

The background features a blurred image of a person's hands working on a circuit board. A ruler is visible at the top, and the board has various components and traces. The text 'ALIGN TRAINING' is overlaid on a semi-transparent blue band across the middle.

# ALIGN

TRAINING





# Align Release 1 Registered Entity Training

Mailee Cook  
Angela Shapiro

# Antitrust Policy

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- All WECC meetings are conducted in accordance with the WECC Antitrust Policy and the NERC Antitrust Compliance Guidelines
- WECC strives to ensure the information presented today is accurate and reflects the views of WECC
- However, all interpretations and positions are subject to change
- If you have any questions, please contact WECC's legal counsel

# Welcome

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- Align Release 1 — Life cycles of self-logs and self-reports
- Focus — System functionality, not on user process
- Modules with hands-on exploration of Align
- Be sure to use the Align Training site
- For training purposes only, not actual noncompliance data
  - Fields designed to capture full narrative
  - However, when practicing, may use short responses
- We're excited to show you this new system!

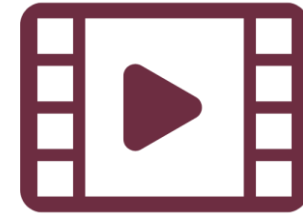
# Release 1 Go-Live Date

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WECC's U.S. entities will begin using Align for self-reports and self-logging on **May 10, 2021**

# Resources

- [NERC Align Training Videos](#)
- [Registered Entity User Resource Guide](#)
- [Align Training Environment](#)
- [Registered Entity SEL Portal User Guide v.1](#)

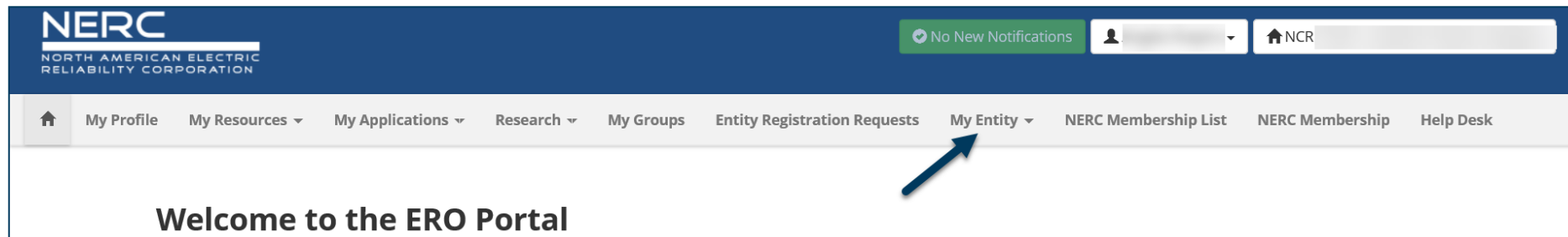


*We recommend opening the Registered Entity User Resource Guide for the duration of the training session.*



# CORES and Align

- CORES—Source of registration information and entity contact roles
  - Entity admins can update contacts in CORES
  - Integrated into ERO Portal Access ("My Entity" menu)



- Align gets registration and contact information from CORES daily
- Keeping CORES up to date keeps Align up to date
- Updates must be made in CORES and webCDMS



# Introduction to Align

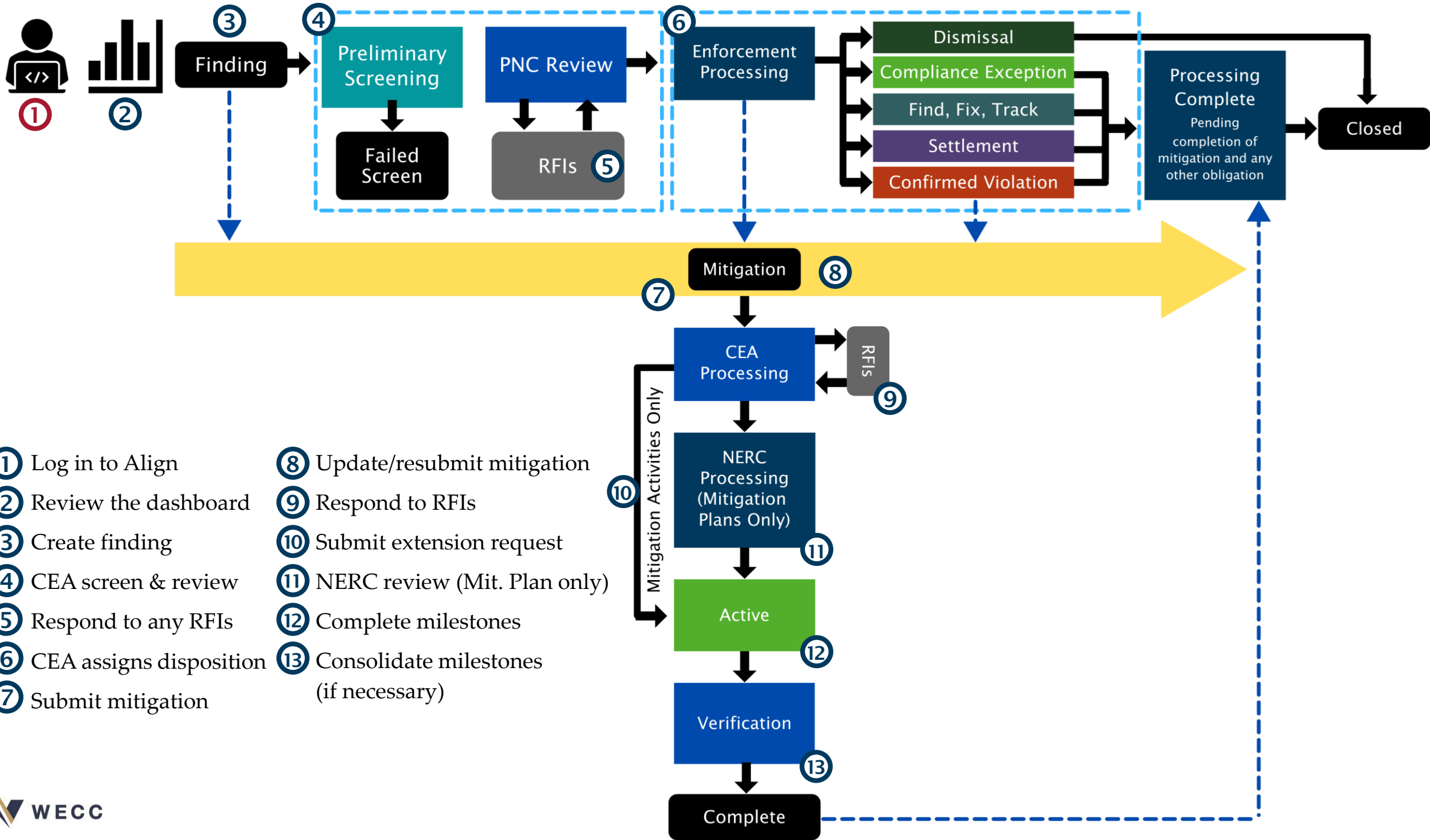
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- Integrates compliance and enforcement activities into a single platform for all regions and NERC
- Harmonizes processes using a single language, tracks data in one tool, making it the ERO's system of record
- Full functionality will come progressively

# Introduction to Align

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- May 10—Stop submitting Self-Reports through webCDMS
- Self-Log items submitted directly to Align rather than a spreadsheet



- ① Log in to Align
- ② Review the dashboard
- ③ Create finding
- ④ CEA screen & review
- ⑤ Respond to any RFIs
- ⑥ CEA assigns disposition
- ⑦ Submit mitigation
- ⑧ Update/resubmit mitigation
- ⑨ Respond to RFIs
- ⑩ Submit extension request
- ⑪ NERC review (Mit. Plan only)
- ⑫ Complete milestones
- ⑬ Consolidate milestones (if necessary)

# Practice: Log in to Align

- Use your NERC ERO Portal Username and password
- Internet Explorer is not supported
- **All training practice should be in the Training site.**

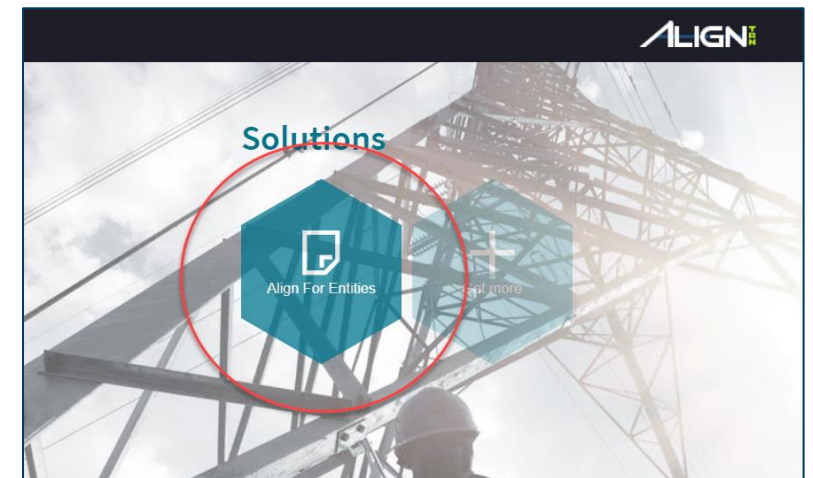
<https://nerc-trn.bwise.net/bwise/page/solution-app/>



Pause the recording while you practice this step.



Pages 3 and 4 of User Resource Guide





Welcome to Release 1 of the **Align** system! This is your **Dashboard** screen. Navigate the system by selecting activities above. You can create Self Reports and Self Logs from the **Compliance Monitoring** section. In the **Enforcement Processing** section, you see the status of Findings (both those you created and those created by your Regions). In the **Mitigation Management** section, you can edit and manage Mitigating Activities and Mitigation Plans.

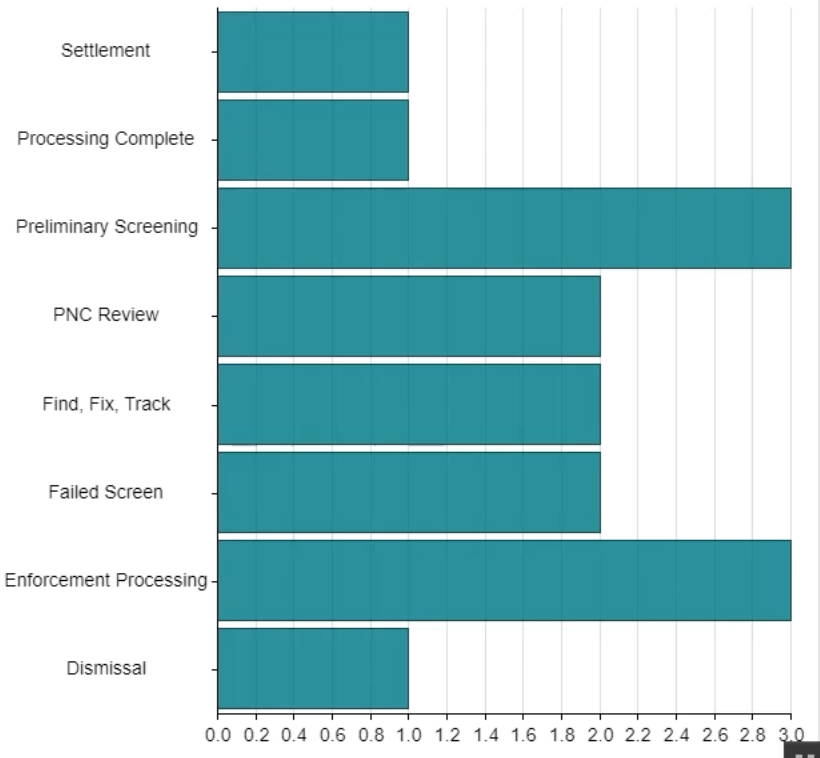
**MY TASKS**

TYPE	UNIQUE ID	REGION OR LRE	STATUS	NCR	REGISTRATION	STANDARD	REQ	DUE DATE
Dismissal Letter	2020-00176	MRO	Awaiting your Response	NCR99999	Test Entity	CIP-002-5.1a	R1.	
Expedited Settlement Agreement	2020-00114	MRO	Awaiting your Response	NCR99999	Test Entity	BAL-005-1	R5.	
Final Settlement Agreement	2020-00175	MRO	Awaiting your Response	NCR99999	Test Entity	CIP-002-5.1a	R1.	
Find Fix Track Letter	2020-00165	MRO	Awaiting your Response	NCR99999	Test Entity	BAL-005-1	R7.	
NAVAPS	2020-00176	MRO	Awaiting your Response	NCR99999	Test Entity	CIP-002-5.1a	R1.	
Compliance Exception Letter	2020-00175	MRO	Awaiting your Response	NCR99999	Test Entity	CIP-002-5.1a	R1.	02/28/2020
RFI for Finding	2020-00115   20-000232-R	MRO	Awaiting your Response	NCR99999	Test Entity	BAL-005-1	R1.	03/27/2020

**NEWS AND UPDATES**

11/21/2019 | End to End Testing is in Progress  
 Thank you in advance for your hard work and diligence... (hover for details)

**STATUS OF MY FINDINGS**



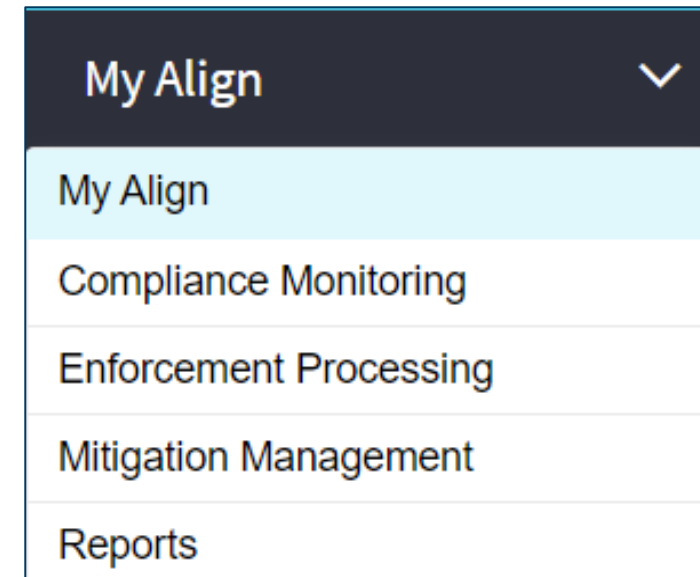
# Navigating the System

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- When you log in, you will land at the “My Align” page, or “the Dashboard”
- Snapshot of items you have and a breakdown of the status of findings in the process
- Most items awaiting your action will appear in “My tasks”

# Navigating the System

- **Compliance Monitoring**—Create and submit new self-reports or self-logs
- **Enforcement Processing**—Monitor the status of your findings
- **Mitigation Management**—Submit and manage mitigation items
- **Reporting**—Access available reports



# Practice: Navigating the System

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- From the Dashboard:
  - Explore the Navigation dropdown menu
  - Navigate to another view within Align
  - Return to the Dashboard



Pause the recording while you practice this step.



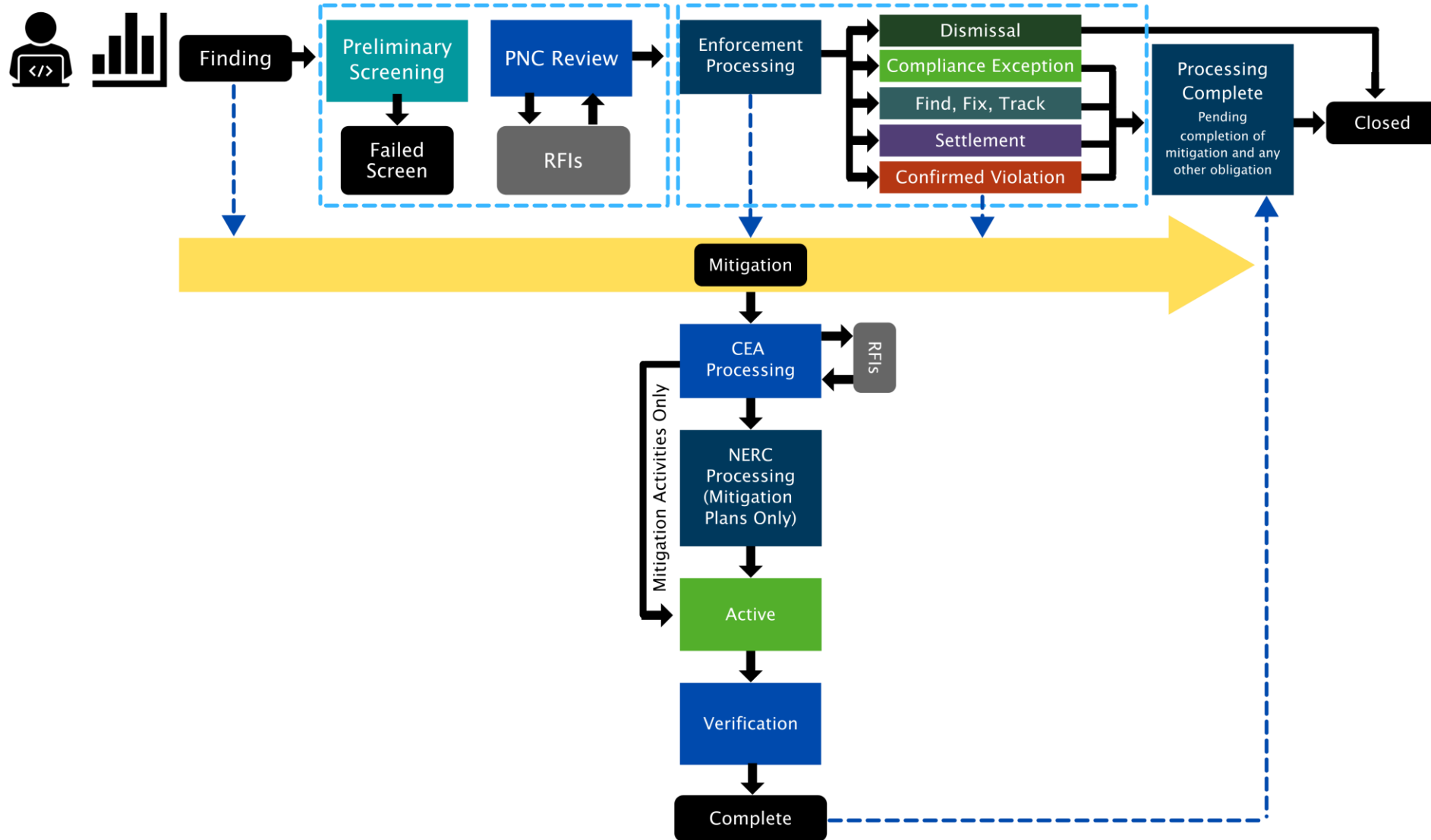
Pages 5-7 of User Resource Guide



Video 1 – My Align Dashboard



# Creating a Finding



# Creating a Finding

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Finding



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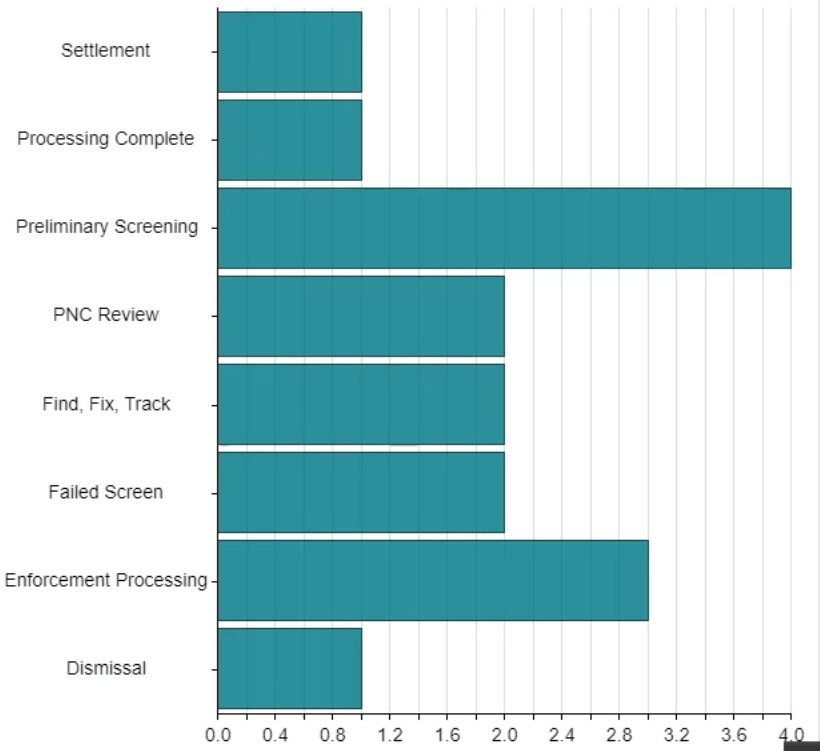
**MY TASKS**

TYPE	UNIQUE ID	REGION OR LRE	STATUS	NCR	REGISTRATION	STANDARD	REQ	DUE DATE
Dismissal Letter	2020-00176	MRO	Awaiting your Response	NCR99999	Test Entity	CIP-002-5.1a	R1.	
Expedited Settlement Agreement	2020-00114	MRO	Awaiting your Response	NCR99999	Test Entity	BAL-005-1	R5.	
Final Settlement Agreement	2020-00175	MRO	Awaiting your Response	NCR99999	Test Entity	CIP-002-5.1a	R1.	
Find Fix Track Letter	2020-00165	MRO	Awaiting your Response	NCR99999	Test Entity	BAL-005-1	R7.	
NAVAPS	2020-00176	MRO	Awaiting your Response	NCR99999	Test Entity	CIP-002-5.1a	R1.	
Compliance Exception Letter	2020-00175	MRO	Awaiting your Response	NCR99999	Test Entity	CIP-002-5.1a	R1.	02/28/2020
RFI for Finding	2020-00115   20-000232-R	MRO	Awaiting your Response	NCR99999	Test Entity	BAL-005-1	R1.	03/27/2020

**NEWS AND UPDATES**

11/21/2019 | End to End Testing is in Progress  
 Thank you in advance for your hard work and diligence... (hover for details)

**STATUS OF MY FINDINGS**



# Updated Terminology

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## Finding

- Has broader application in Align.
- Potential noncompliance— can be found by you (i.e., Self-Report or Self-Log) or by your Region (i.e., WECC audit)

## CEA

- Compliance Enforcement Authority
- In our region, that means WECC

# Self-Report Validation Rules

- Align will not submit a Self-Report if the data doesn't meet its validation rules
- The form will highlight which fields need attention
  - Hover over the red triangle to see a description

When was the Potential Non-Compliance discovered? 03/27/2020

When did the Potential Non-Compliance start? 03/01/2020

How was this Potential Non-Compliance discovered? explanation

Custom validation error: When was the Potential Non-Compliance discovered? (cannot be greater than today's date.)

# Self-Report Validation Rules

- If you click **Save and Action** and there are problems with the form, you'll see "No flow evaluates to true"
  - Select an action or correct the errors before you click **Save and Action** again

The screenshot shows a form interface with the following elements:

- Instructions:** A text block explaining how to submit a Self Report for screening and review as a Potential Noncompliance, including instructions on using **Submit**, **Delete**, **Save**, and **Close**.
- Action \*:** A dropdown menu currently set to "No Action". The dropdown is open, showing options: "No Action", "Delete", and "Submit". A mouse cursor is pointing at "Delete".
- Submit Mitigations for Review with Finding? :** A button with a question mark icon.
- Warning:** A red banner with a warning icon and the text "No flow evaluates to true".
- Error Message:** A text block explaining the error: "You have not selected an Action. If you click **Save and Action**, you will receive this error message. You can either click **Save**, or you can choose an Action (either Submit or Delete) and then click **Save and Proceed**."



Video 5—Validation Rules

# Creating a Finding

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- New drafts will appear in the “My drafts” section after the screen updates
  - Pushing “refresh” button at the bottom of the screen will update the screen
- **Save** a form before exiting or you’ll lose all the information
- Hover over the question mark icons to see more details on the kind of information that is being requested

# Creating a Finding

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- Any attachments or evidence must go into the evidence locker
- If you're not ready to add milestones, Align will create a blank mitigation object that you can update later
- By default, any mitigation information will not be submitted with the report



# Check Your Knowledge: True or False

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1. If your entity is registered in multiple regions, all of your registrations will appear in the “My registrations” section.
2. To access records that were submitted under a different registration, one has to log in under multiple credentials.
3. Mitigation milestones can be submitted with a finding in Align.
4. Align will reject your report and display an error if your PNC start date is later than today’s date.
5. Align will reject your report and display an error if any required field on the form is left blank.

# Check Your Knowledge: True or False

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1. If your entity is registered in multiple regions, all of your registrations will appear in the “My registrations” section. **TRUE**
2. To access records that were submitted under a different registration, one has to log in under multiple credentials. **FALSE**
3. Mitigation milestones can be submitted with a finding in Align. **TRUE**
4. Align will reject your report and display an error if your PNC start date is later than today’s date. **TRUE**
5. Align will reject your report and display an error if any required field on the form is left blank. **TRUE**

# Practice: Creating a Finding

1. Go to Compliance Monitoring
2. Create a Self-Report
3. Save as a Draft
4. Modify and save the Draft
5. Explore Mitigation entry options
6. Submit the Self-Report (Save and Action)



Pause the recording while you practice this step.

**NOTE: Please write down the unique ID assigned to the Self-Report you created to use throughout the rest of today's training session**

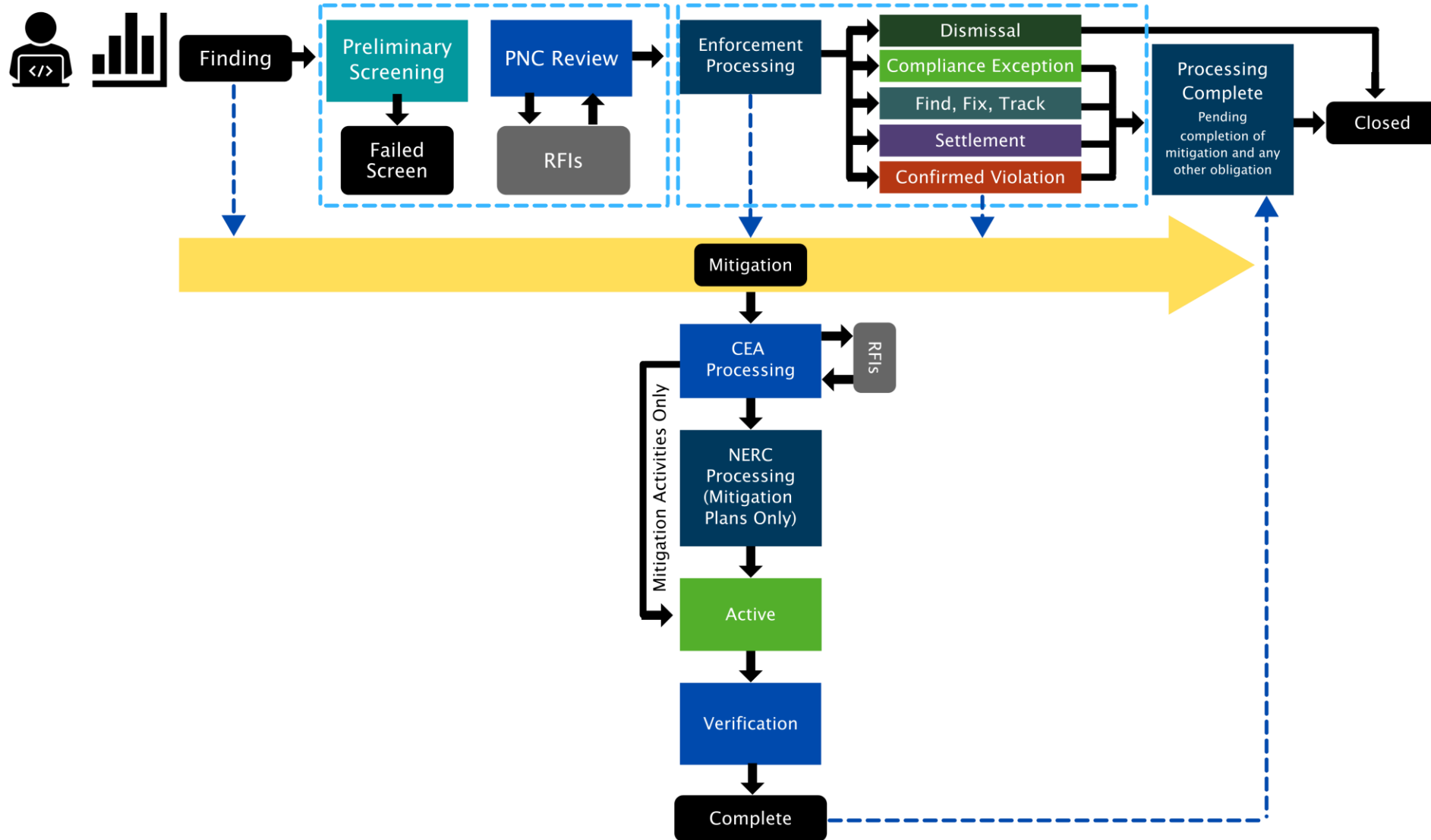


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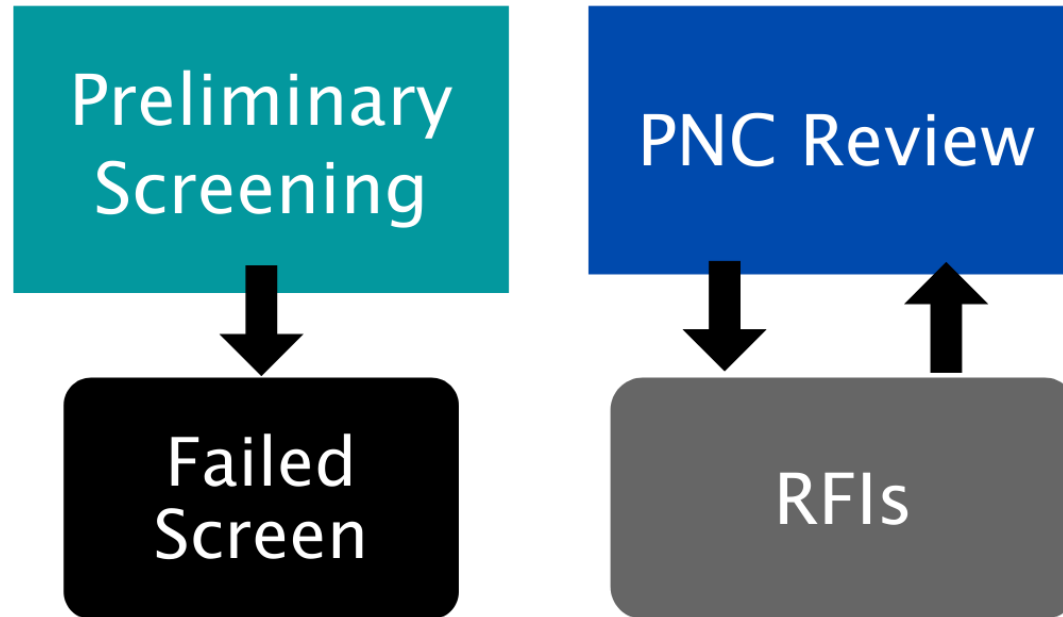


Video 4—Creating a Self-Report or Self-Log  
Video 5—Validation Rules

# Updating a Finding



# Updating a Finding



This occurs when you need to make an update to a submitted Self-Report that is still under review at the region

REGISTRATION	APPLICABLE REQUIREMENTS
NCR99999 - Test Entity in MRO	<a href="#">Create Finding</a>
NCR99999 - Test Entity in NPCC	<a href="#">Create Finding</a>
NCR99999 - Test Entity in RF	<a href="#">Create Finding</a>
NCR99999 - Test Entity in WECC	<a href="#">Create Finding</a>

Page 1 of 1

**INSTRUCTIONS**

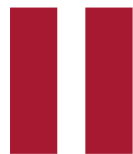
This is the Registered Entity Self Reporting and Logging page. On the left, you can view a set of Requirements applicable to a given Registration. Based on that, you can browse to a specific Requirement and create a Self Report (or Self Log, if you are in the Self Logging program). Below you can edit any draft Self Reports or Logs you have not yet submitted. To see the status of a Finding that is already in progress, select the **Enforcement Processing** activity from the pull-down on the upper left.

MY DRAFTS							
TYPE	UNIQUE ID	REGISTRATION	STANDARD AND REQUIREMENT	APPLICABLE FUNCTIONS	REGION(S) AND JURISDICTION	START DATE	CREATED ON
Self-Report	<a href="#">2020-00259</a>	NCR99999 - Test Entity in MRO	BAL-003-1.1 R3.	BA	MRO-US	03/01/2020	03/09/2020
Self-Report	<a href="#">2020-00186</a>	NCR99999 - Test Entity in MRO	BAL-003-1.1 R1.	BA	MRO-US		02/20/2020
Self-Report	<a href="#">2020-00185</a>	NCR99999 - Test Entity in MRO	BAL-003-1.1 R1.	BA	MRO-US		02/20/2020
Self-Report	<a href="#">2020-00010</a>	NCR99999 - Test Entity in NCEA	FAC-014-2 R6.	PA	MRO-US	01/01/2020	01/22/2020

Page 1 of 1

# Practice: Updating a Finding

- The Enforcement Processing view displays submitted findings
- The cut-off point in the process for sending updates is in assigning an approval of a disposition or under the preliminary screening if the finding fails a preliminary screening
- Use the filtering features, which can be found throughout Align, to find the Self-Report



Pause the recording while you practice this step.

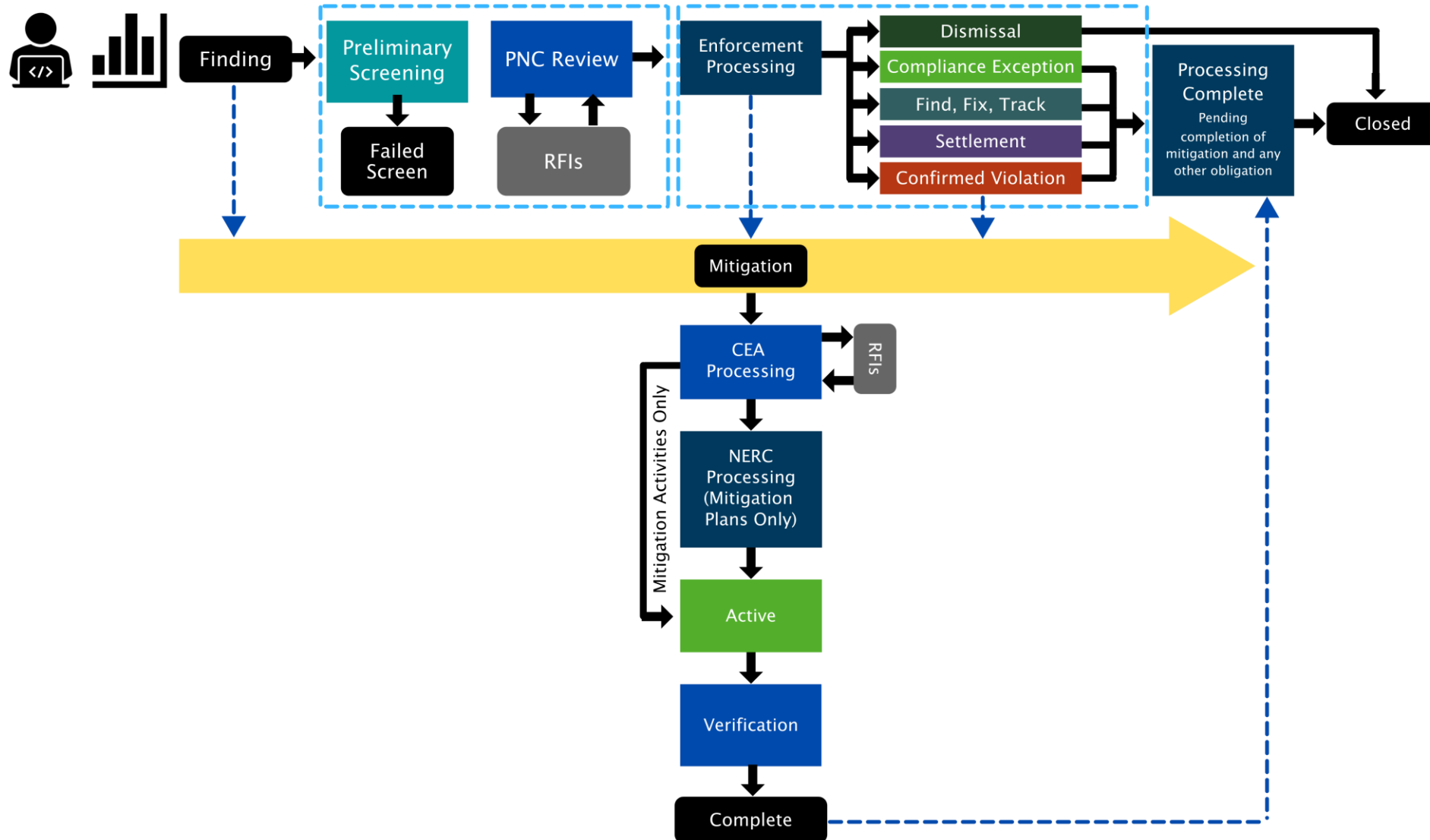


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Video 6— Adding Information to a Self-Report after Submitting

# Responding to a Request for Information





# Responding to a Request for Information

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RFIs



Welcome to Release 1 of the **Align** system! This is your **Dashboard** screen. Navigate the system by selecting activities above. You can create Self Reports and Self Logs from the **Compliance Monitoring** section. In the **Enforcement Processing** section, you see the status of Findings (both those you created and those created by your Regions). In the **Mitigation Management** section, you can edit and manage Mitigating Activities and Mitigation Plans.

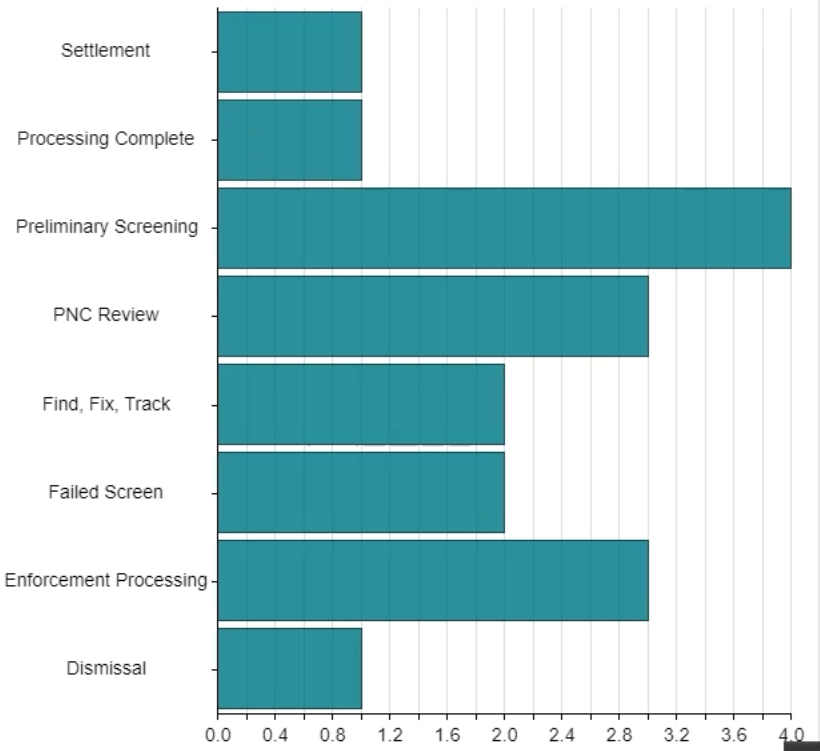
**MY TASKS**

TYPE	UNIQUE ID	REGION OR LRE	STATUS	NCR	REGISTRATION	STANDARD	REQ	DUE DATE
Dismissal Letter	2020-00176	MRO	Awaiting your Response	NCR99999	Test Entity	CIP-002-5.1a	R1.	
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NAVAPS	2020-00176	MRO	Awaiting your Response	NCR99999	Test Entity	CIP-002-5.1a	R1.	
Compliance Exception Letter	2020-00175	MRO	Awaiting your Response	NCR99999	Test Entity	CIP-002-5.1a	R1.	02/28/2020
RFI for Finding	2020-00272   20-000234-R	MRO	Awaiting your Response	NCR99999	Test Entity	CIP-003-7	R1.	04/10/2020

**NEWS AND UPDATES**

11/21/2019 | End to End Testing is in Progress  
Thank you in advance for your hard work and dilige... (hover for details)

**STATUS OF MY FINDINGS**



# Responding to a Request for Information

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- When you get an RFI, the PCC and ACC at your entity will get an email notification
- Once you login, you'll see a new RFI for Finding with the status "awaiting your response" on your Dashboard
- Submit any attachments or evidence associated with any RFI through the SEL

# Practice: Responding to an RFI

- Locate the RFI for your Self-Report
- Respond

*To practice this step, please contact us at [align@wecc.org](mailto:align@wecc.org) to arrange for a practice RFI. Provide your Self-Report's unique ID in your request.*

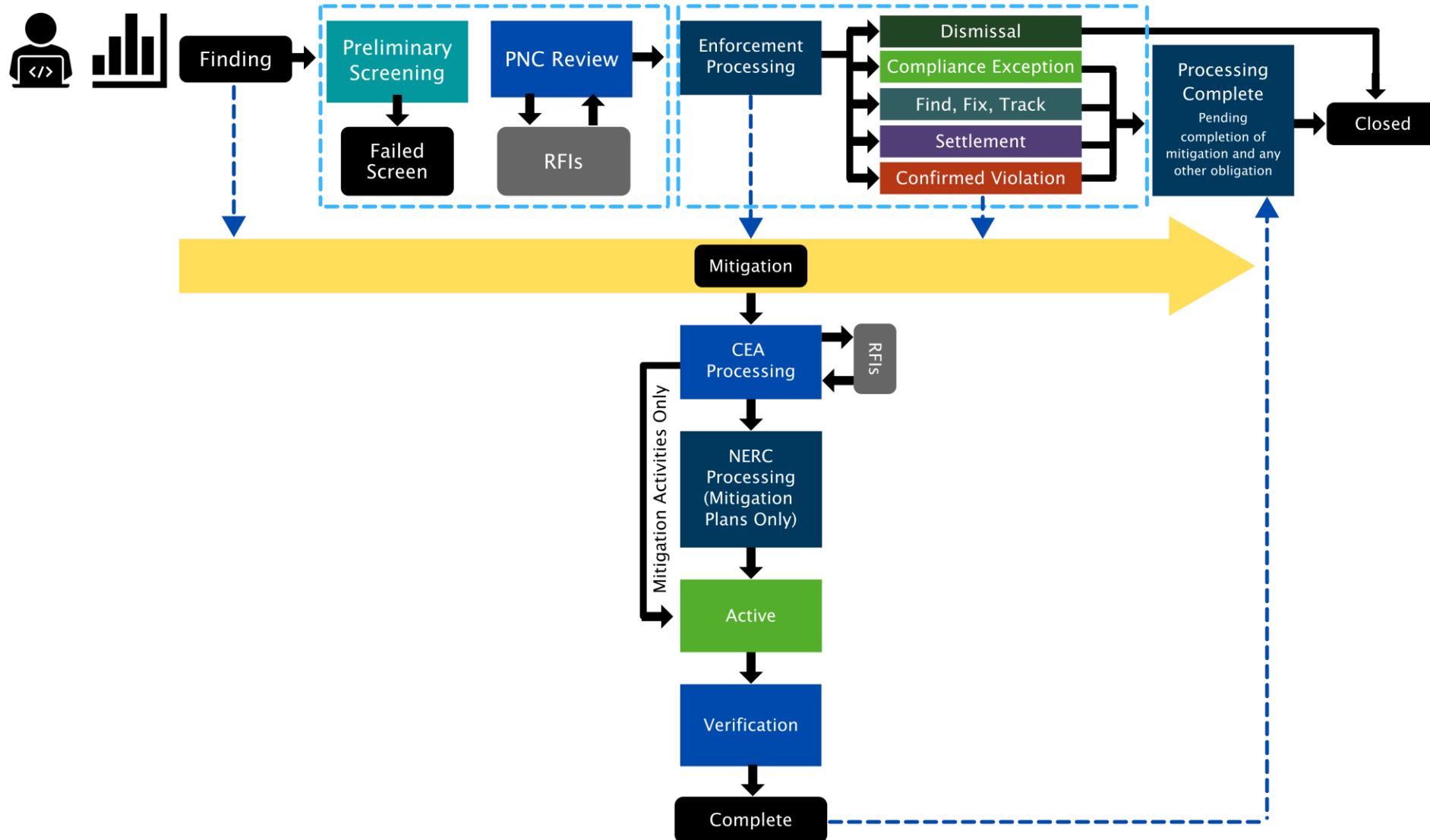


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Video 7—Responding to RFIs

# Responding to Notification Letters



# Responding to Notification Letters

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Dismissal

Compliance Exception

Find, Fix, Track

Settlement

Confirmed Violation



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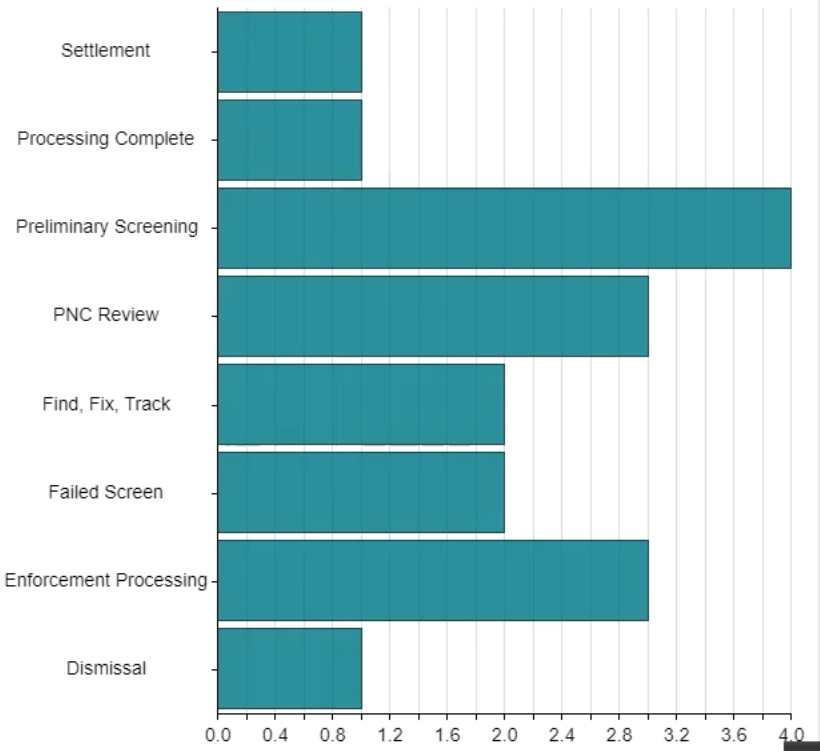
**MY TASKS**

TYPE	UNIQUE ID	REGION OR LRE	STATUS	NCR	REGISTRATION	STANDARD	REQ	DUE DATE
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Final Settlement Agreement	2020-00175	MRO	Awaiting your Response	NCR99999	Test Entity	CIP-002-5.1a	R1.	
Find Fix Track Letter	2020-00165	MRO	Awaiting your Response	NCR99999	Test Entity	BAL-005-1	R7.	
NAVAPS	2020-00176	MRO	Awaiting your Response	NCR99999	Test Entity	CIP-002-5.1a	R1.	
Compliance Exception Letter	2020-00175	MRO	Awaiting your Response	NCR99999	Test Entity	CIP-002-5.1a	R1.	02/28/2020
RFI for Finding	2020-00272   20-000234-R	MRO	Awaiting your Response	NCR99999	Test Entity	CIP-003-7	R1.	04/10/2020

**NEWS AND UPDATES**

11/21/2019 | End to End Testing is in Progress  
Thank you in advance for your hard work and dilige... (hover for details)

**STATUS OF MY FINDINGS**



# Responding to Notification Letters

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- Once a disposition has been determined and finalized, an email notification will be sent to the PCC and ACC for your entity



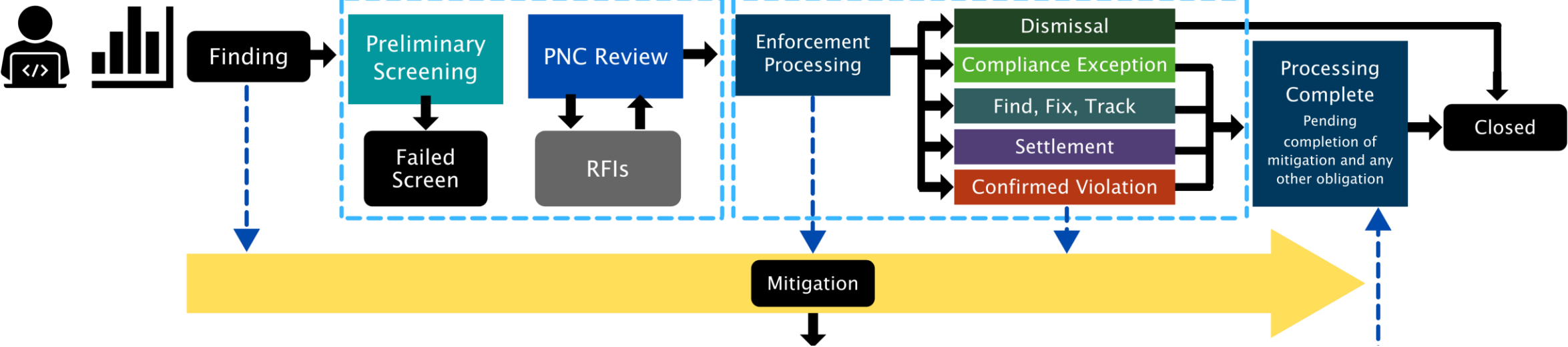
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Video 8—Responding to Notification Letters



# Mitigating Activities



# Mitigating Activities

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Mitigation



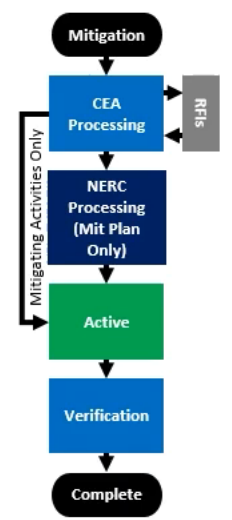
Video 10—Introduction to Mitigating Activities

MY DRAFT MITIGATIONS

TYPE	UNIQUE ID	REGION OR LRE	REGISTRATION	STANDARD	REQ	REGION AND JURISDICTION	START DATE
Mitigating Activities	2020-00108	MRO	NCR9999999 - Second Game Day Friday Entity in MRO	CIP-004-6	R2.	MRO-US	05/17/2020
Mitigation Plan ⚠	2020-00087	MRO	NCR9999999 - Second Game Day Friday Entity in MRO	CIP-004-6	R2.	MRO-US	05/03/2020
Mitigating Activities ⚠	2020-00085	RF	NCR9999999 - Second Game Day Friday Entity in RF	CIP-002-5.1a	R2.	RF-US	05/03/2020
Mitigation Plan ⚠	2020-00083	MRO	NCR9999999 - Second Game Day Friday Entity in MRO	CIP-003-7	R3.	MRO-US	05/03/2020
Mitigation Plan ⚠	2020-00082	RF	NCR9999999 - Second Game Day Friday Entity in RF	CIP-007-6	R5.	RF-US	05/03/2020
Mitigating Activities ⚠	2020-00075	MRO	NCR9999999 - Second Game Day Friday Entity in MRO	CIP-003-7	R1.	MRO-US	04/26/2020

INSTRUCTIONS

These are your Mitigation Management Screens. The **Draft Mitigations** screen shows you all your draft Mitigating Activities, as well as those that have been returned to you for more work or converted to a Mitigation Plan (both indicated with a yellow triangle). The **Active Mitigations** screen shows you all Mitigating Activities and Mitigation Plans that have been submitted. Below is a summary of the Mitigation process.



Mitigation Process Summary

# Mitigating Activities

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- In Align, the default record type is “Mitigating Activities”
- Align allows for full tracking of both activities and plans
- Regions make the switch to “Mitigation Plan” in Align, if needed

# Mitigating Activities

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- Upon creating milestones, be sure to save the mitigating activities form, otherwise you'll lose the milestone that you created and all the other information you added
- Be sure to select the "Submit for CEA Review" option from the final dropdown when submitting the form. If you do not select an action from this dropdown before hitting the Save and Action button, you will get an error

# Practice: Submitting Mitigating Activities

- Practice finding your draft Mitigating Activities associated with the Self-Report you created earlier today
- Add at least one milestone to your Mitigating Activities
- Submit your Mitigating Activities to WECC



Pause the recording while you practice this step.



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Video 10—Intro to Mitigating Activities  
Video 11—Submitting Mitigating Activities



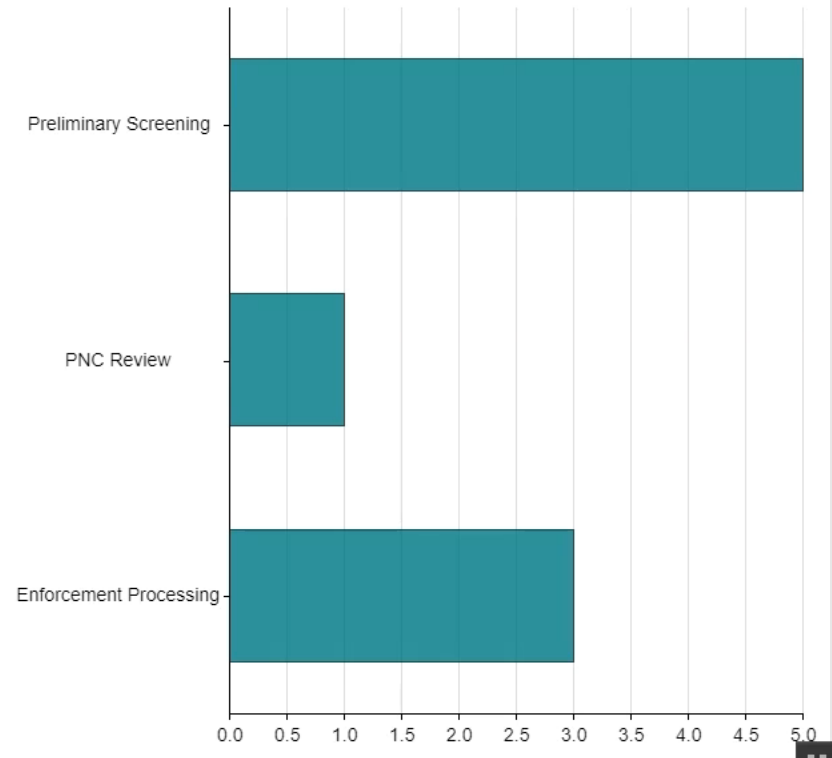
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**MY TASKS**

TYPE	UNIQUE ID	REGION OR LRE	STATUS	NCR	REGISTRATION	STANDARD	REQ	DUE DATE
Mitigating Activities	2020-00085	RF	Resubmit	NCR9999999	Second Game Day Friday Entity	CIP-002-5.1a	R2.	
Mitigation Plan	2020-00082	RF	Submit as Mitigation Plan	NCR9999999	Second Game Day Friday Entity	CIP-007-6	R5.	
Mitigation Plan	2020-00083	MRO	Submit as Mitigation Plan	NCR9999999	Second Game Day Friday Entity	CIP-003-7	R3.	
Mitigation Plan	2020-00087	MRO	Submit as Mitigation Plan	NCR9999999	Second Game Day Friday Entity	CIP-004-6	R2.	
Mitigation Plan	2020-00112	NPCC	Reject	NCR00130	Neptune Regional Transmission System, LLC	CIP-002-5.1a	R1.	05/11/2020
RFI for Mitigation	2020-00108   20-000086-R	MRO	Awaiting your Response	NCR9999999	Second Game Day Friday Entity			06/17/2020

NEWS AND UPDATES

**STATUS OF MY FINDINGS**



# Mitigation RFIs

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The form is identical to the RFI form used for PNCs except that Align will mark this as an RFI for Mitigation rather than an RFI for a Finding



# Mitigation Resubmissions

- WECC may ask you to update your mitigating activities if more details or activities are needed
- You will get an email notification; you will also see the Mitigating Activities appear on your My Task list on the Dashboard with a status of “Resubmit”
- You can also see it in your Mitigation Management view with a yellow triangle icon that shows the CEA is asking for a resubmittal

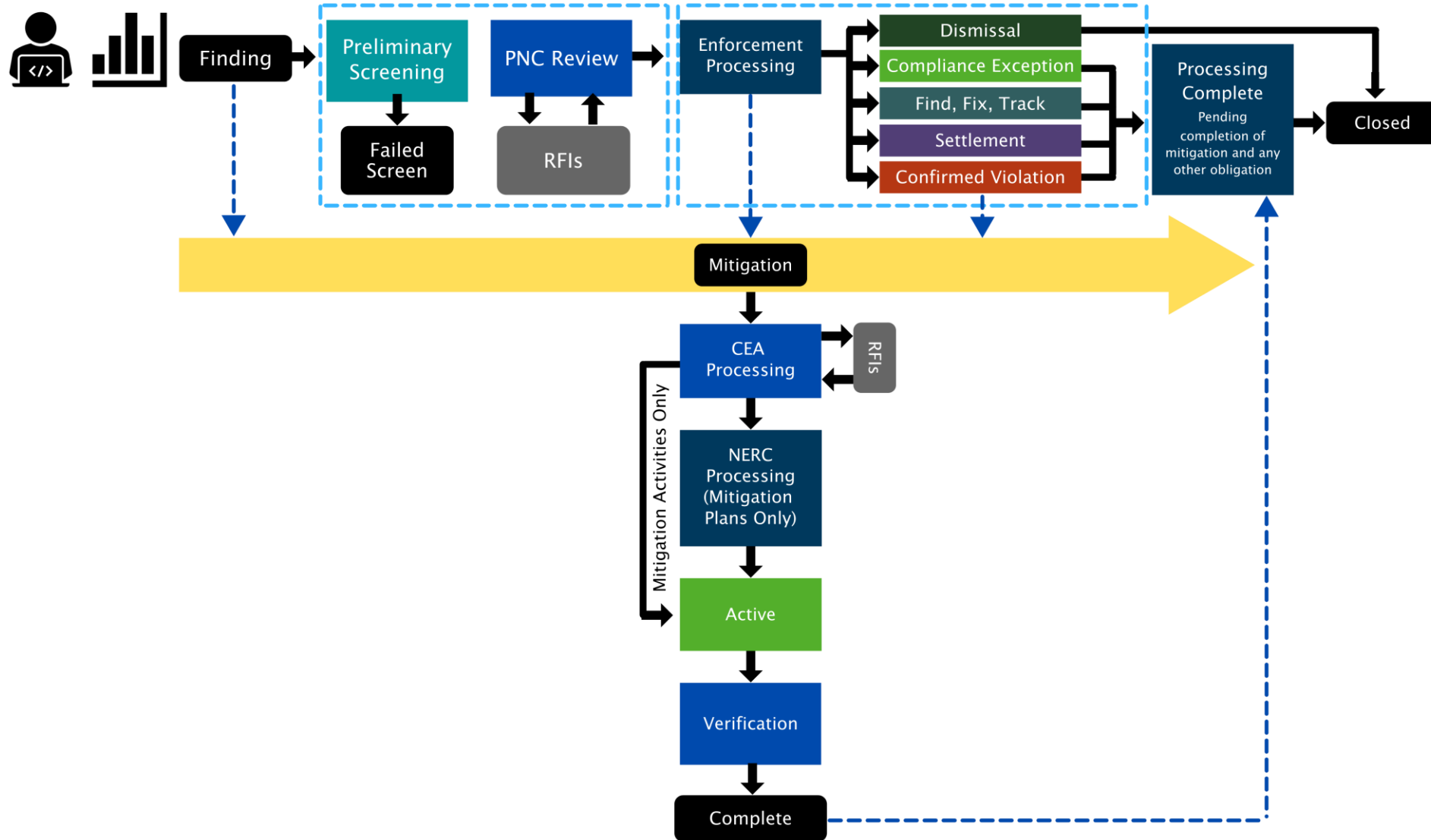


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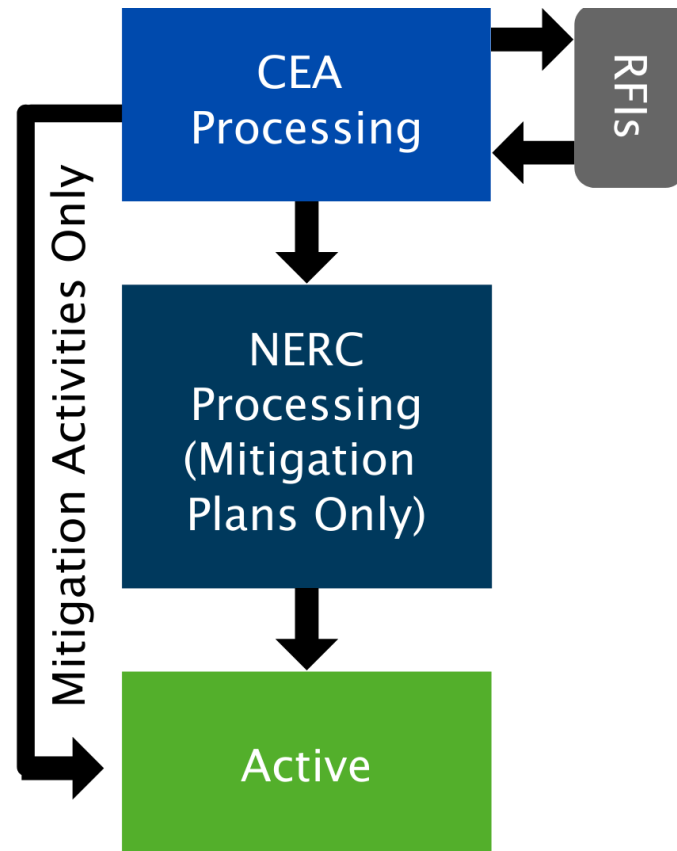
Video 12—RFIs & Resubmittals

# Extension Requests and Completions



# Extension Requests and Completions

Align lets you to request extensions on mitigation milestones

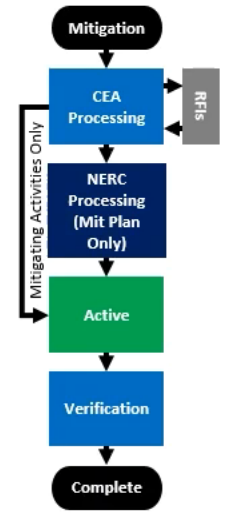


MY DRAFT MITIGATIONS

TYPE	UNIQUE ID	REGION OR LRE	REGISTRATION	STANDARD	REQ	REGION AND JURISDICTION	START DATE
Mitigation Plan	2020-00087	MRO	NCR9999999 - Second Game Day Friday Entity in MRO	CIP-004-6	R2.	MRO-US	05/03/2020
Mitigation Plan	2020-00083	MRO	NCR9999999 - Second Game Day Friday Entity in MRO	CIP-003-7	R3.	MRO-US	05/03/2020
Mitigation Plan	2020-00082	RF	NCR9999999 - Second Game Day Friday Entity in RF	CIP-007-6	R5.	RF-US	05/03/2020

INSTRUCTIONS

These are your Mitigation Management Screens. The **Draft Mitigations** screen shows you all your draft Mitigating Activities, as well as those that have been returned to you for more work or converted to a Mitigation Plan (both indicated with a yellow triangle). The **Active Mitigations** screen shows you all Mitigating Activities and Mitigation Plans that have been submitted. Below is a summary of the Mitigation process.



Mitigation Process Summary

# Practice: Extension Requests

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- Request an extension to a milestone completion date



Pause the recording while you practice this step.

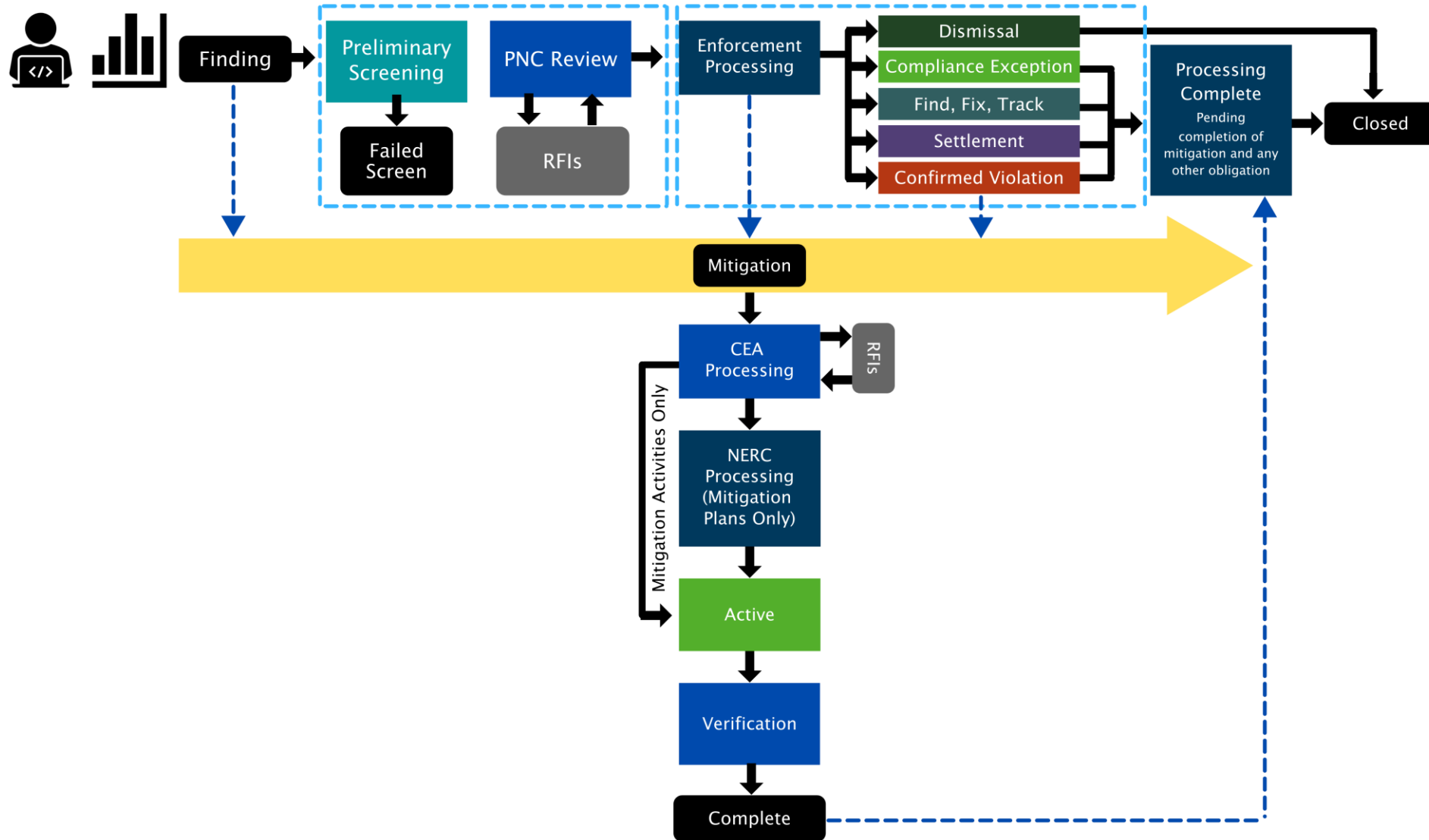


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Video 13—Milestone Extensions

# Submitting Mitigation for Verification



# Submitting Mitigation for Verification

---

Verification

MY MITIGATING ACTIVITIES AND MITIGATION PLANS

TYPE	UNIQUE ID	REGION OR LRE	REGISTRATION	DATE SUBMITTED	COMPLETION DATE	STANDARD	REQ	REGION AND JURISDICTION	START DATE	STATUS
Mitigating Activities	2020-00108	MRO	NCR9999999 - Second Game Day Friday Entity in MRO	05/18/2020	09/18/2020	CIP-004-6	R2.	MRO-US	05/17/2020	Active
Mitigation Plan	2020-00107	MRO	NCR9999999 - Second Game Day Friday Entity in MRO	05/07/2020	05/28/2020	CIP-006-6	R2.	MRO-US	05/04/2020	Incomplete Returned as Incomplete
Mitigating Activities	2020-00075	MRO	NCR9999999 - Second Game Day Friday Entity in MRO	05/18/2020		CIP-003-7	R1.	MRO-US	04/26/2020	Incomplete Returned as Incomplete
Mitigating Activities	2020-00085	RF	NCR9999999 - Second Game Day Friday Entity in RF	05/18/2020		CIP-002-5.1a	R2.	RF-US	05/03/2020	CEA Processing Due 06/18/2020
Mitigating Activities	2020-00106	MRO	NCR9999999 - Second Game Day Friday Entity in MRO	05/07/2020		CIP-007-6	R3.	MRO-US	05/04/2020	Complete

RELATED MILESTONES ACTIVE REQUESTS FOR INFORMATION

TYPE OF MILESTONE	UNIQUE ID	NAME	DUE DATE	COMPLETION DATE	REQUEST EXTENSION	DUE DATE	ID	COMMENT
Corrective Control	2020-00108 2020-000118	Task 1	05/31/2020	05/31/2020		06/17/2020	2020-00108 20-000088-R	Please upload the data we discussed in the evidence locker
Detective Control	2020-00108 2020-000119	Task 2	09/22/2020	09/18/2020				

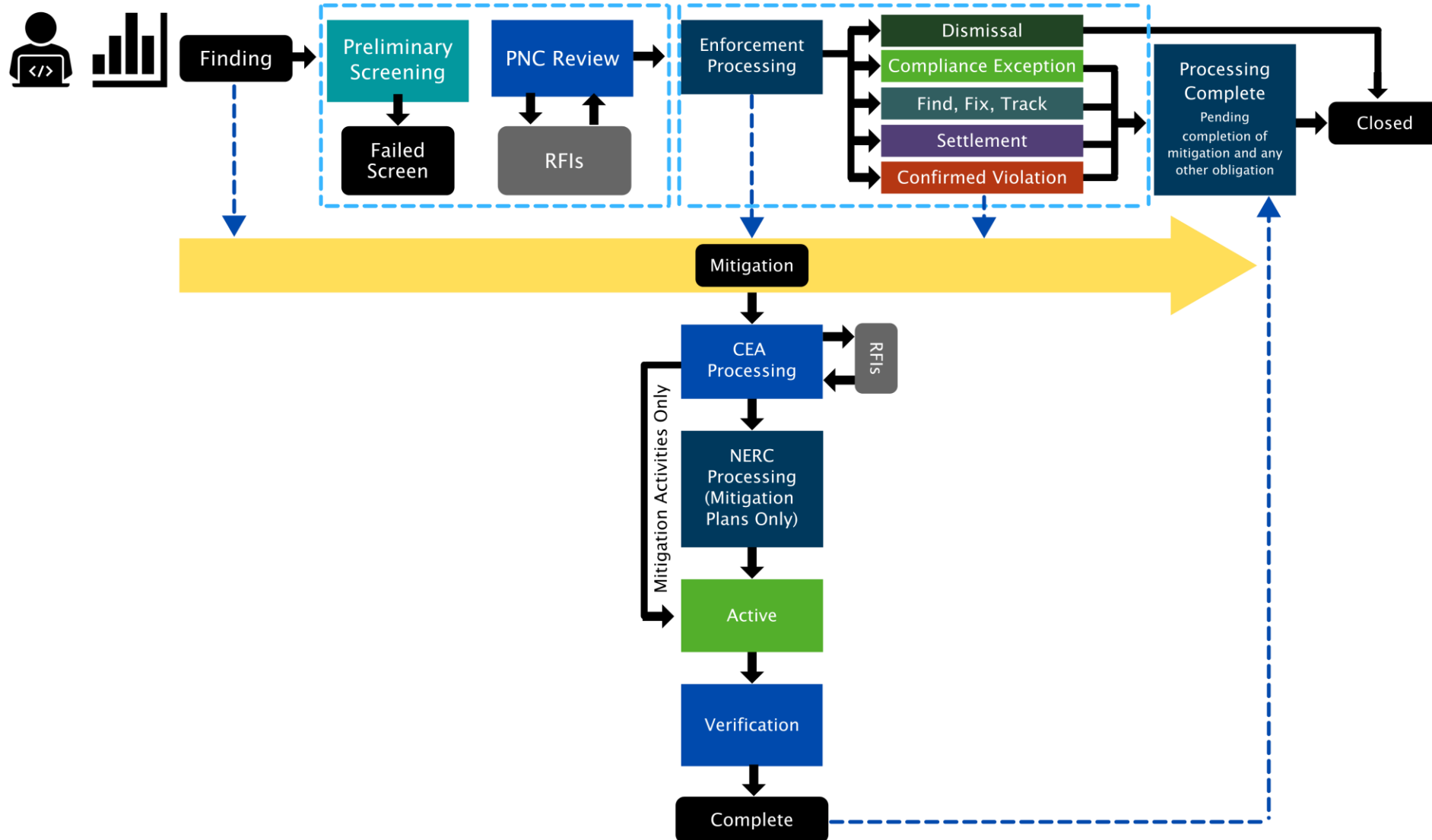


# Submitting Mitigation for Verification

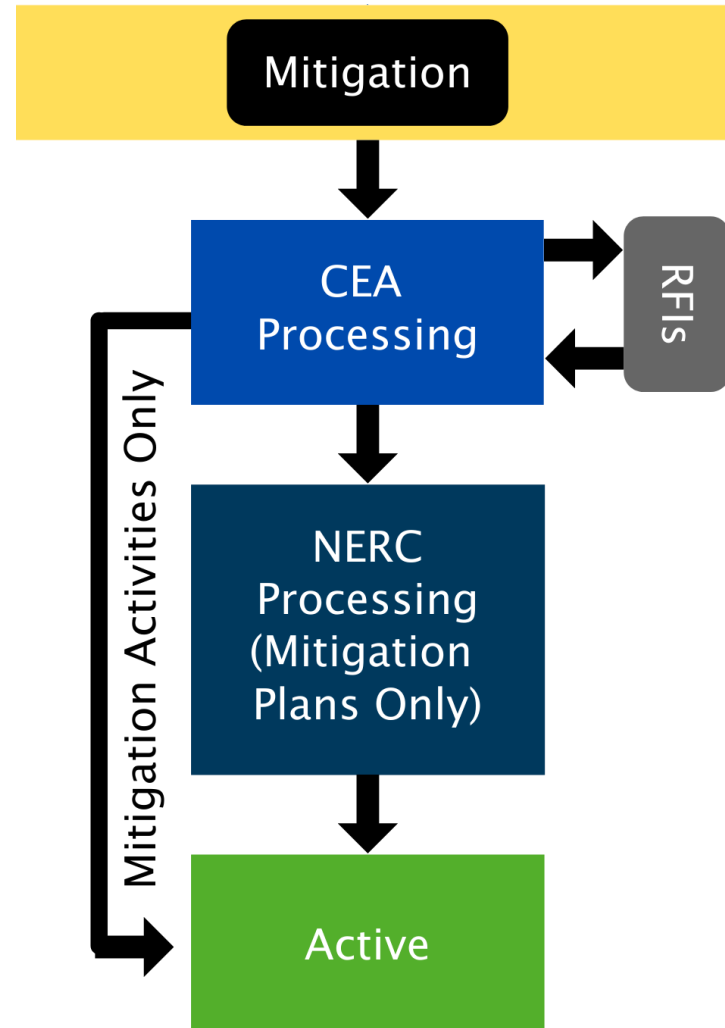
- Submit when all milestones of Mitigating Activities or Mitigation Plan are complete
- Status must be "Active" before you can submit for verification
- Check that form is complete before sending. Align will let you send the form whether or not you have filled out mitigation milestones



# Initiating Mitigation Plans



# Initiating Mitigation Plans





# Initiating Mitigation Plans

- Mitigation Plans are initiated by the Regional Entity (WECC)
- Follow NERC ROP, Appendix 4C Compliance Monitoring and Enforcement Process
  - Some fields that used to be optional on the Mitigating Activities form are now required
  - Milestones must meet the timeline of the CMEP
  - Mitigation Plans also undergo a NERC review



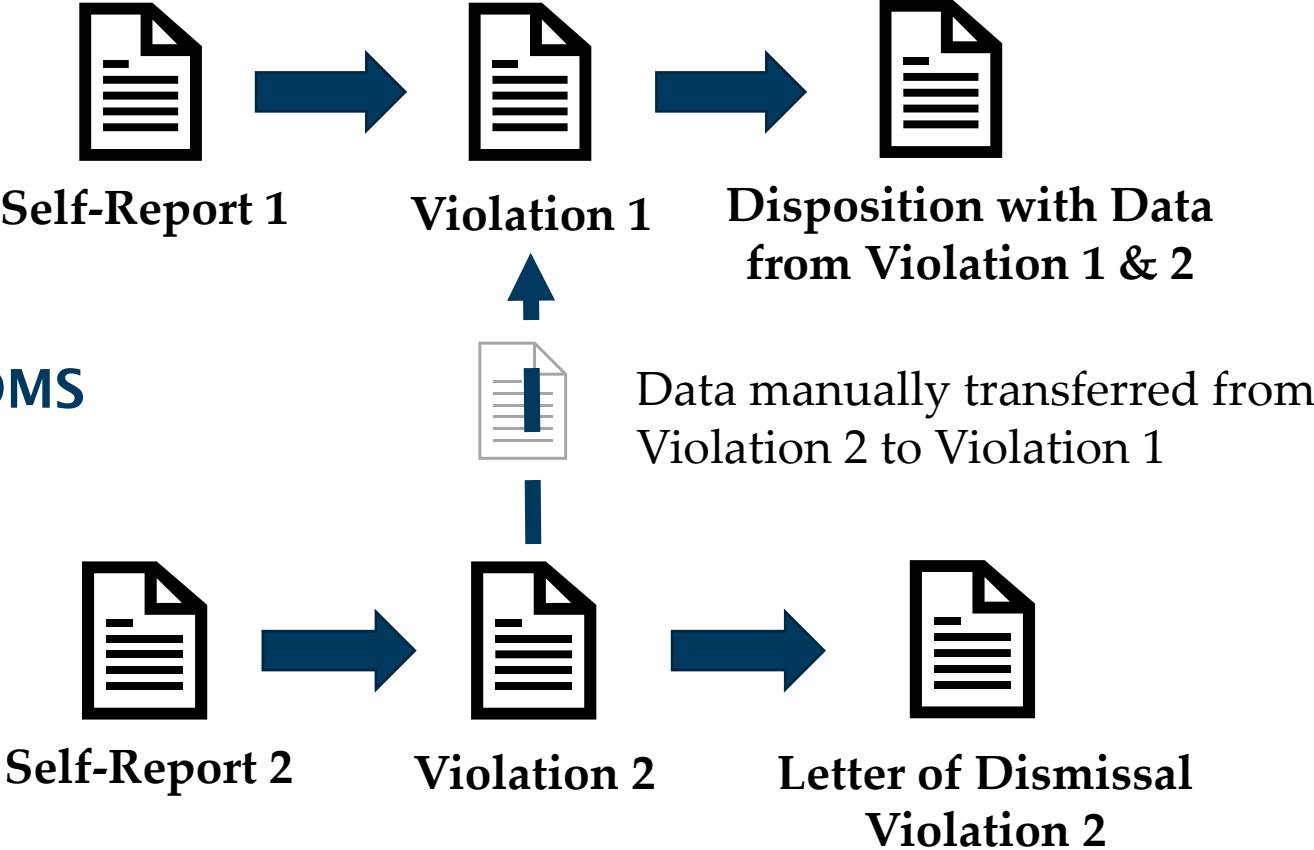
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Video 15—Mitigation Plans

# Consolidated PNCs

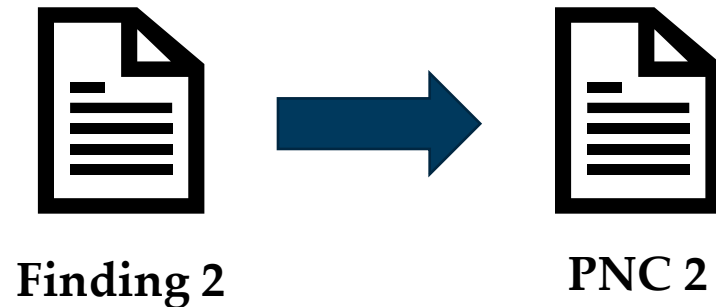
## Consolidations in webCDMS



# Consolidated PNCs and Mitigations



## Consolidations in Align



# Consolidated Mitigation

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While Align easily consolidates PNCs into EAs, mitigation will need further review to make sure all milestones are included in the active mitigation record



MY MITIGATING ACTIVITIES AND MITIGATION PLANS

TYPE	UNIQUE ID	REGION OR LRE	REGISTRATION	DATE SUBMITTED	COMPLETION DATE	STANDARD	REQ	REGION AND JURISDICTION	START DATE	STATUS
Mitigating Activities	<a href="#">2020-00108</a>	MRO	NCR9999999 - Second Game Day Friday Entity in MRO	05/18/2020	09/18/2020	CIP-004-6	R2.	MRO-US	05/17/2020	Verification
Mitigating Activities	<a href="#">2020-00075</a> ⚠️	MRO	NCR9999999 - Second Game Day Friday Entity in MRO	05/18/2020	06/30/2020	CIP-003-7	R1.	MRO-US	04/26/2020	Incomplete Returned as Incomplete
Mitigation Plan	<a href="#">2020-00107</a> ⚠️	MRO	NCR9999999 - Second Game Day Friday Entity in MRO	05/07/2020	05/28/2020	CIP-006-6	R2.	MRO-US	05/04/2020	Incomplete Returned as Incomplete
Mitigating Activities	<a href="#">2020-00085</a>	RF	NCR9999999 - Second Game Day Friday Entity in RF	05/18/2020		CIP-002-5.1a	R2.	RF-US	05/03/2020	CEA Processing Due 06/18/2020
Mitigation Plan	<a href="#">2020-00087</a>	MRO	NCR9999999 - Second Game Day Friday Entity in MRO	05/18/2020		CIP-004-6	R2.	MRO-US	05/03/2020	Active
Mitigating Activities	<a href="#">2020-00106</a>	MRO	NCR9999999 - Second Game Day Friday Entity in MRO	05/07/2020		CIP-007-6	R3.	MRO-US	05/04/2020	Complete

RELATED MILESTONES ACTIVE REQUESTS FOR INFORMATION

TYPE OF MILESTONE	UNIQUE ID	NAME	DUE DATE	COMPLETION DATE	REQUEST EXTENSION	DUE DATE	ID	COMMENT
Corrective Control	<a href="#">2020-00075</a> <a href="#">2020-000046</a>	Task 1	05/31/2020	06/30/2020		06/03/2020	<a href="#">2020-00087</a> <a href="#">20-000084-R</a>	I'm requesting information
Corrective Control	<a href="#">2020-00087</a> <a href="#">2020-000050</a>	task 1	05/31/2020		+	06/06/2020	<a href="#">2020-00107</a> <a href="#">20-000086-R</a>	we need more information
Corrective Control	<a href="#">2020-00107</a> <a href="#">2020-000088</a>	Task 1	05/31/2020	05/07/2020		06/14/2020	<a href="#">2020-00107</a> <a href="#">20-000083-R</a>	test
Corrective Control	<a href="#">2020-00108</a> <a href="#">2020-000118</a>	Task 1	05/31/2020	05/31/2020		06/14/2020	<a href="#">2020-00107</a> <a href="#">20-000084-R</a>	please provide sample to evidence locker for cyber assets below. 1,2,3
Remediating Action	<a href="#">2020-00085</a> <a href="#">2020-000120</a>	Task 1	06/30/2020		+	06/17/2020	<a href="#">2020-00108</a> <a href="#">20-000088-R</a>	Please upload the data we discussed in the evidence locker
Preventative Control	<a href="#">2020-00085</a> <a href="#">2020-000121</a>	Task 2	07/10/2020		+			
Preventative Control	<a href="#">2020-00087</a> <a href="#">2020-000122</a>	Task 1b	07/30/2020		+			
	<a href="#">2020-00107</a>							

# Check Your Knowledge

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1. Consolidated mitigations are—
  - a) Read-only
  - b) Inactive
  - c) Retained for copying or later reference
  - d) All of the above
2. True/False: If an active mitigation must be edited due to consolidation, it must be set to draft by the CEA to allow the registered entity to make the needed updates



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Video 16—Consolidated Mitigations

# Check Your Knowledge

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1. Consolidated mitigations are—
  - a) Read-only
  - b) Inactive
  - c) Retained for copying or later reference
  - d) ALL OF THE ABOVE**
2. **TRUE/False:** If an active mitigation must be edited due to consolidation, it must be set to draft by the CEA to allow the registered entity to make the needed updates



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Video 16—Consolidated Mitigations

# Secure Evidence Locker

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- SEL security strategy —
  - Access control
  - Encryption
  - Isolation
  - Monitoring

# Secure Evidence Locker

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- All evidence and attachments for Enforcement and Mitigation Processing are provided through the SEL
- Reference IDs from Align tell the SEL where to save the evidence
- Entity users cannot access the back end—access only through upload form

# Secure Evidence Locker

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- Manifests confirm successful upload
- Request reports to show what evidence was given for a specific engagement or activity
- Zip files and .exe files are not allowed for upload



## Secure Evidence Locker

Submitted3 Entity (selasting@nerc.com) ▾

### Step 1 - Validation

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

### 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!

### Step 3 - Submit Evidence

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

# Check Your Knowledge: True or False

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1. A document can be uploaded to the SEL without a reference ID.
2. A manifest is sent to the uploader to confirm documents were uploaded successfully.
3. The SEL allows several files to be uploaded at a time.
4. Zip files are accepted by the SEL.



RE SEL Portal User Guide v.1



Video 17—Submitting Evidence to the SEL



# Check Your Knowledge: True or False

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1. A document can be uploaded to the SEL without a reference ID. **FALSE**
2. A manifest is sent to the uploader to confirm documents were uploaded successfully. **TRUE**
3. The SEL allows several files to be uploaded at a time. **TRUE**
4. Zip files are accepted by the SEL. **FALSE**



# Resources

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- All the resources we used today are available on NERC's training site (<https://training.nerc.net/>)
  - [NERC Align Training Videos](#)
  - [Registered Entity User Resource Guide](#)
  - [Registered Entity SEL Portal User Guide v.1](#)
- You also still have access to the Align training environment
  - [Align Training Environment](#)
- Report any issues through NERC's Helpdesk
  - <https://support.nerc.net>

# Closing

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- WECC is committed to helping everyone learn how to use this new system, so please let us know whether we can help you with anything
- Thank you for being here today!



## Contact:

WECC Align

[align@wecc.org](mailto:align@wecc.org)