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*

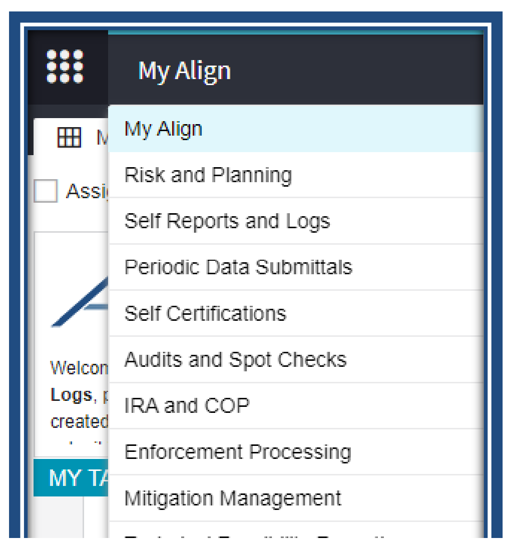


Figure 1: My Align Drop-Down Menu

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.

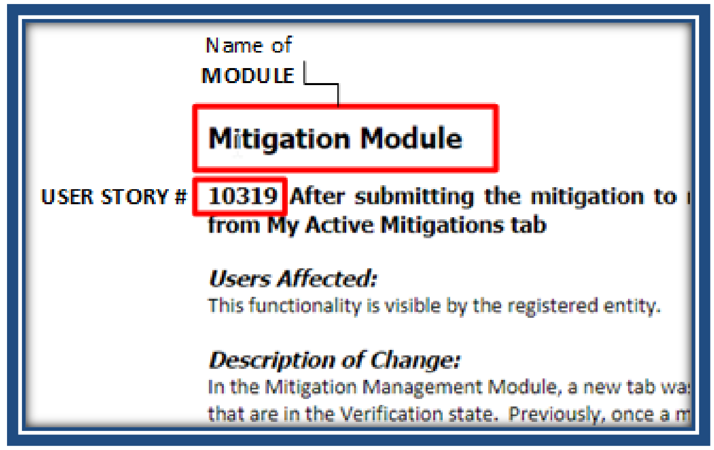


Figure 2: Elements of a User Story

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

Description of Change: 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	[illegible]	[illegible]	10/22/2023	11/21/2023		CIP-007-6 R1.	Awaiting Response from Entity
RF23-000652	[illegible]	[illegible]	10/22/2023	11/21/2023		CIP-007-6 R1.	Cancelled
RF23-000628	[illegible]	[illegible]	10/22/2023	11/19/2023	10/22/2023	CIP-007-6 R1.	Incomplete

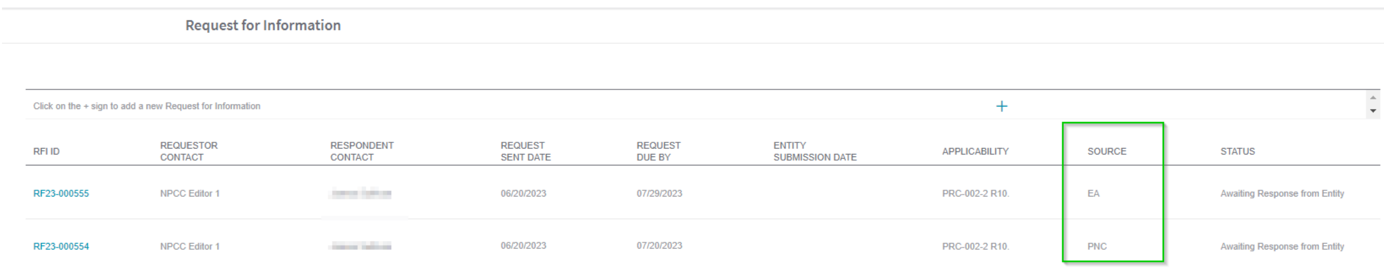
Training Materials Modified: – ***CEA User Guide for Release 1****, need to update "PNC Review (Requests for Information)" pages.* ***CEA User Guide for Release 2****, need to update "Reviewing a PDS (RFIs)" page. The RFI pages need to be updated to explain: (1) RFIs can be issued from the PNC Review 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

Description of Issue: 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

Description of Change: *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.*



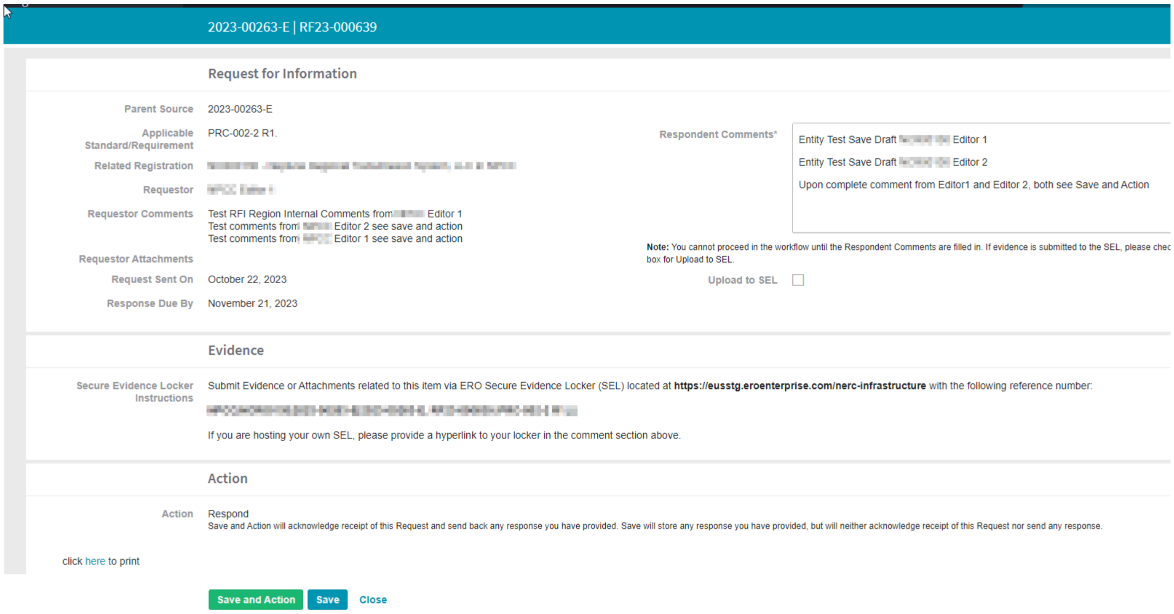
Training Materials Modified: *Release 1 CEA User Guide "PNC Review (Requests for Information)"needs to be updated to show the new functionality for ability to issue RFI from Enforcement Processing Module. O should modify to explain that RFIs can be issued from the PNC Review form, the EA form, and the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

User Story # 7694

Description of Issue: 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

Description of Change: *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.*



Training Materials Modified: – ***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.*

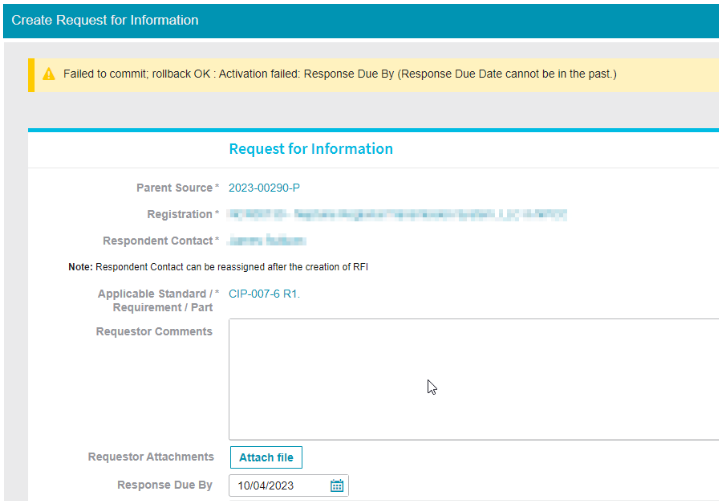
User Story #10138

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

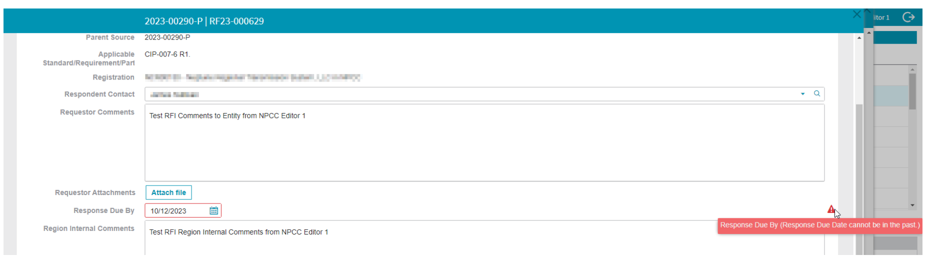
Users Affected: CEA

Description of Change: 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



RFI Error Message on RFI form after create step



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

Description of Issue: 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

Description of Change: 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

	TYPE	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

ITEMS AWAITING MY REVIEW

	TYPE	UNIQUE ID
☐	RFE for SelfCerts	SC2023-000006 | RFE-000184
☐	RFE for SelfCerts	SC2022-000164 | RFE-000182
☐	RFE for PDS	PDS2022-000971 | RFE-000181

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 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.*

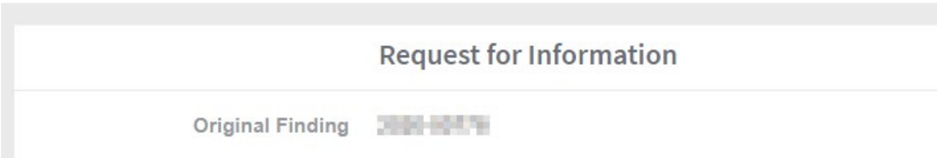
User Story # 10405

Description of Issue: 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

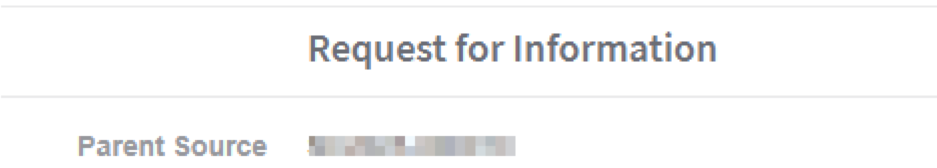
Users Affected: CEA and Registered Entities

Description of Change: *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



New Form View



*<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.*

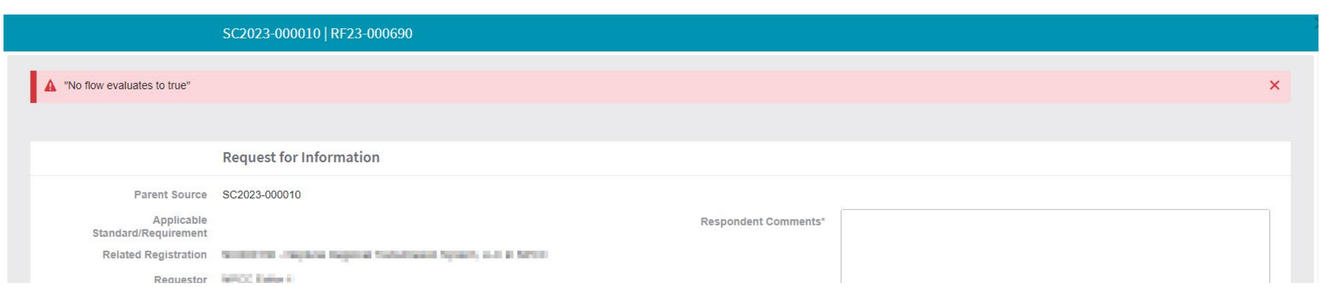
User Story # 10406

<u>Description of Issue</u>: RFI should not allow the entity to submit without comments

<u>Users Affected</u>: 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



*<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.*

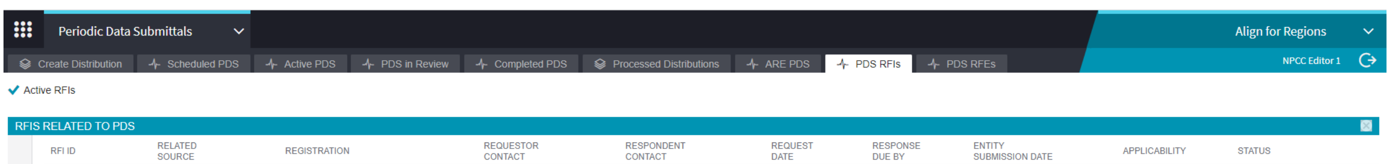
User Story #10409

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

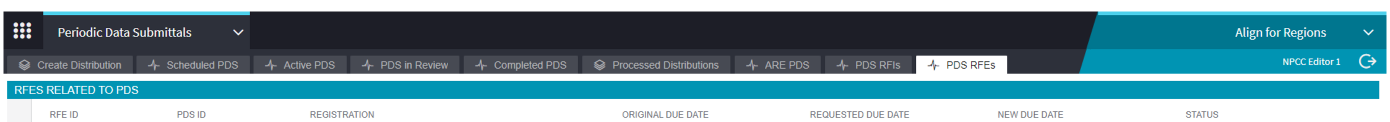
<u>Users Affected</u>: CEA and Registered Entity

<u>Description of Change</u>:

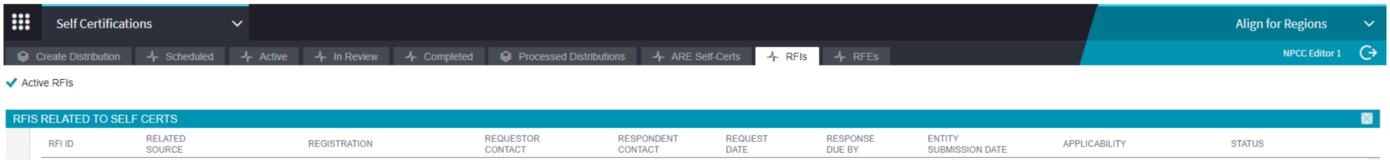
- **Impacts to CEA User Interface**:
  - Periodical Data Submittals will have two new tabs:
    - PDS RFIs



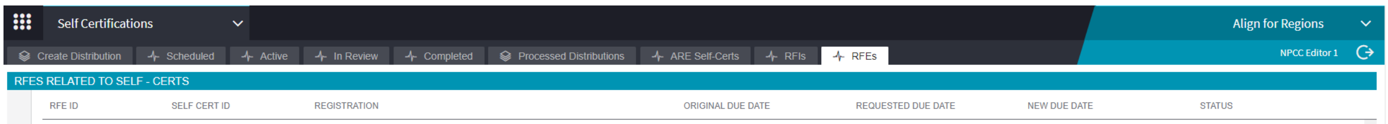
    - PDS RFEs



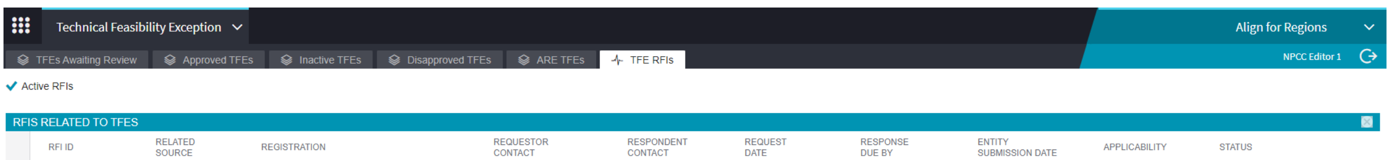
  - Self-Certifications will have two new tabs, but due to space limitations, several of the tab names have been shortened. Shortened names are <u>underlined</u>:
    - Create Distribution (*no change*)
    - <u>Scheduled</u> (previously *Scheduled Self-Certs*)
    - <u>Active</u> (previously *Active Self-Certs*)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



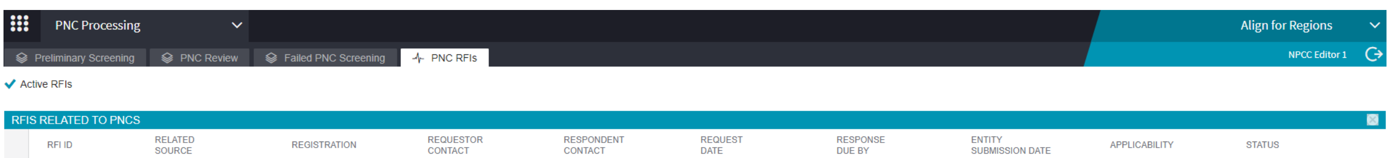
- RFEs (*new*)



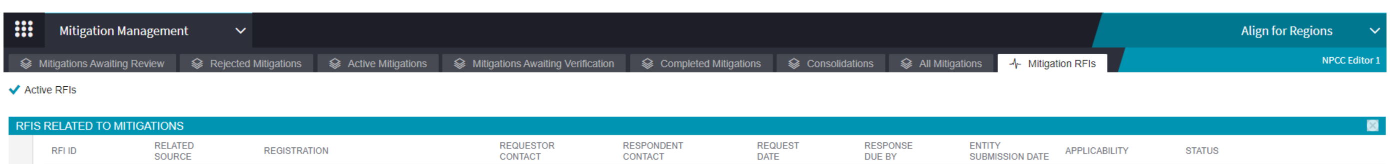
- Technical Feasibility Exception will have one new tab:
  - TFE RFIs (*new*)



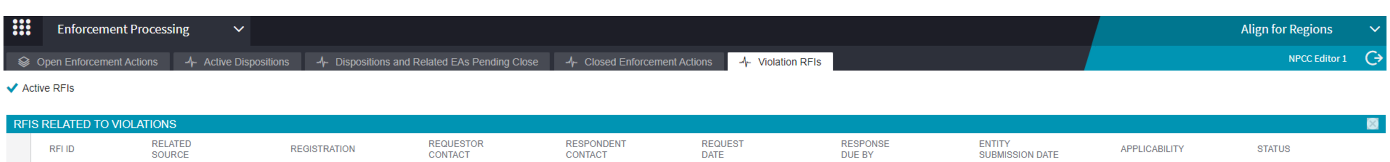
- PNC Processing will have one new tab:
  - PNC RFIs (*new*)



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

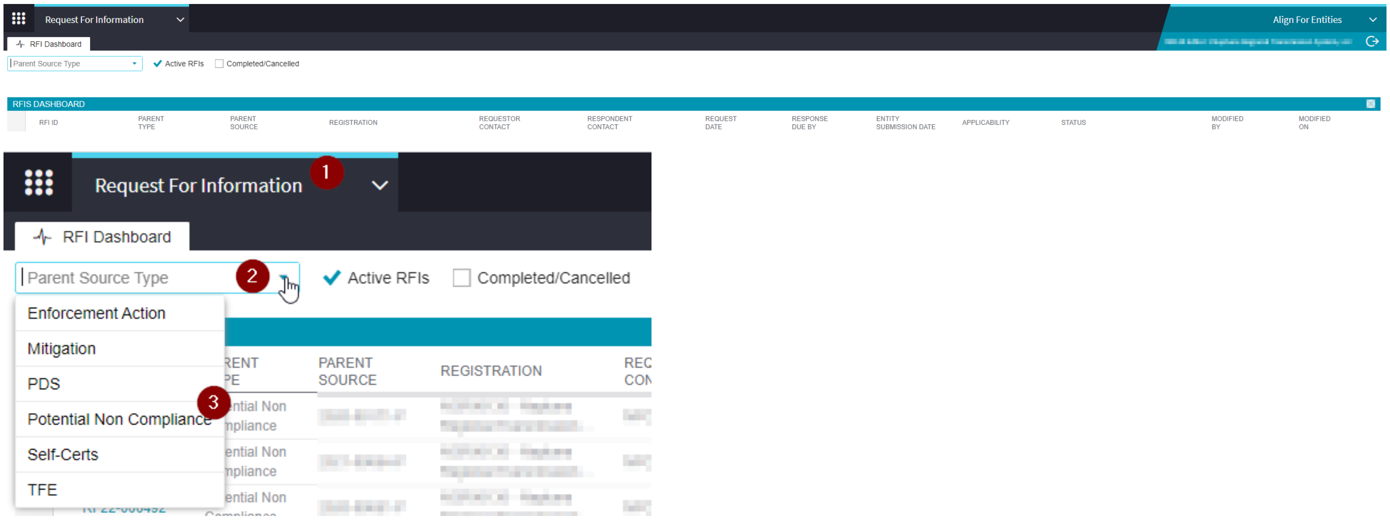


- Enforcement Processing will have one new tab:
  - Violation RFIs (*new*)

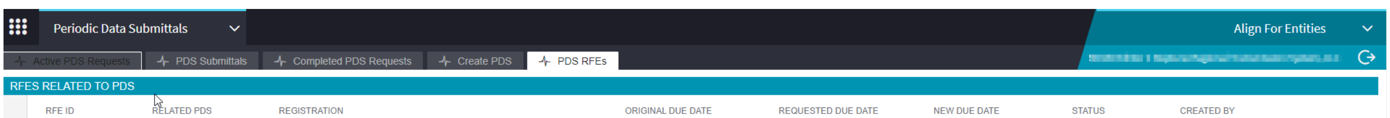


- **Impacts to Registered Entity User Interface**:
  - Request for Information
    - A new Module was added to capture the RFIs related to PNC, EA, Mitigation, PDS, Self-Cert, and TFE modules. This new module will allow Registered Entity to view all RFIs issued from

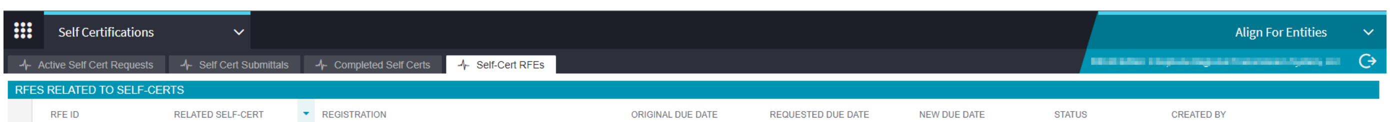
these six modules. The Registered Entity user can filter by the module by selecting the module in the “Parent Source Type” module.



- Periodical Data Submittals will have one new tab:
  - PDS RFEs



- Self-Certifications will have one new tab:
  - SC RFEs



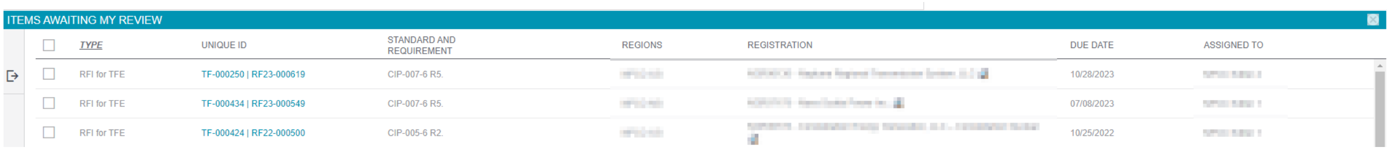
Training Materials Modified: CEA and Registered Entities Release 1 and 2 User Guides need to show additional tabs in the Self-certs, Periodic Data Submittals, and TFE modules for RFE, RFI.

User Story # 10578

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

Users Affected: CEA

Description of Change: *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.*


ITEMS AWAITING MY REVIEW

TYPE	UNIQUE ID	STANDARD AND REQUIREMENT	REGIONS	REGISTRATION	DUE DATE	ASSIGNED TO
RFI for TFE	TF-000250 | RF23-000619	CIP-007-6 R5.	[illegible]	[illegible]	10/28/2023	[illegible]
RFI for TFE	TF-000434 | RF23-000549	CIP-007-6 R5.	[illegible]	[illegible]	07/08/2023	[illegible]
RFI for TFE	TF-000424 | RF22-000500	CIP-005-6 R2.	[illegible]	[illegible]	10/25/2022	[illegible]

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

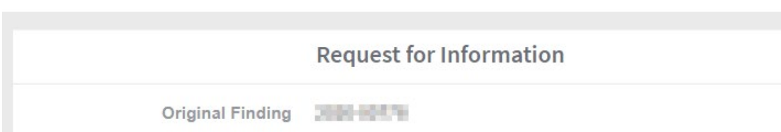
User Story # 10698

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

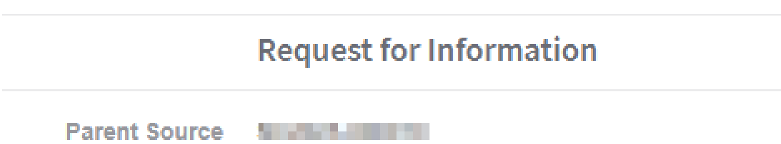
Users Affected: CEA and Registered Entities

Description of Change: *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



New Form View

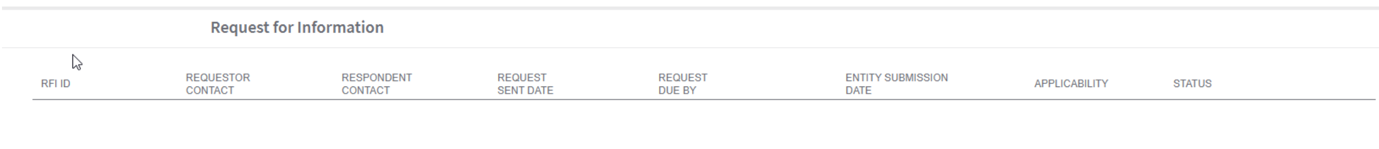


Training Materials Modified: ***Registered Entity User Guides for Release 1**, "Responding to an RFI", **Registered Entities User Guide for Release 2**, "Periodic Data Submittals (RFIs)", **CEA User Guide for Release 1**, "PNC Review (Requests for Information)", and **CEA User Guide for Release 2**,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

Description of Change: *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.*



*Training Materials Modified: **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
Description of Issue: 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

Description of Change: *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

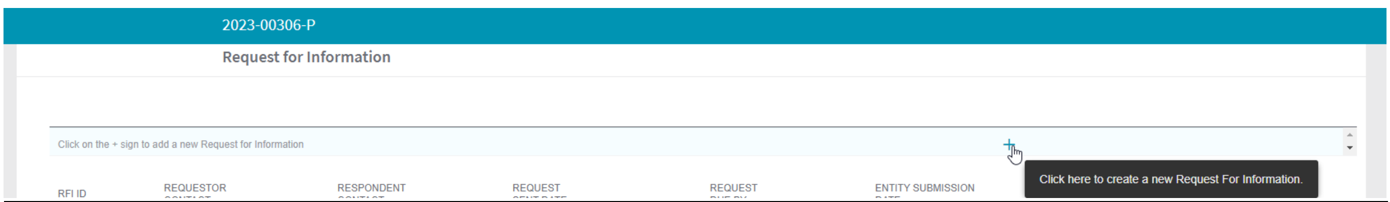
Users Affected: CEA and Registered Entities

Description of Change: *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).*

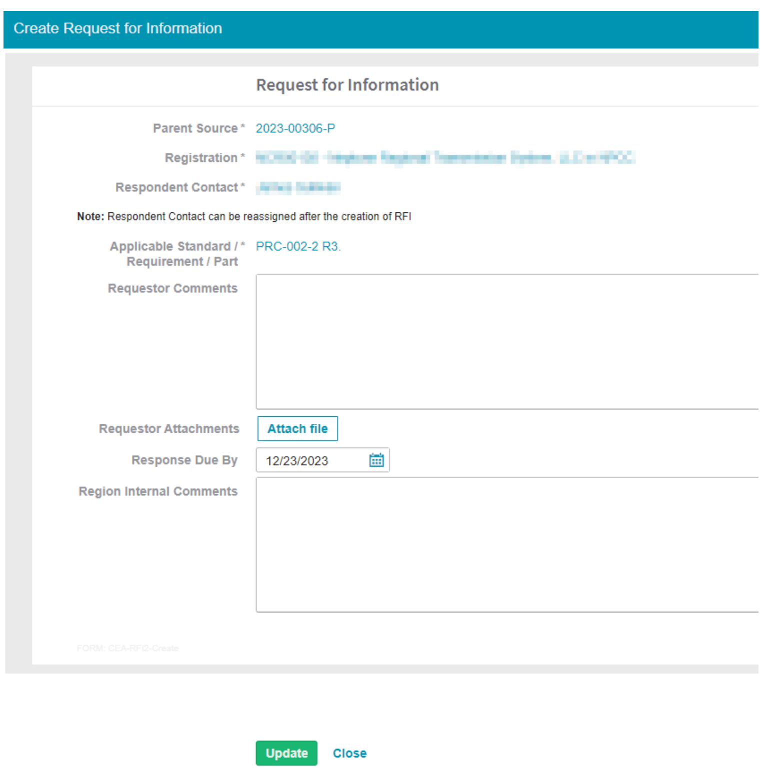
Screenshots for CEA Creation of Draft RFI

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.

Screenshot 1 – "+" button to create new RFI object

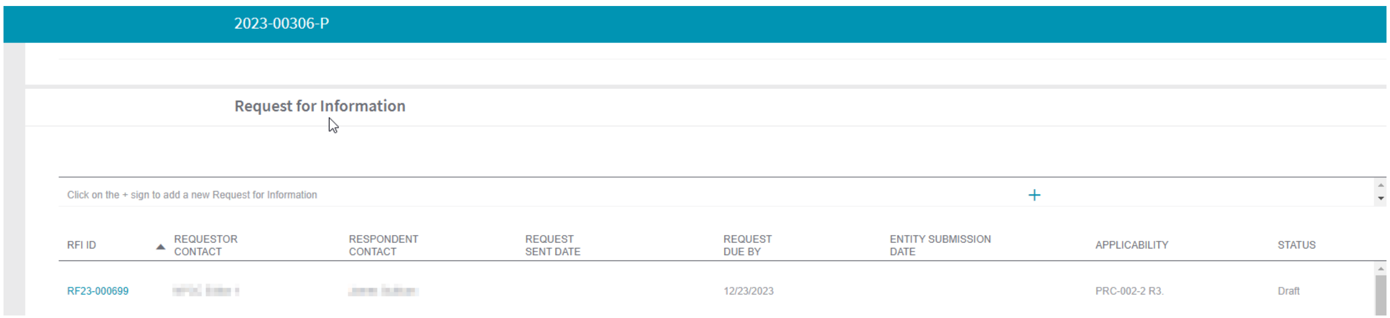


Screenshot 2 – shows Create RFI form

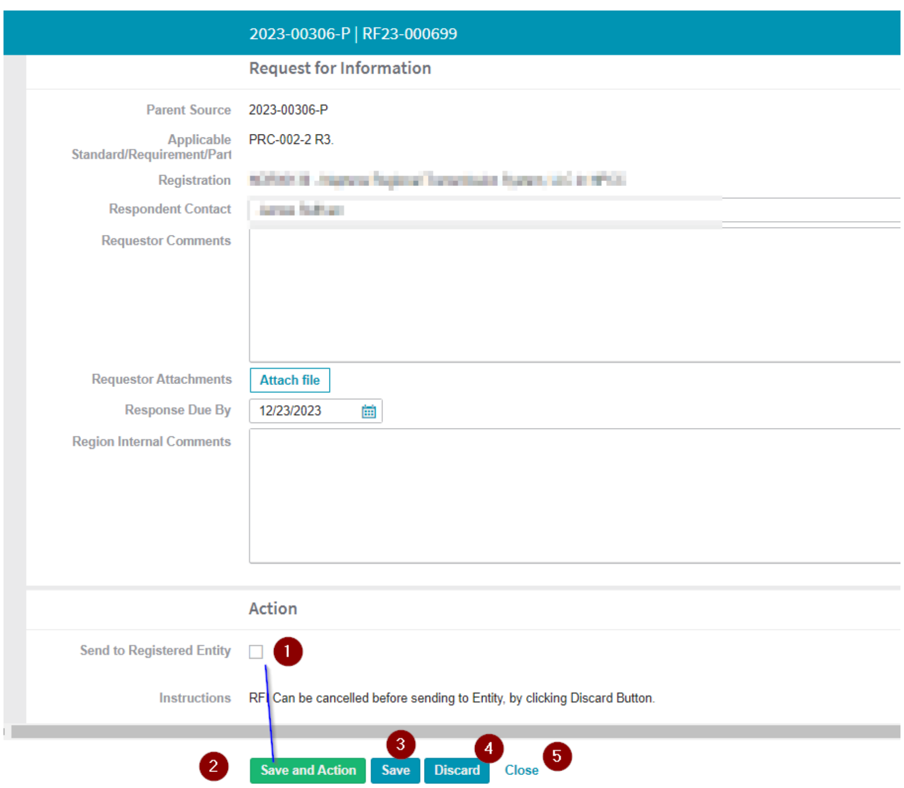


After the form closes, the CEA user can refresh the RFI portlet to see the draft RFI (screenshot 3), after opening the RFI form the CEA user will see a new checkbox button next to "Send to Registered Entity", a Save and Action button, a Save button, Discard button, and Close button. If the CEA user checks 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).

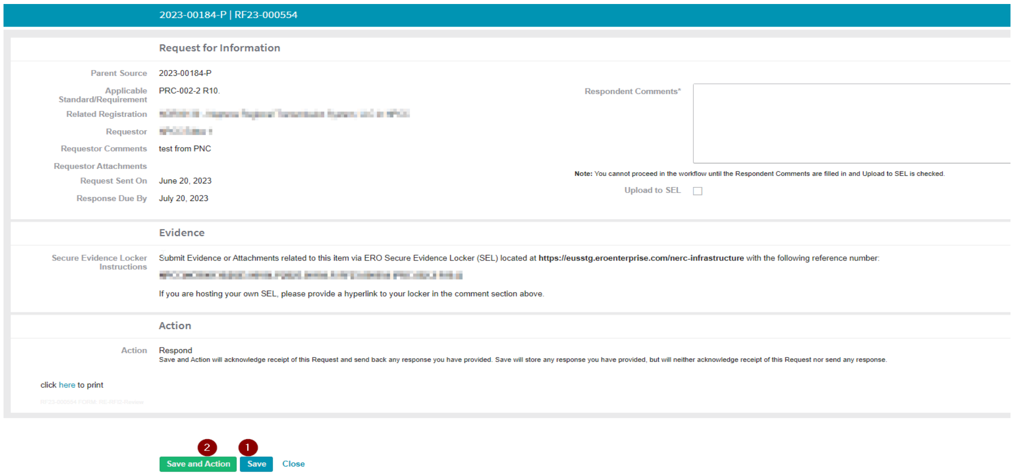
<u>Screenshot 3 – shows the draft RFI object after refreshing the portlet</u>



<u>Screenshot 4 – shows the draft RFI object with the new functionality</u>



Screenshots for Registered Entity Response to an RFI request



*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.*

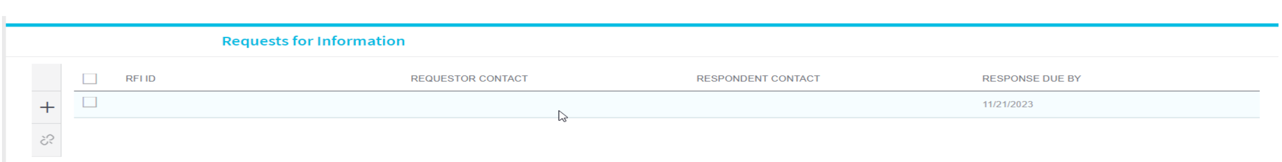
User Story # 11327

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

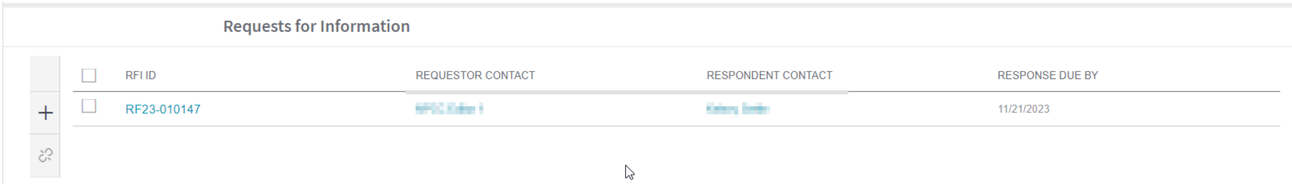
<u>Users Affected</u>: CEA

<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.*

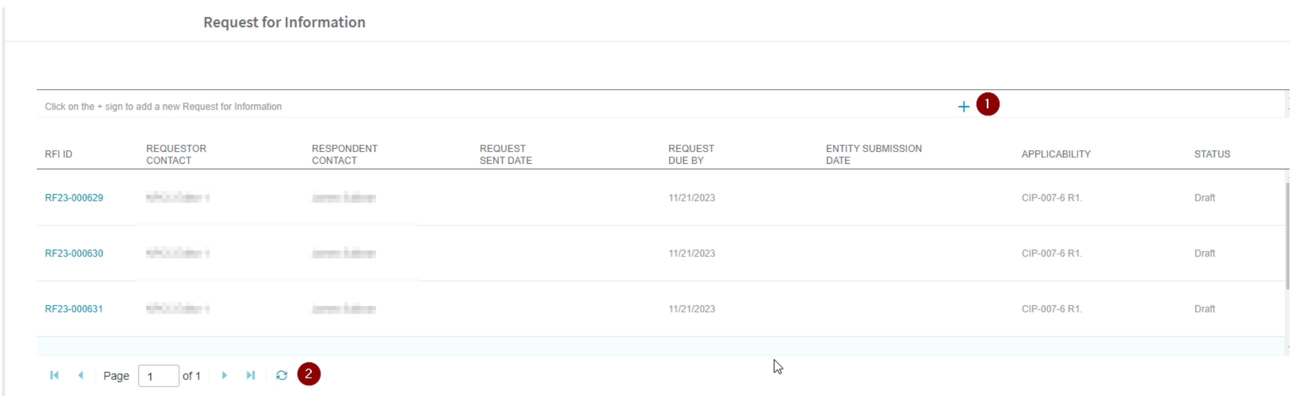
<u>CEA View old RFI portlet upon creation</u>



CEA View old RFI portlet after reopening the form



CEA View new portlet with refresh option



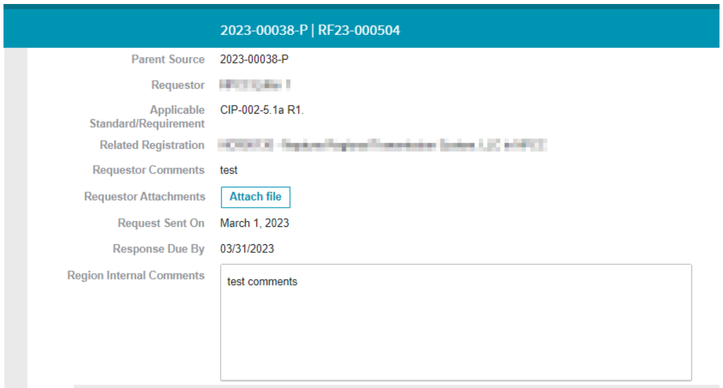
*Training Materials Modified: **CEA User Guide for Release 1**, "PNC Review (Requests for Information)", and **CEA User Guide for Release 2**, "Reviewing a PDS (RFIs)" pages need to be updated to show new capability for CEA to create a Draft RFI.*

User Story # 13734

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

Users Affected: CEA

Description of Change: 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	
Applicable Standard/Requirement	CIP-002-5.1a R1.
Related Registration	
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)

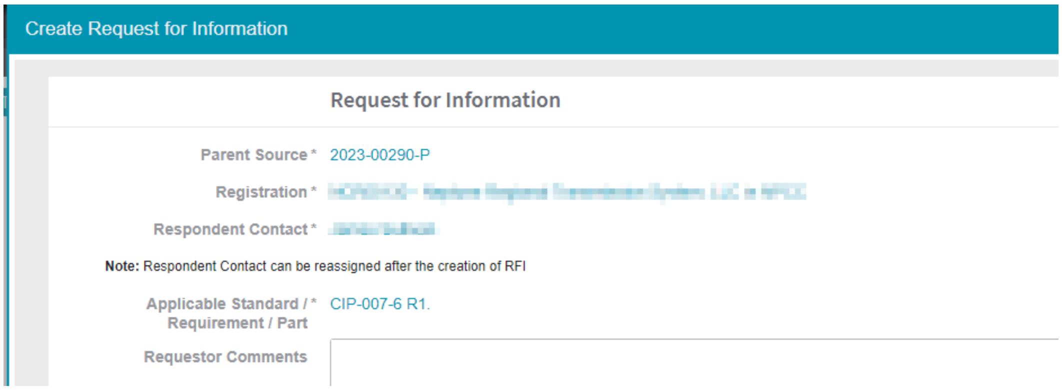
Description of Issue: RFI - Associate each RFI with a Standard and/or Requirement and make it a mandatory for submission

Users Affected: CEA and Registered Entities

Description of Change: *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.*

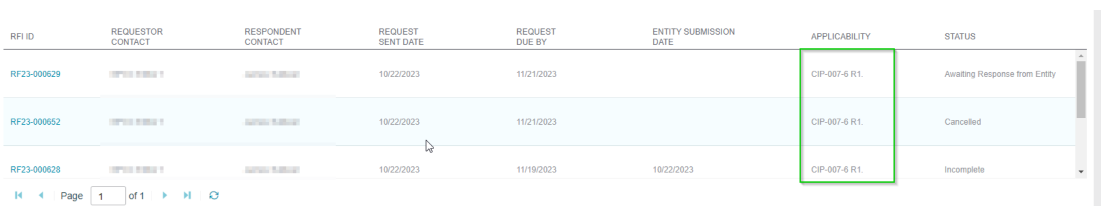
RFI Form, Portlet, and My Align Dashboard for RFIs issued from PNC, EA, Mitigation, PDS, and TFE– upon creation, the Applicable Standard/Requirement/Part are set based on the source object. A bug is being created to add a validation rule to ensure Standard/Requirement cannot be deleted by CEA prior to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

RFI Form

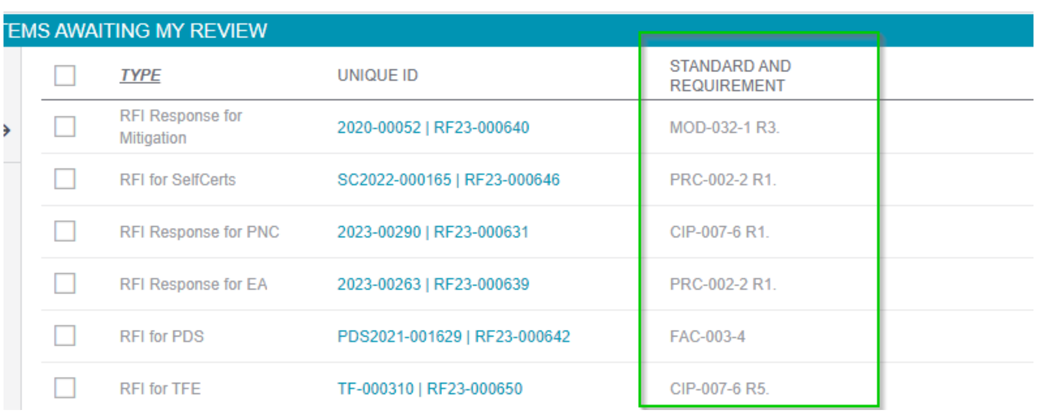


RFI Portlet – CEA view

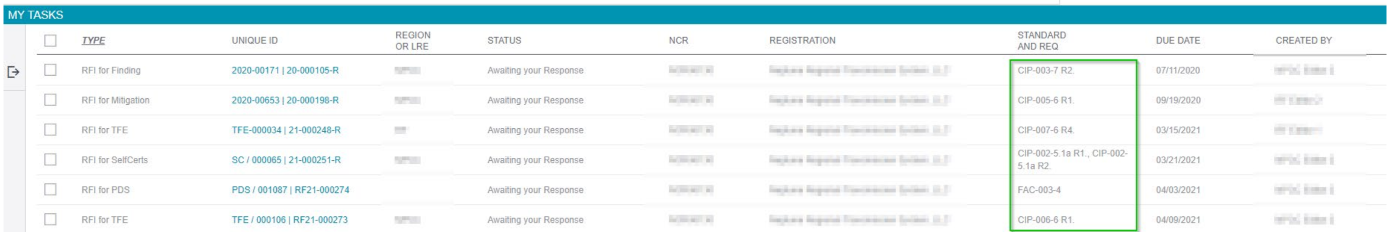
RFI Portlet - Registered Entity view



CEA View – My Align Dashboard

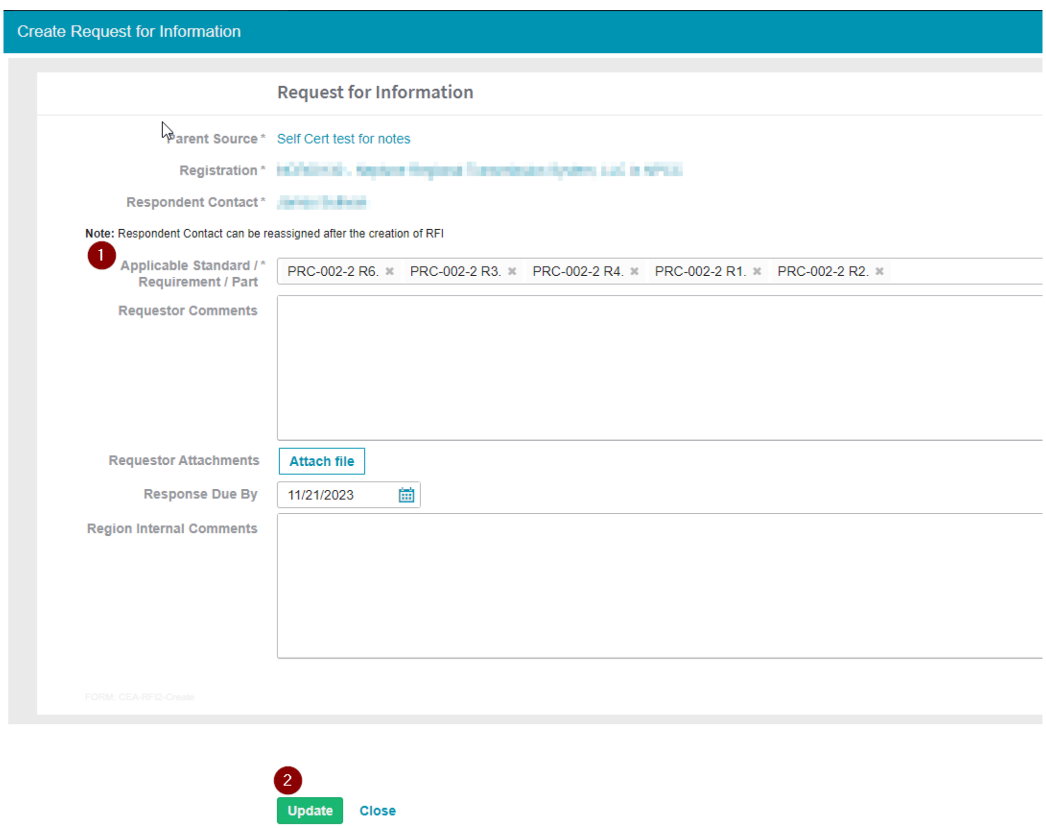


Registered Entity View – My Align Dashboard

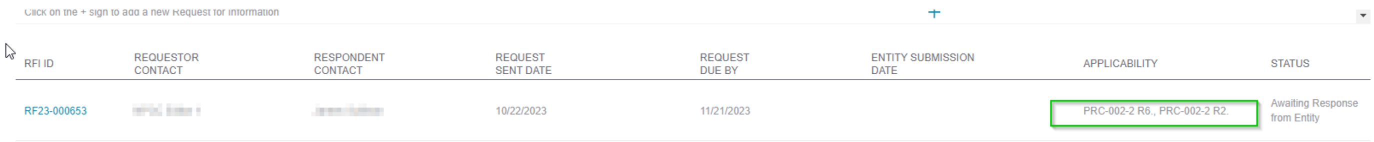


RFI Form, Portlet, and My Align Dashboard for RFIs issued from Self-Certification – – upon creation, the Applicable Standard/Requirement/Part are set based on the source object, which means all Standards/Requirements that are part of the Self-Certification request. The CEA can go in and deselect any 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.

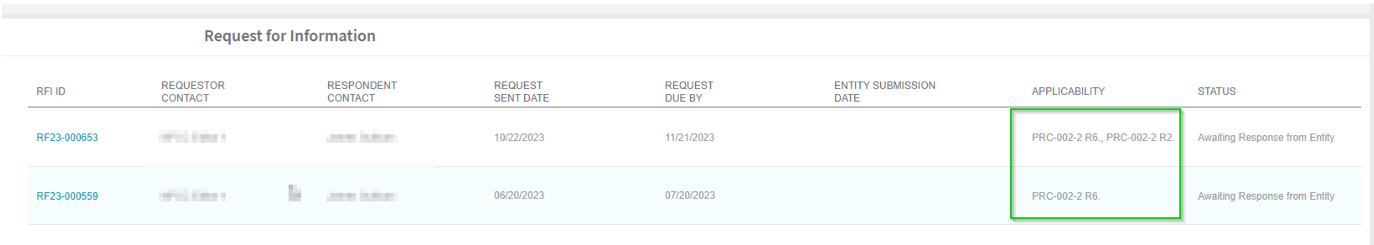
RFI Form



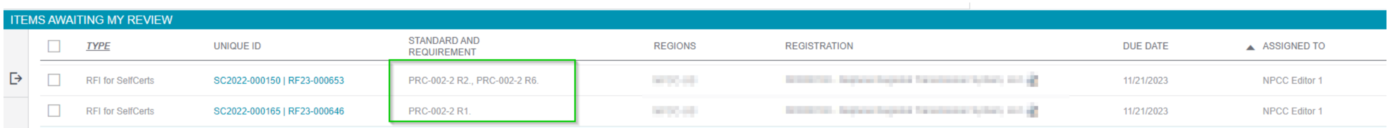
RFI Portlet – CEA view



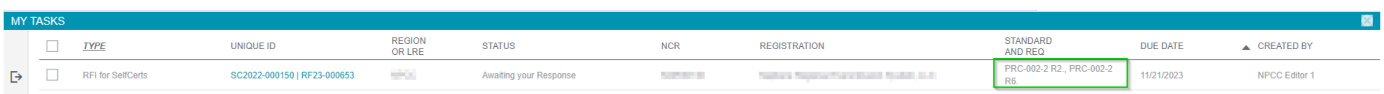
RFI Portlet - Registered Entity view



CEA View – My Align Dashboard



Registered Entity View – My Align Dashboard



*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.*

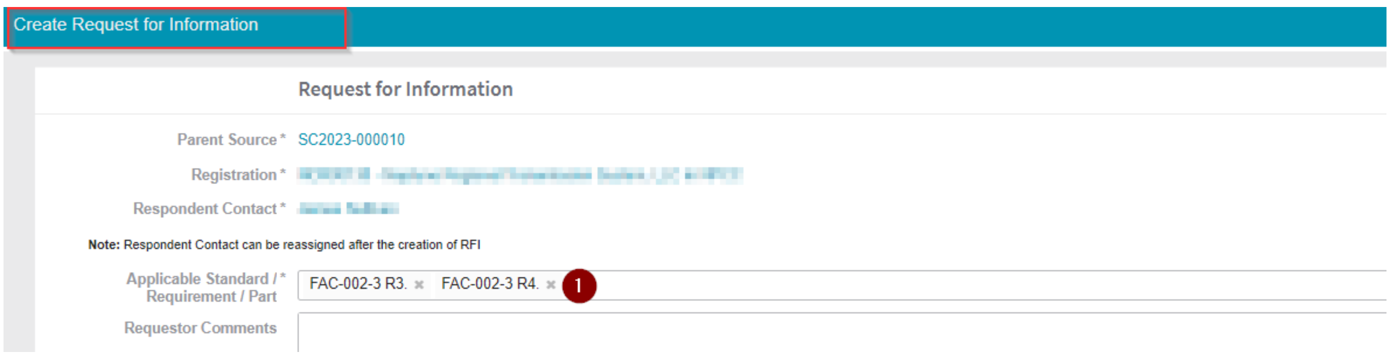
User Story # 20131 (related user story – 13737)

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

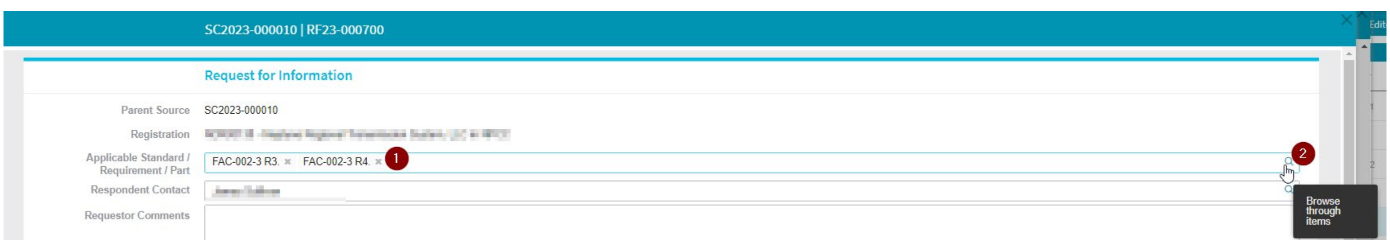
Users Affected: CEA

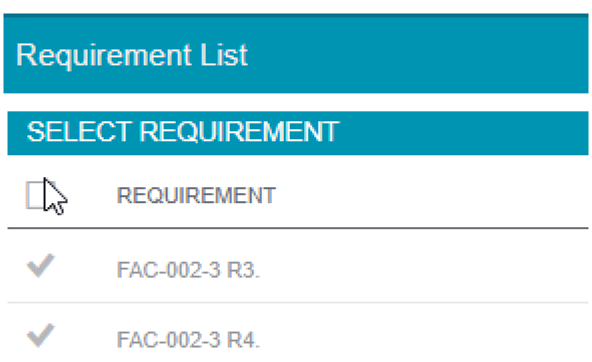
Description of Change: *This is a second user story that builds on the functionality that is part of user story 13737. When a CEA creates an RFI for a Self-Cert, the Applicable Standard/Requirement/Part are set based on the source object, which means all Standards/Requirements that are part of the Self-Certification 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.*

<u>RFI Form -create form automatically includes all in scope, but CEA can “x” out non-applicable</u>



<u>RFI Form -draft form allows the CEA can “x” out non-applicable, or click on magnifying glass to add any that are in scope</u>





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

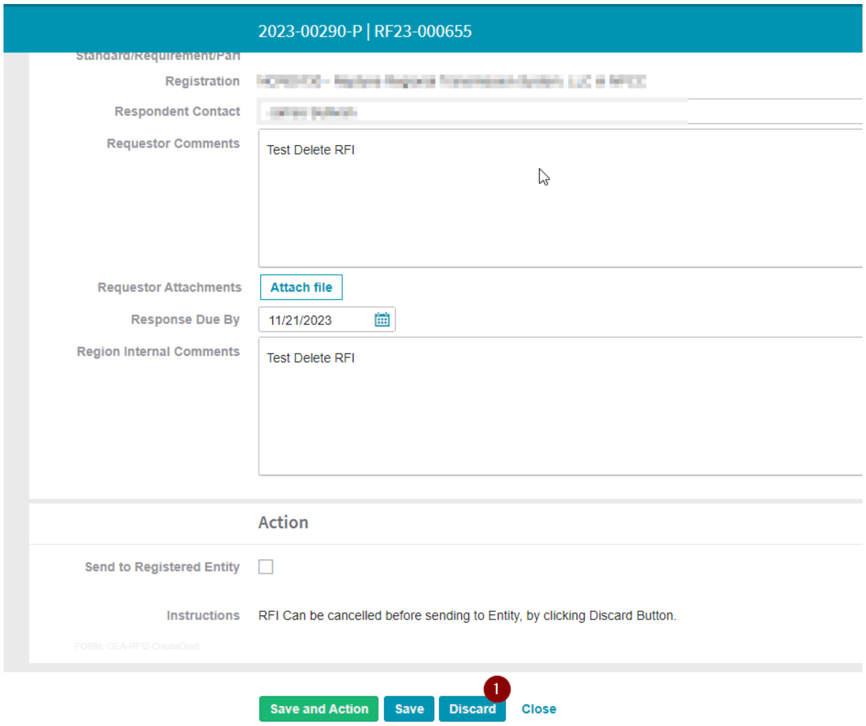
Users Affected: CEA and Registered Entities

Description of Change: *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	[illegible]	[illegible]		11/21/2023		CIP-007-6 R1.	Draft
RF23-000655	[illegible]	[illegible]		11/21/2023		CIP-007-6 R1.	Draft

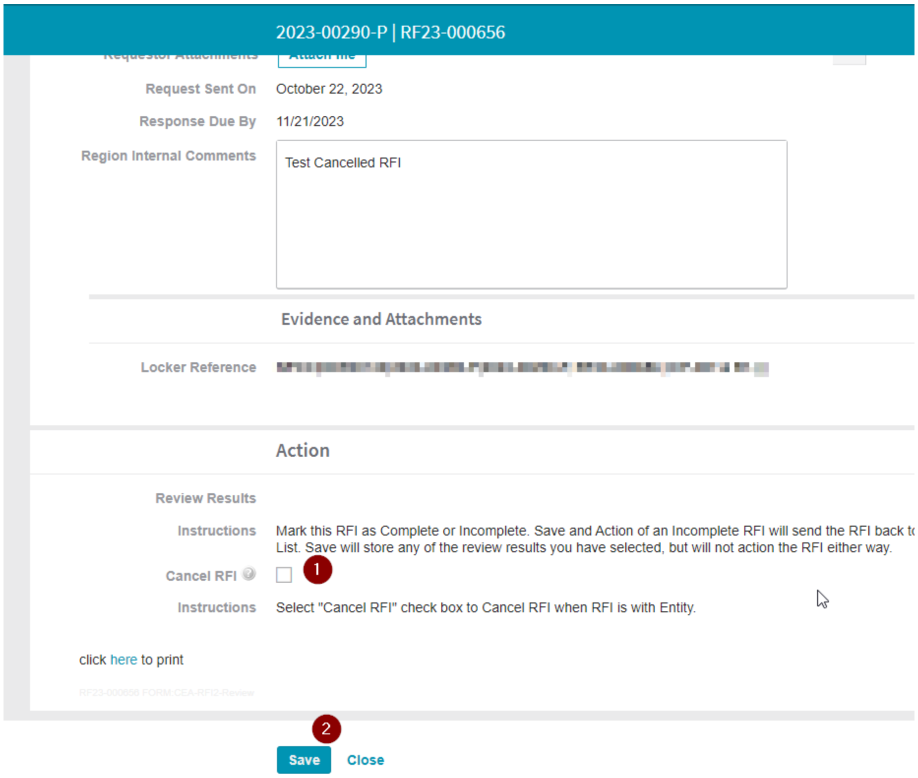
Discard Draft RFI *– to discard a draft RFI, the CEA will open the draft RFI and click on the "Discard" button on the form.*



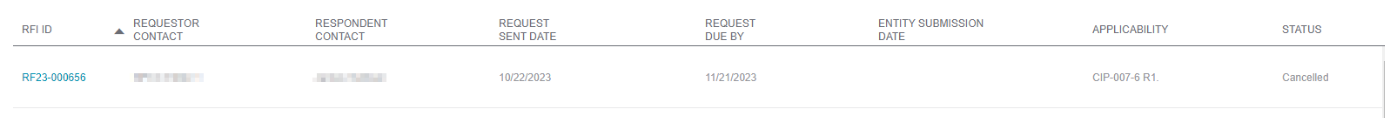
<u>CEA's RFI Portlet after taking action to discard RF23-000655 –</u> *<u>the RFI is removed from the CEA RFI Portlet</u>*

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.	Awaiting Response from Entity
RF23-000652			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.*



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	[redacted]	[redacted]	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	[redacted]	[redacted]	10/22/2023	11/21/2023		CIP-007-6 R1.	Cancelled

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 ability to discard a draft and cancel an RFI that was created in error.*

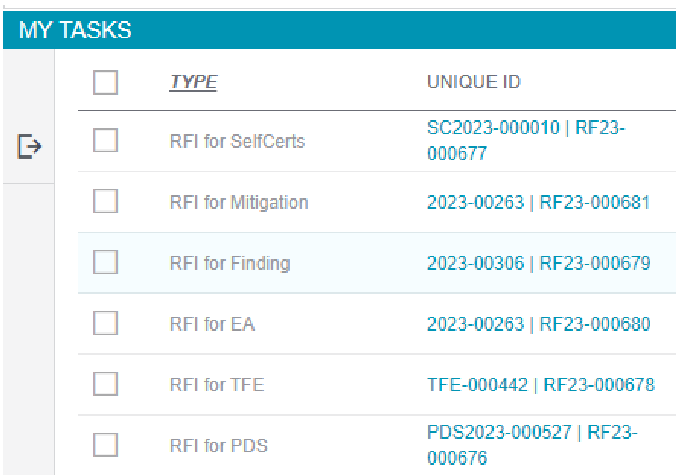
User Story # 14807 (related user story 10281)

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

Users Affected: CEA and Registered Entities

Description of Change: *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.*

Screenshot showing the Unique ID updates for RFIs



*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 with new screenshots. The My Align dashboard screenshots need to be updated to see the new Unique ID columns.*

User Story # 15334

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

Users Affected: CEA

Description of Change: 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.

Training Materials Modified: ***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.*

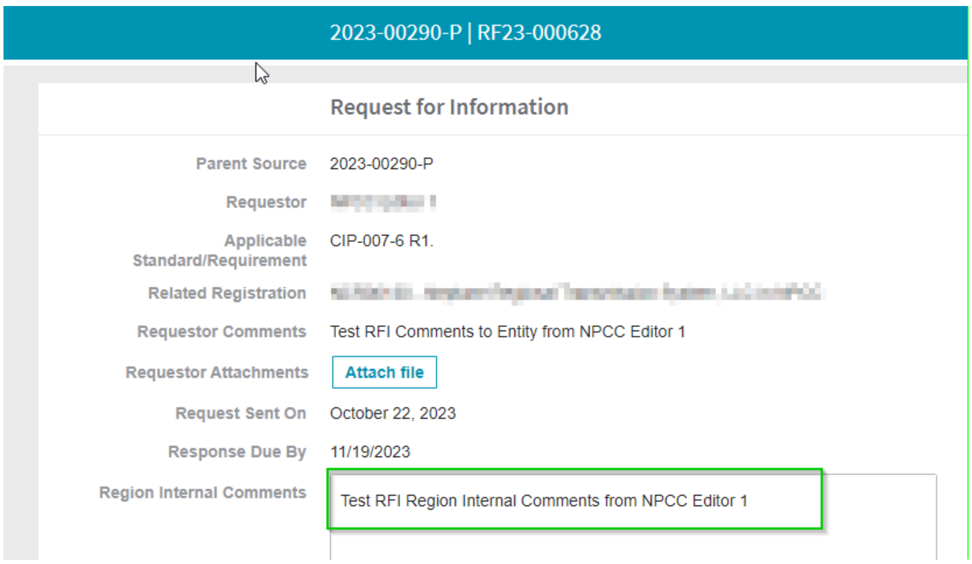
User Story # 16809 (related user story 13734, 11326)

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

Users Affected: CEA and Registered Entities

Description of Change: *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



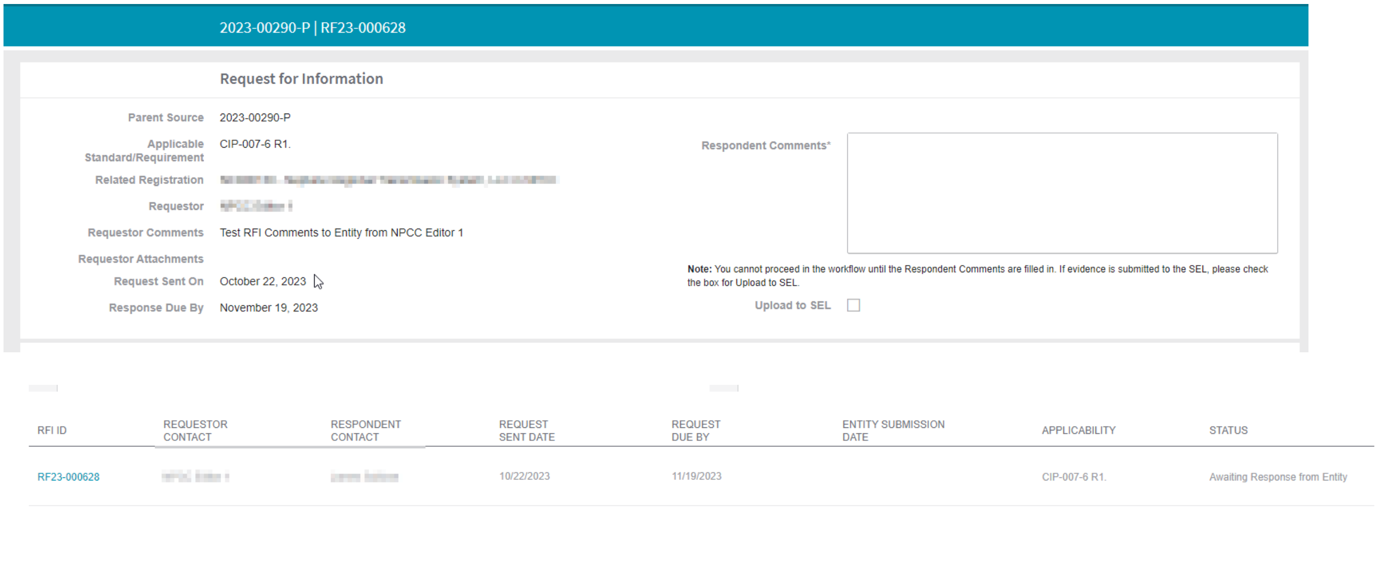
2023-00290-P | RF23-000628

Request for Information

Parent Source	2023-00290-P
Requestor	
Applicable Standard/Requirement	CIP-007-6 R1.
Related Registration	
Requestor Comments	Test RFI Comments to Entity from NPCC Editor 1
Requestor Attachments	Attach file
Request Sent On	October 22, 2023
Response Due By	11/19/2023
Region Internal Comments	Test RFI Region Internal Comments from NPCC Editor 1

RFI ID	REQUESTOR CONTACT	RESPONDENT CONTACT	REQUEST SENT DATE	REQUEST DUE BY	ENTITY SUBMISSION DATE	APPLICABILITY	STATUS
RF23-000628	NPCC Editor 1	James Sullivan	10/22/2023	11/19/2023		CIP-007-6 R1.	Awaiting Response from Entity
RF23-000629	NPCC Editor 1	James Sullivan		11/21/2023		CIP-007-6 R1.	Draft
RF23-000630	NPCC Editor 1	James Sullivan		11/21/2023		CIP-007-6 R1.	Draft

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



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

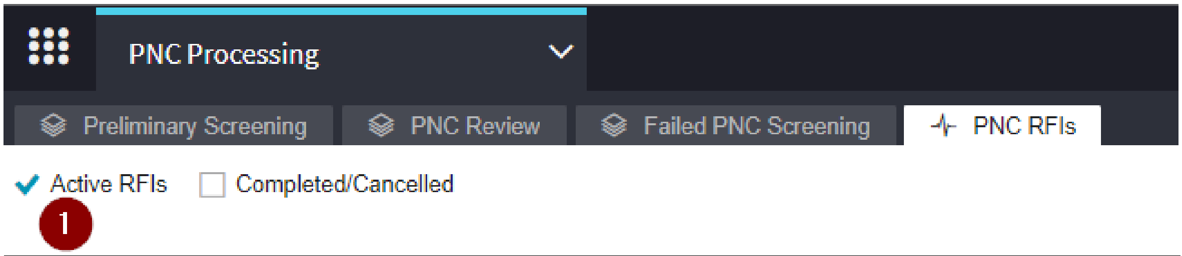
User Story # 17776 (related user story 10409)

<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

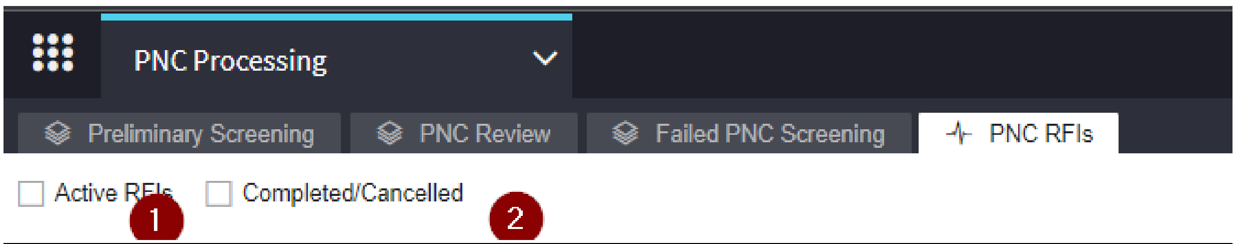
<u>Users Affected</u>: CEA and Registered Entities

<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

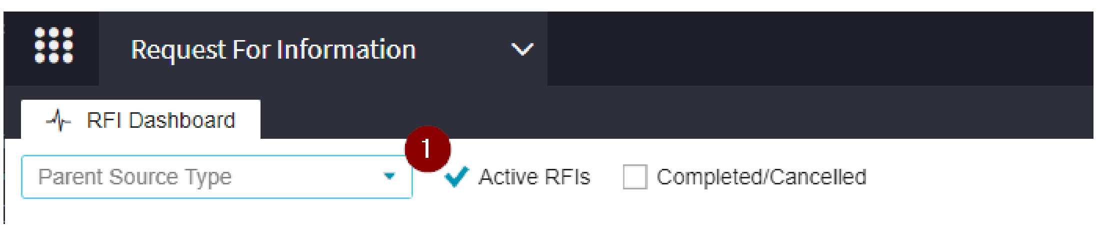


CEA View –user can select or deselect the "Active RFIs" and "Completed/Cancelled" checkboxes based on which RFIs the user wants to view

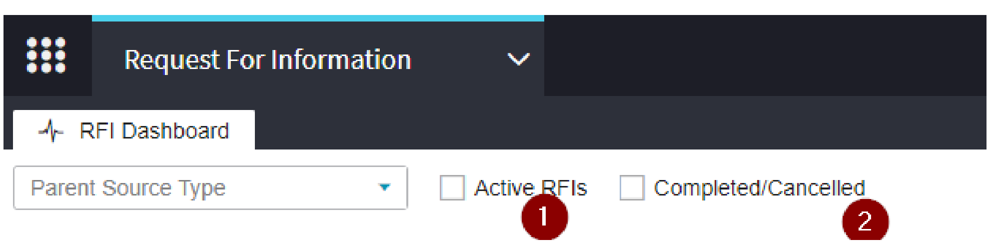


Registered Entity View of RFIs *– the Registered Entity view has a new "Request For Information" module that shows all RFIs issued from the PNC, EA, Mitigation, PDS, Self-Cert, or TFE modules (see user story 10409). The Audit/Spot Check module RFIs are not currently on this tab.*

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



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

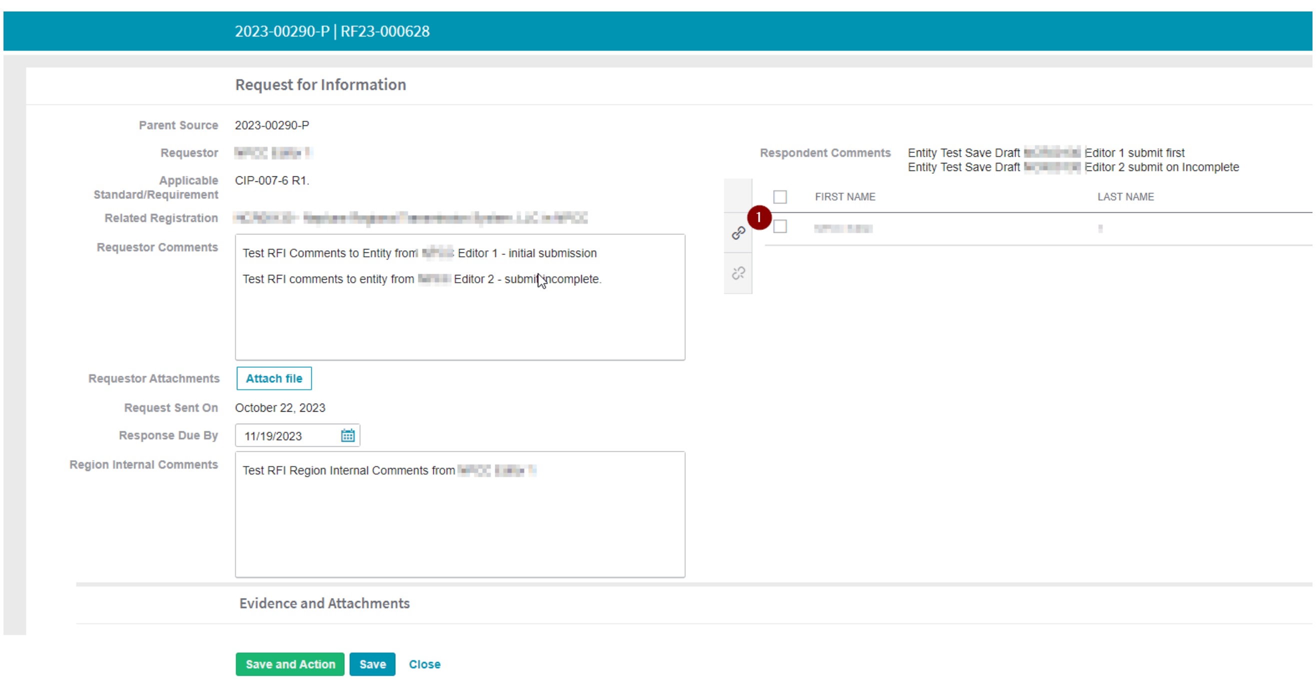


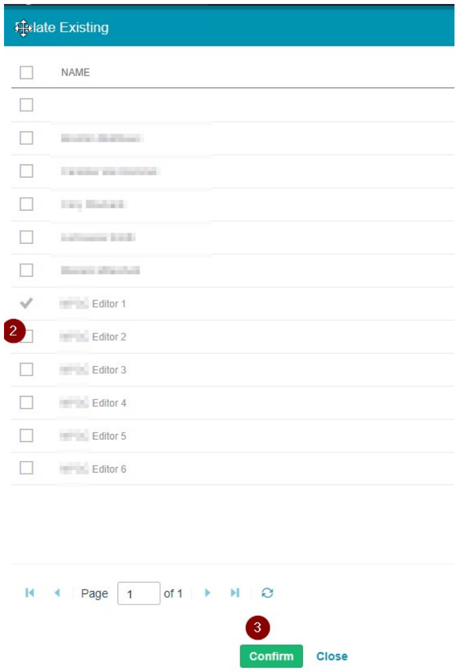
Training Materials Modified: ***Registered Entity User Guides for Release 1***, *"Responding to an RFI",* ***Registered Entities User Guide for Release 2***, *"Periodic Data Submittals (RFIs)",* ***CEA User Guide for Release 1***, *"PNC Review (Requests for Information)" and* ***CEA User Guide for Release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

Description of Change: *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.*





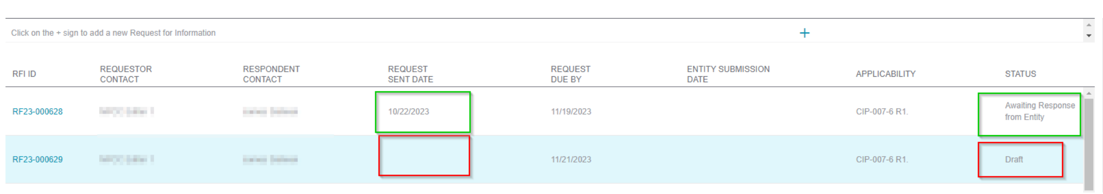
<u>*Training Materials Modified:*</u> ***CEA User Guide for Release 1****, "PNC Review (Requests for Information)" and* ***CEA User Guide for Release 2****, "Reviewing a PDS (RFIs)" pages need to be updated to show the ability to edit by specified CEA Editor roles.*

User Story #19159

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

<u>Users Affected</u>: 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.



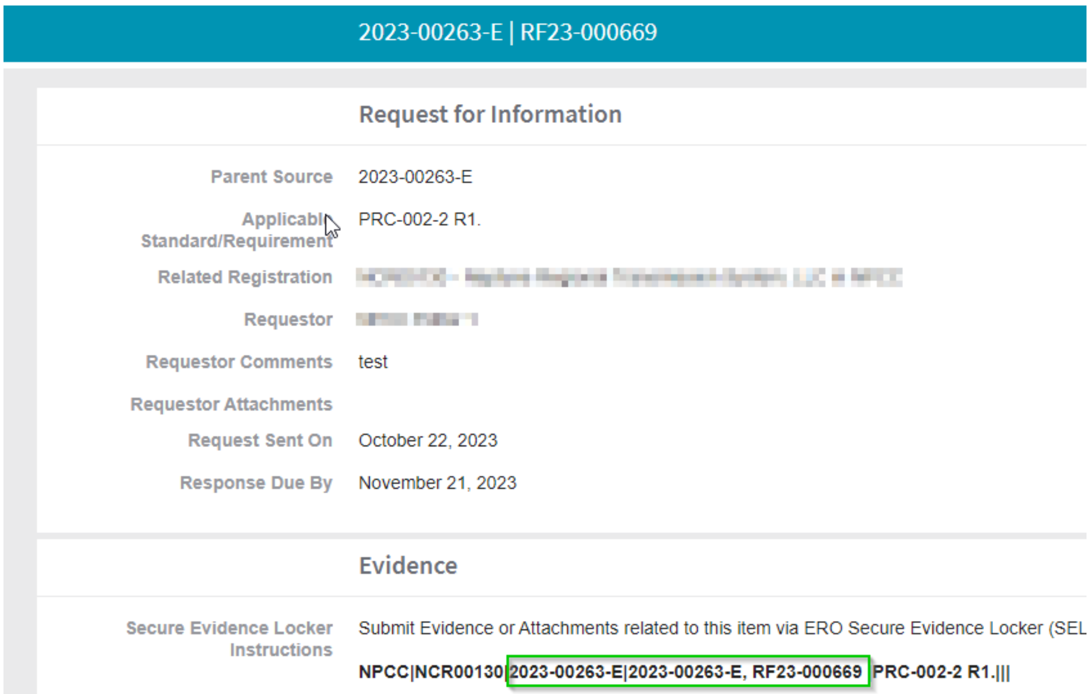
<u>Training Materials Modified</u>: *N/A, no changes to training materials.*

User Story #19351

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

Users Affected: CEA and Registered Entities

Description of Change: 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

Parent Source: 2023-00263-E

Applicable Standard/Requirement: PRC-002-2 R1.

Related Registration:

Requestor:

Requestor Comments: test

Requestor Attachments:

Request Sent On: October 22, 2023

Response Due By: November 21, 2023

Evidence

Secure Evidence Locker Instructions: Submit Evidence or Attachments related to this item via ERO Secure Evidence Locker (SEL

NPCC|NCR00130|2023-00263-E|2023-00263-E, RF23-000669 |PRC-002-2 R1.|||

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

Multiple Modules – Print Functionality

User Story # 17915
Description of Issue: 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

Description of Change: *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*

Training Materials Modified: 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

Description of Issue: 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).*

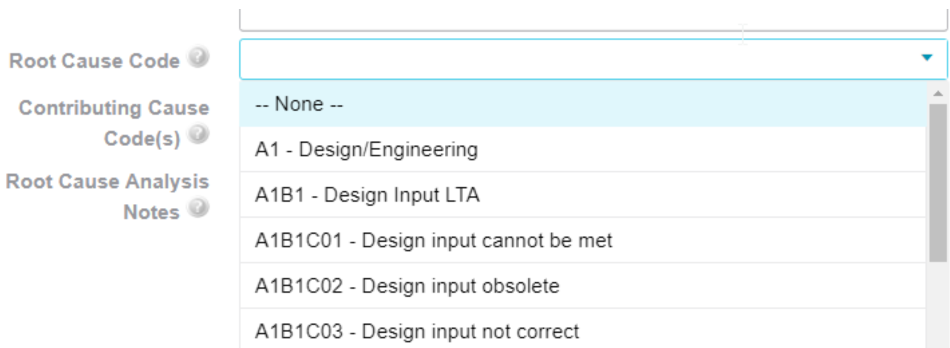


Image 1

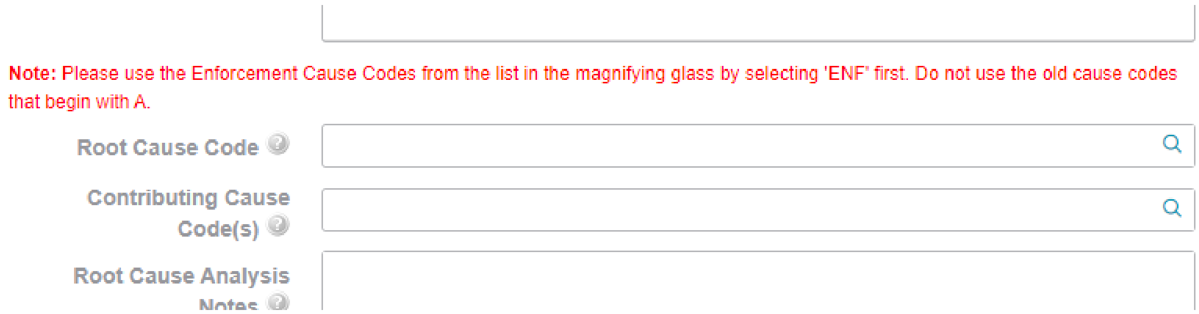


Image 2

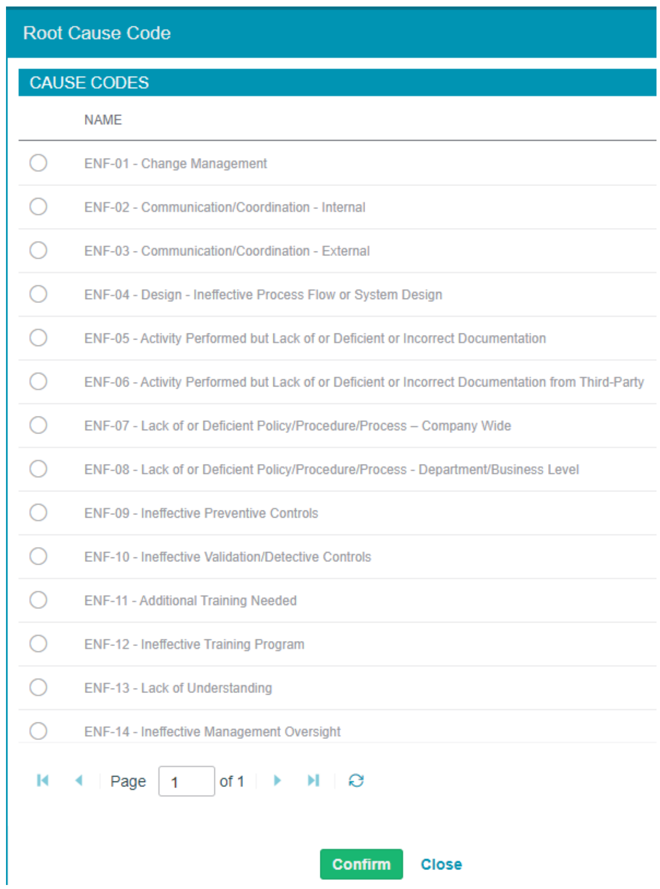


Image 3

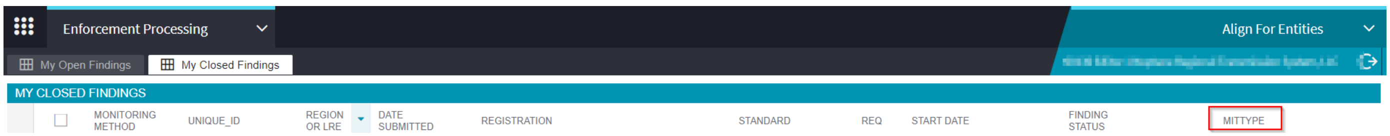
Training Materials Modified: ***CEA User Guide for Release 1****, "PNC Review (Root Cause Analysis)" needs to show the ability to select from a list of Cause Codes developed by the ERO Event Analysis Program.*

User Story # 19649
Description of Issue: Entity - Enforcement Processing - My Closed Findings - Column displays MITTYPE

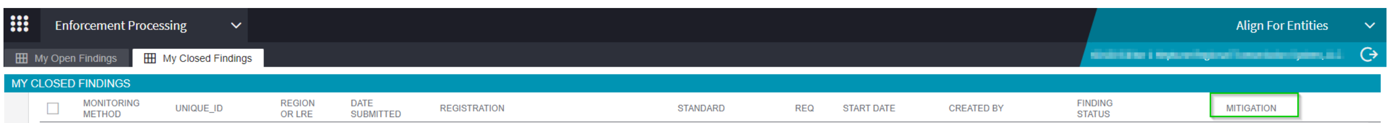
Users Affected: Registered Entity

Description of Change: *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



Updated Column Name



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

User Story # 11430
Description of Issue: Need to ensure Canadian filings do not appear on the FERC Filings dashboard

Users Affected: NERC

Description of Change: *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.*

Training Materials Modified: *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

Description of Change: *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.*

Training Materials Modified: *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

Description of Change: *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.*

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

Self Reports and Logs Module and Mitigation Management Module

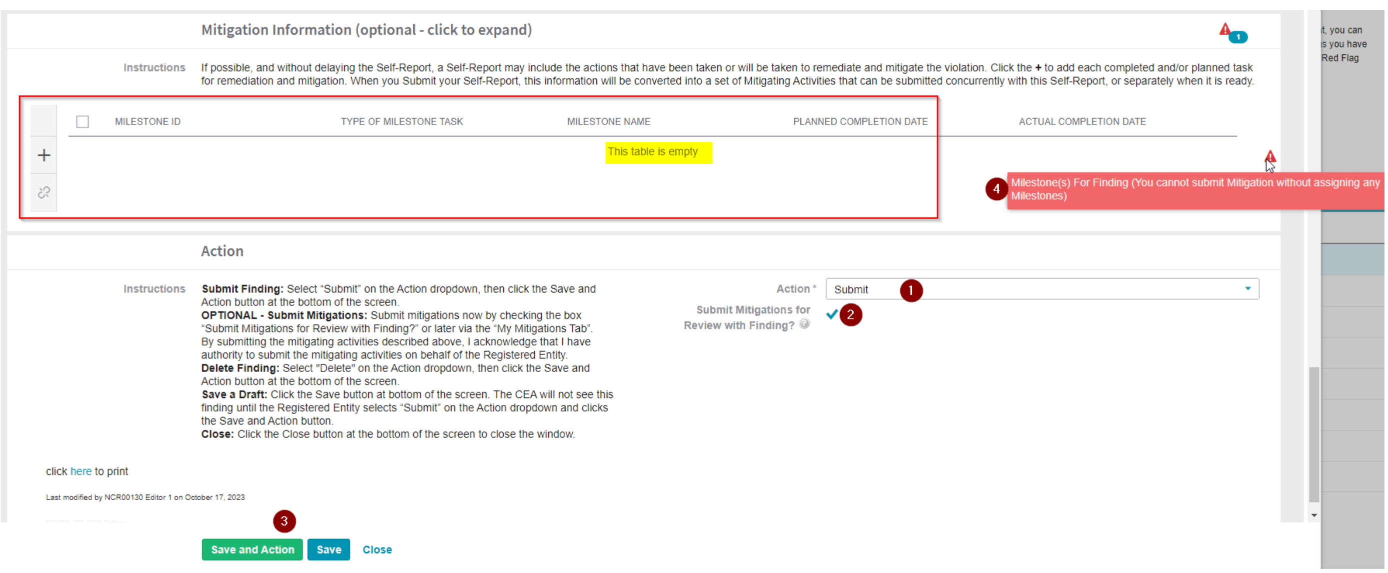
User Story # 12989

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

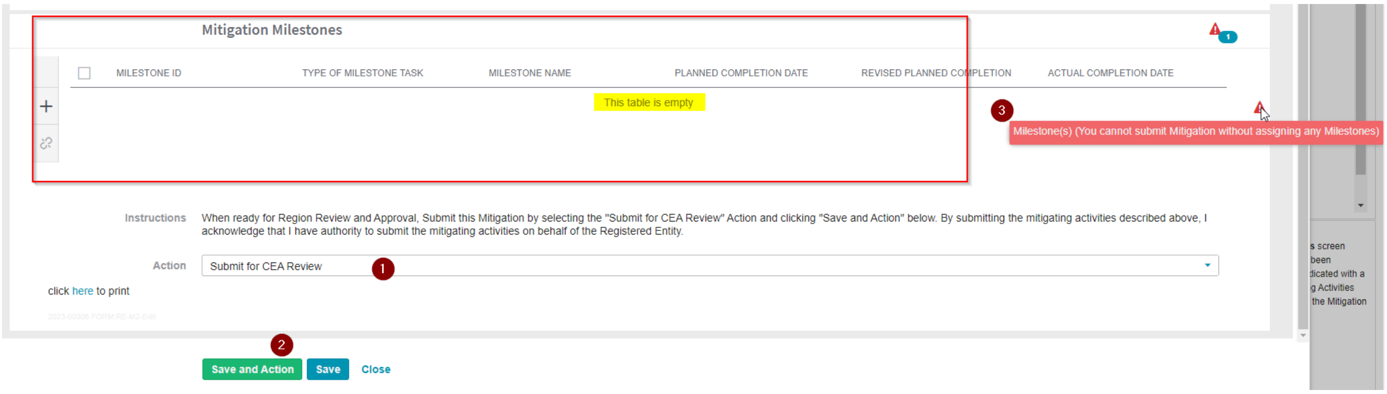
Users Affected: Registered Entity

Description of Change: *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).



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).



Training Materials Modified: ***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

Description of Change: *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.*

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

User Story # 11383

Description of Issue: 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

Description of Change: *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."

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

Inherent Risk Assessment (IRA) Module

User Story # 16627

Description of Issue: 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

Description of Change: 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	BA	+
CIP – External Electronic Communication		
CIP - Impact Rating Criteria	BA, TOP, TO, RC, GOP, DP, GO	+
CIP – Monitor and Control Capability		
Critical Transmission	BA, TOP, TO, RC, PCPA, TP	+

Training Materials Modified: 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

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

Users Affected: CEA, Registered Entities

Description of Change: 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

Description of Issue: 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

Description of Change: 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.

Training Materials Modified: 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

Description of Change: 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.

Training Materials Modified: 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

Description of Issue: 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

Description of Change: 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

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

Users Affected: CEA, Registered Entities

Description of Change: 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.

Training Materials Modified: *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

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

Users Affected: CEA

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

Training Materials Modified: *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

Description of Change: 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

Description of Change: 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.

Training Materials Modified: *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

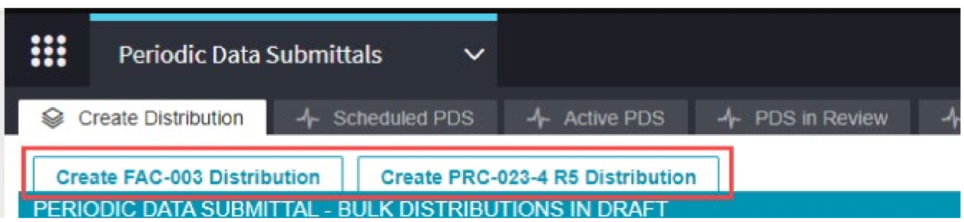
User Story # 17752, 18071

Description of Issue: PDS Create Distribution Tab change

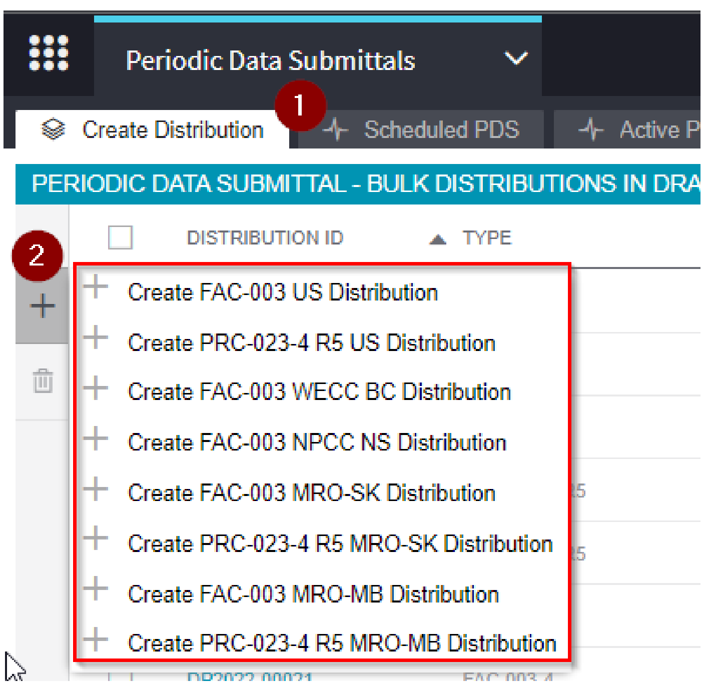
Users Affected: CEA

Description of Change: *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



New View



Training Materials Modified: *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 ERO Communication Plan for Align and SEL 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

Description of Change: *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.*

Training Materials Modified: *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

Description of Change: 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.

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

User Story # 20104

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

Users Affected: CEA

Description of Change: *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

	TYPE	UNIQUE ID
☐	RFE for SelfCerts	7/8 test RFE-000051
☐	RFE for PDS	PRC-023 test 1 RFE-000054

Updated Unique ID for RFEs

ITEMS AWAITING MY REVIEW

	TYPE	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

Training Materials Modified: ***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

Description of Change: 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.

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

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Audits and Spot Checks Module

User Story # 17678

Description of Issue: Adjust formula for Audit email trigger

Users Affected: Outside Observers

Description of Change: 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.

Training Materials Modified: *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

Description of Change: 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.

Training Materials Modified: *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)

Description of Change: 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.

Training Materials Modified: *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) Module	IRA / COP when object is reverted back Complete status 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 for Information Functionality	RFI/SELF-CERT: Include Standard and Requirement on SC RFIs, including on the SEL Reference ID within the RFI -- PARENT STORY
13734	Multiple Modules – Request for Information Functionality	RFI PDS - Add text box for internal comments or notes for the Regions
17776	Multiple Modules – Request for Information Functionality	RFI - On RFI dashboards/tabs that have been added to Entity and Region solutions, provide ability to filter or possibly remove Completed RFIs
19145	Multiple Modules – Request for Information Functionality	916b - REGION: Allow RFIs to be edited by specified CEA Editor roles
7694	Multiple Modules – Request for Information Functionality	916 - 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.
7613	Multiple Modules – Request for Information Functionality	680 - RFI - 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.
10281	Multiple Modules – Request for Information Functionality	RFI - Create a cross-reference ID field from RFI My Align dashboard tasks to their associated objects (PDS, Self-Certs, TFEs)
10405	Multiple Modules – Request for Information Functionality	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
10698	Multiple Modules – Request for Information Functionality	TFE/RFI form should refer to "Original Source" (i.e. TFE ID) instead of "Original Finding"
14807	Multiple Modules – Request for Information Functionality	RFI - Release 2 RFIs reference "Original Finding" when viewed from the My Align Dashboard
20131	Multiple Modules – Request for Information Functionality	RFIs created from Self-Certs should have a filtered requirement picklist based on parent Self-Cert
10406	Multiple Modules – Request for Information Functionality	RFI should not allow the entity to submit without comments (R1 and R2 RFIs only)
11383	Self Reports and Logs Module and Mitigation Management Module	On Mitigation Milestone section, add instructions to entity that once all milestones have been completed, they should submit 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