# Process Flow

Identify each step on the process chart by matching its number to its corresponding description in the list below.
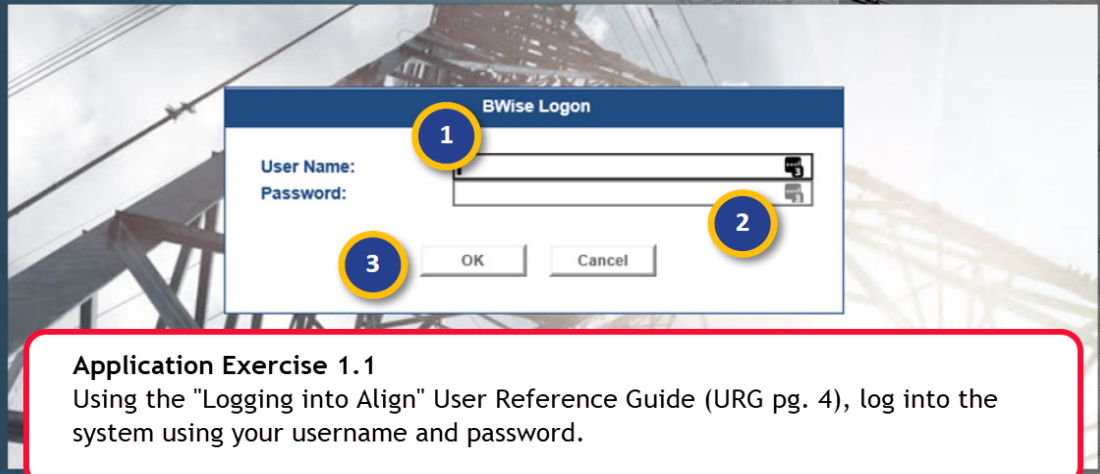

- Submit Extension Request
- CEA assigns Disposition
- Review the Dashboard
- Complete Milestones
- Create a Finding
- Respond to Mitigation RFIs
- Log into Align

- Submit Mitigation
- CEA Screen & Review
- Consolidate Milestones (if necessary)
- NERC Review (Mitigation Plan only)
- Respond to RFIs
- Update/Resubmit mitigation
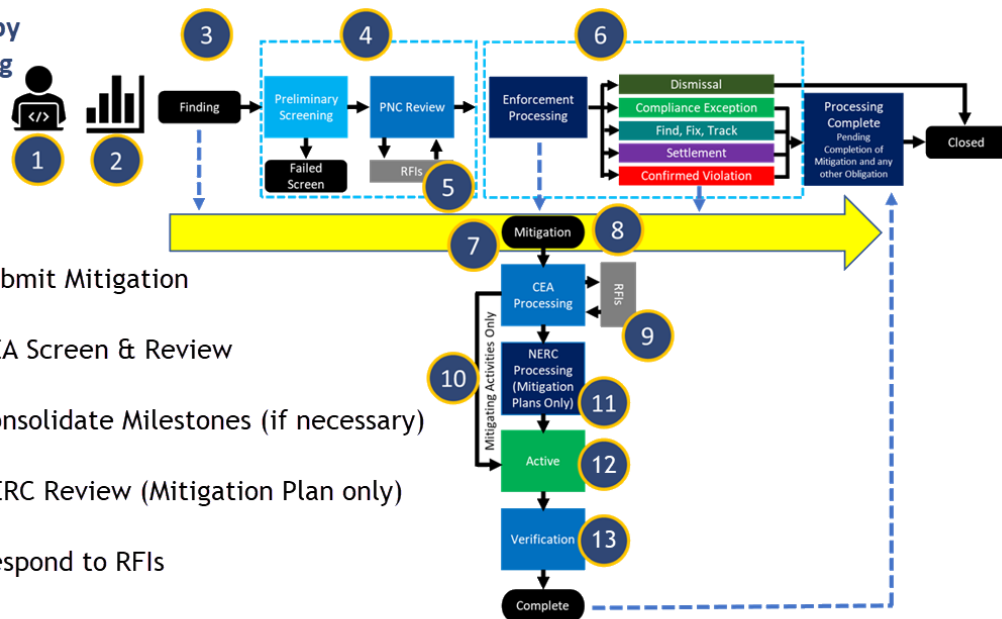
Accessing Align

ALIGN

*From the **Align Log-in Page***

1 Enter your **Align User Name**

2 Enter your **Align Password**

3 Click the **OK** button

BWise Logon

User Name:
Password:

OK   Cancel

Application Exercise 1.1
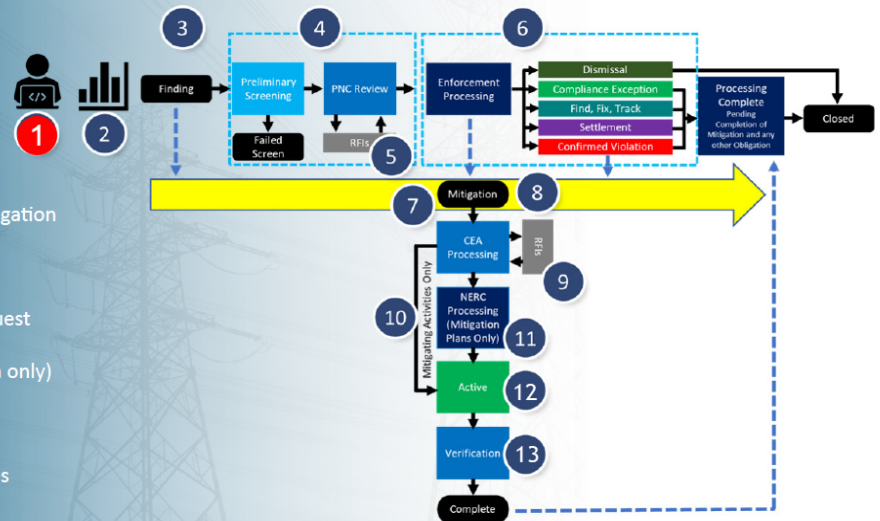Using the "Logging into Align" User Reference Guide (URG pg. 4), log into the system using your username and password.

ℹ *Mouse over for more information*

◉ Previous Page | Next Page ◉
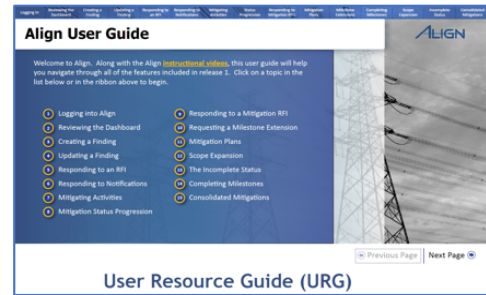
Release 1 Process Flow

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

1. Log in to Align
2. Review the Dashboard
3. Create a Finding
4. CEA Screen & Review
5. Respond to any RFIs
6. CEA assigns Disposition
7. Submit mitigation

8. Update/Resubmit mitigation
9. Respond to RFIs
10. Submit extension request
11. NERC review (Mit Plan only)
12. Complete milestones
13. Consolidate milestones (if necessary)

Align Learning Resources

Align Solutions platform (web page)

User Resource Guide (URG)

Align Video Series

Training session structure

Form filling with nonsensical data

Breaks

WebEx or other virtual training application

Release 1 Process Flow

ALIGN

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Release 1 Process Flow

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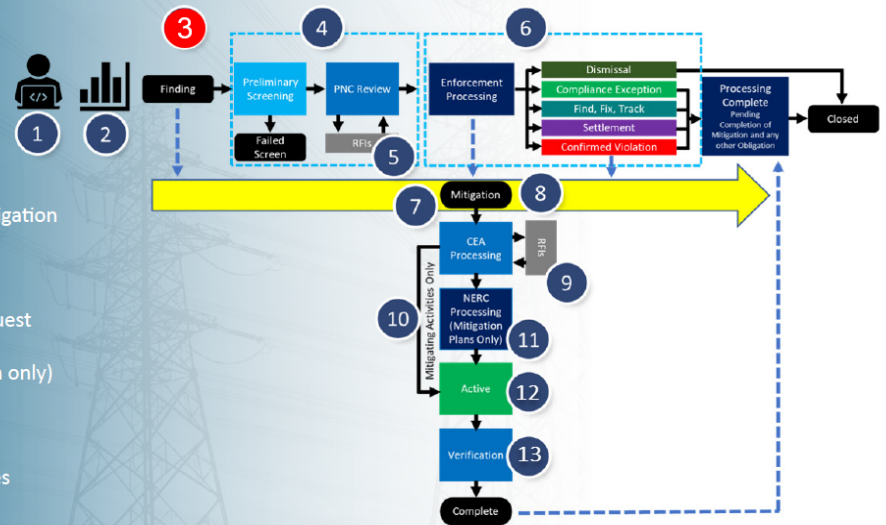
1. Log in to Align
2. Review the Dashboard
3. Create a Finding
4. CEA Screen & Review
5. Respond to any RFIs
6. CEA assigns Disposition
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| Logging In | Reviewing the Dashboard | Creating a Finding | Updating a Finding | Responding to an RFI | Responding to Notifications | Mitigating Activities | Status Progression | Responding to Mitigaiton RFIs | Mitigation Plans | Milestone Extensions | Completing Milestones | Scope Expansion | Incomplete Status | Consolidated Mitigations |

Creating a Finding

ALIGN

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

1 Click the **dropdown arrow**

2 Select the **Compliance Monitoring** view

3 Click **Create Finding**

1

My Align ∨
My Align
Compliance Monitoring **2**
Enforcement Processing
Mitigation Management
Reporting

NEWS AND UPD

Welcom... This is your **Dashboard** screen. Navigate the system by selecting activities above. You can create Self Reports and Se... ...ing section. In the **Enforcement Processing** section, you see the status of Findings (both those you created and those created by your Regions). In the **Mitigation Management** section, you can edit and manage Mitigating Activities and Mitigation Plans.

MY TASKS

STATUS OF MY FIN

TYPE	REGION
Mitigation Plan	
Mitigation Plan	
Mitigation Plan	
RFI for Finding	
RFI for Finding	

Compliance Monitoring ∨

Test E

➕ Create New Self Report or Log

MY REGISTRATIONS		**INSTRUCTIONS**
REGISTRATION	APPLICABLE REQUIREMENTS	This is the Registered Entity Self Reporting and Logging page. On the left, you can view a set of R Registration. Based on that, you can browse to a specific Requirement and create a Self Report (o program). Below you can edit any draft Self Reports or Logs you have not yet submitted. To see t progress, select the **Enforcement Processing** activity from the pull-down on the upper left.
TEST00200 - TEST Energy Corp. in WECC	Create Finding **3**	
TEST00200 - TEST00200-RF in RF	Create Finding	

START

04/15/2

Application Exercise 1.3
Using the "Create a Finding" User Reference Guide (URG pg. 8-20), create and submit a self-report on the Align platform.

ℹ️ *Mouse over for more information*

Release 1 Process Flow

ALIGN

The focus of release 1 is the life cycles of self-logs and self-reports, but there are interim ways to handle other kinds of findings as well; at a very high level the scope looks something like the model on the right.
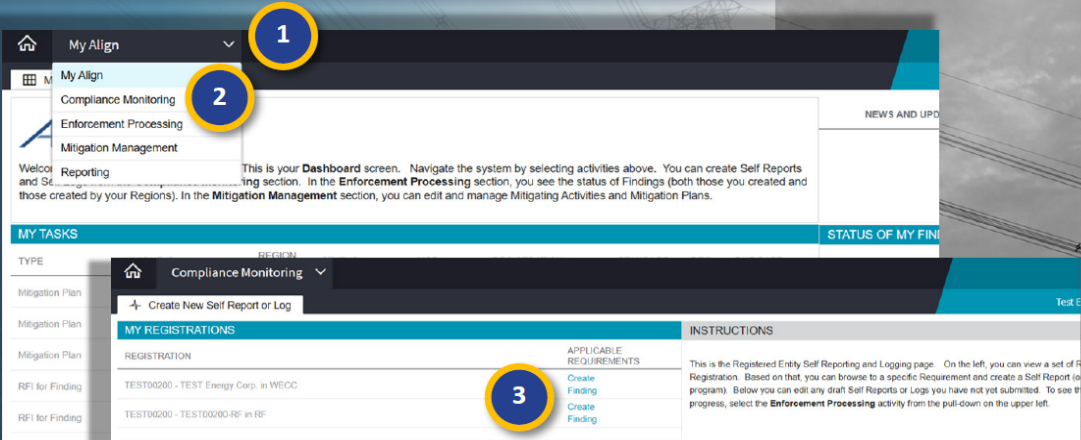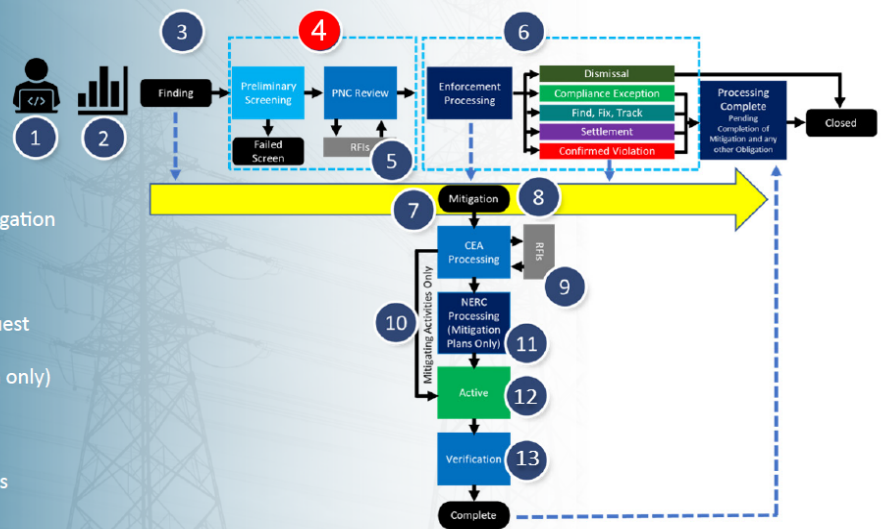
1. Log in to Align
2. Review the Dashboard
3. Create a Finding
4. CEA Screen & Review
5. Respond to any RFIs
6. CEA assigns Disposition
7. Submit mitigation
8. Update/Resubmit mitigation
9. Respond to RFIs
10. Submit extension request
11. NERC review (Mit Plan only)
12. Complete milestones
13. Consolidate milestones (if necessary)

Updating a Finding (Sorting)

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

2 Select the **Enforcement Processing** view

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

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

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

---

Application Exercise 1.4
Using the "Updating a Finding" User Reference Guide (URG pg. 21-24), add information to an existing self-report on Align.

⬅ Previous Page | Next Page ➡
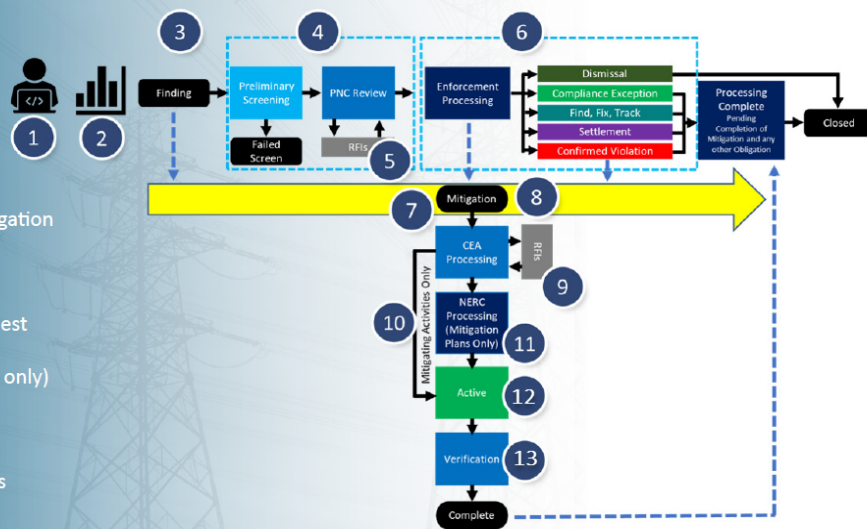
Release 1 Process Flow

ALIGN

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1. Log in to Align
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7. Submit mitigation

8. Update/Resubmit mitigation
9. Respond to RFIs
10. Submit extension request
11. NERC review (Mit Plan only)
12. Complete milestones
13. Consolidate milestones (if necessary)

Responding to an RFI

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

1 Click the **Unique ID** of the RFI

2 Click the **Respondent Contact** dropdown and select the appropriate name.

Application Exercise 1.5
Using the User Reference Guide (URG pg. 25-26), respond to the RFI on the finding you created in module 1.3.

ℹ️ *Mouse over for more information*

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Release 1 Process Flow

ALIGN

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

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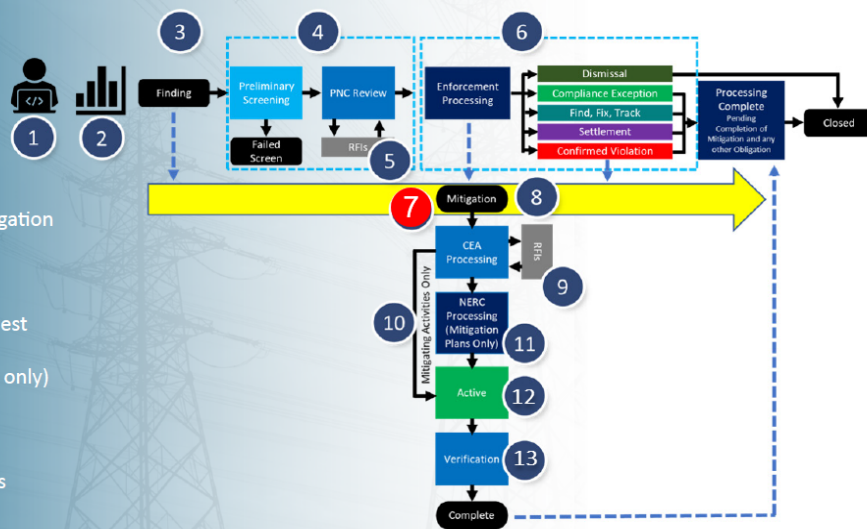13. Consolidate milestones (if necessary)

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8) RESPONDING TO NOTIFICATION LETTERS (1M 57S)

Release 1 Process Flow

ALIGN

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

1. Log in to Align
2. Review the Dashboard
3. Create a Finding
4. CEA Screen & Review
5. Respond to any RFIs
6. CEA assigns Disposition
7. Submit mitigation

8. Update/Resubmit mitigation
9. Respond to RFIs
10. Submit extension request
11. NERC review (Mit Plan only)
12. Complete milestones
13. Consolidate milestones (if necessary)

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10) INTRODUCTION TO MITIGATING ACTIVITIES (2M 11S)

Submitting Mitigating Activities

ALIGN

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

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

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

Mitigation Milestones

		MILESTONE ID		TYPE OF MILESTONE TASK	MILESTONE NAME	PLANNED COMPLETION D...	REVISED PLANNED COMP...	ACTUAL COMPLETION DATE
+	☐			Corrective Control	Task 1	06/30/2020		

Instructions   When ready for Region Review and Approval, Submit this Mitigation by selecting the "Submit for CEA Review" Action and clicking "Save and Action" below.
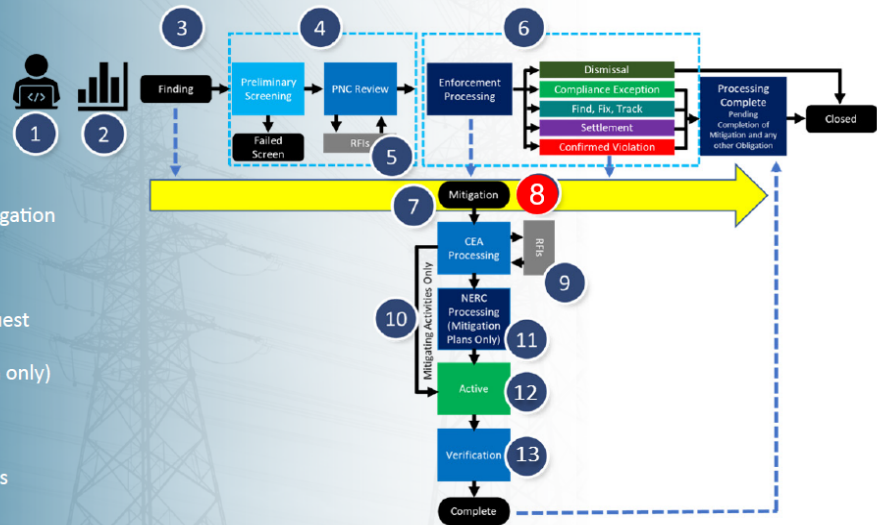
Action   Submit for CEA Review   **15**   ×   ▼

Application Exercise 1.7
Using the User Reference Guide (URG pg. 28-33), update and resubmit your mitigation activities.

i *Mouse over for more information*

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Release 1 Process Flow

ALIGN

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

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5. Respond to any RFIs
6. CEA assigns Disposition
7. Submit mitigation
8. Update/Resubmit mitigation
9. Respond to RFIs
10. Submit extension request
11. NERC review (Mit Plan only)
12. Complete milestones
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Updating Mitigations: Mitigation RFIs

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

1 Click the **Unique ID** of the **RFI for Mitigation** on dashboard

2 Select a **Respondent Contact** from the dropdown and enter any comments into the **Respondent Comments** field

3 Upload any evidence into the **Evidence Locker** using the reference number provided

4 Click the **Save and Action** button to submit your response

Application Exercise 1.8
Using the User Reference Guide (URG pg. 34-35), update and resubmit your mitigation activities.

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Updating Mitigations: Milestone Extension Requests

ALIGN

To request a mitigation milestone extension:

1 Navigate to your **My Active Mitigations**

2 Click on the relevant **mitigation record** to highlight it (do not click the Unique ID)

3 Click the **+** button in the 'Request Extension' column for the milestone you need to extend

Application Exercise 1.9
Using the User Reference Guide (URG pg. 38-40), update an active mitigation with an extension request.

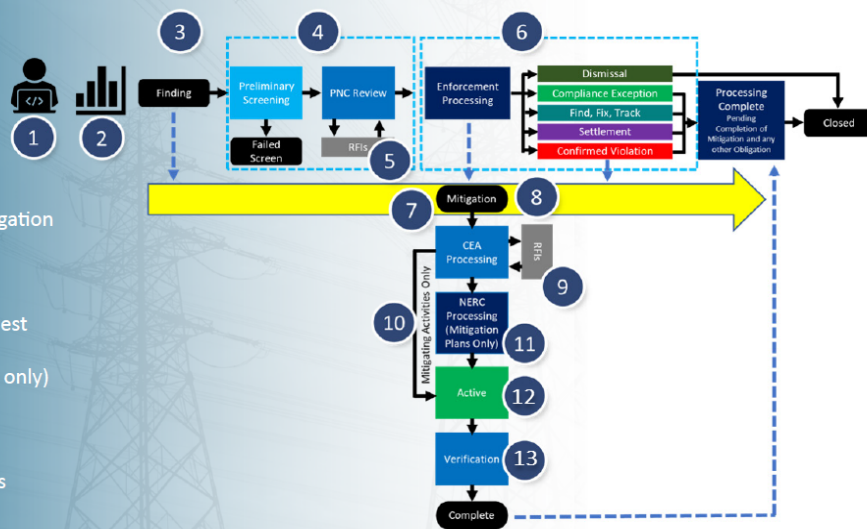ℹ️ *Mouse over for more information*

◀ Previous Page | Next Page ▶

Release 1 Process Flow

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

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

Updating Mitigations: Incomplete Status

ALIGN

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

1 Click the **Unique ID** of the **Incomplete** mitigation

2 Scroll down to the **Verification** section and read the CEA's comments

3 Update the mitigation according to the comments and resubmit by clicking the **Save and Action** butto

Mitigation Management ∨

My Draft Mitigations | My Active Mitigations | Consolidated Mitigations

MY MITIGATING ACTIVITIES AND MITIGATION PLANS

TYPE	UNIQUE ID	REGION OR LRE	REGISTRATION	DATE SUBMITTED	COMPLETION DATE	STANDARD	REQ	REGION AND JURISDICTION	START DATE	STATUS
Mitigating Activities	2020-00124	RF	TEST00200 - TEST00200-RF in RF	05/13/2020	07/15/2020	PRC-005-6	R3.	RF-US	04/02/2020	Verification
Mitigating Activities	2020-00123	RF	TEST00200 - TEST00200-RF in RF	05/14/2020	05/14/2020	PRC-005-6	R3.	RF-US	04/02/2020	Complete
Mitigating Activities	2020-00104		TEST00200 - TEST Energy Corp. in WECC	05/17/2020		PRC-005-6	R3.	WECC-US	04/16/2020	CEA Processing Due 06/17/2020
Mitigating Activities	2020-00125 ⚠		TEST00200 - TEST00200-RF in RF	05/12/2020		PRC-005-6	R3.	RF-US	04/02/2020	Incomplete Returned as Incomplete
Mitigation Plan	2020-00121		TEST00200 - TEST00200-RF in RF	05/19/2020		PRC-005-6	R3.	RF-US	04/02/2020	CEA Processing Due 06/19/2020

Page

Verification

CEA Verification Action

Verification Comments Shared with Entity: Missing a completion date
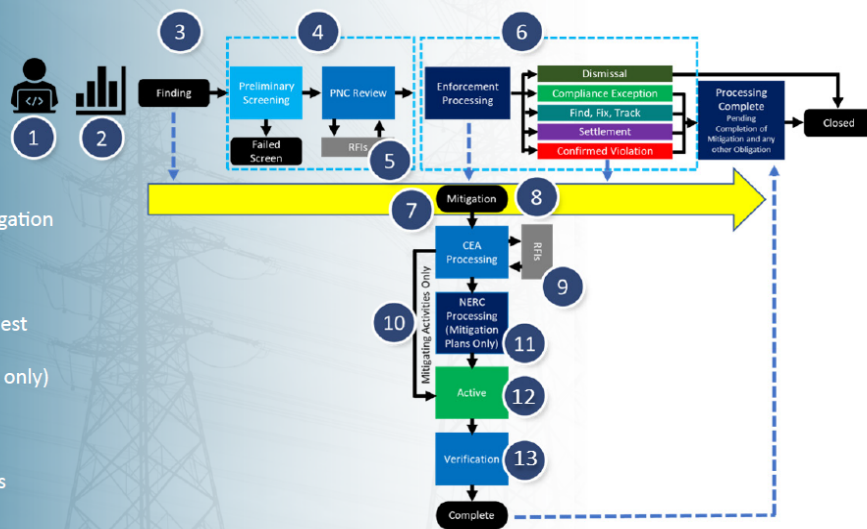
2

Application Exercise 1.10
Using the User Reference Guide (URG pg. 42), submit a mitigation entry with an "incomplete" status for verification.

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Release 1 Process Flow

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

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7. Submit mitigation
8. Update/Resubmit mitigation
9. Respond to RFIs
10. Submit extension request
11. NERC review (Mit Plan only)
12. Complete milestones
13. Consolidate milestones (if necessary)

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15) MITIGATION PLANS (3M 59S)

Updating Mitigations: Submitting Mitigation Plans

ALIGN

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

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

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

...OR...

2 Navigate to the **My Draft Mitigtions** tab and click the **Unique ID** of the Mitigation Plan

2020-00152

General Information

Type	Mitigation Plan
Registration	NCR9999999 - Second Game Day Friday Entity in MRO
Applicable Requirement	CIP-008-5 R3.
Applicable Part(s)	CIP-008-5 R3. Part 2.
Applicable Reliability Function(s)	RC
Region-Jurisdiction(s) in which the Potential Noncompliance occurred	MRO-US

Related PNC 2020-00152   CEA   MRO

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

	FIRST NAME	LAST NAME
☐		

This table is empty

1

Review Results and Due Date

Region Review Results	Sub
CEA Comments	

⌂ Mitigation Management ∨

✛ My Draft Mitigations   ✛ My Active Mitigations   ✛ Consolidated Mitigations

Application Exercise 1.11
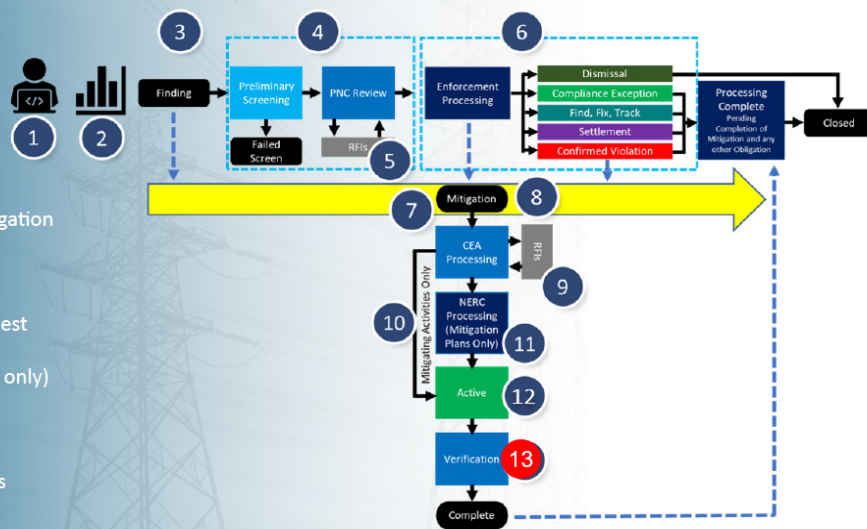Using the User Reference Guide (URG pg. 36-37), identify your mitigation plan and submit it for CEA processing.

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8. Update/Resubmit mitigation
9. Respond to RFIs
10. Submit extension request
11. NERC review (Mit Plan only)
12. Complete milestones
13. Consolidate milestones (if necessary)

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16) CONSOLIDATIONS (4M 29S)
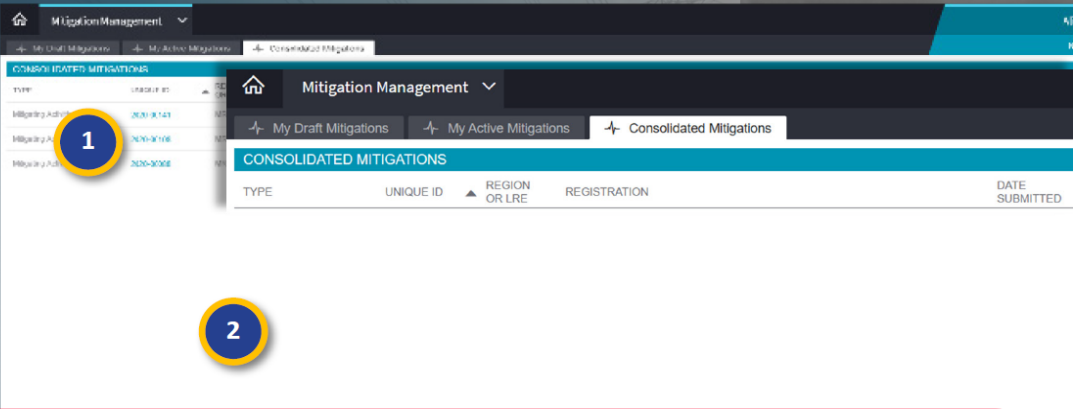
Managing Consolidated Mitigations

ALIGN

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

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

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

Application Exercise 1.12
Using the User Reference Guide (URG pg. 43-44), edit a mitigation entry by copying and pasting information from any entry in the consolidated mitigations tab then save or submit the it for CEA review

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