TEXAS RE

Ensuring electric reliability for Texans

ALIGN

Align Release 3 ERO SEL Training

Align Training Team:

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Agenda

Align and ERO SEL Overview

- Access and Permissions

Engagements: Audits/Spot-Checks

- Review Scheduled Engagements
- Review Assigned Resources
- Review Audit Notification Packet
- Process Working Papers
- Request for Information (RFI)
- View Reports
- Email Notifications

NERC Help Desk / FootPrints Tickets

ERO Secure Evidence Locker (SEL) Functionality

What is Align?

An ERO Enterprise common platform developed to support compliance monitoring and enforcement (CMEP) activities and business processes.

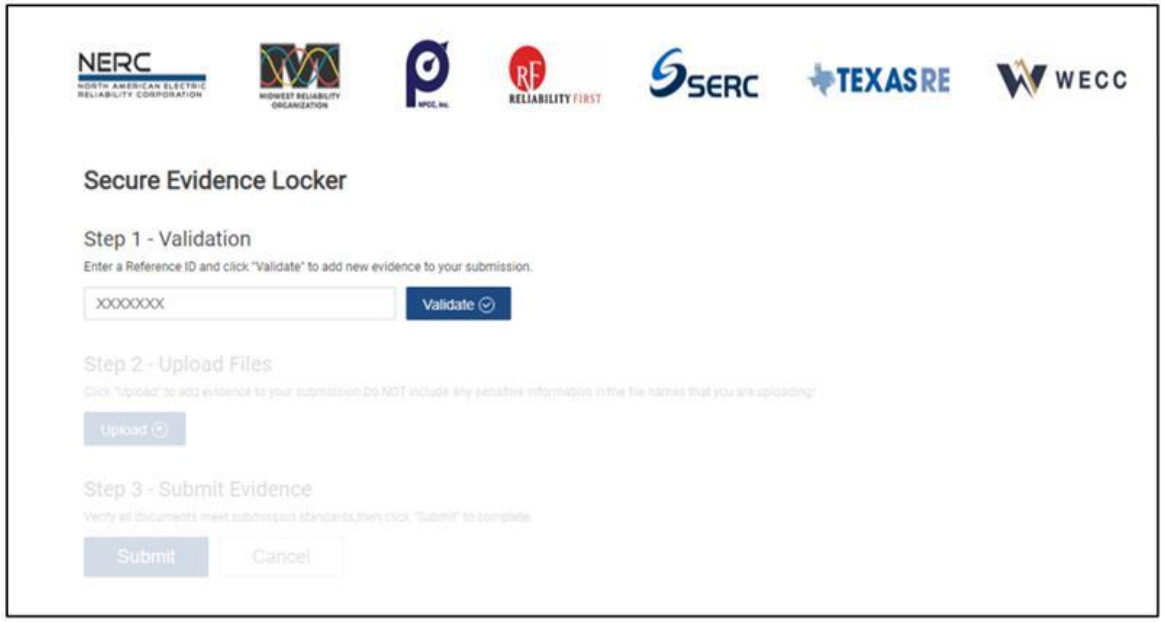
The tool provides a standardized and consistent interface for entities conducting CMEP activities.

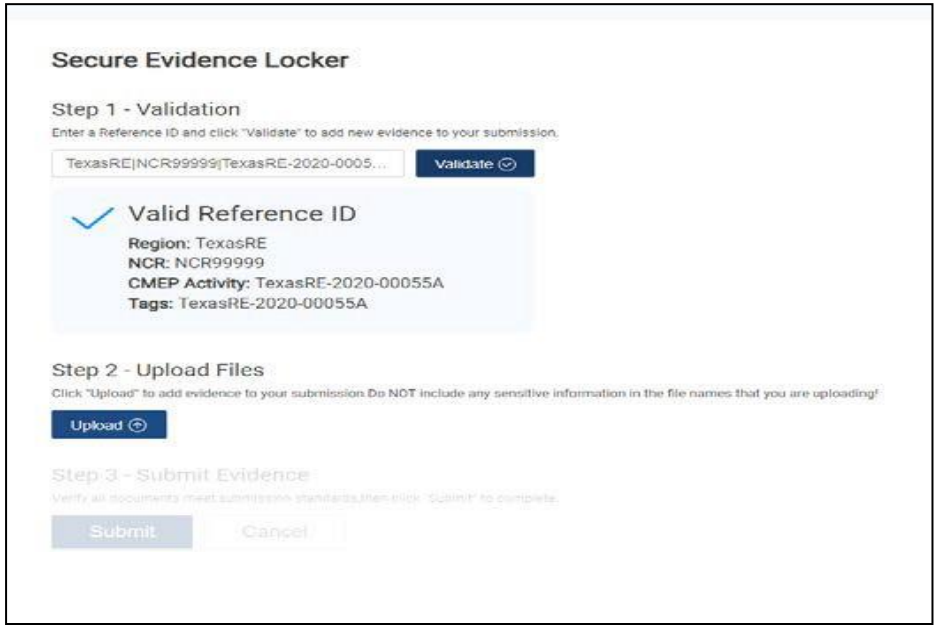
The Align rollout consists of four releases with full implementation by the end of 2022.

What is the ERO SEL?

ERO Secure Evidence Locker (ERO SEL)

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





Go Live: Align Release 3 and ERO SEL

Audits

Spot-Checks

Audit Planning and Scheduling

ERO Secure Evidence Locker

Align Access and Permission Roles

Access for Align and ERO SEL: ERO Portal Required

The Primary Compliance Contact (PCC) MUST have an ERO Portal Account (Registered Entities: User Access Guide)

- **Set up ERO Portal Account:**
  - Navigate to https://eroportal.nerc.net.
  - Select “Register” in the upper left-hand corner.
  - Complete the registration form and click “Submit.”
- **Verify ERO Portal Account:**
  - Navigate to https://eroportal.nerc.net.
  - Select “Sign In” in the upper left-hand corner.
  - Enter your credentials to confirm access to ERO Portal.

NOTE: Submitter Access changes may take up to 24 hours to take effect!

Permission Roles: Align

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.

Registered Entity Accounts

Access Request

- Registered entity user requests access level to Align

Access Approval

- Registered entity PCC reviews and approves access request

Access Verification

- Registered entity user verifies access. **Note**: Access changes take effect the next day.

Permission Roles: ERO SEL

ERO SEL Submitter Role

- All PCCs and Align Submitter roles have been provided ERO SEL Submitter role
- In the event PCC changes, the new designated PCC will be provided ERO SEL Submitter role access
- To gain ERO SEL access, submit ticket to NERC's Help Desk / FootPrints (https://support.nerc.net/)
  - Routed to Texas RE staff
  - Texas RE staff will confirm with PCC user's request
  - Escalate to NERC to enable SEL Submitter role

Slido Question

When does Release 3 go live in the Texas RE region?

A. May 2022
B. April 2022
C. July 2022
D. None of the above

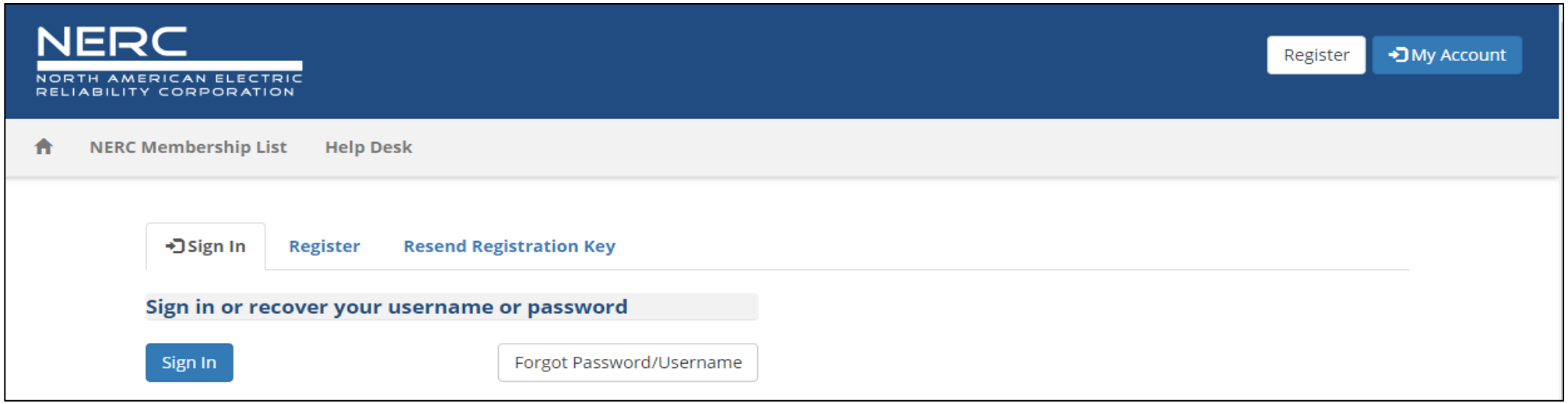
Log into Align

ERO Portal log in

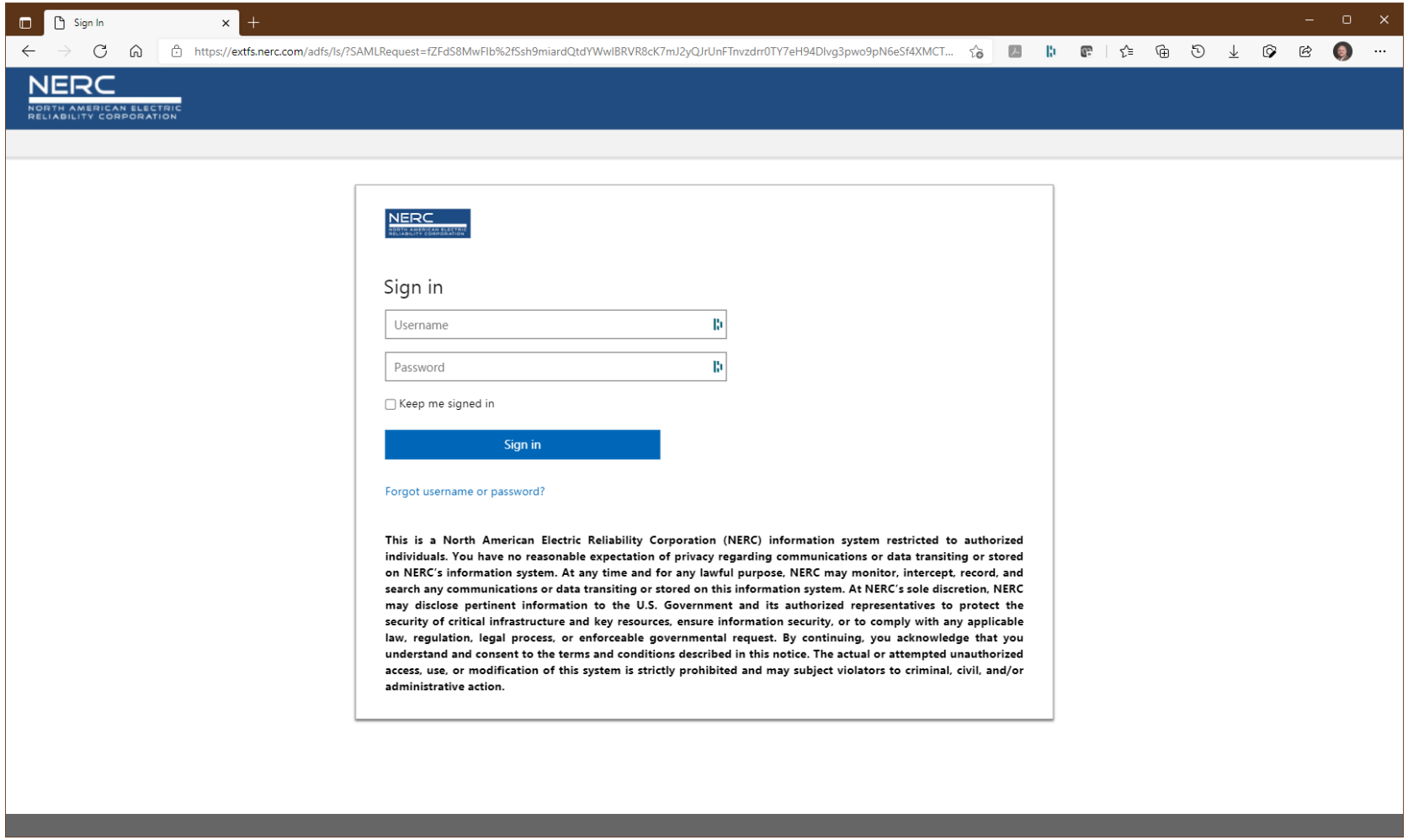
- https://eroportal.nerc.net > My Account

Reset password or retrieve username

Help Desk ticket



Accessing Align

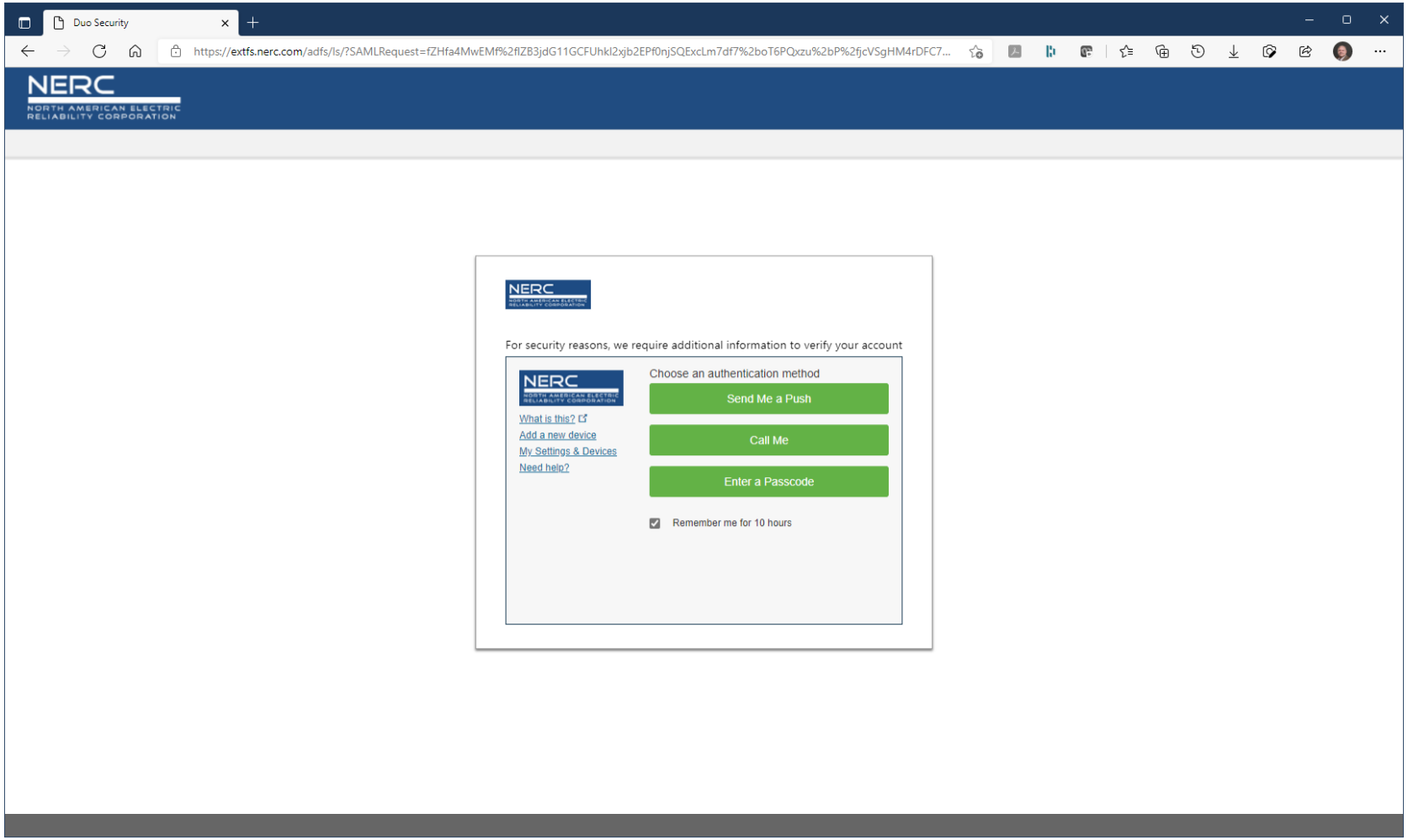


ENTITY staff should access Align from the ERO Portal using their ERO Portal credentials

Enter ERO Portal username

Enter ERO Portal password

Accessing Align



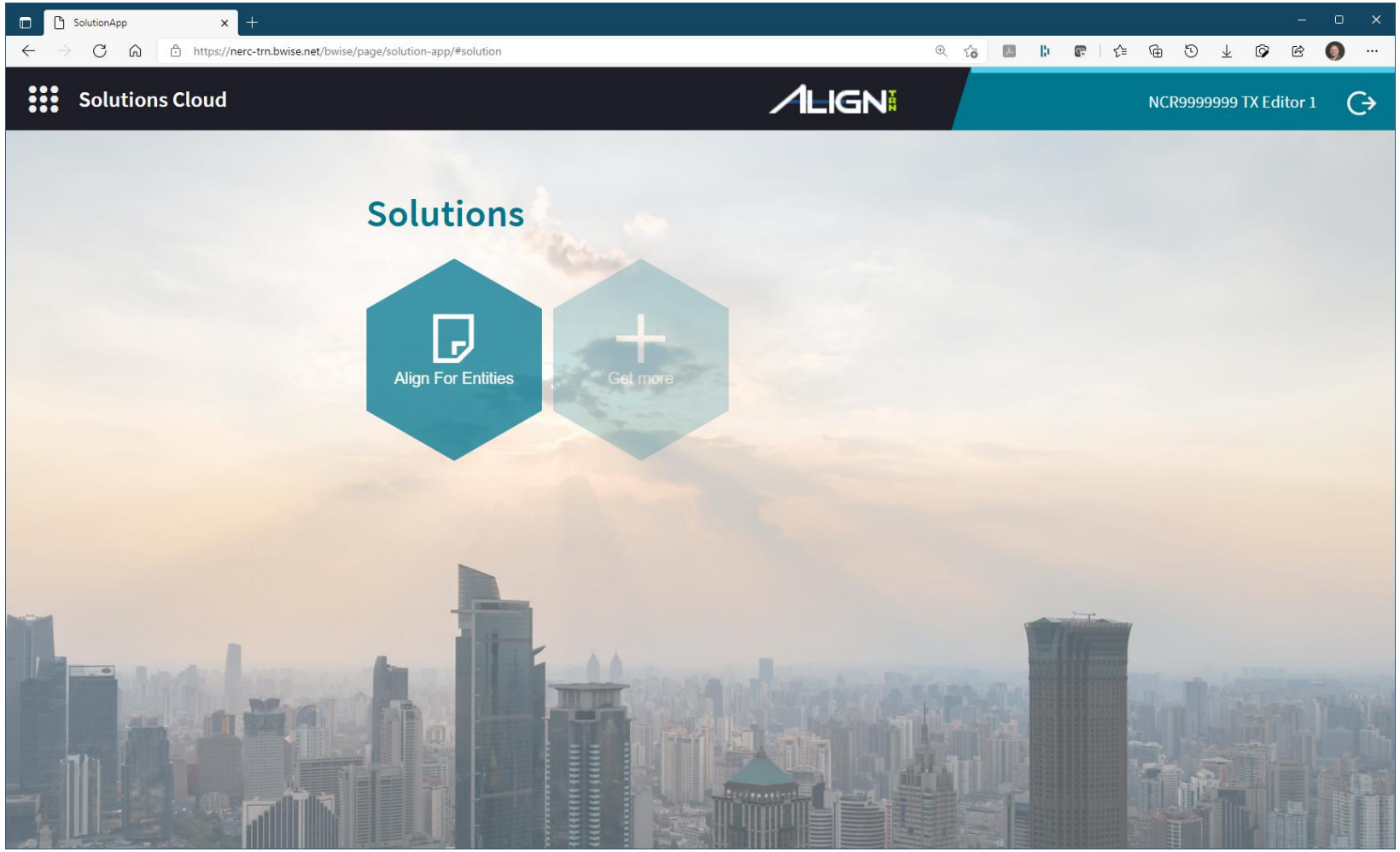
ENTITY staff will need to complete 2-Factor Authentication in DUO app to access Align

Slido Question

What multi-factor app does Align use to authenticate users?

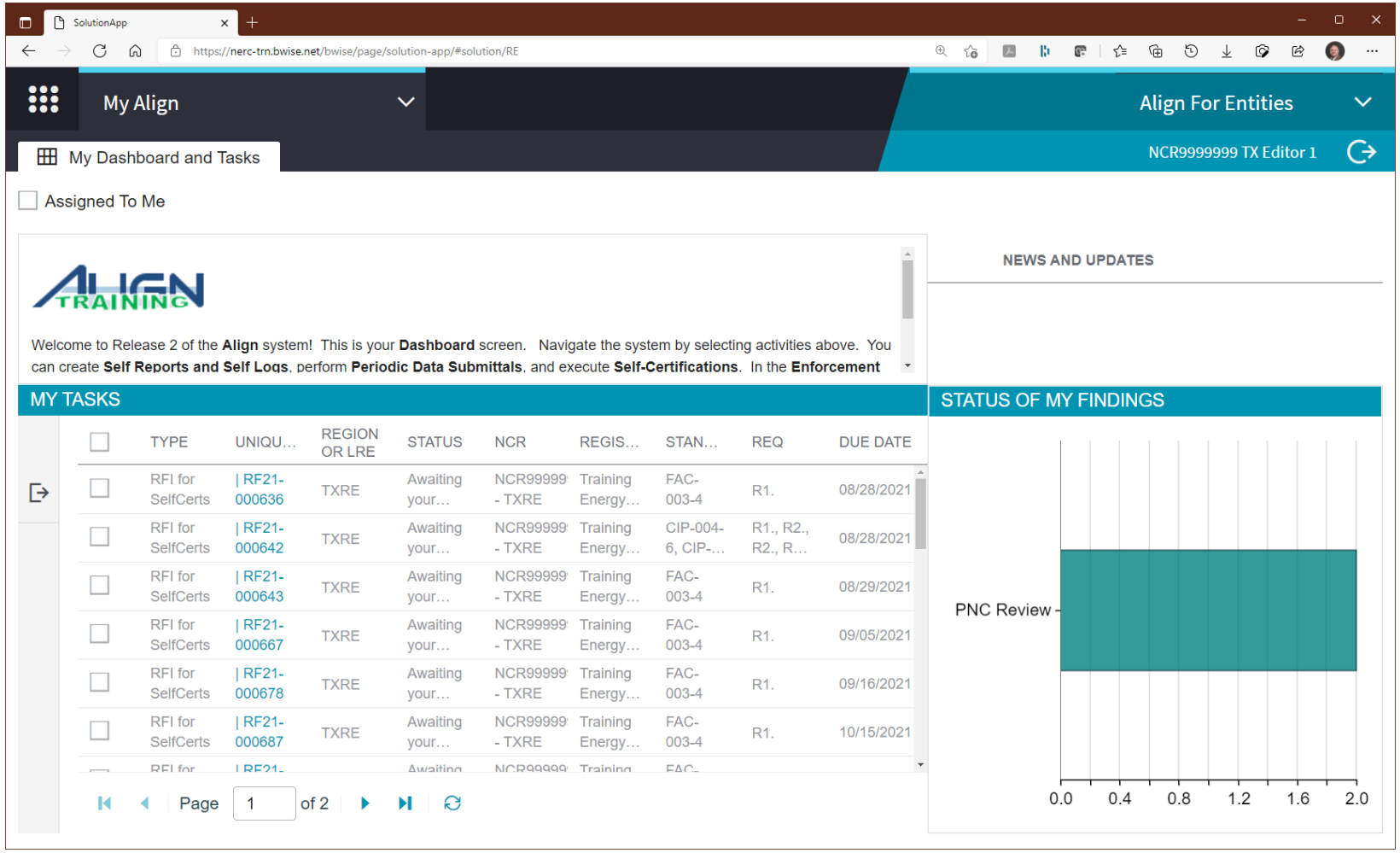
A. Google Authenticator
B. Authy
C. RSA Authentication Manager
D. DUO

Accessing Align



Landing page

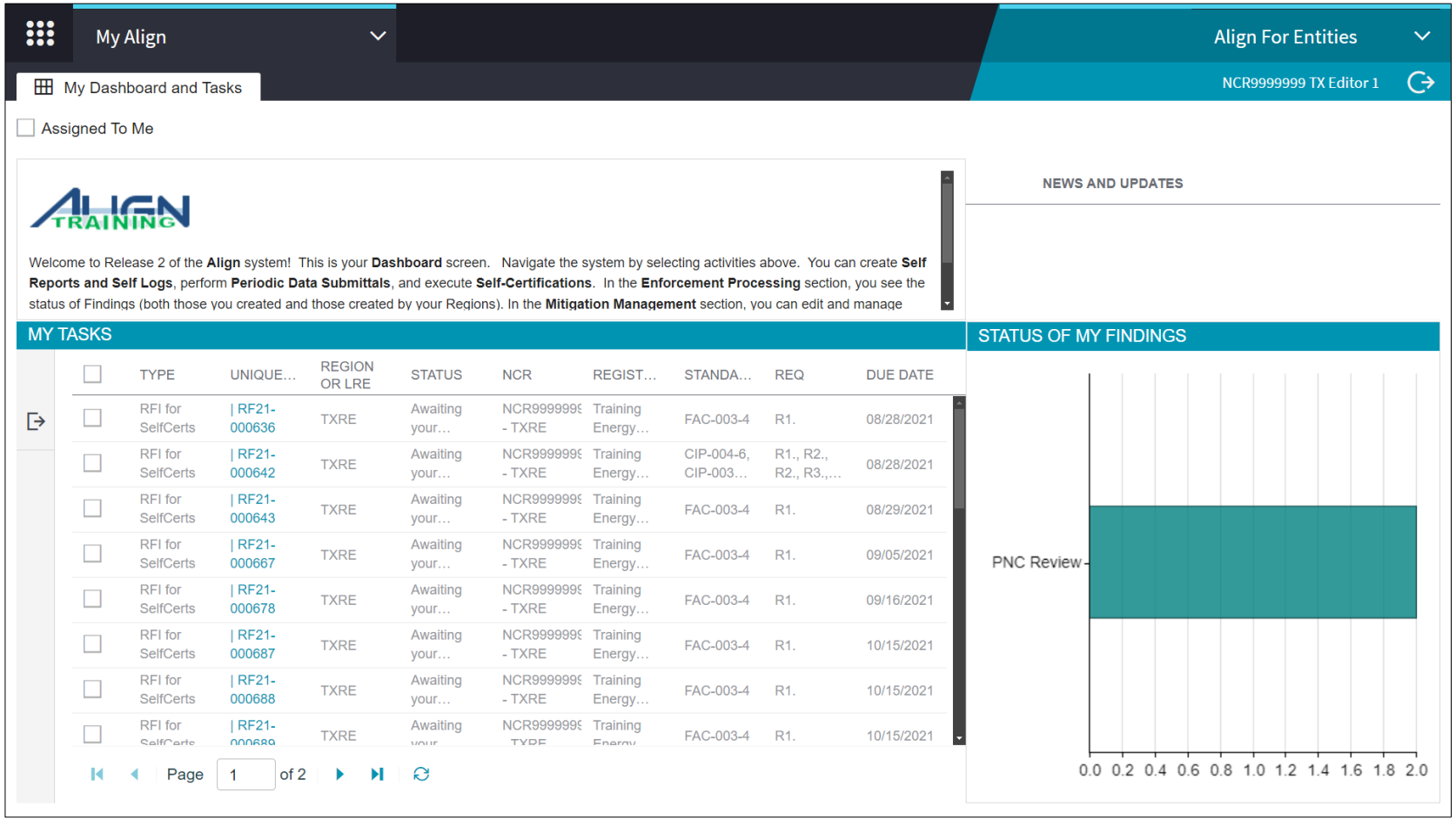
Accessing Align



Dashboard

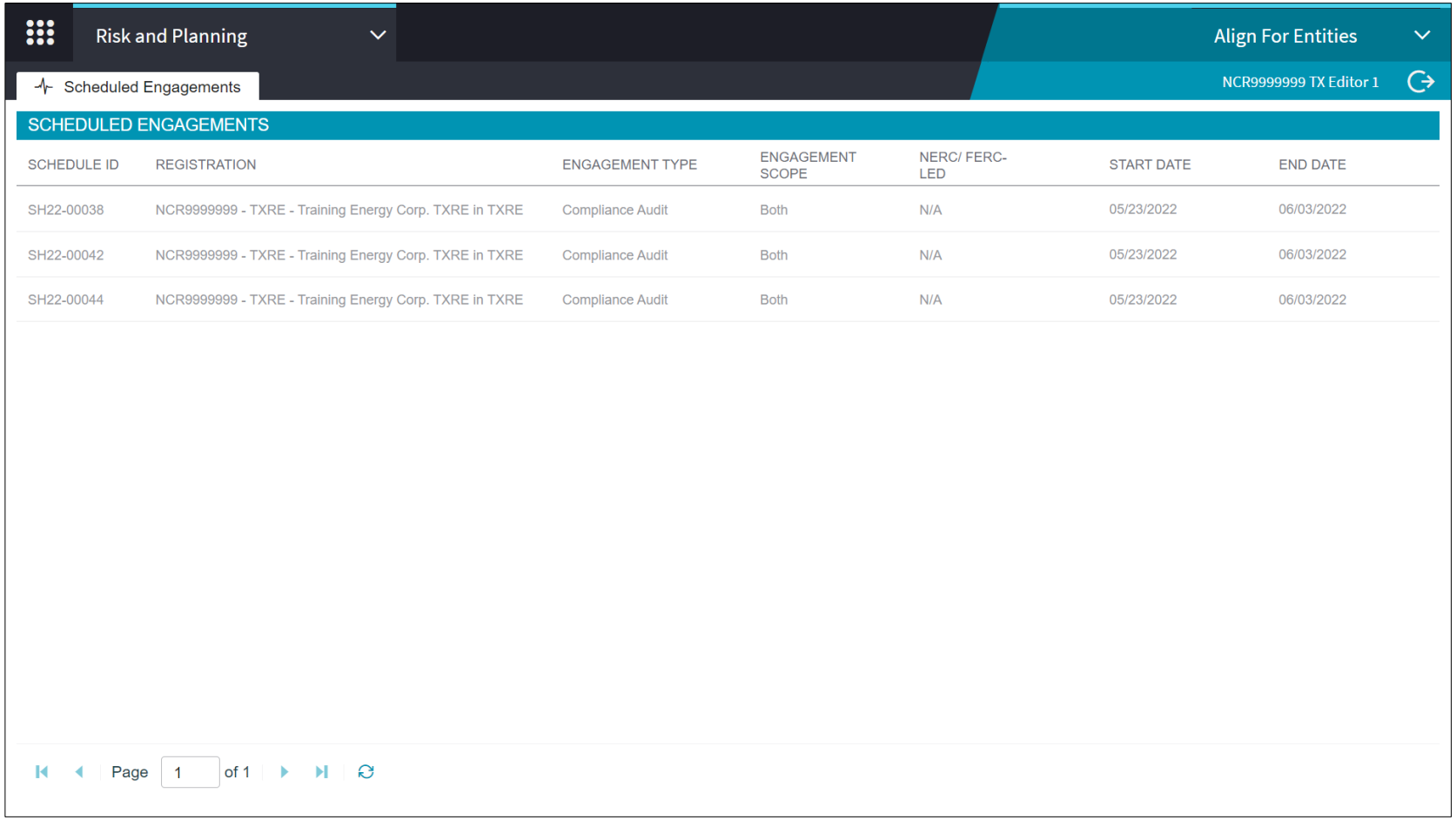
Reviewing a Scheduled Engagement

Reviewing a Scheduled Engagement



From *My Align* drop-down list, select *Risk and Planning* to review details about scheduled engagements

Reviewing a Scheduled Engagement



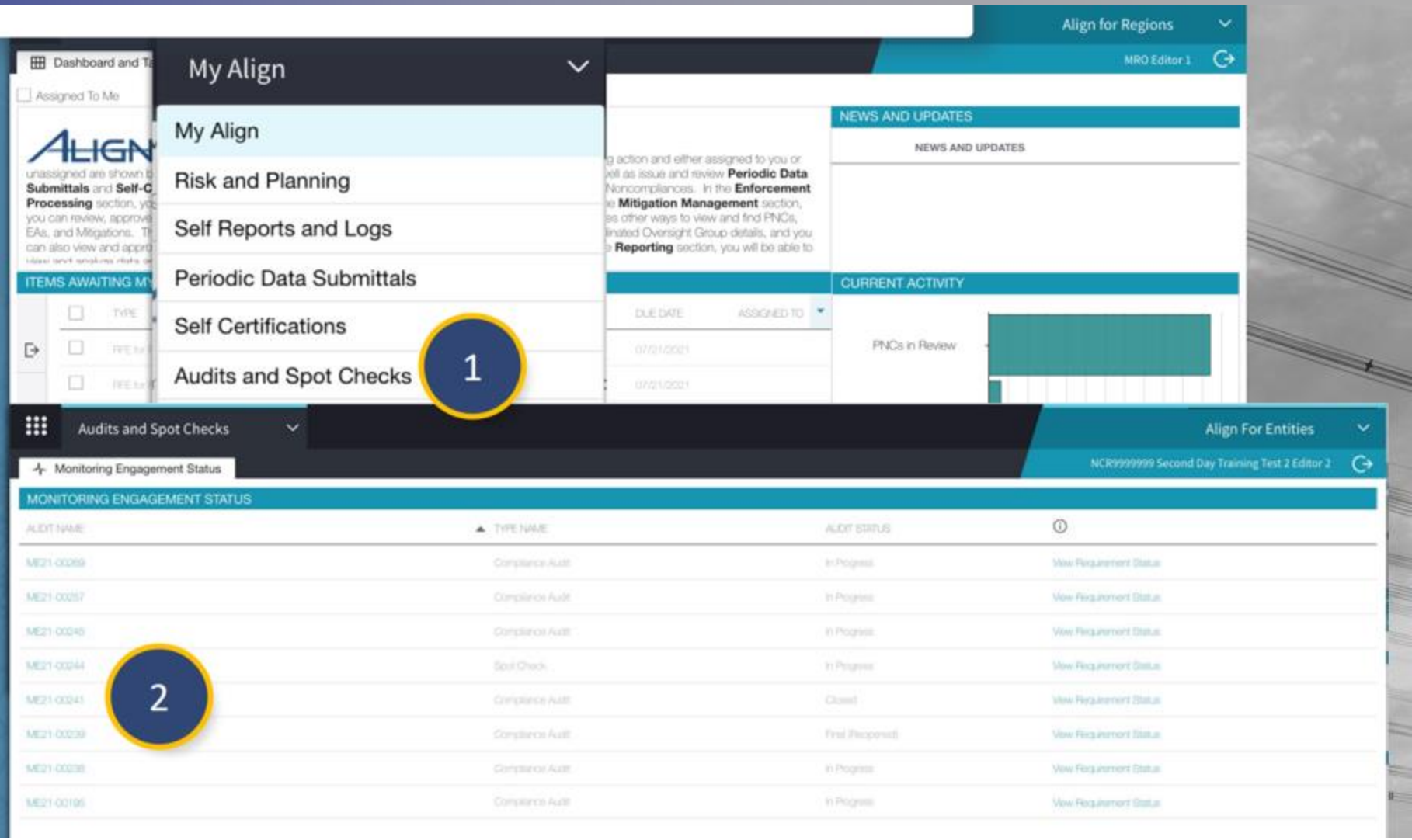
Risk and Planning > Scheduled Engagements

Reviewing Assigned Resources

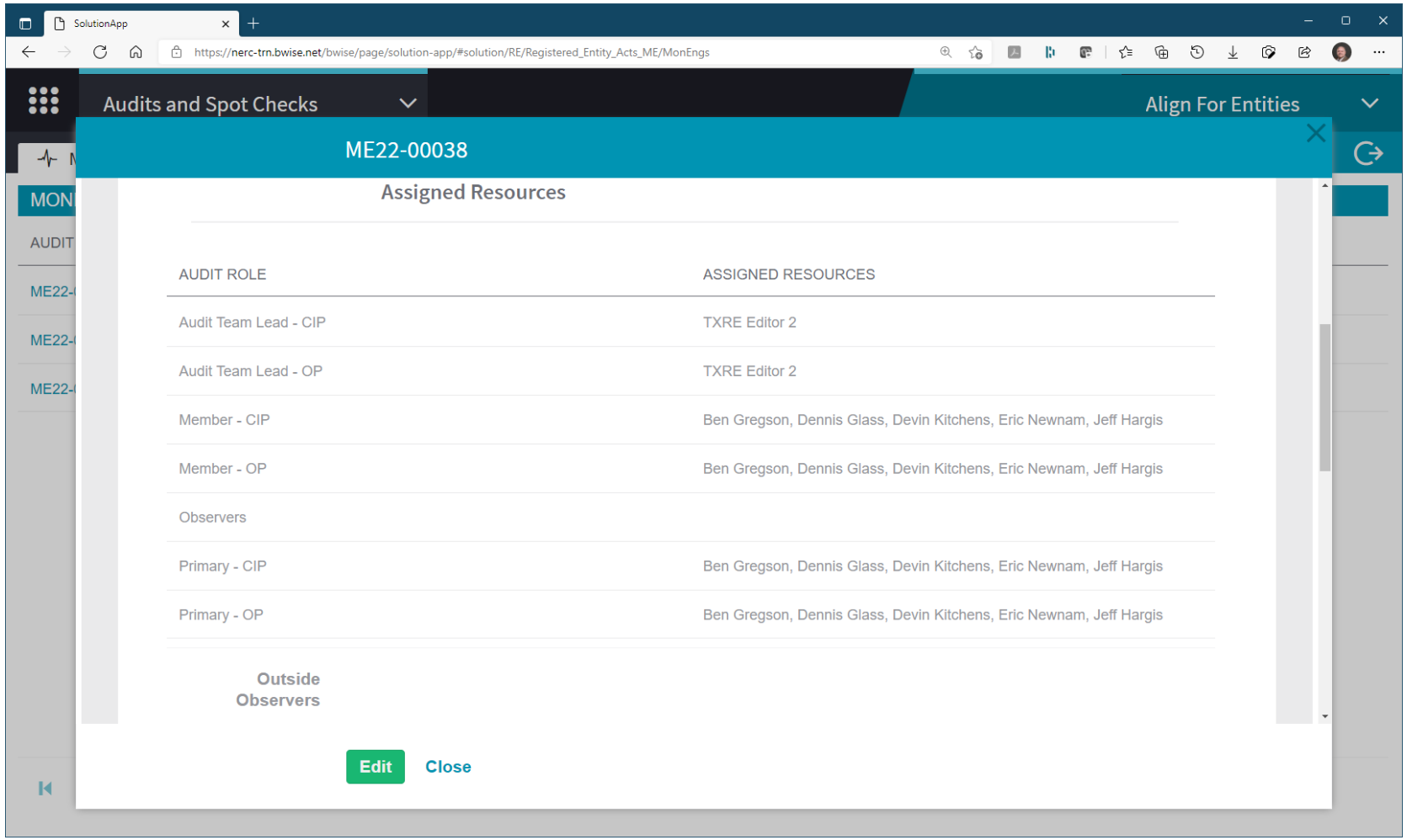
Reviewing Assigned Resources

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**



Reviewing Assigned Resources

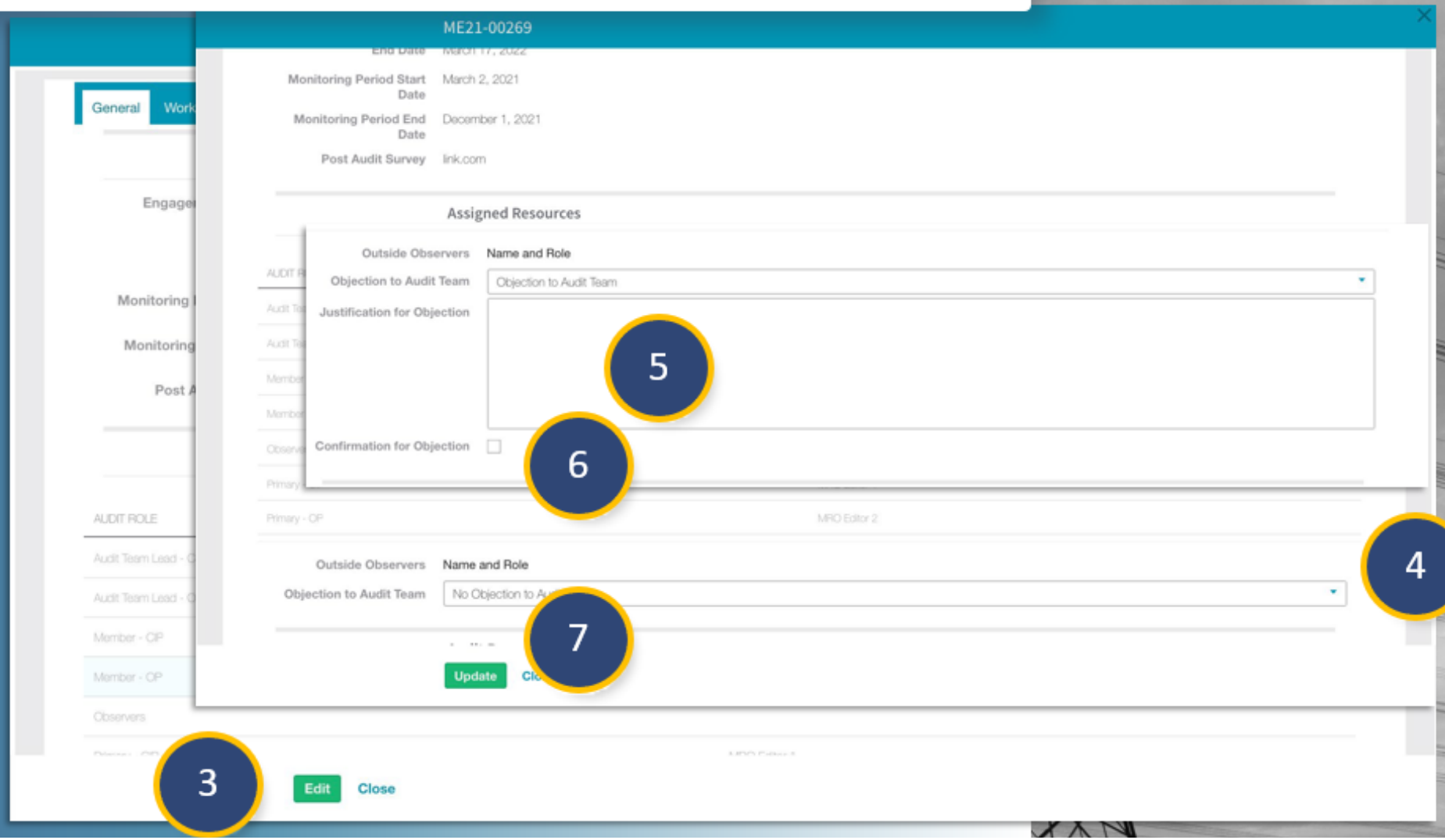


Audits and Spot Checks > Monitoring Engagement Status

Scroll down to "Assigned Resources" section

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**

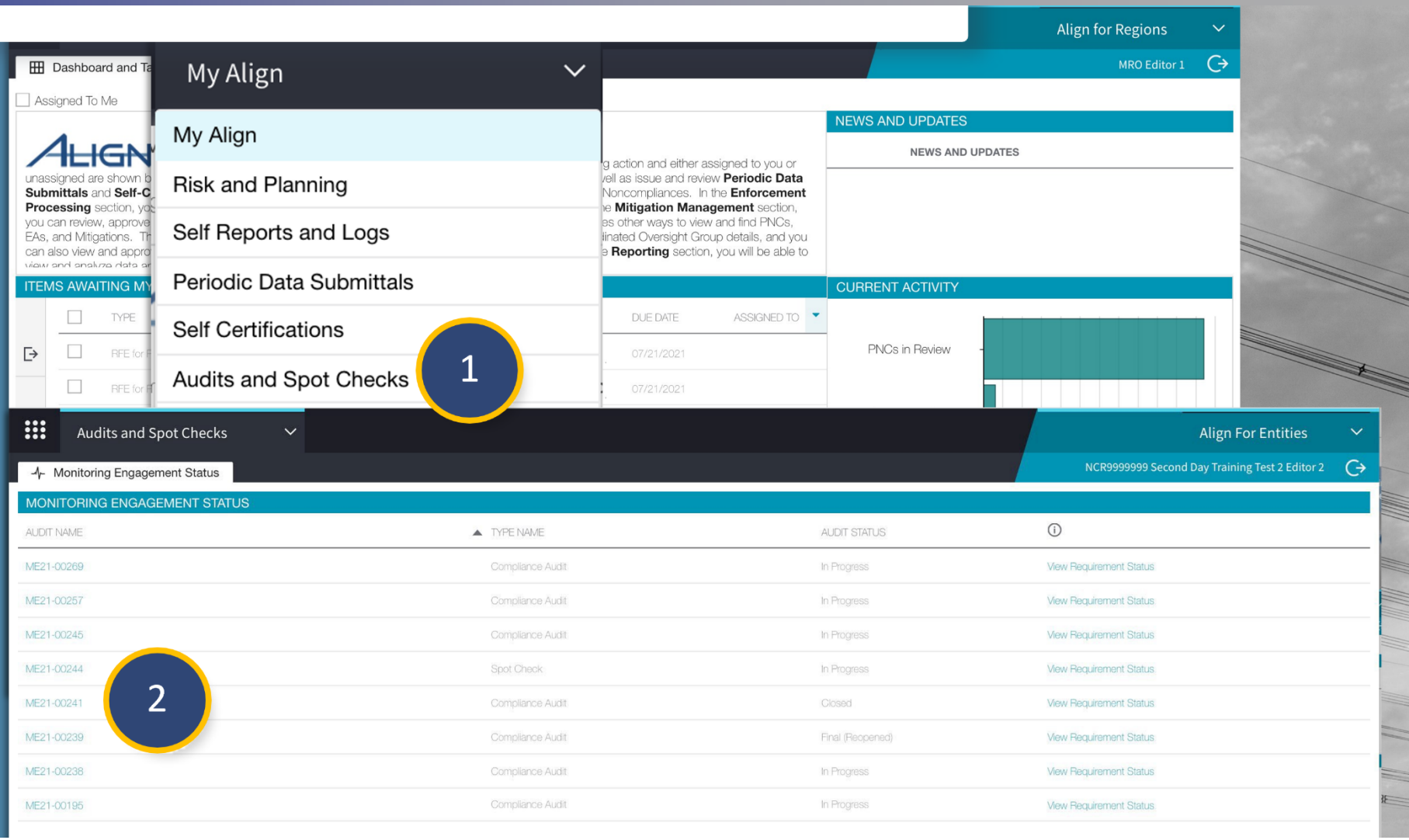


Reviewing the Audit Notification Packet

Reviewing the Audit Notification Package

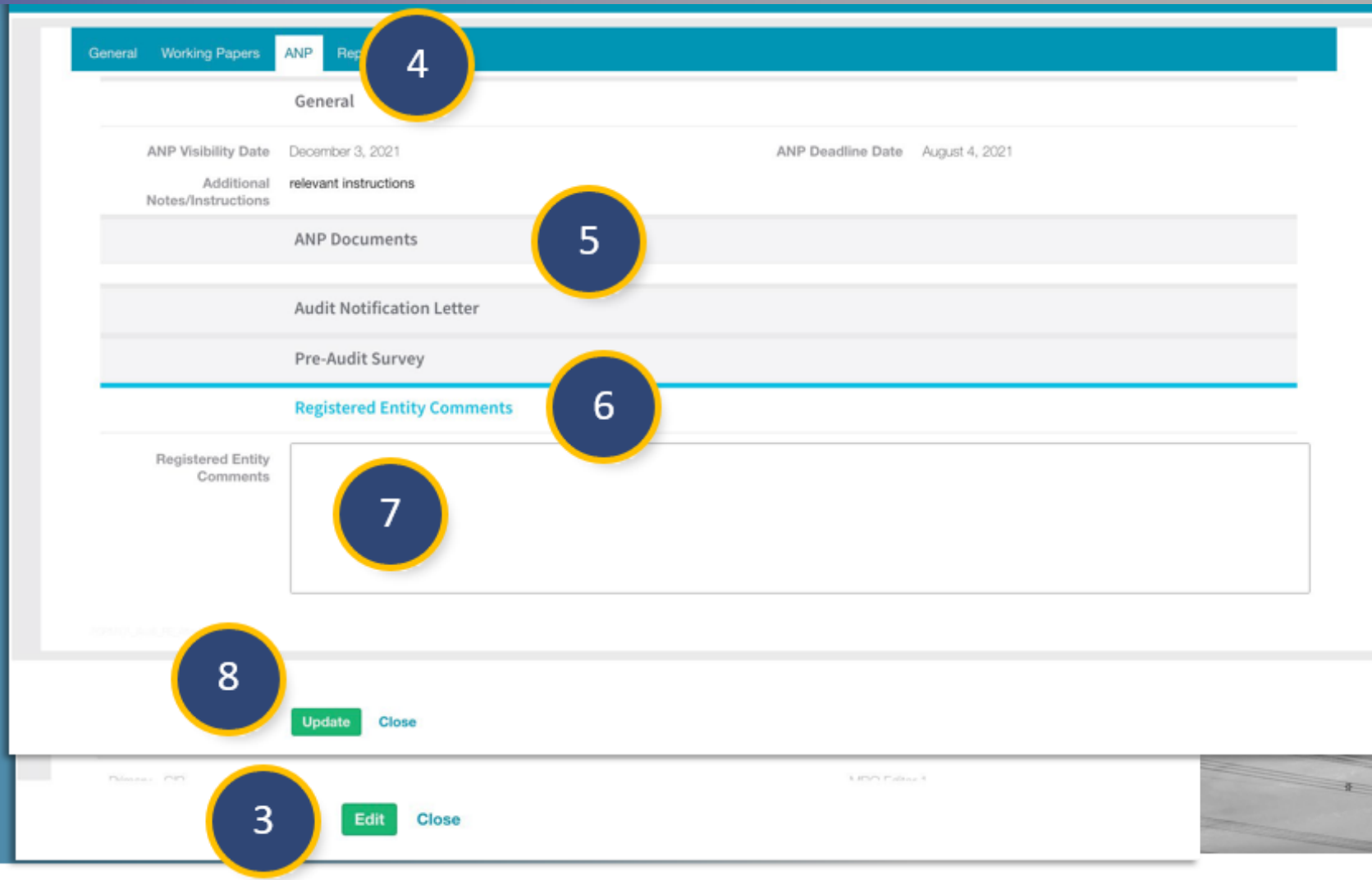
To view the Audit Notification Packet and add Entity comments:

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



Reviewing the Audit Notification Package

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

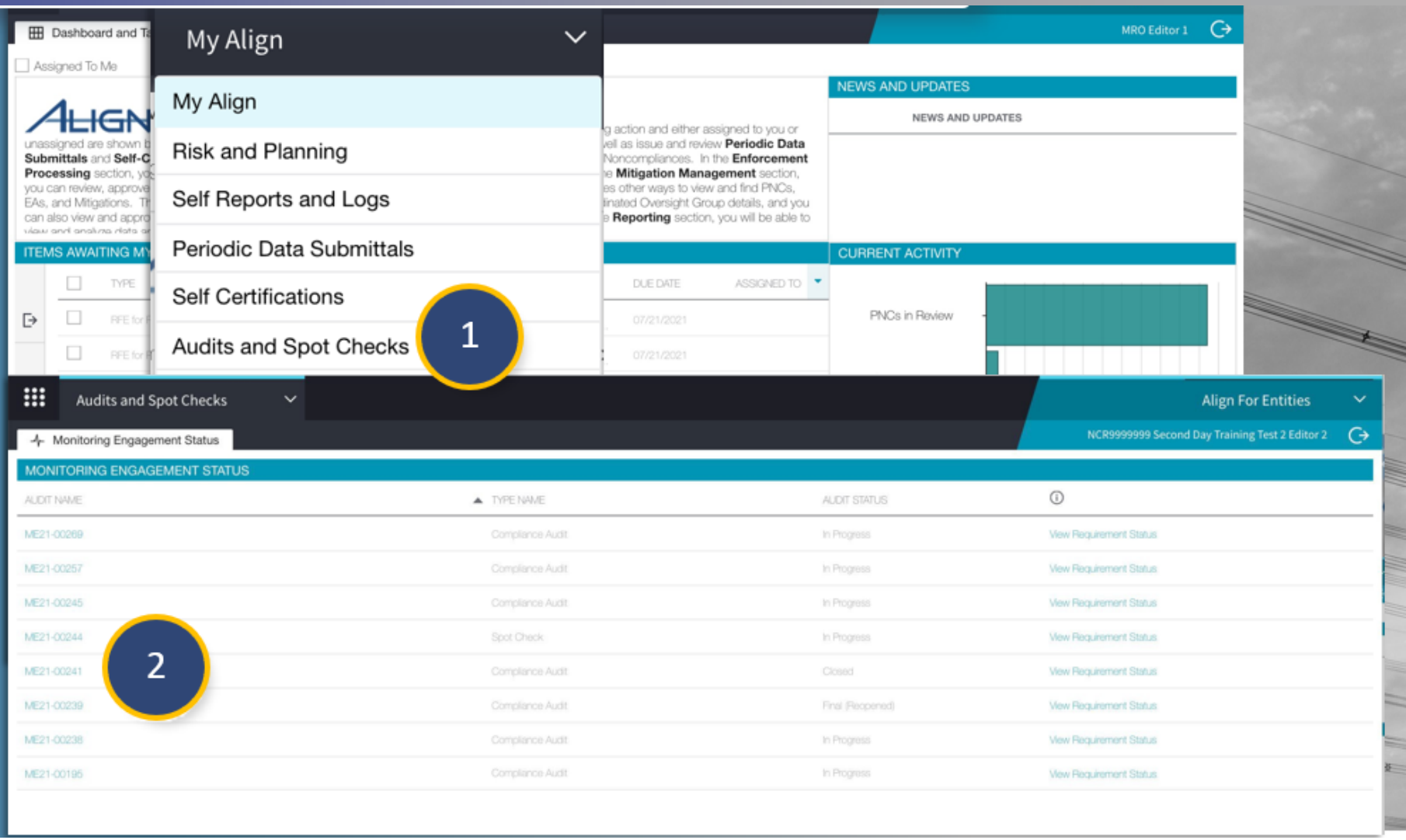


Process
Working Papers

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**



Working Papers

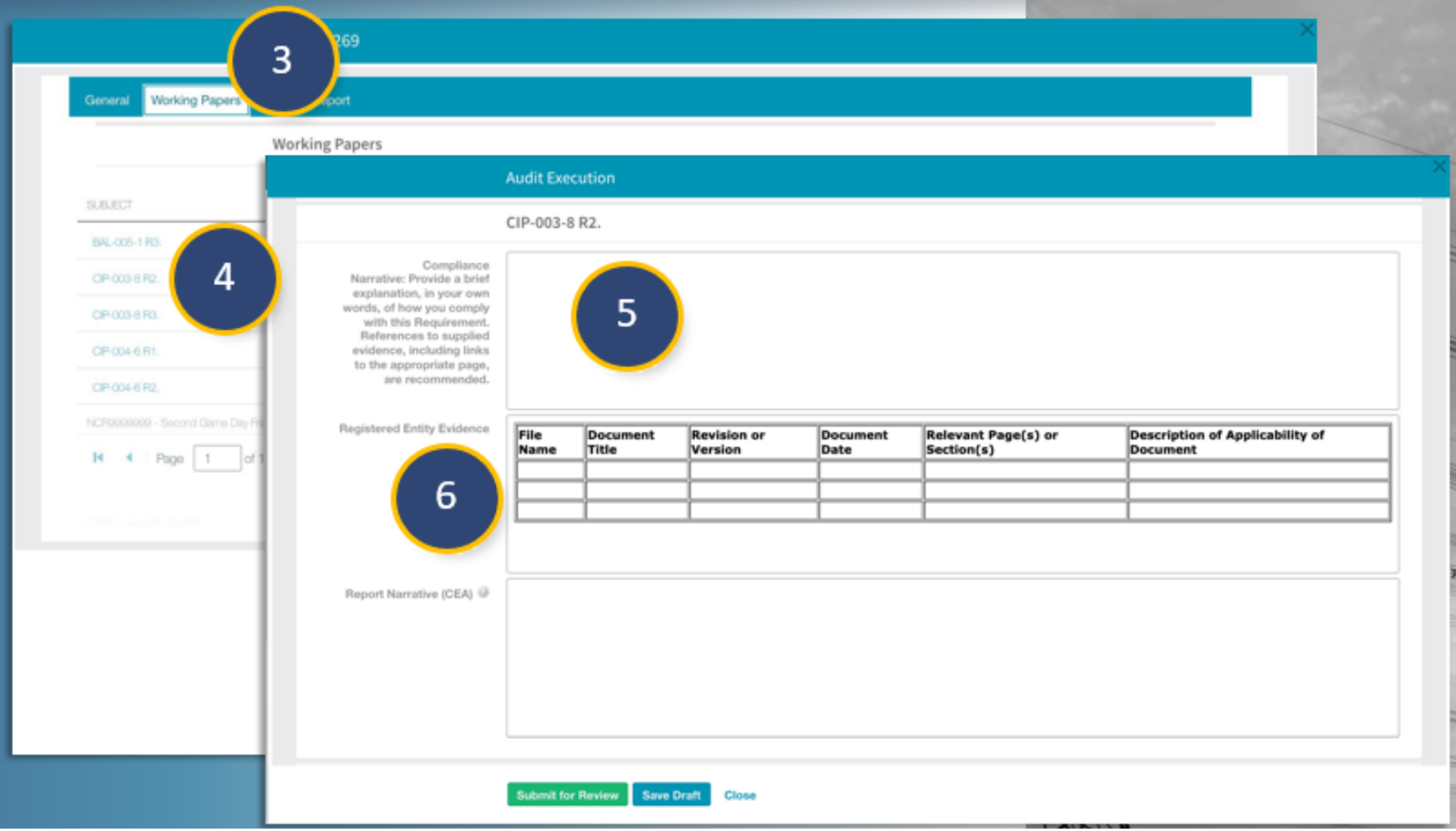
3. Select the **Working Papers tab**

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

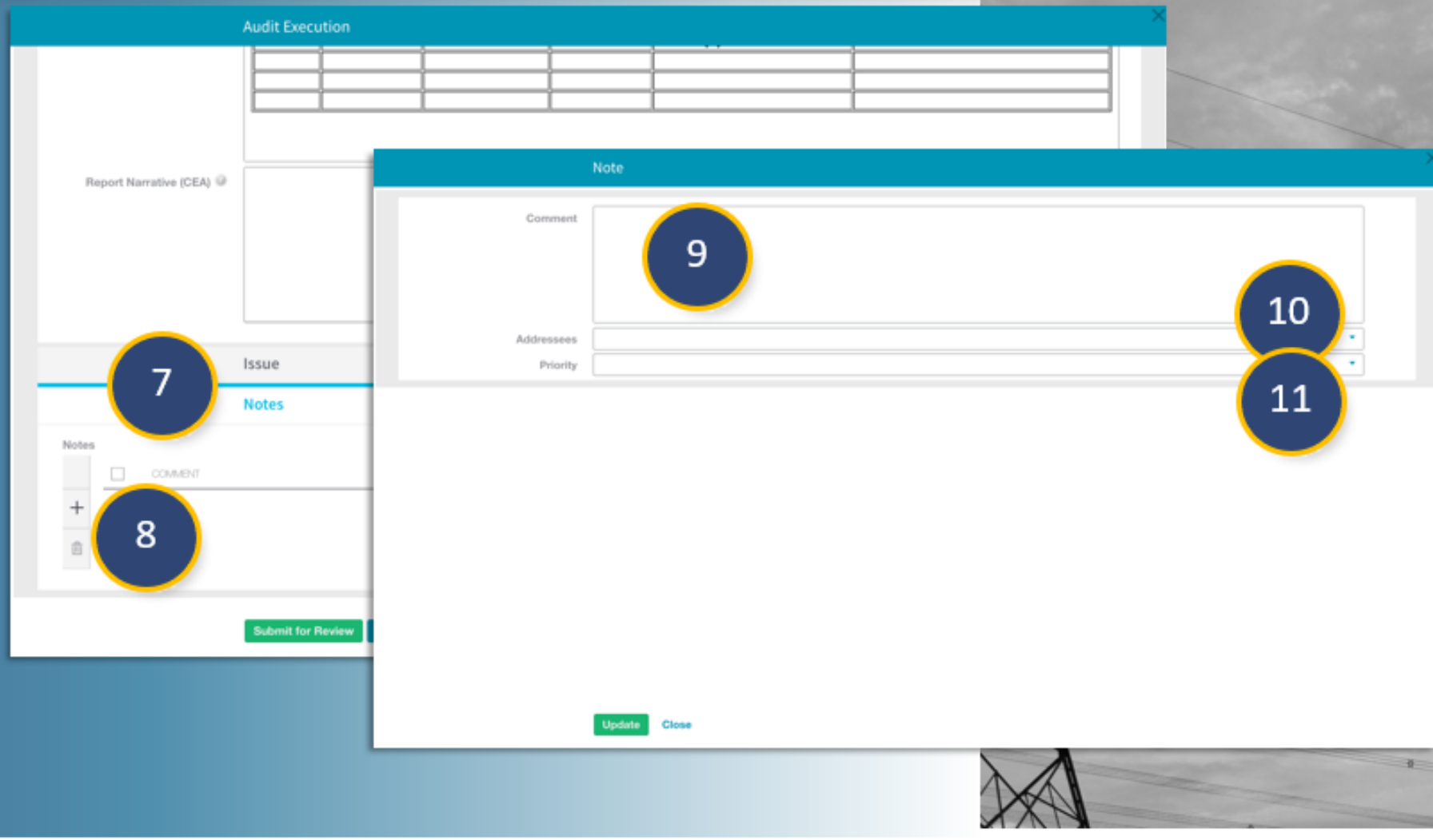
Notice: The Report Narrative textbox and Issues section are for CEA use. You do not need to input any information in these sections.



Working Papers

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**



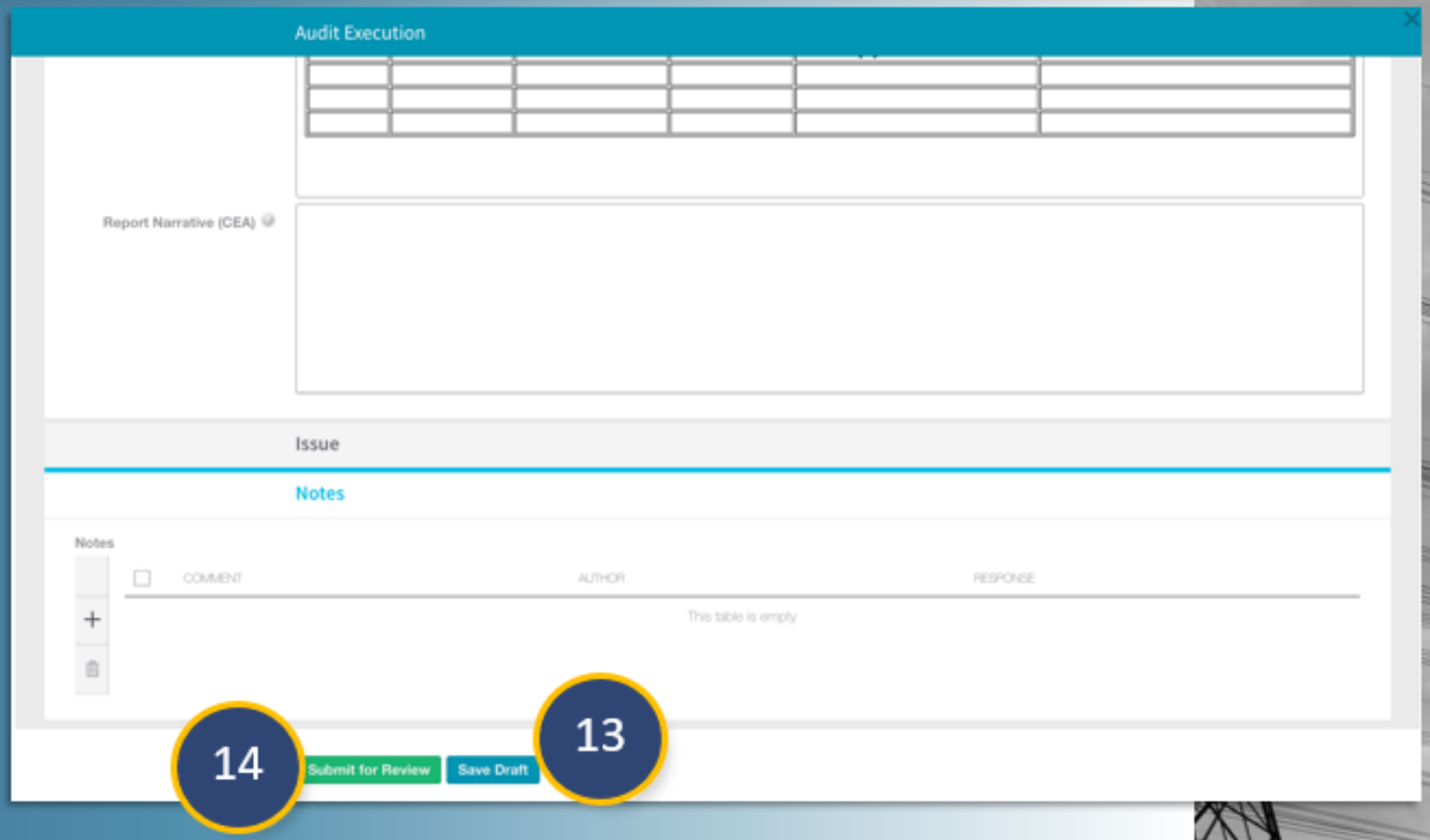
Working Papers

To save your changes:

13 Click the **Save Draft button**

To submit the RSAW for review:

14 Click the **Submit for Review button**



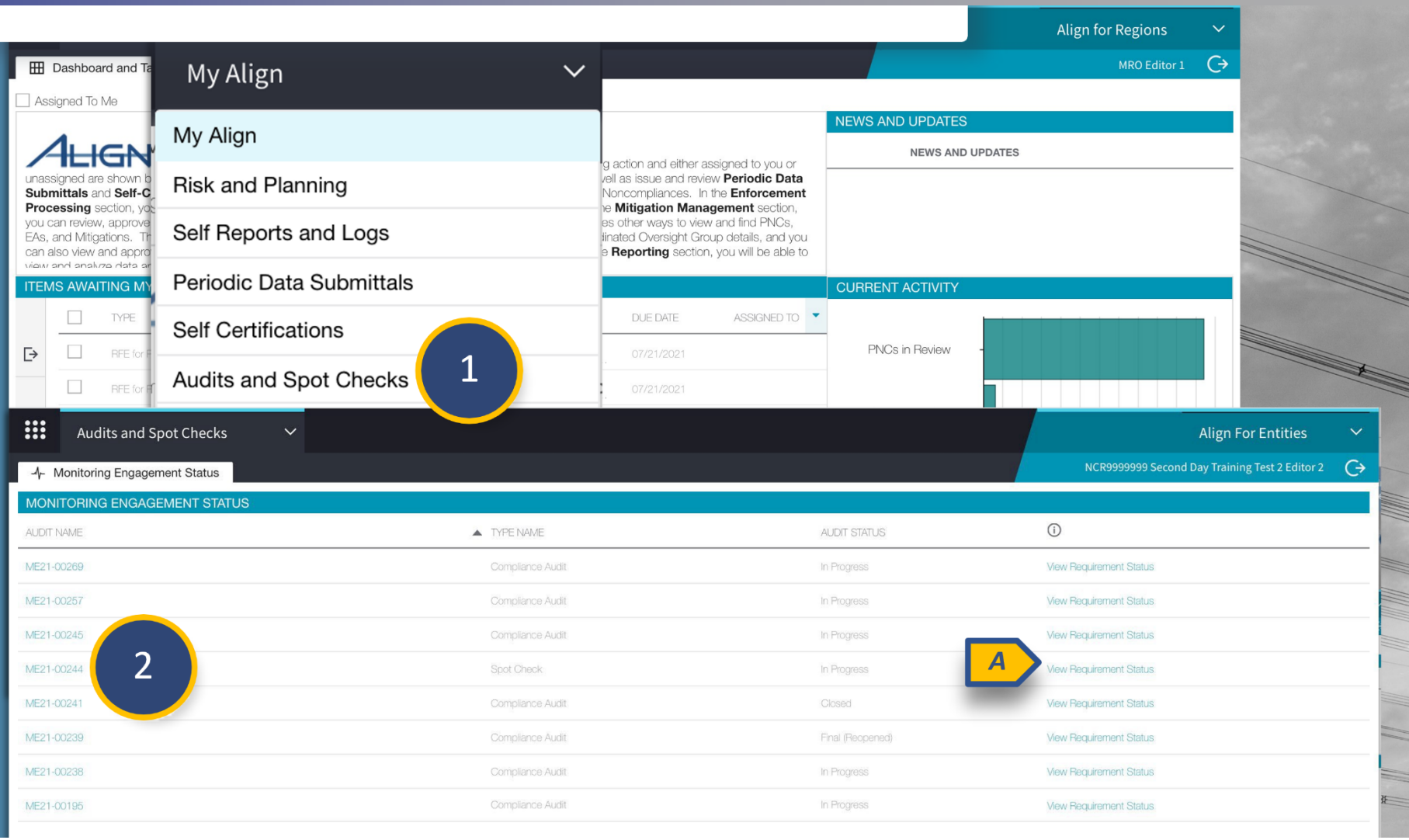
Requests for Information (RFI)

Requests for Information

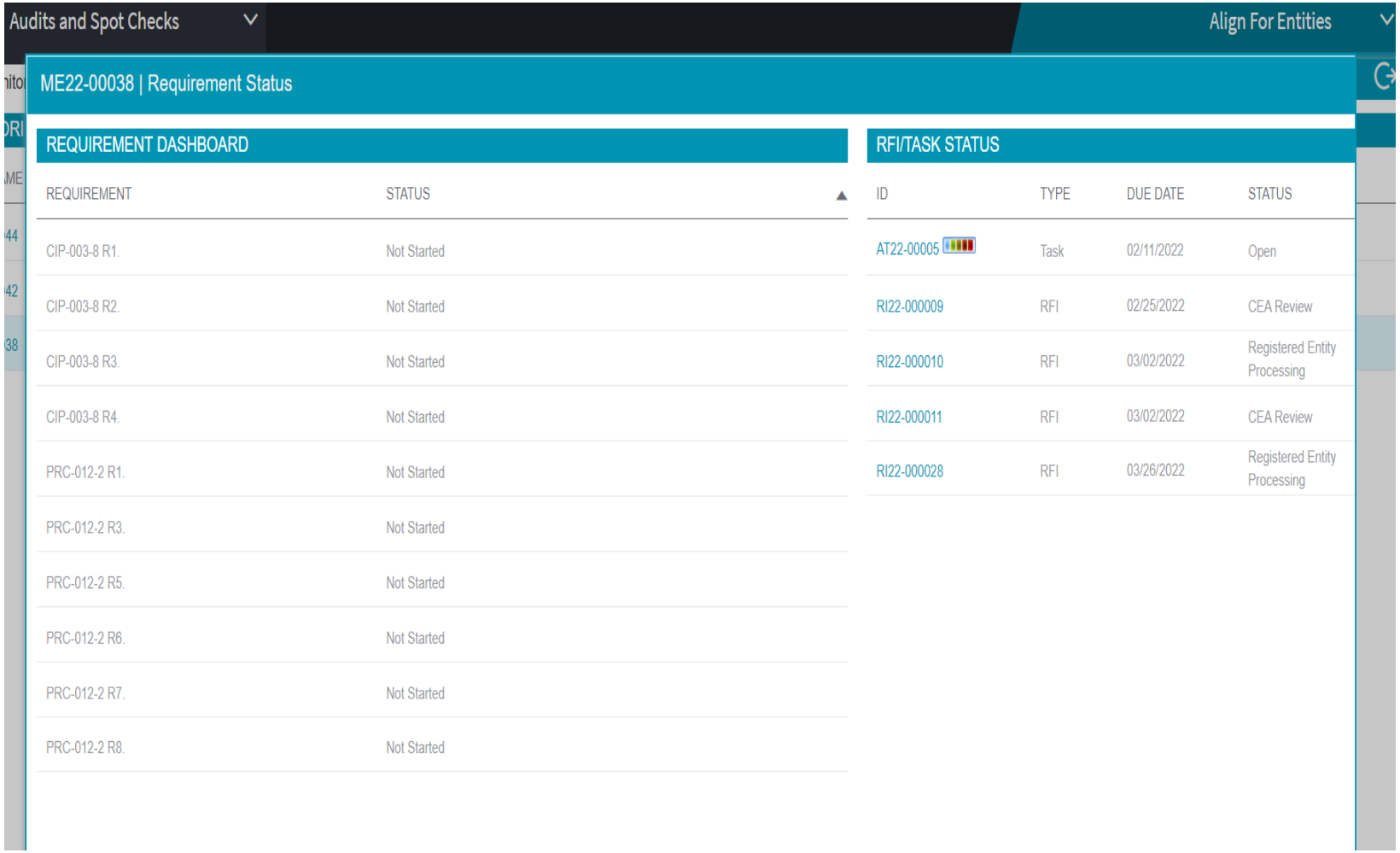
To respond to a Request for Information:

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.

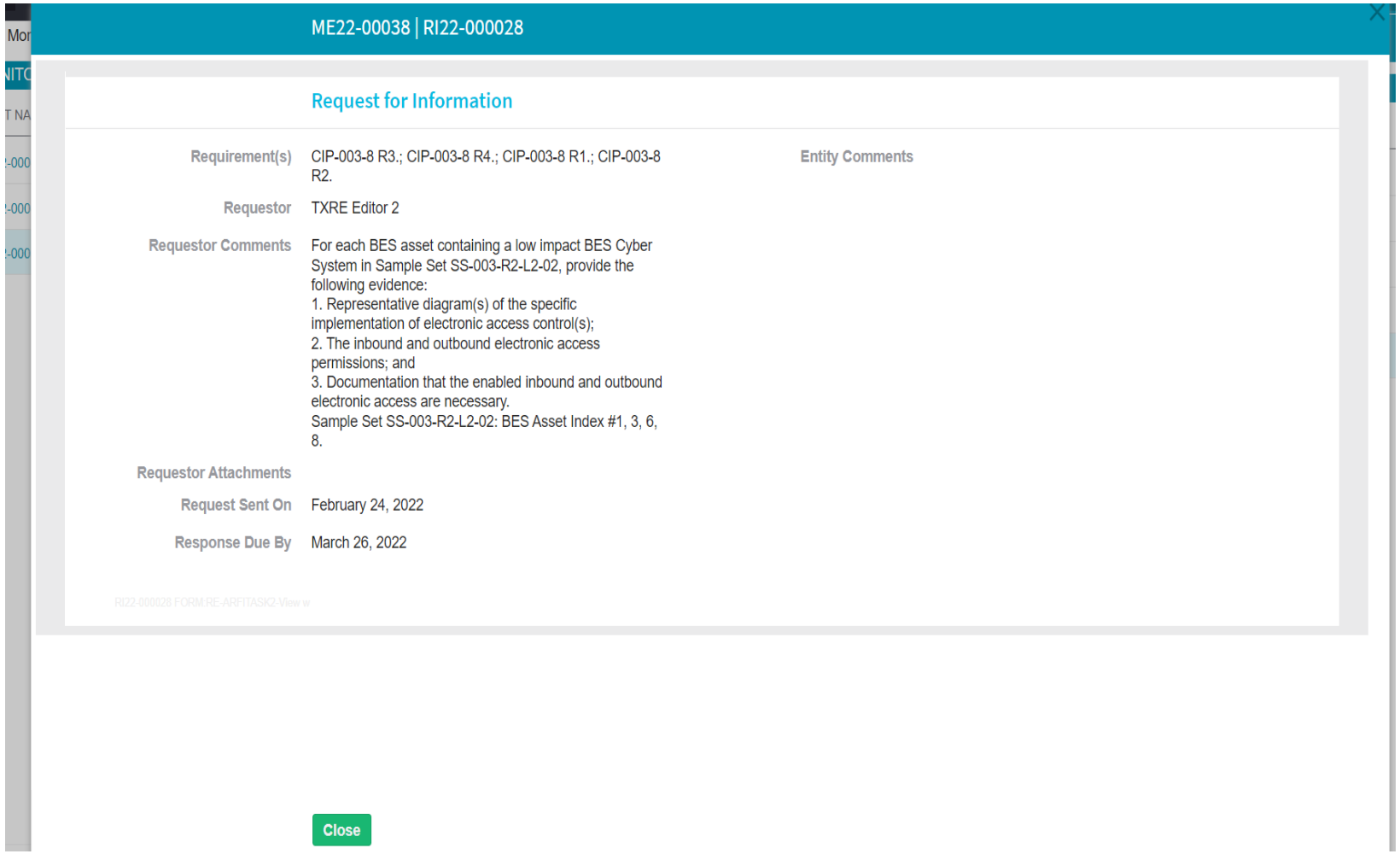


Requests for Information (cont.)



Click the RFI/TASK ID to view the RFI or Task

Requests for Information (cont.)

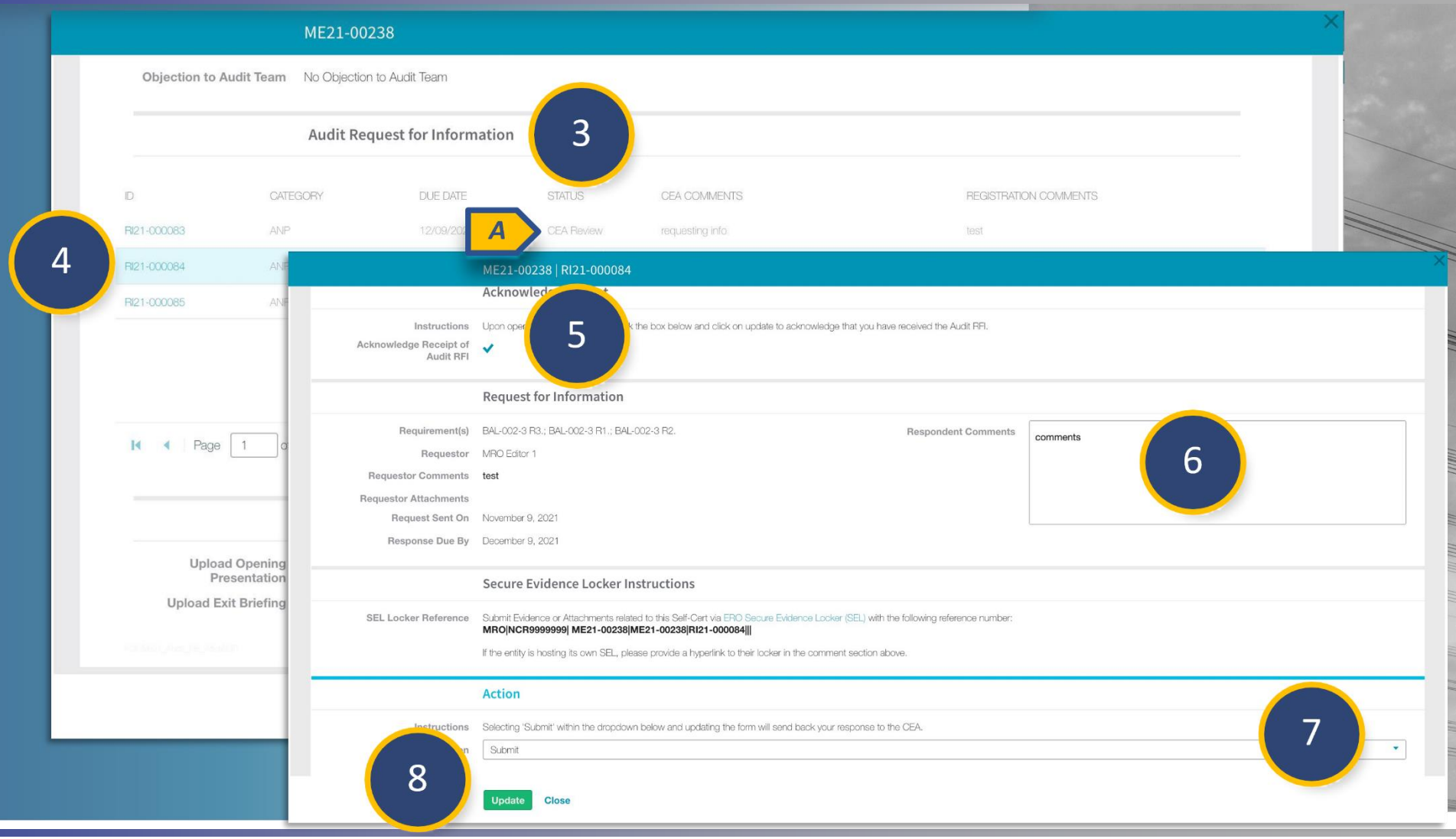


Click the Close Button or the X in the upper right to return to the Monitoring Engagement Status dashboard

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)



Slido Question

Can users edit RFIs from the requirement dashboard?

A. Yes
B. No

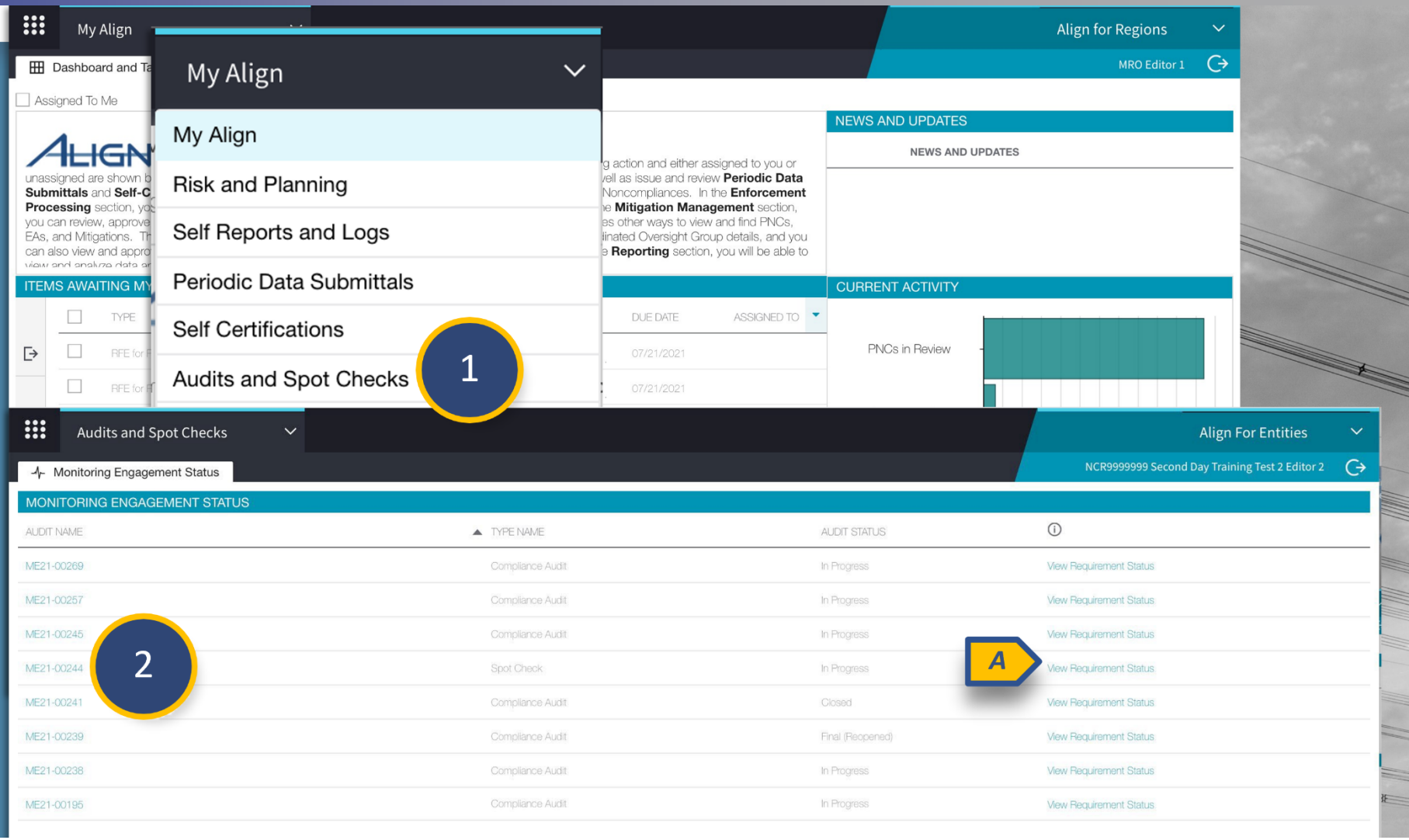
Viewing Reports

Viewing Reports

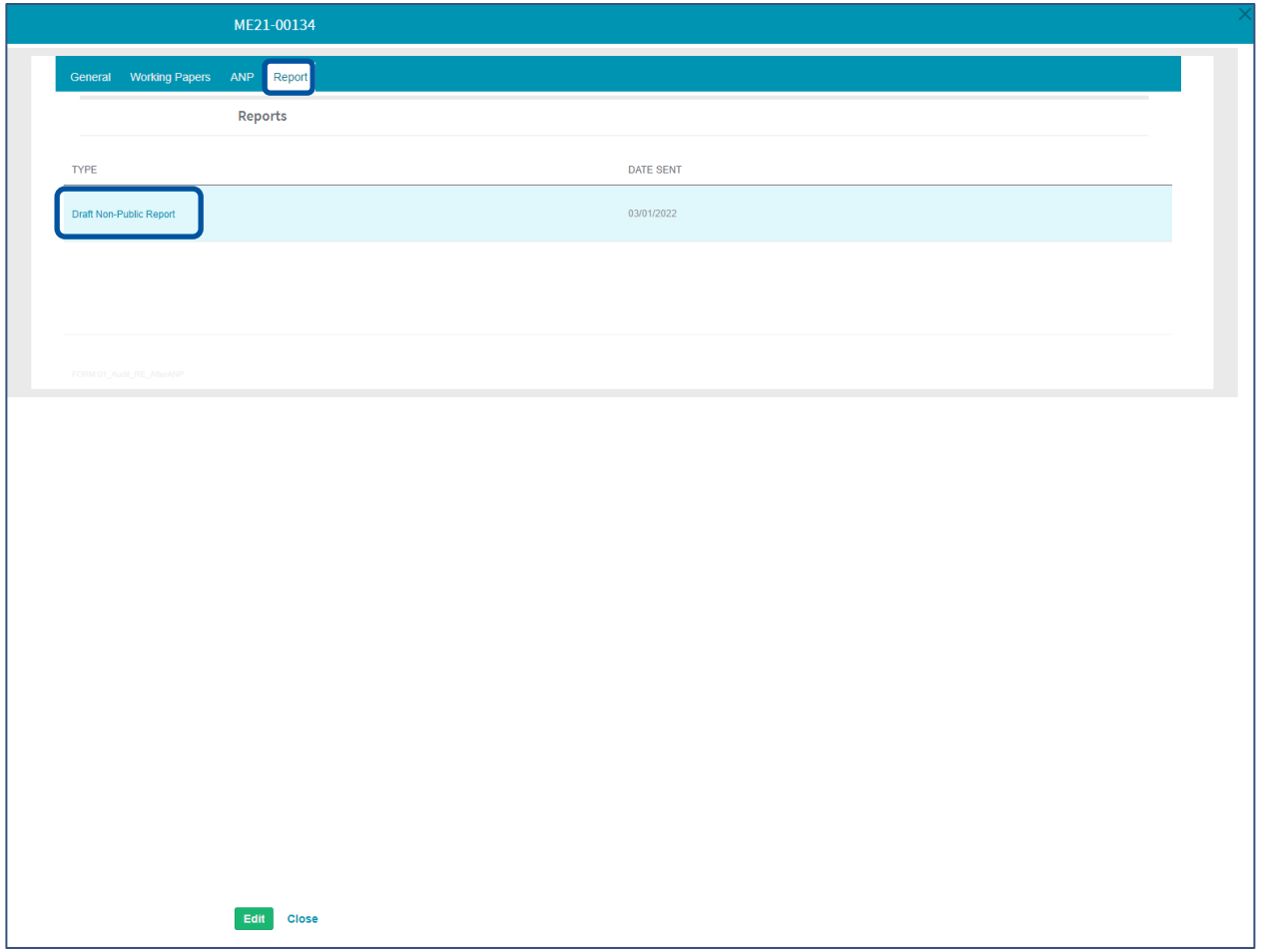
To respond to a Request for Information:

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



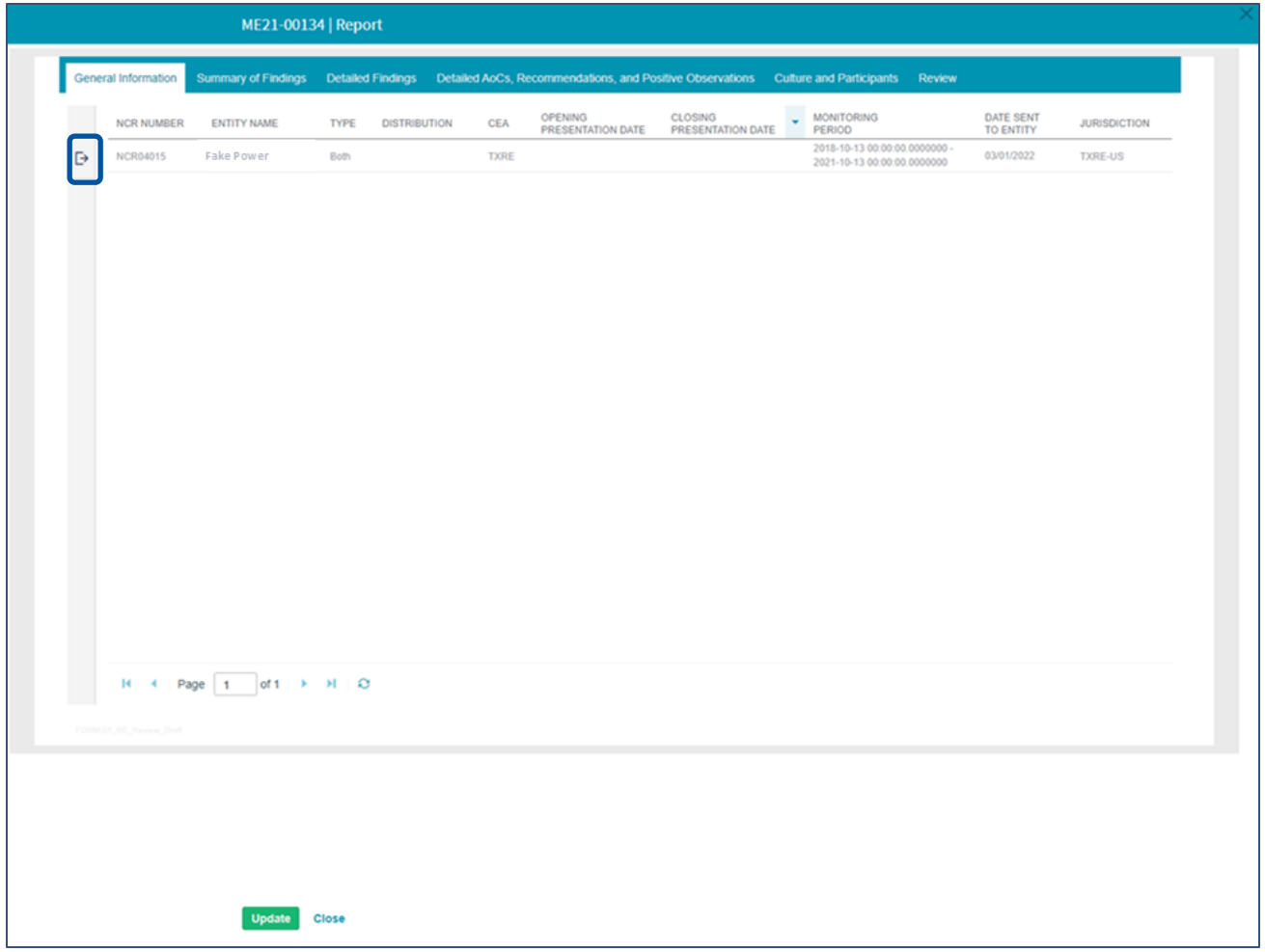
Viewing Reports



Click the **Report** tab

Click the **Draft Non-Public Report** link

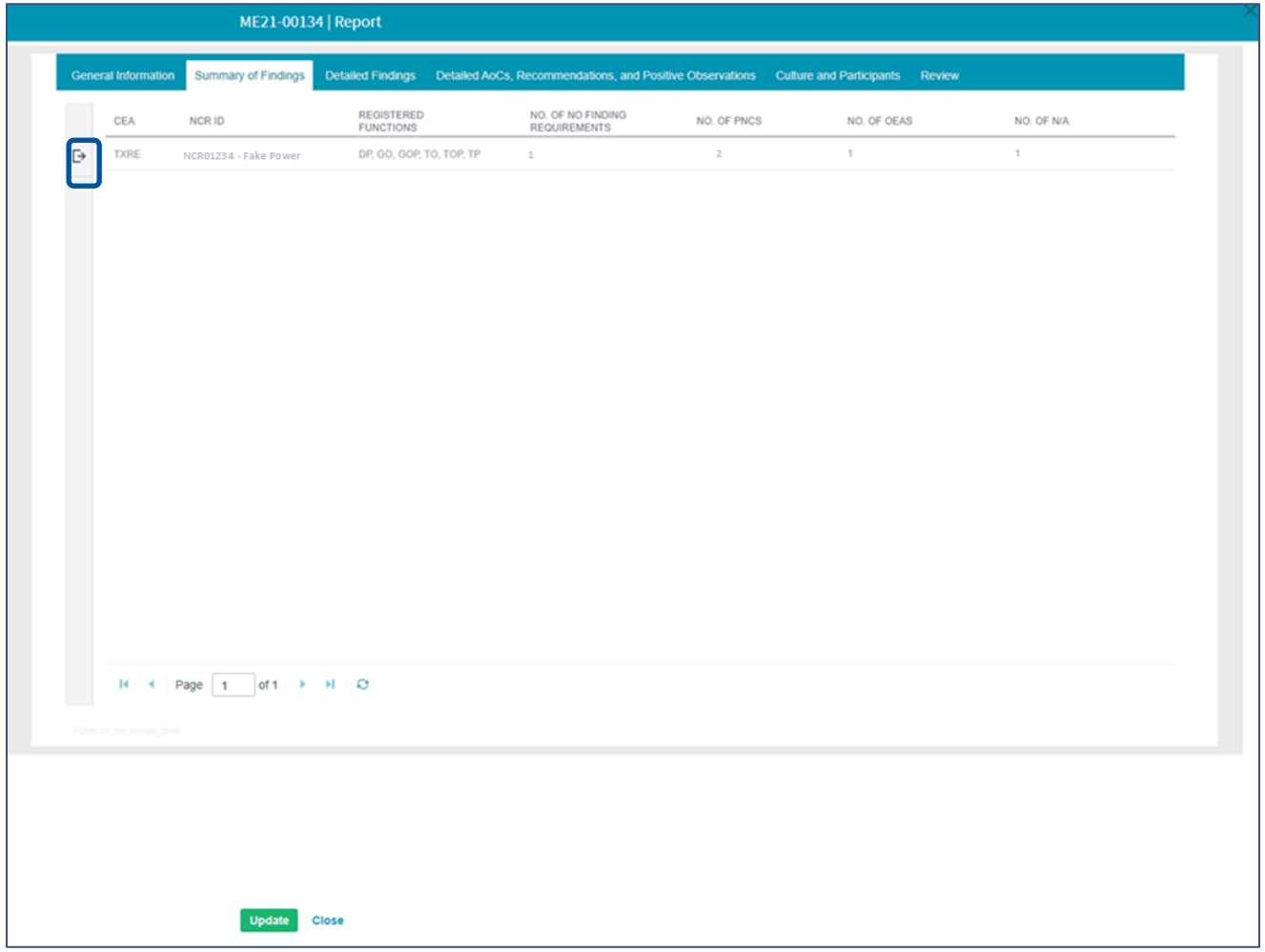
Viewing Reports



Contains Entity/Engagement Information

Click the **Export** icon to export a copy of the tables

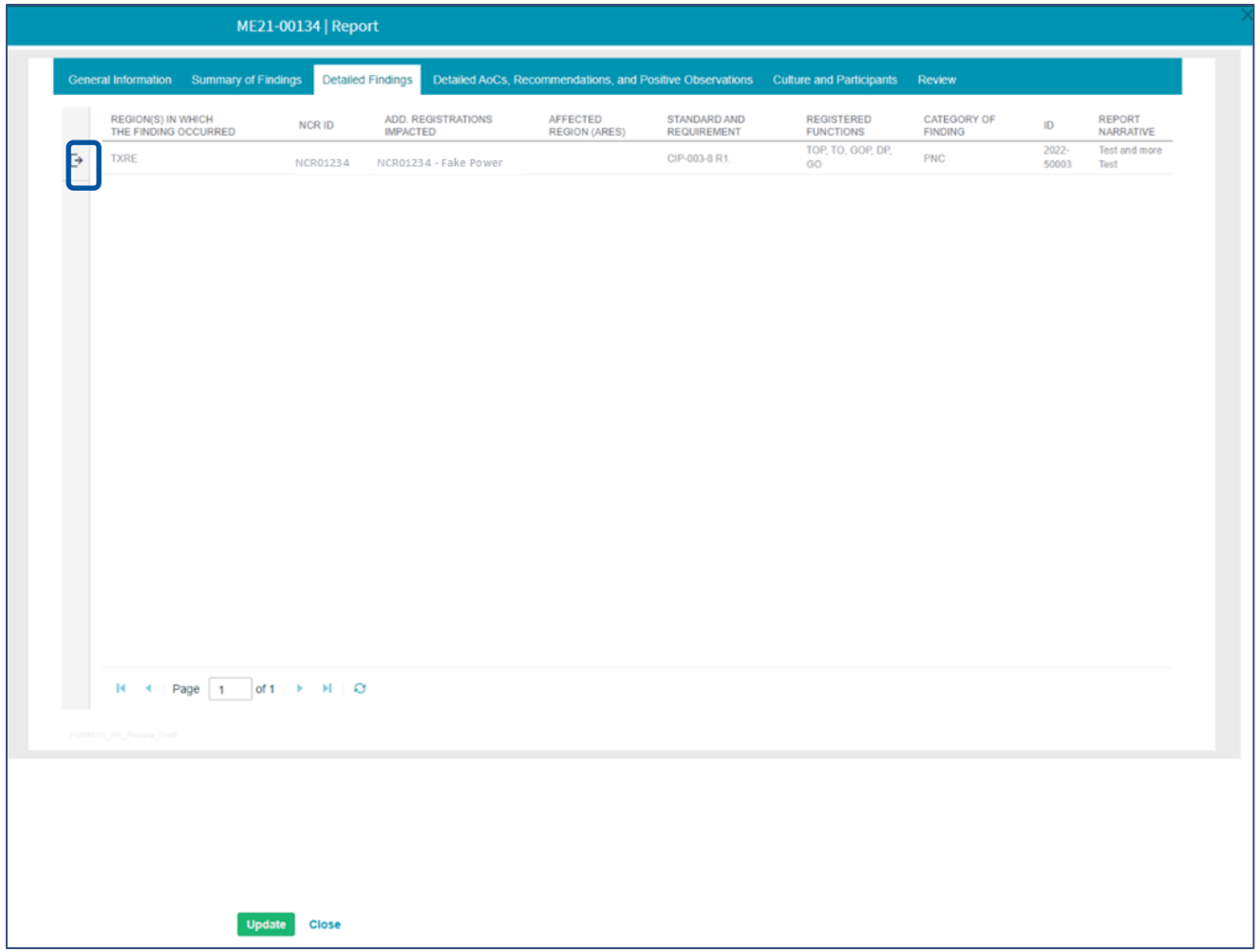
Viewing Reports



Contains the over all count of findings

Click the **Export** icon to export a copy of the table

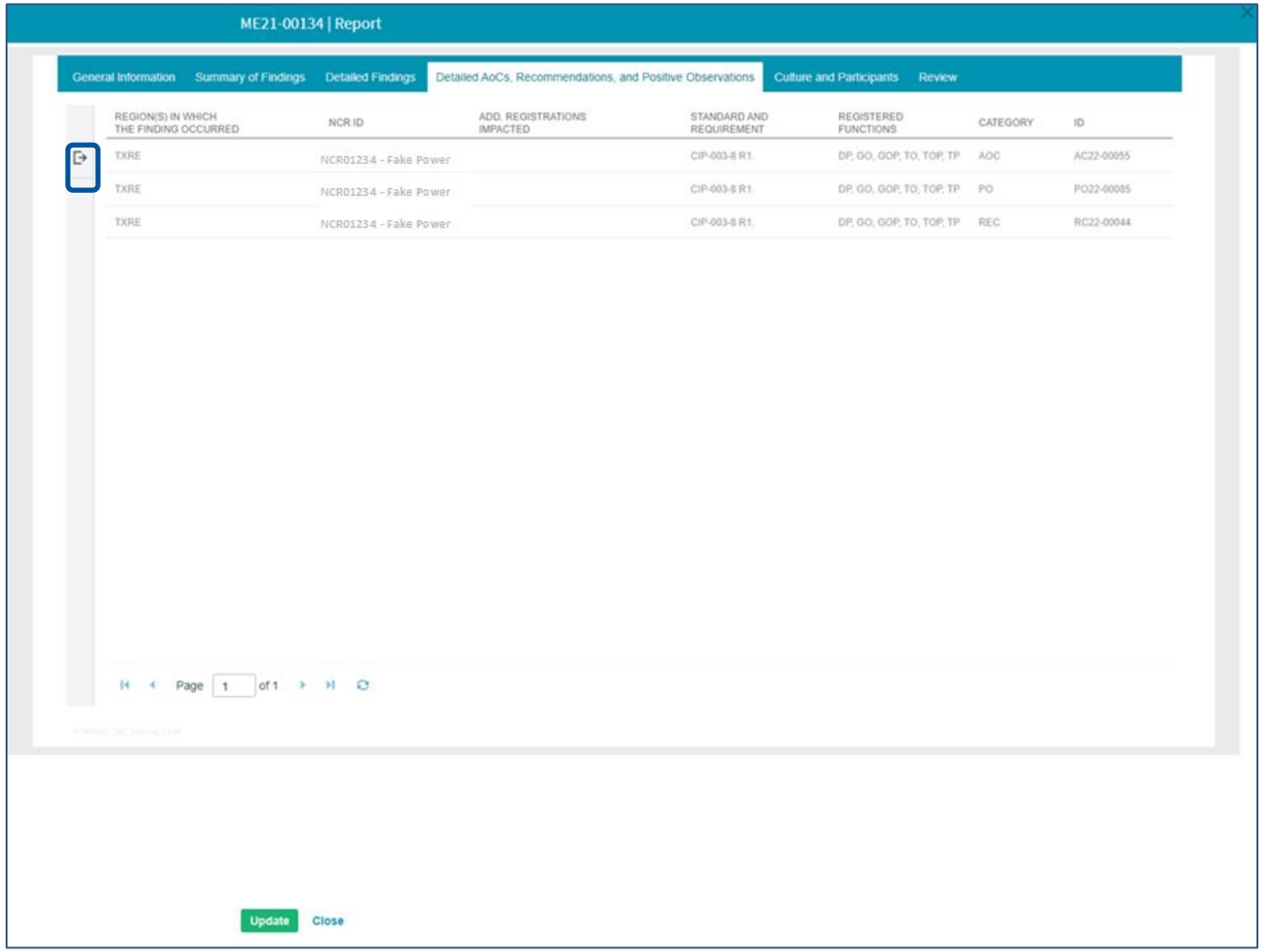
Viewing Reports



Lists each finding

Click the Export icon to export a copy of the tables

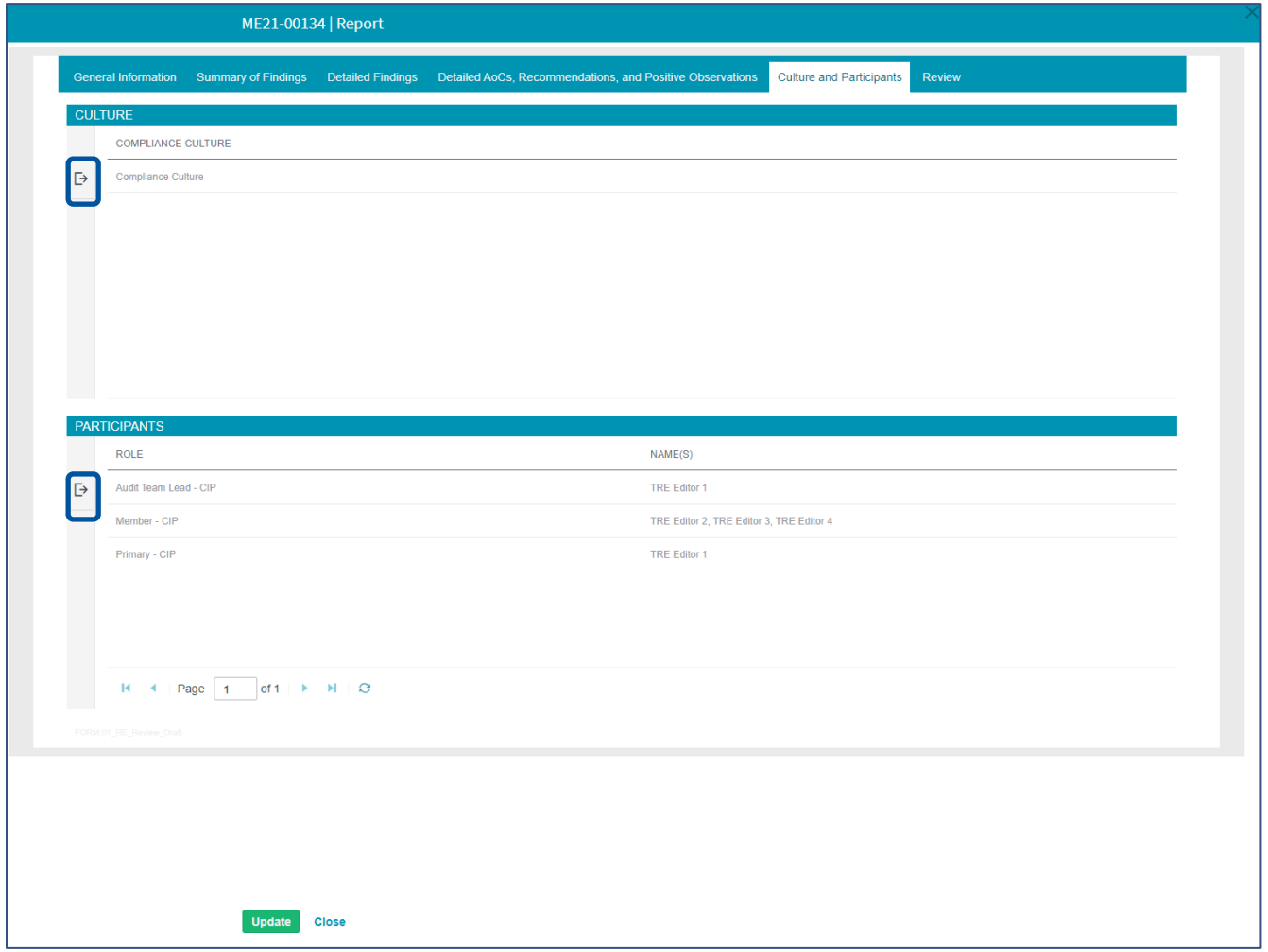
Viewing Reports



Lists each AOC, Recommendation, Positive observation

Click the **Export** icon to export a copy of the tables

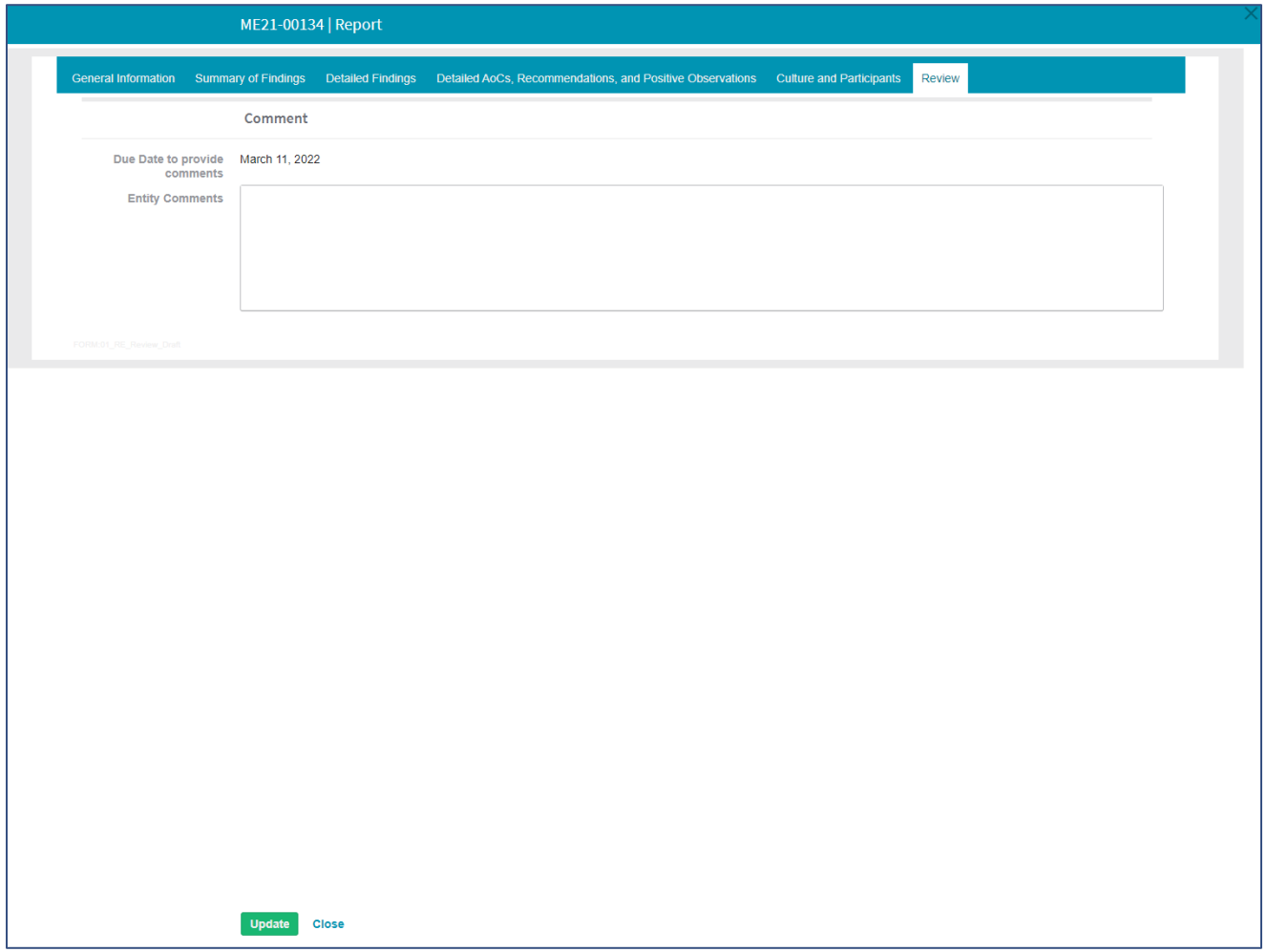
Viewing Reports



Lists Culture of compliance Narrative and Participants

Click the **Export** icon to export a copy of the tables

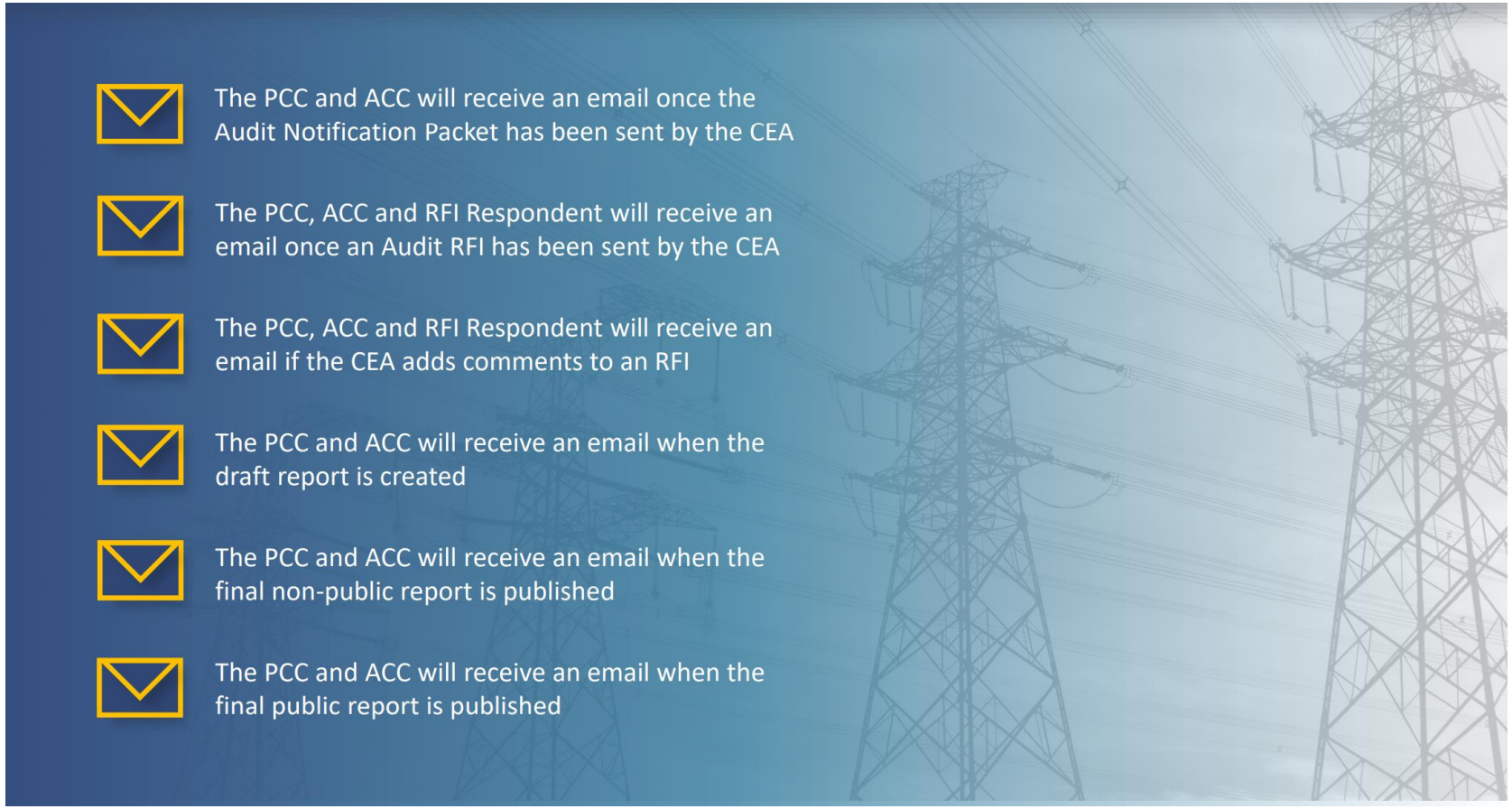
Viewing Reports



This is where the entity staff can enter their review comments.

Email Notifications

Email Notifications



Current list of Email Notifications associated with Audits and Spot Checks

Additional notifications may be added in the future

Email Notifications

From: noreply@bwise.net <noreply@bwise.net>
Subject: Audit Notification Packet (ANP) for ME22-00000 has been sent

Automatic email alert

TXRE has sent the Audit Notification Packet associated with Compliance Audit ME22-00000 to the following entity(ies):

- NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE

Please log in to Align for more details.

TEST ENVIRONMENT - EMAIL NOTIFICATION RECIPIENTS IF NOT USING TEST EMAIL

PCC: PSS@ Training Energy Corp.org
ACC(S): None
CEA ENGAGEMENT EDITORS: Editor@texasre.org
AUDIT TEAM LEADS: ATL@texasre.org
PRIMARY AUDITORS: Auditor@texasre.org
MANAGEMENT REVIEWERS: Manager@texasre.org
OUTSIDE OBSERVERS: None
NERC DISTRIBUTION EMAILS: NERC@nerc.net

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

Sincerely,
Team Align

Audit Notification Packet (ANP) has been sent

Email Notifications

From: noreply@bwise.net <noreply@bwise.net>
Subject: Review and Respond to Audit RFI (RI22-000011)

Automatic email alert

Region: TXRE
Monitoring Engagement ID: ME22-00000
Entity: Training Energy Corp. TXRE - NCR9999999 - TXRE
Reliability Standard/Requirement: CIP-003-8 R1.
TXRE has created an Audit Request for Information (RFI) for the monitoring engagement ME22-00000 in the Align System. The response for the Audit RFI is due by 2022-03-02.
To see the RFI, please log into the Align system. If there are any questions regarding this notice, please contact TXRE.
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

Review and Respond to Audit RFI

Email Notification

From: noreply@bwise.net <noreply@bwise.net>
Subject: Audit Draft Report for ME22-00000 is Available for Review

Automatic email alert

Entity(ies):

- NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE

TXRE has sent you the draft report associated with Compliance Audit - ME22-00000 for your review, with a due date of 2022-02-26 to provide comments. Please log in to Align to complete your review and send feedback.

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

Sincerely,
Team Align

Audit Draft Report is Available for Review

Email Notifications

From: noreply@bwise.net <noreply@bwise.net>
Subject: Final Non-Public Report for ME22-00000 has been Published

Automatic email alert

Entity(ies):

- NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE

TXRE has finalized the Non-Public Report associated with Compliance Audit - ME22-00000. Please log in to Align for further details.

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

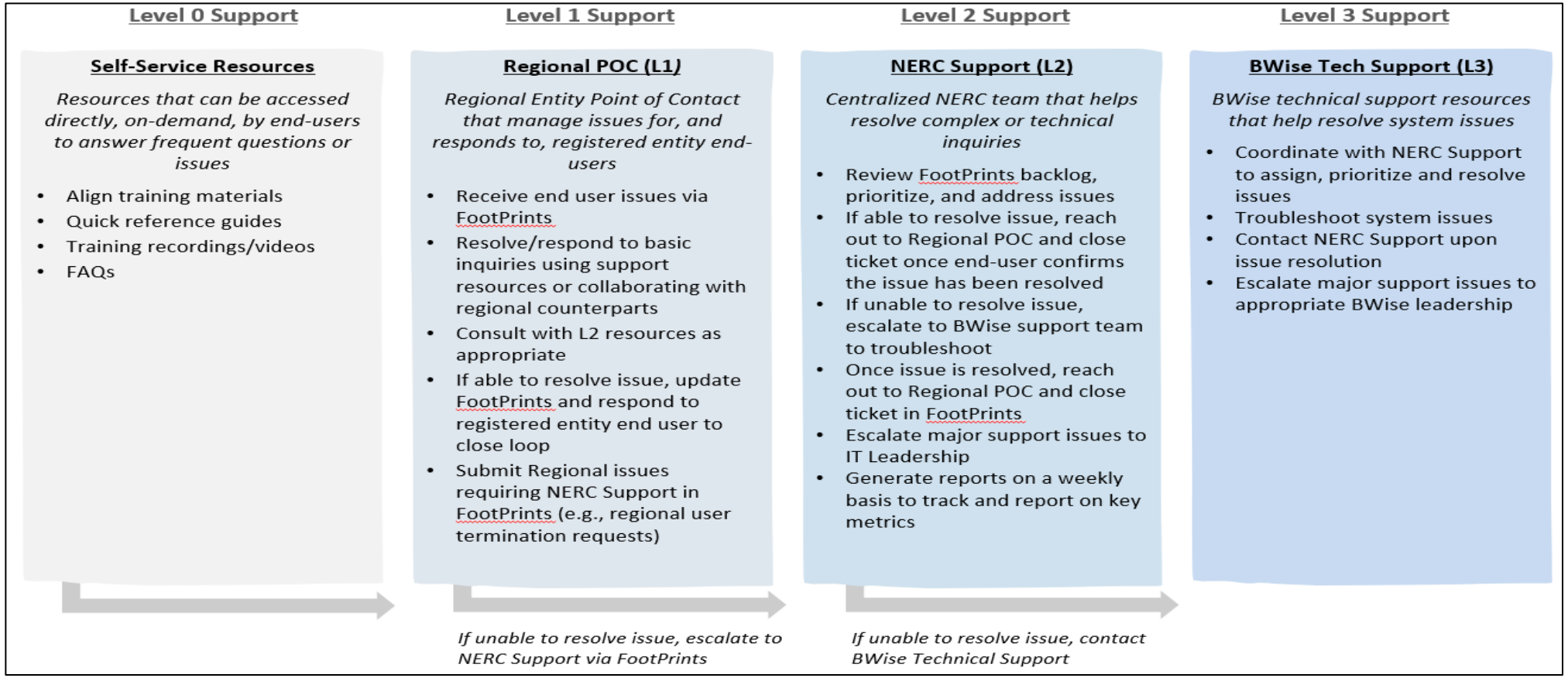
Sincerely,
Team Align

Final Non-Public Report has been Published

How to Enter a Help Desk / FootPrints Ticket

Post Support System: Help Desk / FootPrints Support

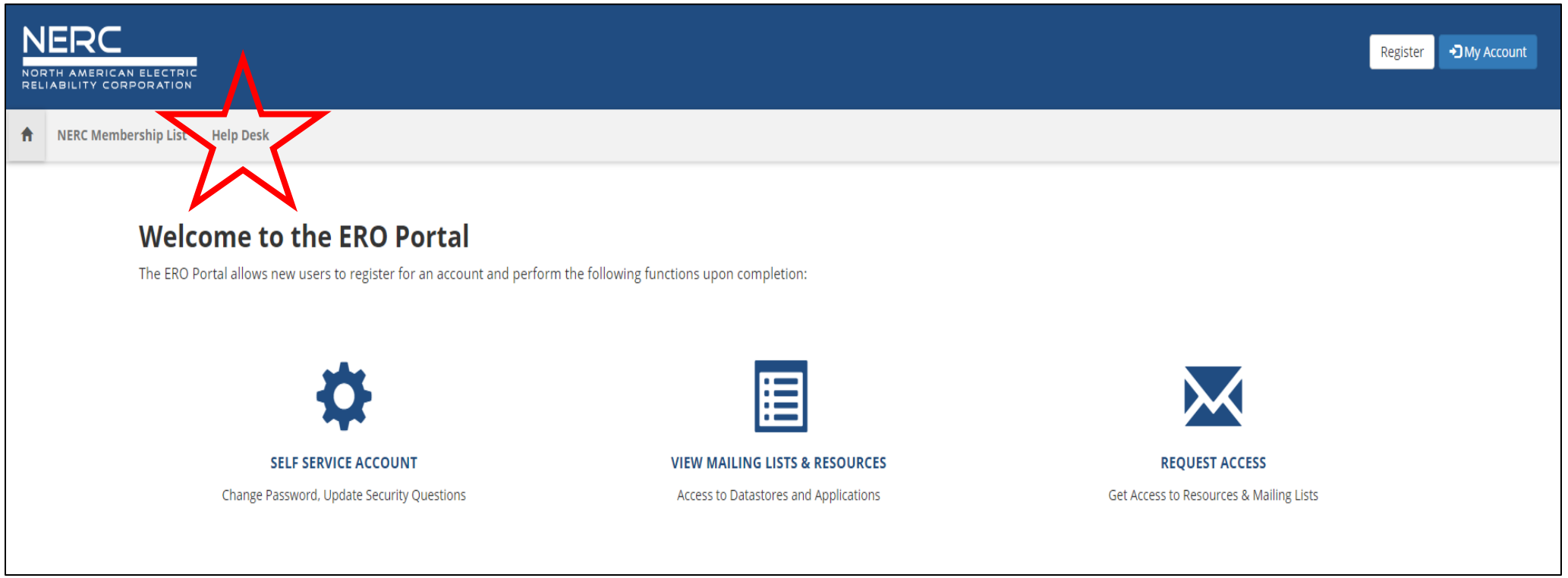
- Submit ticket to: https://support.nerc.net/ through the ERO Portal
- Routed to Texas RE staff for resolution



Help Desk / FootPrints Ticket

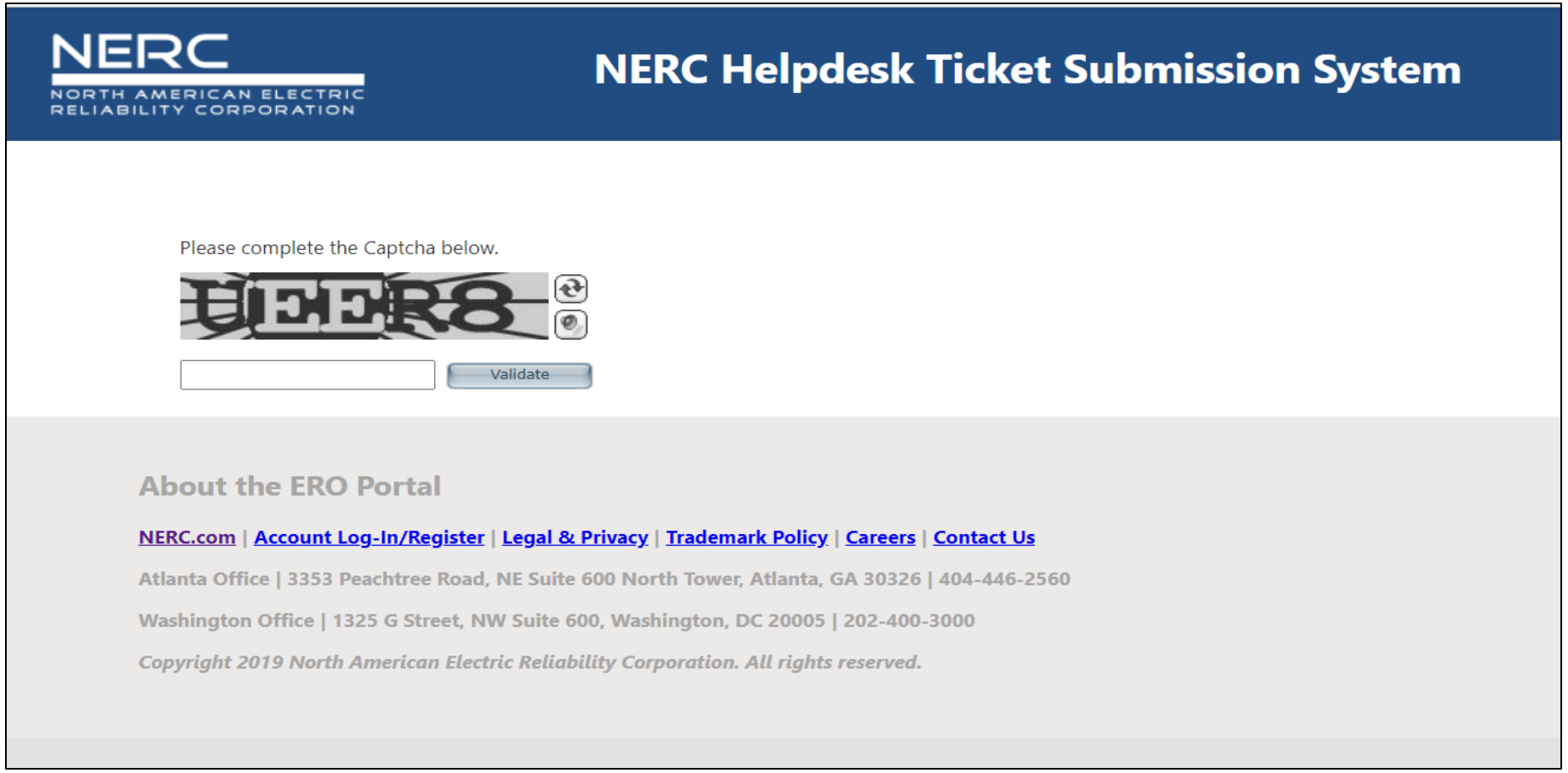
Navigate to the ERO Portal on NERC's website (https://eroportal.nerc.net/)

Select Help Desk



Help Desk / FootPrints Ticket

Complete the Captcha



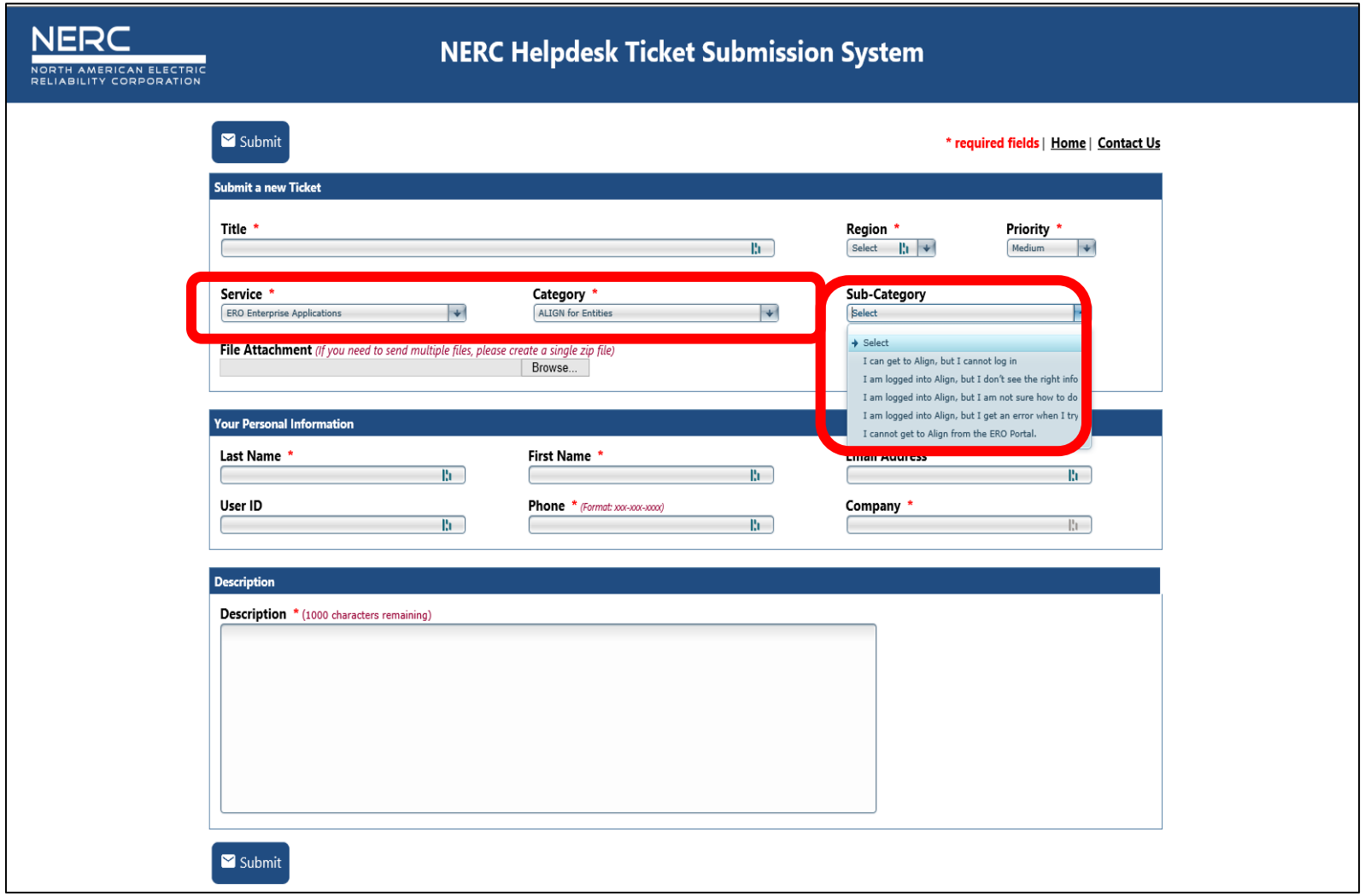
Enter a Help Desk / FootPrints Ticket: Align

- **Populate all fields that contain a red asterisk**

- **Select the following for proper routing:**
  - **Service:** ERO Enterprise Applications
  - **Category:** Align for Entities
  - **Sub-Category:** Leave blank if not applicable

- **File Attachment:** Include screenshots of the issue.

- **Description**: Include description of the issue.

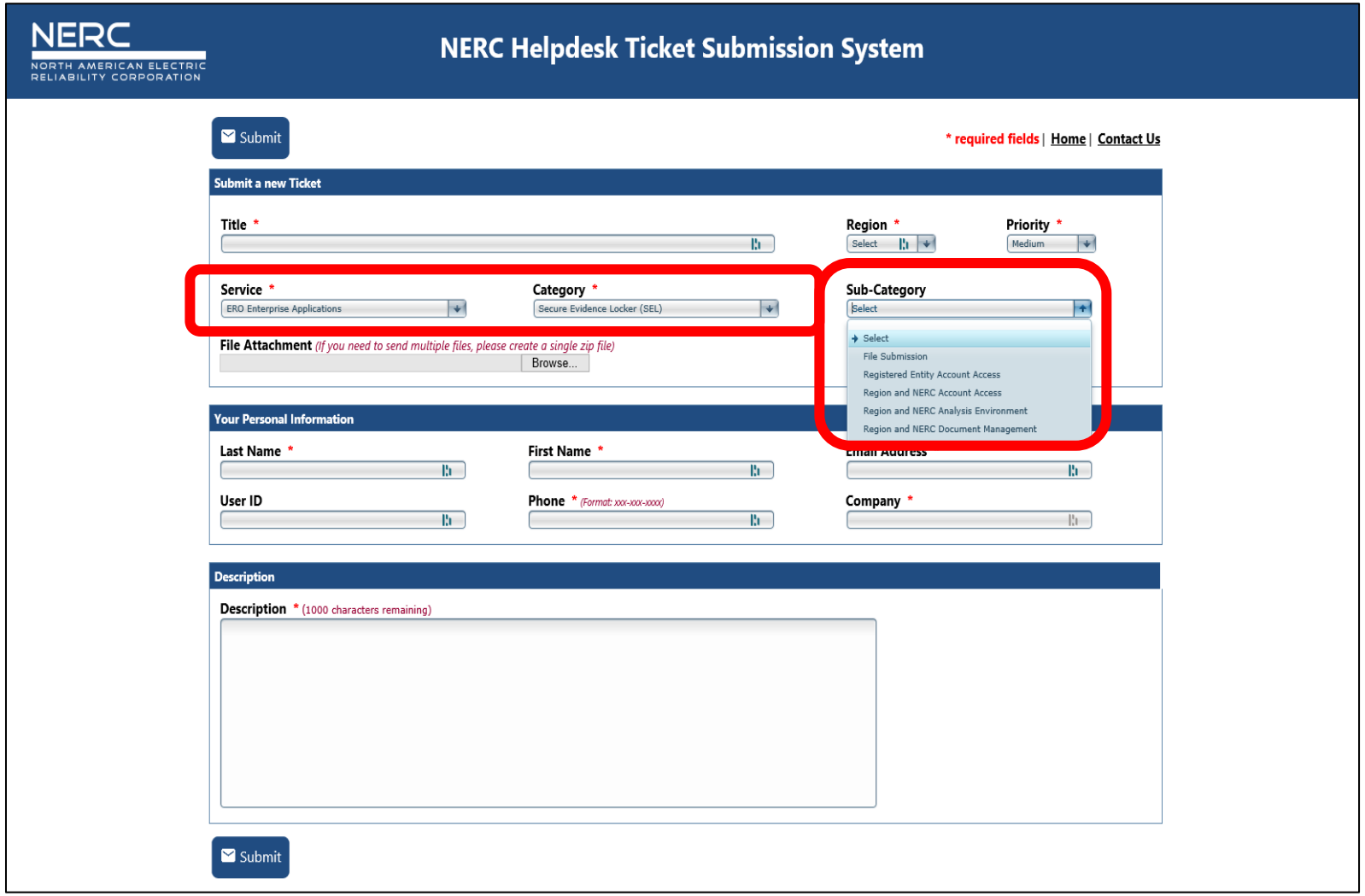


Enter a Help Desk / FootPrints Ticket: ERO SEL

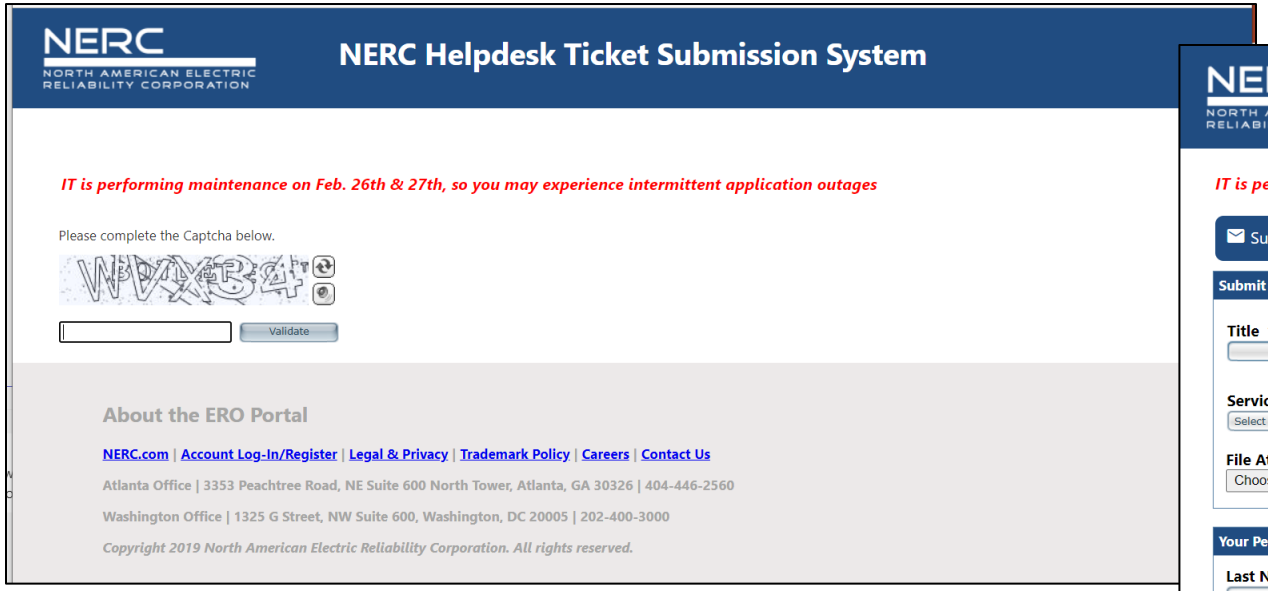
- **Populate all fields that contain a red asterisk**

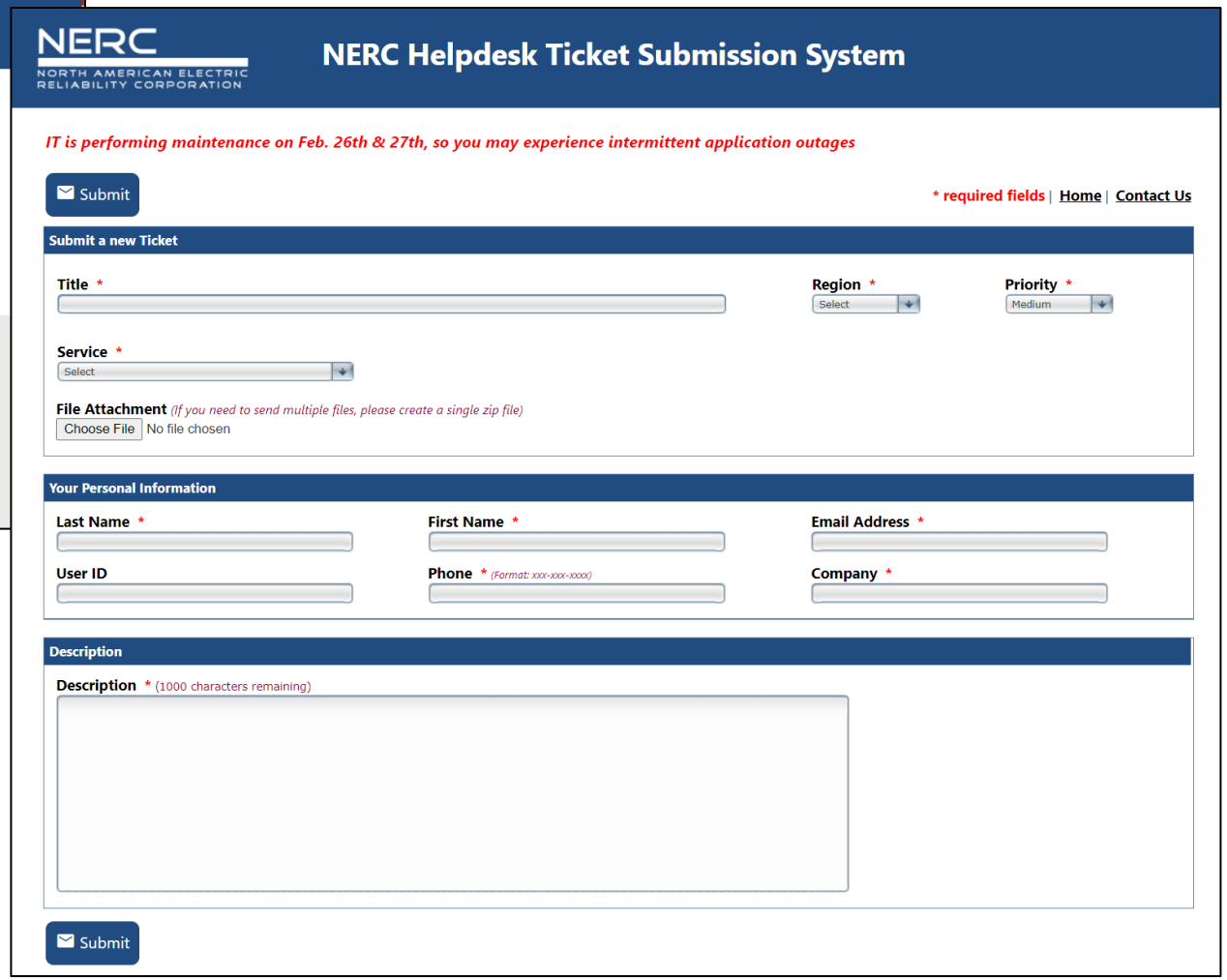
- **Select the following for proper routing:**
  - **Service:** ERO Enterprise Applications
  - **Category:** Secure Evidence Locker (SEL)
  - **Sub-Category:** File Submission **or** Registered Entity Account Access

- **File Attachment:** Include screenshots of the issue.
- **Description**: Include description of the issue.



Align and ERO SEL Outages





Align and ERO SEL outages will be displayed on the NERC Helpdesk ticketing system in red font

Help Desk / FootPrints Ticket Notification

A FootPrints Ticket notification will be generated and sent to your email address

Work with your IT group to whitelist the FootPrints notification emails

From: FootPrints <erosupport@nerc.net>
Sent: Monday, April 5, 2021 11:22 AM
To: Texas RE Extranet <Extranet@texasre.org>
Subject: Service Request Ticket ERO-20058 has Been Assigned To You or Your Team Ticket= ERO-20058 ItemType= 10749 WS= 3745

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

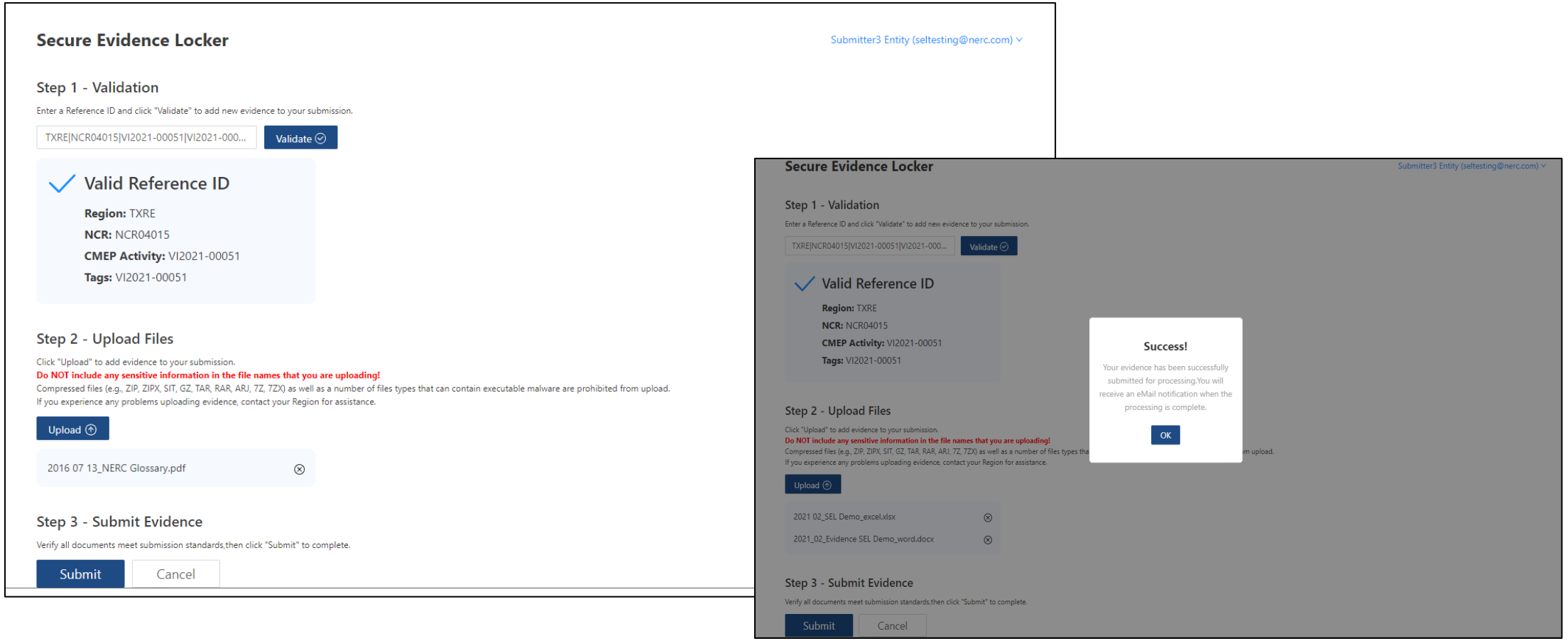
When replying, type your text above this line.

The following Service Request has been assigned to you or your Team. Please acknowledge assignment and advance the Status of the ticket as appropriate.

Ticket Type	Service Request
Ticket Number	ERO-20058
Created On	04/05/2021 12:22:02
Summary	ERO Enterprise Applications - ALIGN: Align: Testing FootPrint Ticket to the Extranet Email Box
Assignees	Texas RE ALIGN;
Assisted By	
Service	ERO Enterprise Applications
Category	ALIGN
Sub-Category	
All Descriptions	04/05/2021 12:22 PM | System: This is a test to confirm FootPrint ticket goes to the subfolder created for all tickets. Email sent by:noreply@nerc.net
Contacts Full Name	Rochelle Brown

Client Support Services
Phone: 404.446.9790 (Mon-Fri 8am to 5pm) | 609.452.1893 (After Hours)
Portal: https://support.nerc.net

ERO Secure Evidence Locker (SEL)


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...
Validate
Valid Reference ID
Region: TXRE
NCR: NCR04015
CMEP Activity: VI2021-00051
Tags: VI2021-00051
Step 2 - Upload Files
Click "Upload" to add evidence to your submission.
Do NOT include any sensitive information in the file names that you are uploading!
Compressed files (e.g., ZIP, ZIPX, SIT, GZ, TAR, RAR, ARJ, 7Z, 7ZX) as well as a number of files types that can contain executable malware are prohibited from upload.
If you experience any problems uploading evidence, contact your Region for assistance.
Upload
2016 07 13_NERC Glossary.pdf
Step 3 - Submit Evidence
Verify all documents meet submission standards,then click "Submit" to complete.
Submit
Cancel
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...
Validate
Valid Reference ID
Region: TXRE
NCR: NCR04015
CMEP Activity: VI2021-00051
Tags: VI2021-00051
Success!
Your evidence has been successfully submitted for processing.You will receive an eMail notification when the processing is complete.
OK
Step 2 - Upload Files
Click "Upload" to add evidence to your submission.
Do NOT include any sensitive information in the file names that you are uploading!
If you experience any problems uploading evidence, contact your Region for assistance.
Upload
2021 02_SEL Demo_excel.xlsx
2021_02_Evidence SEL Demo_word.docx
Step 3 - Submit Evidence
Verify all documents meet submission standards,then click "Submit" to complete.
Submit
Cancel

File Types	• Allowed: .docx, .xlxs, .pdf, .jpeg, .ppt, etc. • Not allowed: ajr, gz, tar, zip, zipx, sit, 7z, 7zx
File Size	• Single file: 2 GB • Multiple files: 10 GB
Reference ID Format	• TXRE|NCR01234|TEST202101|TEST202101|CIP-005-6|R1|1.1|
Email Manifest	• Shows reference ID and date stamp

ERO SEL

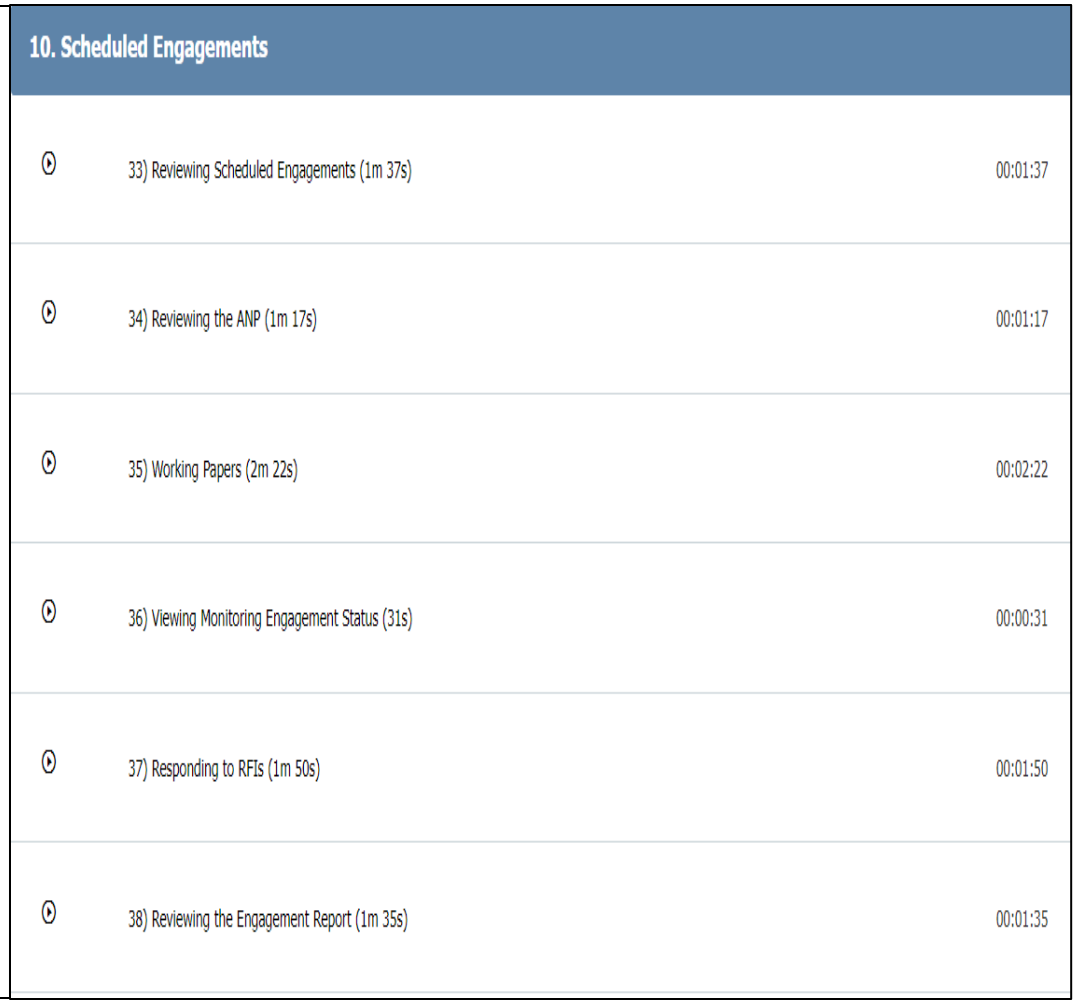
Current	ERO SEL
Extranet managed by Texas RE. Registered entities can view evidence submitted in permitted folders in the Extranet. Can upload evidence to webCDMS.	ERO Enterprise wide locker managed by NERC. Registered entities receive manifest file. Registered entities need ERO Portal account. Registered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

Resources, Stay Informed, and Training

Training Resources

Registered Entity Training Materials

- **Registered entity Scheduled Engagements videos – 7**
  - Appox. 10 minutes
- **User Guides**
  - Registered Entities: Release 3 User Guide



Stay Informed

- **Texas RE website: Align page**
- **Texas RE*view*, Align Newsletters, announcements, and social media**
- **Visit NERC's Align page**
- **Join Talk with Texas RE meetings Workshops for Align updates**
  - March 31, 2022: Spring Standards, Security, and Reliability Workshop

Align Release 3 Training: Hands On Training

- **Two opportunities to attend small group hands-on training sessions in April and May.**

- **April 7, 2022 from 1 pm – 3 pm**
- **April 21, 2022 from 1 pm – 3 pm**
- **May 2, 2022 from 1 pm – 3 pm**
- **May 16, 2022 from 1 pm – 3 pm**

- **Register here for a hands-on session.**

Slido Question

If I need assistance with Align or the ERO SEL, I contact:

A. Information@texasre.org
B. Compliance@texasre.org
C. www.texasre.org
D. https://support.nerc.net/

TEXAS RE
Ensuring electric reliability for Texans