



TEXAS RE

ALIGN

Align Release 4.0 & 4.5 Training

February 23, 2023

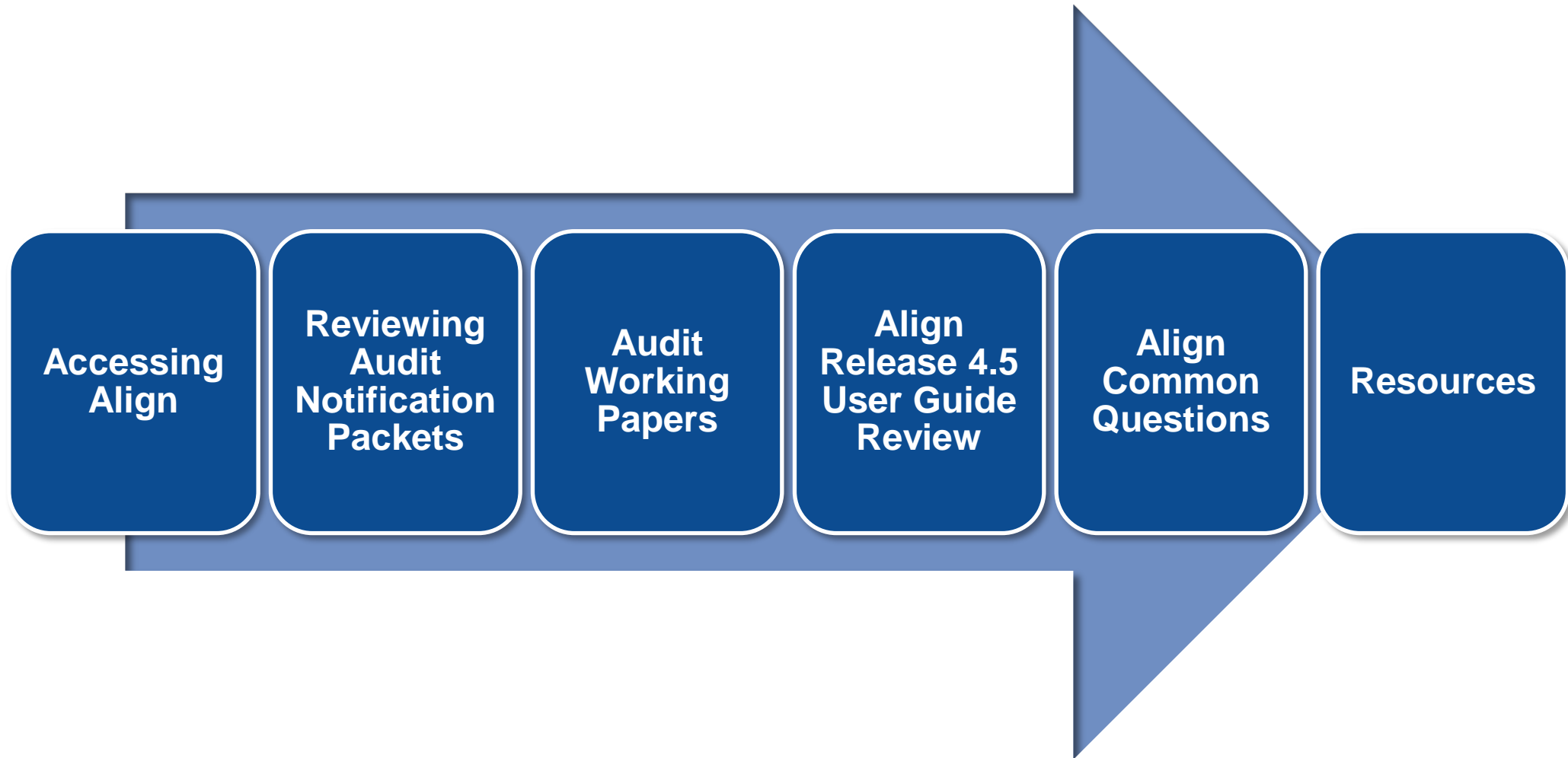
Antitrust Admonition

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Agenda



Presenters



Devin Kitchens
Compliance Team Lead



Jeff Hargis
Manager, Risk Assessment



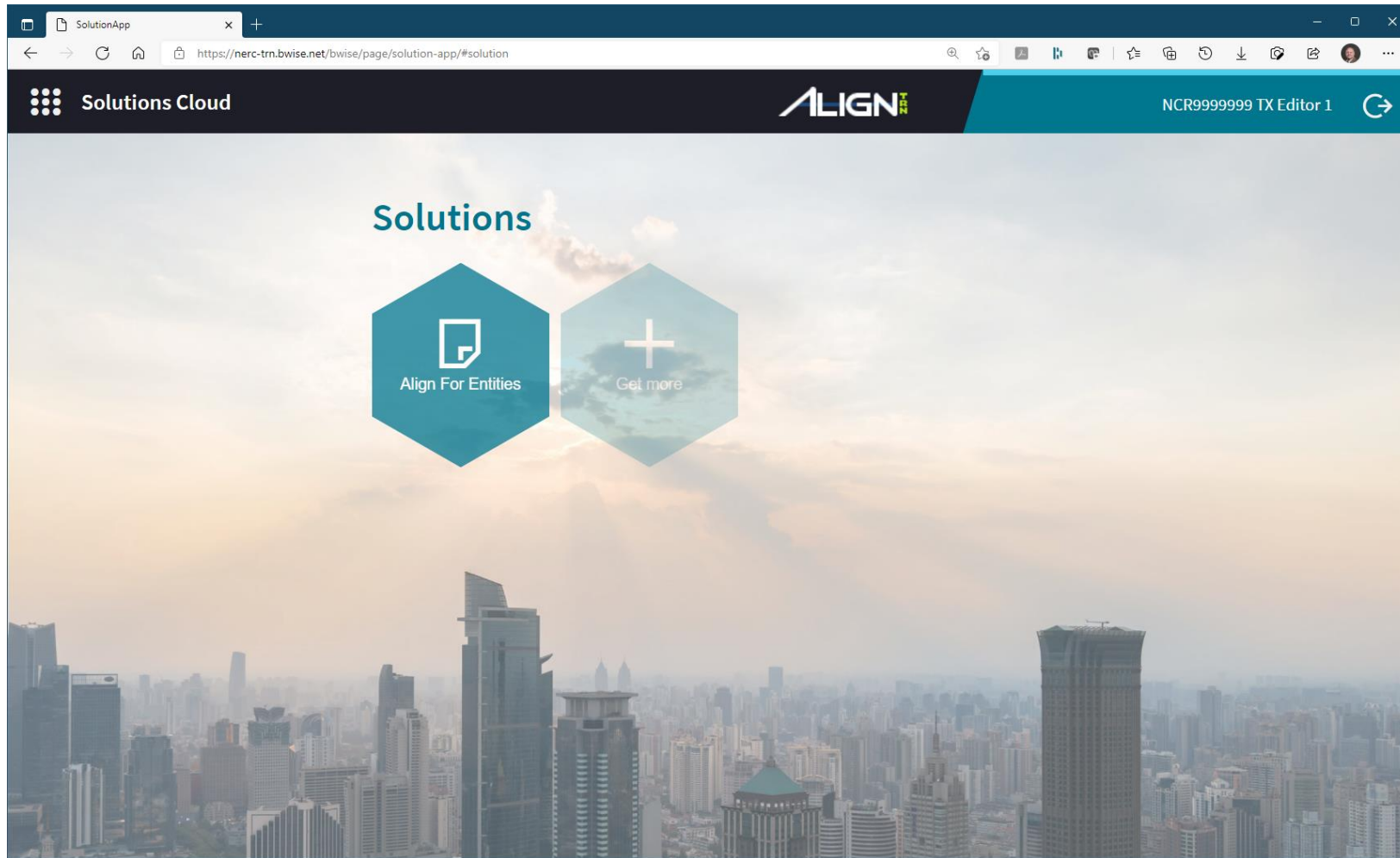
Eric Newnam
O&P Compliance Engineer



Sridhar Pushpavanam
Senior Risk Assessment Engineer



Accessing Align



Landing page

Accessing Align

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**

TYPE	UNIQUE ID	REGION OR LRE	STATUS	NCR	REGISTRATION	STANDARD	REQ	DUE DATE
RFI for SelfCerts	RF21-000636	TXRE	Awaiting your...	NCR999999 - TXRE	Training Energy...	FAC-003-4	R1.	08/28/2021
RFI for SelfCerts	RF21-000642	TXRE	Awaiting your...	NCR999999 - TXRE	Training Energy...	CIP-004-6, CIP...	R1., R2., R...	08/28/2021
RFI for SelfCerts	RF21-000643	TXRE	Awaiting your...	NCR999999 - TXRE	Training Energy...	FAC-003-4	R1.	08/29/2021
RFI for SelfCerts	RF21-000667	TXRE	Awaiting your...	NCR999999 - TXRE	Training Energy...	FAC-003-4	R1.	09/05/2021
RFI for SelfCerts	RF21-000678	TXRE	Awaiting your...	NCR999999 - TXRE	Training Energy...	FAC-003-4	R1.	09/16/2021
RFI for SelfCerts	RF21-000687	TXRE	Awaiting your...	NCR999999 - TXRE	Training Energy...	FAC-003-4	R1.	10/15/2021

Page 1 of 2

STATUS OF MY FINDINGS

PNC Review



Dashboard

Reviewing the Audit Notification Packet



Reviewing the Audit Notification Packet

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 displays the ALIGN system interface. At the top, there's 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 first row of the table, which has the ID 'ME21-00269'. The table has columns for 'AUDIT NAME', 'TYPE NAME', 'AUDIT STATUS', and an information icon. The data rows show various audit types and statuses.

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 Packet

- 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 Packet) interface. At the top, there are tabs for 'General', 'Working Papers', 'ANP', and 'Rep'. The 'ANP' tab is selected. Below the tabs, the 'General' section is visible, containing fields for 'ANP Visibility Date' (December 3, 2021) and 'ANP Deadline Date' (August 4, 2021). There is also a field for 'Additional relevant instructions'. Below this, there are expandable sections for 'ANP Documents', 'Audit Notification Letter', and 'Pre-Audit Survey'. The 'Registered Entity Comments' section is expanded, showing a large text area for comments. At the bottom of the interface, there are 'Update' and 'Close' buttons. The numbered callouts indicate the following steps: 3. Click 'Edit' on the Monitoring Engagement record (pointing to the bottom of the screen); 4. Select the 'ANP tab' (pointing to the 'ANP' tab); 5. Click any of the headers to expand and review the information (pointing to the 'ANP Documents' header); 6. Click to expand the 'Registered Entity Comments' section (pointing to the 'Registered Entity Comments' header); 7. Type any comments in the textbox (pointing to the comment text area); 8. Click 'Update' to save your comments (pointing to the 'Update' button).



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 displays the ALIGN system interface. At the top, the '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 menu, the 'Audits and Spot Checks' view is active, showing a table titled 'MONITORING ENGAGEMENT STATUS'. A yellow circle with the number '2' highlights the first row of the table, which contains the ID 'ME21-00269'. The table has four columns: AUDIT NAME, TYPE NAME, AUDIT STATUS, and a link icon. The data rows are as follows:

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 / Respected	View Requirement Status
ME21-00238	Compliance Audit	In Progress	View Requirement Status
ME21-00186	Compliance Audit	In Progress	View Requirement Status



Reviewing Assigned Resources

The screenshot shows a web application interface for 'SolutionApp'. The browser address bar displays the URL: https://nerc-trn.bwise.net/bwise/page/solution-app/#solution/RE/Registered_Entity_Acts_ME/MonEngs. The application has a dark teal header with a navigation menu on the left containing 'Audits and Spot Checks' and 'Align For Entities'. The main content area is titled 'ME22-00038' and 'Assigned Resources'. It features a table with two columns: 'AUDIT ROLE' and 'ASSIGNED RESOURCES'. The table lists various roles and their corresponding assigned resources. At the bottom of the table, there is a section for 'Outside Observers'. Below the table, there are two buttons: 'Edit' (green) and 'Close' (blue).

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

Outside Observers

[Edit](#) [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**

The screenshot displays a web application interface for reviewing assigned resources. The main form is titled "ME21-00269" and includes fields for "End Date" (March 17, 2022), "Monitoring Period Start Date" (March 2, 2021), "Monitoring Period End Date" (December 1, 2021), and "Post Audit Survey" (link.com). Below these fields is a section titled "Assigned Resources". This section contains a table with columns "Outside Observers" and "Name and Role". The first row shows "Objection to Audit Team" selected in the dropdown, with a large text area for "Justification for Objection" and a "Confirmation for Objection" checkbox. The second row shows "No Objection to Audit Team" selected. At the bottom of the form, there are "Update" and "Close" buttons. Numbered callouts (3-7) indicate the steps: 3 points to the "Edit" button at the bottom left; 4 points to the "Objection to Audit Team" dropdown; 5 points to the "Justification for Objection" text area; 6 points to the "Confirmation for Objection" checkbox; and 7 points to the "Update" button.



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 displays the ALIGN system interface. At the top, the '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 blue circle with the number '1' highlights the 'Audits and Spot Checks' option. Below this, the 'Audits and Spot Checks' section is active, showing a 'Monitoring Engagement Status' table. A blue circle with the number '2' highlights the ID 'ME21-00244' 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



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.

3

4

5

6

Working Papers

Audit Execution

CIP-003-S R2.

Compliance Narrative: Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Registered Entity Evidence

File Name	Document Title	Revision or Version	Document Date	Relevant Page(s) or Section(s)	Description of Applicability of Document

Report Narrative (CEA)

Submit for Review Save Draft Close



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 displays the ALIGN system interface. At the top, the '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 this, the 'Audits and Spot Checks' view is selected, showing a 'Monitoring Engagement Status' table. A yellow circle with the number '2' highlights the ID 'ME21-00244' in the table. A yellow arrow with the letter 'A' points to the 'View Requirement Status' link in the same row.

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	RI22-000009	RFI	02/25/2022	CEA Review
CIP-003-8 R3.	Not Started	RI22-000010	RFI	03/02/2022	Registered Entity Processing
CIP-003-8 R4.	Not Started	RI22-000011	RFI	03/02/2022	CEA Review
PRC-012-2 R1.	Not Started	RI22-000028	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)	CIP-003-8 R3.; CIP-003-8 R4.; CIP-003-8 R1.; CIP-003-8 R2.	Entity Comments
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-ARFTASK2-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 displays the 'ME21-00238' Audit Request for Information form. The form is titled 'ME21-00238' and has a status of 'No Objection to Audit Team'. The 'Audit Request for Information' section is highlighted with a blue circle labeled '3'. Below this, a table lists RFI entries with columns for ID, CATEGORY, DUE DATE, STATUS, CEA COMMENTS, and REGISTRATION COMMENTS. The entry with ID 'RI21-000084' is highlighted with a blue circle labeled '4'. A yellow arrow labeled 'A' points to the 'STATUS' column for this entry, which shows 'CEA Review'. A modal window titled 'ME21-00238 | RI21-000084' is open, showing the 'Acknowledge Receipt of Audit RFI' section with a checked checkbox, highlighted with a blue circle labeled '5'. Below this is the 'Request for Information' section, which includes 'Requirement(s)', 'Requestor', 'Requestor Comments', 'Requestor Attachments', 'Request Sent On', and 'Response Due By'. The 'Requirement(s)' field contains 'BAL-002-3 R3.; BAL-002-3 R1.; BAL-002-3 R2.'. The 'Requestor' field contains 'MRO Editor 1'. The 'Requestor Comments' field contains 'test'. The 'Request Sent On' field contains 'November 9, 2021'. The 'Response Due By' field contains 'December 9, 2021'. The 'Request for Information' section is highlighted with a blue circle labeled '6'. Below this is the 'Secure Evidence Locker Instructions' section, which includes 'SEL Locker Reference' and 'Instructions'. The 'SEL Locker Reference' field contains 'MRO[NCR999999] ME21-00238[ME21-00238][RI21-000084]'. The 'Instructions' field contains 'Submitting Evidence or Attachments related to this Self-Cert via ERO Secure Evidence Locker (SEL) with the following reference number:'. The 'Instructions' section is highlighted with a blue circle labeled '7'. At the bottom of the modal window, there is an 'Action' section with a dropdown menu set to 'Submit' and buttons for 'Update' and 'Close'. The 'Update' button is highlighted with a blue circle labeled '8'.





TEXAS RE

Align 4.5 Training – Common Questions, Resources, & Wrap-up

February 23, 2023

When is the Align 4.5 rollout?

Texas RE expects new IRAs to start using Align in April 2023, and new COPs to start using Align in July 2023.



What becomes of Extranet based questionnaires/ interactions?

The Align platform is expected to replace Extranet-based interactions.



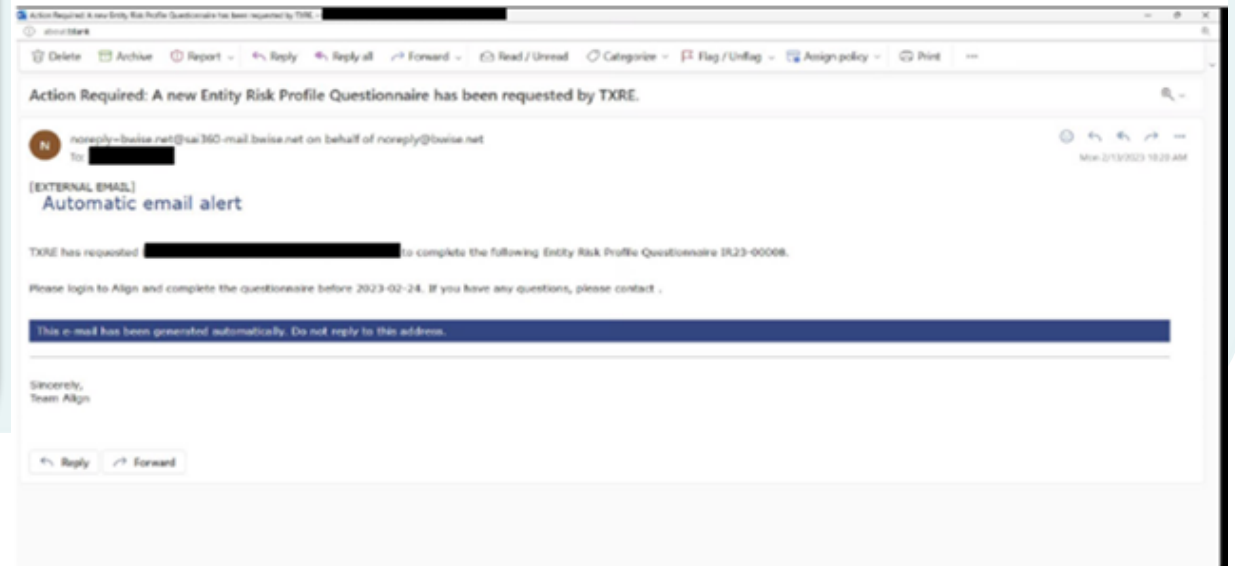
How do I get Align access for myself/others?

When a new registration is set up, the Primary Compliance Contact (PCC) gets granted Entity Admin Access for CORES and Align. With entity admin access, the PCC should be able to add/remove access for themselves/others.



How do I learn about pending questionnaires and associated timelines?

The PCC will receive an email notification from Align of pending questionnaires and associated timelines.



How often will Texas RE send IRA questionnaires?

IRA questionnaires are sent out when the Texas RE Risk team refreshes an IRA based on a change in entity risk, or in preparation for an upcoming engagement.



Will entities be able to see prior filled out questionnaires?

Prior questionnaire responses completed in Align will be available.



How do I know the entity Compliance Oversight Plan (COP) is available?

COP features are still being implemented. Texas RE expects a notification (like the IRA questionnaire) to be available for completed COPs.



**How do I get
help for Align
issues?**

Contact the [NERC help desk](#)
and submit a help request.



**Will COPs
completed
before the Align
rollout be
available?**

Data migration is still a work in progress. Legacy COPs are not expected to be available in Align by the time of Release 4.5 implementation.



[Align 4.5 User Guide](#)

[NERC Helpdesk Ticket Submission](#)

[Texas RE Training](#)

[NERC Training](#)



Contact



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The background of the slide features a blurred image of the Texas state flag on the left and a close-up of a wind turbine's hub and blades on the right. The blades are white with red tips. A dark blue rounded rectangle is centered over the image.

Questions?



TEXAS RE

Ensuring electric reliability for Texans