

Align Release Notes

Release 6.0.0

Date of Deployment: March 3, 2024

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*

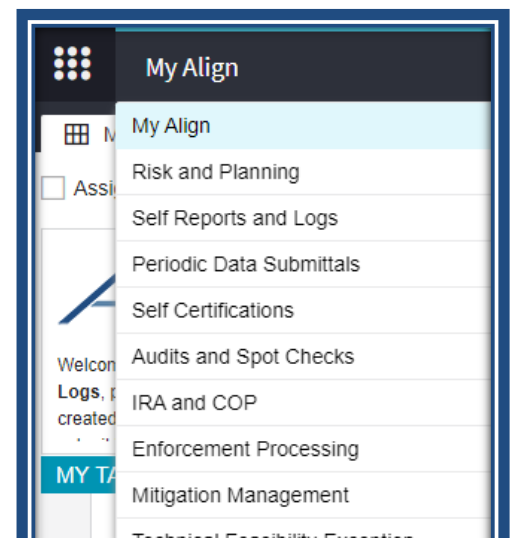


Figure 1: My Align Drop-Down Menu

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.

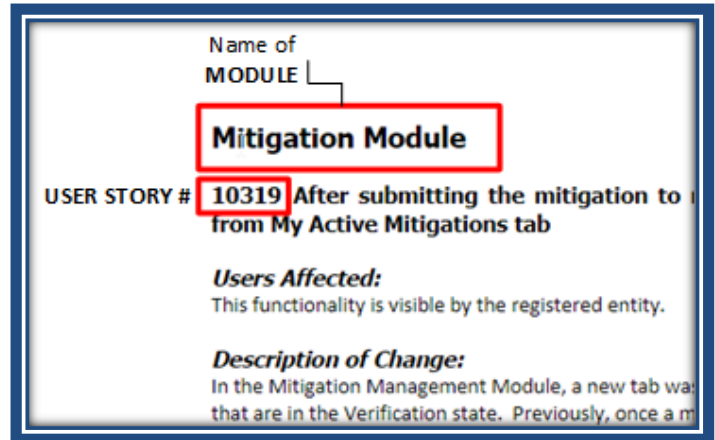


Figure 2: Elements of a User Story

Enforcement Processing Module

User Story # 17743

Description of Issue: ENFORCEMENT - MRO cannot Save and Action the NOCV response from the entity on their My Align Dashboard because it came from the SERA Regulator account

Users Affected: CEA

Description of Change: For the MRO Canadian functionality for Saskatchewan province, if MRO determines that a Notice of Confirmed Violation should be issued to the entity, the Regulator has to issue the NOCV on MRO's behalf. After issuance, the entity is able to respond to the NOCV notification. Once the entity responds, the Notification Response is unable to be actioned by MRO on the My Align Dashboard. This fix corrects this bug and allows the MRO CEA to action the NOCV notification response from its My Align Dashboard.

Training Materials Modified: N/A – this corrects a bug.

User Story # 18614

Description of Issue: MRO Self-Log Review is missing its validation rule in TRN, similar to #18302

Users Affected: CEA

Description of Change: For the MRO Canadian functionality for Manitoba province, if MRO determines that a Self-Log Review (MRO-Canada) disposition should be issued to the entity, there should be a validation rule in place to prevent MRO from submitting the Disposition without sending the Notification to the registered entity. This fix corrects this bug and a validation rule has been added to prevent the Self-Log Review (MRO-Canada) disposition from being actioned without sending the notification to the registered entity first.

The screenshot shows a web form titled "Disposition Information" with a red error banner at the top: "The form is not valid. Please check the highlighted field(s)". The form fields include: "Registration" (dropdown menu), "Disposition Type" (text field with "Self-Log Review (MRO-Canada)"), "Case File ID" (text field), and "Action" (dropdown menu with "Submit" selected). A red error message box points to the "Action" dropdown, stating: "Action (You must have sent a Self-Log Review Letter before submitting this disposition.)". Below the form, there are instructions: "When you are ready to submit this disposition for processing, select the 'Submit' action and click 'Save and Action.' To delete this Disposition, select the 'Delete' action and click 'Save and Action.' Otherwise, click Cancel or Save as appropriate."

Training Materials Modified: N/A – this corrects a bug.

User Story # 18336

Description of Issue: MRO Canada - Completion of Enforcement Action Notification not sent

Users Affected: Registered Entities and CEA

Description of Change: When the MRO Canadian functionality was deployed in 2023 there was a bug associated with the Completion of Enforcement notification emails that caused the email to not trigger. This bug corrects this an email now triggers for the MRO Canadian Provincial noncompliance.

Training Materials Modified: N/A – this corrects a bug.

User Story # 18868

Description of Issue: WECC BC - Validation Rule missing for submitting a Disposition prior to sending notification

Users Affected: CEA

Description of Change: For the WECC Canadian functionality for British Columbia province, if WECC determines that either a Find, Fix, Track (WECC-BC) or an Alleged Violation (WECC-BC) disposition should be issued to the entity, there should be a validation rule in place to prevent WECC from submitting the Disposition without sending the Notification to the registered entity. This fix corrects this bug and a validation rule has been added to prevent the Find, Fix, Track (WECC-BC) or the Alleged Violation (WECC-BC) disposition from being actioned without sending the notification to the registered entity first.

The screenshot shows a web form titled "Disposition Information" with a red error banner at the top stating "The form is not valid. Please check the highlighted field(s)". The form contains the following fields and elements:

- Registration:** A dropdown menu with the selected value "BCEC - British Columbia Electrical Association (BCEC)".
- Disposition Type:** A text field containing "Find, Fix, Track (WECC-BC)".
- Case File ID:** An empty text field.
- Action:** A dropdown menu with "Submit" selected. This field is highlighted in red, and a red error message points to it: "Action (You must have sent a FFT Letter before submitting this disposition.)".
- Instructions:** Text below the Action field: "When you are ready to submit this disposition for processing, select the 'Submit' action and click 'Save and Action.' To delete this Disposition, select the 'Delete' action and click 'Save and Action.' Otherwise, click Cancel or Save as appropriate."
- FFT Letter Attachments:** A button labeled "Attach file".
- FFT Letter Date:** A date picker field.

Training Materials Modified: N/A – this corrects a bug.

User Story # 18464

Description of Issue: MRO MB - Submit Disposition Trigger Error - Intermittent Issue

Users Affected: CEA

Description of Change: A bug was causing issues when MRO would submit Manitoba provincial dispositions through the workflow. This fix corrects the trigger to move related Enforcement Actions to Processing Complete when the Disposition is moved through workflow.

Training Materials Modified: N/A – this corrects a bug.

User Story # 20100

Description of Issue: Requirement data missing from NERC PNC and Enforcement Actions portlet

Users Affected: NERC

Description of Change: In the NERC View, the tab “PNCs and Enforcement Actions” has a Requirement column. Previously, this column was not populating the requirement data. This fix corrects a bug to populate the Requirement column.

TYPE	REGION OR LRE	UNIQUE ID	STATUS	NCR	ENTITY	MONITORING METHOD	STANDARD	REQUIREMENT	REGION(S) AND JURISDICTION	VIOLATION START DATE
PNC	WECC	202-484-4	Failed Screen	10/20/2019	www.nerc.org/enforcement	Self Report	CIP-002-5.1a	R1	WECC	03/23/2020
PNC	WECC	202-484-4	Failed Screen	10/20/2019	www.nerc.org/enforcement	Self Report	CIP-002-5.1a	R1	WECC	04/06/2020
PNC	WECC	202-484-4	Failed Screen	10/20/2019	www.nerc.org/enforcement	Self Report	MOD-025-2	R2	WECC	03/23/2020
PNC	WECC	202-484-4	Failed Screen	10/20/2019	www.nerc.org/enforcement	Self Report	FAC-003-4	R1	WECC	03/16/2020

Training Materials Modified: N/A – this corrects a bug.

User Story # 20126

Description of Issue: Preliminary screening possible duplicate section is not populating possible duplicates ERO-35643

Users Affected: CEA

Description of Change: In the CEA View, in the PNC Processing module, on the Preliminary Screening tab, the CEA would click on an entity in the top portlet "Potential Noncompliances Awaiting Screening" and the bottom portlet "Possible Duplicates" should have filtered based on the registration selected. However, a bug prevented this from filtering correctly. This fix corrects the bug so the bottom portlet "Possible Duplicates" now filters based on the selection in the top portlet

Training Materials Modified: N/A – this corrects a bug.

User Story # 7683

Description of Issue: DISPOSITION: Expand permissions as to who at the region is able to action the disposition notification letter after entity responds

Users Affected: Registered Entities and CEA

Description of Change: As a Registered Entity, the notification responses was limited to just the PCC or ACC to respond to the notification response and as the CEA only the person that issued the notification could action it. This bug corrects who has the ability to respond and take action on the notification response objects. For the Registered Entity, the Respondent Contact was updated to allow anyone with the Entity Submitter role to respond to the disposition notification object. For the CEA, the CEA Reviewer role was added to those that can respond to the notification object, however, if the user does not see the Save and Acton, the user can add themselves to the Assigned to selection, click Save and upon reopening they should see the Save and Action button.

Training Materials Modified: N/A – this corrects a bug.

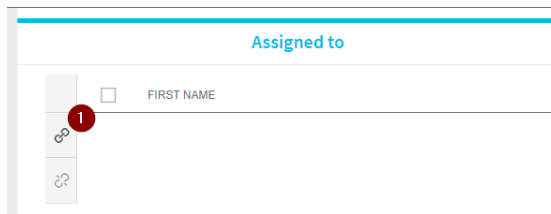
User Story # 7718

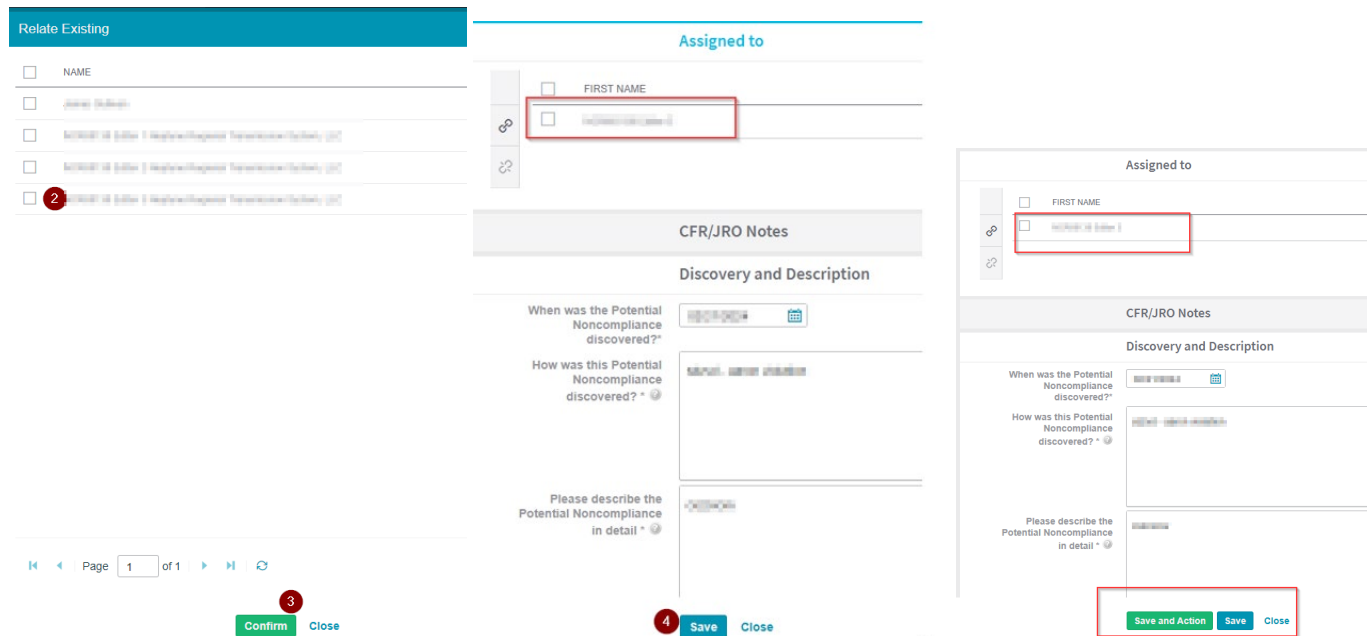
Description of Issue: Priority: 964 - We encountered an issue during setup for the entity testing where we realized that if a user is given a role after a record is created and that role is assigned in the workflow, the user is unable to work on that existing record.

Users Affected: Registered Entities

Description of Change: This change corrects an issue where a user that was added to a role after an item started a workflow could not action that item. The change will allow the Registered Entity to assign to other staff if do not see save and action on draft finding, draft mitigation, active mitigation. NOTE: A new user story will be created to allow entities to reassign on RFI and Notification objects for new users. If users exist already, they should see the Save and Action on RFI and Notifications as Entity Submitter role was added for users. If the RFI or notification is older, there might still be some cases where the entity will need to submit a ticket to assign that user to record to take action. The CEA should be able to use the assign to fields on the records. NOTE: additional user stories might need to be created in other modules if the same issue is present, this user story was specific to Enforcement and Mitigation modules.

On the draft finding, draft mitigation, and active mitigation objects, the Registered Entity should see an Assigned To section on the form. If the logged in user does not see the Save and Action button, the user can click on the link button, add their name, click Save, and reopen the record to see the Save and Action button.





Training Materials Modified: N/A

User Story # 20723¹

Description of Issue: Entity User seeing duplicates in Enforcement processing Closed findings tab

Users Affected: Registered Entities

Description of Change: A bug was identified where registered entities were seeing duplicated information on the Enforcement processing Closed findings tab. Data stores used by Registered Entities portlets have been updated which fixes the duplicated information issue.

Training Materials Modified: N/A – this corrects a bug.

User Story # 20758²

¹ ERO-36900. NOTE - Bug 21395 - Priority: Duplicate Person assigned to same Username – upon occasion there could be duplicate rows on the registered entity side if the Regional Entity staff has two person accounts, usually tied to full name vs nickname. Once bug 21395 is deployed it will fix this issue.

² Related to ERO-37224 ; ERO-37126 ; ERO-37400 ; ERO-37264 ; ERO-37677 ; ERO-37758 ; ERO-37870 . NOTE - Bug 21395 - Priority: Duplicate Person assigned to same Username – upon occasion there could be duplicate rows on the registered entity side if the Regional Entity staff has two person accounts, usually tied to full name vs nickname. Once bug 21395 is deployed it will fix this issue.

Description of Issue: Duplicates on various screens for Entities

Users Affected: Registered Entities

Description of Change: A bug was identified where registered entities were seeing duplicated information on several portlets. Data stores used by Registered Entities portlets have been updated which fixes the duplicated information issue on the various screens.

Training Materials Modified: N/A – this corrects a bug.

User Story # 21471

Description of Issue: My Open Findings - Showing status of 'Archive' in the Mitigation column

Users Affected: Registered Entities

Description of Change: A bug was identified where in the Enforcement Processing module for registered entities, specifically on the My Open Findings tab, the mitigation status was showing “Archive” for all mitigation records. This fix corrects the status which was point to the finding record instead of the mitigation record.

Training Materials Modified: N/A – this corrects a bug.

CMEP Activity Search Module

User Story # 7802

Description of Issue: 851 - When the mitigation record is in CEA processing or Verification state and a Region opens it from the Search Other Region Activity, it allows a different region to send an RFI.

Users Affected: CEA

Description of Change: On the CMEP Activity Search module, the Search Other Region Activity tab allowed other CEAs to issue an RFI from the Mitigation records where the mitigation status was CEA Processing or Verification state. This change corrects this bug to ensure that when a CEA opens a record from the Search Other Region Activity tab or the Search ARE Activity tab, both of these open only read-only forms for all forms (PNC, EA, Disposition, and Mitigation).

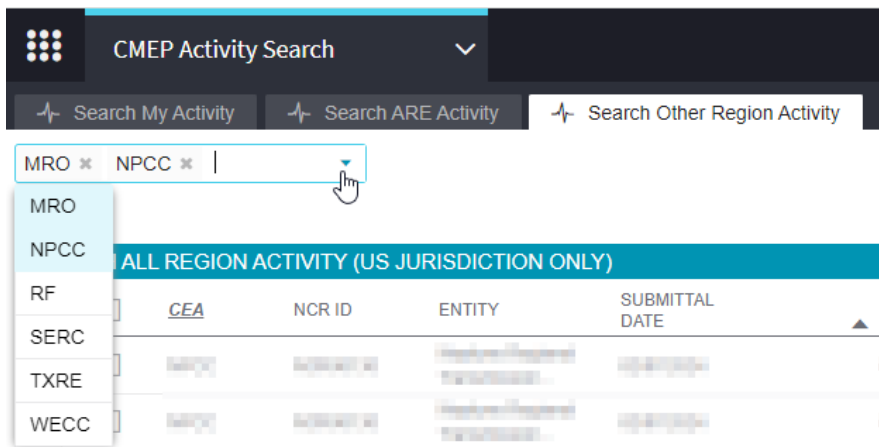
Training Materials Modified: N/A – this corrects a bug.

User Story # 14123

Description of Issue: CMEP Activity Search not returning all items

Users Affected: CEA

Description of Change: On the CMEP Activity Search module, the three tabs were limiting the results to the last two years. This change corrects this so that the three tabs return all data. Search My Activity will return all violations for the logged in CEA that have passed preliminary screening. Search ARE Activity will return all violations where the violation is part of a Coordinated Oversight Group, not a Canadian jurisdiction, and have passed preliminary screening.³ Search Other Region Activity tab will return all violations where the violation is not a Canadian jurisdiction, and have passed preliminary screening. The Search Other Region Activity tab defaults to all Regions, the CEA is able to limit by using the filter selection in the upper left corner.



Training Materials Modified: N/A – this corrects a limit and no changes to training materials.

User Story # 21473

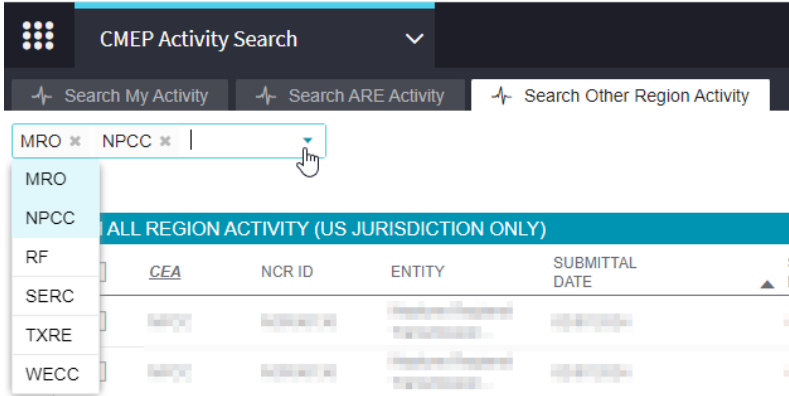
Description of Issue: CMEP Activity Search - Display the same columns on each of the three CMEP Activity tabs

Users Affected: CEA

Description of Change: On the CMEP Activity Search module, there are three tabs that show different data depending on the tab. Previously, the three tabs had different columns and content. This change corrects this and has all the same data showing across the three tabs. The columns are: CEA, NCR ID, Entity, Submittal Date, Discovery Method, Standard and Requirement, PNC (ID with hyperlink to the form), PNC Status, EA (ID with hyperlink to the form), EA Status, Disposition (Disposition type and hyperlink to the form), Mitigation (ID with hyperlink to the form), Mitigation Status, CO Group. The tabs default to Submittal Date in descending order and only show content that has passed preliminary screening. Canadian content will only show on the Search My Activity tab for the CEA that is logged in and only shows Canadian content under their jurisdiction. The Search ARE Activity and Search Other Region Activity

³ A future bug will be addressed to limit it for the correct ARE. At this time, there is not a data field indicating which Regions are the ARE, therefore for now all Coordinated Oversight violations will appear on this tab.

tabs do not have any Canadian content. The Search Other Region Activity tab also defaults to all Region data, but the Region can select one or more Regions to filter on the data using the multi-select drop down option.



Training Materials Modified: N/A – this just updates the three portlets to have the same column data

Mitigation Management Module

User Story # 8398

Description of Issue: 564 - Requesting revision on MAs after acceptance - There needs to be some indication/notification for them that they need to revise a mitigation

Users Affected: Registered Entities and CEA

Description of Change: When a CEA requests revision on a mitigation record that is in the Active state, there currently is no email notification to the registered entity informing a revision was requested. The registered entity would only see the mitigation record on its My Align Dashboard with the “Submit for Entity Revision” as the status. This change will include the generation of a new notification email to the registered entity with subject line “CEA has rejected a [Mitigation Plan/Mitigating Activities] ([Mitigation ID])”

CEA has rejected a Mitigating Activities (██████████)

 noreply=bwise.net@sai360-mail.bwise.net on behalf of ██████████
To: ██████████
Retention Policy: 1 Year Delete (1 year) Expires: 2/12/2025 Tue 2/13/2024 12:24 PM

Warning: External Email.
ALIGN Automatic email alert

Related Noncompliance: ██████████
Mitigation ID: ██████████
NERC Registration ID: ██████████
Standard/Requirement: ██████████

Subject: ██████████ - Mitigating Activities Revision Requested - Action Required.

Upon review, on 2024-02-13, ██████████ has requested a revision to the Mitigating Activities associated with ██████████ and was previously accepted by ██████████ on 2023-08-25.

Please see the "Comments from Region and NERC" section for information regarding reasons for rejection and expectations for submitting a revised Mitigating Activities.

To access Align, go to the ERO portal, navigate to the Align landing page and click on the link to log in.

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

Training Materials Modified: N/A – this is a new email notification, no changes to training materials.

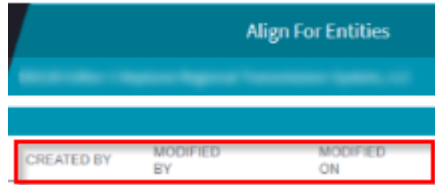
Multiple Modules

User Story # 7691^{4,5}

Description of Issue: 913 – Request adding a column to the entity views to show who submitted the self-report (or other record type) so that the entities can manage their work easier. This goes for all entity pages/screens.

Users Affected: Registered Entity and CEA

Description of Change: In the Registered Entity View, new columns were added to several portlets to help aid the Registered Entity in their work. The columns that were added are: “Created By”, “Modified By”, and “Modified On”. The Registered Entity will see who created the item and who last modified the item and when the modification took place. Additionally, in the CEA View new columns “Created By”, “Modified By”, and “Modified On” were added to the COP portlet.



⁴ Related Task 19353 is a duplicate.

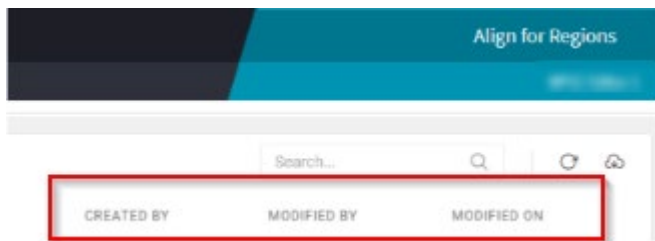
⁵ Bug 21395 - Priority: Duplicate Person assigned to same Username – upon occasion there could be duplicate rows on the registered entity side if the Regional Entity staff has two person accounts, usually tied to full name vs nickname. Once bug 21395 is deployed it will fix this issue.

The following portlets are where the columns were added for Registered Entity Review:

- Align Dashboard
- Create Self-Report and Log Tab
- Review Findings Tabs
- RFI Dashboard Tabs (Requestor Contact replaces Created By)
- Mitigation Management Tabs
- Self-Certification Tabs
- Periodic Data Submittal Tabs
- Technical Feasibility Exception Tabs
- Audit and Spot Check Monitoring Engagement Status Tab (Lead replaces Created By)
- IRA and COP Tabs
- Attestations Tabs

The following portlets are where the columns were added for CEA Review:

- COP Performance Consideration
- COP Risk Elements
- COP Risk Category



Training Materials Modified: N/A

User Story # 19637

Description of Issue: Update All Active Registered Entity Users with print capability

Users Affected: Registered Entities

Description of Change: On August 17, 2023, as part of user story 11374, reports were created for registered entities to print form in the Enforcement and Mitigation modules. After deploying that user story, it was discovered that not all registered entities had permissions to print the reports and they were getting an Error message "An error occurred: Could not find the document". This change embeds a

business role under the Profile - Registered Entity Editor and Profile - Registered Entity Reader profiles to give registered entities permissions to print the reports.

Training Materials Modified: N/A – this corrects a bug.

User Story # 21059

Description of Issue: RFI records showing Awaiting Response from Entity when in Complete stage ERO-37781 ; ERO-37684 ; ERO-37492 ; ERO-38004

Users Affected: Registered Entities and CEA

Description of Change: On December 2, 2023, RFI functionality was updated for Release 1 (PNC, EA, Mitigation) and Release 2 RFIs (PDS, Self-Certification, TFEs). One this code was deployed, new status objects were created to address (Draft, Cancelled, Deleted). The original case statement was missing two parts to ensure “Awaiting Response from Entity” and “Complete” showed correctly for all instances.

old

Training Materials Modified: N/A – this corrects case statement in the code.

Inherent Risk Assessment (IRA) Module

User Story # 19475

Description of Issue: On FORM: 01_CEA_DraftIRA - SEL Ref Id update

Users Affected: Registered Entity and CEA

Description of Change: Generate the SEL Reference ID on the Inherent Risk Assessment (IRA) forms for the registered entity and CEA users for use when files are necessary for upload into the Secure Evidence Locker activity folder related to the IRA activity, including generating SEL Reference IDs for Coordinated Oversight Groups and the affected forms.

Training Materials Modified: N/A

User Story # 19498

Description of Issue: IRA Trigger stops progress if Entity does not have ACC

Users Affected: Registered Entity and CEA

Description of Change: Notification trigger was updated. Instead of failing when the IRA is tied to a registration without an ACC listed, it will skip the email to allow the IRA to progress forward in the workflow.

Training Materials Modified: N/A

User Story # 19498

Description of Issue: IRA Trigger stops progress if Entity does not have ACC

Users Affected: Registered Entity and CEA

Description of Change: Notification trigger was updated. Instead of failing when the IRA is tied to a registration without an ACC listed, it will skip the email to allow the IRA to progress forward in the workflow.

User Story # 20553

Description of Issue: Cannot create IRAs when an IRA already exists

Users Affected: CEA

Description of Change: Trigger was updated to allow the new IRA to be created when an IRA already exists for an NCR.

Training Materials Modified: N/A

Compliance Oversight Plan (COP) Module

User Story # 19160

Description of Issue: Manually associate Risk Factors to Requirements not yet in Scope

Users Affected: NERC, CEA, Registered Entities

Description of Change: Added link to Reliability Standard PRC-002-4 (with future effective date) to Risk Factors and Risk Categories so it can be selected in Compliance Oversight Plans under applicable Risk Factors and Risk Categories.

Training Materials Modified: N/A

User Story # 18007

Description of Issue: Manually added requirements do not show up in the COP summary table

Users Affected: CEA

Description of Change: Compliance Oversight Plan Report includes a summary table. Updates were made to ensure the summary table is updated to properly reflect the requirements listed when changes are made to the Compliance Oversight Plan.

Training Materials Modified: N/A

User Story # 20271

Description of Issue: Update Canadian Risk factors, categories, elements

Users Affected: NERC, CEA, applicable Canadian Registered Entities

Description of Change: Canadian risk factors and categories were updated to link applicable Canadian Reliability Standards and requirements in entities' IRAs and Compliance Oversight Plans. *Please note, this is not applicable to all Canadian Provinces using Align and would be specific to the CEA and Canada province.

Training Materials Modified: N/A

User Story # 21992

Description of Issue: COP Report not showing applicable standards unless risk category has a category number selected

Users Affected: CEA, Registered Entities

Description of Change: Report was fixed to properly show Appendix B information when a change to applicable standards is made.

Training Materials Modified: N/A – this corrects a bug.

Audits and Spot Checks Module

User Story # 21460

Description of Issue: Workpapers disappeared after RE name change

Users Affected: Registered Entity and CEA

Description of Change: It was discovered during an open monitoring engagement with an entity (open ME record under Audits and Spot Checks module) that the Working Papers were not visible after the entity name had changed (only the entity name changed). All other information on the ME record remained intact and visible. It is now fixed to show working papers specific to the NCR ID and not the entity name.

Training Materials Modified: N/A

Periodic Data Submittals (PDS) Module

User Story # 11391

Description of Issue: "I have uploaded evidence related for this PDS to the SEL" checkbox is missing on entity-created PDS form.

Users Affected: Registered Entity

Description of Change: When an entity is creating an event-driven PDS (entity submitted), there was no indication the entity uploaded evidence to the SEL for the PDS. A checkbox was added to the entity form to check for "I have uploaded evidence related for this PDS to the SEL."

Training Materials Modified: N/A

User Story # 16369

Description of Issue: PDS interface issues w/ entity name

Users Affected: CEA

Description of Change: Registered Entities with Long Names should now display correctly in the PDS in Review tab (no longer jumbled or truncated view) to ensure that the full name appears and does not encroach on the Applicable Function field.

Training Materials Modified: N/A

User Story # 20993

Description of Issue: RFI: Ability to submit RFIs with PDS/Self-Cert submittal to Entity

Users Affected: CEA and Registered Entity

Description of Change: RFIs can now be created on a PDS record prior to the Registered Entity's response and submittal back to the CEA. The option to send an RFI is available to the CEA in the Scheduled PDS, Active PDS and PDS in Review states (and associated tabs) of the Periodic Data Submittal module.

Training Materials Modified: R2 User Guide

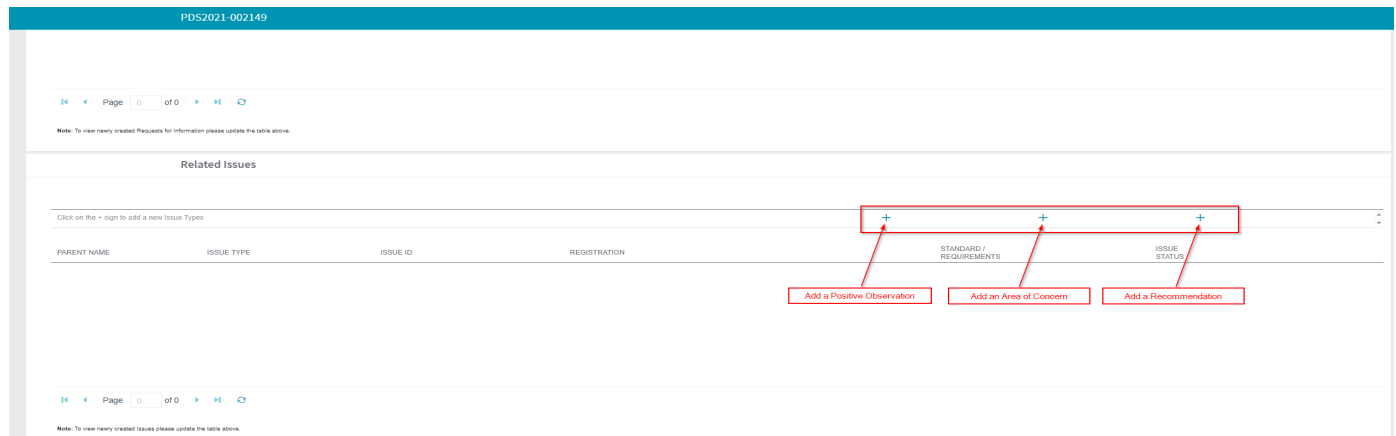
User Story # 10514

Description of Issue: Request for "Issues" tab (like Audit) on SC and PDS – AOC, Recommendations, PO

Users Affected: CEA and Registered Entity

Description of Change: An Issues section has been added for Periodic Data Submittals in the PDS in Review stage (and associated stage). This new section in the form allows CEA users to add Positive Observations, Areas of Concern and Recommendations to the PDS record and will be visible to the entity.

Note: For CEA users, once the plus sign is clicked, the pop-up will be slow to load. This will be optimized in a future user story (time to be determined).



Training Materials Modified: R2 User Guide

User Story # 19980

Description of Issue: PDS - Add two columns (Applicable Function, Active Attestation ID) to PDS Registration Selection grid

Users Affected: CEA

Description of Change: Two columns were added to the Periodic Data Submittal Registration Selection Grid when creating a new distribution. The Applicable Function column will display the correct Applicable Functions for the entity and the Active Attestation ID column will show any Active Attestations that may have been submitted.

Training Materials Modified: R2 User Guide

Self-Certifications Module

User Story # 10584

Description of Issue: SELF-CERT - Column headers on Self-Cert Requirement Selection screen need to be changed.

Users Affected: CEA

Description of Change: Changed a column in the Self-Certification Requirement Selection tab from "TEXT" to "Standard Requirement Language".

Training Materials Modified: N/A

User Story # 20584

Description of Issue: RFI/Self-Cert - Make it required to have an Applicable Standard/Requirement on the Self-Cert RFI before it can be sent to the Entity

Users Affected: CEA and Registered Entity

Description of Change: A validation rule has been added to Requests for Information related to Self-Certifications. This rule requires that a standard/requirement is included on the RFI before it can be sent to the Entity.

Training Materials Modified: R2 User Guide

User Story # 20993

Description of Issue: RFI: Ability to submit RFIs with PDS/Self-Cert submittal to Entity

Users Affected: CEA and Registered Entity

Description of Change: RFIs can now be created on a Self-Certification record prior to the Registered Entity's response and submittal back to the CEA. The option to send an RFI is available to the CEA in the Scheduled, Active and in Review states (and associated tabs) of the Self-Certification module.

Training Materials Modified: R2 User Guide

User Story # 10586, 21068, 21099

Description of Issue: Self-Cert not hyphenated throughout the system

Users Affected: CEA and Registered Entities

Description of Change: For consistency, Self-Certification has been hyphenated throughout the Self-Certification module and anywhere else it displays in Align.

Training Materials Modified: N/A

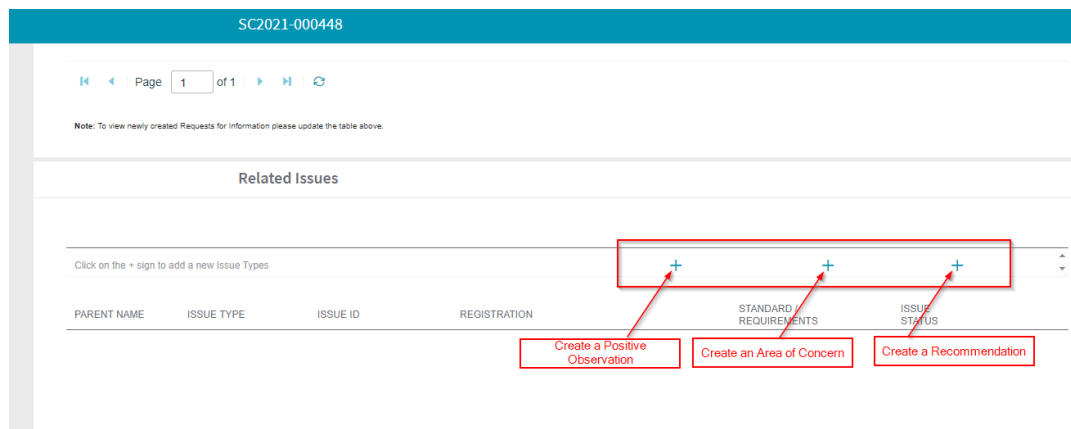
User Story # 10514

Description of Issue: Request for "Issues" tab (like Audit) on SC and PDS – AOC, Recommendations, PO

Users Affected: CEA and Registered Entity.

Description of Change: An Issues section has been added for Self-Certification in the In Review stage (and associated tab). This new section in the form allows CEA users to add Positive Observations, Areas of Concern and Recommendations to the Self-Certification record and will be visible to the entity.

Note: For CEA users, once the plus sign is clicked, the pop-up will be slow to load. This will be optimized in a future user story (time to be determined).



Training Materials Modified: R2 User Guide

User Story # 20102

Description of Issue: Migrate RFI changes from US 10405 to UAT

Users Affected: Registered Entities and CEA

Description of Change: On December 2, 2023, RFI functionality was updated for Release 1 (PNC, EA, Mitigation) and Release 2 RFIs (PDS, Self-Certification, TFEs). One this code was deployed, the one formula was missed when it was deployed to production as it relates to the Self-Certification ID on the My Align dashboard. This change will update the Unique ID for the RFI associated with Self-Certification item on My Align Dashboard so that it shows the Self-Certification ID and RFI ID, not the Self-Certification name.

Training Materials Modified: N/A – this corrects a bug on the My Align dashboard, no changes to training materials.

Technical Feasibility Exceptions (TFE) Module

User Story # 20549

Description of Issue: It has been identified that some standards listed in the TFE module have new versions that have been approved.

Users Affected: Registered Entities

Description of Change: When submitting a new TFE, updated the options for CIP-005 and CIP-010 to the new versions. Now TFEs can be created for CIP-005-7 R1.4, R2.1, R2.2, R2.3 and CIP-010-4 R1.5 and R3.2. Previously input TFEs will be manually updated in Production to avoid issues with Material Change Requests (MCRs).

Training Materials Modified: N/A

Attestations Module

User Story # 19980

Description of Issue: Reaffirmation request comments from Region get cut off on entity view form

Users Affected: CEA and Registered Entity

Description of Change: A change has been made to ensure long Reaffirmation Request comments are not cut off when the entity views them. Now the full message should display, allowing CEAs to write longer comments and entire visibility to the entity is possible.

Training Materials Modified: N/A

Other Module

User Story # 16711

Description of Issue: Completed attestation reaffirmation still in My Tasks Dashboard

Users Affected: Registered Entities

Description of Change: When responding to an attestation reaffirmation request, the request was not removed from the My Tasks Dashboard. A change has been made to remove these requests from the Dashboard after the Registered Entity responds to them.

Training Materials Modified: N/A

Appendix A – Table of User Stories

ID	Chapter	Title
17743	Enforcement Processing	ENFORCEMENT - MRO cannot Save and Action the NOCV response from the entity on their My Align Dashboard because it came from the SERA Regulator account
18614	Enforcement Processing	MRO Self-Log Review is missing its validation rule in TRN, similar to #18302
18336	Enforcement Processing	MRO Canada - Completion of Enforcement Action Notification not sent
18868	Enforcement Processing	WECC BC - Validation Rule missing for submitting a Disposition prior to sending notification
18464	Enforcement Processing	MRO MB - Submit Disposition Trigger Error - Intermittent Issue
20100	Enforcement Processing	Requirement data missing from NERC PNC and Enforcement Actions portlet
20126	Enforcement Processing	Preliminary screening possible duplicate section is not populating possible duplicates ERO-35643
7683	Enforcement Processing	DISPOSITION: Expand permissions as to who at the region is able to action the disposition notification letter after entity responds
7718	Enforcement Processing	Priority: 964 – An issue during setup for the entity testing where we realized that if a user is given a role after a record is created and that role is assigned in the workflow, the user is unable to work on that existing record
20723	Enforcement Processing	Entity User seeing duplicates in Enforcement processing Closed findings tab
20758	Enforcement Processing	Duplicates on various screens for Entities
21471	Enforcement Processing	My Open Findings - Showing status of 'Archive' in the Mitigation column
7802	CMEP Activity Search	851 - When the mitigation record is in CEA processing or Verification state and a Region opens it from the Search Other Region Activity, it allows a different region to send an RFI
14123	CMEP Activity Search	CMEP Activity Search not returning all items
21473	CMEP Activity Search	CMEP Activity Search - Display the same columns on each of the three CMEP Activity tabs
8398	Mitigation Management	564 - Requesting revision on MAs after acceptance - There needs to be some indication/notification for them that they need to revise a mitigation
7691	Multiple	913 – Request adding a column to the entity views to show who submitted the self-report (or other record type) so that the entities can manage their work easier. This goes for all entity pages/screens.
19637	Multiple	Update All Active Registered Entity Users with print capability
21059	Multiple	RFI records showing Awaiting Response from Entity when in Complete stage ERO-37781 ; ERO-37684 ; ERO-37492 ; ERO-38004
19475	Inherent Risk Assessment	On FORM: 01_CEA_DraftIRA - SEL Ref Id update
20553	Inherent Risk Assessment	Cannot create IRAs when an IRA already exists

19498	Inherent Risk Assessment	IRA Trigger stops progress if Entity does not have ACC
19160	Compliance Oversight Plan	Manually associate Risk Factors to Requirements not yet in Scope
18007	Compliance Oversight Plan	Manually added requirements do not show up in the COP summary table
20271	Compliance Oversight Plan	Update Canadian Risk factors, categories, elements
21992	Compliance Oversight Plan	COP Report not showing applicable standards unless risk category has a category number selected
21460	Audits and Spot Checks	Workpapers disappeared after RE name change
11391	Periodic Data Submittals	"I have uploaded evidence related for this PDS to the SEL" checkbox is missing on entity-created PDS form
16369	Periodic Data Submittals	PDS interface issues w/ entity name
20993	Periodic Data Submittals	RFI: Ability to submit RFIs with PDS/Self-Cert submittal to Entity
10514	Periodic Data Submittals	Request for "Issues" tab (like Audit) on SC and PDS – AOC, Recommendations, PO
19980	Periodic Data Submittals	PDS - Add two columns (Applicable Function, Active Attestation ID) to PDS Registration Selection grid
10584	Self-Certifications	SELF-CERT - Column headers on Self-Cert Requirement Selection screen need to be changed
20584	Self-Certifications	RFI/Self-Cert - Make it required to have an Applicable Standard/Requirement on the Self-Cert RFI before it can be sent to the Entity
20993	Self-Certifications	RFI: Ability to submit RFIs with PDS/Self-Cert submittal to Entity
21059	Multiple	RFI records showing Awaiting Response from Entity when in Complete stage ERO-37781 ; ERO-37684 ; ERO-37492 ; ERO-38004
10586, 21068, 21099	Self-Certifications	Self-Cert not hyphenated throughout the system
10514	Self-Certifications	Request for "Issues" tab (like Audit) on SC and PDS – AOC, Recommendations, PO
20102	Self-Certifications	Migrate RFI changes from US 10405 to UAT
20549	Technical Feasibility Exceptions	It has been identified that some standards listed in the TFE module have new versions that have been approved.
19980	Attestations	Reaffirmation request comments from Region get cut off on entity view form
16711	Attestations	Completed attestation reaffirmation still in My Tasks Dashboard

Appendix B – Revision History

Revision History		
Version	Date	Revision Details
1.0	3/2/2024	Initial Draft
1.1	3/12/2024	Removal of user stories (20716, 21357, 21342, 21343, 21344, 21345)