FORWARD TOGETHER RELIABILITYFIRST

REGISTERED ENTITY ALIGN TRAINING

ALIGN/SEL REFRESHER AND IRA/ENTITY QUESTIONNAIRE

July 2024





ANTITRUST COMPLIANCE GUIDELINES

It is the policy of ReliabilityFirst to obey the antitrust laws and to avoid all conduct that unreasonably restrains competition. It is the responsibility of every ReliabilityFirst participant to adhere to ReliabilityFirst's Antitrust Compliance Guidelines, a copy of which is available on ReliabilityFirst's website. If there are any questions, please contact me.

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TRAINING AGENDA

- REVIEW ALIGN AND ERO SECURE EVIDENCE LOCKER (SEL)
- ALIGN ACCESS AND ROLES
  - ERO Portal Account Access
  - Align USER Access
  - Align Permission Roles
- ERO SEL FUNCTIONALITY
- NERC HELP DESK TICKETS
- ALIGN IRA PROCESS
  - RFQ/ERPQ
- TRAINING RESOURCES

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REVIEW ALIGN AND ERO SECURE EVIDENCE LOCKER (SEL)





WHAT IS ALIGN

Align is a system which moves all ERO compliance monitoring and enforcement business processes to a common standardized platform, resulting in a consistent application of the ERO Enterprise CMEP and a more secure method of managing and storing CMEP evidence and data

The objectives and benefits of the Align Project are:

- Single, common portal for registered entities, enabling consistency of experience
- Real-time access to information, eliminating delays and manual communications
- Improved capability to support the Risk-Based Compliance Oversight Framework
- Enhanced quality assurance and oversight, enabling consistent application of the CMEP
- Improved analytics, including visibility into compliance and reliability risks
- Increased capability to implement audit best practices and processes (planning, fieldwork, reporting, quality assurance)
- Standardization and implementation of common business processes and workflows, enabling increased productivity

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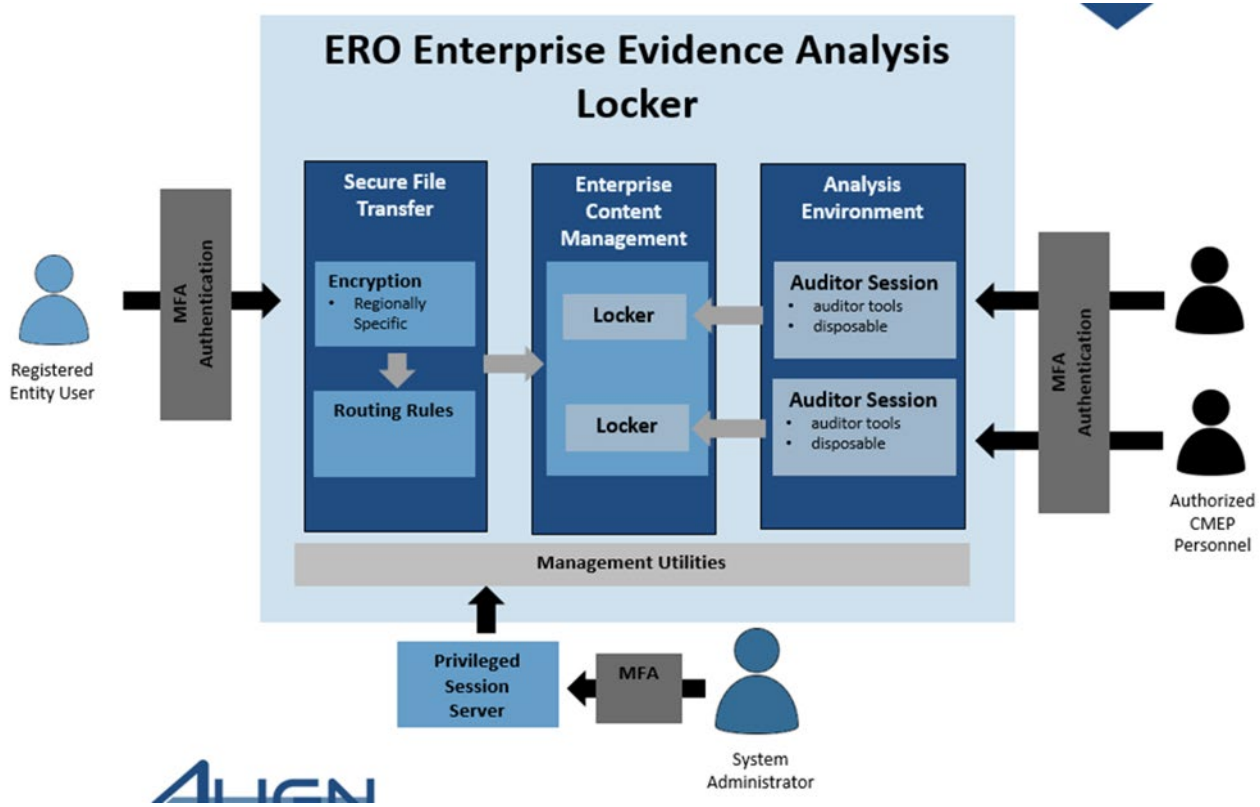
WHAT IS THE ERO SECURE EVIDENCE LOCKER (SEL)

HIGHLY SECURE, ISOLATED, ON-PREMISES ENVIRONMENTS

- Collect and protect evidence
- Enable submission by authorized and authenticated entity users
- Provide compartmentalized analysis of evidence in temporary, isolated, disposable environments
- Does not interface with any other systems

EVIDENCE IN THESE ENVIRONMENTS IS:

- Encrypted immediately upon submission
- Securely isolated per entity
- Never extracted
- Never backed up
- Subject to proactive and disciplined destruction policy



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ALIGN ACCESS AND ROLES



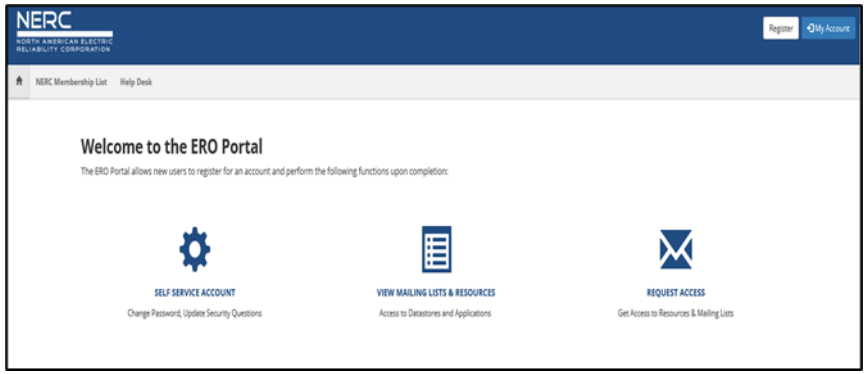


ERO PORTAL ACCESS

All users MUST have an ERO Portal Account

(Registered Entities User Access Guide)

Set-up ERO Portal Account:



- ✓ Navigate to https://eroportal.nerc.net
- ✓ Select “Register” in upper right-hand corner
- ✓ Complete the registration form and click “Submit”

➢ Verify ERO Portal Account:

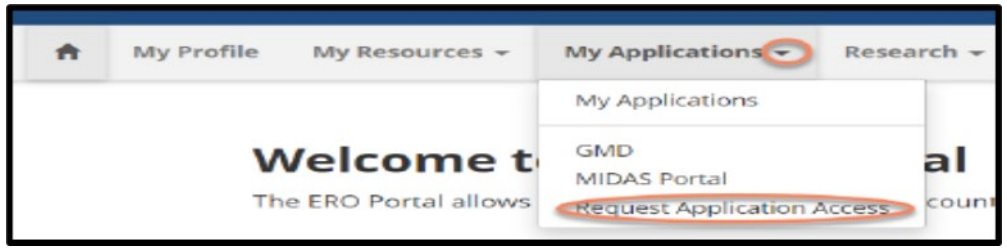
- ✓ Navigate to https://eroportal.nerc.net
- ✓ Select “Sign In” in the upper left hand corner
- ✓ Enter your credentials to confirm access to ERO Portal

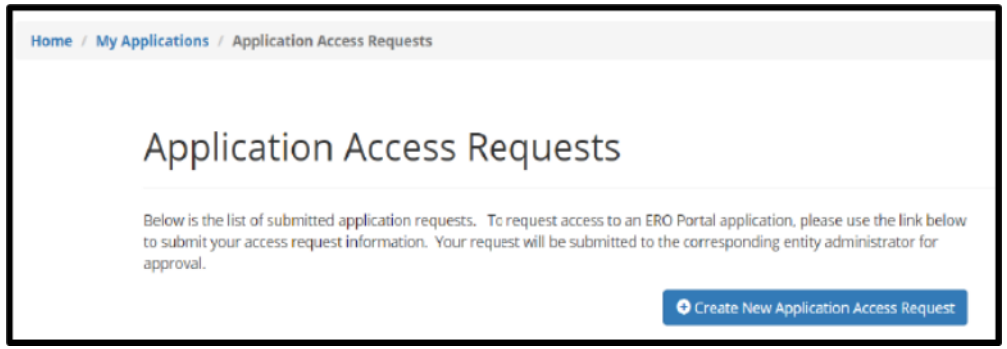
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ACCESS TO ALIGN

Access to Align

- All Align users MUST have an ERO Portal Account
  - ✓ERO Portal Registration (pgs. 4-8,15-18)
  - ✓Multi-Factor Authentication set-up is required for ERO Portal Account (pgs. 9-14)
  - ✓ERO Portal login process (pgs. 19-24)
  - ✓Requesting access to Align (pgs. 25-31)
  - ✓Approving access Requests (pgs. 32-34)





Reference – Registered Entity User Access Guide

ALIGN ACCOUNT ACCESS ROLES

PCC grants Account Access Permissions

- **Account Access Levels**
  - Align Registered Entity Reader

    Reader can log into Align and see everything for their registered entity, but cannot make changes.
  - Align Registered Entity Editor

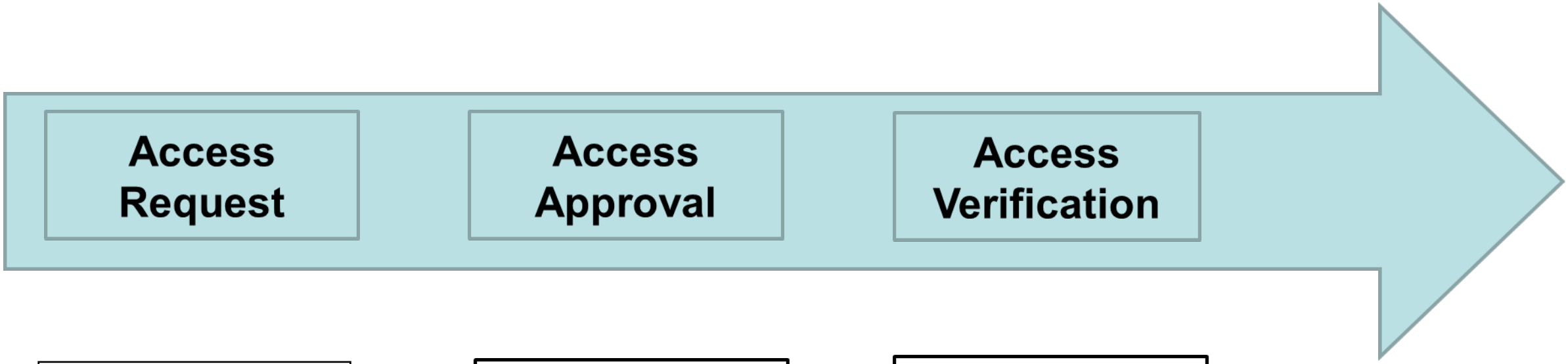
    Editor can log into Align, see everything for their registered entity and make changes, but cannot submit anything to the CEA for review or processing.
  - Align Registered Entity Submitter

    Submitter can log into Align, see everything for their registered entity, make changes, and submit items to the CEA for review or processing.

    - PCCs will have Align Submitter Role at Go-Live.

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ALIGN ACCOUNT ACCESS



Registered Entity **user requests access** level to Align

Registered Entity **PCC reviews and approves or rejects** access request IN ERO Portal

Registered Entity **user verifies access**. **Note**: Access changes take effect the next day.

NOTE; Submitter Access changes may take up to 24 hours to be effective

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ERO SEL FUNCTIONALITY

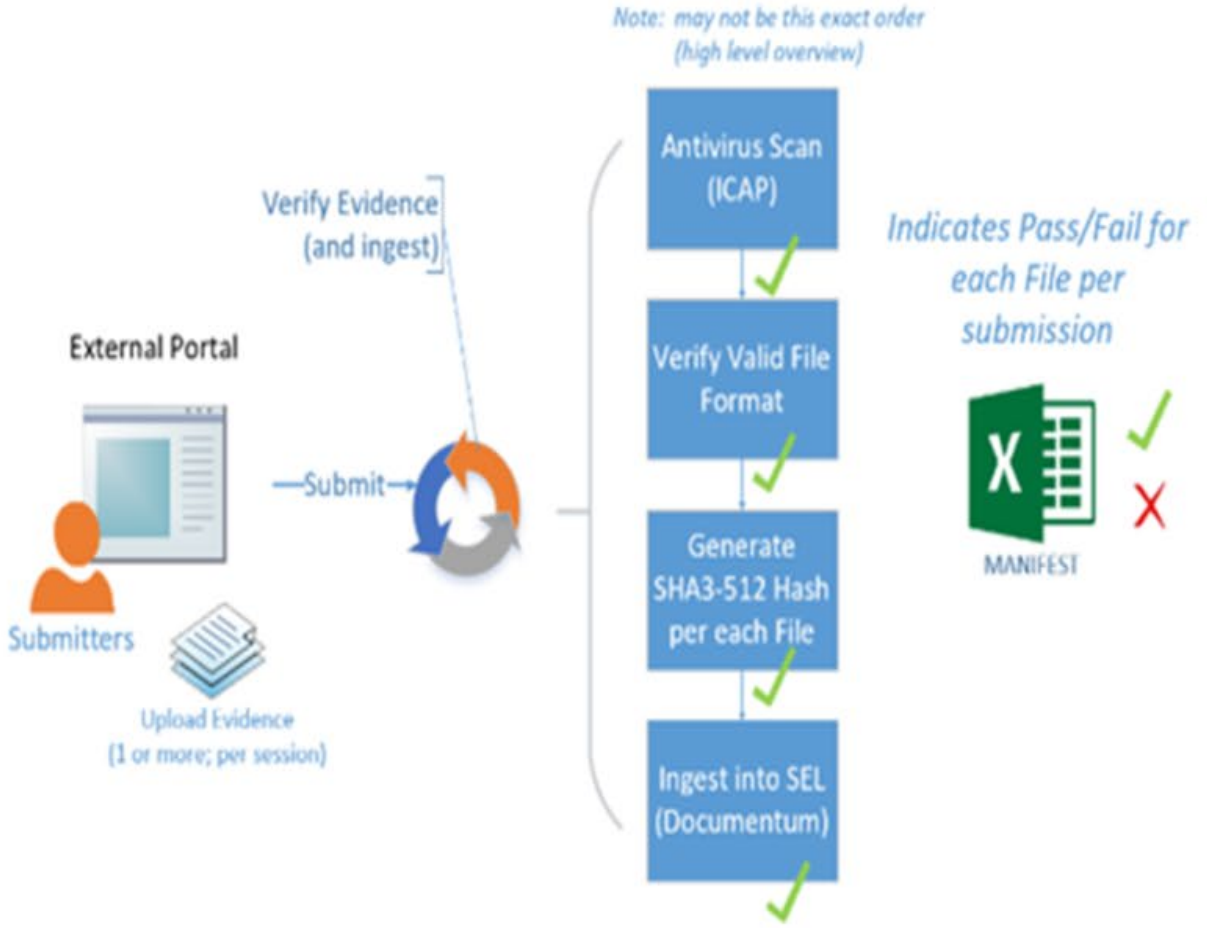
ALIGN

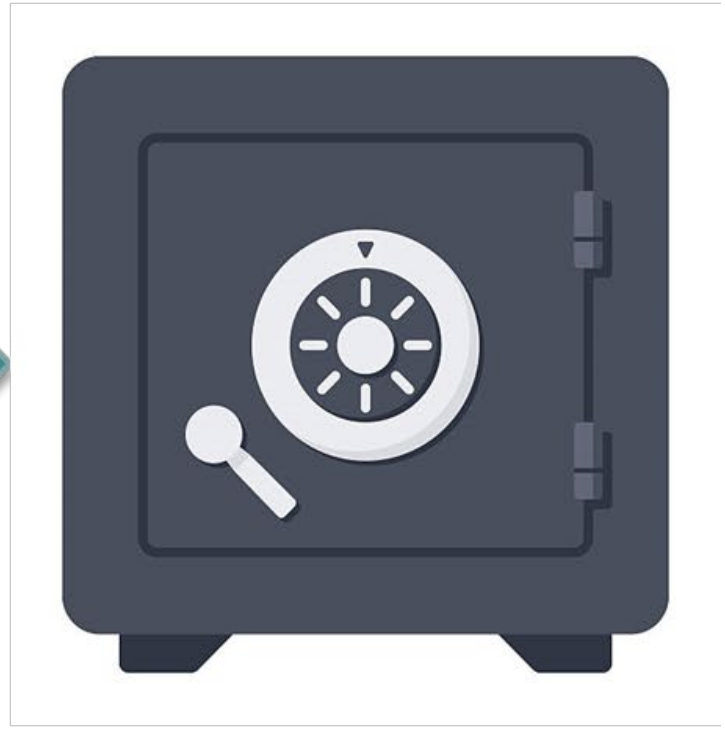
RELIABILITY FIRST

ERO SECURE EVIDENCE LOCKER PORTAL

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From Portal to Secure Evidence Locker (High Level Overview)





ERO SECURE EVIDENCE LOCKER ACCESS

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Google Chrome or Microsoft Edge are the preferred browsers.

Internet Explorer is NOT supported!

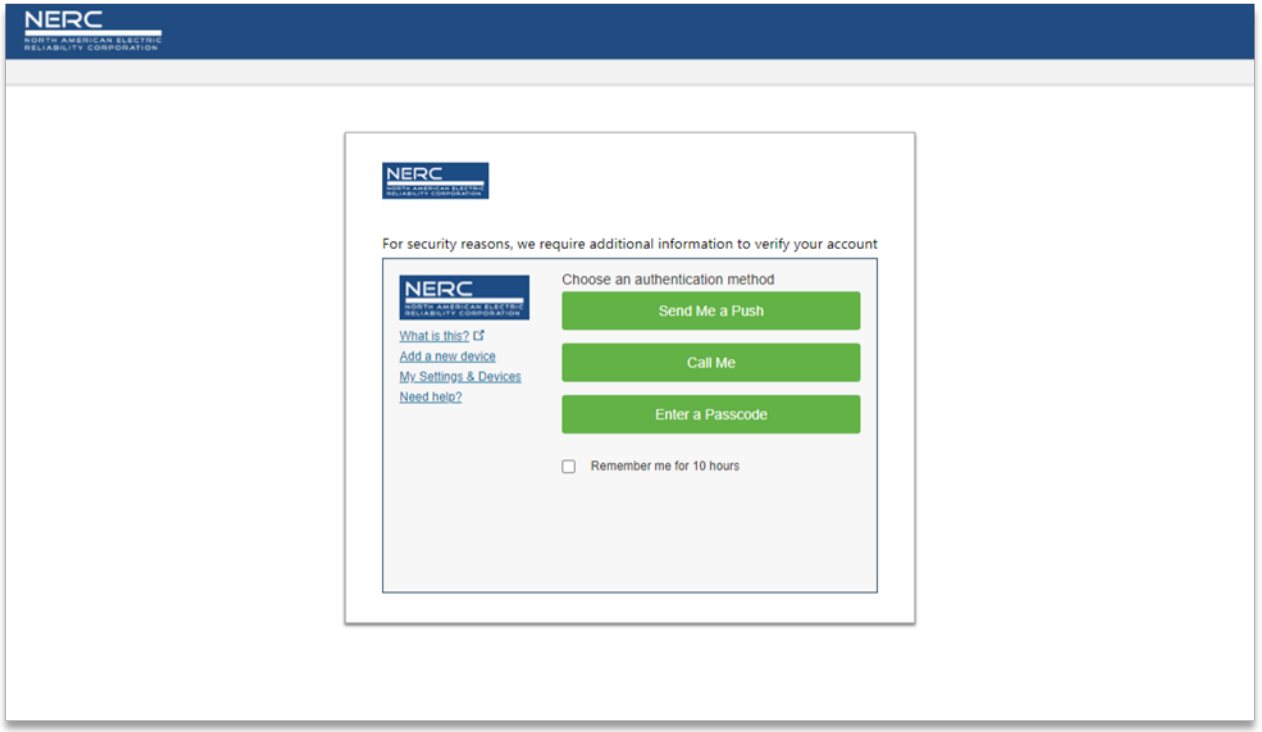
ERO SECURE EVIDENCE LOCKER WALKTHROUGH





SEL Submission Portal:
https://eus.eroenterprise.com/nerc-infrastructure/

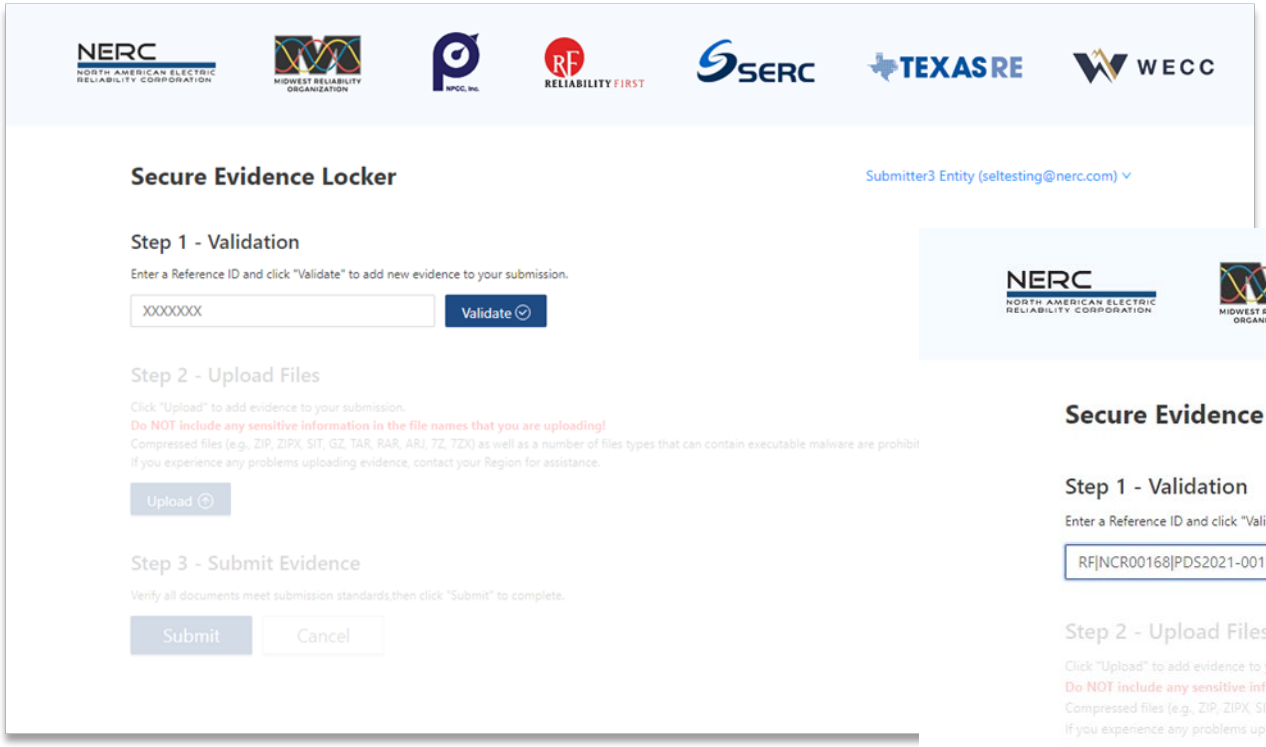
ERO SECURE EVIDENCE LOCKER WALKTHROUGH

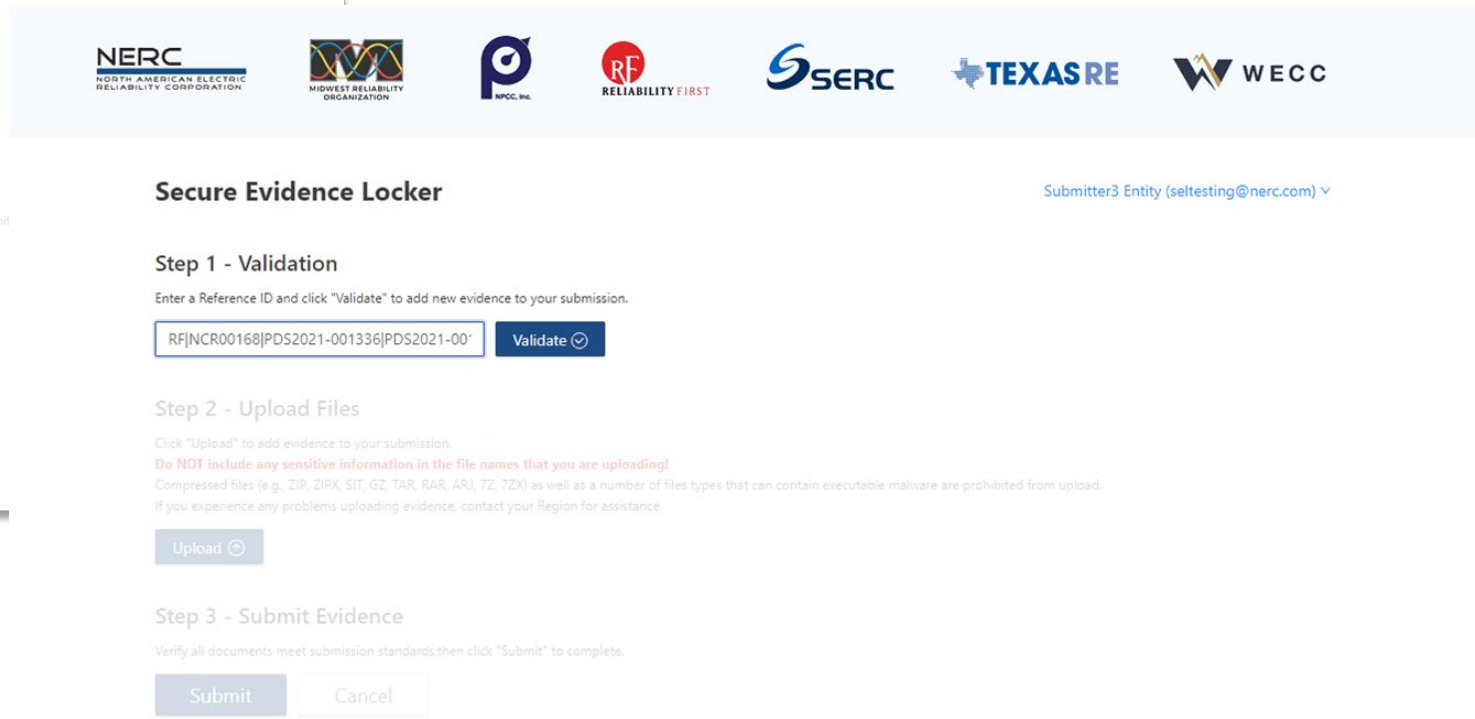


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ERO SECURE EVIDENCE LOCKER WALKTHROUGH

Reference ID: RF|NCR00168|PDS2021-001336|PDS2021-001336|FAC-003-4||





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ERO SECURE EVIDENCE LOCKER WALKTHROUGH

Secure Evidence Locker

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



Secure Evidence Locker

Step 1 - Validation

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

RF|NCR00168|PDS2021-001336|P021-0013... Validate

Invalid Reference ID

The Reference ID you entered is invalid.

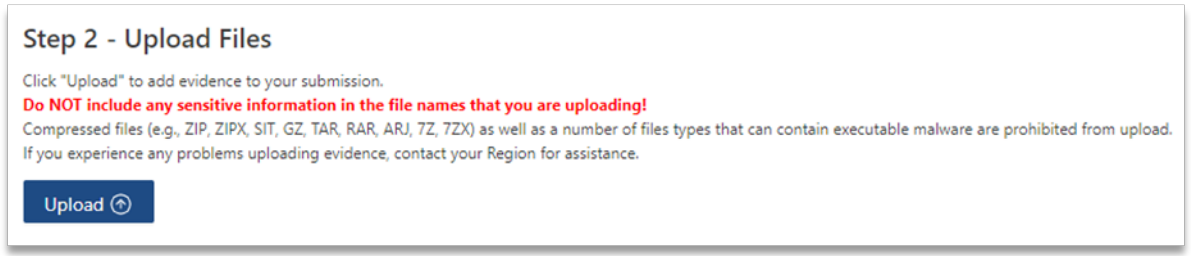
Please find a valid Reference ID and try again.

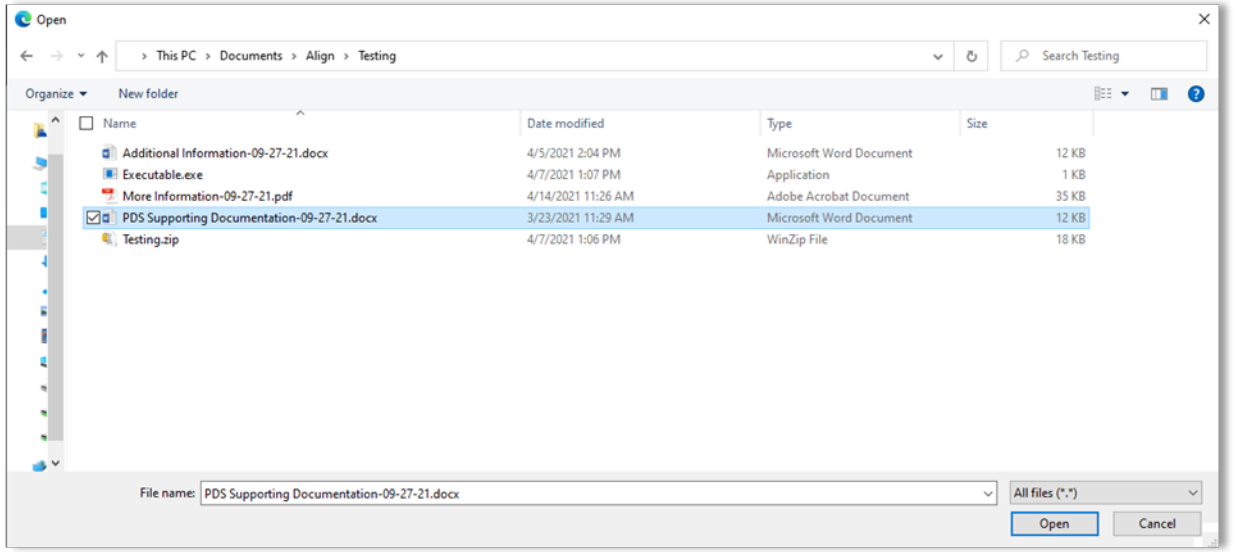


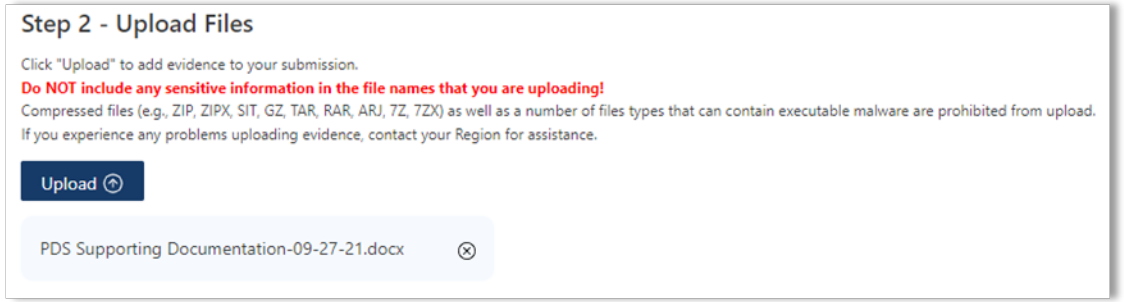
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Upload a single file



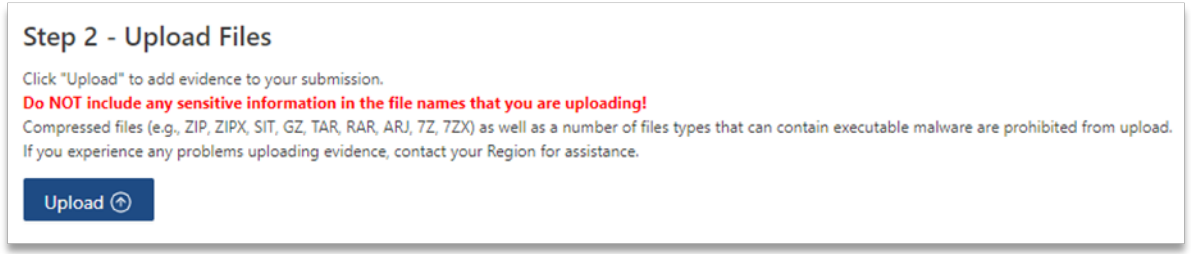


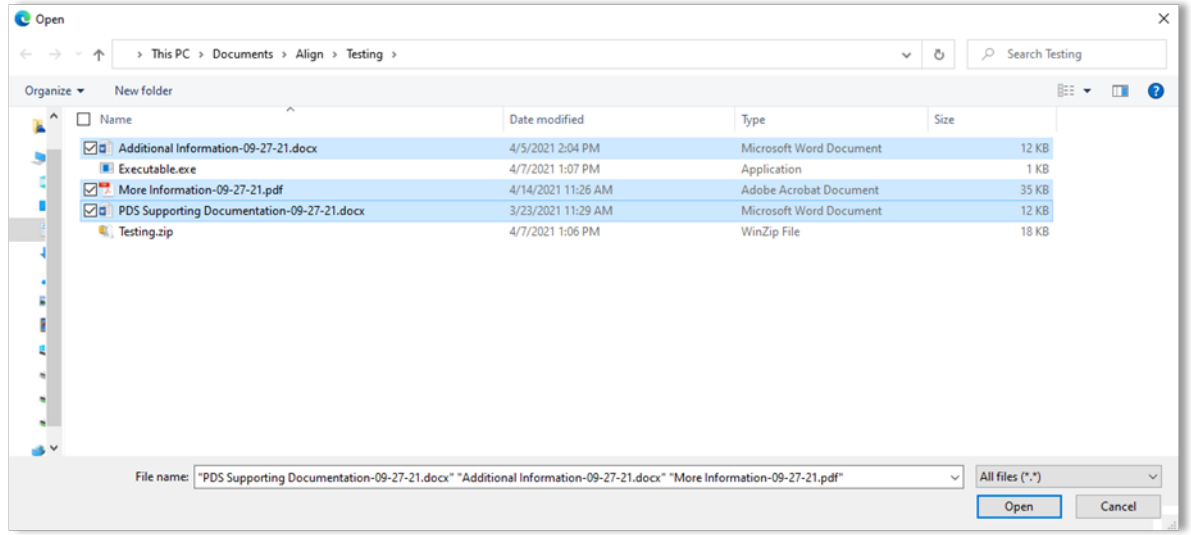


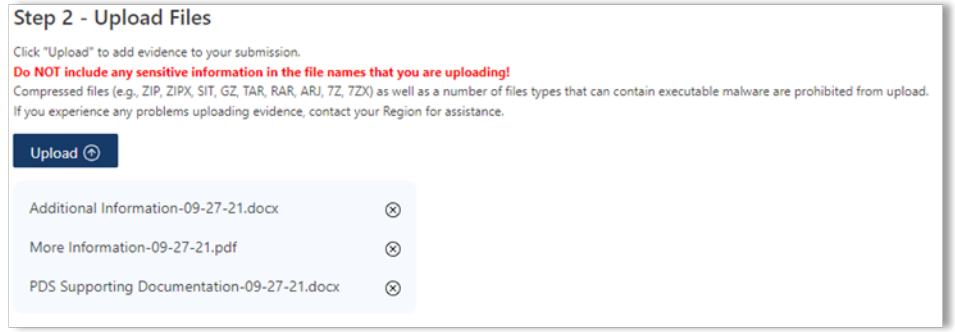
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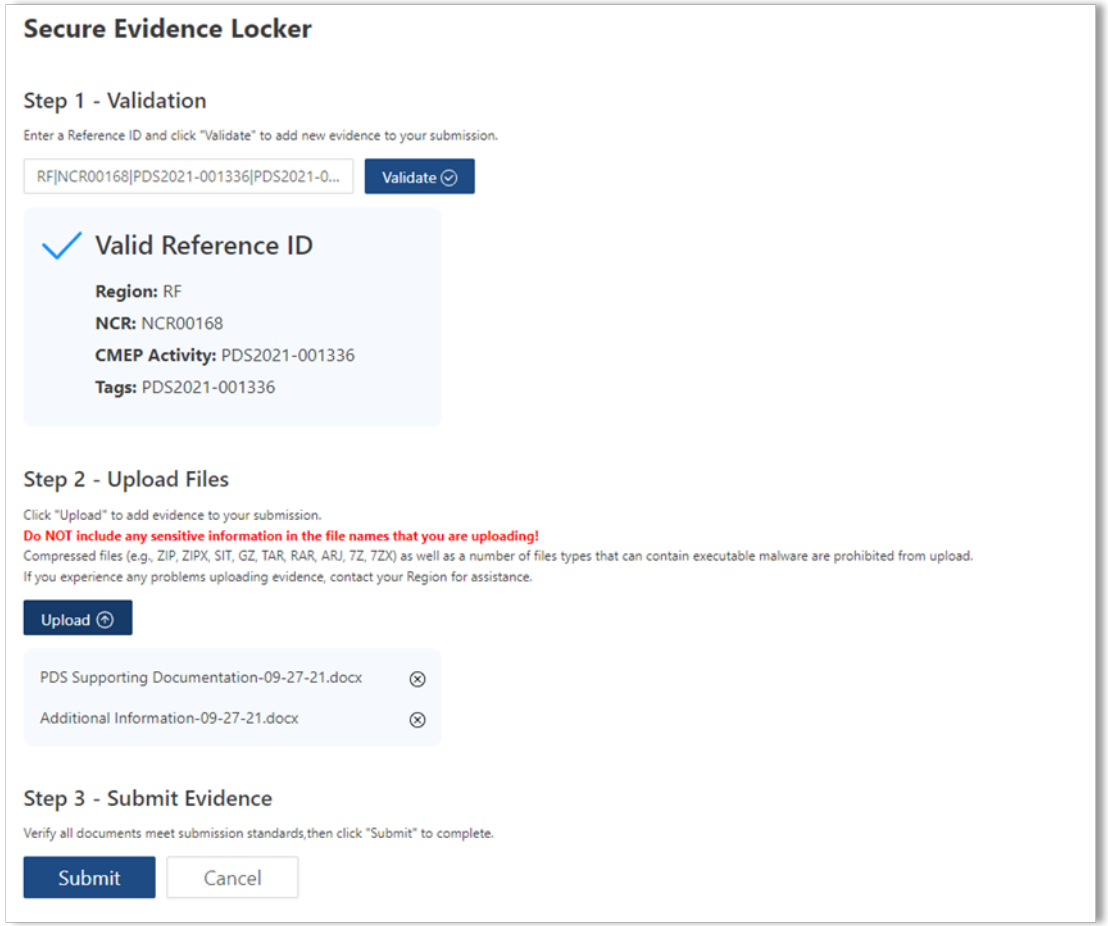
Upload multiple files





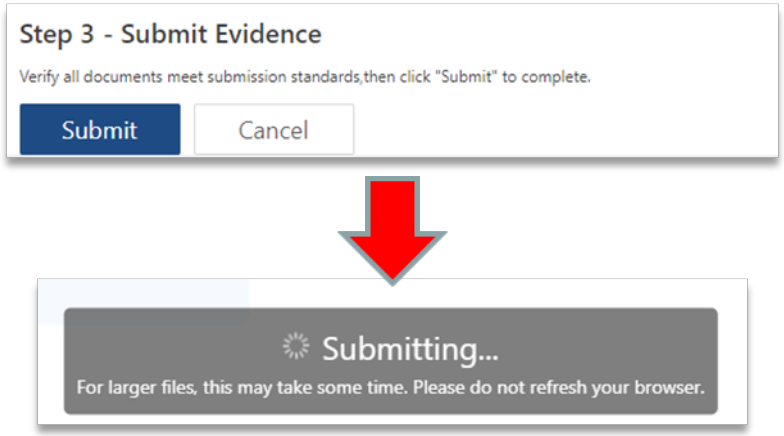


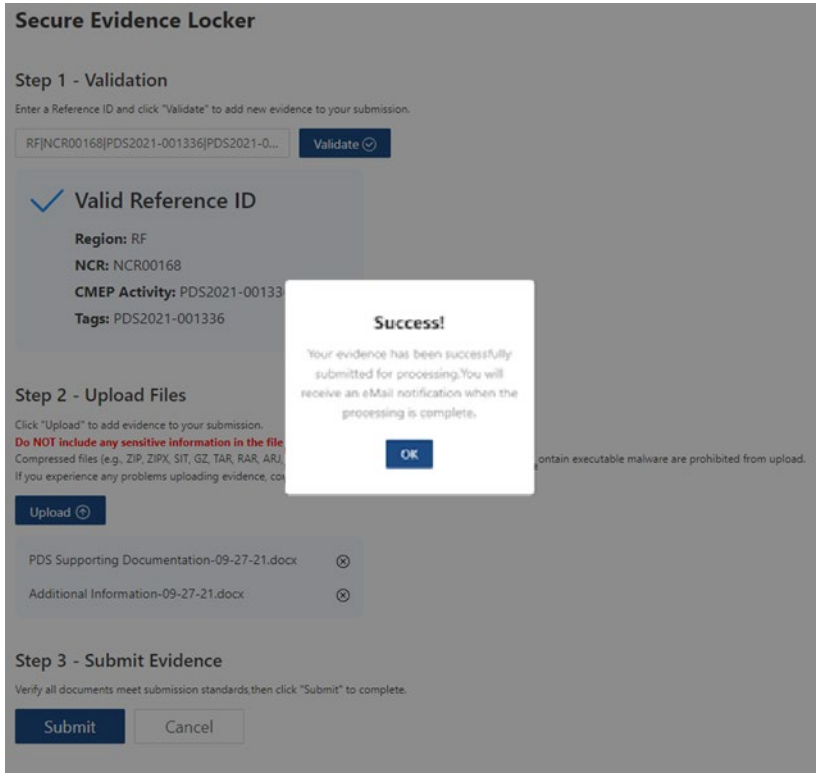
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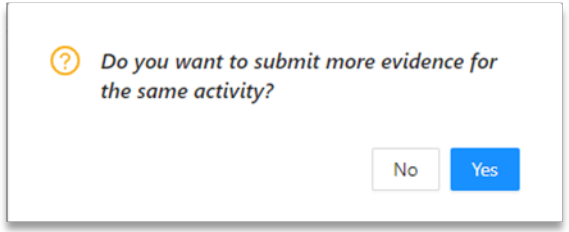


The SEL is available Monday through Friday from 0800-2300 ET. Individual File Uploads are limited to 100MB in size. Multiple File Uploads are limited to 80 files per submission and 10 GB in total size.

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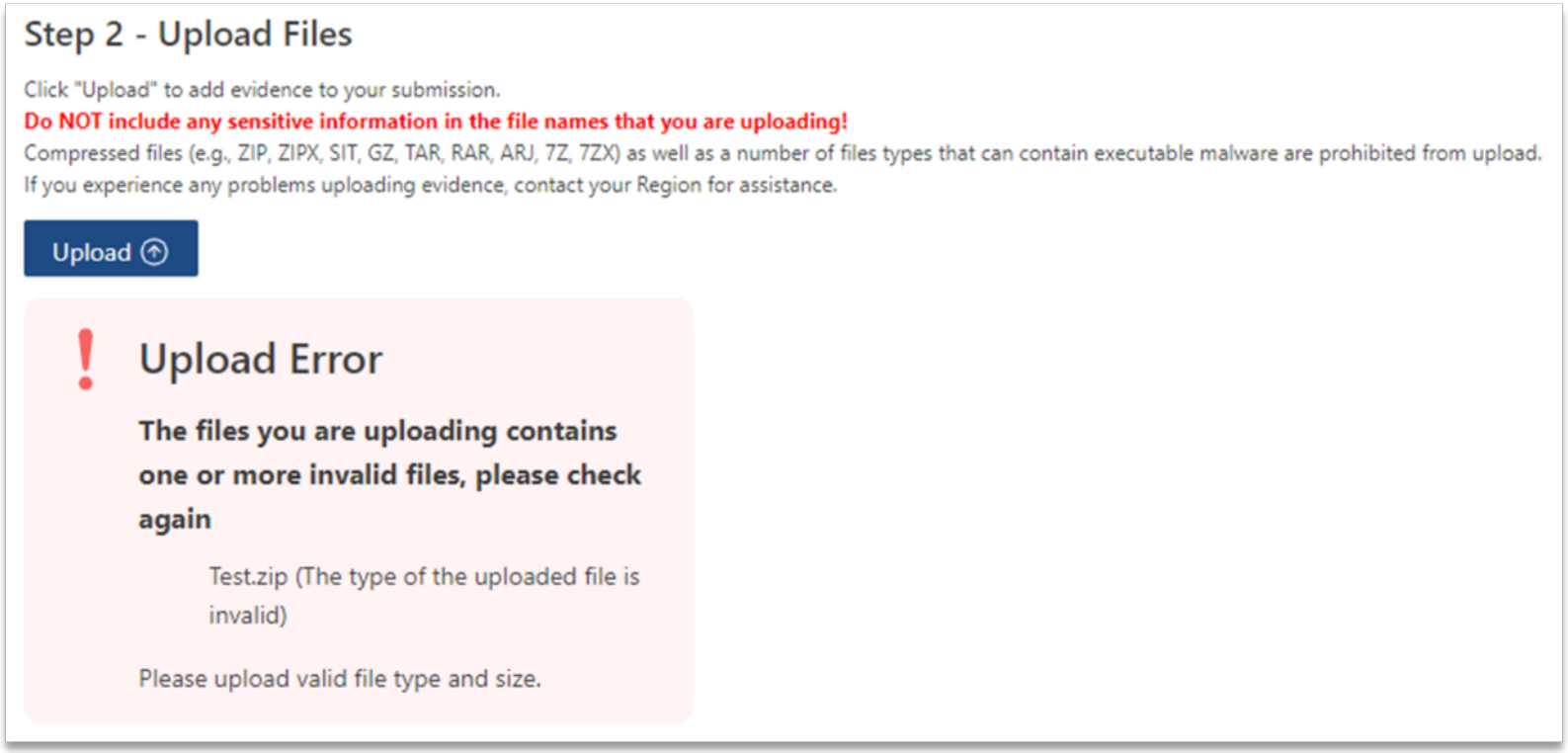


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Incorrect file type submission



Compressed files and executable files cannot be uploaded!

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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

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

You are currently subscribed to seltesting as:

To unsubscribe click here: http://listserv.nerc.com/u?id=2325575.edb9ed803b8361bf4052188d00968ebb&n=T&l=seltesting&o=1622408

(It may be necessary to cut and paste the above URL if the line is broken)

or send a blank email to leave-1622408-2325575.edb9ed803b8361bf4052188d00968ebb@nerc.com

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Manifest attachment upon successful upload

File Name	NCR	CMEP Activity	SEL ID	SHA3-512 Signature	Pass/Fail	Failure Reason
PDS Supporting Documentation-09-27-21.docx	NCR00168	PDS2021-001336	0902f2cf80065f9a	px49cKIdVONORN9y3Rr30FLRTAROF/zbso5WvJlnuexceJmBNnpBnKPXZxur5N/LASaFQdD1+T4jv8p4VgEzbQ==	Pass	
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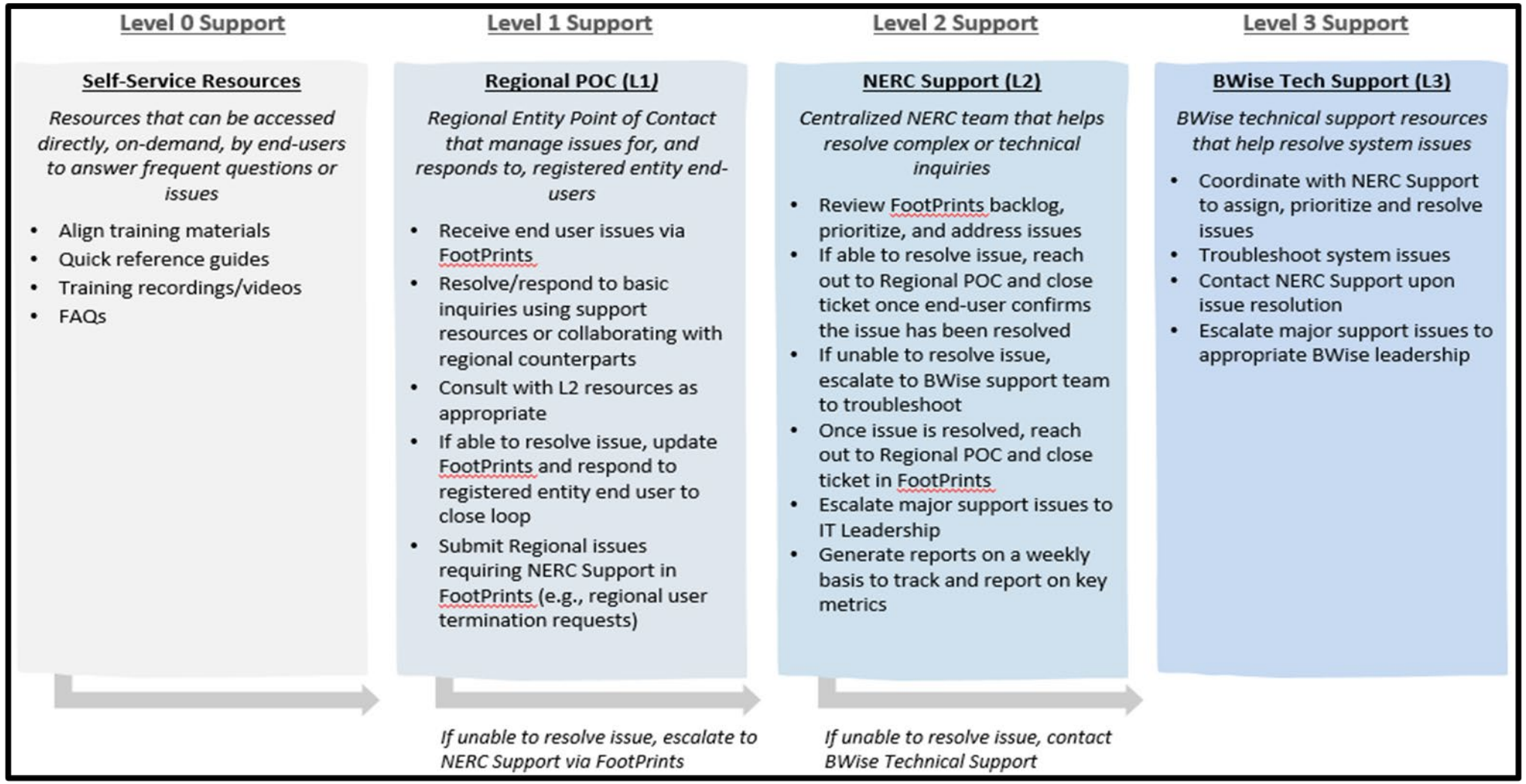
NERC HELP DESK TICKETS

ALIGN

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ALIGN AND ERO SEL HELP DESK SUPPORT MODEL

Submit tickets to: https://support.nerc.net/ or through the ERO Portal



ALIGN IRA PROCESS





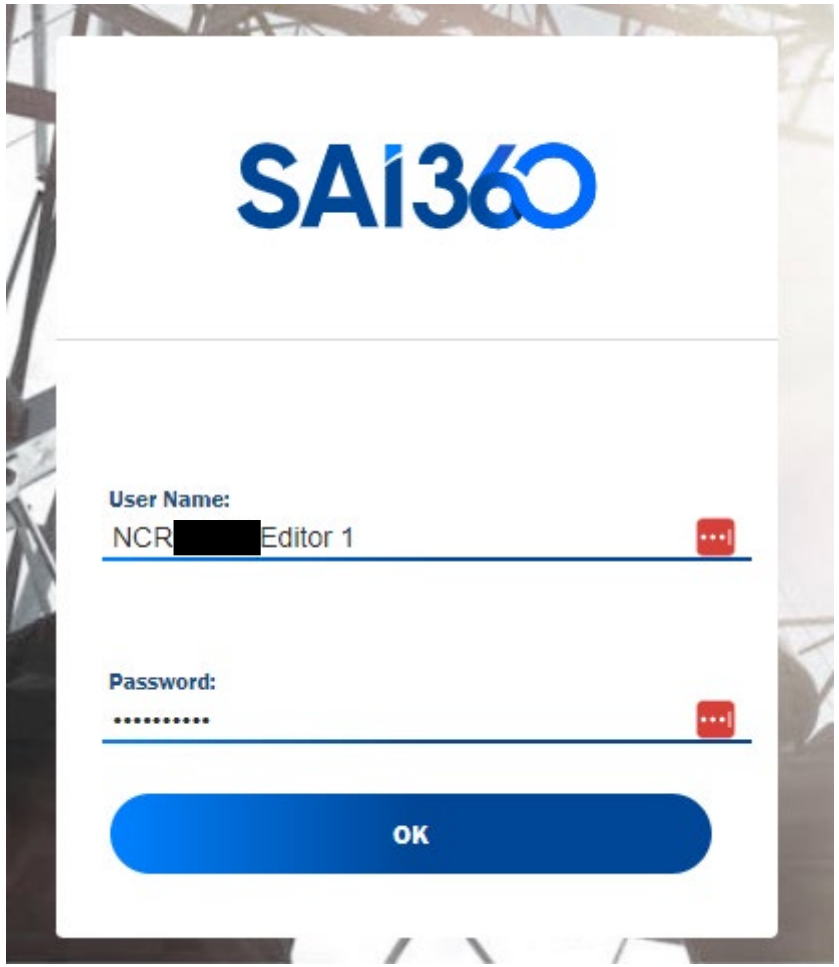
IRA PROCESS

- **Align**
  - New and existing entities
    - RF initiates the IRA process
    - Entity is sent the Risk Factor Questionnaire (RFQ)/Entity Risk Profile Questionnaire (ERPQ) in Align to complete
    - PCC, or who they assign, completes the questions in the RFQ/ERPQ questionnaires
    - No quarterly or annual reviews/updates (at this time)

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IRA PROCESS

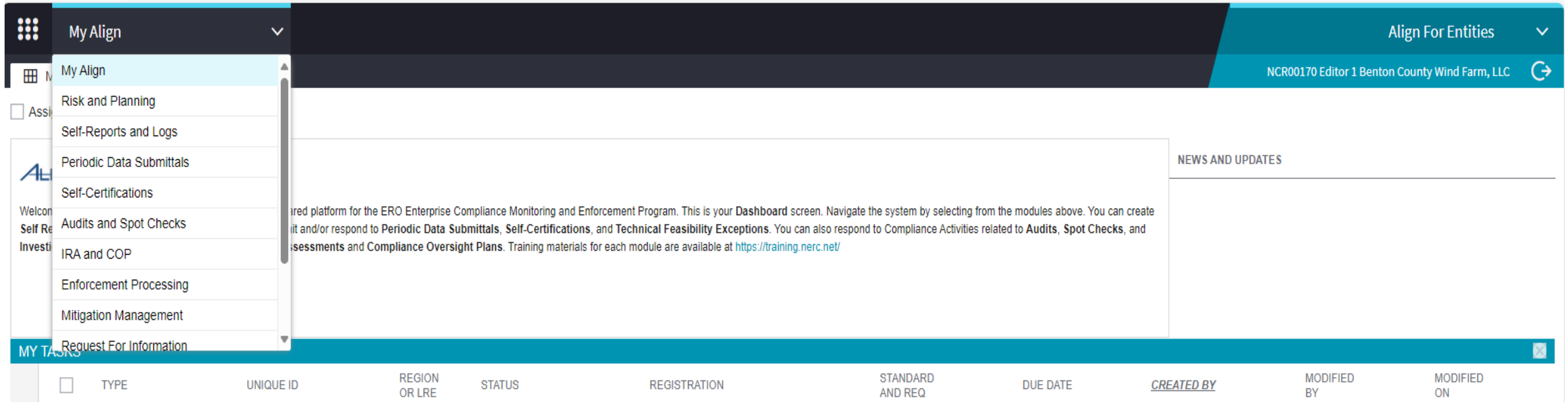
Entity logs into Align



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IRA PROCESS

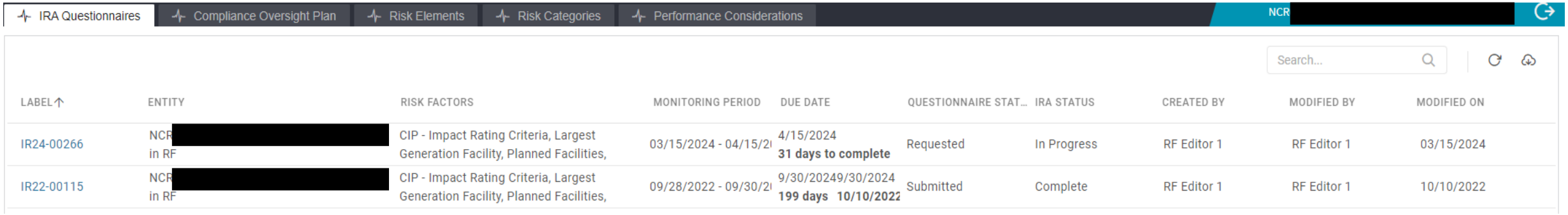
Select **IRA and COP** from My Align dropdown



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IRA PROCESS

Select the Unique ID under the “Label” column for the requested IRA Questionnaire

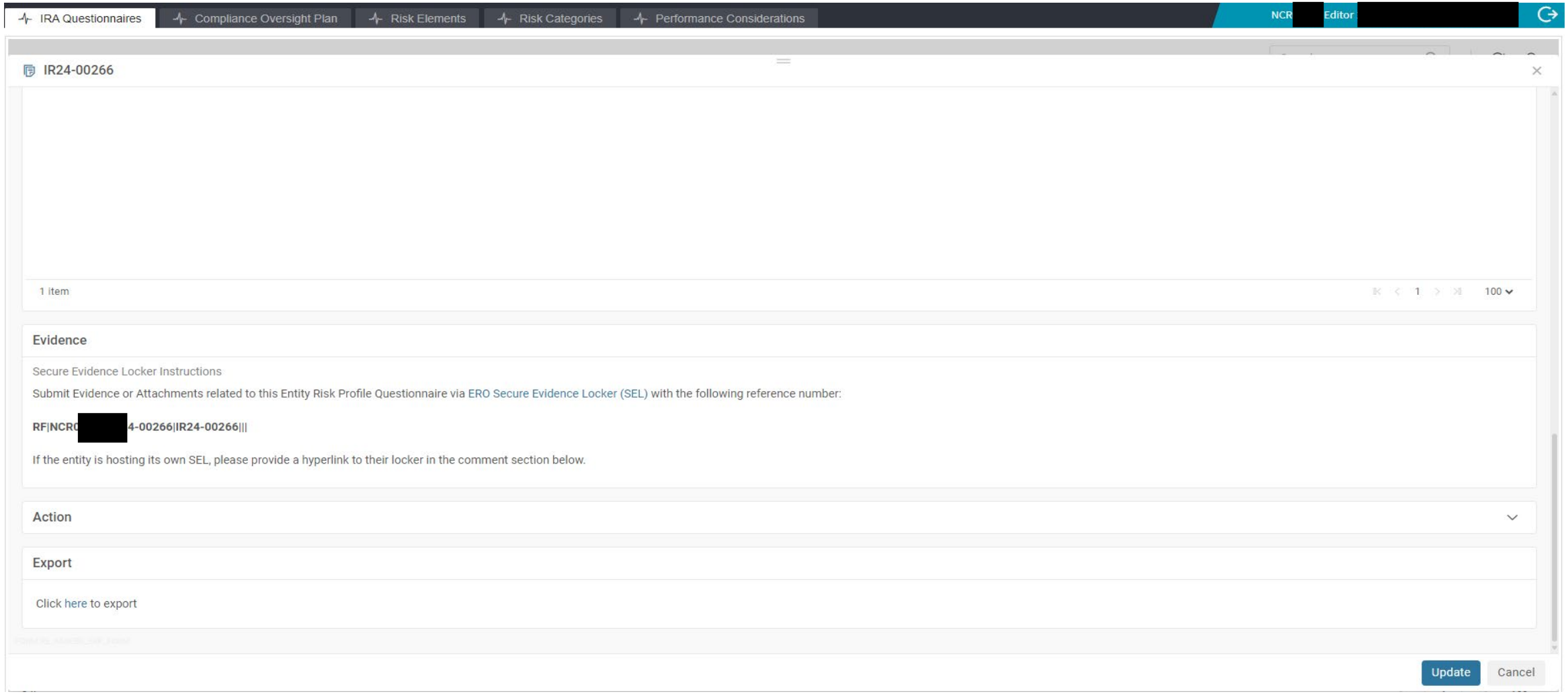


LABEL	ENTITY	RISK FACTORS	MONITORING PERIOD	DUE DATE	QUESTIONNAIRE STAT…	IRA STATUS	CREATED BY	MODIFIED BY	MODIFIED ON
IR24-00266	NCR [redacted] in RF	CIP - Impact Rating Criteria, Largest Generation Facility, Planned Facilities,	03/15/2024 - 04/15/2(	4/15/2024 **31 days to complete**	Requested	In Progress	RF Editor 1	RF Editor 1	03/15/2024
IR22-00115	NCR [redacted] in RF	CIP - Impact Rating Criteria, Largest Generation Facility, Planned Facilities,	09/28/2022 - 09/30/2(	9/30/20249/30/2024 **199 days 10/10/2022**	Submitted	Complete	RF Editor 1	RF Editor 1	10/10/2022

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IRA PROCESS

Optional, Entity can scroll down to bottom of screen and export the RFQ and ERPQ questions into a Word document and distribute to proper SMEs (to collect responses to questions prior to entry into Align).



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IRA PROCESS

There are two options for assigning an individual* to respond to the RFQ and ERPQ questions.

Option 1 - You can assign yourself (**this is the recommended approach**) - Slide 36

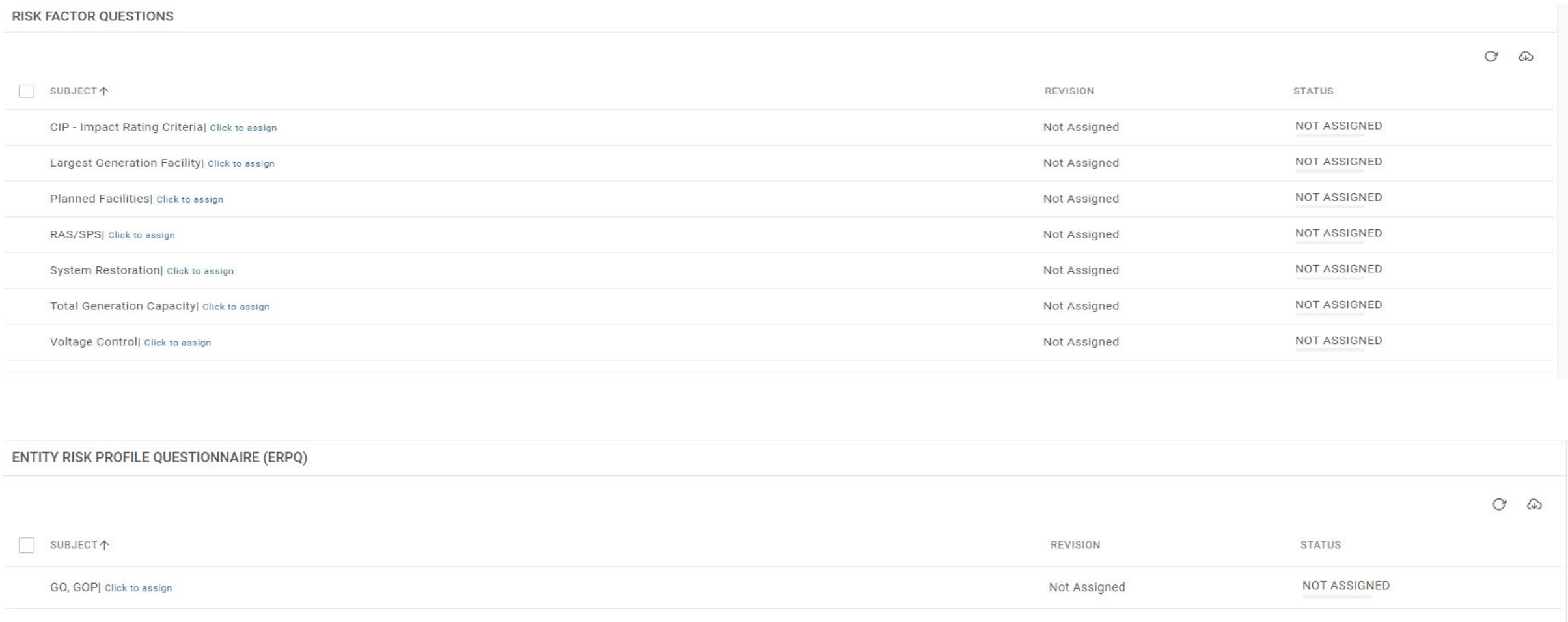
Option 2 - Assign a different individual - slides 37 through 40. Please note, if you use this option, you may end up with sets of questions (assigned to two different individuals) with no way of deleting one of the duplicate questions. This may cause issues.

*Note – only assign one individual per RFQ/ERPQ

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IRA PROCESS

Assign each 'Risk Factor Questions (RFQ)' and 'Entity Risk Profile Questionnaire (ERPQ)'.
Select "Click to assign" for each RFQ and ERPQ under the 'Subject' heading.



RISK FACTOR QUESTIONS

SUBJECT	REVISION	STATUS
CIP - Impact Rating Criteria| Click to assign	Not Assigned	NOT ASSIGNED
Largest Generation Facility| Click to assign	Not Assigned	NOT ASSIGNED
Planned Facilities| Click to assign	Not Assigned	NOT ASSIGNED
RAS/SPS| Click to assign	Not Assigned	NOT ASSIGNED
System Restoration| Click to assign	Not Assigned	NOT ASSIGNED
Total Generation Capacity| Click to assign	Not Assigned	NOT ASSIGNED
Voltage Control| Click to assign	Not Assigned	NOT ASSIGNED

ENTITY RISK PROFILE QUESTIONNAIRE (ERPQ)

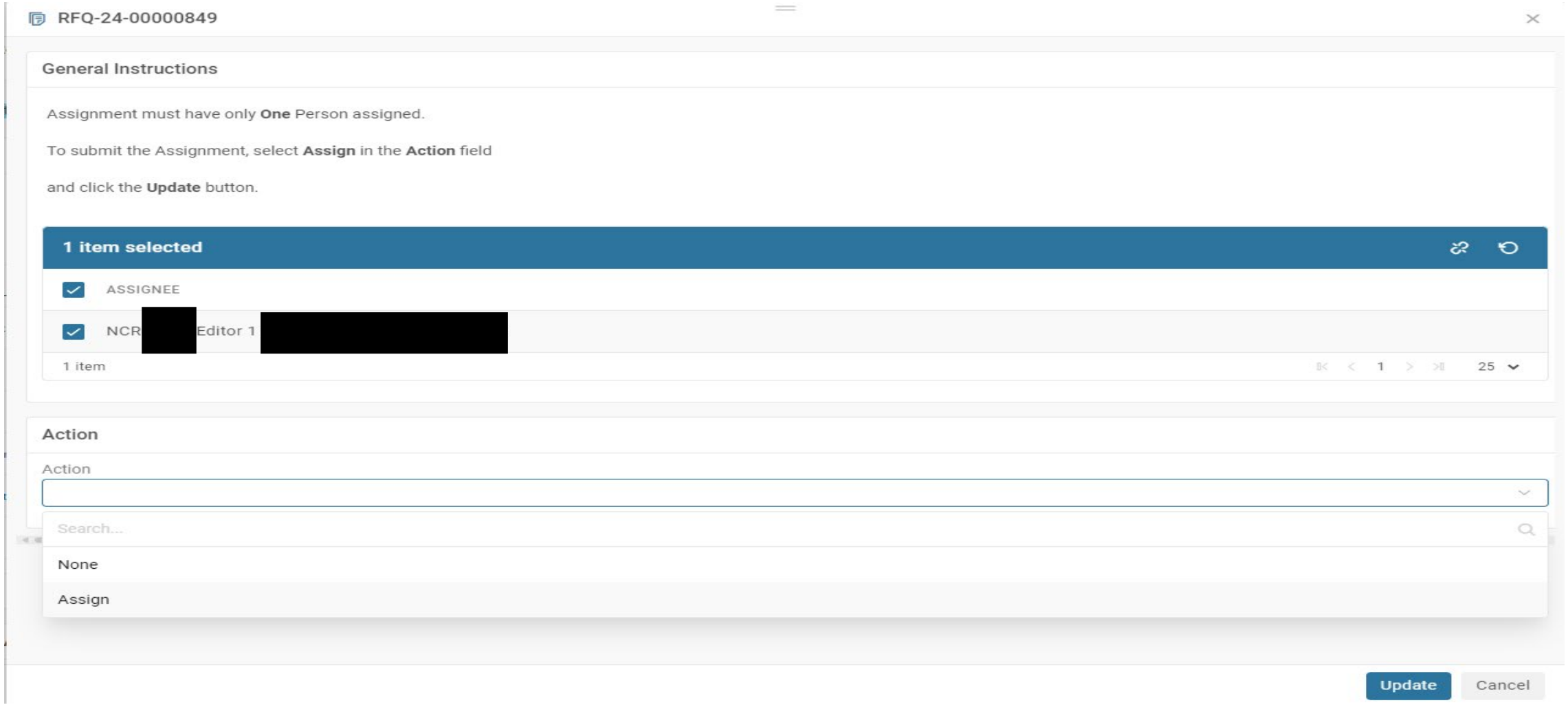
SUBJECT	REVISION	STATUS
GO, GOP| Click to assign	Not Assigned	NOT ASSIGNED

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IRA PROCESS (OPTION 1)

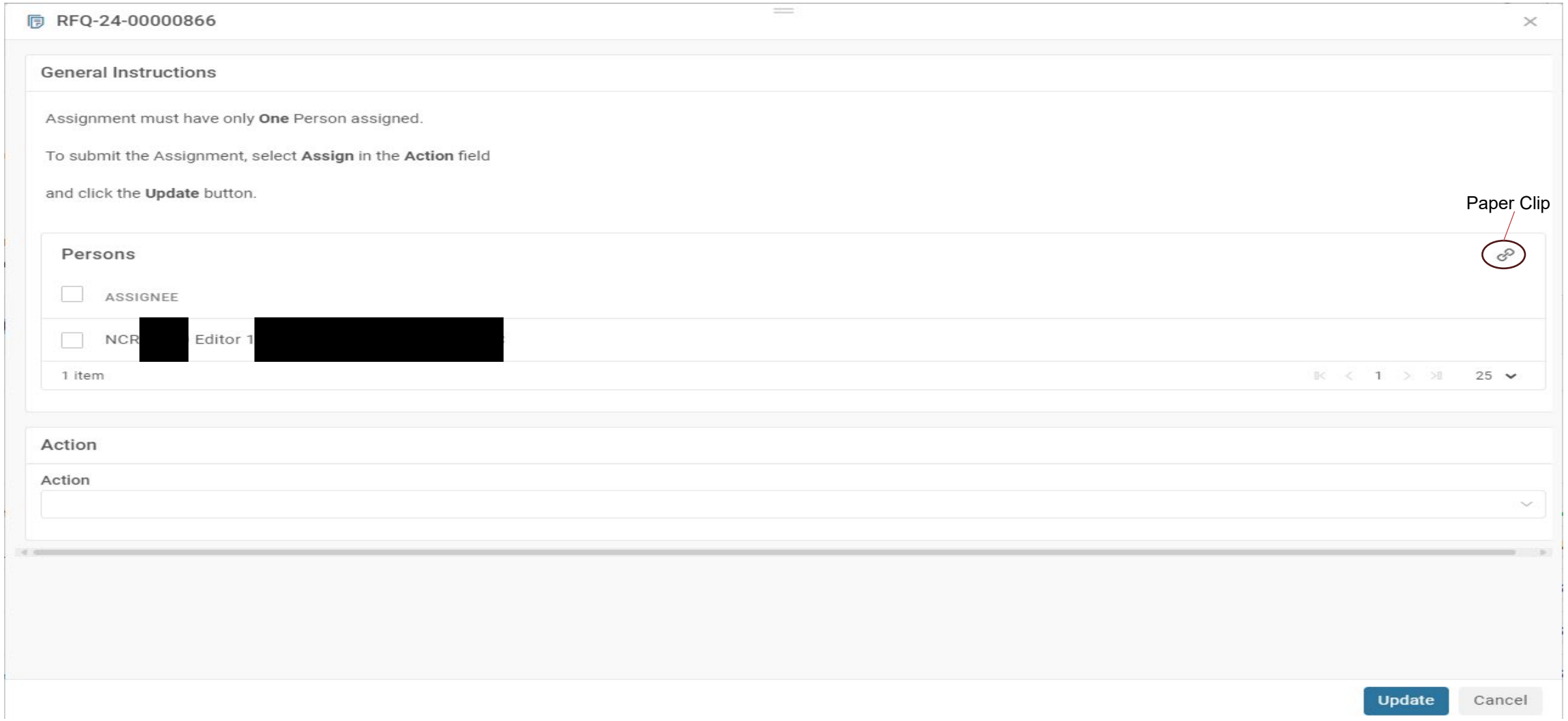
(**Recommended Approach**) To assign yourself, Select 'Assignee', select 'Assign' on the 'Action' dropdown and select 'Update'



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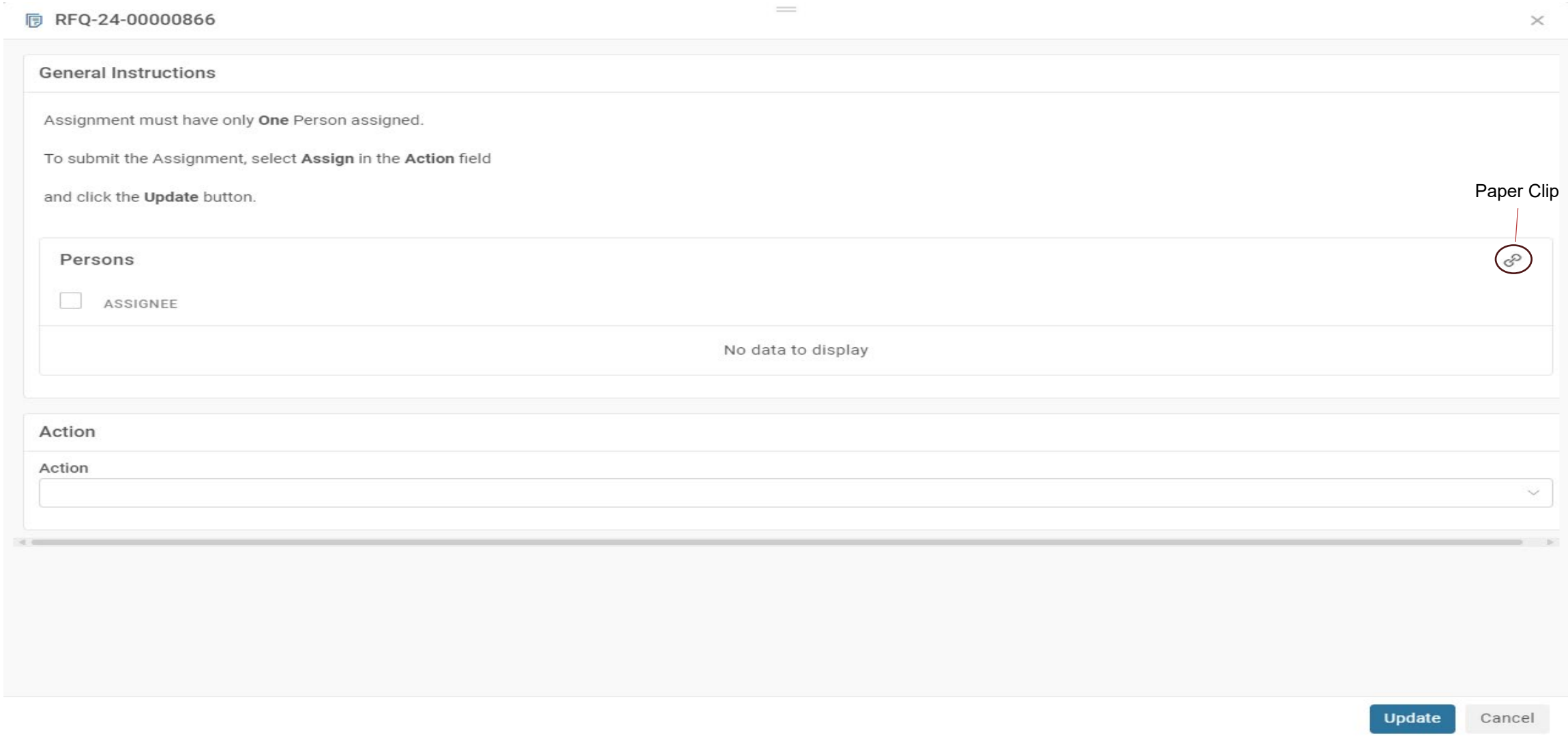
IRA PROCESS (OPTION 2)

To assign a different individual, click the paper clip on the right side of the 'Persons' box.



IRA PROCESS (OPTION 2)

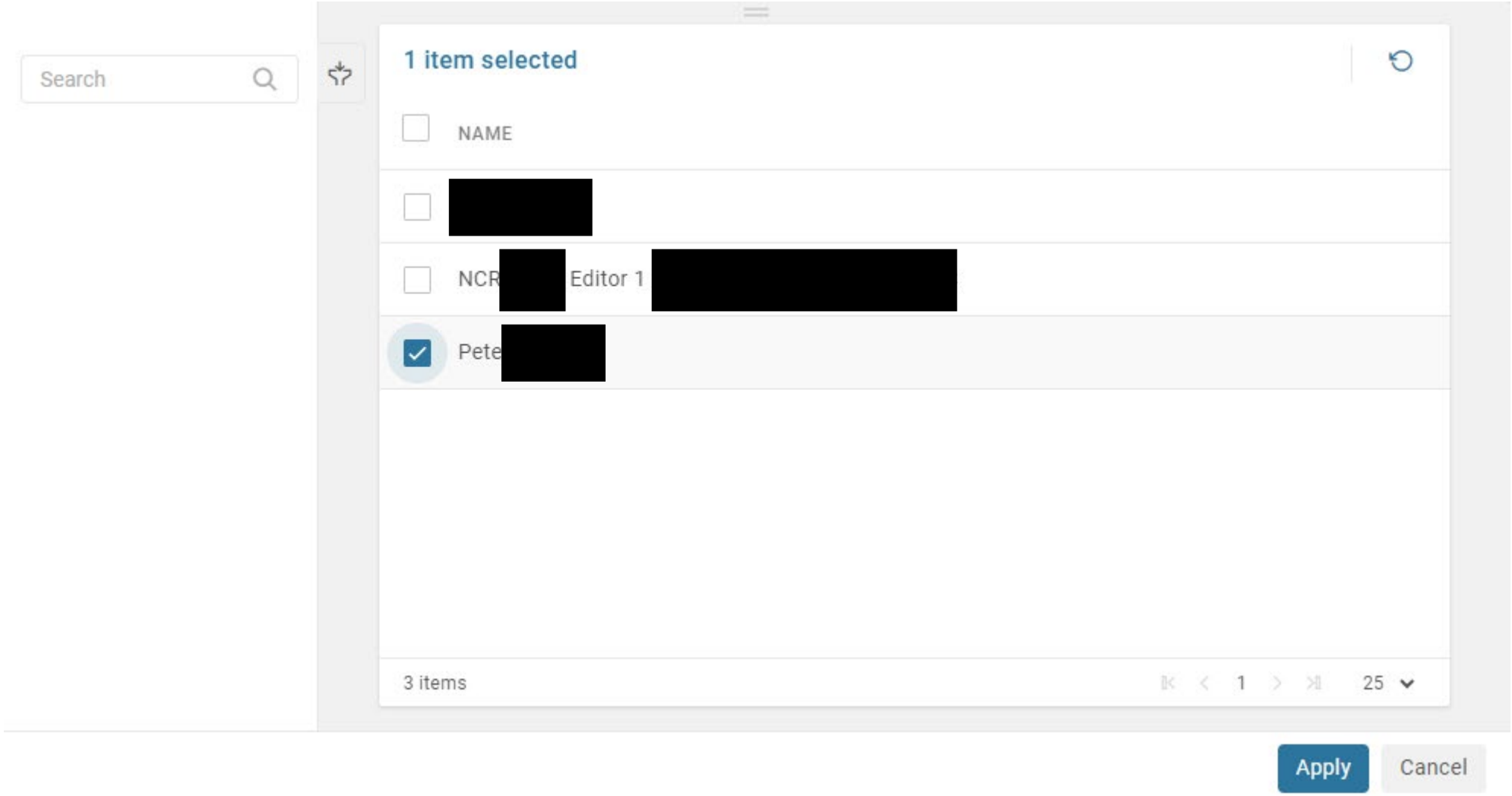
Click the paper clip on the right side of the 'Persons' box.



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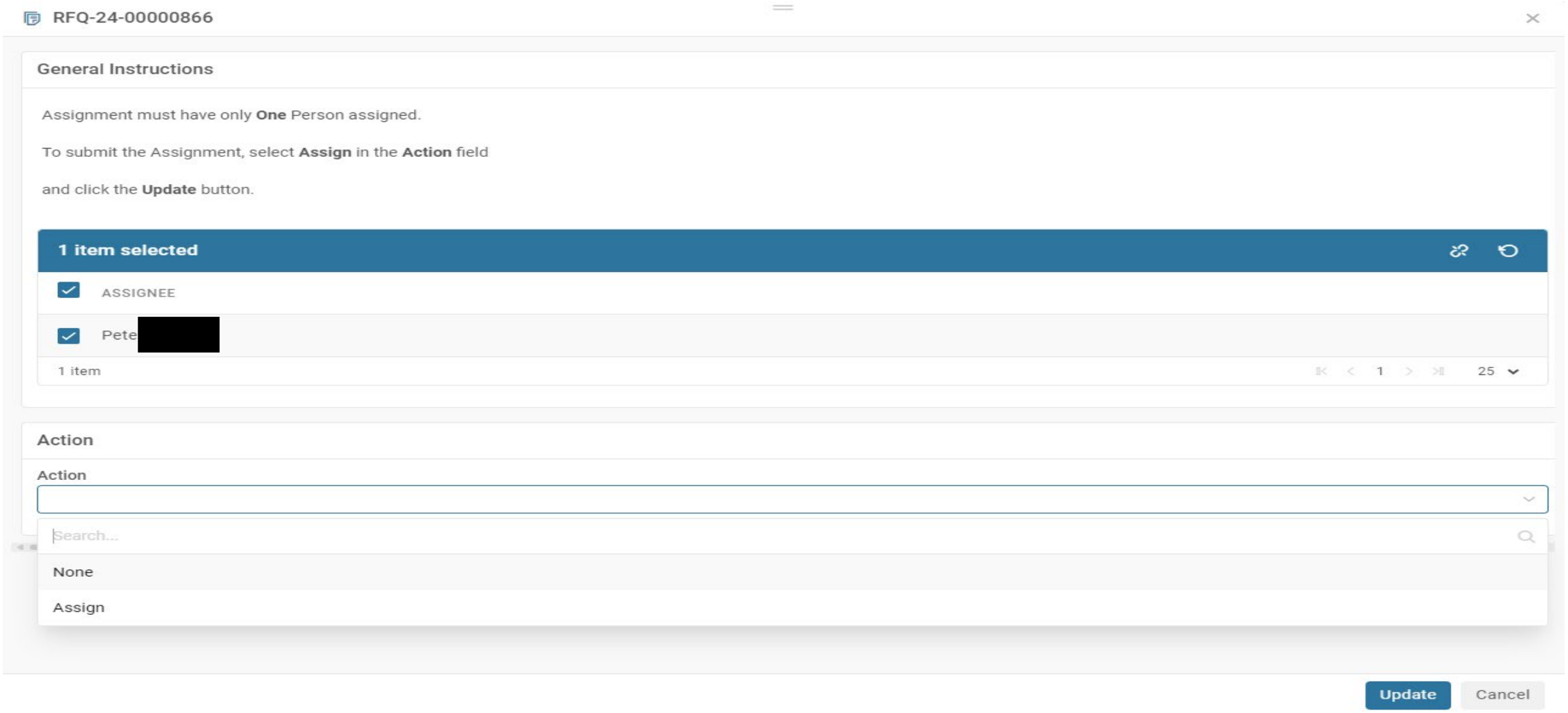
IRA PROCESS (OPTION 2)

Select the individual you want to assign to the RFQ or ERPQ, then click 'Apply'. **Only assign one individual per RFQ and ERPQ.**



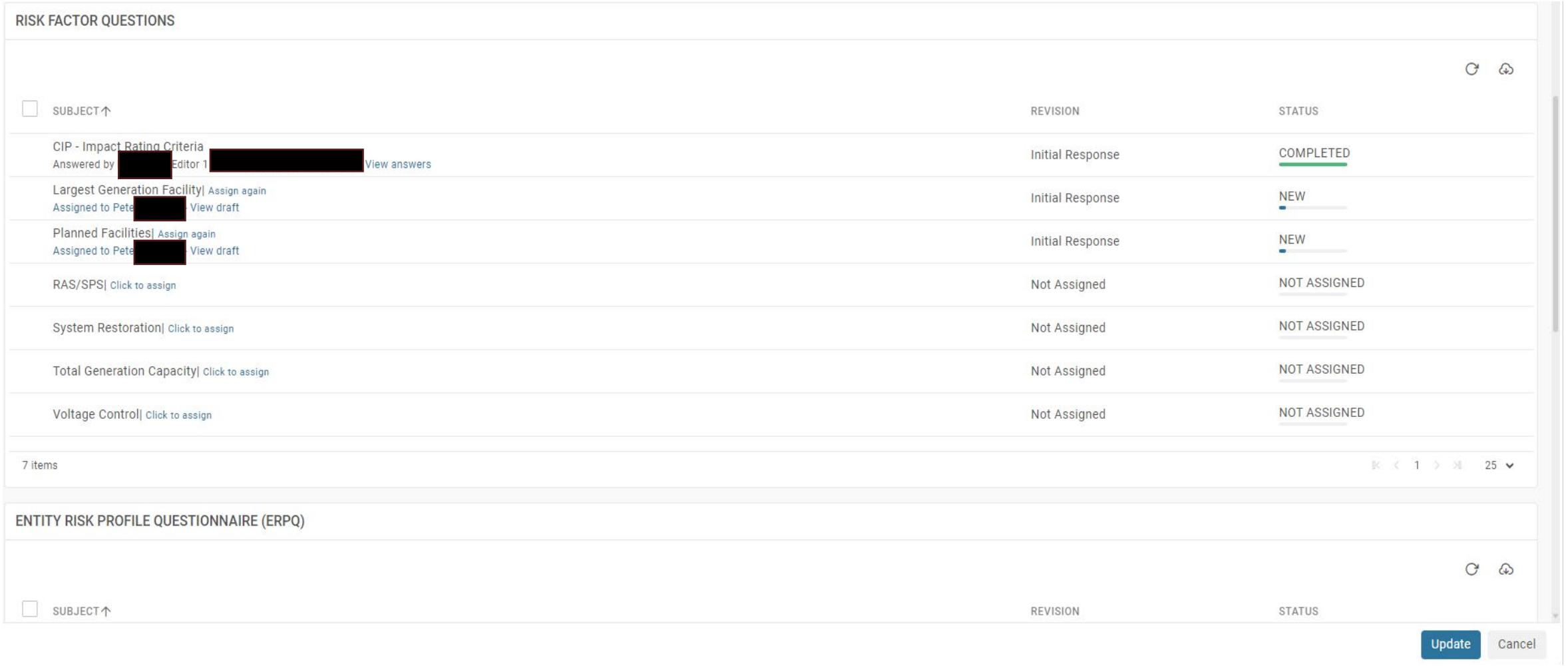
IRA PROCESS (OPTION 2)

Select Assignee, Action 'Assign', then click 'Update' to complete assignment. Complete these steps for each RFQ and ERPQ.



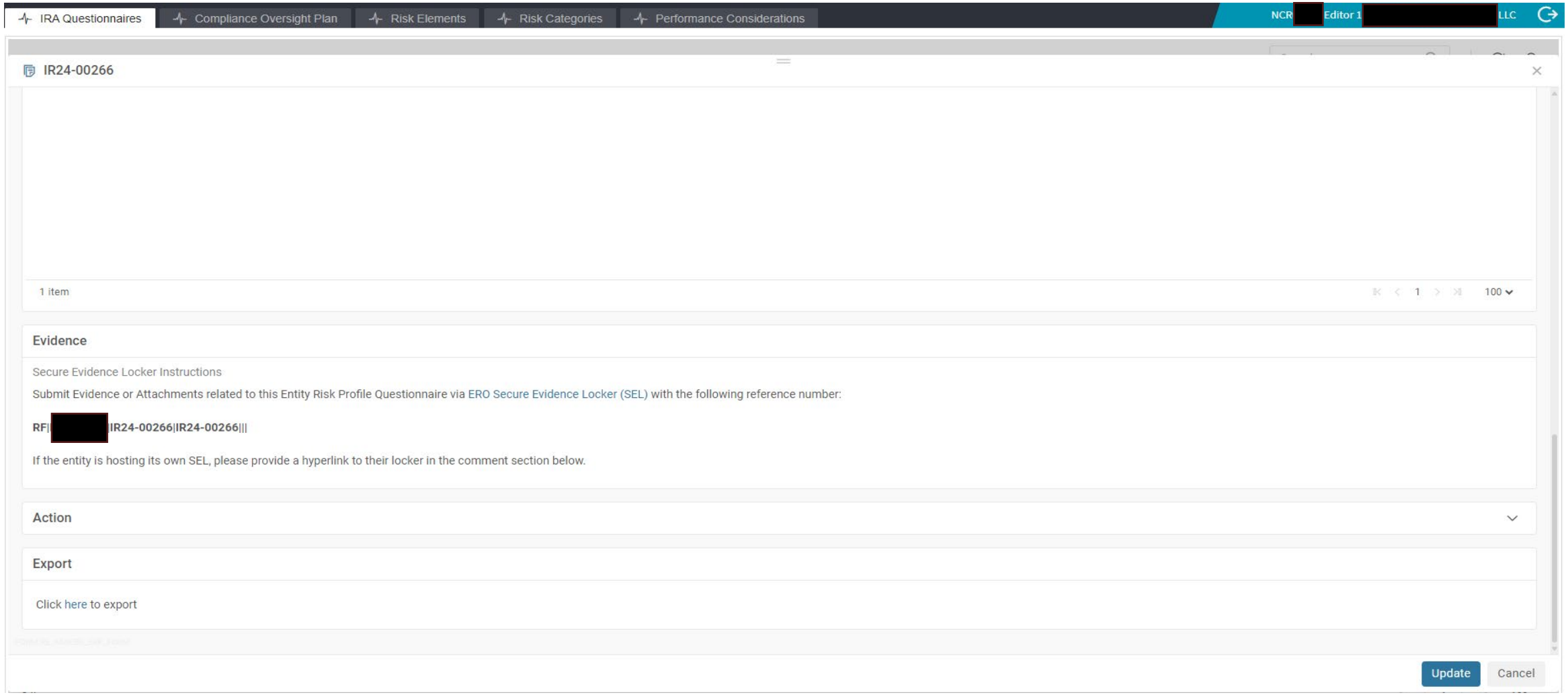
IRA PROCESS (OPTION 2)

The selected Assignee will appear in the Assigned to for each RFQ and ERPQ.



IRA PROCESS

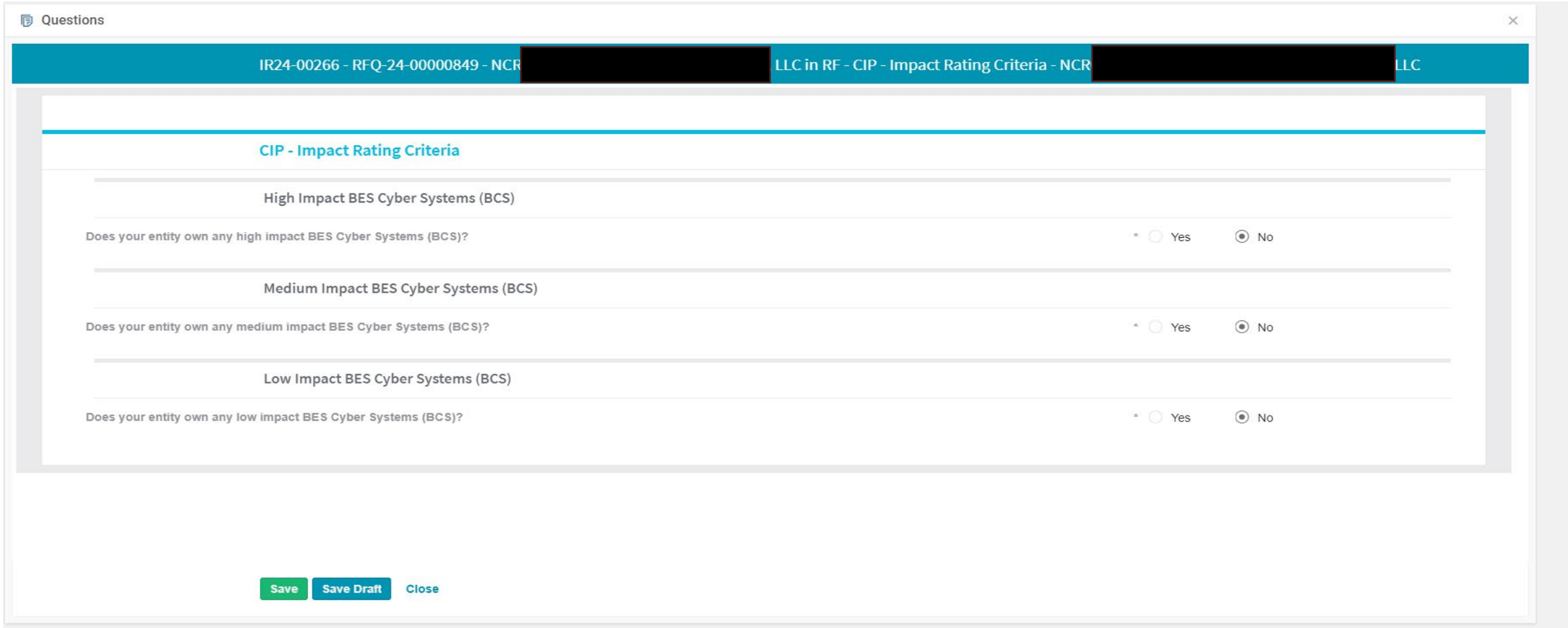
Secure Evidence Locker



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IRA PROCESS

Complete all questions for RFQ and ERPQ, click 'Save Draft' or 'Save' to save responses (see note below).

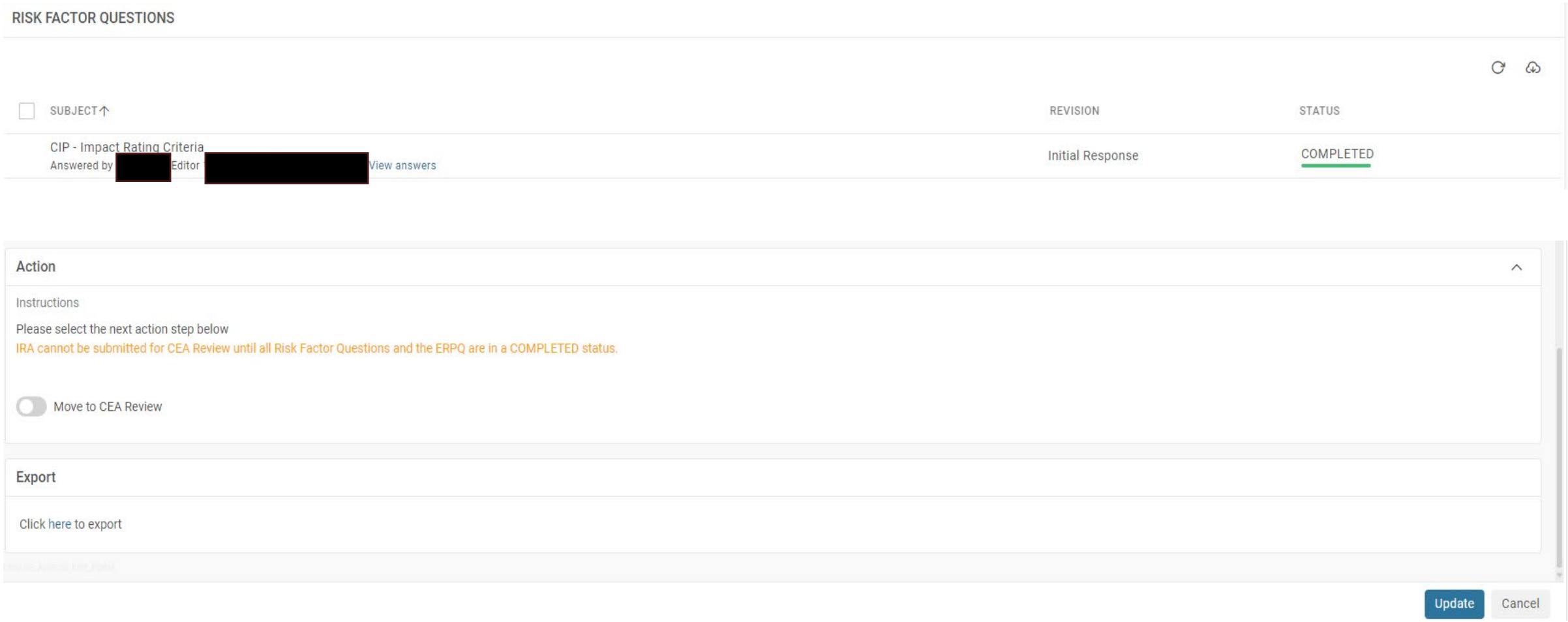


Note: **Save Draft –** Saves Draft saves responses and allows responses to be changed.
Save – Saves responses and cannot be changes.

FORWARD TOGETHER RELIABILITYFIRST

IRA PROCESS

Once all questions are completed for RFQ and ERPQ, Under Action, toggle switch to 'Move to CEA Review', and click 'Update'



FORWARD TOGETHER RELIABILITYFIRST

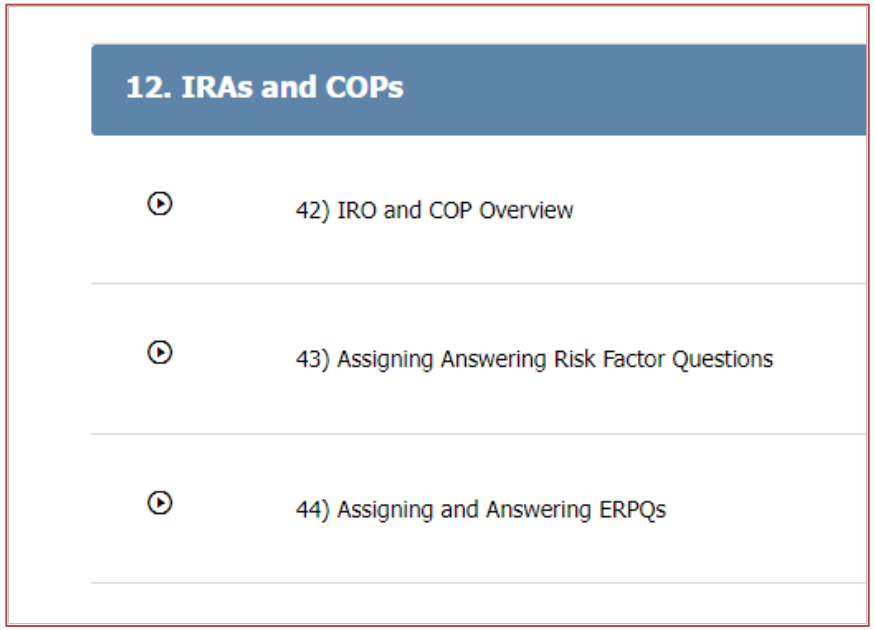
TRAINING RESOURCES

ALIGN

RELIABILITY FIRST

TRAINING RESOURCES

- **Links related to Align and SEL Training - https://training.nerc.net/**
  - Release 4.5 User Guide - IRAs and COPs
  - User Access Guide
  - SEL Portal User Guide
  - Support Process
  - Video Training

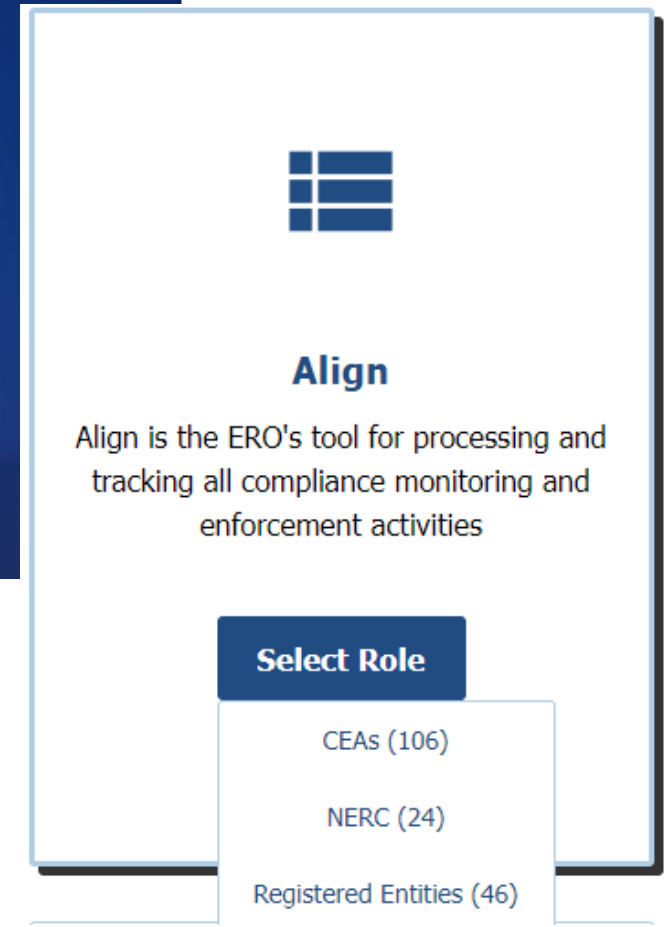


FORWARD TOGETHER RELIABILITYFIRST

TRAINING RESOURCES

Links related to Align and SEL Training – https://training.nerc.net/





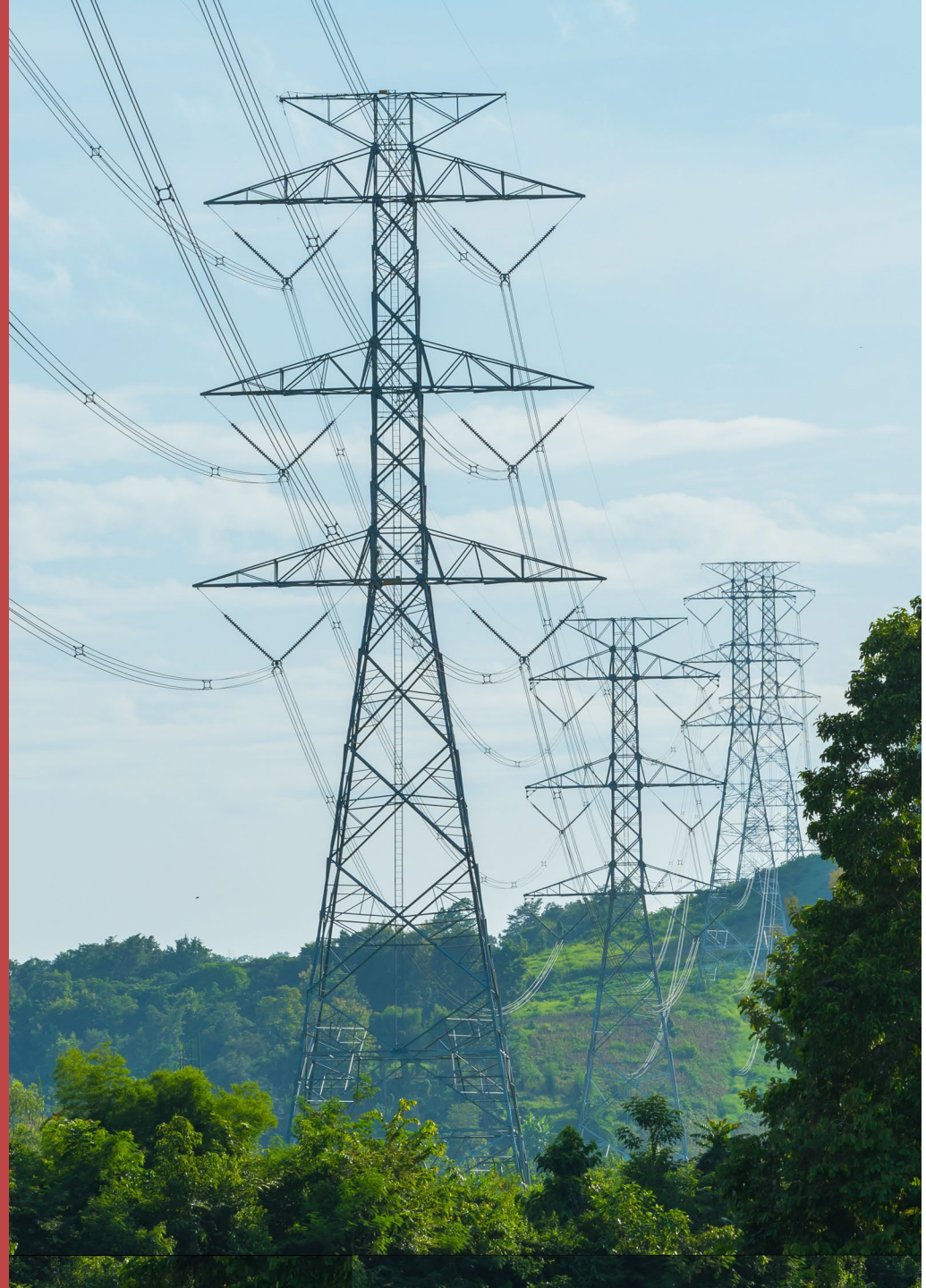
FORWARD TOGETHER RELIABILITYFIRST

TRAINING RESOURCES

Links related to Align and SEL Training – https://training.nerc.net/



Note: Section 12. IRAs and COPs (3 videos)



QUESTIONS & ANSWERS

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Bob Folt

Frank Kapuscinski

Dirk Baker