NERC

Align Release Notes

Release 5.1.0 Date of Deployment: December 02, 2023

Background

Align and the Secure Evidence Locker (SEL) are tools used by NERC, Regional Entities, and registered entities in the conduct of the ERO Enterprise Compliance Monitoring and Enforcement Program (CMEP). Initial training and training materials have been offered throughout the initial deployment of functionality (Releases 1, 2, 3, 4.0, and 4.5). Ongoing maintenance and enhancements to Align and the SEL (CMEP tools) will occur as needed to assure effective implementation of the CMEP. Maintenance may include modifications to correct existing objects, notifications, records, workflows, etc. Enhancements may include new or improved functionality, workflows, reports, etc. These changes are expected as these CMEP tools are adjusted from their initial deployment to provide additional user functionality, efficiency, and enhancements to usability.

Purpose

As changes are implemented to the CMEP tools, training and training materials provided during initial deployment may no longer be accurate. As part of an effective communication plan and to assure the effectiveness of user training, NERC is providing detailed release notes in this report. These release notes include detailed information regarding what features are changing or being added, what users are impacted by the changes, and if current training materials are impacted and have been updated. Users are encouraged to familiarize themselves with any changes that impact features or workflows regularly used.

Terminology

Ongoing maintenance and enhancement of the CMEP Tools is conducted using an adaptive and iterative software development process. Terminology used within this document may refer to various processes most users may be unfamiliar with.

CEA: Compliance Enforcement Authority

COP: Compliance Oversight Plan

IRA: Inherent Risk Assessment

Module: Used to refer to a set of features used within Align. As shown in *Figure 1*, each item that can be selected from the My Align drop-down menu is a Module. *Example: Risk and Planning*



Figure 1: My Align Drop-Down Menu

User Story #: As shown in *Figure 2*, a unique number is used by the developers, NERC IT, and testers when referencing discrete changes. This number is used to aggregate all details, testing, and development information regarding a specific change. This number is not used by most CMEP tool users and users are not expected to become familiar or track these numbers. These numbers are provided for transparency purposes regarding changes and change controls. However, users may leverage these numbers to facilitate any follow up discussion, troubleshooting, testing, or IT support ticket details.



Figure 2: Elements of a User Story

Multiple Modules – Request for Information Functionality

User Story # 7379

Description of Issue: RFI - CEA and Entity RFI portlet changes including updated Status column responses

Users Affected: Registered Entities, CEA and NERC

<u>Description of Change</u>: In the Request for Information (RFI) portlets for Release 1 and Release 2 functionality (Enforcement, Mitigation, Periodic Data Submittals (PDS), Self-Certifications (Self-Cert), and Technical Feasibility Expectations (TFE)), the portlets had minimal columns to identify the RFI: RFI ID, Requestor Contact, Respondent Contact, and Response Due By. These columns made it difficult to understand where the RFI was in the process and who needed to respond. The modification to the RFI portlet will allow the Registered Entity, CEA, and NERC users to better understand the state of the RFI. The new columns are: RFI ID, Requestor Contact, Respondent Contact, Request Sent Date, Request Due by, Entity Submission Date, Applicability, and Status. The user will know when the RFI was due, who submitted it, when it was submitted, which Standard and Requirement is the RFI attributed to, and the status. The statuses are: Draft, Awaiting Response from Entity, Awaiting Region Review, Complete, Incomplete, and Cancelled.

RFI ID	REQUESTOR CONTACT	RESPONDENT CONTACT	REQUEST SENT DATE	REQUEST DUE BY	ENTITY SUBMISSION DATE	APPLICABILITY	STATUS
RF23-000629		and an Indiana	10/22/2023	11/21/2023		CIP-007-6 R1.	Awaiting Response from Entity
RF23-000652	1011 1 4 4 4 4 1	and the first sector of	10/22/2023	11/21/2023		CIP-007-6 R1.	Cancelled
RF23-000628	ALC: NOTE: NOTE: NOTE: NOTE: NOTE: NOTE: NOTE: NOTE: NOT: NOT: NOT: NOT: NOT: NOT: NOT: NOT	same bahasa	10/22/2023	11/19/2023	10/22/2023	CIP-007-6 R1.	Incomplete 🗸

<u>Training Materials Modified: –</u> *CEA User Guide for Release 1*, need to update "PNC Review (Requests for Information)" pages. CEA User Guide for Release 2, need to update "Reviewing a PDS (RFIs)" page. The RFI pages need to be updated to explain: (1) RFIs can be issued from the PNC Review form, the EA form, and the Mitigation; (2) new functionality around creating draft RFIs, ability to delete draft RFIs, ability to rescind RFIs, document Regional Internal Comments; (3) update screenshots to show new portlets with the new columns and ability to refresh the portlets to see newly created RFIs; and (4) new validation that requires a "Response Due By" to be set in the future. NERC User Guide for Release 1, need to update "Mitigation RFIs" with new screenshot of the RFI portlet view. Also, need to remove the page that indicates NERC can issue and RFI, this functionality is no longer applicable to the NERC user. Registered Entity User Guide for Release 1 and Release 2, do not have any screenshots of the portlets, but consider to update user guides to view new portlet columns.

User Story # 7613

<u>Description of Issue</u>: Once the finding has been Screened and PNC Review completed, it appears that if Enforcement wants to send an RFI, they still have to open the PNC Review form and initiate the RFI from that screen.

Users Affected: CEA

<u>Description of Change</u>: In the Enforcement Processing module, if the CEA wanted to send an RFI to the registered entity during this step, the CEA would have to navigate back to the PNC Processing module to issue an RFI. The change to the system allows the CEA to issue RFIs directly from the Enforcement Processing module on the Enforcement Action (EA) form. Further, the CEA will be able to view any RFIs that were issued during the PNC Review process as well as the newly created RFIs from the EA review.

Click on the + sign to add a new Request for Information +								۵. ۳
RFI ID	REQUESTOR	RESPONDENT CONTACT	REQUEST SENT DATE	REQUEST DUE BY	ENTITY SUBMISSION DATE	APPLICABILITY	SOURCE	STATUS
RF23-000555	NPCC Editor 1	Anna Salina	06/20/2023	07/29/2023		PRC-002-2 R10.	EA	Awaiting Response from Entity
RF23-000554	NPCC Editor 1		06/20/2023	07/20/2023		PRC-002-2 R10.	PNC	Awaiting Response from Entity

<u>Training Materials Modified</u>: Release 1 CEA User Guide "PNC Review (Requests for Information)" needs to be updated to show the new functionality for ability to issue RFI from Enforcement Processing Module. O should modify to explain that RFIs can be issued from the PNC Review form, the EA form, and the Mitigation forms.

User Story # 7694

<u>Description of Issue</u>: We should allow RFIs to be edited by everyone at the ENTITY - testers are finding it very clunky that only the person in the "Respondent Contact" field are allowed to edit.

Users Affected: Registered Entities

<u>Description of Change</u>: The RFIs were locked by one user once it was sent from the CEA. This change allows applicable Registered Entities to respond to the RFI. During testing, logged in as two users and confirmed both could edit the RFI and both saw the Save and Action button. NOTE: there might be some older RFIs where the user is unable to action, if that is the case, the user will need to submit a ticket to NERC IT support to reassign.

4		2023-00263-E RF23-000639		
		Request for Information		
	Parent Source	2023-00263-E		
	Applicable Standard/Requirement	PRC-002-2 R1.	Respondent Comments*	Entity Test Save Draft - Editor 1
	Related Registration	Second real company to prove the second system, in a second		Entity Test Save Draft Editor 2
	Requestor	MPCC Enter 1		Upon complete comment from Editor1 and Editor 2, both see Save and Action
	Requestor Comments	Test RFI Region Internal Comments from Editor 1 Test comments from Editor 2 see save and action Test comments from Editor 1 see save and action		
	Requestor Attachments		Note: You cannot proceed in the work box for Upload to SEL.	flow until the Respondent Comments are filled in. If evidence is submitted to the SEL, please check
	Request Sent On	October 22, 2023	Upload to SEL	
	Response Due By	November 21, 2023		
		Evidence		
	Secure Evidence Locker Instructions	Submit Evidence or Attachments related to this item via ERO Secure Evidence If you are hosting your own SEL, please provide a hyperlink to your locker in th	e Locker (SEL) located at https://eusstg.eroenterpr	rise.com/nerc-infrastructure with the following reference number.
		Action		
	Action	Respond Save and Action will acknowledge receipt of this Request and send back any response you	have provided. Save will store any response you have provi	ded, but will neither acknowledge receipt of this Request nor send any response.
clic	ck here to print			
		Save and Action Save Plose		

<u>Training Materials Modified: –</u> *Registered Entity User Guides for Release 1, "Responding to an RFI" and Registered Entities User Guide for Release 2, "Periodic Data Submittals (RFIs)" pages need to be updated to explain that RFIs can be edited by everyone at the Registered Entity.*

User Story #10138

Description of Issue: PDS RFI - Add validation to prevent RFI Response Due Date from being set in the past

Users Affected: CEA

<u>Description of Change</u>: The RFIs have a Response Due By field, previously there was nothing preventing a CEA from adding a due date in the past. A validation rule has been added to prevent the CEA from adding a due date in the past. This validation rule applies to RFIs issued by the CEA in the Release 1 and Release 2 functionality (Enforcement, Mitigation, PDS, Self-Cert, and TFEs). An error message will show on the create RFI form if the date is in the past and an error will show on the form upon clicking Save or Save and Action prior to sending to the registered entity.

RFI Error Message on RFI form at create step



Cre	ate Request for Information									
	Failed to commit; rollback OK : Activation failed: Response Due By (Response Due Date cannot be in the past.)									
		Request for Information								
	Parent Source*	2023-00290-P								
	Registration *	RCR0010- Nephers Regular Television (setter), (c) in MICC								
	Respondent Contact*	James fulless								
	Note: Respondent Contact can be re	assigned after the creation of RFI								
	Applicable Standard /* Requirement / Part	CIP-007-6 R1.								
	Requestor Comments									
		\square								
	Requestor Attachments	Attach file								
	Response Due By	10/04/2023								

RFI Error Message on RFI form after create step

_				_	
		2023-00290-P RF23-000629		itor	G
	Parent Source	2023-00290-P	^		
	Applicable Standard/Requirement/Parl	CIP-007-6 R1.		L	
	Registration	NCROTED-Neglanizingenar Terroreador Batelli J.J.C. INTERCO			1
	Respondent Contact	• Q			
	Requestor Comments	Test RFI Comments to Entity from NPCC Editor 1			
	Requestor Attachments	Attach file			
	Response Due By	10/12/2023 m			*
	Region Internal Comments	Test RFI Resion Internal Comments from NPCC Editor 1 Response Due Da			

Training Materials Modified: **CEA User Guide for Release 1**, "PNC Review (Requests for Information)" and **CEA User Guide for Release 2**, "Reviewing a PDS (RFIs)" pages need to be updated to explain the new validation rule that requires a "Response Due By" to be set in the future.

User Story # 10281

<u>Description of Issue</u>: Create a cross-reference from dashboard-level tasks (RFIs, RFEs, etc.) to their associated objects (PDS, Self-Certs, TFEs, etc.) to allow for easy reference and navigation back to those associate objects

Users Affected: Registered Entities and CEA

<u>Description of Change</u>: On the My Align Dashboard for Registered Entities and CEAs, the source of the RFI was not visible for PDS, Self-Certs, or TFEs. Under the unique ID column, it would only show the RFI ID, but not the source ID. On the My Align Dashboard for CEAs, the source of the RFE was not visible for PDS and Self-Certs. This modification will allow users to more easily identify which RFI or RFE the request is associated with.

Screenshot showing the Unique ID updates for RFIs

MY	TASKS		
		<u>TYPE</u>	UNIQUE ID
₽		RFI for SelfCerts	SC2023-000010 RF23- 000677
		RFI for Mitigation	2023-00263 RF23-000681
	RFI for Finding		2023-00306 RF23-000679
		RFI for EA	2023-00263 RF23-000680
		RFI for TFE	TFE-000442 RF23-000678
		RFI for PDS	PDS2023-000527 RF23- 000676

Screenshot showing the Unique ID updates for RFEs

ITE	MS AWA	ITING MY REVIEW					
		<u>TYPE</u>	UNIQUE ID				
⊳		RFE for SelfCerts	SC2023-000006 RFE-000184				
<u> </u>		RFE for SelfCerts	SC2022-000164 RFE-000182				
		RFE for PDS	PDS2022-000971 RFE-000181				

<u>Training Materials Modified</u>: **Registered Entity User Guides for Release 1**, "Responding to an RFI", **Registered Entities User Guide for Release 2**, "Periodic Data Submittals (RFIs)", **CEA User Guide for Release 1**, "PNC Review (Requests for Information)" and **CEA User Guide for Release 2**, "Reviewing a PDS (RFIs)" pages need to be updated with new screenshots. The My Align dashboard screenshots need to be updated to see the new Unique ID columns. **CEA User Guide for Release 2**, "Reviewing a PDS (Extension Requests)" page needs to be updated with new screenshot to show the new Unique ID column.

User Story # 10405

<u>Description of Issue</u>: RFIs need to have a reference back to the main object (PDS, Self-Cert, TFE) that they are associated with, both on the My Tasks dashboard and on the RFI form itself

Users Affected: CEA and Registered Entities

<u>Description of Change</u>: On the My Align Dashboard and the RFI Forms, the source ID was not always showing. The My Align Dashboard Unique ID column (see User Story #10281) and the RFI forms, have been updated to include the unique ID associated with the Finding, Mitigation, PDS, Self-Cert, or TFE. The form will now reference the parent object's id (Ex. SC2023-XXXXXX, TFE-XXXXXX, or PDS2023-XXXXXX) instead of being blank.

Old Form View

	Request for Information										
Original Findir	g 2000-00179										
Original Finding Description New Form View											
R	equest for Information										

<u>Training Materials Modified</u>: **Registered Entity User Guides for Release 1**, "Responding to an RFI", **Registered Entities User Guide for Release 2**, "Periodic Data Submittals (RFIs)", **CEA User Guide for Release 1**, "PNC Review (Requests for Information)", and **CEA User Guide for Release 2**, "Reviewing a PDS (RFIs)" pages need to be updated with new screenshots to show the new form with the change from "Original Finding" to "Parent Source" on the form.

User Story # 10406

Parent Source

Description of Issue: RFI should not allow the entity to submit without comments

Users Affected: Registered Entities

<u>Description of Change</u>: On the RFI forms, the registered entity has the ability to provide comments in response to the RFI in the Respondent Comments box. Previously, the registered entity could click the Save and Action button without any comments. The modification added a validation step to ensure the registered entity provides comments in response to the RFI request.

Screenshot of Error message

	SC2023-000010 RF23-000690		
"No flow evaluates to true"			×
	Request for Information		
Parent Source	SC2023-000010		
Applicable Standard/Requirement	R	Respondent Comments*	
Related Registration	NUMBER OF STREET, STREET, ST.E. STREET, ST.E. ST.E.		
Requestor	NPCC Enter 4		

<u>Training Materials Modified</u>: **Registered Entity User Guides for Release 1**, "Responding to an RFI", **Registered Entities User Guide for Release 2**, "Periodic Data Submittals (RFIs)", pages can be updated to explain the new validation rule and the error that will be seen if the user fails to put a comment in the "Respondent Comments" text box.

User Story #10409

<u>Description of Issue</u>: Create additional tabs in the Self-certs, Periodic Data Submittals, and TFE modules for RFE, RFI

Users Affected: CEA and Registered Entity

Description of Change:

- Impacts to CEA User Interface:
 - Periodical Data Submittals will have two new tabs:
 - o PDS RFIs

	Periodic Data S	Submittals 🗸 🗸									Align for Regions	~
	Create Distribution	-A- Scheduled PDS		-1- PDS in Review	-/ Completed PDS	Processed Distributions		4 PDS RFIS	↓ PDS RFEs		NPCC Editor 1	G
🗸 Act	ive RFIs											
RFIS	RELATED TO PDS											8
	RFI ID	RELATED SOURCE	REGISTRATION		REQUESTOR CONTACT	RESPONDENT CONTACT	REQUEST DATE	RESPONSE DUE BY	ENTITY SUBMISSION DATE	APPLICABILITY	STATUS	
		o PDS	RFEs									
	Periodic Data S	Submittals 🗸 🗸									Align for Regions	~
	Create Distribution	- Scheduled PDS	-1- Active PDS	-∕ PDS in Review	Completed PDS	Processed Distributions	-∕⊢ ARE PDS		≁ PDS RFEs		NPCC Editor 1	G
RFE	S RELATED TO PDS	;										
	RFE ID	PDS ID	REGISTRA	TION		ORIGINAL DUE DATE	REC	UESTED DUE DATE	NEW DUE DATE	STATUS		

- Self-Certifications will have two new tabs, but due to space limitations, several of the tab names have been shortened. Shortened names are <u>underlined</u>:
 - Create Distribution (*no change*)
 - o <u>Scheduled</u> (previously Scheduled Self-Certs)
 - <u>Active (previously Active Self-Certs)</u>
 - In Review (previously *In Review Self-Certs*)
 - Completed (previously *Completed Self-Certs*)
 - Processed Distributions (*no change*)
 - ARE Self-Certs (no change)
 - RFIs (new)

	Self Certificat	ions	~										Align for Regions	~
l to	reate Distribution	-∕h- Scheduled	- \- Active		4 Completed	Processed Distribut	tions -1- ARE	E Self-Certs	- RFIs	- 小 - RFES			NPCC Editor	ı C→
🗸 Activ	e RFIs													
RFIS	RELATED TO SEL	F CERTS												
	RFI ID	RELATED SOURCE		REGISTRATION		REQUESTOR CONTACT	RESPONDENT CONTACT	REQUEST DATE		RESPONSE DUE BY	ENTITY SUBMISSION DATE	APPLICABILI	Y STATUS	
		o RF	Es (ne	ew)										

	Self Certifications	~	/							Align for Regions	~
\$ (create Distribution	Scheduled	-1- Active	4- In Review	-1- Completed	Processed Distributions	- ↑ ARE Self-Certs - ↑ RFIs	-A- RFEs		NPCC Editor	rı ⊖
RFES	RELATED TO SELF - CE	RTS									
	RFE ID	SELF CERT ID		REGISTRATION			ORIGINAL DUE DATE	REQUESTED DUE DATE	NEW DUE DATE	STATUS	

- Technical Feasibility Exception will have one new tab:
 - TFE RFIs (new)

	Technical Feasib	ility Exception 🗸								Align for Regions	~
	TFEs Awaiting Review	Approved TFEs	s 😂 Inactive TFEs 😂 Disapproved TFE	Es 🗣 ARE TFES 🚽	- TFE RFIS					NPCC Editor 1	G
🗸 Ad	tive RFIs										
RFI	S RELATED TO TFES										
	RFI ID	RELATED SOURCE	REGISTRATION	REQUESTOR CONTACT	RESPONDENT CONTACT	REQUEST DATE	RESPONSE DUE BY	ENTITY SUBMISSION DATE	APPLICABILITY	STATUS	

- PNC Processing will have one new tab:
 - PNC RFIs (new)

	PNC Processing	~								Align for Regions	~
	Preliminary Screening	PNC Review	Salled PNC Screening							NPCC Editor 1	G
🗸 Act	ive RFIs										
RFIS	RELATED TO PNCS										
	RFI ID	RELATED SOURCE	REGISTRATION	REQUESTOR	RESPONDENT CONTACT	REQUEST DATE	RESPONSE DUE BY	ENTITY SUBMISSION DATE	APPLICABILITY	STATUS	

- Mitigation Management will have one new tab:
 - Mitigation RFIs (*new*)

	Mitigation Manage	ement 🗸								Align for Regions 🛛 🗸
	Mitigations Awaiting Review	w 😂 Rejected Mitigatio	ns 😂 Active Mitigations	Search Mitigations Awaiting Verification	Completed Mitigations	Consolidations	All Mitigations	- Mitigation RF	Is	NPCC Editor 1
🗸 Acti	ve RFIs									
RFIS	RELATED TO MITIGATI	IONS								8
	RFIID R	RELATED REGIS	TRATION	REQUESTOR CONTACT	RESPONDENT F CONTACT E	REQUEST RE DATE DU	SPONSE ENTIT E BY SUBM	Y APPL	ICABILITY STATUS	

- Enforcement Processing will have one new tab:
 - Violation RFIs (*new*)

	Enforceme	ent Processing 🗸 🗸								Align for Regions	~
۲	Open Enforceme	ent Actions -4- Active Dis	spositions 4- Dispositions a	nd Related EAs Pending Close	-/- Closed Enforceme	nt Actions 4- Violation	RFIs			NPCC Editor 1	G
🗸 Ac	tive RFIs										
RFI	S RELATED TO	VIOLATIONS									
	RFI ID	RELATED SOURCE	REGISTRATION	REQUESTOR CONTACT	RESPONDENT CONTACT	REQUEST DATE	RESPONSE DUE BY	ENTITY SUBMISSION DATE	APPLICABILITY	STATUS	

- Impacts to Registered Entity User Interface:
 - Request for Information
 - A new Module was added to capture the RFIs related to PNC, EA, Mitigation, PDS, Self-Cert, and TFE modules. This new module will allow Registered Entity to view all RFIs issued from



these six modules. The Registered Entity user can filter by the module by selecting the module in the "Parent Source Type" module.

Request For Information V											Align For Ent
FI Dashboard Source Type Active RFIs	Completed/Cancelled									THE R LEWIS CONFLORE SUPPORT	Transmission I.
ASHBOARD PARENT RFIID TYPE	PARENT SOURCE	REGISTRATION	REQUESTOR CONTACT	RESPONDENT CONTACT	REQUEST DATE	RESPONSE DUE BY	ENTITY SUBMISSION DATE	APPLICABILITY	STATUS	MODIFIED BY	MODI ON
Bernart Fank	· f t [*]	1									
Request For Ir	ntormation										
- RFI Dashboard											
arent Source Type	2 🍌	 Active RFIs 	Completed/0	Cancelled							
nforcement Action											
itigation	RENT	PARENT	REGISTRATION	REC							
US	3 Intial Non	SUORCE	ACCOUNTS INCOME	CON							
If-Certs	npliance ential Non	_	ACCOUNT OF ANY								
E	npliance	2012-020-02	Support States	1.00							
NI 22-000402	ential Non	200-000-0		100							
Periodic:	al Data	Submittal	s will have	one new	tab.						
		oubinitian		one nen							
\circ PDS I	RFES										
ic Data Submittals 🛛 🗸								i i		Align For Entition	es N
Requests 4 PDS Submittals	과 Completed P	DS Requests - A- Crea	te PDS 🕂 PDS RFEs						ananaine i ny	urungani sata tanıytar	
RELATED PDS	REGISTRATION			ORIGINAL DUE DATE	REQUESTED D	UE DATE	NEW DUE DATE	E ST.	ATUS	CREATED BY	
Solf-Cort	ificatio	nc will hav	0 000 000	(tab)							
- Jen-Cen	mcatio			<i>i</i> lau.							
 SC RF 	Es										
ertifications 🗸 🗸											
										Align Fo <u>r Entiti</u>	es 💉
Cert Requests 4- Self Cert Sub	mittais - 1 - Con	npleted Self Certs 기구 S	Self-Cert RFEs						-	Align For Entiti	es N

<u>Training Materials Modified</u>: CEA and Registered Entities Release 1 and 2 User Guides need to show additional tabs in the Self-certs, Periodic Data Submittals, and TFE modules for RFE, RFI.

User Story # 10578

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RF

Description of Issue: Response to RFI for TFE by entity does not show on the Region My Align dashboard

Users Affected: CEA

<u>Description of Change</u>: There was a bug related to the RFI Response from Registered Entities for the TFE where the RFI was not showing on the CEA's view of the My Align Dashboard. The modification allows the "RFI for TFE" to show on the CEA's My Align Dashboard's Items Awaiting My Review portlet.

ITE	MS AWA	ITING MY REVIEW						8
		<u>TYPE</u>	UNIQUE ID	STANDARD AND REQUIREMENT	REGIONS	REGISTRATION	DUE DATE	ASSIGNED TO
₽		RFI for TFE	TF-000250 RF23-000619	CIP-007-6 R5.	MPD IN	ACCURCE - Restore Regional Transmission Section, 3.2 🙀	10/28/2023	101010000
		RFI for TFE	TF-000434 RF23-000549	CIP-007-6 R5.	1010-00	COUNT And Address in 2	07/08/2023	5750 S201
		RFI for TFE	TF-000424 RF22-000500	CIP-005-6 R2.	www.en	designed a second straining the second state of the second straining of the second straining str	10/25/2022	5250 S200 1

<u>Training Materials Modified</u>: N/A - No training materials need to be updated.

User Story # 10698

<u>Description of Issue</u>: TFE/RFI form should refer to "Parent Source" (i.e. TFE ID) instead of "Original Finding"

Users Affected: CEA and Registered Entities

<u>Description of Change</u>: The RFI for for TFEs, PDS, and Self-Cert have been updated. Previously, these RFI forms had "Original Finding" as the unique identifier label which would show as a blank value in the field. The modification changed the label name from "Original Finding" to "Parent Source" on the PNC, EA, Mitigation, PDS, Self-Cert, and TFE forms to ensure the forms now populate with the parent source unique ID. The form will now reference the parent object's id (Ex. SC2023-XXXXXX, TFE-XXXXXX, or PDS2023-XXXXXX) instead of being blank. Further, in the reporting universe, new data fields were created to capture the RFI Parent Source (RFIPNC Parent Source, RFIEA Parent Source, RFIM Parent Source, RFITFE Parent Source, RFIPDS Parent Source, RFISC Parent Source)

Old Form View

	Request for Information
Original Finding	200-0276
New Form View	

Request for Information

Parent Source

<u>Training Materials Modified</u>: **Registered Entity User Guides for Release 1**, "Responding to an RFI", **Registered Entities User Guide for Release 2**, "Periodic Data Submittals (RFIs)", **CEA User Guide for Release 1**, "PNC Review (Requests for Information)", and **CEA User Guide for Release 2**, "Reviewing a PDS (RFIs)" pages need to be updated with new screenshots to show the new form with the change from "Original Finding" to "Parent Source" on the form.

User Story # 10956

Description of Issue: RFI - There is missing data in columns on NERC's view of RFI

Users Affected: NERC

<u>Description of Change</u>: A bug was identified with the creation of the new RFI portlet, the NERC view of the portlet was not showing all the data. The RFI portlet was updated to match the CEA view to show all the data fields: RFI ID, Requestor Contact, Respondent Contact, Request Sent Date, Request Due By, Entity Submission Date, Applicability, and Status.

	Request for	Information						
RFI ID	REQUESTOR CONTACT	RESPONDENT CONTACT	REQUEST SENT DATE	REQUEST DUE BY	ENTITY SUBMISSION DATE	APPLICABILITY	STATUS	

<u>Training Materials Modified</u>: **NERC User Guide for Release 1**, need to update "Mitigation RFIs" with new screenshot of the RFI portlet view. Also, need to remove the page that indicates NERC can issue and RFI, this functionality is no longer applicable to the NERC user.

User Story # 11686

<u>Description of Issue</u>: RFI/SELF-CERT: Include Standard and Requirement on SC RFIs, including on the SEL Reference ID within the RFI (see related 13737 for inclusion of the Standard/Requirement for all RFIs)

Users Affected: CEA and Registered Entities

<u>Description of Change</u>: The RFIs for Self-Certifications were missing the applicable requirement to allow the Standards to be visible in the SEL Reference ID and on the My Align Dashboard. The modifications to the RFI forms allow the CEA to select specific Standard/Requirement(s) for each RFI. This allows the Standard/Requirement(s) to now show on the RFI SEL Reference ID and the My Align Dashboard. At this time, the SEL path will only include one Standard and requirement, if the RFI is for more than one Standard/Requirement, it will not be included. A bug is being created to include all the possible RFI paths for each Standard and Requirement on the form.

Training Materials Modified: N/A – no training materials this corrects SEL path

User Story # 11326

Description of Issue: RFI - Add capability to create a Draft RFI for the CEA

Users Affected: CEA and Registered Entities

<u>Description of Change</u>: The RFIs for PNC, Enforcement, Mitigation, PDS, Self-Cert, and TFEs did not allow the CEA to create an RFI in draft or to allow the registered entity to create a draft response. The

modifications allow the CEA to create an RFI in draft. The registered entity now has the ability to Save the RFI response in draft before clicking the Save and Action button. Further, in the reporting universe, new data field objects were created to confirm if the RFI was sent to the registered entity (RFIPNC Send to Registered Entity, RFIEA Send to Registered Entity, RFIM Send to Registered Entity, RFITFE Send to Registered Entity, RFIPDS Send to Registered Entity, RFISC Send to Registered Entity).

Screenshots for CEA Creation of Draft RFI

On each of the RFI portlets, there is a "+" button for the CEA to create a new RFI (screenshot 1), this will open a create RFI form (screenshot 2), which will allow the CEA user to start documenting the RFI request and then they will need to click the Update button to save the newly created RFI.

<u>Screenshot 1 – "+" button to create new RFI object</u>

	2023-00	306-P				
	Reques	t for Information				
Click on the + sig	in to add a new Request for Infon	mation				ta
RFI ID	REQUESTOR	RESPONDENT	REQUEST	REQUEST	ENTITY SUBMISSION	Click here to create a new Request For Information.

<u>Screenshot 2 – shows Create RFI form</u>

eate Request for Information	
	Request for Information
Parent Source *	2023-00306-Р
Registration *	NORE-SE-Texture Texture Transmission System, S.D.W.PCC
Respondent Contact*	Jenus Suther
Note: Respondent Contact can be r	eassigned after the creation of RFI
Applicable Standard /* Requirement / Part	PRC-002-2 R3.
Requestor Comments	
Requestor Attachments	Attach file
Response Due By	12/22/2022
Response Due by	
Region Internal Comments	
	Update Close

After the form closes, the CEA user can refresh the RFI portlet to see the draft RFI (screenshot 3), after opening the RFI form the CEA user will see a new checkbox button next to "Send to Registered Entity", a Save and Action button, a Save button, Discard button, and Close button. If the CEA user checks the box next to "Send to Registered Entity" and then clicks "Save and Action" button, this will send the RFI to the Registered Entity. If the CEA user just clicks the "Save" button and not check the box, then the RFI will remain in the draft state (screenshot 4).

<u>Screenshot 3 – shows the draft RFI object after refreshing the portlet</u>

	2023-003	306-P					
	Request	for Information					
Click on the + si	ign to add a new Request for Inform	ation			+		
RFI ID	REQUESTOR CONTACT	RESPONDENT CONTACT	REQUEST SENT DATE	REQUEST DUE BY	ENTITY SUBMISSION DATE	APPLICABILITY	STATUS
RF23-000699	10755 8 Mar 1	James Sultan		12/23/2023		PRC-002-2 R3.	Draft

Screenshot 4 – shows the draft RFI object with the new functionality

	2023-00306-P RF23-000699
	Request for Information
Parent Source	2023-00306-P
Standard/Requirement/Part	PRC-002-2 R3.
Registration	KOTAN III Jingmus Regional Transmistra Normet, Vol. 8199702
Respondent Contact	Jana Mitar
Requestor Comments	
Requestor Attachments	Attach file
Response Due By	12/23/2023
Region Internal Comments	
	Action
Send to Registered Entity	
Instructions	RF Can be cancelled before sending to Entity, by clicking Discard Button.
2	Save and Action Save Discard Close 5



Screenshots for Registered Entity Response to an RFI request

	2023-00184-P RF23-000554		
	Request for Information		
Parent Source	2023-00184-P		
Applicable Standard/Requirement	PRC-002-2 R10.	Respondent Comments*	
Related Registration	NORMETE JANGANG Regime Transmission System, US IN 19901		
Requestor	WYCO/Later #		
Requestor Comments	test from PNC		
Requestor Attachments			the provided Comments on Static and University CPU is should
Request Sent On	June 20, 2023	Line and the Vo	intow unai the Respondent Comments are filled in and Optoad to SEL is checked.
Response Due By	July 20, 2023	opioad to SEL	
Secure Evidence Locker Instructions	Evidence Submit Evidence or Attachments related to this item via ERO Secure Evidence Locker (SEL) located at https://euse If you are hosting your own SEL, please provide a hyperlink to your locker in the comment section above.	tg.ercenterprise.com/nerc	infrastructure with the following reference number:
	Action		
Action	Respond Save and Action will acknowledge receipt of this Request and send back any response you have provided. Save will store any response	you have provided, but will neith	er acknowledge receipt of this Request nor send any response.
click here to print			
	Save and Action Save		

Training Materials Modified: **Registered Entity User Guides for Release 1**, "Responding to an RFI", **Registered Entities User Guide for Release 2**, "Periodic Data Submittals (RFIs)", **CEA User Guide for Release 1**, "PNC Review (Requests for Information)", and **CEA User Guide for Release 2**, "Reviewing a PDS (RFIs)" pages need to be updated to show new capability for CEA to create a Draft RFI.

User Story # 11327

<u>Description of Issue</u>: Request is to get immediate confirmation that RFI was created while still in the associated record

Users Affected: CEA

<u>Description of Change</u>: The RFIs for PNC, Enforcement, Mitigation, PDS, Self-Cert, and TFEs previously only allowed the CEA to create an RFI using a plus button. After creation, the RFI was not visible on the portlet until the CEA clicked Save and closed and reopened the form. The modification to the RFI portlet allows the CEA to click a refresh button on the RFI portlet section that will allow the CEA to view newly created RFIs. The RFI portlets have a "+" button for the CEA to create a new RFI, this will open a create RFI form which will allow the CEA user to start documenting the RFI request and then they will need to click the Update button to save the newly created RFI. After the RFI form closes, at the bottom of each RFI portlet there is a refresh button which will allow the CEA to view the newly created RFI in draft state.

CEA View old RFI portlet upon creation

	Requests for Informati	on		
	RFI ID	REQUESTOR CONTACT	RESPONDENT CONTACT	RESPONSE DUE BY
+				11/21/2023
53				

CEA View old RFI portlet after reopening the form

	Requests for	Information			
	RFIID	REQUESTOR CONTACT	RESPONDENT CONTACT	RESPONSE DUE BY	
+	RF23-010147	NPOC Kiden I	Keinery Serlier	11/21/2023	
ŝ			X		

CEA View new portlet with refresh option

	Request	for Information					
Click on the + sign	to add a new Request for Inform	nation			+	1	
RFI ID	REQUESTOR CONTACT	RESPONDENT CONTACT	REQUEST SENT DATE	REQUEST DUE BY	ENTITY SUBMISSION DATE	APPLICABILITY	STATUS
RF23-000629	NACCOMPT	James Salina		11/21/2023		CIP-007-6 R1.	Draft
RF23-000630	AMOUNTAIN (James Salina		11/21/2023		CIP-007-6 R1.	Draft
RF23-000631	Additional and	James Salina		11/21/2023		CIP-007-6 R1.	Draft
H A Pag	e 1 of 1 🕨 🕅	≈ 2			23		

Training Materials Modified: **CEA User Guide for Release 1**, "PNC Review (Requests for Information)", and **CEA User Guide for Release 2**, "Reviewing a PDS (RFIs)" pages need to be updated to show new capability for CEA to create a Draft RFI.

User Story # 13734

Description of Issue: RFI PDS - Add text box for internal comments or notes for the Regions

Users Affected: CEA

<u>Description of Change</u>: The RFIs for PNC, Enforcement, Mitigation, PDS, Self-Cert, and TFEs did not allow the CEA to document any internal review comments. The modifications allow the CEA to add internal review comments that are visible to the CEA and NERC. Further, in the reporting universe, there is a new data field object to view the Region Internal Notes (*RFIPNC Region Internal Comments, RFIEA Region Internal Comments, RFIM Region Internal Comments, RFITFE Region Internal Comments, RFIPDS Region Internal Comments, Region Internal Comments)*



	2023-00038-P RF23-000504
Parent Source	2023-00038-P
Requestor	HPC215AW 1
Applicable Standard/Requirement	CIP-002-5.1a R1.
Related Registration	ICONS - Report Paper Transister Science, UC 404712
Requestor Comments	test
Requestor Attachments	Attach file
Request Sent On	March 1, 2023
Response Due By	03/31/2023
Region Internal Comments	test comments

Training Materials Modified: **CEA User Guide for Release 1**, "PNC Review (Requests for Information)", and **CEA User Guide for Release 2**, "Reviewing a PDS (RFIs)" pages need to show text box for internal comments or notes for the Regions.

User Story # 13737 (related user story – 20131)

<u>Description of Issue</u>: RFI - Associate each RFI with a Standard and/or Requirement and make it a mandatory for submission

Users Affected: CEA and Registered Entities

<u>Description of Change</u>: The RFIs for PNC, Enforcement, Mitigation, PDS, Self-Cert, and TFEs did not allow the CEA to select applicable requirement and defaulted to the source selection. For PNC, Enforcement, Mitigation, PDS, and TFEs, each of these sources only have one applicable Standard and Requirement so these are automatically included on the form in a read-only state. However, the Self-Certification RFI, could potentially have more than one Standard and Requirement associated with the Self-Certification scope. This modification allows the CEA to select specific Standards and Requirements that the RFI is associated with. Further, the RFI forms for each of these areas have added the Standard and Requirement field to the form.

RFI Form, Portlet, and My Align Dashboard for RFIs issued from PNC, EA, Mitigation, PDS, and TFE– upon creation, the Applicable Standard/Requirement/Part are set based on the source object. A bug is being created to add a validation rule to ensure Standard/Requirement cannot be deleted by CEA prior to sending to the Registered Entity.

<u>RFI Form</u>

Сп	eate Request for Information	
		Request for Information
	Parent Source*	2023-00290-P
	Registration *	HCPUICO- Replace Regional Transmission Dyslew, LLC in NPCC
	Respondent Contact*	-brezelier
	Note: Respondent Contact can be re	eassigned after the creation of RFI
	Applicable Standard / * Requirement / Part	CIP-007-6 R1.
	Requestor Comments	

<u> RFI Portlet – CEA view</u>

RFI ID	REQUESTOR CONTACT	RESPONDENT CONTACT	REQUEST SENT DATE	REQUEST DUE BY	ENTITY SUBMISSION DATE	APPLICABILITY	STATUS
RF23-000629	NPCCOMP1	ineres lation	10/22/2023	11/21/2023		CIP-007-6 R1.	Awaiting Response from Entity
RF23-000632	1010232.dor/1	1 mm = 1 min = m		11/21/2023		CIP-007-6 R1.	Draft
RF23-000652	6/0222.00v1	in the second se	10/22/2023	11/21/2023		CIP-007-6 R1.	Cancelled

RFI Portlet - Registered Entity view

RFIID	REQUESTOR CONTACT	RESPONDENT CONTACT	REQUEST SENT DATE	REQUEST DUE BY	ENTITY SUBMISSION DATE	APPLICABILITY	STATUS
RF23-000629	10110-0004-1	10000 B.0000	10/22/2023	11/21/2023		CIP-007-6 R1.	Awaiting Response from Entity
RF23-000652	1991 1 101 1	10710 T-10110	10/22/2023	11/21/2023		CIP-007-6 R1.	Cancelled
RF23-000628	19710-0004-1	1000 Million	لي 10/22/2023	11/19/2023	10/22/2023	CIP-007-6 R1.	Incomplete

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CEA View – My Align Dashboard

ΈN	AWA	ITING MY REVIEW			h.
		<u>TYPE</u>	UNIQUE ID	STANDARD AND REQUIREMENT	
*		RFI Response for Mitigation	2020-00052 RF23-000640	MOD-032-1 R3.	
		RFI for SelfCerts	SC2022-000165 RF23-000646	PRC-002-2 R1.	
		RFI Response for PNC	2023-00290 RF23-000631	CIP-007-6 R1.	
		RFI Response for EA	2023-00263 RF23-000639	PRC-002-2 R1.	
		RFI for PDS	PDS2021-001629 RF23-000642	FAC-003-4	
		RFI for TFE	TF-000310 RF23-000650	CIP-007-6 R5.	

Registered Entity View – My Align Dashboard

MY	TASKS									
		TYPE	UNIQUE ID	REGION OR LRE	STATUS	NCR	REGISTRATION	STANDARD AND REQ	DUE DATE	CREATED BY
Ð		RFI for Finding	2020-00171 20-000105-R	10110	Awaiting your Response	NOTION OF	Inglane Reports Transmission (prior), (j.)	CIP-003-7 R2.	07/11/2020	WELL ROOM 1
		RFI for Mitigation	2020-00653 20-000198-R	10110	Awaiting your Response	Inclusion of	Inglane Reports Transmission (prime, p.)	CIP-005-6 R1.	09/19/2020	WYDRIAD .
		RFI for TFE	TFE-000034 21-000248-R	-	Awaiting your Response	Increased as	Implant Reports Transmission System (1).7	CIP-007-6 R4.	03/15/2021	NY CARACTORY
		RFI for SelfCerts	SC / 000065 21-000251-R	1010	Awaiting your Response	ACCURATE OF	Inglang Reports Transferences (prime (j.)	CIP-002-5.1a R1., CIP-002- 5.1a R2.	03/21/2021	week and
		RFI for PDS	PDS / 001087 RF21-000274		Awaiting your Response	Inclusion at	Inglang Reports Transmission (print, 31.7	FAC-003-4	04/03/2021	WELL BORN 1
		RFI for TFE	TFE / 000106 RF21-000273	10710	Awaiting your Response	ACCOUNT OF	Ingland Reputal Procession System (1.5)	CIP-006-6 R1.	04/09/2021	WERE BORNES

RFI Form, Portlet, and My Align Dashboard for RFIs issued from Self-Certification – – upon creation, the Applicable Standard/Requirement/Part are set based on the source object, which means all Standards/Requirements that are part of the Self-Certification request. The CEA can go in and deselect any Standard/Requirement not applicable to the specific RFI request. In this example, there are 5 requirements in the Self-Certification request, but only two are applicable to the RFI. The CEA will click the "x" next to the Standard/Requirement it no longer wants to be on the RFI and after completing the rest of the RFI the CEA can click Update. After creation, the RFI still allows the Applicable Standard/Requirement/Part to be editable up until it is sent to the Registered Entity.

<u>RFI Form</u>

	Request for Information
arent Source*	Self Cert test for notes
Registration *	HONORD, Septem Report Transmission Rysey, LLC is NYCE
Respondent Contact*	Jana Suban
Note: Respondent Contact can be r	eassigned after the creation of RFI
Applicable Standard /* Requirement / Part	PRC-002-2 R6. × PRC-002-2 R3. × PRC-002-2 R4. × PRC-002-2 R1. × PRC-002-2 R2. ×
Requestor Comments	
Requestor Attachments	Attach file
Response Due By	11/21/2023
Region Internal Comments	

<u> RFI Portlet – CEA view</u>

	utick on the + sign to add a new request for information				+			
6	RFI ID	REQUESTOR CONTACT	RESPONDENT CONTACT	REQUEST SENT DATE	REQUEST DUE BY	ENTITY SUBMISSION DATE	APPLICABILITY	STATUS
	RF23-000653	10755 218e (Jacob Californi	10/22/2023	11/21/2023	[PRC-002-2 R6., PRC-002-2 R2.	Awaiting Response from Entity

RFI Portlet - Registered Entity view

	Request fo	or Information					
RFI ID	REQUESTOR CONTACT	RESPONDENT CONTACT	REQUEST SENT DATE	REQUEST DUE BY	ENTITY SUBMISSION DATE	APPLICABILITY	STATUS
RF23-000653	1010-004-0	James Judices	10/22/2023	11/21/2023		PRC-002-2 R6., PRC-002-2 R2.	Awaiting Response from Entity
RF23-000559	1010-004-1	Section 1	06/20/2023	07/20/2023		PRC-002-2 R6.	Awaiting Response from Entity

<u> CEA View – My Align Dashboard</u>

ITE	ITEMS AWAITING MY REVIEW							
		<u>TYPE</u>	UNIQUE ID	STANDARD AND REQUIREMENT	REGIONS	REGISTRATION	DUE DATE	ASSIGNED TO
₽		RFI for SelfCerts	SC2022-000150 RF23-000653	PRC-002-2 R2., PRC-002-2 R6.	NF02-00	. The transmission is the second set of the second set of the second se	11/21/2023	NPCC Editor 1
		RFI for SelfCerts	SC2022-000165 RF23-000646	PRC-002-2 R1.	8000-00	termination inspecting and furnamentary and 🗿	11/21/2023	NPCC Editor 1

Registered Entity View – My Align Dashboard

MY	ny tasks									
		<u>TYPE</u>	UNIQUE ID	REGION OR LRE	STATUS	NCR	REGISTRATION	STANDARD AND REQ	DUE DATE	CREATED BY
⊳		RFI for SelfCerts	SC2022-000150 RF23-000653	MPG6	Awaiting your Response	100000	Super-Super-Street Apart, 6.4	PRC-002-2 R2., PRC-002-2 R6.	11/21/2023	NPCC Editor 1

Training Materials Modified: **CEA User Guide for Release 1**, "PNC Review (Requests for Information)", and **CEA User Guide for Release 2**, "Reviewing a PDS (RFIs)" pages need to show the modification that allows the CEA to select specific Standards and Requirements that the RFI is associated with.

User Story # 20131 (related user story – 13737)

<u>Description of Issue</u>: RFIs created from Self-Certs should have a filtered requirement picklist based on parent Self-Cert

Users Affected: CEA

<u>Description of Change</u>: This is a second user story that builds on the functionality that is part of user story 13737. When a CEA creates an RFI for a Self-Cert, the Applicable Standard/Requirement/Part are set based on the source object, which means all Standards/Requirements that are part of the Self-Certification request. The CEA can go in and deselect any Standard/Requirement not applicable to the specific RFI request. In this example, there are 2 requirements in the Self-Certification request. The CEA can click the

"x" next to the Standard/Requirement it no longer wants to be on the RFI and after completing the rest of the RFI the CEA can click Update. After clicking update, the RFI is in the Draft state and allows the Applicable Standard/Requirement/Part to be editable up until it is sent to the Registered Entity. On the Draft RFI form, the CEA user will see a magnifying glass, after clicking the magnifying glass a new pick-list will open that will allow the CEA to only select/deselect the requirements that are part of the scope.

RFI Form -create form automatically includes all in scope, but CEA can "x" out non-applicable

Create Request for Informa	on
	Request for Information
Parent	ource* SC2023-000010
Regis	ation*
Respondent (ntact*
Note: Respondent Conta	can be reassigned after the creation of RFI
Applicable Sta Requirement	dard /* FAC-002-3 R3. × FAC-002-3 R4. × 1
Requestor Con	nents

RFI Form -draft form allows the CEA can "x" out non-applicable, or click on magnifying glass to add any that are in scope

		SC2023-000010 RF23-000700
		Request for Information
	Parent Source Registration	SC2023-000010
Aj	pplicable Standard / Requirement / Part	FAC-002-3 R3. × FAC-002-3 R4. ×
Re	Respondent Contact equestor Comments	Jane Talen
Requi	irement	List
SELE	CT REQ	UIREMENT
	REQUIR	EMENT
v	FAC-002	2-3 R3.
v	FAC-002	2-3 R4.

Training Materials Modified: **CEA User Guide for Release 1**, "PNC Review (Requests for Information)", and **CEA User Guide for Release 2**, "Reviewing a PDS (RFIs)" pages need to show the modification that allows the CEA to select specific Standards and Requirements that the RFI is associated with.

User Story # 14673

Description of Issue: Can't remove nonsent RFIs that were created in error

Users Affected: CEA and Registered Entities

<u>Description of Change</u>: The RFIs for PNC, Enforcement, Mitigation, PDS, Self-Cert, and TFEs did not allow the CEA to rescind an RFI after it has been sent to the Registered Entity. The modification allows the CEA to cancel an RFI that has been sent to the Registered Entity and is in "Awaiting Registered Entity Response" status. For the RFIs that have been Cancelled, all users will still see the RFI but the status will be marked as Cancelled. The modification also allows the CEA to discard a draft RFI prior to being sent to the Registered Entity. For the draft RFIs that have been discarded, the RFI will removed from the CEA's RFI portlet. In the example below, RF23-000655 was discarded as a draft and RF23-000656 was Cancelled after sent to the Registered Entity.

CEA's RFI Portlet before taking action

RFI ID	REQUESTOR CONTACT	RESPONDENT CONTACT	REQUEST SENT DATE	REQUEST DUE BY	ENTITY SUBMISSION DATE	APPLICABILITY	STATUS
RF23-000656	1071), 218er (James Bulleton		11/21/2023		CIP-007-6 R1.	Draft
RF23-000655	107102 (108ar 1	James Schwart		11/21/2023		CIP-007-6 R1.	Draft

Discard Draft RFI – to discard a draft RFI, the CEA will open the draft RFI and click on the "Discard" button on the form.



	2022-00200-D DE22-000655
Stangarg/Requirement/Part	2023-00230-F 11 23-000033
Registration	NOVERSE- National Response Transmission Automa 122 in NPT2
Respondent Contact	and the factor
Requestor Comments	Test Delete RFI
Requestor Attachments	Attach file
Response Due By	11/21/2023
Region Internal Comments	Tect Delete DEI
	Action
Send to Registered Entity	
Instructions	RFI Can be cancelled before sending to Entity, by clicking Discard Button.
	•
	Save and Action Save Discard Close

CEA's RFI Portlet after taking action to discard RF23-000655 - the RFI is removed from the CEA RFI Portlet

	•	REQUESTOR CONTACT	RESPONDENT CONTACT	REQUEST SENT DATE	REQUEST DUE BY	ENTITY SUBMISSION DATE	APPLICABILITY	STATUS
RF23-000656		NACIONI-1	Jarren halten	10/22/2023	11/21/2023		CIP-007-6 R1.	Awaiting Response from Entity
RF23-000652		6702238v1	Jacob Salara	10/22/2023	11/21/2023		CIP-007-6 R1.	Cancelled

<u>Cancel RFI</u> – to cancel an RFI, the CEA will open the RFI that is in the "Awaiting Response from Entity" (see above screenshot for RF23-000656. Once the RFI form is open, the CEA will scroll down to the "Action" section and click on the checkbox next to the "Cancel RFI" option and then click Save. After refreshing the portlet, the CEA and Registered Entity will now see that RFI in the "Cancelled" status. The RFI will also be removed from the Registered Entity's My Align's My Tasks dashboard.



	2022 00200 D DE22 0006E6	
Requestor Atmontients	2023-00290-P RF23-000636	
Request Sent On	October 22, 2023	
Response Due By	11/21/2023	
Pagian Internal Comments		
Region Internal comments	Test Cancelled RFI	
	Evidence and Attachments	
	Evidence and Attachments	
Locker Reference	Management and a second system of the second s	
	Action	
Review Results		
Instructions	Mark this RFI as Complete or Incomplete. Save and Action of an Incomplete RFI will send the RFI b	ack t
Canad DEL Q	List. Save will store any of the review results you have selected, but will not action the RFI either wa	.y.
Cancel RFI @		
Instructions	Select "Cancel RFI" check box to Cancel RFI when RFI is with Entity.	
click here to print		
	2	
	Save Close	

CEA's RFI Portlet after taking Cancel action

RFI ID	REQUESTOR CONTACT	RESPONDENT CONTACT	REQUEST SENT DATE	REQUEST DUE BY	ENTITY SUBMISSION DATE	APPLICABILITY	STATUS
RF23-000656			10/22/2023	11/21/2023		CIP-007-6 R1.	Cancelled

Registered Entity's RFI Portlet after taking Cancel action

RFI ID	REQUESTOR CONTACT	RESPONDENT CONTACT	REQUEST SENT DATE	REQUEST DUE BY	ENTITY SUBMISSION DATE	APPLICABILITY	STATUS	
RF23-000656		1000	10/22/2023	11/21/2023		CIP-007-6 R1.	Cancelled	<u></u>

<u>Training Materials Modified</u>: **CEA User Guide for Release 1**, "PNC Review (Requests for Information)", and **CEA User Guide for Release 2**, "Reviewing a PDS (RFIs)" pages need to show the ability to discard a draft and cancel an RFI that was created in error.

User Story # 14807 (related user story 10281)

<u>Description of Issue</u>: RFI - Release 2 RFIs reference "Original Finding" when viewed from the My Align Dashboard

Users Affected: CEA and Registered Entities

<u>Description of Change</u>: On the My Align Dashboard for Registered Entities and CEAs, the source of the RFI was not visible for PDS, Self-Certs, or TFEs. Under the unique ID column, it would only show the RFI ID, but not the source ID.. This modification will allow users to more easily identify which RFI the request is associated with. (Ex. SC2023-XXXXXX, TFE-XXXXXX, or PDS2023-XXXXXX) instead of being blank.

MY	TASKS		
		<u>TYPE</u>	UNIQUE ID
₽		RFI for SelfCerts	SC2023-000010 RF23- 000677
		RFI for Mitigation	2023-00263 RF23-000681
		RFI for Finding	2023-00306 RF23-000679
		RFI for EA	2023-00263 RF23-000680
		RFI for TFE	TFE-000442 RF23-000678
		RFI for PDS	PDS2023-000527 RF23- 000676

Screenshot showing the Unique ID updates for RFIs

<u>Training Materials Modified</u>: **Registered Entity User Guides for Release 1**, "Responding to an RFI", **Registered Entities User Guide for Release 2**, "Periodic Data Submittals (RFIs)", **CEA User Guide for Release 1**, "PNC Review (Requests for Information)" and **CEA User Guide for Release 2**, "Reviewing a PDS (RFIs)" pages need to be updated with new screenshots. The My Align dashboard screenshots need to be updated to see the new Unique ID columns.

User Story # 15334

<u>Description of Issue</u>: RFI - CEA needs to be able to send a Mitigation RFI if status is Active or NERC Processing

Users Affected: CEA

<u>Description of Change</u>: In the Mitigation Module, the CEA was limited to sending RFIs to the registered entities when the mitigation was on the Awaiting Review and Mitigations Awaiting Verification tabs. This modification allows the CEA to also send RFIs when the mitigation is in the Active or NERC Processing state.

<u>Training Materials Modified</u>: **CEA User Guide for Release 1**, "PNC Review (Requests for Information)" page needs to be updated to explain the ability to issue RFI if Mitigation status is in Active or NERC processing.

User Story # 16809 (related user story 13734, 11326)

<u>Description of Issue</u>: PDS RFI Draft - Draft RFI displays for the Entity along with the Region Internal Comments

Users Affected: CEA and Registered Entities

<u>Description of Change</u>: During testing of the new RFI functionality (user story 13734), a bug was identified that allowed a registered entity to view RFIs in draft and the internal regional comments. This modification fixes this issue so that registered entities do not see draft RFIs or the internal regional comments.

CEA View of RFI form shows the Region Internal Comments box and CEA view of the RFI portlet shows all RFIs

			2023-00290-P RF2	3-000628		
		2	Request for Inform	nation		
	Pr Standard/ Related Requestor Requestor Requ	arent Source Requestor Applicable Requirement Registration or Comments Attachments uest Sent On	2023-00290-P CIP-007-6 R1. Test RFI Comments to Er Attach file October 22, 2023	ntity from NPCC Edito	nin Licinii Poc r1	
	Requestor Req Resp Region Interna	al Comments	Attach file October 22, 2023 11/19/2023 Test RFI Region Interna	I Comments from NP4	CC Editor 1	
RFI ID	REQUESTOR	RESPONDENT CONTACT	REQUEST	REQUEST DUF RY	ENTITY SUBMISSION DATE	APPLICABILITY
RF23-000628	NPCC Editor 1	James Sullivan	10/22/2023	11/19/2023	Drift	CIP-007-6 R1.
RF23-000629	NPCC Editor 1	James Sullivan		11/21/2023		CIP-007-6 R1.
RF23-000630	NPCC Editor 1	James Sullivan		11/21/2023		CIP-007-6 R1.

Registered Entity View of RFI form does not show the Region Internal Comments box and the Registered Entity view of the RFI portlet does not show draft RFIs

Farent Source 2	Request for Information					
Parent Source 2	Request for information					
Parent Source 2						
	2023-00290-P					
Applicable C Standard/Requirement	CIP-007-6 R1.		Respondent Comme	nts*		
Related Registration	Related Registration					
Requestor	PODDate 1					
Requestor Comments T	Test RFI Comments to Entity from NPCC Edito	or 1				
Requestor Attachments			Note: You cannot proceed in	the workflow until the Respondent Comme	ents are filled in. If evidence is submitted	to the SEL please check
Request Sent On C	October 22, 2023 😓		the box for Upload to SEL.			
Response Due By	November 19, 2023		Upload to	SEL		
RFI ID REQUESTOR CONTACT	R RESPONDENT CONTACT	REQUEST SENT DATE	REQUEST DUE BY	ENTITY SUBMISSION DATE	APPLICABILITY	STATUS
RF23-000628	i investigation	10/22/2023	11/19/2023		CIP-007-6 R1.	Awaiting Response

<u>Training Materials Modified</u>: N/A – this addressed a bug, any training material changes will be documented under user story 13734.

User Story # 17776 (related user story 10409)

<u>Description of Issue</u>: RFI - On RFI dashboards/tabs that have been added to Entity and Region solutions, provide ability to filter or possibly remove Completed RFIs

Users Affected: CEA and Registered Entities

<u>Description of Change</u>: The CEA view has a new RFI tab created on the PNC Processing module, Enforcement Processing module, Mitigation Management module, Periodic Data Submittal module, Self-Certification module, and Technical Feasibility Exception module. The new tab is located at the end and allows the CEA to view all RFIs that have been issued from that module. The default view is to view only active RFIs, if the CEA wants to see all RFIs for that module, the CEA will need to uncheck the box next to the "Active RFIs" text box in the upper left hand of each tab. If the CEA only wants to see RFIs that are in the Complete/Cancelled state, they need to check the box next to "Completed/Cancelled" text box in the upper left hand corner of each tab. To view each tab, see user story 10409. This user story only addresses the inclusion of the Active RFIs check box and the Completed/Cancelled checkbox.

CEA View -default view where "Active RFIs" checkbox is selected

	PNC Processing	~		
₩ F	Preliminary Screening	PNC Review	Failed PNC Screening	-/ PNC RFIs
 Acti 	ve RFIs 🗌 Completed	d/Cancelled		

<u>CEA View –user can select or deselect the "Active RFIs" and "Completed/Cancelled" checkboxes based</u> on which RFIs the user wants to view

	PNC Processing	~			
₩ F	Preliminary Screening	PNC Review	Screening	-∕⊦ PNC RFIs	
Acti	ve REIs Completed	d/Cancelled			

<u>Registered Entity View of RFIs</u> – the Registered Entity view has a new "Request For Information" module that shows all RFIs issued from the PNC, EA, Mitigation, PDS, Self-Cert, or TFE modules (see user story 10409). The Audit/Spot Check module RFIs are not currently on this tab.

Registered Entity View -default view where "Active RFIs" checkbox is selected

	Request For Information	~	
- / - R	FI Dashboard		
Parent	Source Type 🔹	Active F	RFIs Completed/Cancelled

<u>Registered Entity View–user can select or deselect the "Active RFIs" and "Completed/Cancelled"</u> <u>checkboxes based on which RFIs the user wants to view</u>



<u>Training Materials Modified</u>: **Registered Entity User Guides for Release 1**, "Responding to an RFI", **Registered Entities User Guide for Release 2**, "Periodic Data Submittals (RFIs)", **CEA User Guide for Release 1**, "PNC Review (Requests for Information)" and **CEA User Guide for Release 2**, "Reviewing a PDS (RFIs)" pages need to be updated with new screenshots and explanation of the new tabs and filtering functionality..

User Story #19145

Description of Issue: 916b - REGION: Allow RFIs to be edited by specified CEA Editor roles

Users Affected: CEA

<u>Description of Change</u>: The RFIs were locked by one user preventing others at the CEA to take action on the RFI. This change allows applicable CEA users to comment and take action on the RFI. During testing, logged in as two users and confirmed both could edit the RFI and both saw the Save and Action button. If the CEA user did not see the Save and Action button, the user can link to their name to view the Save and Action button. To add another CEA user, first click on the link button on the RFI form, in the "Relate Existing" form that opens, you should be able to select a name and then hit conform, which will close the "Relate Existing" form. After relating the new user, the CEA will need to click "Save" on the RFI form and then reopen in order to see the Save and Action button. NOTE: there might be some older RFIs where the user is unable to action, if that is the case, the user should be able to relate a Regional user to respond and click Save. After reopening, the user should see the Save and Action button.

	2023-00290-P RF23-000628				
	Request for Information				
Parent Source Requestor Applicable Standard/Requirement Related Registration Requestor Comments	2023-00290-P CIP-007-6 R1. Test RFI comments to Entity from Editor 1 - Initial submission Test RFI comments to entity from Editor 2 - submit_promplete.	<mark>م</mark> ک	Respon	FIRST NAME	Entity Test Save Draft Editor 1 submit first Entity Test Save Draft Editor 2 submit on Incomplete LAST NAME
Requestor Attachments Request Sent On Response Due By Region internal Comments	Attach file October 22, 2023 11/19/2023 Test RFI Region Internal Comments from Total State				
	Evidence and Attachments Save and Action Save Close				

	INAWIE
	an and a second s
	Farmer on Handad
	ray motas
	Automatical State
	Berget (Parchall
~	Editor 1
	Editor 2
	Editor 3
	Editor 4
	Editor 5
	Editor 6
к	Page 1 of 1 >>> C

<u>Training Materials Modified</u>: **CEA User Guide for Release 1**, "PNC Review (Requests for Information)" and **CEA User Guide for Release 2**, "Reviewing a PDS (RFIs)" pages need to be updated to show the ability to edit by specified CEA Editor roles.

User Story #19159

Description of Issue: RFI Request Sent On date is populating even if it was not sent to the entity

Users Affected: CEA and Registered Entities

<u>Description of Change</u>: Based on the new RFI portlet changes and the ability for the CEA to create draft RFIs prior to sending to the registered entity, a bug was identified that automatically set the "Request Sent Date" upon creation instead of when the RFI was sent to the Registered Entity. The bug was corrected and the "Request Sent Date" is now populated once the RFI is sent to the Registered Entity.

Click on the + sign	to add a new Request for Inform	nation			+		Ŷ
RFI ID	REQUESTOR	RESPONDENT CONTACT	REQUEST SENT DATE	REQUEST DUE BY	ENTITY SUBMISSION DATE	APPLICABILITY	STATUS
RF23-000628	MICCORN 1	tana bahwa	10/22/2023	11/19/2023		CIP-007-6 R1.	Awaiting Response from Entity
RF23-000629	NECCOMM 1	Lanes Salara		11/21/2023		CIP-007-6 R1.	Draft

Training Materials Modified: N/A, no changes to training materials.

User Story #19351

Description of Issue: RFI - EA - Entity view Secure Evidence Locker issue

Users Affected: CEA and Registered Entities

<u>Description of Change</u>: Based on the new RFI functionality which allows the CEA to issue and RFI from the EA form, the SEL reference ID needed to be updated to reflect the new source.

	2023-00263-E RF23-000669
	Request for Information
	Requestion monnution
Parent Source	2023-00263-E
Applicabl Standard/Requirement	PRC-002-2 R1.
Related Registration	NOVERICE - Regione Response Transmission System, LLC & MECC
Requestor	NEW PARA 1
Requestor Comments	test
Requestor Attachments	
Request Sent On	October 22, 2023
Response Due By	November 21, 2023
	Full data a
	Evidence
Secure Evidence Locker	Submit Evidence or Attachments related to this item via ERO Secure Evidence Locker (SEL
Instructions	NPCC NCR001302023-00263-E 2023-00263-E, RF23-000669PRC-002-2 R1.

<u>Training Materials Modified</u>: N/A – no training materials need to be modified; this corrected the issue.

Multiple Modules – Print Functionality

User Story # 17915

<u>Description of Issue</u>: For Region and NERC views, we need to have the ability to print the full record of the violation, mitigation, disposition. Right now, there is limited functionality for the entity to print from draft view. Each form needs to have ability to print as well as print the underlying reference tables (RFI, Finding Update, etc.)

Users Affected: CEA and NERC

<u>Description of Change</u>: New reports were created for CEA and NERC users to print the forms. The new print reports match the UI forms and ensure all fields are visible, all print reports are visually uniform, and the print links have either been updated or added to pull in the new reports. The CEA and NERC users can print the following: the draft finding record prior to submission; the PNC Review record with the references to the related items (mitigation, RFIs, and finding updates); finding updates; notifications; dispositions; RFIs; mitigation with milestone information; and individual milestone records

<u>Training Materials Modified</u>: N/A – training materials do not need to be updated, just a hyperlink on the forms.

PNC Processing Module and Enforcement Processing Module

User Story # 7727

<u>Description of Issue</u>: The EG is working on defining new cause codes different from the ones currently in Align that came from Events Analysis. Once they have them finalized, the EG is hoping they can get those into Align to replace what is currently there

Users Affected: CEA

Description of Change: The CEA has the ability to select from a list of Cause Codes developed by the ERO Event Analysis Program. These cause codes were developed to help cause analysis of events. The Enforcement Group determined that this cause codes are too expansive and came up with a shortened list of cause codes that are more appropriate for cause analysis of potential noncompliance. The modification is made to on two different forms: 1) PNC Review form section "Root Cause Analysis" section, specifically the Root Cause Code" and "Contributing Cause Code(s)" drop downs, and 2) the Enforcement Action (EA) form section "Violation Extent of Condition, Root Cause, and Risk Analysis" section, specifically the "Root Cause Code" and "Contributing Cause Code(s)" drop downs. Previously, when the CEA user clicked on the drop downs, it would show the Event Analysis' cause codes (see image 1 below). The modification adds a note to the CEA user indicating they should select from the Enforcement Cause codes and instead of a drop down there is a magnifying glass to click on (see image 2 below). Once the CEA user clicks on the magnifying glass, the Enforcement Cause Codes will be selectable by the user (see image 3 below).

Root Cause Code 🕖						
Contributing Cause	None					
Code(s) 🥯	A1 - Design/Engineering					
Root Cause Analysis Notes	A1B1 - Design Input LTA					
10100	A1B1C01 - Design input cannot be met					
	A1B1C02 - Design input obsolete					
	A1B1C03 - Design input not correct					

Image 1

Note: Please use the Enforcement Cause Codes from the list in the magnifying glass by selecting 'ENF' first. Do not use the old cause codes that begin with A.

Root Cause Code 💷

Contributing Cause Code(s)

Root Cause Analysis



Image 2

Root	Cause Code
CAL	ISE CODES
	NAME
0	ENF-01 - Change Management
0	ENF-02 - Communication/Coordination - Internal
0	ENF-03 - Communication/Coordination - External
0	ENF-04 - Design - Ineffective Process Flow or System Design
0	ENF-05 - Activity Performed but Lack of or Deficient or Incorrect Documentation
0	ENF-06 - Activity Performed but Lack of or Deficient or Incorrect Documentation from Third-Party
0	ENF-07 - Lack of or Deficient Policy/Procedure/Process - Company Wide
0	ENF-08 - Lack of or Deficient Policy/Procedure/Process - Department/Business Level
0	ENF-09 - Ineffective Preventive Controls
0	ENF-10 - Ineffective Validation/Detective Controls
0	ENF-11 - Additional Training Needed
0	ENF-12 - Ineffective Training Program
0	ENF-13 - Lack of Understanding
0	ENF-14 - Ineffective Management Oversight
K	< Page 1 of 1 → H 2
	Confirm Close

Image 3

<u>Training Materials Modified:</u> **CEA User Guide for Release 1**, "PNC Review (Root Cause Analysis)" needs to show the ability to select from a list of Cause Codes developed by the ERO Event Analysis Program.

User Story # 19649

Description of Issue: Entity - Enforcement Processing - My Closed Findings - Column displays MITTYPE

Users Affected: Registered Entity

<u>Description of Change</u>: There was a typo on the mitigation column header on the Registered Entity's "My Closed Findings" tab under the "Enforcement Processing" module. The medication changes the name from "MITTYPE" to "Mitigation".

Old Column Name

Enforcement Processing V				Align For Entities	~
H My Open Findings My Closed Findings			NUCL ADDRESS AND	legional Francesission Apoten, A.M.	Э
MY CLOSED FINDINGS					
MONITORING UNIQUE_ID REGION CR LRE SUBMITTED REGISTRATION	STANDARD	REQ START DATE	FINDING STATUS	MITTYPE	
Updated Column Name					
Enforcement Processing V				Align For Entities	~
III My Open Findings III My Closed Findings			NUMBER OF STREET	ذغر مغرة مغنامهما المغهاته	G
MY CLOSED FINDINGS					

STANDARD

START DATE

CREATED BY

MITIGATION

<u>Training Materials Modified</u>: *N/A – correction to column header, no changes to training materials.*

User Story # 11430

UNIQUE_ID

DATE SUBMITTED REGISTRATION

MONITORING METHOD

Description of Issue: Need to ensure Canadian filings do not appear on the FERC Filings dashboard

Users Affected: NERC

<u>Description of Change</u>: This change prevents any Canadian disposition showing in the FERC Filings dashboard. As a NERC user, when a Filing object is created to share with FERC, it has to listed in the picklist of unrelated dispositions. The code prevents any Canadian dispositions from appearing in this disposition picklist.

<u>Training Materials Modified</u>: *N/A – no training materials need to be updated.*

User Story # 18855

Description of Issue: Trigger Error - Submitting an Enforcement Action for a Finding created by the Region

Users Affected: CEA

<u>Description of Change</u>: While testing new Canadian functionality in the DEV environment, a bug was created as CEA could not submit a Disposition record to NERC for NERC Processing. This bug was corrected. This bug was corrected and was tied to Canadian emails.

<u>Training Materials Modified</u>: *N/A – no training materials need to be updated.*

User Story # 17917

Description of Issue: Requested workflow modifications for Dispositions and EA records - Priority

Users Affected: CEA

<u>Description of Change</u>: Admin instructions were created so that the Admin could move Dispositions and EA records to previous workflows. The instructions explain the steps needed for the Disposition to move from Pending Closure step to the CEA Processing Step, the Disposition to move from the Closed step to the Pending Closure step, the EA record to move from the Processing Complete to the CEA Processing step, and the EA record to move from the Action Closed to the Processing Complete step.

<u>Training Materials Modified</u>: *N/A – no training materials need to be updated.*

Self Reports and Logs Module and Mitigation Management Module

User Story # 12989

<u>Description of Issue</u>: Mitigation activity records without any milestones assigned can be submitted to the CEA

Users Affected: Registered Entity

<u>Description of Change</u>: When a Registered Entity submits a mitigation record to the CEA for review, the mitigation record should have associated milestones. There were no controls in place to prevent a Registered Entity inadvertently submitting a mitigation record to the CEA for review without any associated milestones. The modification has added a validation check in two locations to prevent mitigation records being submitted without any associated milestones.

In the Self-Report and Logs Module, when a Registered Entity opens a draft Finding under the "My Drafts" portlet and tries to submit the Finding and clicks on the "Submit Mitigations for Review with Finding?" checkbox, a validation check confirms whether there are any associated milestones. If there are no milestones and the "Submit Mitigations for Review with Finding?" checkbox is selected the user will see a validation error message "Milestone(s) for Finding (You cannot submit Mitigation without assigning any milestones).

Instructions	Mitigation Information (optional - click to expand)				A t, you is you ned task is ready.	u can u have Flag
MILESTONE ID	TYPE OF MILESTONE TASK MILESTONE N	AME PLAN	NED COMPLETION DATE	ACTUAL COMPLETION DATE		
+	Ths I	table is empty		Milestone(s) For Finding (You cannot subr Milestones)	mit Mitigation without assign	ning a
	Action					
Instructions	Submit Finding: Select 'Submit' on the Action dropdown, then click the Save and Action button at the bottom of the screen. OPTIONAL - Submit Mitigations: Submit mitigations now by checking the box 'Submit Mitigations for Review with Finding?' or later via the 'My Mitigations Tab'. By submitting the mitigating activities described above, la acknowledge that I have authority to submit the mitigating activities on behalf of the Registered Entity. Delete Finding: Select 'Delete' on the Action dropdown, then click the Save and Action button at the bottom of the screen. The CEA will not see this finding until the Registered Entity selects. 'Submit' on the Action dropdown and clicks the Save and Action button. Close: Click the Close button at bottom of the screen to close the window.	Action * Submit Mitigations for Review with Finding?	Submit 1			
Click here to print	nober 17, 2023					
	3 Save and Action Save Close				*	

In the Mitigation Management Module, when a Registered Entity opens a draft Mitigation record under the "My Draft Mitigations" tab and selects "Submit for CEA Review" in the Action drop down and clicks the Save and Action button, a validation check confirms whether there are any associated milestones. If there are no milestones, the user will see a validation error message "Milestone(s) (You cannot submit Mitigation without assigning any milestones).

			Mitigation Milestones						A	
		MILESTONE ID	TYPE OF M	LESTONE TASK	MILESTONE NAME	PLANNED COMPLETION DATE	REVISED PLANNED COMPLETION	ACTUAL COMPLETION DATE		
						This table is empty	3		A	
							Mi	estone(s) (You cannot submit Mitigatio	n without assignii	ng any N
		Instructions	When ready for Region Review acknowledge that I have authori	and Approval, Subm ty to submit the mitig	it this Mitigation by selecting the gating activities on behalf of the F	"Submit for CEA Review" Action and clicking "Sa Registered Entity.	ave and Action" below. By submitting the	mitigating activities described above, I		
		Action	Submit for CEA Review	•						s scr beer
lic	here to	print								dicat g Ac
										the

<u>Training Materials Modified</u>: **Registered Entity User Guides for Release 1**, "Creating a Finding" page 20, "Submitting Mitigating Activities" page 33, and "Updating Mitigations: Submitting Mitigation Plans" page 37, need to add a note regarding the new validation rule.

User Story # 18318

Description of Issue: Region gets error when CEA Verification Action is Incomplete

Users Affected: CEA

<u>Description of Change</u>: While testing new Canadian functionality in the DEV environment, a bug was created as CEA could not mark a mitigation record with the CEA Verification Action as Incomplete without receiving an error. This bug was corrected and was tied to Canadian emails.

<u>Training Materials Modified</u>: *N/A – no training materials need to be updated.*

User Story # 11383

<u>Description of Issue</u>: On Mitigation Milestone section, add instructions to entity that once all milestones have been completed, they should submit for CEA verification

Users Affected: Registered Entities

<u>Description of Change</u>: This modification is to add a reminder note on the Mitigation object to remind the Registered Entity that when the Mitigation is in the Active step and all milestones have been completed, the Registered Entity needs to submit the Mitigation record to the CEA for Verification. The added note is "**Note:** Once all milestones have been completed, make sure you submit for CEA Verification."

<u>Training Materials Modified</u>: *N/A – no training materials need to be updated.*

Inherent Risk Assessment (IRA) Module

User Story # 16627

<u>Description of Issue</u>: Risk Factors that are no longer relevant to an entity are still showing in the IRA Risk Factor table within the IRA.

Users Affected: CEA

<u>Description of Change</u>: Align currently still keeps the Risk Factors that are no longer relevant in the table. However, it now removes the + symbol and/or rating for inapplicable Risk Factors in the Risk Factor Rating column of the Inherent Risk Assessment.

RISK FACTOR	FUNCTIONS	RISK FACTOR RATING
Balancing Authority (BA) Coordination	ВА	+
CIP – External Electronic Communication	n	
CIP - Impact Rating Criteria	BA, TOP, TO, RC, GOP, DP, GO	+
CIP – Monitor and Control Capability		
Critical Transmission	BA, TOP, TO, RC, PCPA, TP	+

<u>Training Materials Modified</u>: CEAs: Release 4.5 User Guide – IRAs and COPs Page 11 should have a note stating this so people know which ones are relevant and which are not.

User Story # 19155

<u>Description of Issue</u>: IRA Export print to PDF truncates question responses to 255 characters and cuts off the rest.

Users Affected: CEA, Registered Entities

<u>Description of Change</u>: Export function no longer cuts off the responses. It will now show the full response when the questionnaire is exported to PDF. Even if that response spans several pages.

Training Materials Modified: N/A

User Story # 19433

<u>Description of Issue</u>: IRAs and COPs do not have the ability to be reverted back after being moved to a Complete status. When they are manually moved back from a Complete status, they do not allow any updates.

Users Affected: CEA, Registered Entities

<u>Description of Change</u>: Align Admins now have the ability to revert IRAs and COPs back from a Complete status without it locking up the record. This will need to be requested via a Footprints ticket.

<u>Training Materials Modified</u>: N/A – issue was on the Align Admin side.

User Story # 19149

Description of Issue: 5.8 UAT New IRA error message

Users Affected: CEA

<u>Description of Change</u>: During testing of the 5.8 hotfix, only within the Align UAT environment; the portlet to Create an IRA resulted in an error message which would prevent new IRAs from being created. The portlet was fixed to allow it to work properly.

<u>Training Materials Modified</u>: N/A – The issue was only in the UAT environment and did not affect the Production environment. The fix was to make the portlet work as it should have worked prior to the 5.8 hotfix.

Compliance Oversight Plan (COP) Module

User Story # 18805

<u>Description of Issue</u>: R4_ACTIVE_RISKCATEGORIES portlet is missing. When in the Audits and Spot Checks dropdown, Internal Control Assessment portlet and you click on the magnifying glass; it generates an error message saying 'The given instance id is invalid: PortletPage.R4_ACTIVE_RISKCATEGORIES.

Users Affected: CEA

<u>Description of Change</u>: Portlet added to allow CEA the option to select multiple categories or use the drop down.

Training Materials Modified: N/A – Current training is still accurate with the dropdown menu.

User Story # 19875 Description of Issue: COP Standards Report is Blank on Every Other Page

Users Affected: CEA, Registered Entities

Description of Change: The COP report has been fixed to no longer skip every other page.

Training Materials Modified: N/A, this fix was to make the report show as it should have been showing.

User Story # 17263

<u>Description of Issue</u>: IRA - Risk Factors and associated questions should only show for applicable functions that are active.

Users Affected: CEA, Registered Entities

<u>Description of Change</u>: The IRA Assessment section has been updated to no longer show the + sign or any information for inactive risk factors. The inactive risk factors still show on the list but with the + sign removed, the region can no longer interact with it and it shows that it is no longer relevant for the entity.

<u>Training Materials Modified</u>: Training materials do not need to be updated. There is another ticket being worked on in DEV which will remove the inactive Risk Factors completely. By the time we get the training updated to add a note for User Story 19875, the note will need to be removed for the new fix which will remove the note.

User Story # 17438

<u>Description of Issue</u>: IRA - ITC Transmission is part of CFR 132 and 133, but they are not showing up under "CFR/JRO Agreements"

Users Affected: CEA

<u>Description of Change</u>: The CFR/JRO section was fixed to properly show the correct CFRs and JROs.

<u>Training Materials Modified</u>: *N/A, this fix was to make the list show as it should have been showing.*

User Story # 19621

Description of Issue: IRA - "CIP Monitoring and Control Capability" Risk Factor Question Export

Users Affected: CEA, Registered Entities

<u>Description of Change</u>: The Risk Factor questionnaire was showing questions that were relevant to inactive Risk Factors. Questionnaire was updated so it no longer shows questions related to inactive Risk Factors.

Training Materials Modified: N/A, this fix was to make it work as it should have been.

Internal Control Assessments (ICA) Module

User Story # 18792

Description of Issue: ICA tab not showing IC records

Users Affected: CEA

<u>Description of Change</u>: When ICA records are created from the monitoring engagement record (audits, spot checks, etc.), the ICA records will appropriately populate on the ICA dashboard with entity information and ME record number. After Release 4.5.3, some of the triggers and forms were missing to link ICA records created in audits (ME records) to the ICA module and dashboard.

<u>Training Materials Modified</u>: N/A – no training materials need to be modified; this corrected the issue and working as intended.

Periodic Data Submittal (PDS) and Self-Certification (Self-Cert) Module

User Story # 17752, 18071

Description of Issue: PDS Create Distribution Tab change

Users Affected: CEA

<u>Description of Change</u>: As Canadian implementations are deployed, the Create Distribution tabs exceeded the space in the portlet. This change moves the creation tabs from separate tabs to a drop down selection. Now CEA users, will click on the Create Distribution Tab, then see a "+" button on the left hand side of the portlet. By clicking on the "+" button, the CEA will be able to select the specific type of PDS distribution it needs to create by selecting the relevant standard and jurisdiction.

Previous view

	Periodic Data Submittals 🗸 🗸					
	Create Distribution 4- Scheduled PDS 4- Active PDS 4- PDS in Review					
PE	reate FAC-003 Distribution Create PRC-023-4 R5 Distribution RIODIC DATA SUBMITTAL - BULK DISTRIBUTIONS IN DRAFT					
New	View					
	Periodic Data Submittals 🗸 🗸					
	Create Distribution					
PE	RIODIC DATA SUBMITTAL - BULK DISTRIBUTIONS IN DRA					
0						
+	+ Create FAC-003 US Distribution					
	+ Create PRC-023-4 R5 US Distribution					
Ē	+ Create FAC-003 WECC BC Distribution					
	+ Create FAC-003 NPCC NS Distribution					
	+ Create FAC-003 MRO-SK Distribution 5					
	+ Create PRC-023-4 R5 MRO-SK Distribution 5					
	+ Create FAC-003 MRO-MB Distribution					
2	+ Create PRC-023-4 R5 MRO-MB Distribution					

<u>Training Materials Modified</u>: include specifics of what user guides need to be updated. Indicate if relevant posted training video on training.nerc.net should be considered for removal. Indicate if new training materials are to be provided. Industry outreach informing of changes (such as this document) are not training; review the <u>ERO Communication Plan for Align and SEL</u> as needed.

User Story # 20099 (related user stories 17752, 18071)

Description of Issue: Newly added PDS Templates should be updated in the Reporting Universe

Users Affected: CEA and NERC

<u>Description of Change</u>: This modification is to the reporting universe to allow NERC and the CEA to run reports against the newly added PDS standards. The new standards are tied to the Canadian functionality and the new TPL-001-5.1 that were added to the list of applicable PDS Standards.

<u>Training Materials Modified</u>: *N/A – no training materials need to be updated.*

User Story # 10865 Description of Issue: PDS - Issues with PDS Cancel email notification

Users Affected: Registered Entities

<u>Description of Change</u>: When a PDS is cancelled for a registered entity, the email now correctly addresses the entity and includes the registration number. Previously, the contact name was not included and the registration formula was not updated.

<u>Training Materials Modified</u>: N/A - no training materials need to be modified; this corrected the email notification.

User Story # 20104

<u>Description of Issue</u>: RFE - Create a cross-reference ID field from RFE My Align dashboard tasks to their associated objects (PDS, Self-Certs)

Users Affected: CEA

<u>Description of Change</u>: This modification to the CEA's My Align Dashboard to correct the CEA's view of the Unique ID that is associated with Requests for Extension (RFEs) submitted by the Registered Entity to the CEA. Previously, the Unique ID would be the name of the PDS or Self-Cert distribution (see image 1 below) and the correction now shows the PDS or Self-Cert ID and the RFE ID number (see image 2 below).

Old Unique ID for RFEs

ITEMS AWAITING MY REVIEW				
		<u>TYPE</u>	UNIQUE ID	
⊳		RFE for SelfCerts	7/8 test RFE-000051	
		RFE for PDS	PRC-023 test 1 RFE- 000054	

Updated Unique ID for RFEs

ITE	ITEMS AWAITING MY REVIEW						
		<u>TYPE</u>	UNIQUE ID				
€		RFE for SelfCerts	SC2023-000006 RFE / 000190				
		RFE for SelfCerts	SC2023-000006 RFE-000184				
		RFE for SelfCerts	SC2022-000164 RFE-000182				
		RFE for PDS	PDS2022-000971 RFE-000181				

<u>Training Materials Modified</u>: **CEA User Guide for Release 2**, "Reviewing a PDS (Extensions Requests)" page need to be updated with new screenshot showing the new Unique ID column



Technical Feasibility Exceptions (TFE) Module User Story # 17806

Description of Issue: TFE - Bubble indicator is not showing the correct count

Users Affected: CEA

<u>Description of Change</u>: Bubble indicators were not displaying correctly when RFIs were issued or required review for the CEA in the Technical Feasibility Exception module. This change addressed the improperly displaying bubble indicators so that they are correct when RFIs related to TFEs require an action for both the CEA and Registered Entity. This includes displaying the proper bubble indicators when new RFIs are created, when reviews are required, and when reviews are past due.

<u>Training Materials Modified</u>: *N/A – no training materials need to be modified; this corrected the email notification.*

Audits and Spot Checks Module

User Story # 17678

Description of Issue: Adjust formula for Audit email trigger

Users Affected: Outside Observers

<u>Description of Change</u>: For monitoring engagements (audits, spot checks, etc.) with outside observers to CEA, the audit emails for submitting the audit notice package do not need to include outside observers. The audit email was updated to remove the outside observers from the recipient list.

<u>Training Materials Modified</u>: *N/A* – *no training materials need to be modified; this corrected the email notification.*

User Story # 18604

Description of Issue: Audit checklist permissions

Users Affected: CEA

<u>Description of Change</u>: For compliance audits, CEA users with the CEA Engagement Editor role will have create, read, and write permissions to update audit Checklist action items. All CEA Engagement Editor users within the region can update Checklist tasks in their compliance audits.

<u>Training Materials Modified</u>: The Release 3 and Release 4 CEA User Guides should be reviewed to clarify what role of the audit can update the audit checklist.

Reports Module

User Story # 19449 Description of Issue: Records Repeated in RF report

Users Affected: CEA (ReliabilityFirst)

<u>Description of Change</u>: For the "Audit Requirement Status" report created and used by ReliabilityFirst (RF), it no longer creates a new record/repeats rows in the report when any audit Working Paper is edited by CEA users.

<u>Training Materials Modified</u>: *N/A – no training materials need to be modified; this corrected the RF Align report.*

Appendix A – Table of User Stories

ID	Chapter	Title
16627	Inherent Risk Assessment (IRA) Module	Two Align 4.5 bugs identified when conducting pilot - RF
19155	Inherent Risk Assessment (IRA) Module	Export print to PDF truncates question responses ERO-33914
19433	Inherent Risk Assessment	IRA / COP when object is reverted back Complete status
	(IRA) Module	remains and user cannot move to CEA review
19149	Inherent Risk Assessment (IRA) Module	5.8 UAT New IRA error message
18805	Compliance Oversight Plan (COP) Module	R4_ACTIVE_RISKCATEGORIES portlet is missing from UAT and Higher
17263	Compliance Oversight Plan (COP) Module	IRA - Risk Factors and associated questions should only show for applicable functions that are active
17438	Compliance Oversight Plan (COP) Module	IRA - ITC Transmission is part of CFR 132 and 133, but they are not showing up under "CFR/JRO Agreements"
19875	Compliance Oversight Plan (COP) Module	COP Standards Report is Blank on Every Other Page (ERO- 35953)
19621	Compliance Oversight Plan (COP) Module	IRA - "CIP Monitoring and Control Capability" Risk Factor Question Export
10865	Periodic Data Submittal (PDS) and Self-Certification (Self-Cert) Module	PDS - Issues with PDS Cancel email notification
17752	Periodic Data Submittal (PDS) and Self-Certification (Self-Cert) Module	MRO-CANADA - PDS for ENTITY and REGION needs to display the Canadian Standards for MB and SK provinces
18071	Periodic Data Submittal (PDS) and Self-Certification (Self-Cert) Module	NPCC-CANADA - PDS needs to display the Canadian Standards for NS and ON provinces
20099	Periodic Data Submittal (PDS) and Self-Certification (Self-Cert) Module	Newly added PDS Templates should be updated in the Reporting Universe
20104	Periodic Data Submittal (PDS) and Self-Certification (Self-Cert) Module	RFE - Create a cross-reference ID field from RFE My Align dashboard tasks to their associated objects (PDS, Self-Certs)
18604	Audits and Spot Checks Module	Audit checklist permissions
17678	Audits and Spot Checks Module	Adjust formula for Audit email trigger
18792	Internal Control Assessments (ICA) Module	ICA tab not showing IC records ERO-34792

17806	Technical Feasibility Exceptions (TFE) Module	TFE - Bubble indicator is not showing the correct count
7379	Multiple Modules – Request for Information Functionality	205 - RFI - CEA and Entity RFI portlet changes including updated Status column responses
10138	Multiple Modules – Request for Information Functionality	PDS RFI - Add validation to prevent RFI Response Due Date from being set in the past
10409	Multiple Modules – Request for Information Functionality	RFE/RFI - As a region or entity, it would be helpful to have RFE and RFI tabs for PDS, SC, TFE, etc.
10578	Multiple Modules – Request for Information Functionality	Response to RFI for TFE by entity does not show on the Region My Align dashboard
10956	Multiple Modules – Request for Information Functionality	RFI - There is missing data in columns on NERC's view of RFI
11326	Multiple Modules – Request for Information Functionality	RFI - Add capability to create a Draft RFI for the CEA
11327	Multiple Modules – Request for Information Functionality	Request is to get immediate confirmation that RFI was created while still in the associated record
13737	Multiple Modules – Request for Information Functionality	RFI - Associate each RFI with a Standard and/or Requirement and make it a mandatory for submission
14673	Multiple Modules – Request for Information Functionality	Can't remove nonsent RFIs that were created in error
15334	Multiple Modules – Request for Information Functionality	RFI - CEA needs to be able to send a Mitigation RFI if status is Active or NERC Processing
16809	Multiple Modules – Request for Information Functionality	PDS RFI Draft - Draft RFI displays for the Entity along with the Region Internal Comments
19159	Multiple Modules – Request for Information Functionality	RFI Request Sent On date is populating even if it was not sent to the entity
19351	Multiple Modules – Request for Information Functionality	RFI - EA - Entity view Secure Evidence Locker issue

11686	Multiple Modules – Request	RFI/SELF-CERT: Include Standard and Requirement on SC RFIs,
	for Information	including on the SEL Reference ID within the RFI PARENT
	Functionality	STORY
13734	Multiple Modules – Request	RFI PDS - Add text box for internal comments or notes for the
	for Information	Regions
	Functionality	
17776	Multiple Modules – Request	RFI - On RFI dashboards/tabs that have been added to Entity
	for Information	and Region solutions, provide ability to filter or possibly remove
	Functionality	Completed RFIs
19145	Multiple Modules – Request	916b - REGION: Allow RFIs to be edited by specified CEA Editor
	for Information	roles
	Functionality	
7694	Multiple Modules – Request	916 - We should allow RFIs to be edited by everyone at the
	for Information	ENTITY - testers are finding it very clunky that only the person in
	Functionality	the "Respondent Contact" field are allowed to edit.
7613	Multiple Modules – Request	680 - RFI - Once the finding has been Screened and PNC Review
	for Information	completed, it appears that if Enforcement wants to send an RFI,
	Functionality	they still have to open the PNC Review form and initiate the RFI
		from that screen.
10281	Multiple Modules – Request	RFI - Create a cross-reference ID field from RFI My Align
	for Information	dashboard tasks to their associated objects (PDS, Self-Certs,
	Functionality	TFEs)
10405	Multiple Modules – Request	RFIs need to have a reference back to the main object (PDS,
	for Information	Self-Cert, TFE) that they are associated with, both on the My
	Functionality	Tasks dashboard and on the RFI form itself
10698	Multiple Modules – Request	TFE/RFI form should refer to "Original Source" (i.e. TFE ID)
	for Information	instead of "Original Finding"
	Functionality	
14807	Multiple Modules – Request	RFI - Release 2 RFIs reference "Original Finding" when viewed
	for Information	from the My Align Dashboard
	Functionality	
20131	Multiple Modules – Request	RFIs created from Self-Certs should have a filtered requirement
	for Information	picklist based on parent Self-Cert
	Functionality	
	Multiple Modules – Request	RFI should not allow the entity to submit without comments (R1
10406	for Information	and R2 RFIs only)
	Functionality	
11383	Self Reports and Logs	On Mitigation Milestone section, add instructions to entity that
	Module and Mitigation	once all milestones have been completed, they should submit
	Management Module	for CEA verification

18318	Self Reports and Logs Module and Mitigation Management Module	Region gets error when CEA Verification Action is Incomplete
12989	Self Reports and Logs Module and Mitigation Management Module	Mitigation activity records without any milestones assigned can be submitted to the CEA
19649	PNC Processing Module and Enforcement Processing Module	Entity - Enforcement Processing - My Closed Findings - Column displays MITTYPE
18855	PNC Processing Module and Enforcement Processing Module	Trigger Error - Submitting an Enforcement Action for a Finding created by the Region
17917	PNC Processing Module and Enforcement Processing Module	Requested workflow modifications for Dispositions and EA records - Priority
7727	PNC Processing Module and Enforcement Processing Module	988 - The EG is working on defining new cause codes different from the ones currently in Align that came from Events Analysis. Once they have them finalized, the EG is hoping they can get those into Align to replace what is currently there
11430	PNC Processing Module and Enforcement Processing Module	Need to ensure Canadian filings do not appear on the FERC Filings dashboard
17915	Multiple Modules – Print Functionality	For Region and NERC views, we need to have the ability to PRINT the full record of the Violation, Mitigation, Disposition
19449	Reports Module	Records Repeated in RF report

Appendix B – Revision History

Revision History				
Version	Date	Revision Details		
1.0	11/27/2023	Initial Draft		