. Below the table, a browser window shows a 'Please answer the following questions' dialog with a 'NEW' question set labeled '2'. A tooltip labeled 'A' points to the 'Action' link, and a tooltip labeled 'B' points to the 'NEW' question set. The main interface also shows a 'NEW' question set labeled '3'.



# Self-Certifications (Additional Questions)

To respond to Additional Questions:

- 1 Click the **Question hyperlink**
- 2 Type in your answer in the **Answer** field
- 3 Click **Update**

The screenshot shows the 'Jeff Test Pi' interface. At the top, it says 'Page 1 of 1'. Below that is a section titled 'Additional Questions'. A question is listed: 'QUESTION: What is your favorite color?'. To the right of this question is a modal window titled '-- No Name --' with a sub-header 'Additional Question'. The modal contains a 'Question' field with the text 'What is your favorite color?' and an 'Answer' field with a text input box. At the bottom of the modal are 'Update' and 'Close' buttons. A large yellow circle with the number '1' is overlaid on the question text in the main interface. A large yellow circle with the number '2' is overlaid on the 'Answer' field in the modal. A large yellow circle with the number '3' is overlaid on the 'Update' button in the modal.



# Self-Certification Request (Creating a Finding)

To create a Finding for a Self-Certification:

- 1 Navigate to the **Active Self Cert Requests** tab
- 2 Click the **Unique ID** to open the Self-Cert
- 3 Click to expand the **Findings** section
- 4 Click the **plus icon** next to the applicable requirement

The screenshot shows the 'Self Certifications' application interface. At the top, there are tabs for 'Active Self Cert Requests', 'Self Cert Submittals', and 'Completed Self Certs'. The 'Active Self Cert Requests' tab is selected and highlighted with a yellow circle and the number 1. Below the tabs is a table titled 'MY ACTIVE SELF-CERTS' with columns: UNIQUE ID, REGISTRATION, SELF-CERT NAME, STANDARD AND REQUIREMENT, MONITORING PERIOD, DUE DATE, and PROGRESS. Two rows are visible. The first row has a 'Unique ID' of SC2021-000546 and a 'Progress' of 'NOT STARTED'. The second row has a 'Unique ID' of SC2021-000523. A yellow circle and the number 2 are placed over the 'Unique ID' SC2021-000523. Clicking on this ID opens a modal window. The modal has a title bar 'Test 1 EM 518' and a section 'Additional Questions'. Below that is a section titled 'Findings' with a note: 'Note: The red flag indicates this is an Active Attestation'. There are two sub-sections: 'CREATE FINDING' and 'RELATED FINDINGS'. The 'CREATE FINDING' section has a table with columns: REGISTRATION, REQUIREMENT, and CREATE FINDING. The first row shows 'NCR9999999 - Second Game Day Friday Entity in MRO' and 'BAL-001-2 R1.' with a plus icon next to it. A yellow circle and the number 4 are placed over this plus icon. The 'RELATED FINDINGS' section is currently empty. At the bottom of the modal, there are 'Request for Extension' buttons: 'Update' and 'Close'.



# Self-Certification Request (Creating a Finding)

5 Fill out the **Create a Finding** form

6 Type any comments in the **textbox**

7 Click **Save**

*Notice:* The finding just created will appear in the Findings section of the Self-Certification request as a draft, but to submit the finding to your CEA you will need to finish and submit it in the Self-Report and Self-Logs view.

The screenshot shows a web form titled "Create a Finding" with a teal header and a close button. The form is divided into sections: "Instructions", "Monitoring Method", "General Information", and "Additional Comments".

- Instructions:** A text block stating: "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."
- Monitoring Method:** A table with two rows:

|                   |                    |
|-------------------|--------------------|
| Created By CEA    | Yes                |
| Monitoring Method | Self-Certification |
- General Information:** A table with one row:

|              |  |
|--------------|--|
| Registration | NCR99999999 - Second Game Day Friday Entity in MRO |
|--------------|--|
- Additional Comments:** A section with a label "Please provide any additional comments" and a large text input area. A callout "6" is placed over this area.

At the bottom of the form, there is a callout "7" over a green "Save" button and a "Close" button.

# Self-Certification Request (Creating a Finding)



- 8 Navigate to the **Self Reports and Logs View**
- 9 Click the **Unique ID** to open the Draft Finding
- 10 **Verify** the information previously entered is correct

*Notice:* Ensure that any non-applicable functions are removed before submission or an error indicating there are non-applicable functions tied to your registration for the finding will appear.

The screenshot shows the 'Self Reports and Logs' interface. A dropdown menu is open, highlighting 'Self Reports and Logs' with a circled '8'. Below it is a table of 'MY DRAFTS' with a circled '9' over the first row's 'Unique ID' (2021-00119). To the right, a detailed form titled '2021-00119' is shown, with a circled '10' over the 'Applicable Reliability Function(s)' field. The form includes sections for 'Instructions', 'General Information', 'CFR/JRO Notes', and 'Discovery and Description'.

| TYPE               | UNIQUE ID  | REGISTRATION                                      |
|--------------------|------------|---|
| Self-Certification | 2021-00119 | NCR9999999 - Second Game Day Friday Entity in MRO |
| Self-Report        | 2020-00706 | NCR9999999 - Second Game Day Friday Entity in MRO |
| Self-Report        | 2020-00705 | NCR9999999 - Second Game Day Friday Entity in MRO |
| Self-Report        | 2020-00623 | NCR9999999 - Second Game Day Friday Entity in MRO |

**Instructions**

**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.

**General Information**

Registration: NCR9999999 - Second Game Day Friday Entity in MRO

Applicable Requirement: FAC-003-4 R1.

Applicable Part(s): FAC-003-4 R1.4. x FAC-003-4 R1.3. x FAC-003-4 R1.2. x FAC-003-4 R1.1. x

Applicable Reliability Function(s): GO x TO x

Region - Jurisdiction in which the Potential Noncompliance occurred: MRO-US

Other Region - Jurisdiction(s) where you are reporting this Potential Noncompliance: [Dropdown]

**CFR/JRO Notes**

**Discovery and Description**

When was the Potential Noncompliance discovered?: 06/10/2021

When did the Potential Noncompliance start?: 06/01/2021

How was this Potential Noncompliance discovered?: test

What is the basis for your selecting this start date?: test

Buttons: Save and Action, Save, Close



# Self-Certification Request (Creating a Finding)

8 In the **Action section**, select **Submit** from the **dropdown**

9 If you wish to submit **Mitigations** with the Finding, check the **checkbox**

10 Click **Save and Action**

2021-00119

MRO|NCR9999999|VI2021-00119|VI2021-00119|FAC-003-4|R1.|1.4.,1.3.,1.2.,1.1.

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

Mitigation Information (optional - click to expand)

---

**Action**

**Instructions**

**Submit Finding:** Select "Submit" on the Action dropdown, then click the Save and Action button at the bottom of the screen.

**OPTIONAL - Submit Mitigations:** Submit mitigations now by checking the box "Submit Mitigations for Review with Finding?" or later via the "My Mitigations Tab".

By submitting the mitigating activities described above, I acknowledge that I have authority to submit the mitigating activities on behalf of the Registered Entity.

**Delete Finding:** Select "Delete" on the Action dropdown, then click the Save and Action button at the bottom of the screen.

**Save a Draft:** Click the Save button at bottom of the screen. The CEA will not see this finding until the Registered Entity selects "Submit" on the Action dropdown and clicks the Save and Action button.

**Close:** Click the Close button at the bottom of the screen to close the window.

click [here](#) to print

FORM: RE-SR2-Editor

Action\*

Submit Mitigations for review with Finding?

8

Submit

No Action

Delete

Submit

10

Save and Action Save Close



# Self-Certifications (Attestations)

To create an Attestation on the Self-Certification Request:

- 1 Navigate to the **Active Self Cert Requests** tab
- 2 Click the **Unique ID** to open the Self-Cert
- 3 Click to expand the **Create Attestation** section
- 4 Click the **plus icon** next to the applicable requirement
- 5 Type any **Notes** in the **textbox**
- 6 Click **Update**

The screenshot shows the 'Self Certifications' application interface. At the top, there is a navigation bar with a home icon and a dropdown menu labeled 'Self Certifications'. Below this, there are three tabs: 'Active Self Cert Requests', 'Self Cert Submittals', and 'Completed Self Certs'. The 'Active Self Cert Requests' tab is selected, and a list of 'MY ACTIVE SELF-CERTS' is displayed. The list has columns for 'UNIQUE ID', 'REGISTRATION', and 'SELF-CERT NAME'. One entry is highlighted with a blue background and a plus icon to its left. A callout '1' points to the 'Self Certifications' dropdown, '2' points to the plus icon, and '3' points to the 'Additional Questions' section. Below this, there is a 'Findings' section with a 'Create Attestation' button. A callout '4' points to a plus icon in a table. The table has columns for 'ATTESTATION SCOPE', 'FUNCTION', and 'CREATE AT'. Below the table, there is a 'CREATE ATTESTATION' section with a 'Notes' text area. A callout '5' points to this text area. At the bottom of the 'CREATE ATTESTATION' section, there are 'Update' and 'Close' buttons. A callout '6' points to these buttons. The page footer shows 'Page 1 of 1' and 'Page 0 of 0'.



# Self-Certifications (Extension Requests)

To request an extension for a Self-Certification:

- 1 Navigate to the **Active Self Cert Requests** tab
- 2 Click the **Unique ID** to open the Self-Certification
- 3 Click to expand the **Request for Extension** section
- 4 Click the **+ icon**

The screenshot shows the 'Self Certifications' interface. At the top, there are tabs for 'Active Self Cert Requests', 'Cert Submittals', and 'Completed Self Certs'. The 'Active Self Cert Requests' tab is selected and highlighted with a circled '1'. Below the tabs is a table titled 'MY ACTIVE SELF-CERTS'. The table has columns for 'UNIQUE ID', 'REGISTRATION', 'SELF-CERT NAME', 'STANDARD AND REQUIREMENT', 'MONITORING PERIOD', and 'DUE DATE'. One row is highlighted with a circled '2' next to its 'UNIQUE ID' (SC2021-000546). Below the table, a detailed view of a self-certification is shown. The title is 'Test 3 EM 518'. There are sections for 'Findings', 'Create Attestation', and 'Request for Extension'. The 'Request for Extension' section is expanded and highlighted with a circled '3'. Below this section is a table with columns for 'RFE ID', 'ORIGINAL DUE DATE', 'REQUESTED NEW DUE...', 'APPROVED NEW DUE D...', 'REASON FOR EXTENSION', and 'STATUS'. This table is empty and has a '+' icon next to it, highlighted with a circled '4'. Below the table is an 'Evidence' section with instructions to submit evidence via ERO Secure Evidence Locker (SEL). At the bottom of the detailed view are 'Update' and 'Close' buttons.



# Self-Certifications (Extension Requests)

- 5 Select a **New Due Date**
- 6 Type a **Reason for Extension**
- 7 Click **Update**
- 8 Click **Update**

*Notice:* The Request for Extension (RFE) will now be sent to the CEA for review and approval/disapproval

Request for Extension

**5** Requested New Due Date

**6** Reason for extension

< **June 2021** >

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

**Action**

**Action** Send  
Update will send this RFE to the CEA.

FORM: CEA\_RFE\_Review

**7** Update Close

**8** Update Close



# Self-Certifications (Submitting for CEA Review)

To submit the Self-Certification to the CEA for review:

- 1 Navigate to the **My Active Self-Certs** tab
- 2 Click the **Unique ID** to open the Self-Certification
- 3 In the **Action section**, select **Submit for CEA Review** from the **dropdown**
- 4 Click **Update**

*Notice:* A record of the Self-Certification will now appear in the Self-Cert Submittals tab

The screenshot shows the 'Self Certification' interface. At the top, there are tabs for 'Active Self Cert Requests', 'Self Cert Submittals', and 'Completed Self Certs'. A yellow circle with the number '1' highlights the 'Active Self Cert Requests' tab. Below the tabs is a table titled 'MY ACTIVE SELF-CERTS' with columns: UNIQUE ID, REGISTRATION, SELF-CERT NAME, STANDARD AND REQUIREMENT, MONITORING PERIOD, DUE DATE, and PROGRESS. A yellow circle with the number '2' highlights the 'UNIQUE ID' 'SC2021-000546'. To the right of the table is a modal window for 'Test 6-4 EM' with sections for 'Additional Questions', 'Findings', 'Create Attestation', 'Request for Extension', and 'Evidence'. The 'Evidence' section contains instructions for submitting evidence via the ERO Secure Evidence Locker (SEL) with a reference number: MRO|NCR9999999|VI|Test 6-4 EM|VI|Test 6-4 EM|FAC-003-4|R1.1. Below this is an 'Action' section with a dropdown menu. A yellow circle with the number '3' highlights the dropdown menu, which has 'Submit for CEA Review' selected. At the bottom of the modal, a yellow circle with the number '4' highlights the 'Update' button.