

Align Release 3 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 Reviewing a Scheduled Engagement
- 3 Reviewing Assigned Resources
- 4 Reviewing the Audit Notification Packet
- 5 Working Papers
- 6 Requests for Information (RFI)
- 7 Viewing Reports
- 8 Appendix: Email Notifications



This email icon indicates when an email notification will be sent to a Registered Entity



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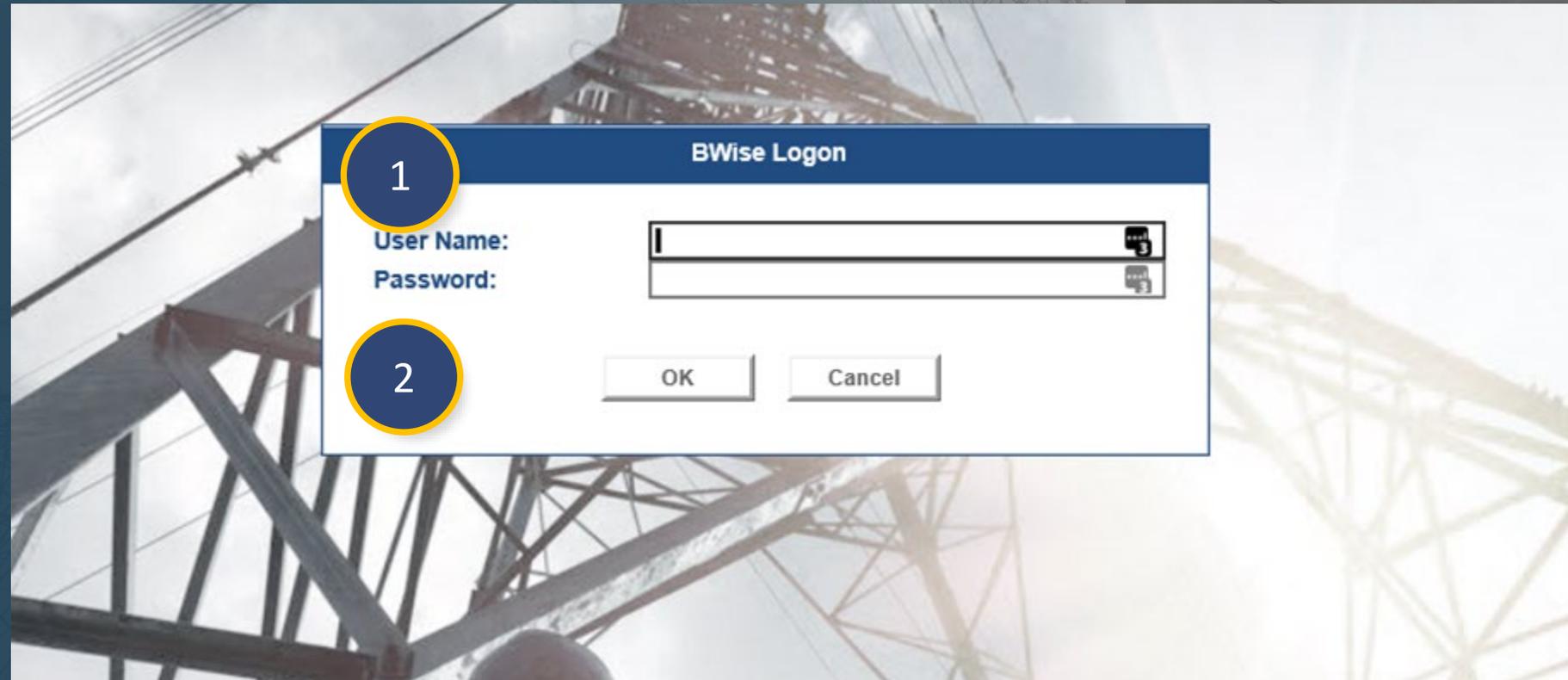
Accessing Align



From the *Align Log-in Page*

1 Enter the **Align Username**

2 Enter the **Align Password**



The screenshot shows a 'B Wise Logon' dialog box with a blue header. It contains two input fields: 'User Name:' and 'Password:'. The 'User Name' field has a cursor and a small icon on the right. The 'Password' field has a small icon on the right. Below the fields are 'OK' and 'Cancel' buttons. A yellow circle with the number '1' is overlaid on the 'User Name' field, and a yellow circle with the number '2' is overlaid on the 'Password' field.



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Reviewing a Scheduled Engagement



To view the Registered Entity's Scheduled Engagements:

- 1 Click the **dropdown arrow** to navigate to the **Risk & Planning View**

Notice: From this view you can see details such as the engagement type – be it a compliance audit or a spot check; the engagement scope – whether it is a CIP or O&P engagement; whether this will be a NERC or FERC-Led engagement; the start date and the end date.

The screenshot shows the ALIGN web application interface. The top navigation bar includes 'My Align' with a dropdown arrow, 'Align for Regions' with a dropdown arrow, and 'MRO Editor 1' with a refresh icon. The 'My Align' dropdown menu is open, showing 'Risk and Planning' (highlighted with a blue circle and the number 1) and 'Self Reports and Logs'. Below the navigation, the 'Risk and Planning' section is active, displaying a table of 'SCHEDULED ENGAGEMENTS'.

SCHEDULE ID	REGISTRATION	ENGAGEMENT TYPE	ENGAGEMENT SCOPE	NERC/ FERC-LED	START DATE	END DATE
SH21-00238	NCR9999999 - Second Game Day Friday Entity in MRO	Compliance Audit	O&P		11/09/2021	11/30/2021
SH21-00239	NCR9999999 - Second Game Day Friday Entity in MRO	Compliance Audit	O&P	N/A	11/05/2021	09/15/2022
SH21-00241	NCR9999999 - Second Game Day Friday Entity in MRO	Compliance Audit	Both	N/A	01/17/2022	10/15/2022
SH21-00244	NCR9999999 - Second Game Day Friday Entity in MRO	Spot Check	CIP	N/A	01/03/2022	07/29/2022
SH21-00245	NCR9999999 - Second Game Day Friday Entity in MRO	Compliance Audit	Both	N/A	01/03/2022	04/08/2022
SH21-00257	NCR9999999 - Second Game Day Friday Entity in MRO	Compliance Audit	Both	N/A	11/23/2021	01/26/2022
SH21-00258	NCR9999999 - Second Game Day Friday Entity in MRO	Compliance Audit	Both	N/A	11/23/2021	02/23/2022



Reviewing Assigned Resources

To add an objection to the Audit team on the Monitoring Engagement:

- 1 Click the **dropdown arrow** to navigate to the **Audits and Spot Checks View**
- 2 Click the **ID** to open the **Monitoring Engagement record**

The screenshot displays the ALIGN software interface. At the top, a navigation bar includes 'Align for Regions' and 'MRO Editor 1'. A 'My Align' dropdown menu is open, showing options: 'My Align', 'Risk and Planning', 'Self Reports and Logs', 'Periodic Data Submittals', 'Self Certifications', and 'Audits and Spot Checks'. A yellow circle with the number '1' highlights the 'Audits and Spot Checks' option. Below the dropdown, the 'Audits and Spot Checks' section is active, showing a 'Monitoring Engagement Status' table. A yellow circle with the number '2' highlights the ID 'ME21-00241' in the table. The table has columns for 'AUDIT NAME', 'TYPE NAME', 'AUDIT STATUS', and an information icon. The data rows are as follows:

AUDIT NAME	TYPE NAME	AUDIT STATUS	Info
ME21-00269	Compliance Audit	In Progress	View Requirement Status
ME21-00257	Compliance Audit	In Progress	View Requirement Status
ME21-00245	Compliance Audit	In Progress	View Requirement Status
ME21-00244	Spot Check	In Progress	View Requirement Status
ME21-00241	Compliance Audit	Closed	View Requirement Status
ME21-00239	Compliance Audit	Final (Reopened)	View Requirement Status
ME21-00238	Compliance Audit	In Progress	View Requirement Status
ME21-00195	Compliance Audit	In Progress	View Requirement Status

At the bottom of the interface, there are navigation buttons: 'Home', 'Previous Page', and 'Next Page'.



Reviewing Assigned Resources

3 Click **Edit**

4 Select **Objection to Audit Team** from the **dropdown**

5 Type the **Justification for Objection** in the **textbox**

6 Check the **checkbox**

7 Click **Update**

ME21-00269

End Date March 17, 2022

Monitoring Period Start Date March 2, 2021

Monitoring Period End Date December 1, 2021

Post Audit Survey link.com

Assigned Resources

Outside Observers Name and Role

Objection to Audit Team Objection to Audit Team

Justification for Objection

Confirmation for Objection

Update

Edit Close

Reviewing the Audit Notification Packet

To view the Audit Notification Packet and add Entity comments:

- 1 Click the **dropdown arrow** to navigate to the **Audits and Spot Checks View**
- 2 Click the **ID** to open the **Monitoring Engagement record**

The screenshot displays the ALIGN software interface. At the top, a navigation bar includes 'Align for Regions' and 'MRO Editor 1'. A 'My Align' dropdown menu is open, listing various sections: 'My Align', 'Risk and Planning', 'Self Reports and Logs', 'Periodic Data Submittals', 'Self Certifications', and 'Audits and Spot Checks'. The 'Audits and Spot Checks' option is highlighted with a circled '1'. Below this, the 'Audits and Spot Checks' view is active, showing a 'Monitoring Engagement Status' table. The table has columns for 'AUDIT NAME', 'TYPE NAME', 'AUDIT STATUS', and an information icon. The second row of the table is highlighted, and its ID 'ME21-00241' is circled with a '2'.

AUDIT NAME	TYPE NAME	AUDIT STATUS	
ME21-00269	Compliance Audit	In Progress	View Requirement Status
ME21-00257	Compliance Audit	In Progress	View Requirement Status
ME21-00245	Compliance Audit	In Progress	View Requirement Status
ME21-00244	Spot Check	In Progress	View Requirement Status
ME21-00241	Compliance Audit	Closed	View Requirement Status
ME21-00239	Compliance Audit	Final (Reopened)	View Requirement Status
ME21-00238	Compliance Audit	In Progress	View Requirement Status
ME21-00195	Compliance Audit	In Progress	View Requirement Status



The PCC and ACC will receive an email once the Audit Notification Packet has been sent by the CEA



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Reviewing the Audit Notification Packet



- 3 Click **Edit** on the Monitoring Engagement record
- 4 Select the **ANP tab**
- 5 Click any of the **headers** to expand and **review** the information
- 6 Click to expand the **Registered Entity Comments section**
- 7 Type any **comments** in the **textbox**
- 8 Click **Update** to save your comments

The screenshot shows the 'ME21-00269' interface with the following elements and callouts:

- 4**: Callout pointing to the 'ANP' tab in the top navigation bar.
- 5**: Callout pointing to the 'ANP Documents' section header.
- 6**: Callout pointing to the 'Registered Entity Comments' section header.
- 7**: Callout pointing to the text input area for comments.
- 8**: Callout pointing to the 'Update' button at the bottom of the comments section.
- 3**: Callout pointing to the 'Edit' button at the bottom of the page.

Visible text in the interface includes: 'ME21-00269', 'General Working Papers ANP Rep', 'General', 'ANP Visibility Date December 3, 2021', 'ANP Deadline Date August 4, 2021', 'Additional relevant instructions Notes/Instructions', 'ANP Documents', 'Audit Notification Letter', 'Pre-Audit Survey', 'Registered Entity Comments', 'Registered Entity Comments', 'Update Close', and 'Edit Close'.



Working Papers

To review and submit Working Papers to the CEA:

1 Click the **dropdown arrow** to navigate to the **Audits and Spot Checks View**

2 Click the **ID** to open the **Monitoring Engagement record**

The screenshot shows the ALIGN system interface. At the top, there is a navigation bar with the ALIGN logo and the text "Align for Regions" and "MRO Editor 1". Below this, a "My Align" dropdown menu is open, showing options: "My Align", "Risk and Planning", "Self Reports and Logs", "Periodic Data Submittals", "Self Certifications", and "Audits and Spot Checks". A yellow circle with the number "1" highlights the "Audits and Spot Checks" option. Below the menu, the "Audits and Spot Checks" view is selected, showing a "Monitoring Engagement Status" table. A yellow circle with the number "2" highlights the ID "ME21-00241" in the table. The table has columns for "AUDIT NAME", "TYPE NAME", "AUDIT STATUS", and an information icon. The data rows are as follows:

AUDIT NAME	TYPE NAME	AUDIT STATUS	Info
ME21-00269	Compliance Audit	In Progress	View Requirement Status
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ME21-00239	Compliance Audit	Final (Reopened)	View Requirement Status
ME21-00238	Compliance Audit	In Progress	View Requirement Status
ME21-00195	Compliance Audit	In Progress	View Requirement Status

At the bottom of the interface, there is a navigation bar with "Home", "Previous Page", and "Next Page" buttons.



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Working Papers

3 Select the **Working Papers** tab

4 Click the **ID** to open the **RSAW**

5 Type the **Compliance Narrative** in the **textbox**

6 Type the relevant details of the **Registered Entity Evidence** in the table

Notice: The Report Narrative textbox and Issues section are for CEA use. You do not need to input any information in these sections.

The screenshot displays the 'Working Papers' interface. A window titled 'Audit Execution' is open, showing details for 'CIP-003-8 R2.'. The interface includes a 'SUBJECT' list on the left, a 'Compliance Narrative' text area, a 'Registered Entity Evidence' table, and a 'Report Narrative (CEA)' text area. Numbered callouts indicate the following steps:

- 3: Select the 'Working Papers' tab.
- 4: Click the ID 'CIP-003-8 R2.' to open the RSAW.
- 5: Type the Compliance Narrative in the text area.
- 6: Type the relevant details of the Registered Entity Evidence in the table.

The 'Registered Entity Evidence' table has the following structure:

File Name	Document Title	Revision or Version	Document Date	Relevant Page(s) or Section(s)	Description of Applicability of Document

At the bottom of the window, there are buttons for 'Submit for Review', 'Save Draft', and 'Close'.

Working Papers

ALIGN

To add a Note to the RSAW:

- 7 Click to expand the **Notes** section
- 8 Click the **plus icon**
- 9 Type your **comments** in the **textbox**
- 10 Select the **Addressees** from the **dropdown**
- 11 Select **High, Low, or Moderate** from the **dropdown**
- 12 Click **Update**

The screenshot displays the 'Audit Execution' interface. At the top, there is a table with several empty rows. Below the table, the 'Report Narrative (CEA)' section is visible. The 'Issue' section is highlighted, and the 'Notes' section is expanded, showing a 'COMMENT' field with a plus icon (8) and a trash icon. A modal window titled 'Note' is open, showing a 'Comment' field (9), 'Addressees' dropdown (10), and 'Priority' dropdown (11). The 'Submit for Review' button is visible at the bottom of the main interface, and the 'Update' and 'Close' buttons are visible at the bottom of the modal window.

Working Papers

To save your changes:

- 13 Click the **Save Draft button**

To submit the RSAW for review:

- 14 Click the **Submit for Review button**

Audit Execution

Report Narrative (CEA)

Issue

Notes

COMMENT	AUTHOR	RESPONSE
This table is empty		

14 Submit for Review 13 Save Draft

Requests for Information

To respond to a Request for Information:

- 1 Click the **dropdown arrow** to navigate to the **Audits and Spot Checks View**
- 2 Click the **ID** to open the **Monitoring Engagement record**

Notice: Click View Requirement Status (a) to view the status of all Requests for Information applicable to the Monitoring Engagement.

The screenshot displays the ALIGN system interface. At the top, there is a navigation bar with the ALIGN logo and the text 'Align for Regions' and 'MRO Editor 1'. Below this, a 'My Align' dropdown menu is open, listing various options: 'My Align', 'Risk and Planning', 'Self Reports and Logs', 'Periodic Data Submittals', 'Self Certifications', and 'Audits and Spot Checks'. A yellow circle with the number '1' highlights the 'Audits and Spot Checks' option. Below the dropdown, the 'Audits and Spot Checks' section is visible, showing a 'Monitoring Engagement Status' table. The table has columns for 'AUDIT NAME', 'TYPE NAME', 'AUDIT STATUS', and an information icon. A yellow circle with the number '2' highlights the 'ME21-00244' row. To the right of this row, a yellow arrow with the letter 'A' points to the 'View Requirement Status' link.

AUDIT NAME	TYPE NAME	AUDIT STATUS	View Requirement Status
ME21-00269	Compliance Audit	In Progress	View Requirement Status
ME21-00257	Compliance Audit	In Progress	View Requirement Status
ME21-00245	Compliance Audit	In Progress	View Requirement Status
ME21-00244	Spot Check	In Progress	View Requirement Status
ME21-00241	Compliance Audit	Closed	View Requirement Status
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ME21-00195	Compliance Audit	In Progress	View Requirement Status



The PCC, ACC and RFI Respondent will receive an email once an Audit RFI has been sent by the CEA



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Requests for Information



3 Scroll to the **Audit Request for Information** section

4 Click the **ID** to open the RFI

5 Check the **Acknowledge Receipt of Audit RFI** checkbox

6 Type any **comments** in the textbox

7 Select **Submit** from the dropdown

8 Click **Update**

Notice: The Status of the RFI should now be CEA Review (a)

The screenshot shows the RFI management interface for ME21-00238. It includes a table of RFI entries, a detailed view of a selected RFI (RI21-000084), and an 'Acknowledge Receipt of Audit RFI' dialog box. Numbered callouts (3-8) highlight key actions: 3 points to the 'Audit Request for Information' section; 4 points to the RFI ID in the table; 5 points to the 'Acknowledge Receipt of Audit RFI' checkbox; 6 points to the 'Request for Information' comment field; 7 points to the 'Submit' dropdown menu; and 8 points to the 'Update' button.

ID	CATEGORY	DUE DATE	STATUS	CEA COMMENTS	REGISTRATION COMMENTS
RI21-000083	ANP	12/09/2021	CEA Review	requesting info	test
RI21-000084	ANP				
RI21-000085	ANP				

Acknowledged Receipt of Audit RFI

Instructions: Upon opening this dialog, check the box below and click on update to acknowledge that you have received the Audit RFI.

Acknowledge Receipt of Audit RFI

Request for Information

Requirement(s): BAL-002-3 R3.; BAL-002-3 R1.; BAL-002-3 R2.

Requestor: MRO Editor 1

Requestor Comments: test

Request Sent On: November 9, 2021

Response Due By: December 9, 2021

Request for Information

Requirement(s): BAL-002-3 R3.; BAL-002-3 R1.; BAL-002-3 R2.

Requestor: MRO Editor 1

Requestor Comments: test

Request Sent On: November 9, 2021

Response Due By: December 9, 2021

Secure Evidence Locker Instructions

SEL Locker Reference: Submit Evidence or Attachments related to this Self-Cert via [ERO Secure Evidence Locker \(SEL\)](#) with the following reference number: **MRO[NGR999999] ME21-00238|ME21-00238|RI21-000084||**

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

Action

Instructions: Selecting 'Submit' within the dropdown below and updating the form will send back your response to the CEA.

Submit



The PCC, ACC and RFI Respondent will receive an email if the CEA adds comments to an RFI



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Viewing Reports

To respond to a Request for Information:

- 1 Click the **dropdown arrow** to navigate to the **Audits and Spot Checks View**
- 2 Click the **ID** to open the **Monitoring Engagement record**

The screenshot shows the ALIGN software interface. At the top, there is a navigation bar with the ALIGN logo and the text 'Align for Regions' and 'MRO Editor 1'. Below this, a dropdown menu is open under 'My Align', showing options: 'My Align', 'Risk and Planning', 'Self Reports and Logs', 'Periodic Data Submittals', 'Self Certifications', and 'Audits and Spot Checks'. A yellow circle with the number '1' highlights the 'Audits and Spot Checks' option. Below the dropdown, the 'Audits and Spot Checks' view is active, showing a 'Monitoring Engagement Status' table. The table has columns for 'AUDIT NAME', 'TYPE NAME', 'AUDIT STATUS', and an information icon. The table contains several rows of data. A yellow circle with the number '2' highlights the 'ME21-00244' row. A yellow arrow with the letter 'A' points to the 'View Requirement Status' link in the 'AUDIT STATUS' column for the 'ME21-00244' row.

AUDIT NAME	TYPE NAME	AUDIT STATUS	Info
ME21-00269	Compliance Audit	In Progress	View Requirement Status
ME21-00257	Compliance Audit	In Progress	View Requirement Status
ME21-00245	Compliance Audit	In Progress	View Requirement Status
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ME21-00238	Compliance Audit	In Progress	View Requirement Status
ME21-00195	Compliance Audit	In Progress	View Requirement Status



The PCC and ACC will receive an email when the draft report is created



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Viewing Reports

- 3 Click the **Report tab**
- 4 Click the **Draft Non-Public Report link**
- 5 Use the **tabs** to review the **Report Information**
- 6 Click the **Review tab**
- 7 Type any **comments** in the textbox
- 8 Click **Update**

Notice: Once you click Update, your comments will become read-only and you will not be able to edit the report.

The screenshot displays the ALIGN reporting interface for report ME21-00245. The interface is divided into several sections:

- Top Header:** ME21-00245
- Navigation Tabs:** General, Working Papers, ANP, Report (Step 3)
- Reports Section:** A table with columns TYPE and DATE SENT. A row for 'Draft Non-Public Report' is highlighted with a blue bar (Step 4).
- Report Detail Header:** ME21-00245 | Report
- Sub-Tabs:** General Information, Summary of Findings, Detailed Findings, Detailed AoCs, Recommendations, and Positive Observations, Culture and Participants, Review (Step 6)
- Comment Section:** A 'Comment' section with a 'Due Date to provide comments' of December 30, 2021. A large text area for 'Entity Comments' is shown (Step 7).
- Footer:** 'Update' and 'Close' buttons (Step 8).



The PCC and ACC will receive an email when the final report is published

Appendix: Release 3 Email Notifications

The ALIGN logo is located in the top right corner of the page. It consists of the word "ALIGN" in a blue, sans-serif font, with a stylized blue line above the letters "I" and "G".

The PCC and ACC will receive an email once the Audit Notification Packet has been sent by the CEA



The PCC, ACC and RFI Respondent will receive an email once an Audit RFI has been sent by the CEA



The PCC, ACC and RFI Respondent will receive an email if the CEA adds comments to an RFI



The PCC and ACC will receive an email when the draft report is created



The PCC and ACC will receive an email when the final non-public report is published



The PCC and ACC will receive an email when the final public report is published



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