



TEXAS RE

Ensuring electric reliability for Texans

A large blue rounded rectangle containing a white padlock icon on the left side. The background of the rectangle features a faint circuit board pattern with arrows and nodes.

Align Release 3 ERO SEL Training

Align Training Team:

Rochelle Brown

Jeff Hargis

Dennis Glass

Devin Kitchens

Ben Gregson

Eric Newnam

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

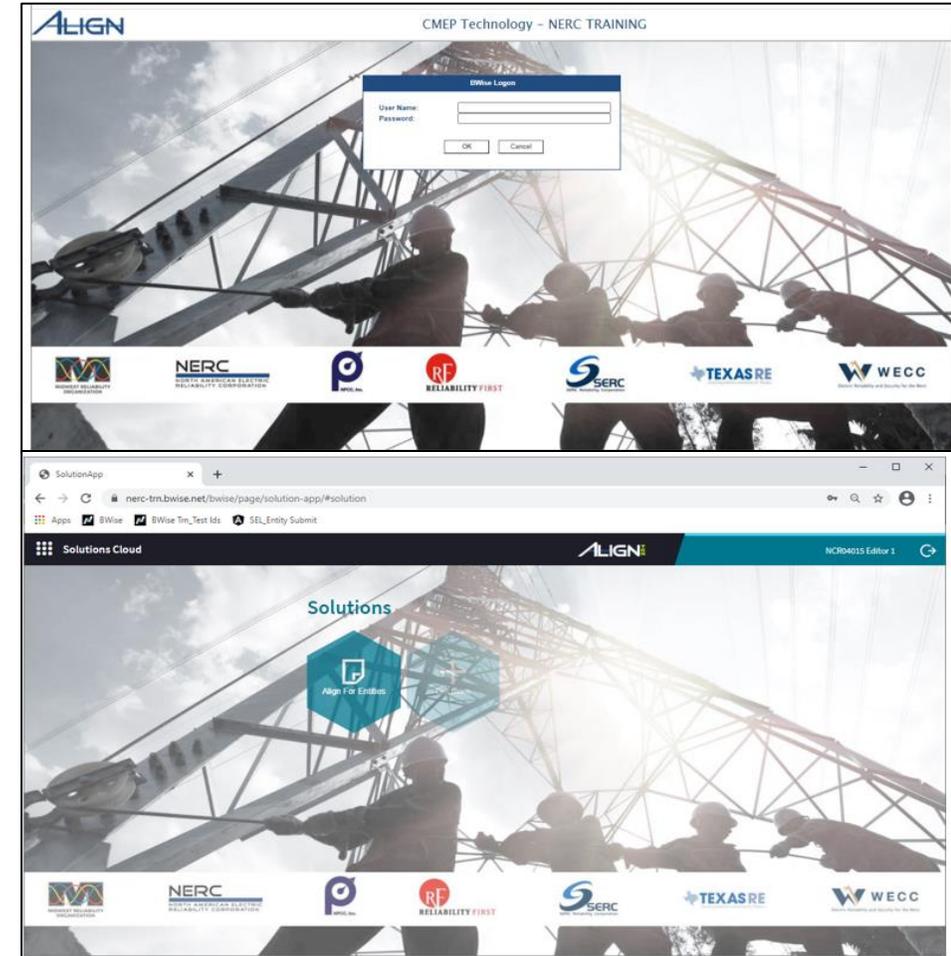
What is Align?



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.



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.

The screenshot shows the ERO SEL interface with logos for NERC, MRO, P, RF, SERC, TEXASRE, and WECC at the top. The main heading is "Secure Evidence Locker".

Step 1 - Validation
Enter a Reference ID and click "Validate" to add new evidence to your submission.
Input field: XXXXXX
Button: Validate

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!
Button: Upload

Step 3 - Submit Evidence
Verify all documents meet submission standards, then click "Submit" to complete.
Buttons: Submit, Cancel

The screenshot shows the "Secure Evidence Locker" interface with a successful validation message.

Secure Evidence Locker

Step 1 - Validation
Enter a Reference ID and click "Validate" to add new evidence to your submission.
Input field: TexasRE|NCR99999|TexasRE-2020-0005...
Button: Validate

✓ **Valid Reference ID**
Region: TexasRE
NCR: NCR99999
CMEP Activity: TexasRE-2020-00055A
Tags: TexasRE-2020-00055A

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!
Button: Upload

Step 3 - Submit Evidence
Verify all documents meet submission standards, then click "Submit" to complete.
Buttons: Submit, Cancel

Audits

Spot-Checks



April 2022

**Audit
Planning and
Scheduling**

**ERO Secure
Evidence Locker**

Align Access and Permission Roles

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!

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.

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.

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



ERO Portal log in

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

Reset password or retrieve username

Help Desk ticket

The screenshot shows the NERC ERO Portal login page. At the top left is the NERC logo (North American Electric Reliability Corporation). At the top right are buttons for 'Register' and 'My Account'. Below the logo is a navigation bar with 'NERC Membership List' and 'Help Desk'. The main content area features a 'Sign In' button, 'Register', and 'Resend Registration Key' links. Below these is a search bar with the text 'Sign in or recover your username or password'. At the bottom of the search bar are two buttons: 'Sign In' and 'Forgot Password/Username'.

Accessing Align



NERC
NORTH AMERICAN ELECTRIC
RELIABILITY CORPORATION

Sign in

Username

Password

Keep me signed in

Sign in

[Forgot username or password?](#)

This is a North American Electric Reliability Corporation (NERC) information system restricted to authorized individuals. You have no reasonable expectation of privacy regarding communications or data transiting or stored on NERC's information system. At any time and for any lawful purpose, NERC may monitor, intercept, record, and search any communications or data transiting or stored on this information system. At NERC's sole discretion, NERC may disclose pertinent information to the U.S. Government and its authorized representatives to protect the security of critical infrastructure and key resources, ensure information security, or to comply with any applicable law, regulation, legal process, or enforceable governmental request. By continuing, you acknowledge that you understand and consent to the terms and conditions described in this notice. The actual or attempted unauthorized access, use, or modification of this system is strictly prohibited and may subject violators to criminal, civil, and/or administrative action.

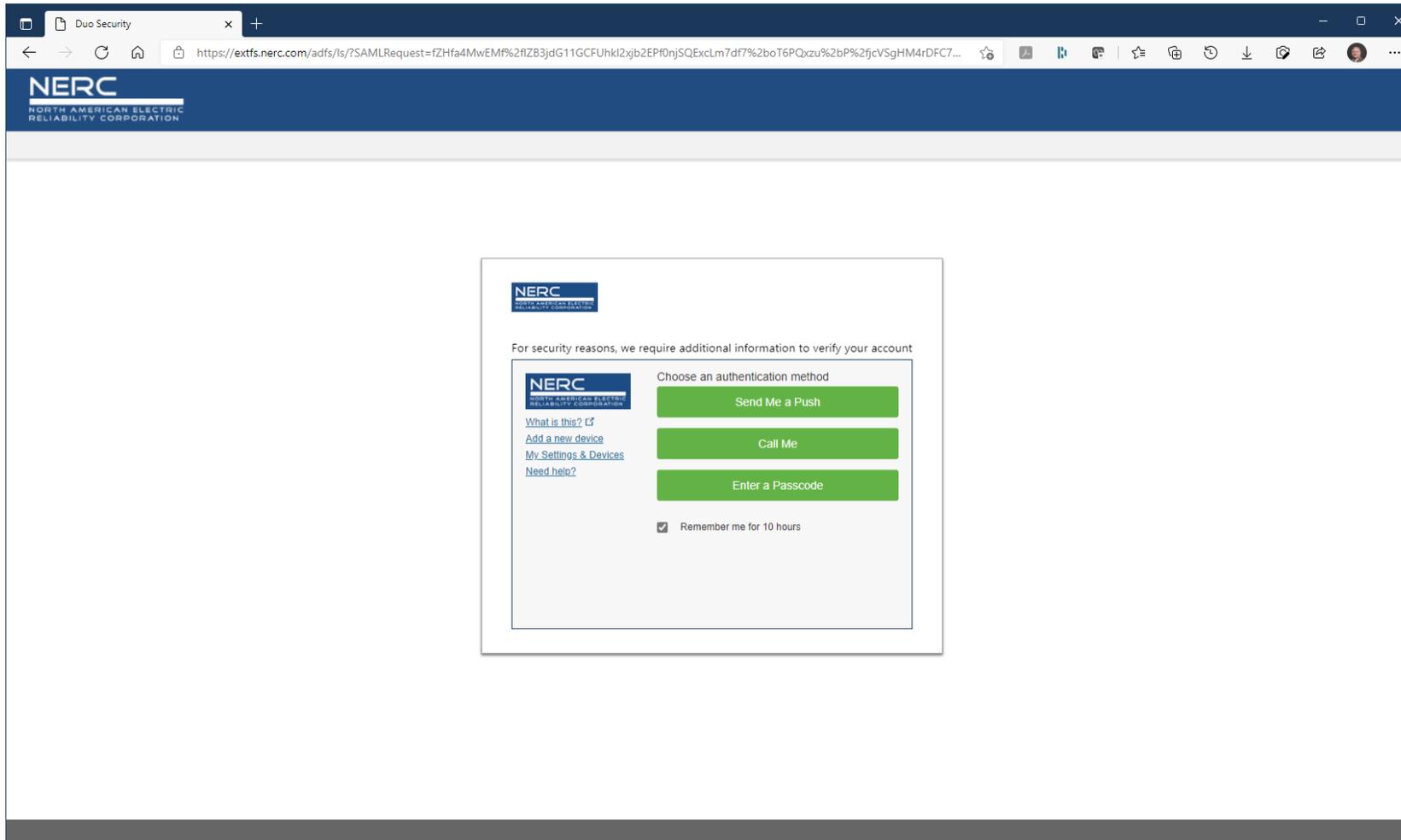
ENTITY staff should access Align from the ERO Portal using their ERO Portal credentials



Enter ERO Portal username



Enter ERO Portal password



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

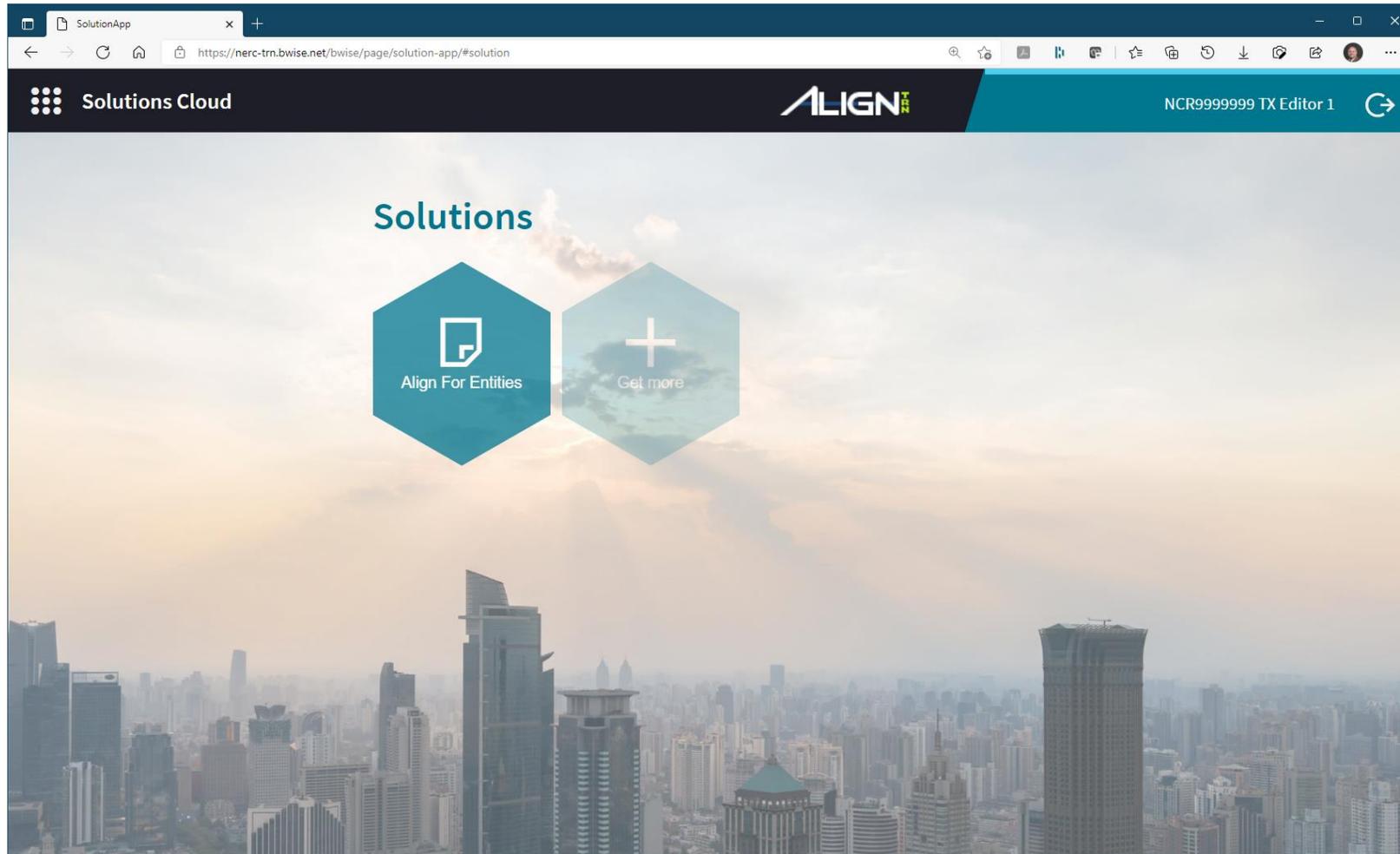
Slido Question

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

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



Accessing Align



Accessing Align



Assigned To Me

Welcome to Release 2 of the **Align** system! This is your **Dashboard** screen. Navigate the system by selecting activities above. You can create **Self Reports and Self Logs**, perform **Periodic Data Submittals**, and execute **Self-Certifications**. In the **Enforcement**

MY TASKS

<input type="checkbox"/>	TYPE	UNIQU...	REGION OR LRE	STATUS	NCR	REGIS...	STAN...	REQ	DUE DATE
<input type="checkbox"/>	RFI for SelfCerts	RF21-000636	TXRE	Awaiting your...	NCR99999 - TXRE	Training Energy...	FAC-003-4	R1.	08/28/2021
<input type="checkbox"/>	RFI for SelfCerts	RF21-000642	TXRE	Awaiting your...	NCR99999 - TXRE	Training Energy...	CIP-004-6, CIP-...	R1., R2., R2., R...	08/28/2021
<input type="checkbox"/>	RFI for SelfCerts	RF21-000643	TXRE	Awaiting your...	NCR99999 - TXRE	Training Energy...	FAC-003-4	R1.	08/29/2021
<input type="checkbox"/>	RFI for SelfCerts	RF21-000667	TXRE	Awaiting your...	NCR99999 - TXRE	Training Energy...	FAC-003-4	R1.	09/05/2021
<input type="checkbox"/>	RFI for SelfCerts	RF21-000678	TXRE	Awaiting your...	NCR99999 - TXRE	Training Energy...	FAC-003-4	R1.	09/16/2021
<input type="checkbox"/>	RFI for SelfCerts	RF21-000687	TXRE	Awaiting your...	NCR99999 - TXRE	Training Energy...	FAC-003-4	R1.	10/15/2021
<input type="checkbox"/>	RFI for SelfCerts	RF21-000688	TXRE	Awaiting your...	NCR99999 - TXRE	Training Energy...	FAC-003-4	R1.	10/15/2021

Page 1 of 2

STATUS OF MY FINDINGS

PNC Review



Reviewing a Scheduled Engagement

Reviewing a Scheduled Engagement



My Align

Align For Entities

My Dashboard and Tasks

NCR9999999 TX Editor 1

Assigned To Me

ALIGN TRAINING

Welcome to Release 2 of the **Align** system! This is your **Dashboard** screen. Navigate the system by selecting activities above. You can create **Self Reports and Self Logs**, perform **Periodic Data Submittals**, and execute **Self-Certifications**. 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

MY TASKS

<input type="checkbox"/>	TYPE	UNIQUE...	REGION OR LRE	STATUS	NCR	REGIST...	STANDA...	REQ	DUE DATE
<input type="checkbox"/>	RFI for SelfCerts	RF21-000636	TXRE	Awaiting your...	NCR9999999 - TXRE	Training Energy...	FAC-003-4	R1.	08/28/2021
<input type="checkbox"/>	RFI for SelfCerts	RF21-000642	TXRE	Awaiting your...	NCR9999999 - TXRE	Training Energy...	CIP-004-6, CIP-003...	R1., R2., R2., R3,....	08/28/2021
<input type="checkbox"/>	RFI for SelfCerts	RF21-000643	TXRE	Awaiting your...	NCR9999999 - TXRE	Training Energy...	FAC-003-4	R1.	08/29/2021
<input type="checkbox"/>	RFI for SelfCerts	RF21-000667	TXRE	Awaiting your...	NCR9999999 - TXRE	Training Energy...	FAC-003-4	R1.	09/05/2021
<input type="checkbox"/>	RFI for SelfCerts	RF21-000678	TXRE	Awaiting your...	NCR9999999 - TXRE	Training Energy...	FAC-003-4	R1.	09/16/2021
<input type="checkbox"/>	RFI for SelfCerts	RF21-000687	TXRE	Awaiting your...	NCR9999999 - TXRE	Training Energy...	FAC-003-4	R1.	10/15/2021
<input type="checkbox"/>	RFI for SelfCerts	RF21-000688	TXRE	Awaiting your...	NCR9999999 - TXRE	Training Energy...	FAC-003-4	R1.	10/15/2021
<input type="checkbox"/>	RFI for SelfCerts	RF21-000689	TXRE	Awaiting your...	NCR9999999 - TXRE	Training Energy...	FAC-003-4	R1.	10/15/2021

Page 1 of 2

NEWS AND UPDATES

STATUS OF MY FINDINGS

PNC Review -

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

Align For Entities

NCR9999999 TX Editor 1

SCHEDULE ID	REGISTRATION	ENGAGEMENT TYPE	ENGAGEMENT SCOPE	NERC/ FERC-LED	START DATE	END DATE
SH22-00038	NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE	Compliance Audit	Both	N/A	05/23/2022	06/03/2022
SH22-00042	NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE	Compliance Audit	Both	N/A	05/23/2022	06/03/2022
SH22-00044	NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE	Compliance Audit	Both	N/A	05/23/2022	06/03/2022

Page 1 of 1

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**

The screenshot shows the ALIGN software interface. At the top, there is a navigation bar with 'Align for Regions' and 'MRO Editor 1'. Below this is a 'My Align' dropdown menu with options: My Align, Risk and Planning, Self Reports and Logs, Periodic Data Submittals, Self Certifications, and Audits and Spot Checks. A yellow circle with the number '1' highlights the 'Audits and Spot Checks' option. Below the dropdown is a 'Monitoring Engagement Status' table with columns: AUDIT NAME, TYPE NAME, AUDIT STATUS, and an information icon. A yellow circle with the number '2' highlights the ID 'ME21-00244' in the first column of the table.

AUDIT NAME	TYPE NAME	AUDIT STATUS	
ME21-00269	Compliance Audit	In Progress	View Requirement Status
ME21-00267	Compliance Audit	In Progress	View Requirement Status
ME21-00240	Compliance Audit	In Progress	View Requirement Status
ME21-00244	Spot Check	In Progress	View Requirement Status
ME21-00241	Compliance Audit	Closed	View Requirement Status
ME21-00239	Compliance Audit	Final Response	View Requirement Status
ME21-00238	Compliance Audit	In Progress	View Requirement Status
ME21-00195	Compliance Audit	In Progress	View Requirement Status

Reviewing Assigned Resources



The screenshot shows a web browser window with the URL https://nerc-trn.bwise.net/bwise/page/solution-app/#solution/RE/Registered_Entity_Acts_ME/MonEngs. The application header includes 'Audits and Spot Checks' and 'Align For Entities'. A modal window for audit 'ME22-00038' is open, displaying the 'Assigned Resources' section. The table below shows the assigned resources for various audit roles.

AUDIT ROLE	ASSIGNED RESOURCES
Audit Team Lead - CIP	TXRE Editor 2
Audit Team Lead - OP	TXRE Editor 2
Member - CIP	Ben Gregson, Dennis Glass, Devin Kitchens, Eric Newnam, Jeff Hargis
Member - OP	Ben Gregson, Dennis Glass, Devin Kitchens, Eric Newnam, Jeff Hargis
Observers	
Primary - CIP	Ben Gregson, Dennis Glass, Devin Kitchens, Eric Newnam, Jeff Hargis
Primary - OP	Ben Gregson, Dennis Glass, Devin Kitchens, Eric Newnam, Jeff Hargis

Below the table, there is a section for 'Outside Observers' and two buttons: 'Edit' and 'Close'.

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**

The screenshot shows the ALIGN web application interface. At the top, there is a navigation bar with 'Align for Regions' and 'MRO Editor 1'. Below this is a 'My Align' dropdown menu with options: My Align, Risk and Planning, Self Reports and Logs, Periodic Data Submittals, Self Certifications, and Audits and Spot Checks. A yellow circle with the number '1' highlights the 'Audits and Spot Checks' option. Below the menu, there is a section for 'Audits and Spot Checks' with a dropdown arrow. A yellow circle with the number '2' highlights the 'Monitoring Engagement Status' link. Below this is a table titled 'MONITORING ENGAGEMENT STATUS' with columns: AUDIT NAME, TYPE NAME, AUDIT STATUS, and an information icon. The table contains several rows of audit records.

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

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

The screenshot displays the 'ANP' (Audit Notification Package) interface. At the top, there are tabs for 'General', 'Working Papers', 'ANP', and 'Reports'. The 'ANP' tab is selected and highlighted with a blue circle labeled '4'. Below the tabs, the 'General' section contains fields for 'ANP Visibility Date' (December 3, 2021) and 'ANP Deadline Date' (August 4, 2021). There is also a field for 'Additional Notes/Instructions' with the text 'relevant instructions'. Below this are several expandable sections: 'ANP Documents' (labeled '5'), 'Audit Notification Letter', and 'Pre-Audit Survey'. The 'Registered Entity Comments' section is expanded, showing a large text input area (labeled '7') and a blue circle labeled '6' next to the section header. At the bottom of the interface, there are buttons for 'Update' and 'Close' (labeled '8'), and another set of 'Edit' and 'Close' buttons (labeled '3').

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**

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

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

3 Select the **Working Papers** tab

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

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

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

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

The screenshot shows a web application interface for 'Working Papers'. At the top, there are tabs for 'General' and 'Working Papers'. A callout '3' points to the 'Working Papers' tab. Below the tabs, there is a list of 'SUBJECT' items with IDs: 'BAL-005-1 R3', 'CP-003-8 R2', 'CP-003-8 R3', 'CP-004-6 R1', and 'CP-004-6 R2'. A callout '4' points to the 'CP-003-8 R2' ID. A modal window titled 'Audit Execution' is open, showing 'CIP-003-8 R2'. Inside this modal, there is a 'Compliance Narrative' section with a large text area and a callout '5'. Below that is a 'Registered Entity Evidence' section with a table and a callout '6'. The table has columns: 'File Name', 'Document Title', 'Revision or Version', 'Document Date', 'Relevant Page(s) or Section(s)', and 'Description of Applicability of Document'. At the bottom of the modal, there is a 'Report Narrative (CEA)' section and buttons for 'Submit for Review', 'Save Draft', and 'Close'.

To add a Note to the RSAW:

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

The screenshot shows the 'Audit Execution' window with a table at the top. Below the table is the 'Report Narrative (CEA)' section. The 'Notes' section is expanded, showing a plus icon (8) and a 'COMMENT' field. The 'Note' modal is open, showing a 'Comment' field (9), 'Addressees' (10), and 'Priority' (11) dropdowns. The 'Note' modal has 'Update' and 'Close' buttons at the bottom.

To save your changes:

- 13 Click the **Save Draft button**

To submit the RSAW for review:

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

Audit Execution

Report Narrative (CEA)

Issue

Notes

Notes

<input type="checkbox"/>	COMMENT	AUTHOR	RESPONSE
This table is empty			

14 Submit for Review Save Draft 13

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.

The screenshot shows the ALIGN web application interface. At the top, there is a navigation bar with 'Align for Regions' and 'MRO Editor 1'. Below this, a 'My Align' dropdown menu is open, showing options: 'My Align', 'Risk and Planning', 'Self Reports and Logs', 'Periodic Data Submittals', 'Self Certifications', and 'Audits and Spot Checks'. A yellow circle with the number '1' highlights the 'Audits and Spot Checks' option. Below the dropdown, the 'Audits and Spot Checks' section is active, showing a 'Monitoring Engagement Status' table. A yellow circle with the number '2' highlights the table. A yellow arrow with the letter 'A' points to the 'View Requirement Status' link in the table. The table has the following data:

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

Requests for Information (cont.)



Audits and Spot Checks Align For Entities

ME22-00038 | Requirement Status

REQUIREMENT DASHBOARD		RFI/TASK STATUS			
REQUIREMENT	STATUS	ID	TYPE	DUE DATE	STATUS
CIP-003-8 R1.	Not Started	AT22-00005	Task	02/11/2022	Open
CIP-003-8 R2.	Not Started	RI22-00009	RFI	02/25/2022	CEA Review
CIP-003-8 R3.	Not Started	RI22-00010	RFI	03/02/2022	Registered Entity Processing
CIP-003-8 R4.	Not Started	RI22-00011	RFI	03/02/2022	CEA Review
PRC-012-2 R1.	Not Started	RI22-00028	RFI	03/26/2022	Registered Entity Processing
PRC-012-2 R3.	Not Started				
PRC-012-2 R5.	Not Started				
PRC-012-2 R6.	Not Started				
PRC-012-2 R7.	Not Started				
PRC-012-2 R8.	Not Started				

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

Requests for Information (cont.)



ME22-00038 | RI22-000028

Request for Information

Requirement(s)	Entity Comments
CIP-003-8 R3.; CIP-003-8 R4.; CIP-003-8 R1.; CIP-003-8 R2.	
Requestor TXRE Editor 2	
Requestor Comments For each BES asset containing a low impact BES Cyber System in Sample Set SS-003-R2-L2-02, provide the following evidence: 1. Representative diagram(s) of the specific implementation of electronic access control(s); 2. The inbound and outbound electronic access permissions; and 3. Documentation that the enabled inbound and outbound electronic access are necessary. Sample Set SS-003-R2-L2-02: BES Asset Index #1, 3, 6, 8.	
Requestor Attachments	
Request Sent On February 24, 2022	
Response Due By March 26, 2022	

RI22-000028 FORM-RE-ARPTASK2-View w

[Close](#)

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)

The screenshot shows a web interface for an Audit Request for Information (RFI) with ID ME21-00238. The form is titled "Audit Request for Information" and includes a table of RFI entries. The first entry is highlighted, and a pop-up form is open for it. The pop-up form has several sections: "Acknowledge Receipt of Audit RFI" with a checked checkbox, "Request for Information" with fields for Requirement(s), Requestor, Requestor Comments, Request Sent On, and Response Due By; "Secure Evidence Locker Instructions" with a text area for SEL Locker Reference; and an "Action" section with a dropdown menu set to "Submit" and "Update" and "Close" buttons. Numbered callouts (3-8) point to the "Audit Request for Information" section, the RFI ID, the "Acknowledge Receipt of Audit RFI" checkbox, the "Request for Information" section, the "comments" text area, the "Submit" dropdown, and the "Update" button.

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

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

Request for Information
Requirement(s): BAL-002-3 R3.; BAL-002-3 R1.; BAL-002-3 R2.
Requestor: MRO Editor 1
Requestor Comments: test
Request Sent On: November 9, 2021
Response Due By: December 9, 2021

Secure Evidence Locker Instructions
SEL Locker Reference: Submit Evidence or Attachments related to this Self-Cart via EPO Secure Evidence Locker (SEL) with the following reference number: MRO|NCR999999| ME21-00238|ME21-00238|RI21-000084||
If the entity is hosting its own SEL, please provide a hyperlink to their locker in the comment section above.

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

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

The screenshot shows the ALIGN web application interface. At the top, there is a navigation bar with 'My Align' and 'Align for Regions'. A dropdown menu is open under 'My Align', showing options: 'My Align', 'Risk and Planning', 'Self Reports and Logs', 'Periodic Data Submittals', 'Self Certifications', and 'Audits and Spot Checks'. A yellow circle with the number '1' highlights the 'Audits and Spot Checks' option. Below this, the 'Audits and Spot Checks' page is shown with a sub-tab for 'Monitoring Engagement Status'. A table titled 'MONITORING ENGAGEMENT STATUS' is displayed with columns: AUDIT NAME, TYPE NAME, AUDIT STATUS, and an information icon. The table contains several rows of audit records. A yellow circle with the number '2' highlights the ID 'ME21-00244' in the first column. A yellow arrow with the letter 'A' points to the information icon in the fourth column of the same row.

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

ME21-00134

General Working Papers ANP **Report**

Reports

TYPE	DATE SENT
Draft Non-Public Report	03/01/2022

FORM 01_Audit_Report

Edit Close

Click the Report tab

Click the Draft Non-Public Report link

ME21-00134 | Report

General Information | Summary of Findings | Detailed Findings | Detailed AoCs, Recommendations, and Positive Observations | Culture and Participants | Review

NCR NUMBER	ENTITY NAME	TYPE	DISTRIBUTION	CEA	OPENING PRESENTATION DATE	CLOSING PRESENTATION DATE	MONITORING PERIOD	DATE SENT TO ENTITY	JURISDICTION
NCR04015	Fake Power	Both		TXRE			2018-10-13 00:00:00 00000000 - 2021-10-13 00:00:00 00000000	03/01/2022	TXRE-US

Page 1 of 1

Update Close

Contains Entity/Engagement Information

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

ME21-00134 | Report

General Information | **Summary of Findings** | Detailed Findings | Detailed AoCs, Recommendations, and Positive Observations | Culture and Participants | Review

CEA	NCR ID	REGISTERED FUNCTIONS	NO. OF NO FINDING REQUIREMENTS	NO. OF FNCS	NO. OF OEAS	NO. OF NIA
 TXRE	NCR01234 - Fake Power	DP, GO, GOP, TO, TOP, TP	1	2	1	1

Page 1 of 1

Update Close

Contains the over all count of findings

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

ME21-00134 | Report

General Information Summary of Findings **Detailed Findings** Detailed AoCs, Recommendations, and Positive Observations Culture and Participants Review

REGION(S) IN WHICH THE FINDING OCCURRED	NCR ID	ADD. REGISTRATIONS IMPACTED	AFFECTED REGION (ARES)	STANDARD AND REQUIREMENT	REGISTERED FUNCTIONS	CATEGORY OF FINDING	ID	REPORT NARRATIVE
TXRE	NCR01234	NCR01234 - Fake Power		CIP-003-B R1.	TOP, TO, GOP, DP, GO	PNC	2022-50003	Test and more Test

Page 1 of 1

Update Close

Lists each finding

Click the Export icon to export a copy of the tables

ME21-00134 | Report

General Information Summary of Findings Detailed Findings Detailed AoCs, Recommendations, and Positive Observations Culture and Participants Review

REGION(S) IN WHICH THE FINDING OCCURRED	NCR ID	ADD. REGISTRATIONS IMPACTED	STANDARD AND REQUIREMENT	REGISTERED FUNCTIONS	CATEGORY	ID
TXRE	NCR01234 - Fake Power		CIP-003-8 R1.	DP, GO, GOP, TO, TOP, TP	ADC	AC22-00055
TXRE	NCR01234 - Fake Power		CIP-003-8 R1.	DP, GO, GOP, TO, TOP, TP	PO	PO22-00085
TXRE	NCR01234 - Fake Power		CIP-003-8 R1.	DP, GO, GOP, TO, TOP, TP	REC	RC22-00044

Page 1 of 1

Update Close

Lists each AOC, Recommendation, Positive observation

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

ME21-00134 | Report

General Information Summary of Findings Detailed Findings Detailed AoCs, Recommendations, and Positive Observations **Culture and Participants** Review

CULTURE

COMPLIANCE CULTURE

Compliance Culture

PARTICIPANTS

ROLE	NAME(S)
Audit Team Lead - CIP	TRE Editor 1
Member - CIP	TRE Editor 2, TRE Editor 3, TRE Editor 4
Primary - CIP	TRE Editor 1

Page 1 of 1

Update Close

Lists Culture of compliance Narrative and Participants

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

ME21-00134 | Report

General Information Summary of Findings Detailed Findings Detailed AoCs, Recommendations, and Positive Observations Culture and Participants **Review**

Comment

Due Date to provide comments March 11, 2022

Entity Comments

FORM01_RE_Review_Draft

Update Close

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

Email Notifications



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



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



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



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



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



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

**Current list of
Email Notifications
associated with
Audits and Spot
Checks**

**Additional
notifications may
be added in the
future**

From: noreply@bwise.net <noreply@bwise.net>

Subject: Audit Notification Packet (ANP) for ME22-00000 has been sent



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@TrainingEnergyCorp.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

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 - NCR99999999 - 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**

From: noreply@bwise.net <noreply@bwise.net>

Subject: Audit Draft Report for ME22-00000 is Available for Review

 Automatic email alert

**Audit Draft
Report is
Available for
Review**

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

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.

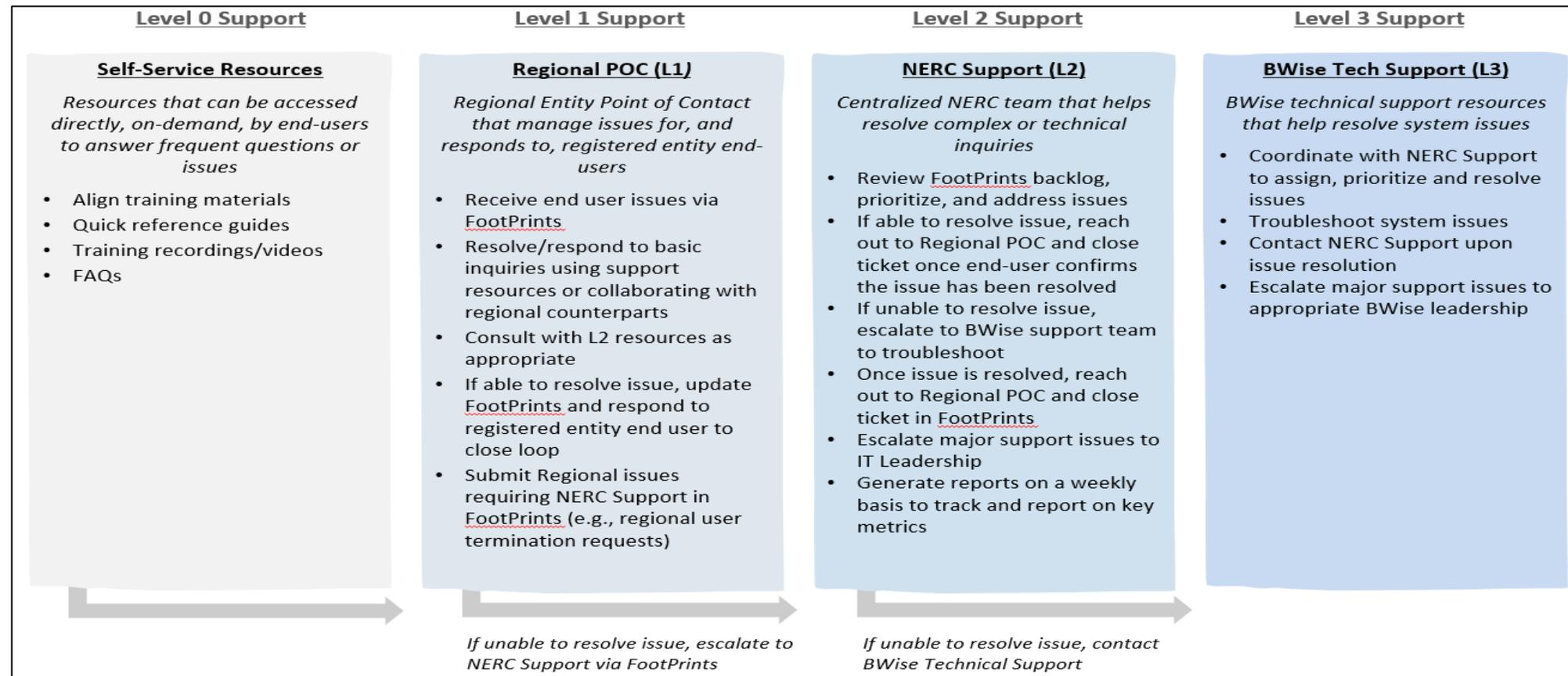
Final Non-Public Report has been Published

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

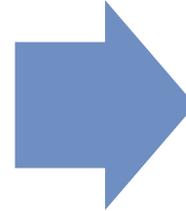
Sincerely,
Team Align

How to Enter a Help Desk / FootPrints Ticket

- Submit ticket to: <https://support.nerc.net/> through the [ERO Portal](#)
- Routed to Texas RE staff for resolution



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



Select Help Desk

Complete the Captcha



NERC Helpdesk Ticket Submission System

Please complete the Captcha below.



About the ERO Portal

[NERC.com](#) | [Account Log-In/Register](#) | [Legal & Privacy](#) | [Trademark Policy](#) | [Careers](#) | [Contact Us](#)

Atlanta Office | 3353 Peachtree Road, NE Suite 600 North Tower, Atlanta, GA 30326 | 404-446-2560

Washington Office | 1325 G Street, NW Suite 600, Washington, DC 20005 | 202-400-3000

Copyright 2019 North American Electric Reliability Corporation. All rights reserved.

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.

NERC
NORTH AMERICAN ELECTRIC
RELIABILITY CORPORATION

NERC Helpdesk Ticket Submission System

Submit

* required fields | Home | Contact Us

Submit a new Ticket

Title *

Region * Priority *

Service * Category * Sub-Category

File Attachment (If you need to send multiple files, please create a single zip file)

Your Personal Information

Last Name * First Name * Email Address

User ID Phone * (Format: xxx-xxx-xxxx) Company *

Description

Description * (1000 characters remaining)

Submit

- **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.

NERC
NORTH AMERICAN ELECTRIC
RELIABILITY CORPORATION

NERC Helpdesk Ticket Submission System

Submit

* required fields | Home | Contact Us

Submit a new Ticket

Title *

Region * Priority *

Service * Category * Sub-Category

File Attachment (if you need to send multiple files, please create a single zip file)

Your Personal Information

Last Name * First Name *

User ID Phone * (Format: xxx-xxx-xxxx) Company *

Description

Description * (1000 characters remaining)

Submit

Align and ERO SEL Outages



NERC
NORTH AMERICAN ELECTRIC
RELIABILITY CORPORATION

NERC Helpdesk Ticket Submission System

IT is performing maintenance on Feb. 26th & 27th, so you may experience intermittent application outages

Please complete the Captcha below.



About the ERO Portal

[NERC.com](#) | [Account Log-In/Register](#) | [Legal & Privacy](#) | [Trademark Policy](#) | [Careers](#) | [Contact Us](#)

Atlanta Office | 3353 Peachtree Road, NE Suite 600 North Tower, Atlanta, GA 30326 | 404-446-2560
Washington Office | 1325 G Street, NW Suite 600, Washington, DC 20005 | 202-400-3000
Copyright 2019 North American Electric Reliability Corporation. All rights reserved.

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

NERC
NORTH AMERICAN ELECTRIC
RELIABILITY CORPORATION

NERC Helpdesk Ticket Submission System

IT is performing maintenance on Feb. 26th & 27th, so you may experience intermittent application outages

* required fields | [Home](#) | [Contact Us](#)

Submit a new Ticket

Title * **Region *** **Priority ***

Service *

File Attachment *(if you need to send multiple files, please create a single zip file)*
 No file chosen

Your Personal Information

Last Name * <input type="text"/>	First Name * <input type="text"/>	Email Address * <input type="text"/>
User ID <input type="text"/>	Phone * <i>(Format: xxx-xxx-xxxx)</i> <input type="text"/>	Company * <input type="text"/>

Description

Description * (1000 characters remaining)

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 (selfesting@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...

✓ **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.

2016 07 13_NERC Glossary.pdf

Step 3 - Submit Evidence

Verify all documents meet submission standards, then click "Submit" to complete.

Secure Evidence Locker

Submitter3 Entity (selfesting@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...

✓ **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.

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.

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.

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

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

Resources, Stay Informed, and Training

Registered Entity Training Materials

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

10. Scheduled Engagements		
🕒	33) Reviewing Scheduled Engagements (1m 37s)	00:01:37
🕒	34) Reviewing the ANP (1m 17s)	00:01:17
🕒	35) Working Papers (2m 22s)	00:02:22
🕒	36) Viewing Monitoring Engagement Status (31s)	00:00:31
🕒	37) Responding to RFIs (1m 50s)	00:01:50
🕒	38) Reviewing the Engagement Report (1m 35s)	00:01:35

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](#)

- **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/>



The background of the slide features a blurred Texas state flag on the left and a target with several darts on the right. The darts are clustered in the center of the target, suggesting a focus on a specific point.

Questions?



TEXAS RE

Ensuring electric reliability for Texans