

The background features a close-up of a circuit board with a ruler and a person's hands. The ruler is positioned at the top, showing numbers 1 through 8. The circuit board has various components, including a component labeled 'AJK5545001J-JK'. The person's hands are visible at the bottom, holding a component. The overall scene is lit with warm, golden light.

ALIGN

TRAINING





British Columbia
Align
Registered Entity
Training:
Align Access, Self-
Reports, and Mitigation

Jessica King

Antitrust Policy

- All WECC meetings are conducted in accordance with the WECC Antitrust Policy and the NERC Antitrust Compliance Guidelines
- All participants must comply with the policy and guidelines
- This meeting is public—confidential or proprietary information should not be discussed in open session
- This webinar is being recorded and will be posted publicly
- By participating, you give your consent for your name, voice, image, and likeness to be included in that recording
- WECC strives to ensure the information presented today is accurate and reflects the views of WECC
- However, all interpretations and positions are subject to change
- If you have any questions, please contact WECC's legal counsel

British Columbia Align Go-live Date

- British Columbia Registered Entities will begin using Align for self-reports on April 1, 2025
 - Stop submitting through webCDMS
 - Begin submitting through Align
- Existing records will be moved from webCDMS to Align
 - Date TBD
 - Continue using webCDMS until then

ERO Portal Account

- A NERC ERO Portal account is required to access Align
 - [Register](#) for an account
- **Request access to Align in the ERO Portal—**
 - Access to Align is managed by your entity administrator
 - Log in and select **My Applications** to check your access and submit a request if needed
 - Your entity administrator will be notified to review and approve pending requests
 - Contact the [NERC Help Desk](#) for support

Applications



ERO Portal

A tool that gives users the keys to the kingdom

Align

CORES

Request access to NERC data stores, extranet sites, and web applications

Update access permissions for ERO Portal applications: CORES
External applications: Align

See which NERC data stores, extranet sites, and web applications the user has access to

Contact Roles

Assigned in CORES

Must have ERO Portal accounts associated with an individual email address

Primary Compliance Contact (PCC)

- Receives all WECC compliance communications and system-generated emails from the applications
- Automatically granted Entity Administrator, Align Registered Entity Submitter, and SEL Submitter permissions

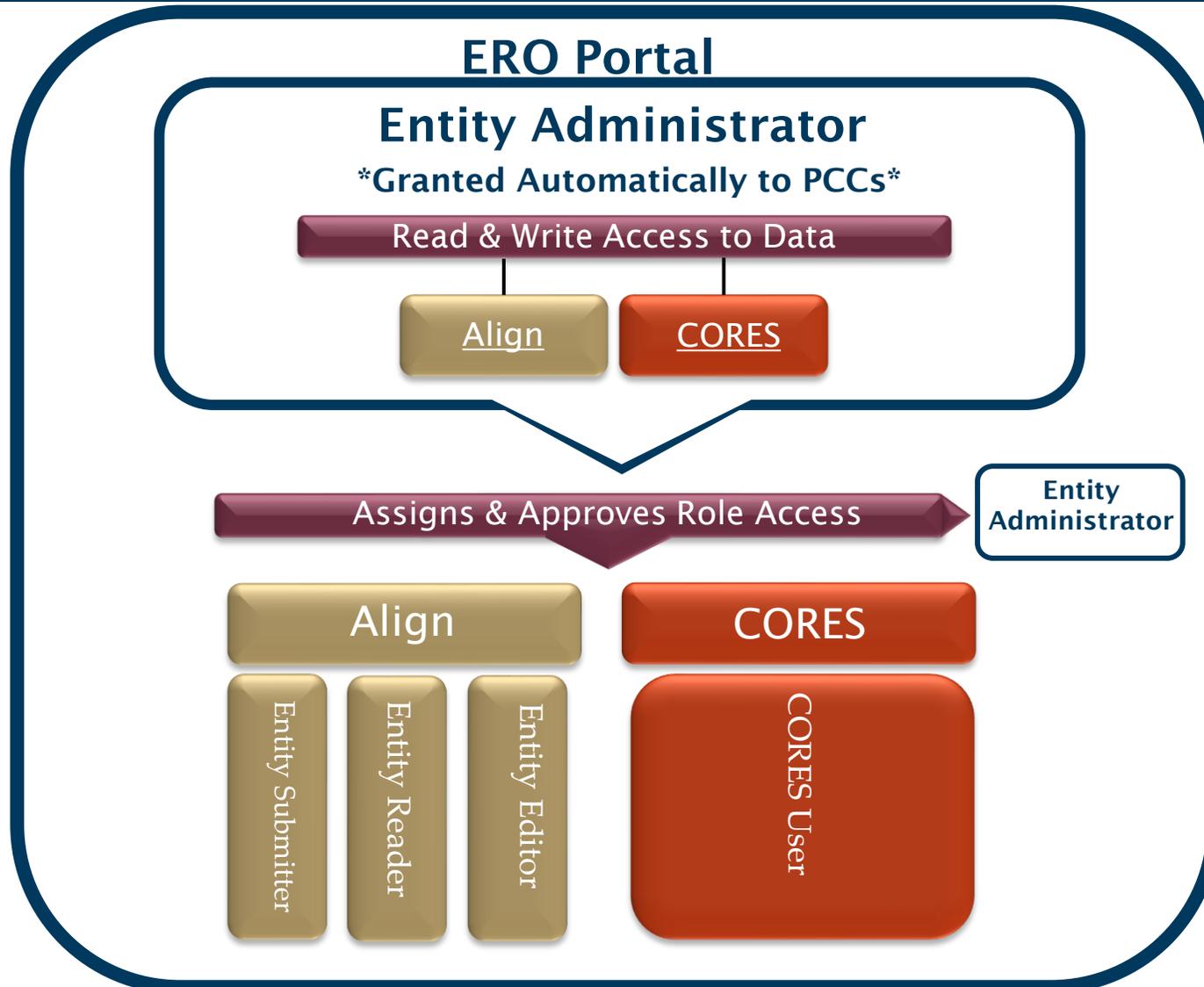
Alternate Compliance Contact (ACC)

- Backup to the PCC
- Copied on all compliance communication and receives system generated emails

Primary Compliance Officer (PCO)

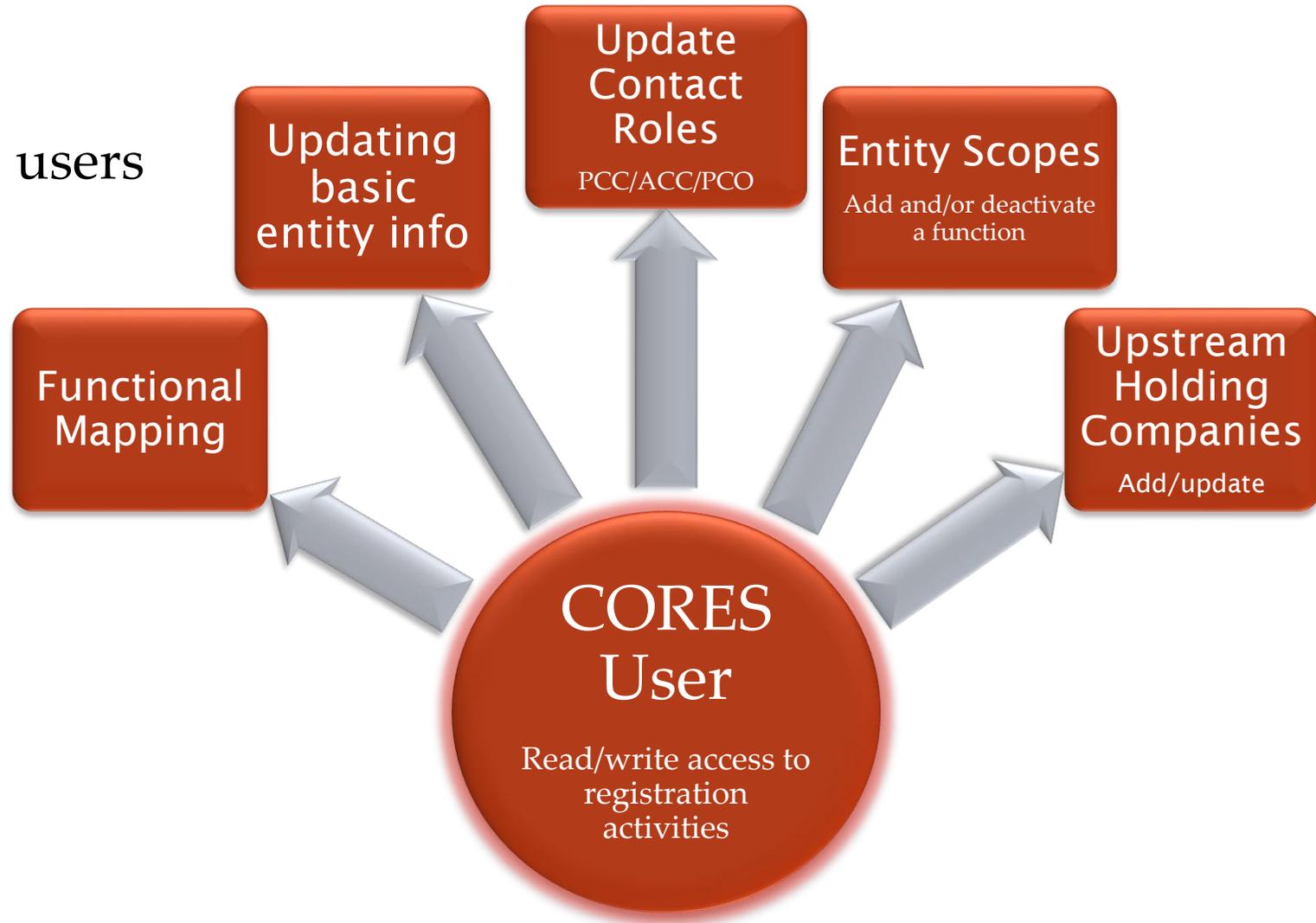
- Was called Authorizing Officer
- Management-level contact responsible for regulatory affairs
- Usually the authorized signatory for organization
- NOT contacted for system communications from ERO Portal

System Roles (Permissions)



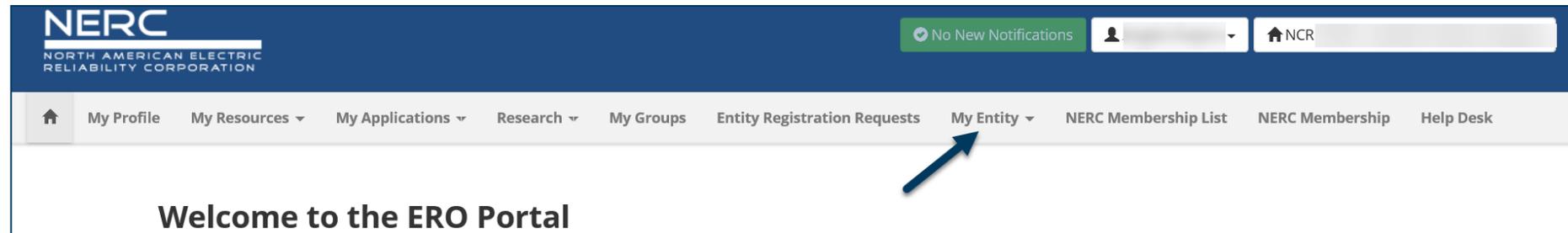
CORES Work

- Syncs to Align nightly
- Other features exist for U.S. users



CORES and Align

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



- Align gets registration and contact information from CORES daily
- Keeping CORES up to date keeps Align up to date

Align User Roles (Permissions)



Align Work

Self-Reports; Mitigation Management; Enforcement Processing

- Create findings
- Add mitigation milestones
- Respond to Requests for Information (RFI)

Self-Certifications; Periodic Data Submittals

- Submit response to request
- Respond to RFI
- Submit Requests for Extension
- Create attestations
- Reaffirm attestations

Audits and Spot-Checks

- View scheduled engagements
- Respond to working papers
- Respond to RFI
- Object to team members

Have I been granted the appropriate permissions?

Yes

Submit a ticket to NERC

No

Contact PCC

Introduction to Align

- Integrates compliance and enforcement activities into a single platform for all regions and NERC
- Harmonizes processes using a single language, tracks data in one tool, making it the ERO's system of record
- The tool has already been adopted in the U.S. and several Canadian provinces
- Some features (Coordinated Oversight, Self-logs, etc.) are not applicable to BC entities

Introduction to Align

- NERC is the system administrator for Align and related tools
- WECC partners with NERC to maintain and support tools
 - You may interact with representatives from WECC and NERC for technical support
- NERC is not involved in carrying out WECC's activities as the BCUC's administrator for the Mandatory Reliability Standards Program

Updated Terminology

Finding

- Generic term used to refer to a potential noncompliance—it can be reported by you (i.e., Self-Report) or by your Region (i.e., WECC audit)

CEA

- Compliance Enforcement Authority
- In our region that means WECC

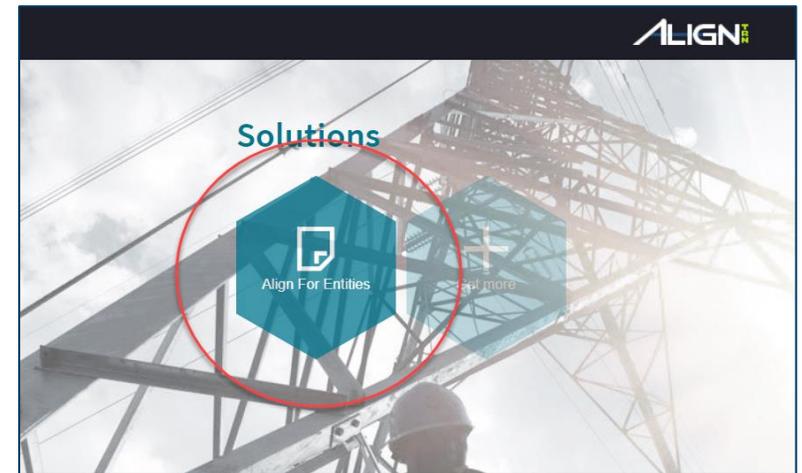
PNC

- Potential Noncompliance is the equivalent of Possible Violation

- [British Columbia and Align/CORES/SEL Terminology Reference List](#)

Log in to Align

- Use your ERO Portal Account
- Internet Explorer is not supported



Pages 3 and 4 of User Resource Guide

Navigating the System

- When you log in, you will land at the “My Align” page, or “the Dashboard”

The screenshot shows the WECC system dashboard. At the top left, a 'My Align' drop-down menu is open, listing various features like Risk and Planning, Self-Reports and Logs, and Enforcement Processing. A red arrow points to this menu with the text 'Drop-down menu provides access to Align features'. On the right side, a 'NEWS AND UPDATES' section is visible, with a red arrow pointing to it and the text 'View system news and updates'. Below these, a 'MY TASKS' table lists various activities with checkboxes in the left margin. A red arrow points to these checkboxes with the text 'Items awaiting your action will appear in “My Tasks”'. The table columns include TYPE, UNIQUE ID, REGION OR LRE, STATUS, REGISTRATION, STANDARD AND REQ, DUE DATE, CREATED BY, MODIFIED BY, and MODIFIED ON.

TYPE	UNIQUE ID	REGION OR LRE	STATUS	REGISTRATION	STANDARD AND REQ	DUE DATE	CREATED BY	MODIFIED BY	MODIFIED ON
Mitigating Activities	2024-00052	WECC	Incomplete	NCR55555 - Test Entity Name Change in WECC	CIP-004-6 R1.		NCR55555 Editor 1	NCR55555 Test Company in WECC Editor 1	12/04/2024
Mitigating Activities	2024-00054	WECC	Submit for Entity Revision	NCR55555 - Test Entity Name Change in WECC	BAL-001-2 R1.		NCR55555 Editor 1	WECC Editor 1	11/14/2024
				NCR55555 - Test Entity Name Change in WECC	CIP-002-5.1a R2.		NCR55555 Editor 1	WECC Editor 1	11/14/2024
				NCR55555 - Test Entity Name Change in WECC	BAL-005-1 R1.		NCR55555 Editor 1	Sara Minges	11/14/2024
				NCR55555 - Test Entity Name Change in WECC		08/08/2021	NCR55555 Test Company in WECC Editor 1	WECC Editor 1	07/19/2024
				NCR55555 - Test Entity Name Change in WECC	EOP-006-3 R6.	04/01/2022	NCR55555 Test Company in WECC Editor 1	WECC Editor 1	12/12/2024
Reaffirmation Requests	AE / 000025	WECC	Reaffirmation Requested	NCR55555 - Test Entity Name Change in WECC	FAC-501-WECC-2 R1.	07/08/2022	NCR55555 Test Company in WECC Editor 1	WECC Editor 1	12/12/2024
Reaffirmation Requests	AE / 000026	WECC	Reaffirmation Requested	NCR55555 - Test Entity Name Change in WECC	CIP-013-1 R1.	07/08/2022	NCR55555 Test Company in WECC Editor 1	WECC Editor 1	12/12/2024

Navigating the System

- Views can be filtered using column headers; resets each time

Enforcement Processing Align For Entities

My Open Findings My Closed Findings NCR55555 Test Company in WECC Editor 1

MY OPEN FINDINGS

<input type="checkbox"/>	MONITO... METHOD	UNIQUE_ID	REGI... OR LRE	DATE SUBMIT...	REGISTRATION	STANDARD	REQ	START ...	CREAT...	MODIFIED BY	MODIFIED ON	FINDING STATUS	SEND UPD...	MITIGATION
<input type="checkbox"/>	Self-Report	2025-00001	WECC	01/28/2025	NCR55555 - Test Entity Name Change in WECC	BAL-005-1	R2.	12/01/2024	NCR55555 Editor 1	NCR55555 Test Company in...	01/28/2025	Preliminary Screening	+	Mitigating Activities

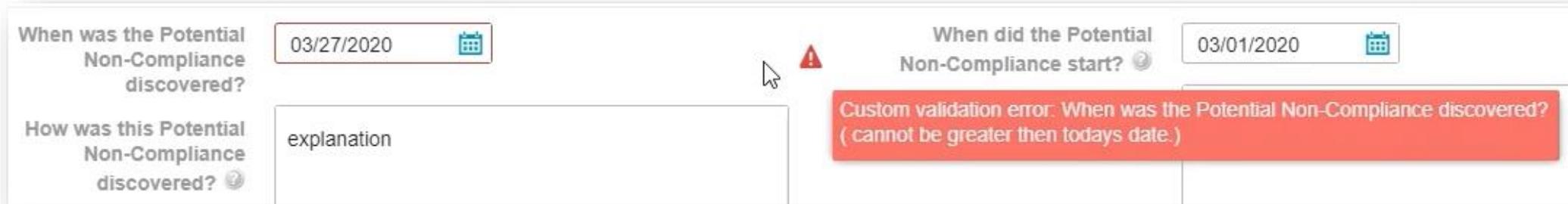
- Refresh or advance pages using buttons at the bottom

<input type="checkbox"/>	Report	2024-00044	WECC	10/16/2024	Change in WECC	BAL-003-2	R1.	09/20/2024	Editor 1	Company in...	10/16/2024	PNC Review	+	Activities
<input type="checkbox"/>	Self-Report	2023-00011	WECC	10/16/2024	NCR55555 - Test Entity Name Change in WECC	BAL-002-3	R3.	04/05/2023	NCR55555 Editor 1	NCR55555 Test Company in...	10/16/2024	PNC Review	+	Mitigating Activities
<input type="checkbox"/>	Self-Certification	2022-00050	WECC	05/06/2022	NCR55555 - Test Entity Name Change in WECC	CIP-003-8	R2.	04/01/2020	WECC Editor 1	WECC Editor 1	05/06/2022	PNC Review	+	Mitigating Activities

Page 1 of 1

Align Form Validation Rules

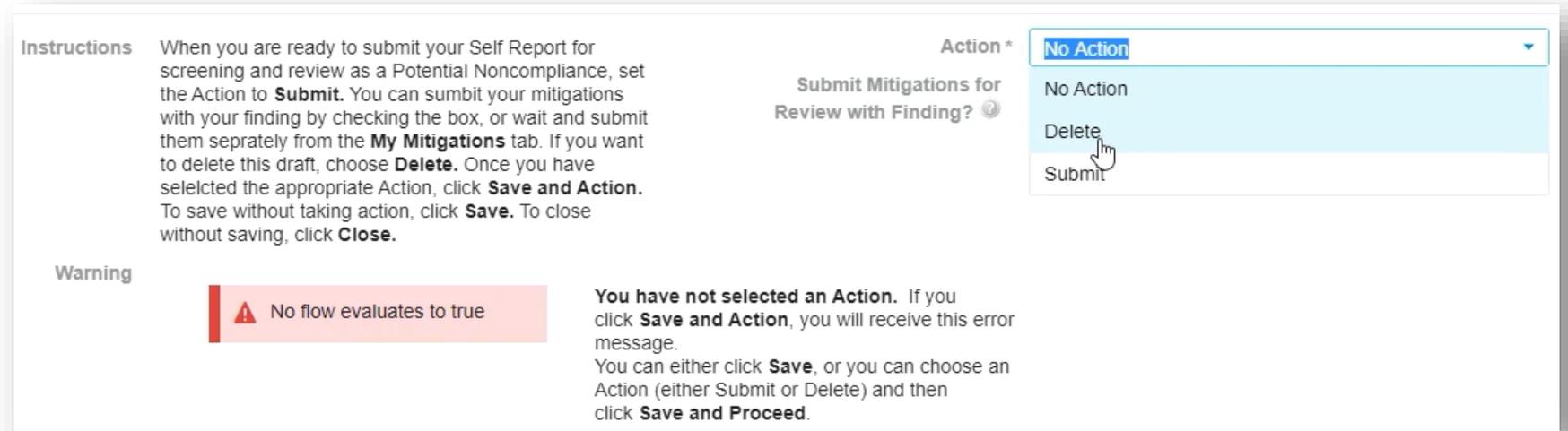
- Align will not submit a form if the data doesn't meet its validation rules
- The form will highlight which fields need attention
 - Hover over the red triangle to see a description



The screenshot shows a form with two date input fields and a text area. The first date field is labeled 'When was the Potential Non-Compliance discovered?' and contains the date '03/27/2020'. The second date field is labeled 'When did the Potential Non-Compliance start?' and contains the date '03/01/2020'. A red triangle warning icon is positioned between the two date fields. A red error message box is overlaid on the form, stating: 'Custom validation error: When was the Potential Non-Compliance discovered? (cannot be greater then todays date.)'. Below the first date field is a text area labeled 'How was this Potential Non-Compliance discovered?' containing the word 'explanation'.

Align Form Validation Rules

- If you click **Save and Action** and forgot to select an action, you'll see "No flow evaluates to true"
 - Select an action or correct the errors before you click **Save and Action** again



The screenshot shows a web form interface. On the left, there is an "Instructions" section with text: "When you are ready to submit your Self Report for screening and review as a Potential Noncompliance, set the Action to **Submit**. You can submit your mitigations with your finding by checking the box, or wait and submit them separately from the **My Mitigations** tab. If you want to delete this draft, choose **Delete**. Once you have selected the appropriate Action, click **Save and Action**. To save without taking action, click **Save**. To close without saving, click **Close**." Below the instructions is a "Warning" section with a red triangle icon and the text: "No flow evaluates to true". To the right of the warning is a text box: "You have not selected an Action. If you click **Save and Action**, you will receive this error message. You can either click **Save**, or you can choose an Action (either Submit or Delete) and then click **Save and Proceed**." On the far right, there is a dropdown menu labeled "Action *" with the text "Submit Mitigations for Review with Finding?". The dropdown menu is open, showing three options: "No Action", "Delete", and "Submit". A mouse cursor is pointing at the "Delete" option.



Video 5—Validation Rules

Creating a Finding

1. Go to Self-Reports and Logs
2. Click Create Finding
3. Locate the standard and click the plus sign; this will open the form
4. Save as a draft; reopen from draft
5. Once complete, click Save and Action to submit the Self-Report

The screenshot illustrates the steps for creating a finding in the WECC system. It shows the 'Self-Reports and Logs' navigation menu, the 'MY REGISTRATIONS' table with a 'Create Finding' button circled in red (labeled 2), and the 'MY DRAFTS' table with a draft entry circled in red (labeled 4). A 'Create Finding 2.0' modal is open, showing a table of applicable requirements with a plus sign circled in red (labeled 3). The modal also includes a 'CREATE SELF-REPORT' button.



Pages 10-25 of User Resource Guide



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

Updating a Finding

- The cut-off point in the process for sending updates is in assigning an approval of a disposition or under the preliminary screening if the finding fails a preliminary screening
- Use Align's filtering features to find the Self-Report



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

Responding to a Request for Information

- Find on My Tasks on Dashboard or through Requests for Information in the drop-down menu

My Align

My Dashboard and Tasks

Assigned To Me

ALIGN

Welcome to **Align**, the comprehensive tool designed as a shared platform for the ERO Enterprise Compliance Monitoring and Enforcement Program. This is your **Dashboard** screen. Navigate to **Periodic Data Submittals**, **Self-Certifications**, and **Technical Feasibility Exceptions**. You can also respond to Compliance Activities related to **Audits**, **Spot Checks**, and **Investigations**. Learn more at <https://training.nerc.net/>

MY TASKS					
<input type="checkbox"/>	TYPE	UNIQUE ID	REGION OR LRE	STATUS	REQ
<input type="checkbox"/>	RFI for Finding	2024-00054 RF24-010199	WECC	Incomplete	NCI
<input type="checkbox"/>	RFI for Finding	2024-00054 RF24-010200	WECC	Awaiting your Response	NCI

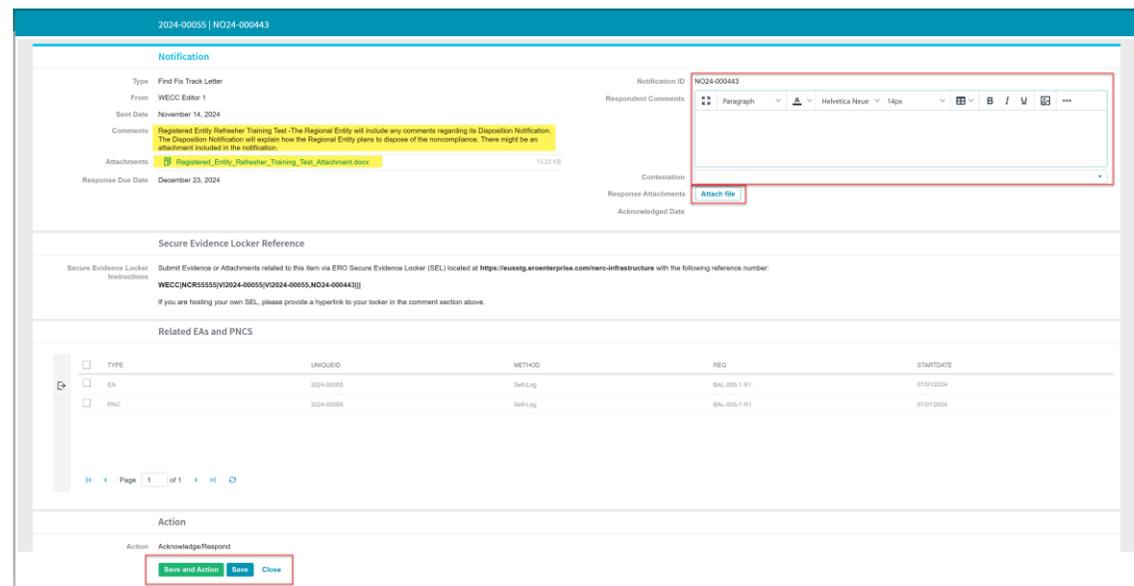
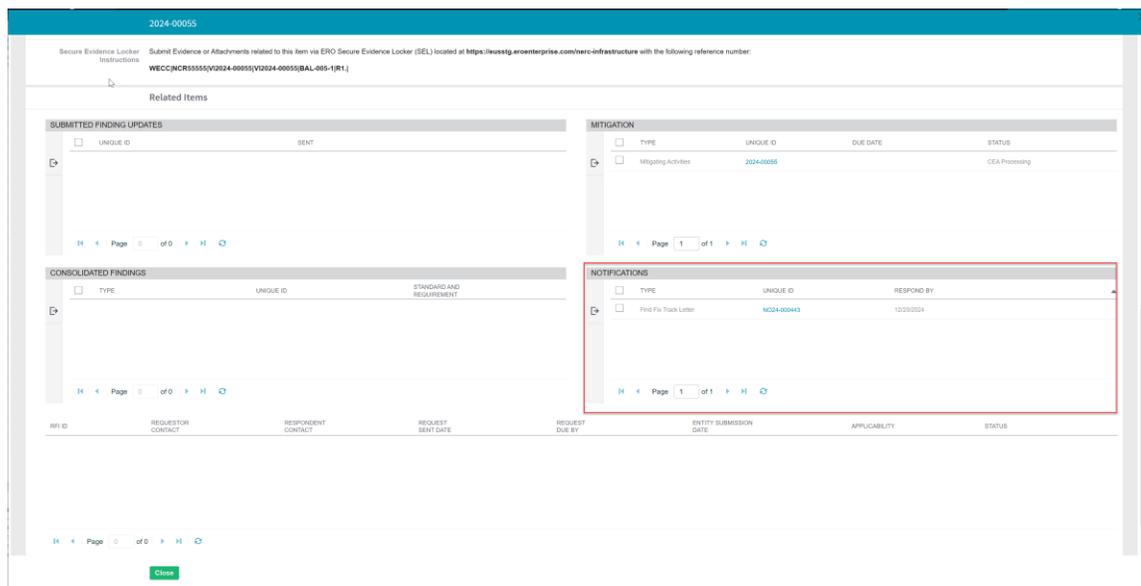
My Align

- My Align
- Risk and Planning
- Self-Reports and Logs
- Periodic Data Submittals
- Self-Certifications
- Audits and Spot Checks
- IRA and COP
- Enforcement Processing
- Mitigation Management
- Request For Information**
- Technical Feasibility Exception
- Attestations

Responding to a Request for Information

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

Responding to Notification Letters



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



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Video 8—Responding to Notification Letters

Submitting Mitigating Activities

1. Go to Mitigation Management
2. In My Draft Mitigations select Unique ID
3. Scroll to Milestones and Click plus sign
4. Complete form and Click update
5. Repeat for all milestones
6. Milestone data will not be saved until you save the parent mitigation form



Pages 36-41 of User Guide



Video 11—Submitting Mitigating Activities

Submitting Mitigating Activities

1

Mitigation Management

My Draft Mitigations | My Active Mitigations | Mitigations in Verification | Consolidated Mitigations | Completed Mitigations

MY DRAFT MITIGATIONS

TYPE	UNIQUE ID	REGION OR LRE	REGISTRATION	STANDARD	REQ	REGION AND JURISDICTION	START DATE	CREATED BY	MODIFIED BY	MODIFIED ON
Mitigating Activities	2021-00601	WECC	NCR55555 - Test Entity Name Change in WECC	CIP-003-8	R2.	WECC-U			NCD55555 Test Company In	
Mitigating Activities	2021-00602	WECC	NCR55555 - Test Entity Name Change in WECC	CIP-003-8	R4.	WECC-U				
Mitigating Activities	2021-00603	WECC	NCR55555 - Test Entity Name Change in WECC	CIP-003-8	R4.	WECC-U				
Mitigating Activities	2021-00604									
Mitigating Activities	2021-00609									
Mitigating Activities	2021-00617									
Mitigating Activities	2022-00012									
Mitigating Activities	2022-00025									
Mitigating Activities	2024-00050									
Mitigation Plan	2024-00051									
Mitigating Activities	2024-00054									
Mitigating Activities	2024-00057									
Mitigation Plan	2024-00063									
Mitigating Activities	2025-00001									

2021-00601

Region-Jurisdiction(s) in which the Potential Noncompliance occurred: WECC-US

Root Cause: Not available; PNC Review not yet complete.

Interim Risk Reduction

Entity Assigned to

FIRST NAME	LAST NAME
This table is empty	

Review Results

CEA Comments

Mitigation Milestones

UNIQUE ID	TYPE OF MILESTONE TASK	MILESTONE NAME	PLAN
This table is empty			

3

4

Milestone

Milestone Information

Type of Milestone Task

Milestone Name

Description of action

Planned Completion Date

Actual Completion Date

Evidence and Attachments

Data Locker Instructions

Evidence Comments

Update Close

Instructions: When ready for Region Review and Approval, Submit this Mitigation by selecting the "Submit for CEA Review" Action and clicking "Save and Action" below. By submitting the mitigating activities described above, I acknowledge that I have authority to submit the mitigating activities on behalf of the Registered Entity.

Action: No Action

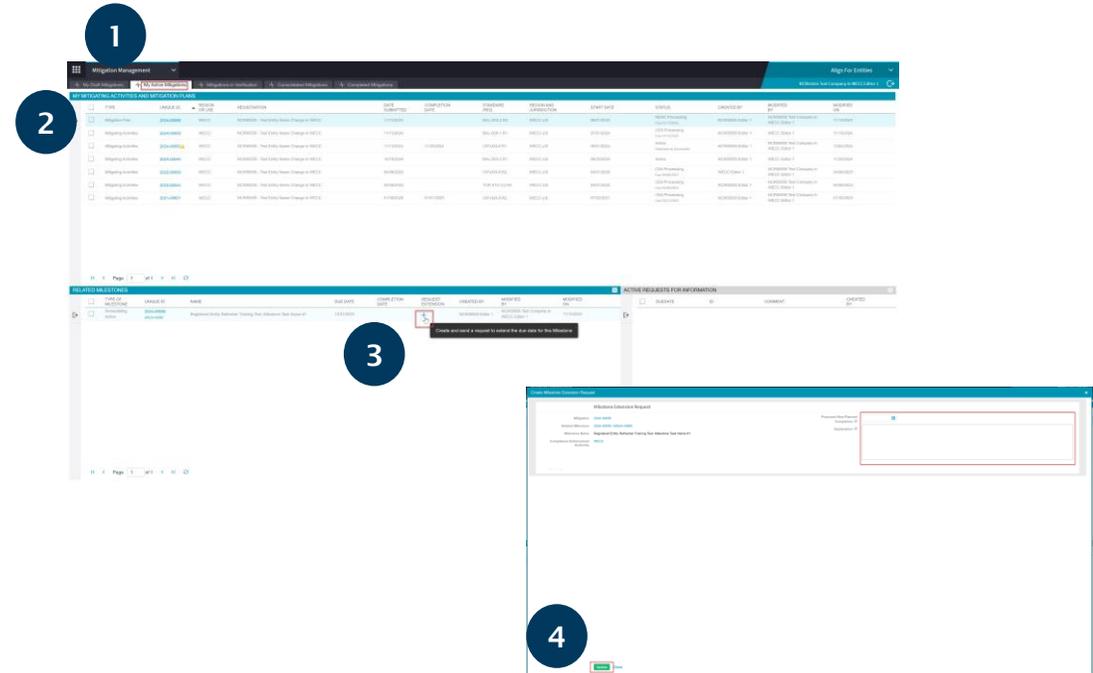
click here to print

Save and Action Save Close

Extension Requests

Align lets you request extensions on mitigation milestones

1. Go to My Active mitigations
2. Select (but do not open) the mitigation record for your unique ID; this will filter the related milestones window to display all milestones for the mitigating activities or plan
3. Click the plus sign under the Request Extension column
4. Complete the form and click Update to submit



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Video 13—Milestone Extensions

Submitting Mitigation for Verification

1. Enter Actual Completion Date for all milestone activities and Check that the form is complete
2. Select Submit for CEA Review
3. Use Save and Action to submit to WECC

Note: Status must be "Active" before you can submit for verification



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Video 14—Mitigation Verification

Submitting Mitigation for Verification

1 Actual Completion Date: 01/01/2025

2 Submit for CEA Verification

3 Save and Action

Save and Action Save Close

Consolidated PNCs

- In Align, multiple PNCs can be consolidated into the Enforcement Action record
- The data from the consolidated PNCs is captured in a single Enforcement Action

The screenshot displays the 'Enforcement Processing' interface. At the top, there are tabs for 'My Open Findings' and 'My Closed Findings'. The main area is a table titled 'MY OPEN FINDINGS' with columns: MONITO... METHOD, UNIQUE_ID, REGI... OR LRE, DATE SUBMIT..., REGISTRATION, STANDARD, REQ, START..., CREAT..., MODIFIED BY, MODIFIED ON, FINDING STATUS, SEND UPD..., and MITIGATION. A tooltip is visible over the '2024-00056 (Consolidation)' entry, stating 'Open this Finding. Consolidates the following: 2024-00056, 2024-00060'. Below the table is a 'FINDING PROCESS SUMMARY' flowchart. The flowchart starts with 'Finding' leading to 'Preliminary Screening'. From 'Preliminary Screening', it branches to 'Failed Screen' and 'RFIs'. 'RFIs' leads to 'PNC Review', which then leads to 'Enforcement Processing'. From 'Enforcement Processing', the flowchart branches into four paths: 'Dismissal', 'Compliance Exception', 'Settlement', and 'Confirmed Violation'. All four paths lead to 'Processing Complete (Pending completion of Mitigation and any other obligations)', which finally leads to 'Closed'.

Consolidated Mitigation

Access the record for the consolidated PNC under the Consolidated Mitigations tab

The screenshot shows the 'Mitigation Management' interface. At the top, there are tabs for 'My Draft Mitigations', 'My Active Mitigations', 'Mitigations in Verification', 'Consolidated Mitigations' (highlighted in yellow), and 'Completed Mitigations'. On the right, there is a dropdown for 'Align For Entities' and a refresh button. Below the tabs is a table titled 'CONSOLIDATED MITIGATIONS'. The table has columns: TYPE, UNIQUE ID, REGION OR LRE, REGISTRATION, DATE SUBMITTED, STAND..., REQ, REGION A... JURISDICT..., START D..., STATUS, CREAT..., MODIFIED BY, and MODIFIED ON. One row is visible with the following data: TYPE: Mitigating Activities, UNIQUE ID: 2024-00060 (highlighted with a red box), REGION OR LRE: WECC, REGISTRATION: NCR55555 - Test Entity Name Change in WECC, DATE SUBMITTED: BAL-003-2, REQ: R4, REGION A... JURISDICT...: WECC-US, START D...: 06/04/2024, STATUS: Consolidated, CREAT...: NCR55555 Editor 1, MODIFIED BY: WECC Editor 1, MODIFIED ON: 11/14/2024.



Pages 56–57 of User Guide



Video 16—Consolidated Mitigations

Secure Evidence Locker

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

Secure Evidence Locker

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

Evidence

Secure Evidence Locker
Instructions

Submit Evidence or Attachments related to this item via ERO Secure Evidence Locker (SEL) located at <https://eusstg.eroenterprise.com/nerc-infrastructure> with the following reference number:

WECC|NCR55555|VI2024-00056|MI2024-00056,MS24-43895|BAL-003-2|R2.1

Evidence Comments

NERC SEL Portal

With your reference ID from Align navigate to the NERC SEL Portal.

1

NERC
NORTH AMERICAN ELECTRIC
RELIABILITY CORPORATION

MRO
MIDWEST RELIABILITY
ORGANIZATION

MPCC, INC.

Secure Evidence Locker

Step 1 - Validation

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

XXXXXXX

Validate

Step 2 - Upload Files

Paste Reference ID

Upload

2

Step 1 - Validation

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

RF\NCR00168\PDS2021-001336\PDS2021-0...

Validate

Valid Reference ID

Region: RF

NCR: NCR00168

CMEP Activity: PDS2021-001336

Tags: PDS2021-001336

Step 2 - Upload Files

Click "Upload" to add evidence to your submission.

Do NOT include any sensitive information in the file names that you are uploading!

Compressed files (e.g., ZIP, ZIP64, GZ, TAR, RAR, ARL, 7Z, 7ZX) as well as a number of files in a folder.

If you experience any problems uploading evidence, contact your Region for assistance.

Upload

Step 3 - Submit Evidence

Verify all documents meet submission requirements.

Submit

Individual File
upload limit:
100 MB
Multiple file
upload limit:
10GB

3

Manifest email upon successful upload

From: do-not-reply@nerc.com <do-not-reply@nerc.com>
Sent: Monday, September 27, 2021 2:32 PM
To: seltesting@nerc.com
Subject: Submission Receipt 09/27/2021 14:32:19

NERC
NORTH AMERICAN ELECTRIC
RELIABILITY CORPORATION

MRO
MIDWEST RELIABILITY
ORGANIZATION

MPCC, INC.

Attached is the submission manifest receipt for your submission as of 09/27/2021 14:32:19.

File Name	NCR	CMEP Activity	SEL ID	SHA3-512 Signature
PDS Supporting Documentation-09-27-21.docx	NCR00168	PDS2021-001336	0902f2cf80065f9a	px49cKIdVONOR
Additional Information-09-27-21.docx	NCR00168	PDS2021-001336	0902f2cf80065f9b	PKyMBv4sWRw

***Keep manifests as your record of upload to the SEL.**

Secure Evidence Locker

- Manifests confirm successful upload
- Zip files and .exe files are not allowed for upload
- SEL hours—8:00 a.m.–10:00 p.m. EST



RE SEL Portal Guide



Video 17—Submitting Evidence to the SEL

Resources

- These resources are available on NERC's training site (<https://training.nerc.net/>)
 - [NERC Align Training Videos](#)
 - [Registered Entities: Align Enforcement and Mitigation User Guide](#)
 - [Registered Entities: SEL Portal Guide](#)
- Report any issues through NERC's Helpdesk
 - <https://support.nerc.net>

Additional Resources

- Update contact information
 - [CORES End User Guide \(nerc.com\)](#) Chapter 2, Contact Roles
- Review and Approve Align Access Request
 - [Align User Guide - Registered Entity Request Access Process \(nerc.com\)](#)
- Responding to Periodic Data Submittals
 - [PDS Reporting Guide.pdf \(wecc.org\)](#)

Closing

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

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

ALIGN

TRAINING

