

Align Release 4.5 User Guide



Align Release 4.5 introduces the IRA and COP functions into the software. Click on a topic in the list below or in the ribbon above to begin.

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

IRA Questionnaire



To answer an IRA Questionnaire:

- 1 Navigate to the **IRA and COP** view
- 2 Click the **Label ID** of the relevant IRA Questionnaire
- 3 Review the **General** information

The screenshot shows the ALIGN system interface. The top navigation bar includes 'My Align' and 'Align For Entities'. The main menu on the left lists various options, with 'IRA and COP' highlighted. The main content area displays a table of IRA Questionnaires. A specific questionnaire, labeled 'IR22-00265', is selected, and its details are shown in a modal window.

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

IRA Questionnaire Details (IR22-00265):

General

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

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

Assessors: -
 But no later than: 02/3/2023

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

Buttons: Update, Cancel



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IRA Questionnaire: Risk Factors



4 Scroll down to the Risk Factors Questions and click the **Click to assign** link for each question

5 After you click the Click to assign option, the **Click here to Finalize** link will appear. Click to assign someone to this question

IR22-00265		
SUBJECT	REVISION	STATUS
Critical Transmission Click to assign	Not Assigned	NOT ASSIGNED

IR22-00265		
SUBJECT	REVISION	STATUS
Critical Transmission Assignment Finalization Incomplete - Click here to Finalize		
UVLS Click to assign		
CIP – Monitor and Control Capability Click to assign		
Total Generation Capacity Click to assign		
Variable Generation Click to assign		
Transmission Portfolio Click to assign		
Balancing Authority (BA) Coordination Click to assign		

RFQ-22-00001307	
General Instructions	
Assignment must have only One Person assigned.	
To submit the Assignment, select Assign in the Action field and click the Update button.	
Persons <div style="border: 1px solid #ccc; padding: 5px; margin-top: 5px;"> <input type="checkbox"/> ASSIGNEE <input type="checkbox"/> NCR9999999 Second Day Training Test 2 Editor 2 </div>	
Update	Cancel


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IRA Questionnaire: Risk Factors



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

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

The screenshot displays the 'RFQ-22-00001307' interface. At the top, there is a 'Persons' section with a link icon (B) in the corner. Below this is a table with two rows: 'ASSIGNEE' and 'NCR9999999 Second Day Training Test 2 Editor 2'. A yellow arrow (A) points to the 'ASSIGNEE' row. At the bottom right, there is an 'Update' button and a 'Cancel' button. A yellow circle (7) is placed over the 'Update' button. In the bottom left, an 'Action' dropdown menu is open, showing 'None' and 'Assign' options. A yellow circle (6) is placed over the 'Assign' option.

IRA Questionnaire: Risk Factors

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

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

IR22-00265

SUBJECT	REVISION	STATUS
Critical Transmission Assign again Assigned to you NCR9999999 Second Day Training Test 2 Editor 2 - Click here to answer	Initial Response	NEW
UVLS Assign again Assigned to you NCR9999999 Second Day Training Test 2 Editor 2 - Click here to answer	Initial Response	NEW
CIP - Monitor and Control Capability Click to assign	Not Assigned	NOT ASSIGNED

IR22-00265

SUBJECT	REVISION	STATUS
Critical Transmission Assign again Assigned to you NCR9999999 Second Day Training Test 2 Editor 2 - Click here to answer	Initial Response	NEW
UVLS Assign again Assigned to you NCR9999999 Second Day Training Test 2 Editor 2 - Click here to answer		
Critical Transmission Assignment Finalization Incomplete - Click here to Finalize		
CIP - Monitor and Control Capability Click to assign		

IR22-00265

SUBJECT	REVISION	STATUS
Critical Transmission Assign again Assigned to you NCR9999999 Second Day Training Test 2 Editor 2 - Click here to answer		
UVLS Assign again Assigned to you NCR9999999 Second Day Training Test 2 Editor 2 - Click here to answer		
Critical Transmission Assign again Assigned to you NCR9999999 Second Day Training Test 2 Editor 2 - Click here to answer		
CIP - Monitor and Control Capability Click to assign		

IRA Questionnaire: Risk Factors



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

11 When you are ready to submit the answer click the **Save** button (If you are not ready to submit, click Save Draft)

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

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

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

Transmission Portfolio

Is Texas RE your Region? Yes No

What is the length of transmission lines for which your entity is currently responsible for owning, coordinating, planning, or monitoring? List total transmission lines in miles for the following voltage class: 100 kV ≤ and < 200 kV. **10**

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

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

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

11

12 **SAVE**

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

A >

Questions **13** ×





IRA Questionnaire: ERPQ

Scroll down to the Entity Risk Profile Questionnaire (ERPQ) to assign the ERPQ:

- 14 Click the **Click here to Finalize** link
- 15 Assign the appropriate people to the **Assignee** section
- 16 Select **Assign** from the Action dropdown
- 17 Click the **Update** button

The screenshot displays the IRA Questionnaire: ERPQ interface. At the top, there is a table with three rows of responses, each marked as 'COMPLETED'. Below this is the 'ENTITY RISK PROFILE QUESTIONNAIRE (ERPQ)' section. Under the 'SUBJECT' heading, there is a row for 'BA, GO, RC, TOP' with a link to 'Assignment Finalization Incomplete - Click here to Finalize', which is highlighted with a yellow circle and the number 14. Below this is a table for assigning people, with a row for 'NCR9999999 Second Day Training Test 2 Editor 2' highlighted with a yellow circle and the number 15. Below the table is an 'Action' dropdown menu with 'Assign' selected, highlighted with a yellow circle and the number 16. At the bottom right, there are 'Update' and 'Cancel' buttons, with 'Update' highlighted by a yellow circle and the number 17.



IRA Questionnaire: ERPQ

18 (Optional) Click the **Previous** button to see your entity's answers to a previous IRA

19 Answer the **questions** on the left (using the right panel for reference)

20 Answer the **final question** which is mandatory (this acknowledges that when you click the Save button, you will submit the ERPQ and will not be able to edit it again)

21 Click the **Save** button when you are ready to submit your answers (or click Save Draft if you want to come back and edit)

The screenshot displays the IRA Questionnaire: ERPQ interface. It features a 'Questions' panel on the left and a 'Previous Answers' panel on the right. The 'Questions' panel shows the entity 'NCR9999999 - Second Game Day Friday Entity in MRO' and the subject 'IR22-00267'. The question text is '(EQ_002) Describe the type of monitoring and situational awareness tools used.' The 'Previous Answers' panel shows the same entity and subject, with the answer text 'test'. A 'Save' dialog box is overlaid on the bottom, containing the text 'I acknowledge that clicking 'Save' will submit the questionnaire and I will not be able to' and a 'Yes' dropdown menu. The dialog also includes a 'Delegate Section' toggle, 'Save Draft', 'Save', and 'Cancel' buttons. A 'Timestamp' field is visible in the bottom left of the dialog. The interface also includes a 'Previous' button and a 'Save' button.

IRA Questionnaire: Submitting for CEA Review

22 Scroll down to the **Evidence** section to find the SEL reference number and upload any necessary documents to the SEL

23 Click to expand the **Action** section

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

25 Click the **Update** button when you are ready to submit the questionnaire

IR22-00267

Evidence

Secure Evidence Locker Instructions

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

MRO|NCR9999999|VIIR22-00267|VIIR22-00267

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

Action

Export

IR22-00267

Action

Instructions

Please select the next action step below

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

Move to CEA Review

Export

Click here to export

Update Cancel

Compliance Oversight Plan



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

- 1 Click the **Compliance Oversight Plan** tab
- 2 Click the **View COP** link
- 3 Click through the tabs within the COP form to explore its details, or
- 4 You can see the same information in a pdf form by clicking the COP Report link
- 5 Click the **Close** button

The screenshot shows the 'IRA and COP' interface. At the top, there are navigation tabs: 'IRA Questionnaires', 'Compliance Oversight Plan' (highlighted with a yellow circle 1), 'Risk Elements', 'Risk Categories', and 'Performance Considerations'. The 'Align For Entities' dropdown is set to 'NCR9999999 Second Day Training Test 2 Editor 2'. Below the tabs is a 'COP STATUS' table with columns: ENTITY NAME, CO GROUP, CEA, VIEW COP, STATUS, MONITORING INTERVAL, and LATEST COP FINALIZATION DATE. The table contains two rows of data. The first row has a 'View COP' link highlighted with a yellow circle 2. Below the table, a modal window titled 'COP22-00094 NCR9999999 - Second Game Day Friday Entity in MRO' is open. It has tabs for 'General', '1.0 Purpose', '2.0 Analysis and Results', '3.0 Oversight Strategy', 'Appendix A: IRA Results Summary', and 'Appendix B: Standards and Requirements for Monitoring'. The 'General' tab is active, showing details for the COP, including Registration, Compliance Enforcement Authority, COP Created On, and Approval Date. A 'Note' at the bottom states: 'Please note that you are viewing this form with a read-only account, therefore causing certain actions not to be permitted.' Below the note is a link 'Click here to open COP Report' and a 'Close' button highlighted with a yellow circle 5. A yellow circle 3 points to the 'General' tab, and a yellow circle 4 points to the 'Click here to open COP Report' link.

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

Risk Elements

The Risk Elements tab is for reference only. To access the information here:

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

NOTICE: The data in the Risk Elements tab can be downloaded by clicking the download icon (B). You will also see warning icons (A) on this form just like in the Risk Factors tab. You can hover over the icons to see what the warning is, but NERC will need to intervene to correct any of these.

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

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


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Risk Categories

The Risk Categories tab is for reference only. To access the information here:

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

NOTICE: The data in the Risk Elements tab can be downloaded by clicking the download icon (B). You will also see warning icons (A) on this form just like in the Risk Factors tab. You can hover over the icons to see what the warning is, but NERC will need to intervene to correct any of these.

The screenshot shows the ALIGN Risk Categories interface. At the top, there are navigation tabs: IRA Questionnaires, Compliance Oversight Plan, Risk Elements, Risk Categories (highlighted with a circled '1'), and Performance Considerations. A search bar and a download icon (B) are visible in the top right. Below the tabs is a table of risk categories:

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

A detailed view for 'Asset/System Identification' is shown below the table, with a circled '3' indicating the 'OVERVIEW' tab. The 'General Information' section includes:

- Name * Asset/System Identification
- Risk Category Description: The identification and tracking of assets and BES Facilities is required and critical to BPS reliability. Failure to correctly identify, document, and track items may result in gaps and compromise the integrity and reliability of the BPS.
- Risk Category Status: Active

A circled '4' points to the 'Close' button at the bottom right of the detailed view.

Performance Considerations



The Performance Considerations tab is for reference only. To access the information here:

- 1 Click the **Performance Considerations** tab
- 2 Click on the **name** of the risk consideration you want to review
- 3 Click the **Close** button

NOTICE: The data in the Performance Considerations tab can be downloaded by clicking the download icon (A). You will also see warning icons (B) on this form just like in the Risk Factors tab. You can hover over the icons to see what the warning is, but NERC will need to intervene to correct any of these.

IRA and COP

Align For Entities

NCR9999999 Second Day Training Test 2 Editor 2

IRA Questionnaires Compliance Oversight Plan Risk Elements Risk Categories Performance Considerations

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

Search...

Compliance History

OVERVIEW

General Information

Name * Compliance History

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

Performance Consideration Status * Active

Close

