

# **Align Release 1 Training**

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Special Projects

#### **Antitrust Admonition**



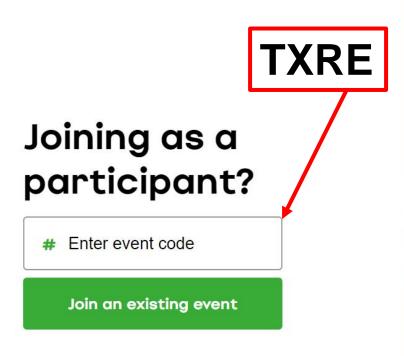
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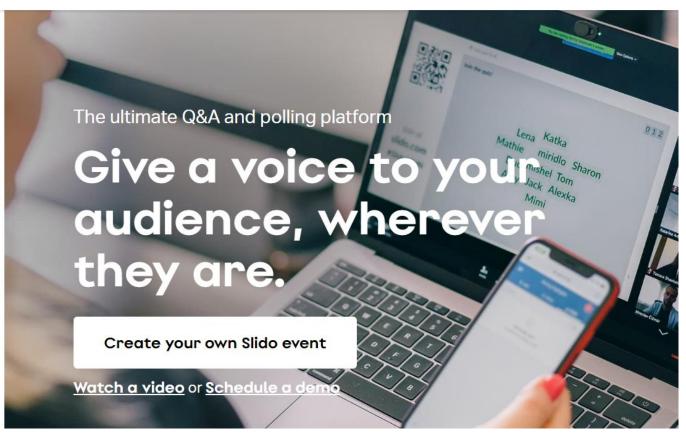
Notice of this meeting was posted on the Texas RE website and the open portion of this meeting is being held in public. Participants should keep in mind that the listening audience may include members of the press, representatives from various governmental authorities, and industry stakeholders.





Slido Product Solutions Pricing Resources Enterprise Log In Sign Up







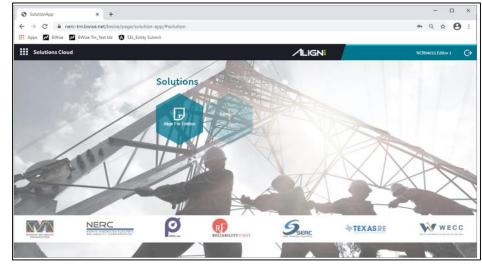
#### What is Align?



#### **Align**

• An ERO Enterprise common platform developed to support compliance monitoring and enforcement (CMEP) activities and business processes. The tool provides a standardized and consistent interface for entities conducting CMEP activities. The Align rollout consists of three releases with full implementation by the end of 2021.





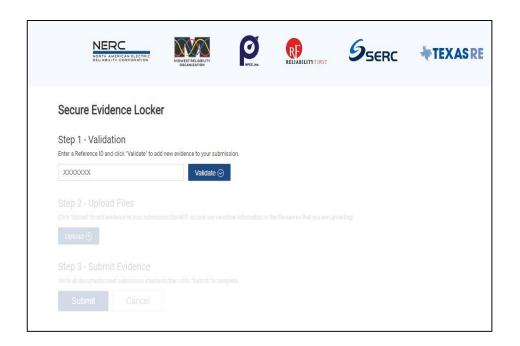


#### What is the ERO SEL?



#### **ERO Secure Evidence Locker (ERO SEL)**

 A highly secure, isolated, encrypted environment that acts as a temporary repository to upload evidence, which is subject to file destruction policies.







#### **Align and SEL Release 1 Go Live**







## **Agenda**



## **Access and Permission Roles**

**ERO SEL** 

**Tour of Align** 

**Step through the Scenario** 

• Align + SEL

**Next Steps** 

Resources





# **ACCESS AND PERMISSION ROLES**



#### **Permission Roles**



#### **Primary Compliance Contact (PCC) Grants Account Access Levels**

#### Align Registered Entity Reader

 Can log into Align and see everything for their registered entity, but cannot make changes.

#### Align Registered Entity Editor

 Can log into Align, see everything for their registered entity and make changes, but cannot submit anything to the CEA for review or processing.

#### Align Registered Entity Submitter

 Can log into Align, see everything for their registered entity, make changes, and submit items to the CEA for review or processing.



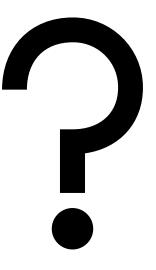
## Sli.do (#TXRE)



Poll: Did you participate in the Align Kick-off on January 28, 2021?

A. Yes

B. No



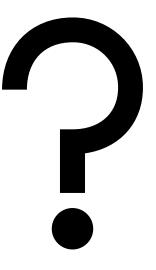


## Sli.do (#TXRE)



#### Poll: Have you logged into Align yet?

- A. Yes
- B. No







# **ERO SECURE EVIDENCE LOCKER**



#### **Secure Evidence Locker (SEL)**



# File Types

- Allowed: DOCX, XLXS, PDF, JPEG, PPT, etc.
- Not allowed: AJR, GZ, TAR, ZIP

# Reference ID Format

• TXRE|NCR01234|TEST202101|TEST202 101|CIP-005-6|R1|1.1

# **Email Manifest**

Shows reference ID and date stamp



#### **Secure Evidence Locker (SEL)**



Current	New (ERO SEL)
Extranet managed by Texas RE.	ERO Enterprise wide locker managed by NERC.
Registered entities can view evidence	
submitted in permitted folders in the Extranet.	Registered entities need ERO Portal account.
Can upload evidence to webCDMS.	Registered entities cannot view or delete documents uploaded to SEL.
	Registered entities receive manifest file.
	Registered entities cannot upload evidence to Align. Evidence shall be uploaded to the SEL.



#### **SEL: Step 1**

















#### **Secure Evidence Locker**

Submitter3 Entity (seltesting@nerc.com) >

#### Step 1 - Validation

Enter a Reference ID and click "Validate" to add new evidence to your submission.

TXRE|NCR04015|VI2021-00051|VI2021-000...



TXRE|NCR04015|VI2021-00051|VI2021-00051|CIP-002-5.1a|R2.|2.2.,2.1.



Valid Reference ID

Region: TXRE

NCR: NCR04015

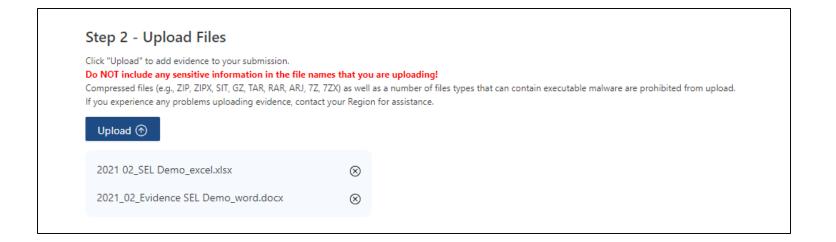
CMEP Activity: VI2021-00051

Tags: VI2021-00051



#### SEL: Step 2





#### **SEL: Step 3**

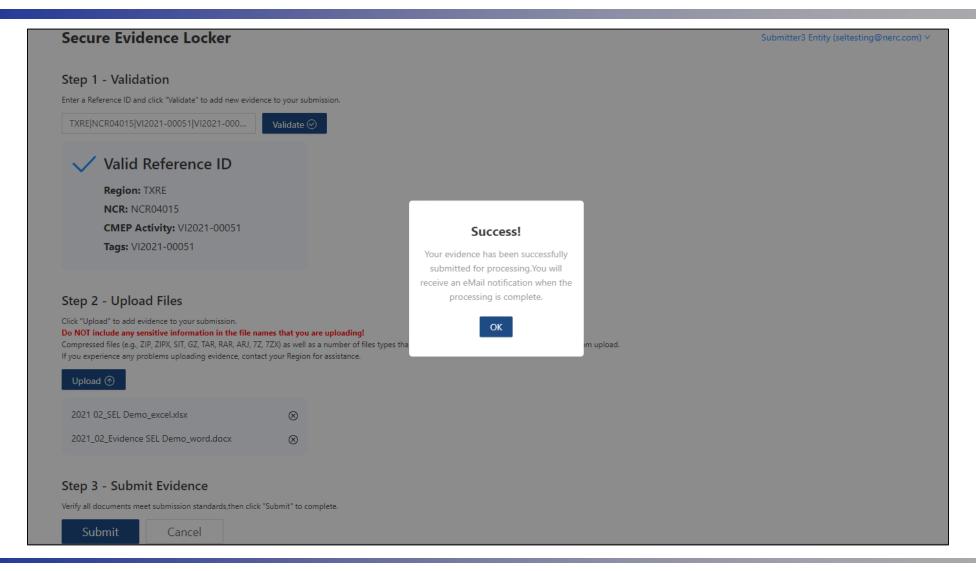






#### **SEL: Completion**

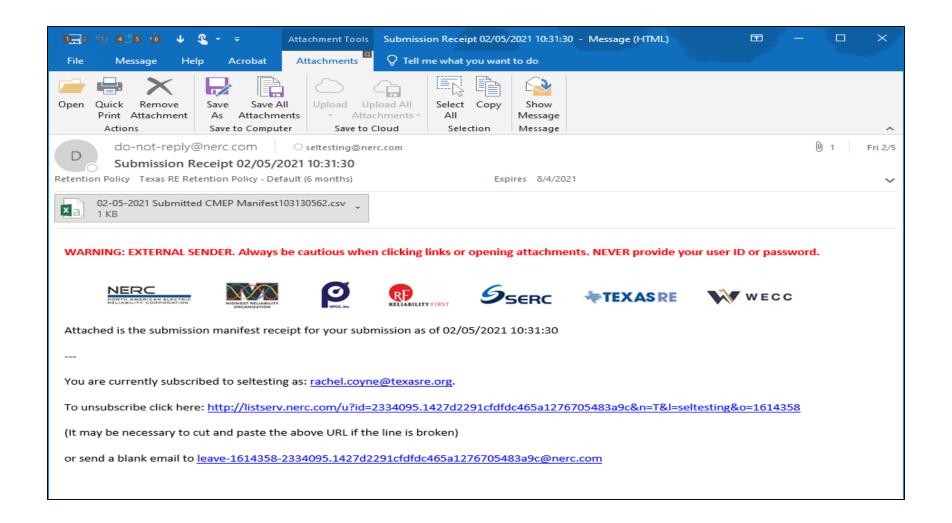






#### **Manifest**

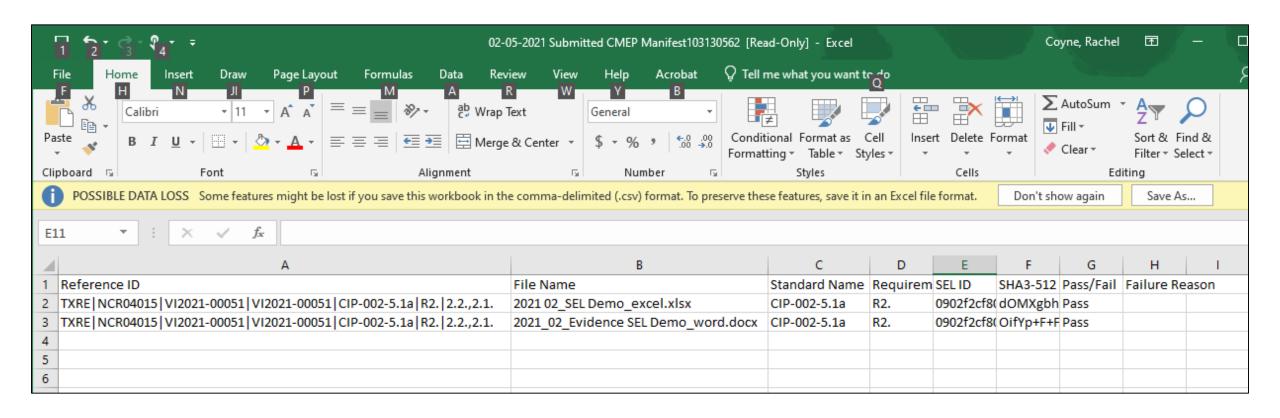






#### **Manifest**









# **TOUR OF ALIGN**



#### **Process Differences: Coordinated Oversight**



Current (webCDMS)	New (Align)
Registered entities may have a separate log in for each NCR ID.	Align user can view all entities for which it is registered upon log in.
Regions are unable to work on issues for an entity registered in a different Region. Texas RE uses a "proxy entity" for these instances.  Regions cannot view other Regions' work on an issue.	Regions can create a finding for an entity in another Region.  Regions can view other Regions' work on an issue.



#### **Align Demonstration**



#### **Link to Follow Along:**

Align Training Site (via ERO Portal log-in credentials):

https://nerc-trn.bwise.net/bwise



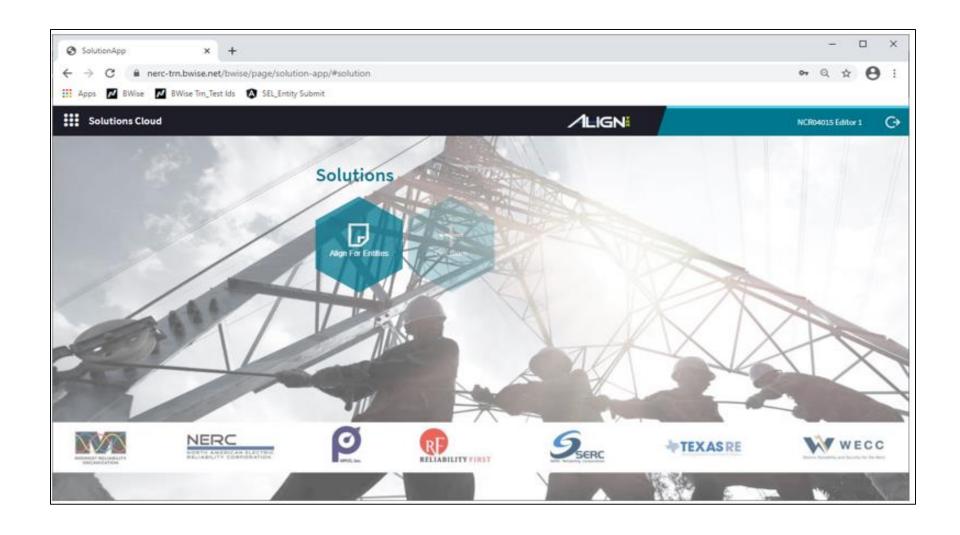


The contents of the Align Training Environment are fictional. Any resemblance to actual data is purely coincidental.



#### **Align Tour: Log-in**

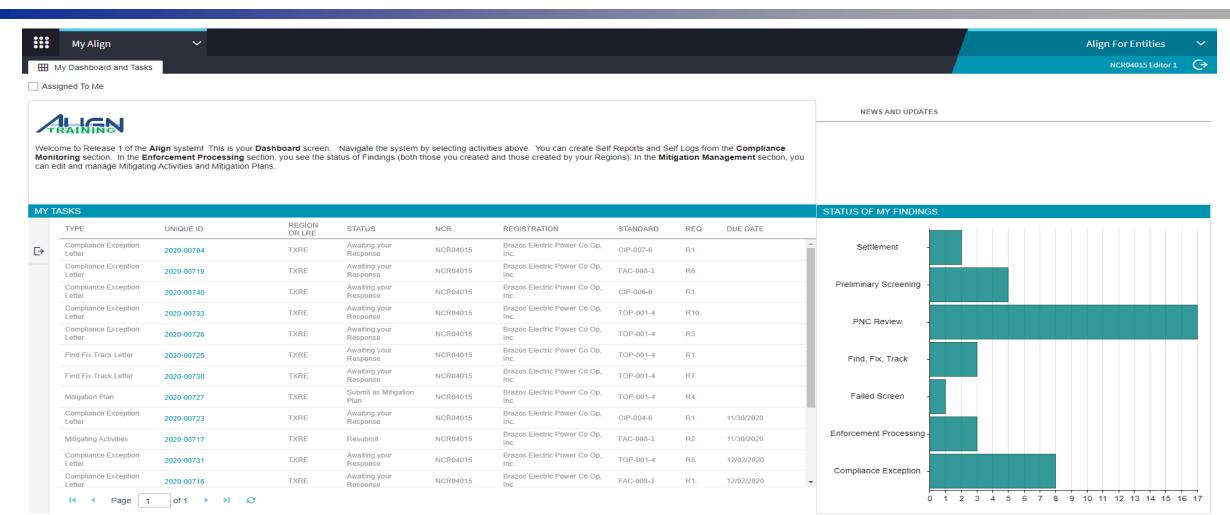






#### **Align Tour: My Align**

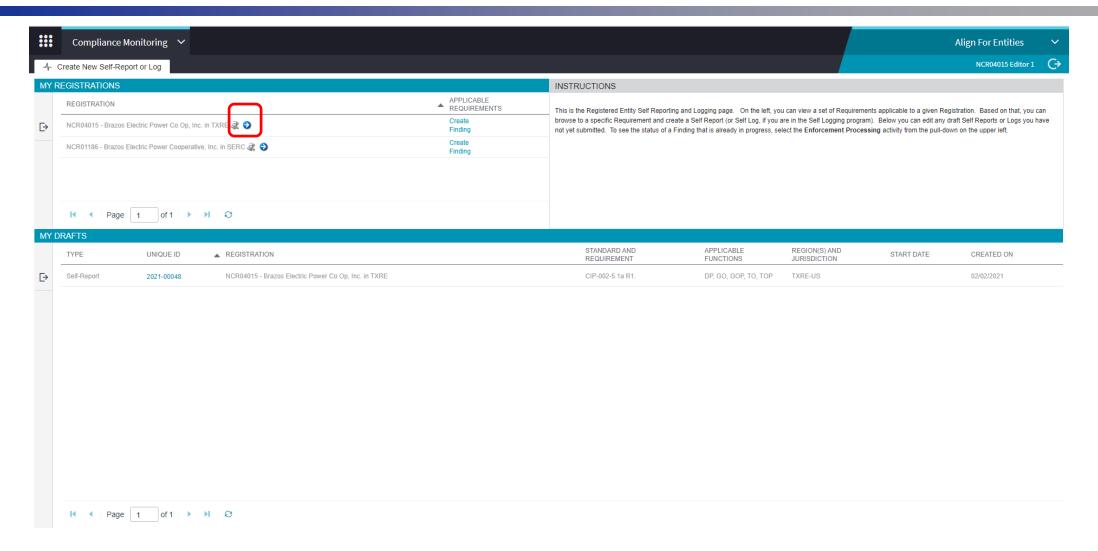






#### **Align Tour: Applicable Standards**

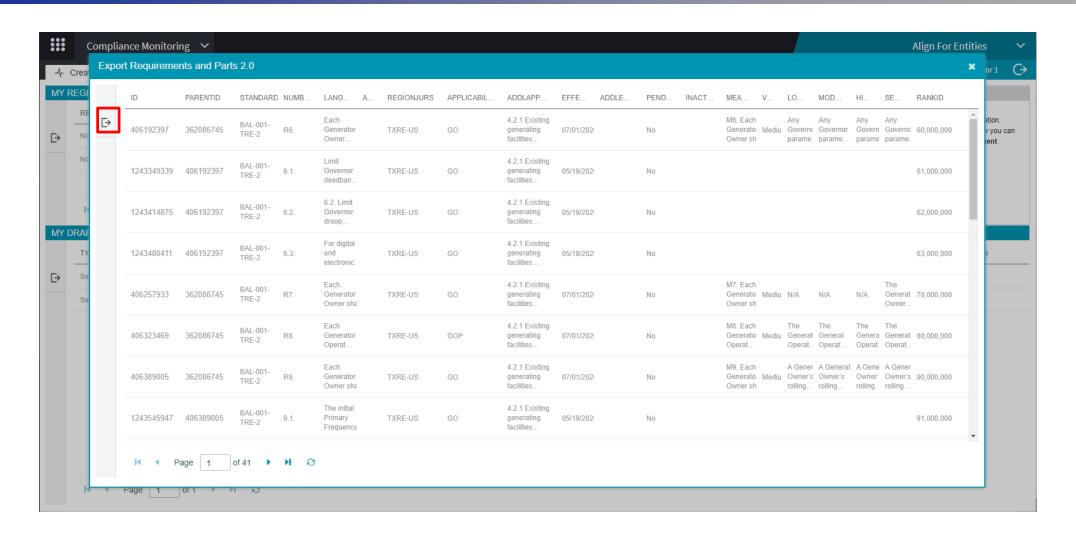






#### **Align Tour: Applicable Standards**

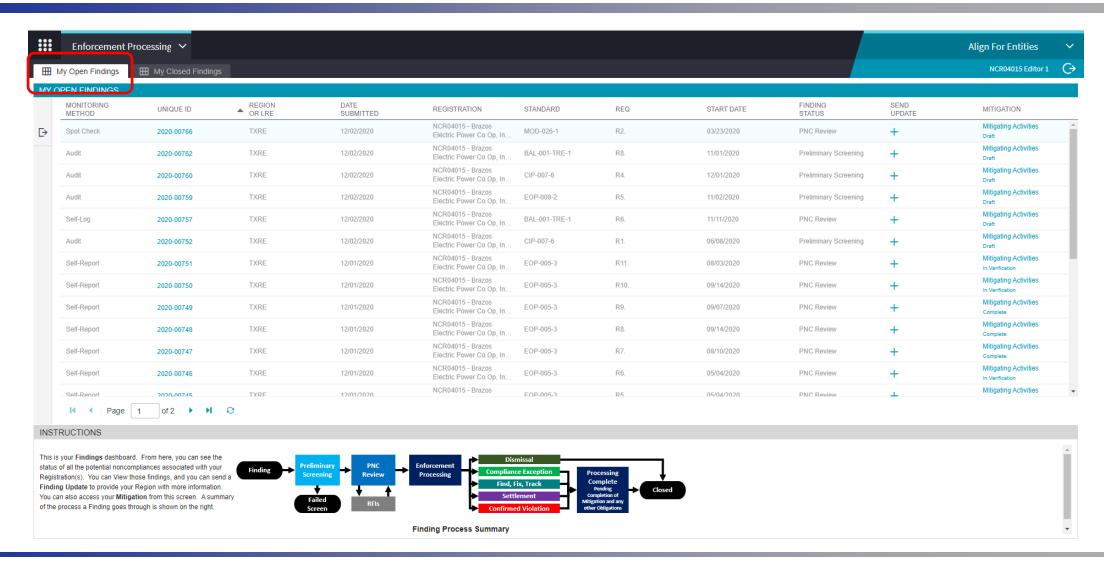






## **Align Tour: Enforcement Processing**

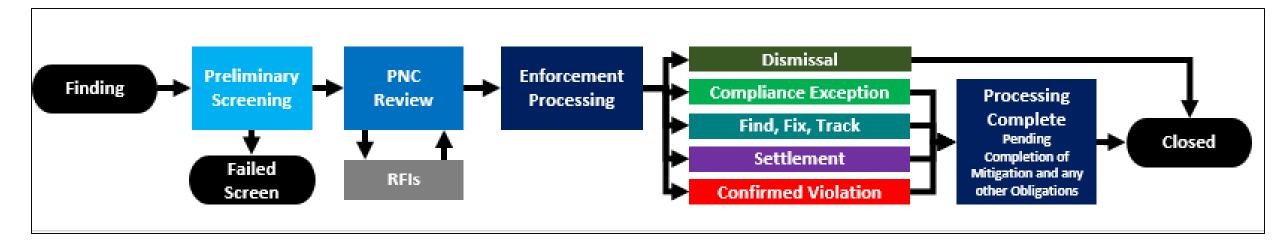






#### **Enforcement Processing**







## **Align Tour: Enforcement Processing**



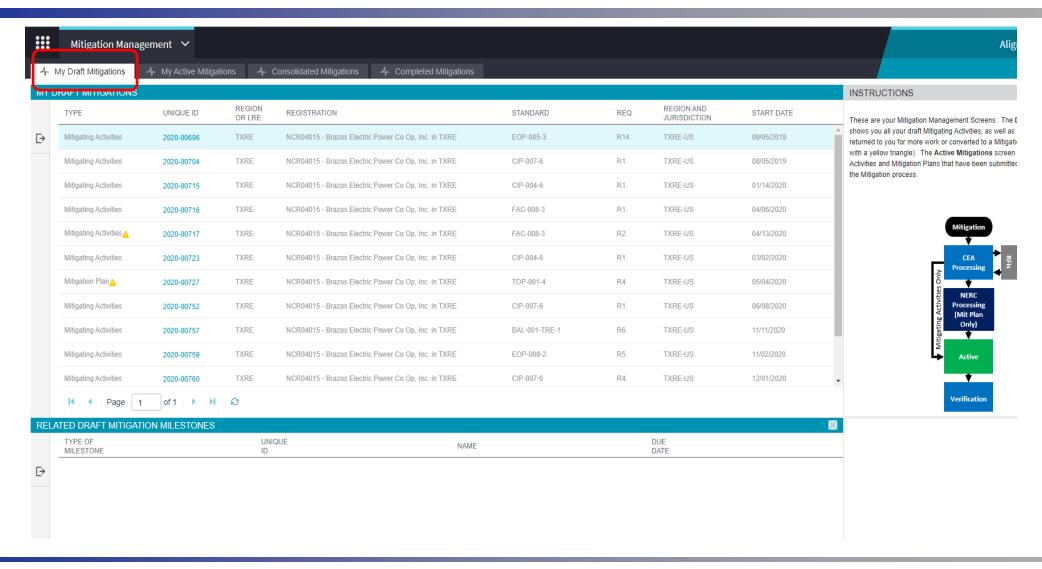
Enforce	ement Processing ∨								Align For Entities 💙
Ⅲ My Open Fine	dings My Closed Findings								NCR04015 Editor 1
MY CLOSED FIN	NDINGS								
MONITORING METHOD	UNIQUE ID	REGION OR LRE	DATE SUBMITTED	REGISTRATION	STANDARD	REQ	START DATE	FINDING STATUS	MITTYPE
Self-Report	2020-00718	TXRE	11/17/2020	NCR04015 - Brazos Electric Power Co Op, Inc. in TXRE	FAC-008-3	R3.	06/09/2020	Failed Screen	Mitigating Activities Failed Screen
Self-Report	2020-00726	TXRE	11/23/2020	NCR04015 - Brazos Electric Power Co Op, Inc. in TXRE	TOP-001-4	R3.	05/04/2020	Compliance Exception	Mitigation Plan Active
Self-Report	2020-00728	TXRE	11/23/2020	NCR04015 - Brazos Electric Power Co Op, Inc. in TXRE	TOP-001-4	R5.	02/10/2020	Compliance Exception	Mitigation Plan Active
Self-Report	2020-00729	TXRE	11/23/2020	NCR04015 - Brazos Electric Power Co Op, Inc. in TXRE	TOP-001-4	R6.	05/05/2020	Find, Fix, Track	Mitigating Activities In Verification
Self-Report	2020-00730	TXRE	11/23/2020	NCR04015 - Brazos Electric Power Co Op, Inc. in TXRE	TOP-001-4	R7.	07/06/2020	Find, Fix, Track	Mitigation Plan Active
Self-Report	2020-00731	TXRE	11/23/2020	NCR04015 - Brazos Electric Power Co Op, Inc. in TXRE	TOP-001-4	R8.	12/02/2019	Compliance Exception	Mitigation Plan Active
Self-Report	2020-00733	TXRE	11/23/2020	NCR04015 - Brazos Electric Power Co Op, Inc. in TXRE	TOP-001-4	R10.	03/09/2020	Compliance Exception	Mitigation Plan CEA Processing
Audit	2020-00735	TXRE	11/24/2020	NCR04015 - Brazos Electric Power Co Op, Inc. in TXRE	FAC-003-4	R1.	10/01/2019	Settlement	Mitigation Plan Complete
Self-Report	2020-00740	TXRE	12/01/2020	NCR04015 - Brazos Electric Power Co Op, Inc. in TXRE	CIP-006-6	R1.	01/06/2020	Compliance Exception	Mitigating Activities Active





#### **Align Tour: Mitigation**

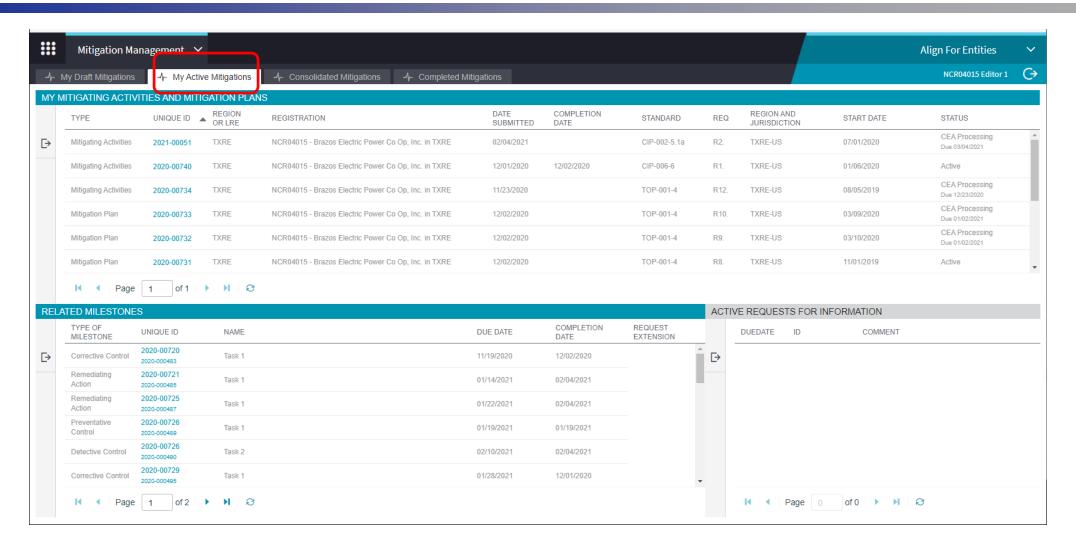






#### **Align Tour: Mitigation**







## **Align Tour: Mitigation**



Mitigation Mana	agement 🗸								Align F	or Entities	~
-√- My Draft Mitigations	- <b>/</b> - My Active Mitig	gations 4-	Consolidated Mitigations	- ↑ Completed Mitigations					N	CR04015 Editor 1	C
MY COMPLETED MITIGA	TIONS										
TYPE	UNIQUE ID	REGION OR LRE	REGISTRATION		STANDARD	REQ	REGION AND JURISDICTION	DATE SUBMITTED	COMPLETION DATE	STATUS	
Mitigating Activities	2020-00718	TXRE	NCR04015 - Brazos Electric	Power Co Op, Inc. in TXRE	FAC-008-3	R3.	TXRE-US	11/17/2020		Failed Screen	1
Mitigation Plan	2020-00719	TXRE	NCR04015 - Brazos Electric	Power Co Op, Inc. in TXRE	FAC-008-3	R6.	TXRE-US	12/02/2020	12/02/2020	Complete	
Mitigation Plan	2020-00735	TXRE	NCR04015 - Brazos Electric	Power Co Op, Inc. in TXRE	FAC-003-4	R1.	TXRE-US	11/24/2020	11/24/2020	Complete	
Mitigating Activities	2020-00745	TXRE	NCR04015 - Brazos Electric	Power Co Op, Inc. in TXRE	EOP-005-3	R5.	TXRE-US	12/01/2020	12/01/2020	Complete	
Mitigating Activities	2020-00747	TXRE	NCR04015 - Brazos Electric	Power Co Op, Inc. in TXRE	EOP-005-3	R7.	TXRE-US	12/01/2020	12/01/2020	Complete	
Mitigating Activities	2020-00748	TXRE	NCR04015 - Brazos Electric	Power Co Op, Inc. in TXRE	EOP-005-3	R8.	TXRE-US	12/01/2020	12/01/2020	Complete	
Mitigating Activities	2020-00749	TXRE	NCR04015 - Brazos Electric	Power Co Op, Inc. in TXRE	EOP-005-3	R9.	TXRE-US	12/01/2020	12/01/2020	Complete	
N	of 1   > >   &										

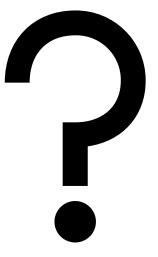


## Sli.do (#TXRE)



#### To view potential non-compliances (PNC), I must navigate to:

- A. Compliance Monitoring
- B. Enforcement Processing
- C. Mitigation Management
- D. None of the Above





## Sli.do (#TXRE)



#### To create a finding, I must navigate to:

- A. Current activity
- B. Compliance Monitoring
- C. PNC Processing
- D. Mitigation management





#### **Today's Scenario**



Submit Self Report CIP-002-5.1a R2	
Submit Finding Update	
Receive RFI	
Submit Mitigating Activities	
Region Performs PNC Review	
Disposition: Compliance Exception	
Closure	





# **SELF-REPORT OR SELF-LOG**



#### **Issue Reported Start Date/Version of Standard**



Current (webCDMS)	New (Align)
Findings are reported on the	Findings are reported on the
version of the NERC Reliability	current version of the
Standard that was in effect at	Standard/Requirement –
the start of the issue.	system does not show prior
Issue language discusses	versions.
various versions in effect during	Issue language discusses
the duration of the issue.	various versions in effect during
	the duration of the issue.



# **Issue Reported Start Date/Version of Standard – CIP-003 Example**



Current (webCDMS)	New (Align)
Submittal Date: 1/25/2021	Submittal Date: 1/25/2021
<b>Duration of PNC</b> : 8/1/2016 – 8/1/2020	<b>Duration of PNC</b> : 8/1/2016 – 8/1/2020
Standard Effective Dates:	Standard Effective dates:
CIP-003-6: 7/1/2016 – 12/31/2019	CIP-003-6: 7/1/2016 – 12/31/2019
CIP-003-7: 1/1/2020 - 3/31/2020	CIP-003-7: 1/1/2020 - 3/31/2020
CIP-003-8: 4/1/2020 – Present	CIP-003-8: 4/1/2020 – Present
Standard Version: CIP-003-6	Standard Version: CIP-003-8
Issue language describes that the duration spanned CIP-003-6, CIP-003-7, and CIP-003-8.	Issue language describes that the duration spanned CIP-003-6, CIP-003-7, and CIP-003-8.



#### **Process Differences: Self-Log**



Current (webCDMS)	New (Align)
Registered entity submits the Self-	Registered entity submitter submits
Log spreadsheet to the Extranet	a Self-Log in Align. The Self-Log
and notifies Texas RE	form is identical to the Self-Report
Enforcement.	form.



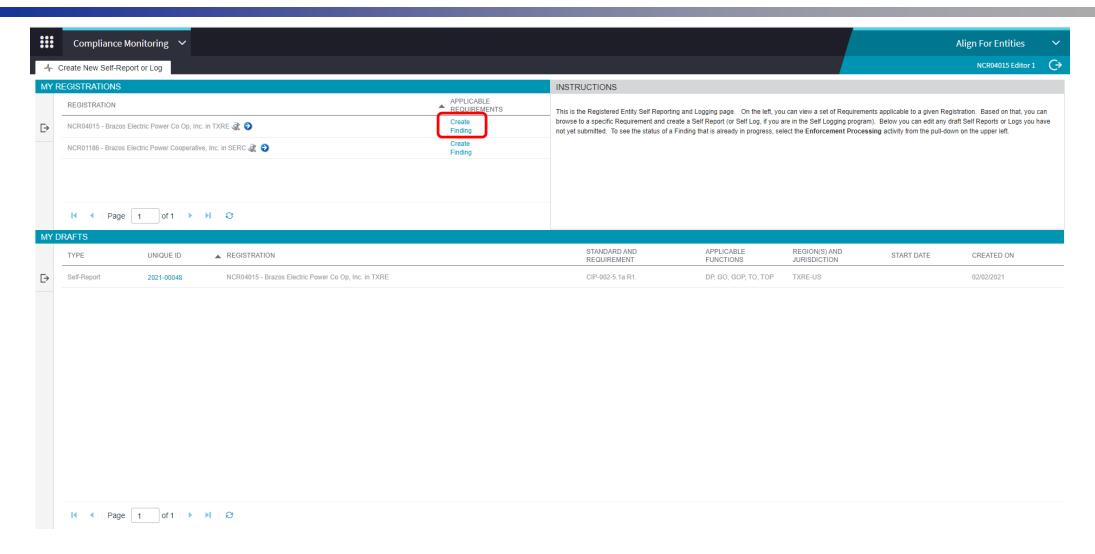


# Submit Self-Report

- Brazos Electric
   Power Cooperative,
   Inc. in Texas RE
- · CIP-002-5.1a R2

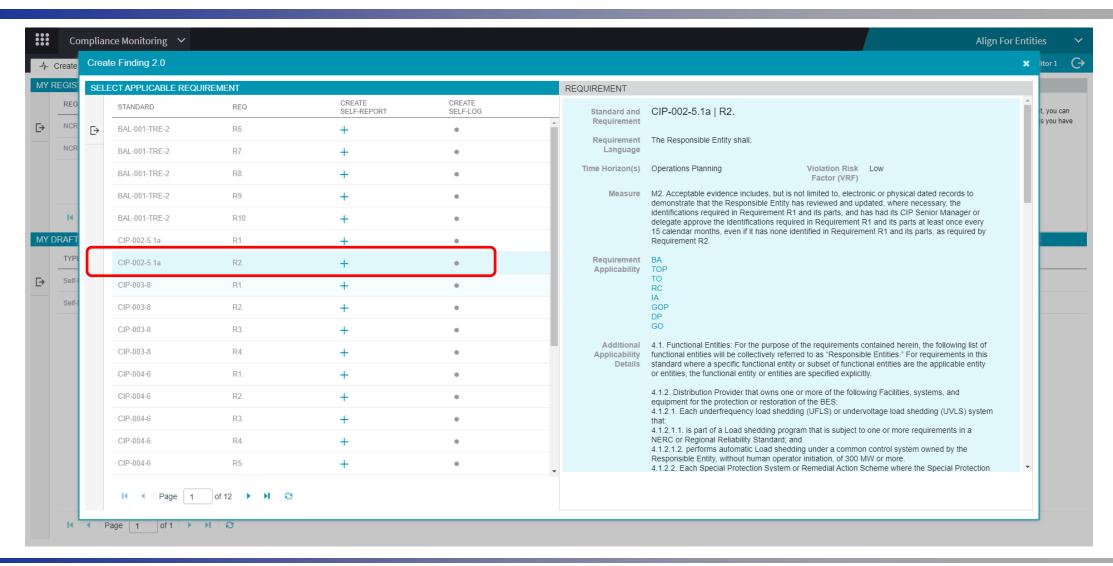






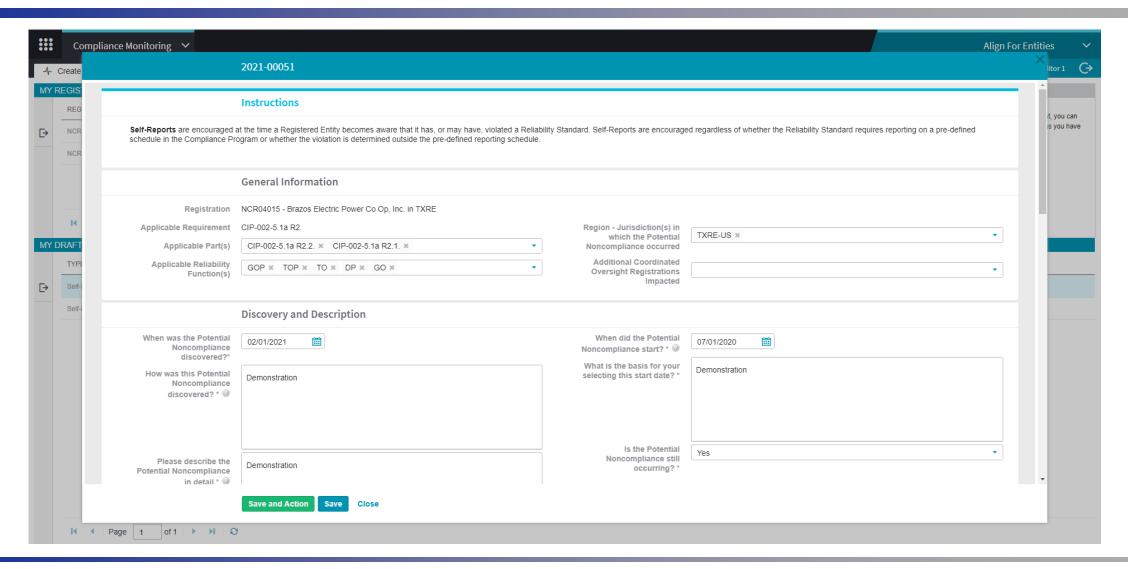
















:::	Con	Compliance Monitoring V				
1	Create		2021-00051	itor	rı 😝	
MY	REGIS  REG  NCR		Extent of Condition and Root Cause		ou can ou have	
	DRAFT TYPE	Has an Extent of Condition Review been performed? *	What cause(s) led to the Potential Noncompliance?			
₽	Self-I	What do you think the Potential Impact to BPS was/is from this Potential Noncompliance? * **  Why do you believe that to be the correct Potential Impact? * **  Why do you believe that to be the correct Potential Impact? *	How likely is it that Impact could have actually occurred? *  Was there any actual impact to the BPS? * ②	•		

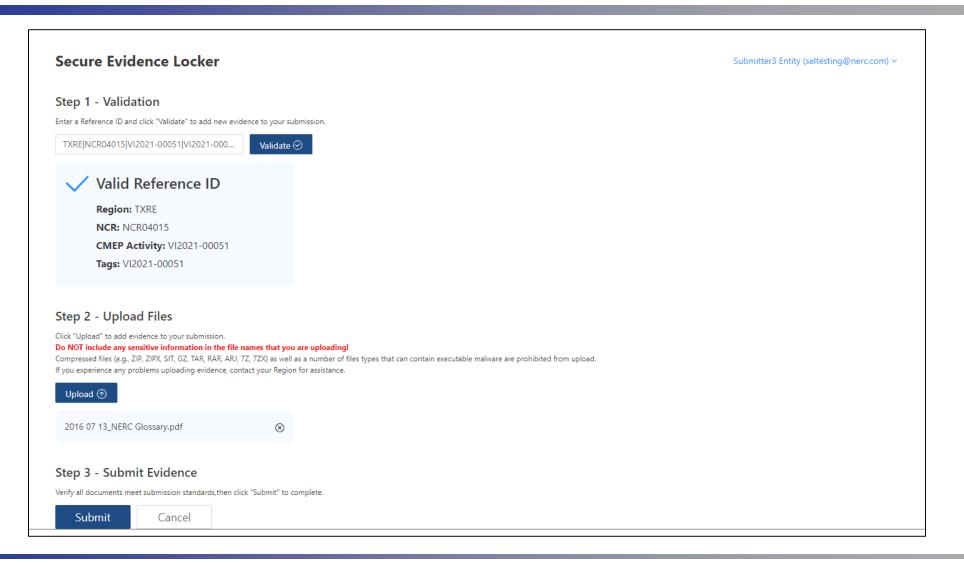




***	Compliance Monitoring V				ies	~	
4	Create		2021-00051		×	itor 1	C
MY	REGIS			was there any actual impact to the BPS? * ③	<u> </u>		
₽	REG —— NCR					t, you can s you hav	
	NCR		Additional Comments				
	14	Please provide any additional comments					
MY	DRAFT						
€	Self-l		Evidence				
	Self-l	Instructions	Submit Evidence or Attachments related to this Finding via ERO Secure Evidence Lock  TXRE NCR04015 VI2021-00051 VI2021-00051 CIP-002-5.1a R2. 2.2.,2.1.  If you are hosting your own SEL, please provide a hyperlink to your locker in the comme				
			Mitigation Information (optional - click to expand)				









#### **Create Self-Report: Save a Draft**

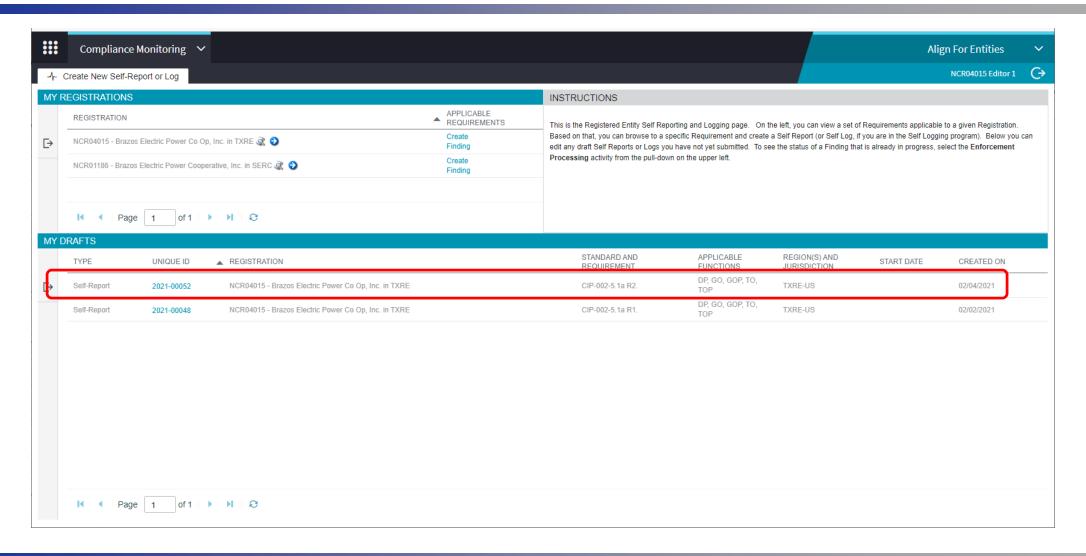


and/or	ble, and without delaying the Self-Report, a Self-Rep planned task for remediation and mitigation. When y eport, or separately when it is ready.			
MILESTONE ID	TYPE OF MILESTONE TASK	MILESTONE NAME	PLANNED COMPLETION DATE	ACTUAL COMPLETION DATE
+		This table is empty		
£?				



#### **Create Self-Report: View Draft**







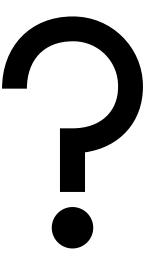


click here t	Instructions	Submit Finding: Select "Submit" on the Action dropdown, then click the Save and Action button at the bottom of the screen.  OPTIONAL - Submit Mitigations: Submit mitigations now by checking the box "Submit Mitigations for Review with Finding?" or later via the "My Mitigations Tab".  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.	Action Submit Mitigations fo Review with Finding? <sup>©</sup>	
FORM: RE-SR				
		Save and Action Save Close		•





True/False: Align allows you to save a Self-Report prior to submittal.



**True** 





# FINDING UPDATES



#### **Process Differences: Finding Updates**



Current (webCDMS)	New (Align)
Functionality exists for registered	Registered entity will submit a Finding Update rather
entity to submit a finding update	than a new Self-Report or Self-Log for additional
on Self-Reports.	noncompliance of an OEA, regardless of discovery
Registered entity submits a new	method.
Self-Report, rather update a	Finding Updates will not override original finding.
finding.	Decrease the number of Failed Preliminary Screens
Texas RE Enforcement issues	and Dismissal Consolidations.
Failed Preliminary Screens or	
Dismissal Consolidations.	





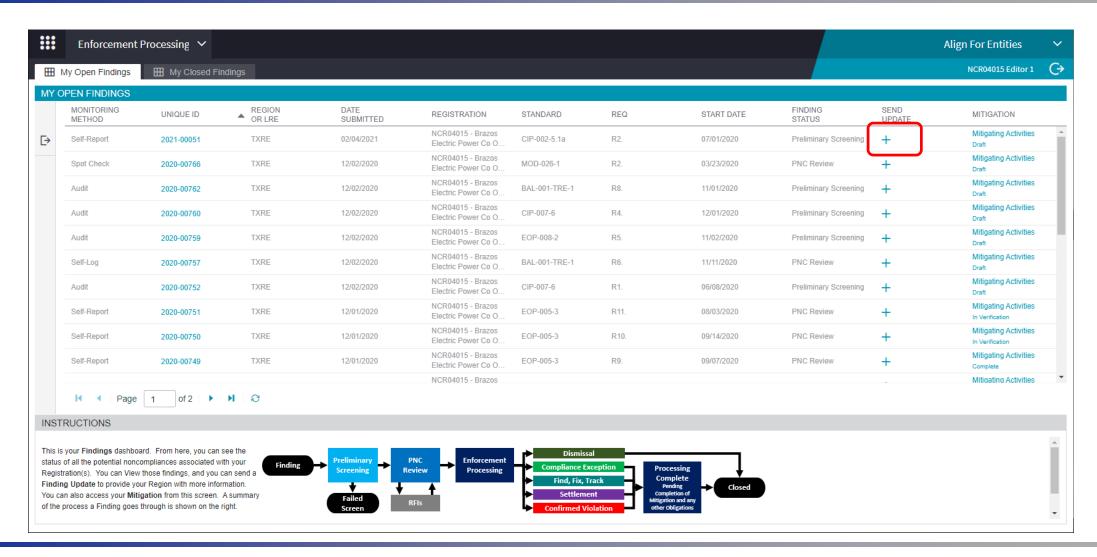
# Submit Finding Update

Brazos Electric
Power Cooperative,
Inc. in Texas RE
CIP-002-5.1a R2



#### **Finding Update**

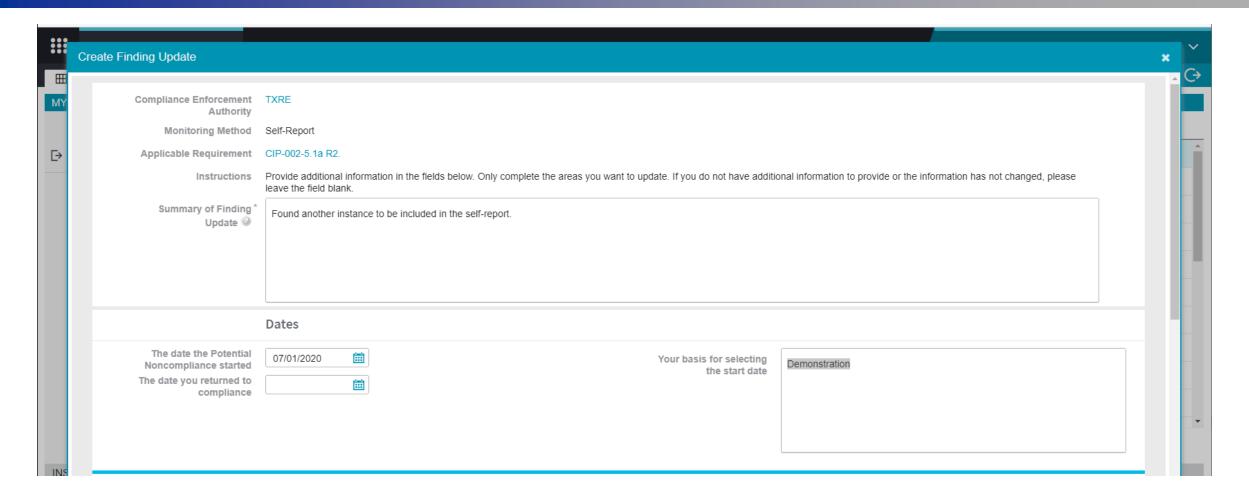






#### **Finding Update**







#### **Finding Update**



<b>:::</b>	Create Finding Opdate		<b>*</b>
MY	Extent of Condition	, Root Cause, and Risk	
€	The Extent of the Condition Demonstration	The Potential Impact to BPS of this Potentia Noncompliance	Williama
		Your explanation why you chose the Potential Impac	Demonstration Demonstration
	The cause(s) that led to Demonstration		
	the Potential Noncompliance	The likelihood the Impac	
		could have actually occurred	
		The Actual Impact (Harm to the BP:	Bellioisuauoii
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# REQUEST FOR INFORMATION



### **Process Differences: Request for Information (RFI)**



Current (webCDMS)	New (Align)
Texas RE Enforcement issues RFIs to the registered entity	Enforcement uploads RFI to Align.
through the Extranet followed by an email to notify the entity of the	Align sends an email notification to the registered entity to view the
RFI.  Registered entity submits RFI	RFI.
response and evidence to the Texas RE Extranet.	Registered entity submits RFI response and evidence to the Secure Evidence Locker (SEL).





# Receive RFI

- CIP-002-5.1a R2



#### **RFI** Notification



WARNING: EXTERNAL SENDER. Always be cautious when clicking links or opening attachments. NEVER provide your user ID or password.



Noncompliance ID: 2021-00051

TXRE has created a Request for Information (RFI) for the noncompliance record 2021-00051 in the Align System. The response for the RFI is due by 2021-03-06.

To see the RFI, please log into the Align system. If there are any questions regarding this notice, please contact TRE Editor 1 at rachel.coyne@texasre.org.

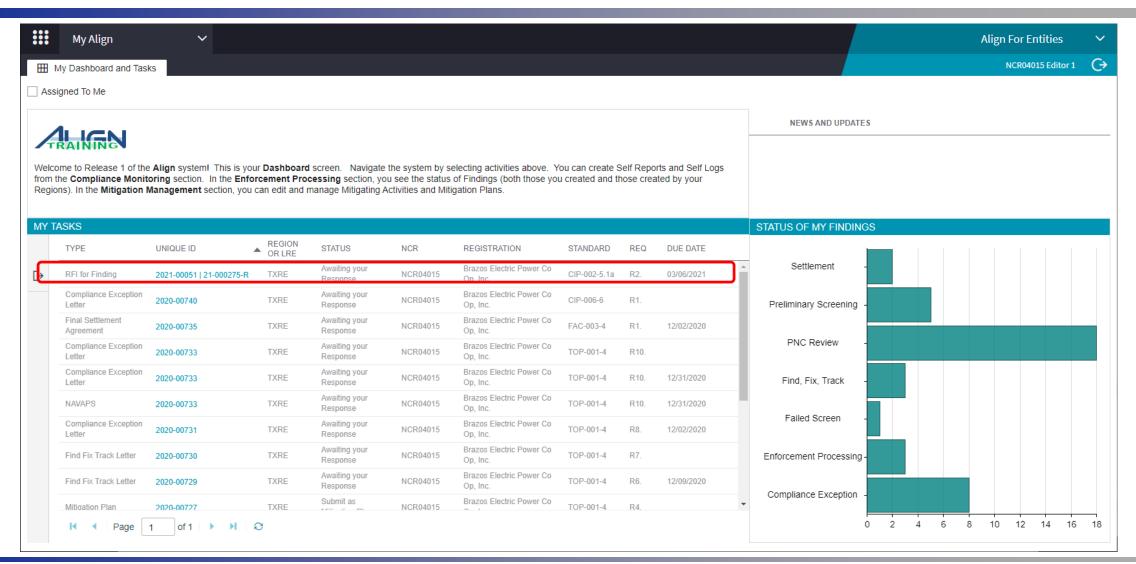
To access Align, go to the ERO portal, navigate to the Align landing page and click on the link to log in.

This e-mail has been generated automatically. Do not reply to this address.





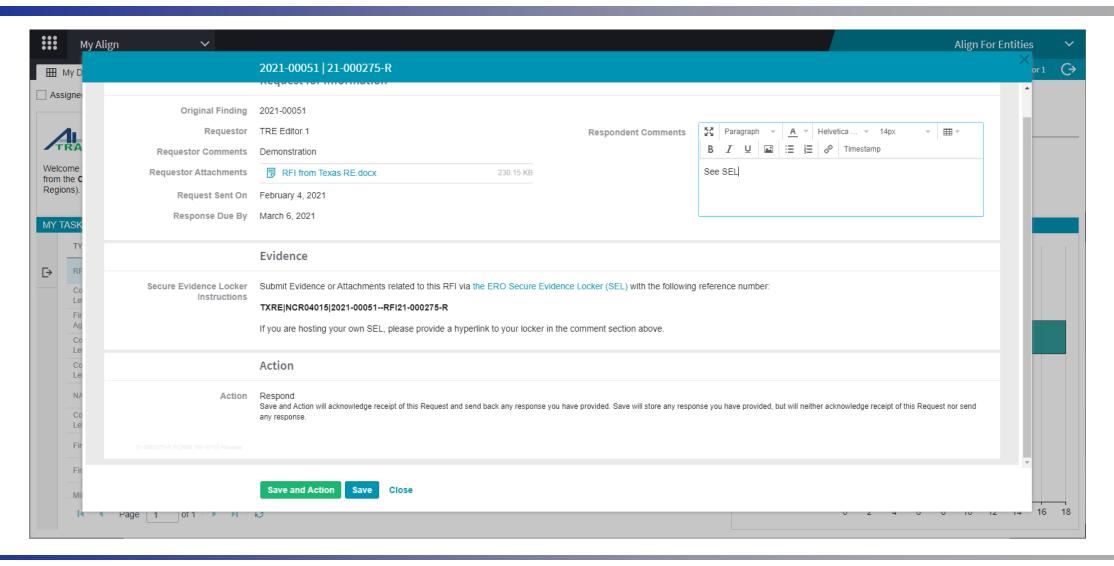








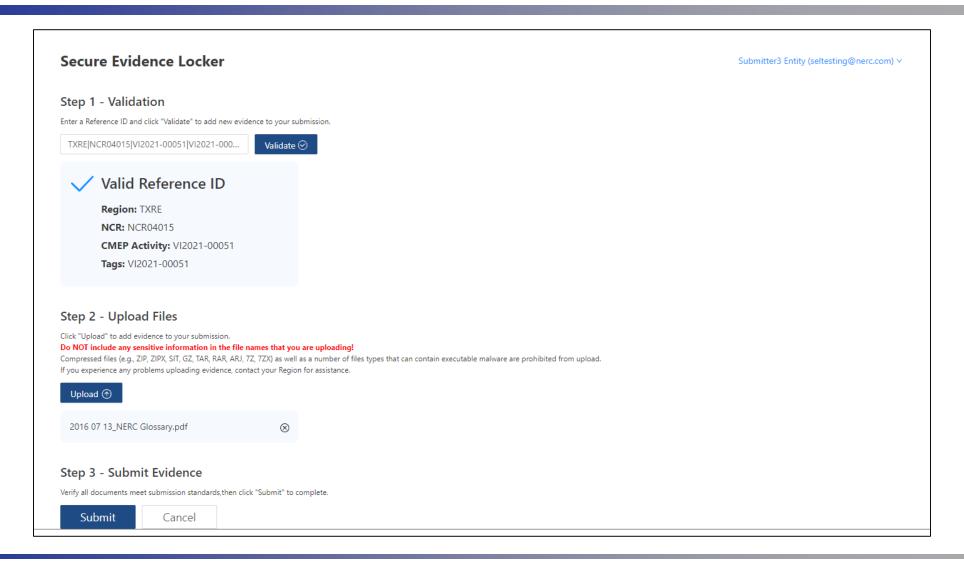






#### **Submit RFI Evidence in SEL**

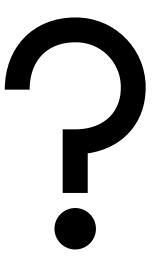








True/False: RFI evidence will be saved in Align.



# **False**





# BREAK WILL RETURN AT: 1:00PM



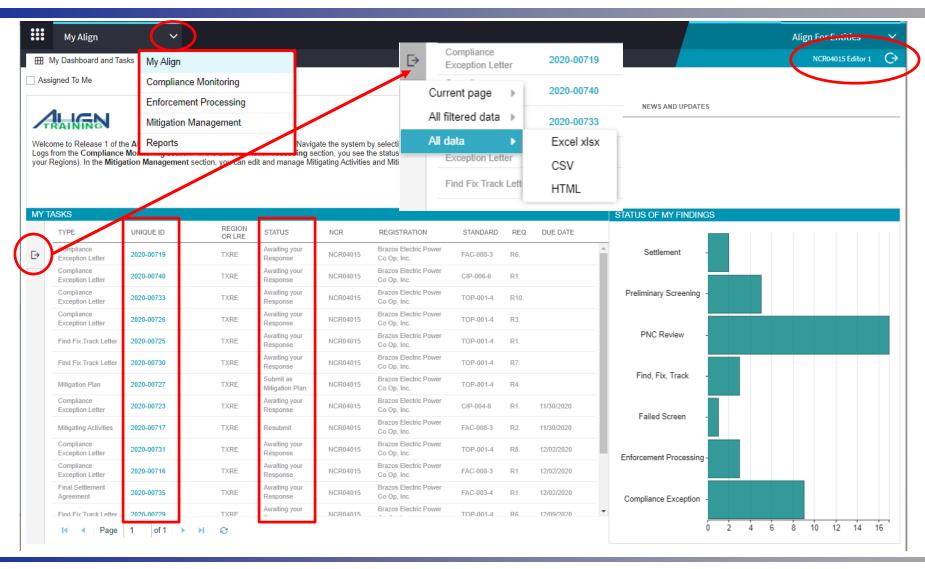


# **MITIGATION**



#### **Navigating Mitigation**

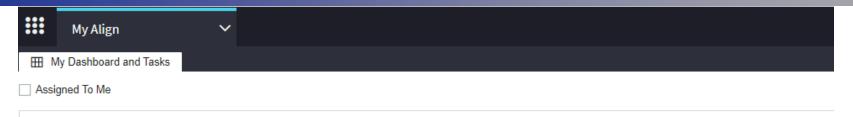






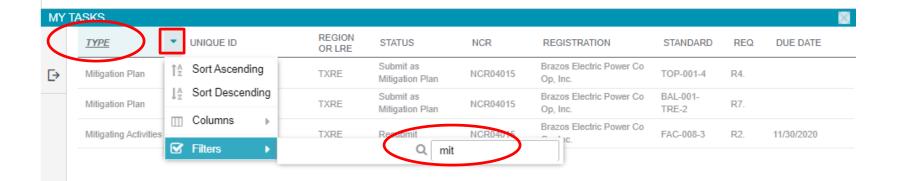
#### **Navigating Mitigation**







Welcome to Release 1 of the Align system! This is your Dashboard screen. Navigate the system by selecting activities above. You can create Self Reports and Self Logs from the Compliance Monitoring 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.







#### **Correct and Prevent Reoccurrence of a PNC**

# All PNCs Must be Mitigated

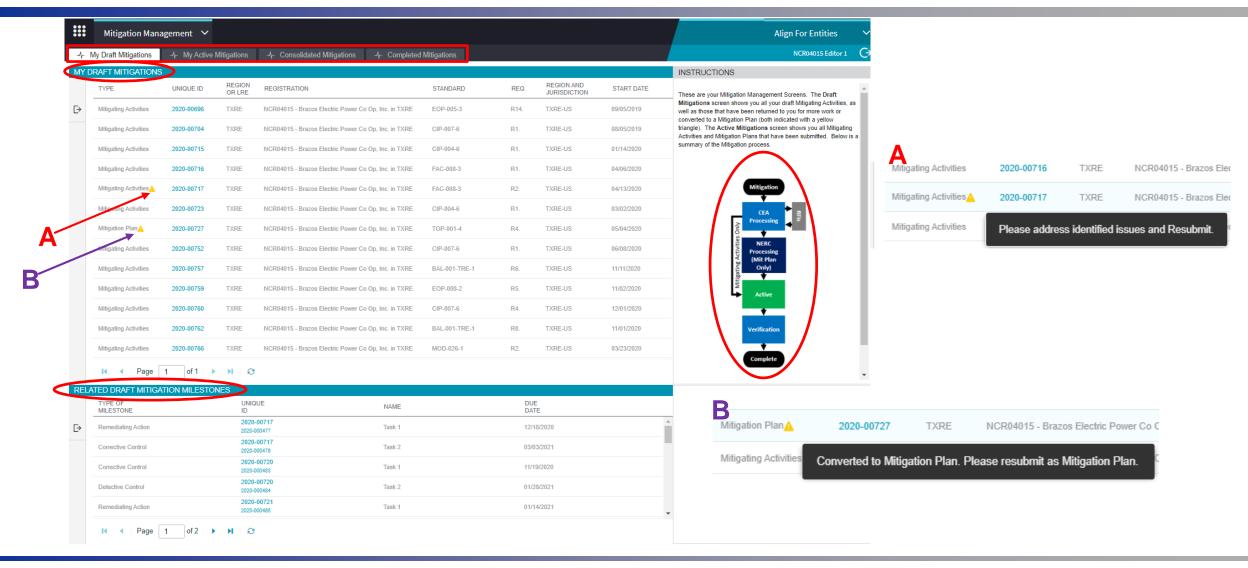
#### For More Information

 Section 6 of Compliance Monitoring and Enforcement Program (Appendix 4C to the Rules of Procedure)



#### **Mitigation Management - My Draft Mitigations**

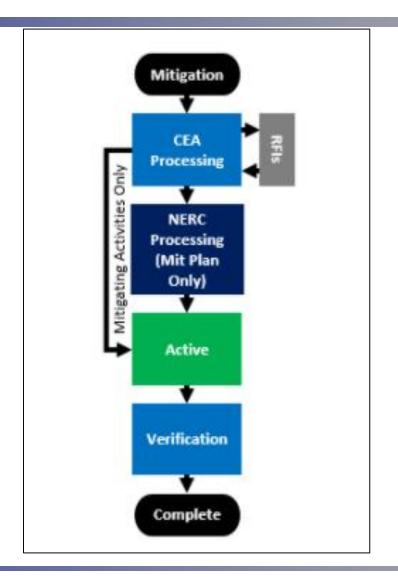






#### **Mitigation Flowchart**

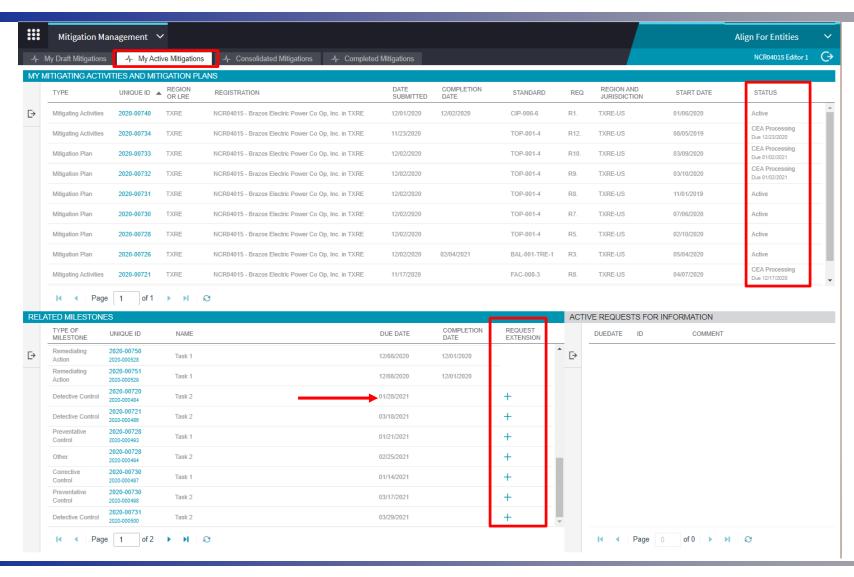






#### **Mitigation Management - My Active Mitigations**







#### **Mitigation Progression**



CEA Processing – entity has submitted mitigation, awaiting CEA review

**Active – CEA approves mitigation** 

Verification – entity submits for verification, awaiting CEA verification

**Complete – CEA has verified mitigation** 

Incomplete – mitigation does not pass verification

NERC Processing (MP Only) – under NERC review, awaiting NERC approval



#### **Process Differences: Mitigating Activities**



Current (webCDMS)	New (Align)
Registered entity can enter	Registered entity enters MAs
Mitigating Activities (MA) on the	and milestone completions for
Self-Report form webCDMS.	verification in Align.
No separate completion submission for MA.	Texas RE Enforcement reviews the MAs for acceptance, rejection, or to convert to a Mitigation Plan (MP).  Registered Entities need enter completion for CEA review.



#### **Process Differences: Mitigation Plans**



Current (webCDMS)	New (Align)
Registered entity enters	Registered entity enters the
Milestone Activity and either	MAs.
saves as a DRAFT MP or submits as a formal MP.  Email notification is sent to registered entity after the MP is submitted.	Enforcement reviews MAs and requests the entity to convert to a MP.  Notification is sent to the registered entity submit the MAs as a MP.



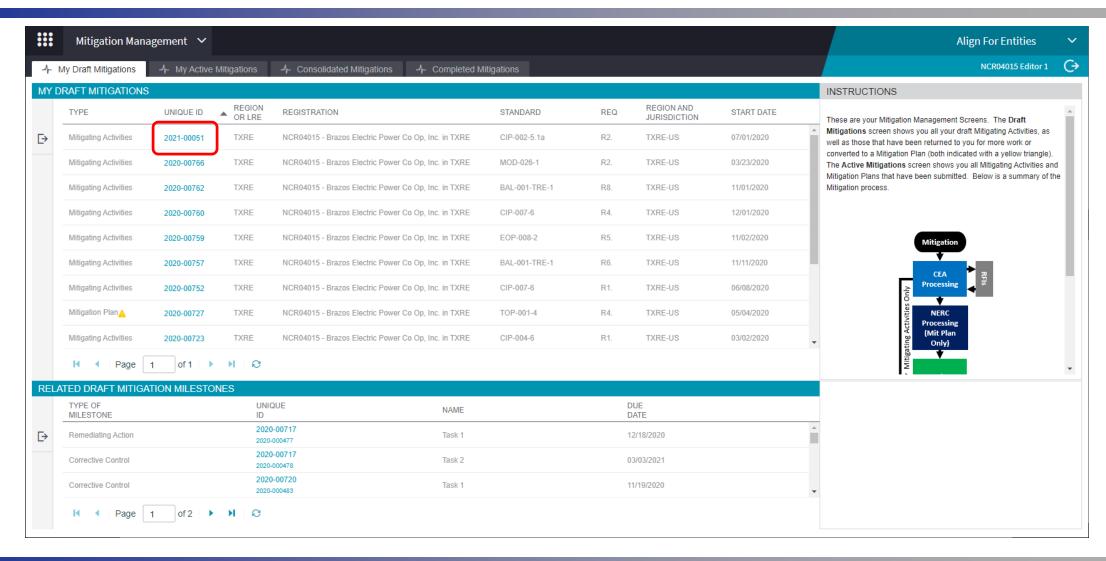


Brazos Electric
Power Cooperative,
Inc. in Texas RE
CIP-002-5.1a R2



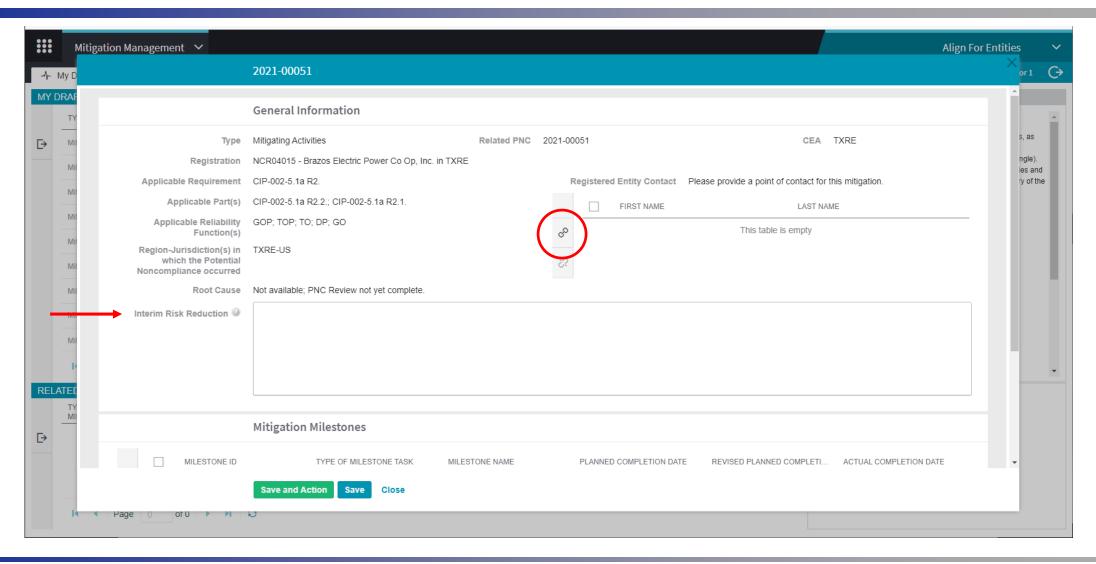
#### **Submit Mitigation**





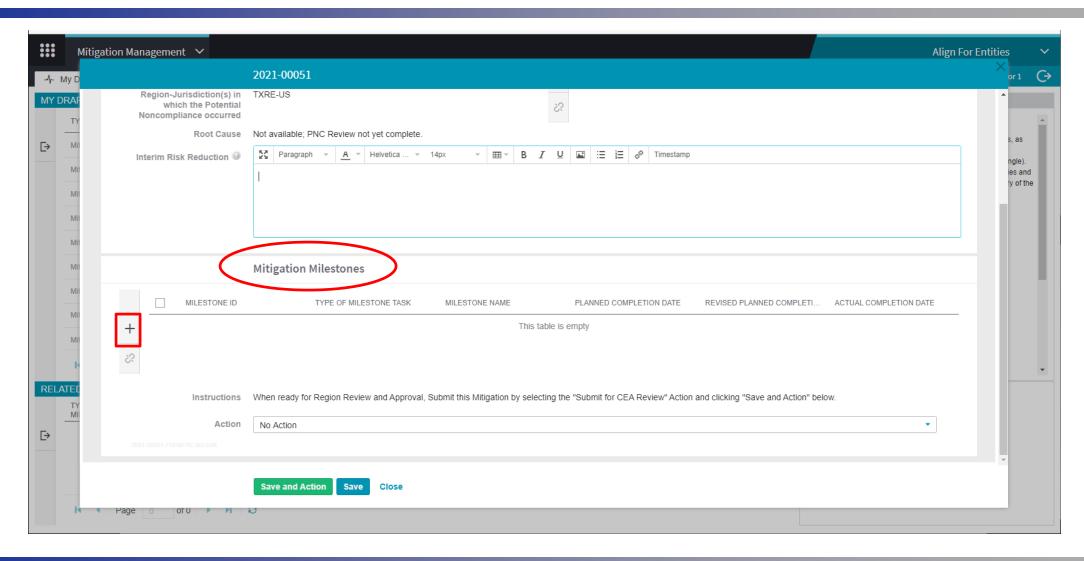
















	Milestone
	Milestone Information
Type of Milestone Task ************************************	
Milestone Name 🎱	Remediating Action
Description of action @	Corrective Control
	Preventative Control
	Detective Control
	Other
***	
Milestone Name	
Description of action	
Planned Completion Date *	■
Actual Completion Date	<b>一</b>
	Evidence and Attachments
Data Locker Instructions	Evidence and Attachments must be submitted via Data Locker with a reference number that will be generated when you save this Milestone and its parent Mitigation.
Evidence Comments	





New Submission Due Date	e November 30, 2020	
	Root Cause and Interim Risk Reduction	
Root Cause	e 11/17 Test	
Interim Risk Reduction ②		
		_
	Mitigation Milestones	
☐ MILESTONE ID	TYPE OF MILESTONE TASK MILESTONE NAME PLANNED COMPLETION DATE REVISED PLANNED COMPLE ACTUAL COMPLETION DATE	πE
+ 2020-000477	Remediating Action Task 1 12/18/2020	
2020-000478	Corrective Control Task 2 03/03/2021	_
	Requests for Information	
RFI ID	REQUESTOR CONTACT RESPONDENT CONTACT RESPONSE DUE BY	
	This table is empty	
Instructions	s 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	None	7
	No Action	
	Submit for CEA Paview	
	Save and Action Save Close	



### **Process Differences: Mitigation Milestone Extension Requests**



Current (webCDMS)	New (Align)
Registered entity submits an	Registered entity enters
extension request for MPs and	Proposed New Planned
milestones through the	Completion date for MAs.
Mitigation Plan section of webCDMS.	Enforcement reviews the MAs for acceptance, rejection.
Email notification is sent to registered entity.	



#### **Today's Scenario**



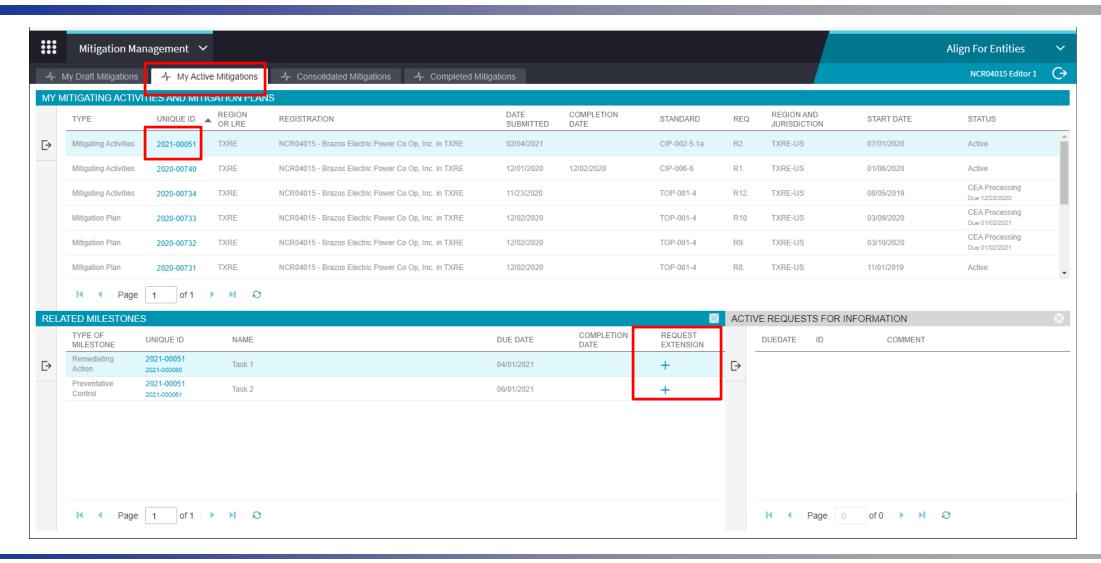
# Submit Extension Request on Mitigating Activities

- Brazos Electric
   Power Cooperative,
   Inc. in Texas RE
- CIP-002-5.1a R2



#### Mitigating Activities Milestones - Request Extension

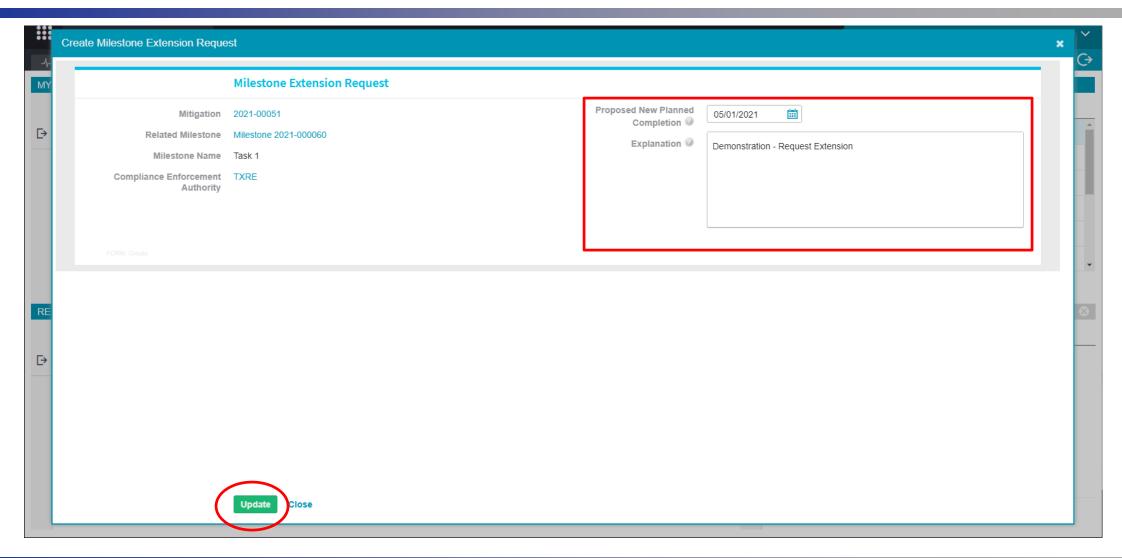






#### **Mitigating Milestones – Request Extension**









## COMPLETION OF MITIGATING ACTIVITIES



#### **Process Differences: Submit Completion**



Current (webCDMS)	New (Align)
Registered entity submits a	Registered entity submits
Certification of Completion and	evidence in the SEL using the
evidence in webCDMS, unless	Reference ID in the milestone
requested by Enforcement to	section.
submit through the Extranet.	



#### **Today's Scenario**



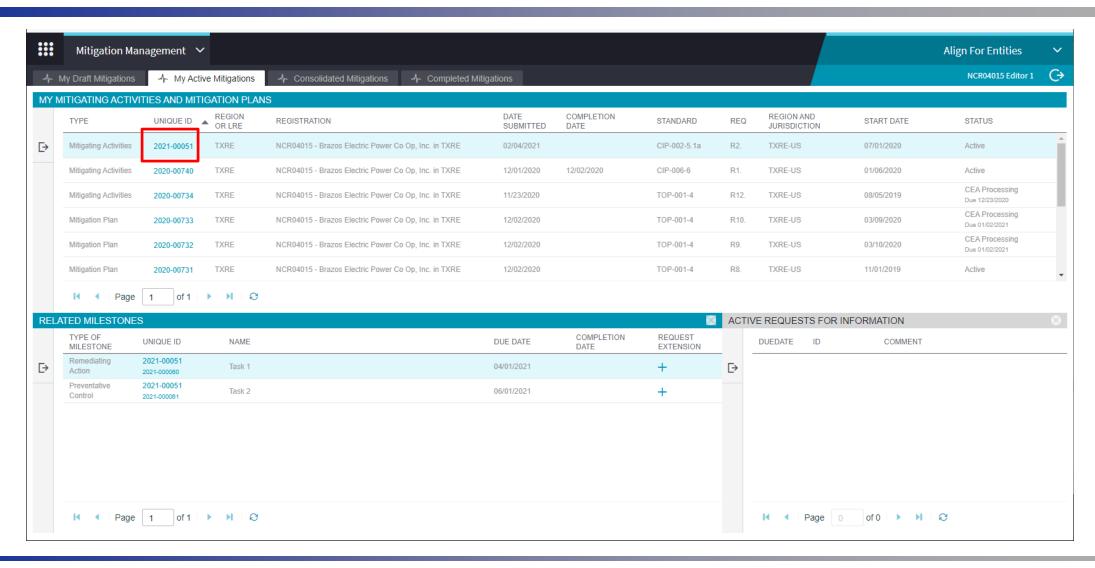
## Submit Completion of Mitigating Activities

- Brazos Electric
   Power Cooperative,
   Inc. in Texas RE
- · CIP-002-5.1a R2



#### **Mitigating Activities – Complete Milestones**







#### **Mitigating Activities – Complete Milestones**

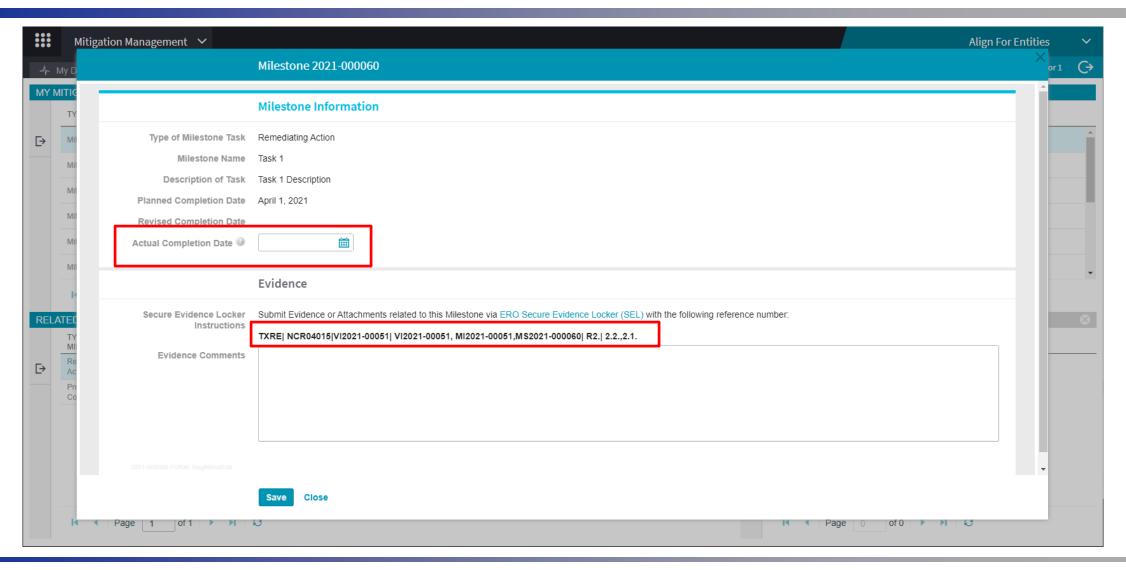


	2021-00051					
Region Review CEA Co	Results Accept mments Demonstration					
NERC Review						
NERC Co						
	Verification					
CEA Verification	n Action Complete					
Verification Co						
Shared wit	th Entity					
	Mitigation Milest	ones				
MILESTONE ID	TYPE OF MILESTONE TASK	MILESTONE NAME	PLANNED COMPLETION D	REVISED PLANNED COMP	ACTUAL COMPLETION DATE	EVIDENCE COMMENTS
2021-000060	Remediating Action	Task 1	04/01/2021	05/01/2021	02/04/2021	Demonstration
2021-000061 Preventative Control		Task 2	06/01/2021		02/04/2021	Demonstration
	Dogwoods for lafe					
	Requests for Info	rmation				
RFI ID	REC	UESTOR CONTACT	RESPONDENT	CONTACT	RESPONSE DUE BY	
			This table is empty			
Has the scop issue expanded as of these mitigation	a result					
Explan	ation Demonstration					



#### **Complete Milestones**

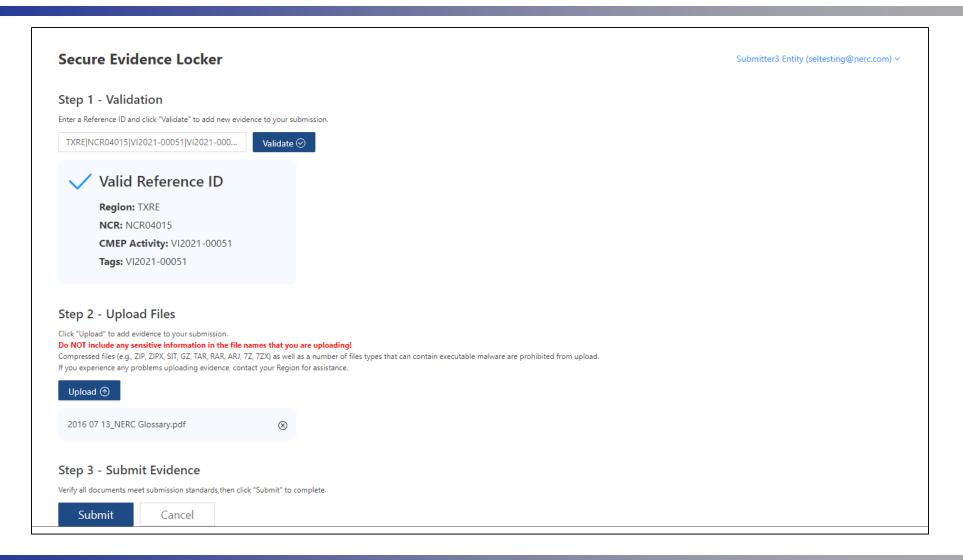






#### Mitigating Activities – Submit Evidence in SEL

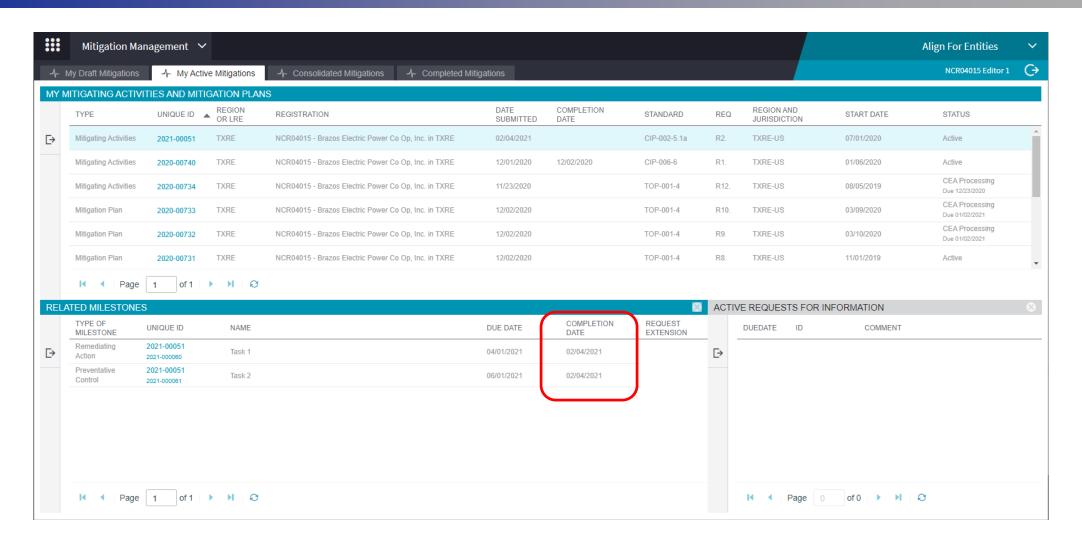






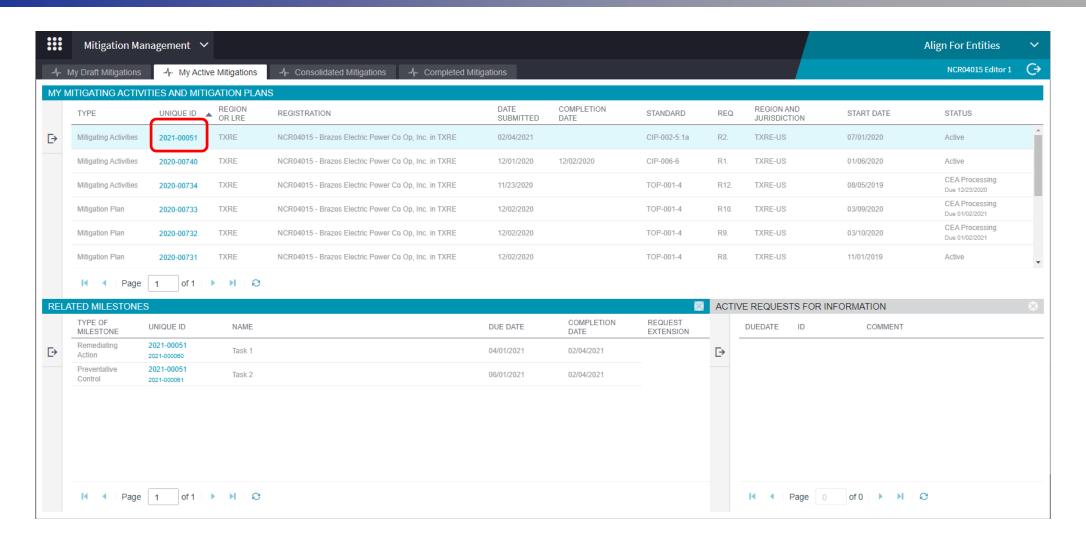
#### **Complete Milestone**





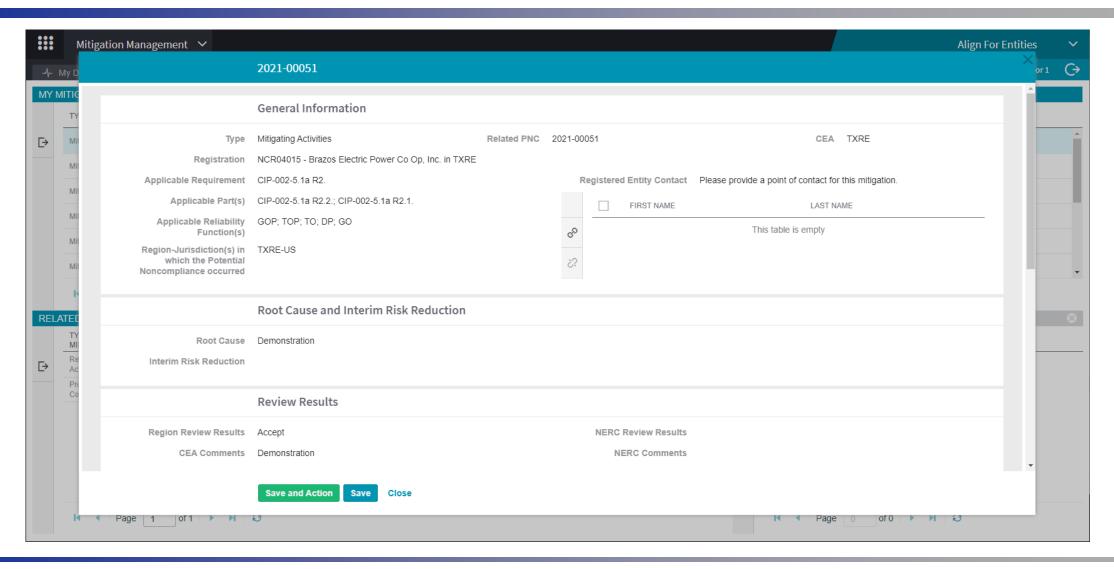






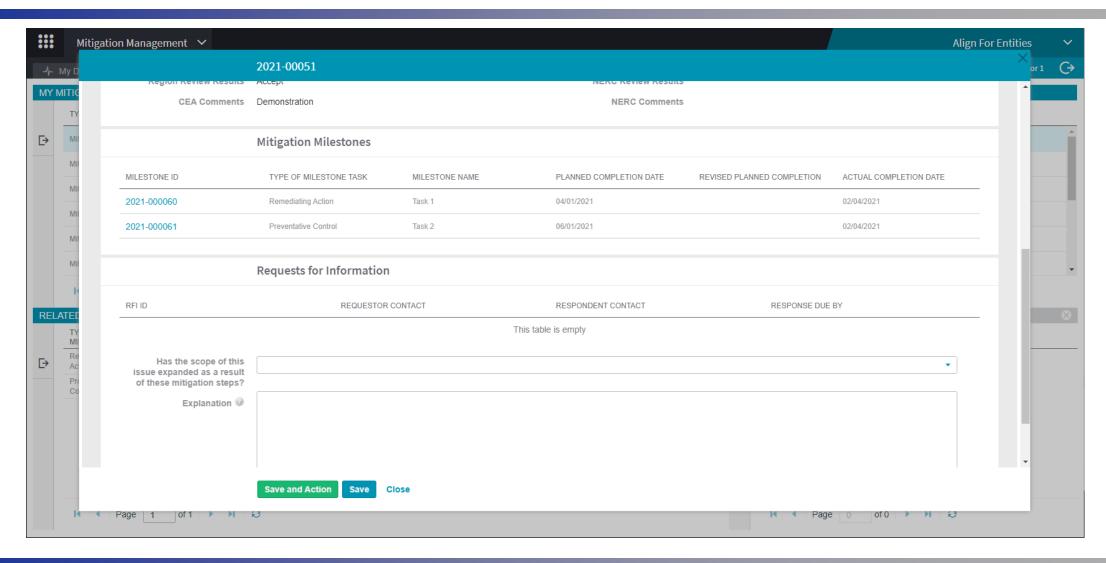






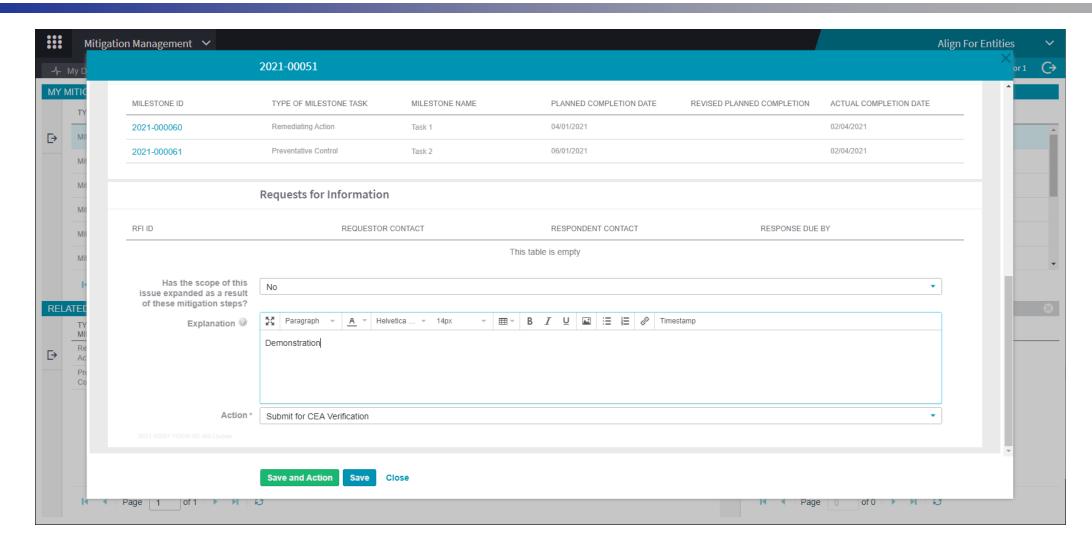














#### **Completed Mitigations**



Mitigation Man									or Entities	,
- My Draft Mitigations	-∕I₁- My Active Miti	gations 4	Consolidated Mitigations Completed Mitigations					NC	R04015 Editor 1	(
MY COMPLETED MITIGA	ATIONS									
YPE	UNIQUE ID	REGION OR LRE	REGISTRATION	STANDARD	REQ	REGION AND JURISDICTION	DATE SUBMITTED	COMPLETION DATE	STATUS	
litigating Activities	2020-00718	TXRE	NCR04015 - Brazos Electric Power Co Op, Inc. in TXRE	FAC-008-3	R3.	TXRE-US	11/17/2020		Failed Screen	
itigation Plan	2020-00719	TXRE	NCR04015 - Brazos Electric Power Co Op, Inc. in TXRE	FAC-008-3	R6.	TXRE-US	12/02/2020	12/02/2020	Complete	
itigation Plan	2020-00735	TXRE	NCR04015 - Brazos Electric Power Co Op, Inc. in TXRE	FAC-003-4	R1.	TXRE-US	11/24/2020	11/24/2020	Complete	
itigating Activities	2020-00745	TXRE	NCR04015 - Brazos Electric Power Co Op, Inc. in TXRE	EOP-005-3	R5.	TXRE-US	12/01/2020	12/01/2020	Complete	
itigating Activities	2020-00747	TXRE	NCR04015 - Brazos Electric Power Co Op, Inc. in TXRE	EOP-005-3	R7.	TXRE-US	12/01/2020	12/01/2020	Complete	
itigating Activities	2020-00748	TXRE	NCR04015 - Brazos Electric Power Co Op, Inc. in TXRE	EOP-005-3	R8.	TXRE-US	12/01/2020	12/01/2020	Complete	
itigating Activities	2020-00749	TXRE	NCR04015 - Brazos Electric Power Co Op, Inc. in TXRE	EOP-005-3	R9.	TXRE-US	12/01/2020	12/01/2020	Complete	
itigating Activities	2021-00051	TXRE	NCR04015 - Brazos Electric Power Co Op, Inc. in TXRE	CIP-002-5.1a	R2.	TXRE-US	02/04/2021	02/04/2021	Complete	1
										_





True/False: All mitigations begin as Mitigating Activities.



**True** 



#### Sli.do (#TXRE)



#### When can the registered entity submit mitigation?

- A. With the Self-Report
- **B.** After the Self-Report is submitted
- C. While the PNC is under review
- D. All of the Above







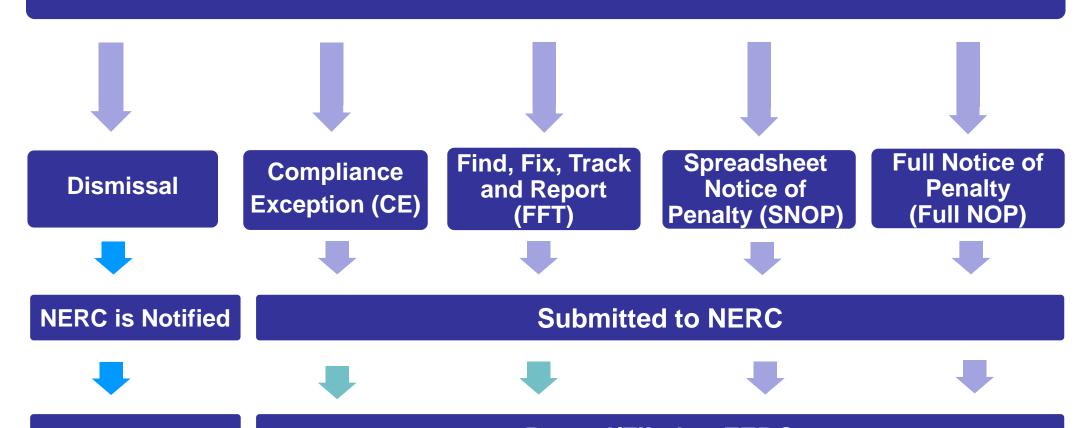
#### **VIOLATION PROCESSING TRACKS**



#### **Violation Processing Tracks**



#### Texas RE Disposes of Possible Violation



FERC is Notified

Posted/Filed to FERC



## **Process Differences: Notice of Compliance Exception (CE)**



New (Align)
Registered entity receives a
notification from Align that the CE
letter is available to be viewed in Align.
CE remains on the main Align
dashboard until it is acknowledged.



#### **Email Notification: CE**



RE has been sent a Notification (21-000224) For Your Awareness

Retention Policy Texas RE Retention Policy - Default (6 months)

WARNING: EXTERNAL SENDER. Always be cautious when clicking links or opening attachments. NEVER provide your user ID or password.

Expires 8/3/2021

ALIGN Automatic email alert

Type: Compliance Exception Letter

Noncompliance ID: 2021-00051

The Compliance Exception Letter and any corresponding attachments (if applicable) have been uploaded to the 2021-00051 record for the entity in the Align System.

To see the Compliance Exception Letter, please log into the Align system.

To access Align, go to the ERO portal, navigate to the Align landing page and click on the link to log in.

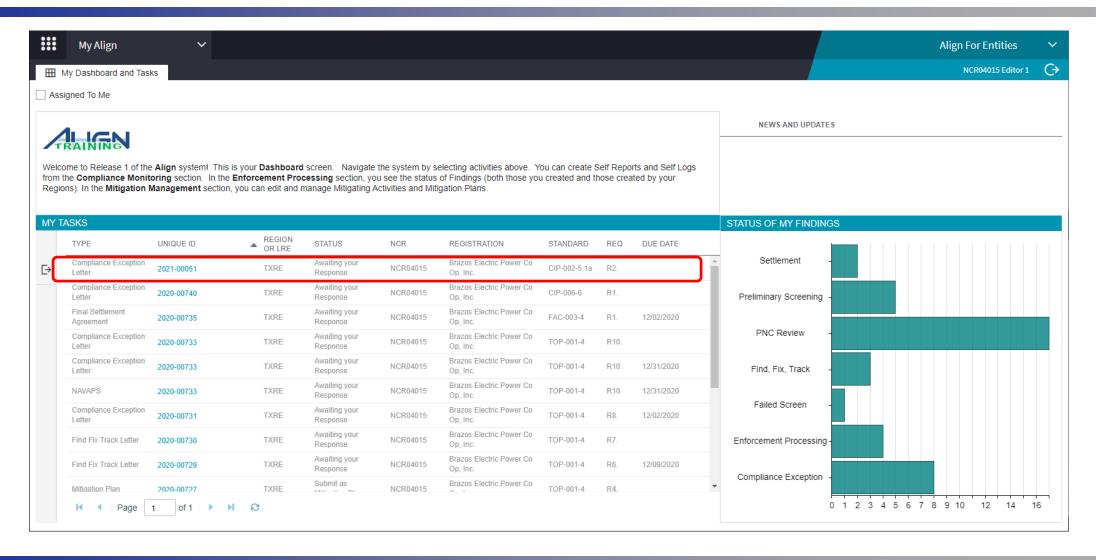
This e-mail has been generated automatically. Do not reply to this address.

Sincerely, Team Align



#### **CE Letter – My Align Dashboard**

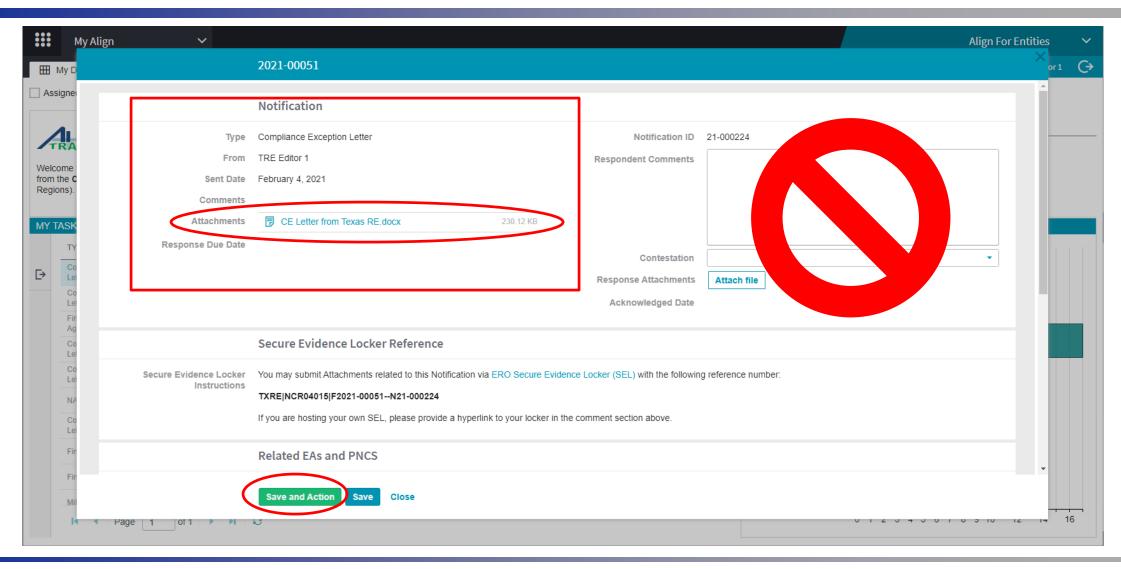






#### **CE Letter – My Align Dashboard**

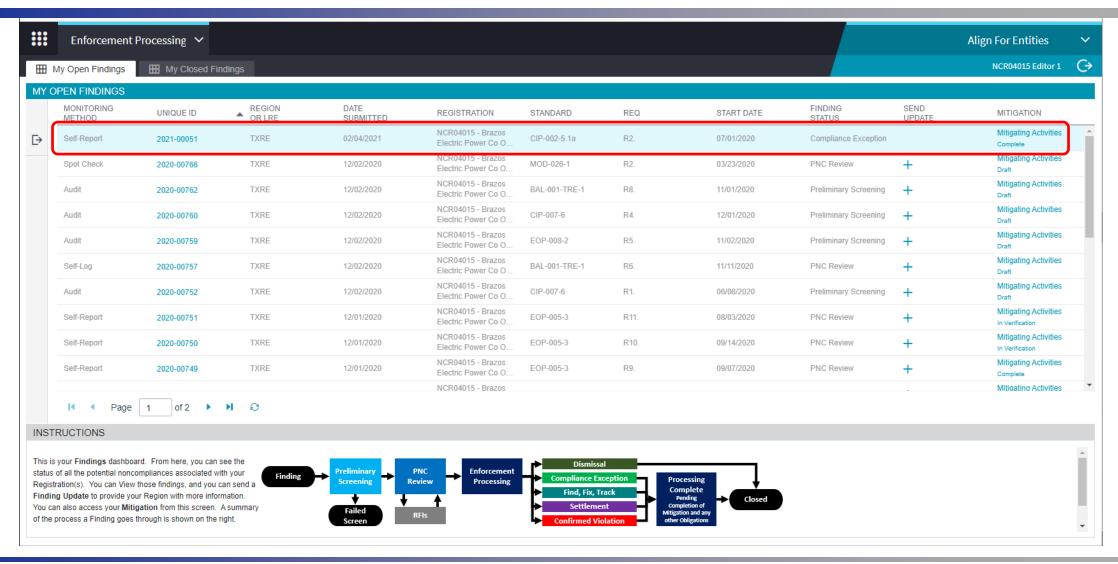






#### **CE Letter – My Open Findings**

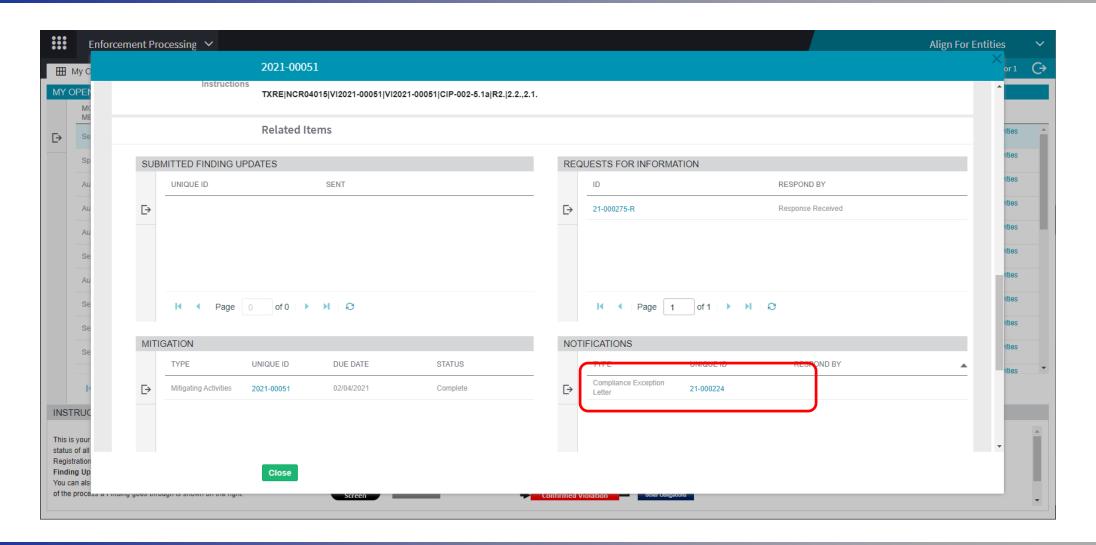






#### **CE Letter – My Open Findings – Scroll to End**









## NOTICE OF COMPLETION OF ENFORCEMENT ACTION



#### **Process Differences: Closure Notifications**



Current (webCDMS)	New (Align)
Registered entity receives a Notice	Align sends the Notice of
of Completion of Enforcement	Completion of Enforcement Action.
Action from webCDMS.	View under My Closed Findings in Align.





#### Closure

Brazos Electric
Power Cooperative,
Inc. in Texas RE
CIP-002-5.1 R1

TEXAS RE
Ensuring electric reliability for Texans

#### **My Closed Findings**



Enfor	rcement Processing	~							Align For Entities	<b>~</b>
Ⅲ My Open F	Findings My Clos	sed Findings							NCR04015 Editor 1	C
MY CLOSED F	FINDINGS UNIQUE ID	REGION OR LEE	DATE SUBMITTED	REGISTRATION	STANDARD	REQ	START DATE	FINDING STATUS	MITTYPE	
Self-Report	2021-00051	TXRE	02/04/2021	NCR04015 - Brazos Electric Power Co Op, Inc. in TXRE	CIP-002-5.1a	R2.	07/01/2020	Compliance Exception	Mitigating Activities Complete	
Self-Report	2020-00740	TXRE	12/01/2020	NCR04015 - Brazos Electric Power Co Op, Inc. in TXRE	CIP-006-6	R1.	01/06/2020	Compliance Exception	Mitigating Activities  Active	
Audit	2020-00735	TXRE	11/24/2020	NCR04015 - Brazos Electric Power Co Op, Inc. in TXRE	FAC-003-4	R1.	10/01/2019	Settlement	Mitigation Plan Complete	
Self-Report	2020-00733	TXRE	11/23/2020	NCR04015 - Brazos Electric Power Co Op, Inc. in TXRE	TOP-001-4	R10.	03/09/2020	Compliance Exception	Mitigation Plan CEA Processing	
Self-Report	2020-00731	TXRE	11/23/2020	NCR04015 - Brazos Electric Power Co Op, Inc. in TXRE	TOP-001-4	R8.	12/02/2019	Compliance Exception	Mitigation Plan Active	
Self-Report	2020-00730	TXRE	11/23/2020	NCR04015 - Brazos Electric Power Co Op, Inc. in TXRE	TOP-001-4	R7.	07/06/2020	Find, Fix, Track	Mitigation Plan Active	
Self-Report	2020-00729	TXRE	11/23/2020	NCR04015 - Brazos Electric Power Co Op, Inc. in TXRE	TOP-001-4	R6.	05/05/2020	Find, Fix, Track	Mitigating Activities In Verification	
Self-Report	2020-00728	TXRE	11/23/2020	NCR04015 - Brazos Electric Power Co Op, Inc. in TXRE	TOP-001-4	R5.	02/10/2020	Compliance Exception	Mitigation Plan Active	
Self-Report	2020-00726	TXRE	11/23/2020	NCR04015 - Brazos Electric Power Co Op, Inc. in TXRE	TOP-001-4	R3.	05/04/2020	Compliance Exception	Mitigation Plan Active	
Self-Report	2020-00725	TXRE	11/23/2020	NCR04015 - Brazos Electric Power Co Op, Inc. in TXRE	TOP-001-4	R1.	05/06/2020	Find, Fix, Track	Mitigation Plan In Verification	
Self-Report	2020-00718	TXRE	11/17/2020	NCR04015 - Brazos Electric Power Co Op, Inc. in TXRE	FAC-008-3	R3.	06/09/2020	Failed Screen	Mitigating Activities Failed Screen	
I ◆ Pag	e 1 of 1 •	N B								



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#### What notice letters will be saved in Align?

- A. Dismissal
- **B.** Compliance Exception
- C. Find, Fix, and Track
- D. All of the Above





#### **Next Steps**



February – March:
Obtain Access to
Align

March 31: Align and SEL Go-live





#### **Hands-on Mini Sessions**



#### Description:

- Hands-on experience with Align and ERO SEL
- Most helpful for submitter role
- Limited to 10 attendees
- By request only. Must register in advance!

#### Dates:

Every Wednesday in March and April by request from 12pm –
 4pm

#### Register on Texas RE's Align page

Registration Link



#### Training Resources: <a href="https://training.nerc.net">https://training.nerc.net</a>



- Registered Entity Videos 18
  - Introduction, Self-Logging & Self-Reporting, Mitigation, and the SEL
- Resources
  - Align
    - Registered Entity User Access Guide
    - Registered Entity User Guide
    - Registered Entity Start Stop Continue Guide
    - Registered Entity Support Process
    - ALL Align R1 Business Process Harmonization Summary
    - ALL Process Flows and Reference Guides
    - ALL MFA User Guide
  - SEL: Registered Entity SEL Portal User Guide



#### **Questions?**





