

Align Release Notes

Release 7.2.0

Date of Deployment: May 17, 2025

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*

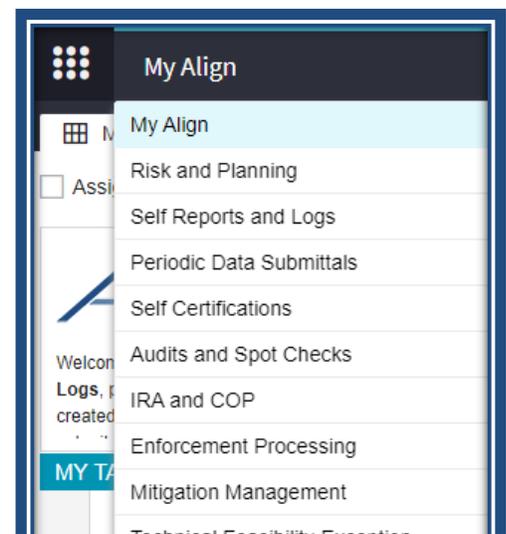


Figure 1: My Align Drop-Down Menu

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.

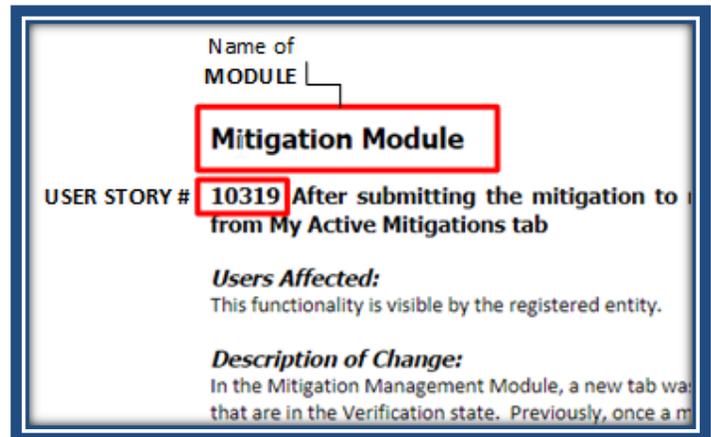


Figure 2: Elements of a User Story

Multiple Modules

User Story # 25035, 25036, 25037, 25038, 25039, 25040, 25041, 25042, 25043, 25044, 25045, 25046, 26842

Description of Issue: Portlet, form, and email fixes to consistently show the Audit Finding ID instead of the Finding ID

Users Affected: Registered Entities, CEA, and NERC

Description of Change: In the Enforcement and Mitigation modules, there were some locations in the portlets and the forms that were listing the Finding ID instead of the Audit Finding ID (YYYY-5XXXX) number. The portlets and forms were not consistent in showing the Audit Finding ID (YYYY-5XXXX) which also caused an issue related to filtering on that ID number. This change corrects the portlet and forms to accurately show the Audit Finding ID (YYYY-5XXXX) and to have it filter on this ID. The following forms and portlets were updated:

Entity

- Mitigation Portlet – the portlets on the Mitigation Management module have been updated (My Draft Mitigations, My Active Mitigations, Mitigations in Verification, Consolidated Mitigations, Completed Mitigations) – User Story 25035
- Mitigation Form – the Mitigation form has been updated, specifically the ‘Related PNC’ data field under the General Information section – User Story 25041
- Finding Form¹ – the Finding form has been updated, specifically the ‘Unique ID’ column under the Consolidated Findings section on the Finding form – User Story 26842

CEA

- Mitigation Portlet – the portlets on the Mitigation Management module have been updated (Mitigations Awaiting Review, Rejected Mitigations, Active Mitigations, Mitigations Awaiting Verification, Completed Mitigations, Consolidations, All Mitigations, Mitigation RFIs) – User Story 25036²
- PNC Processing Portlet – the portlets on the PNC Processing module have been updated (Preliminary Screening, PNC Review, Failed PNC Screening, PNC RFIs) – User Story 25037³
- CMEP Activity Search Module – the portlets on the CMEP Activity Search module have been updated (Search My Activity, Search ARE Activity, Search Other Region Activity) – User Story 25038

¹ There will be a future user story to address the ‘Unique ID’ column of the Mitigation section on the Finding form.

² This user story is also tied to NERC support ticket ERO-42091.

³ This user story is also tied to NERC support ticket ERO-41618.

- Mitigation Form – the Mitigation form has been updated, specifically the ‘Related PNC’ data field under the General Information section – User Story 25041
- PNC Review Form –the PNC Review form has been updated, specifically the ‘ID’ column for the Mitigation record under the Mitigation section on the form – User Story 25042
- EA Review Form – the Enforcement Action form has been updated, specifically the ‘Enforcement Action’ data field at the top of the form and the ‘PNC ID’ column for the PNC ID under the PNCs Consolidated under this EA section on the form – User Story 25043
- Disposition Form – the Disposition form has been updated, specifically the ‘Enforcement Action’ column for the EA ID under the Related EAs section on the form – User Story 25044
- Notification Form – the Notification form has been updated, specifically the ‘Unique ID’ column for the PNC or EA ID under the Related EAs and PNCs section on the form – User Story 25045

NERC

- Mitigation Portlet – the portlets on the Mitigation Management module have been updated (Mitigations Awaiting Review, Active Mitigations, Consolidations, Completed Mitigations, All Mitigations) – User Story 25040
- Enforcement Processing Module –the portlets on the Enforcement Processing module have been updated (PNCs and Enforcement Actions, Dispositions Awaiting Review, Dispositions Pending Closure, Closed Enforcement Actions, Filing) – User Story 25039
- FERC Reporting Module – the portlet on the FERC Reporting module has been updated – User Story 25046
- Mitigation Form – the Mitigation form has been updated, specifically the ‘Related PNC’ data field under the General Information section – User Story 25041
- PNC Review Form –the PNC Review form has been updated, specifically the ‘ID’ column for the Mitigation record under the Mitigation section on the form – User Story 25042
- EA Review Form – the Enforcement Action form has been updated, specifically the ‘Enforcement Action’ data field at the top of the form and the ‘PNC ID’ column for the PNC ID under the PNCs Consolidated under this EA section on the form – User Story 25043
- Disposition Form – the Disposition form has been updated, specifically the ‘Enforcement Action’ column for the EA ID under the Related EAs section on the form – User Story 25044
- Notification Form – the Notification form has been updated, specifically the ‘Unique ID’ column for the PNC or EA ID under the Related EAs and PNCs section on the form – User Story 25045

NOTE: An email was sent to all relevant PCCs to inform them of the Audit Finding ID and how it relates to the Finding ID.

Training Materials Modified: N/A

Scheduling Module

User Story # 18243

Description of Issue: Create Scheduled Engagements - duplicate entities

Users Affected: CEA

Description of Change: In the Scheduling module, "Scheduled Engagements" tab, some NCRs duplicated in the "Create Scheduled Engagements" portlet on the left. This has been fixed.

Training Materials Modified: N/A

Bug # 22368

Description of Issue: Cannot cancel Scheduled ME records

Users Affected: CEA

Description of Change: Region users identified a bug in the Scheduling module where SH records (Scheduled Engagements) could not be cancelled once created.

Training Materials Modified: N/A

Audits and Spot Checks Module

Bug # 19497

Description of Issue: Working paper with Review Status of PNC does not have flag to generate PNC

Users Affected: CEA

Description of Change: From Working Papers in the Audits and Spot Checks module, when a specific requirement shows had "Review Status" of "PNC," the Action Button for Create a Finding would not show for CEA users. This user story fixed the logic. Now when a requirement's Working Paper "Review Status" is set to "PNC", the Create a Finding button will show in the Action Buttons column.

TEAM MEMBERS ASSIGNED	WORKING PAPER STATE	REVIEW STATUS	AUDITOR REVIEW NOTE	ACTION BUTTONS
Assign Team Member	Not Started	PNC	+	
Assign Team Member	Not Started	Not Started	+	

Training Materials Modified: N/A

User Story # 22185

Description of Issue: Audits - CEA - Working Papers Tab View

Users Affected: CEA, NERC

Description of Change: In the Audits and Spot Checks module, when opening a monitoring engagement (ME) record, the Working Papers tab has an updated view for region (CEA) and NERC users (not all columns are visible to NERC users).

For the CEA view of Working Papers tab:

- Column 1: Entity | Requirement
- Column 2: Team Members Assigned
- Column 3: Working Paper State
- Column 4: Review Status
- Column 5: Auditor Review Note
- Column 6: Action buttons (Not visible to NERC users)

ENTITY REQUIREMENT	TEAM MEMBERS ASSIGNED	WORKING PAPER STATE	REVIEW STATUS	AUDITOR REVIEW NOTE	ACTION BUTTONS
NCR55555 - test confirm name change in MRO					
FAC-002-3 R5. for NCR55555-MRO	Assign Team Member	Not Started	Not Started	+	
MOD-025-2 R2. for NCR55555-MRO	Assign Team Member	Not Started	Not Started	+	

Training Materials Modified: The CEA user guide will need to be updated to reflect the new view.

User Story # 22187

Description of Issue: Audits - CEA - Working Papers and Review Status

Users Affected: CEA

Description of Change: In the Audits and Spot Checks module, when opening a monitoring engagement (ME) record, the Working Papers have updated Review Status options:

- Not Started

- In Progress
- PNC
- Open Enforcement Action
- No Finding
- Not Applicable
- Removed from Scope (new status)

The screenshot shows a web application interface for a monitoring engagement record. At the top, the record ID 'AR25-02194' is displayed. Below it, the title 'Review Status' is shown. The main content area includes a 'Monitoring Engagement' section with a greyed-out status indicator. Underneath, the 'Requirement' is listed as 'FAC-002-3 R5'. The 'Status *' field is currently set to 'Not Started' and has a dropdown menu open. The dropdown menu lists the following options: 'Not Started', 'In Progress', 'PNC', 'Open Enforcement Action', 'No Finding', 'Not Applicable', and 'Removed from Scope'. The 'FORM_01_EIR_Status' label is visible at the bottom left of the dropdown area.

Training Materials Modified: The CEA user guide will need to be updated to reflect the new statuses.

User Story # 22189, 25705

Description of Issue: Audits - CEA - Working Papers and Auditor Review Notes

Users Affected: CEA

Description of Change: This user story was to improve the CEA field work notes generated as part of monitoring engagements and resolve challenges with notes functionality as it existed from the initial Release 3 rollout. From the Audits and Spot Checks module, when a CEA user opens an ME record in In Progress or In Review Status, the CEA user will have the ability to create a new Auditor Review Note or update an existing Auditor Review Note if previously created. Please note, any CEA notes created in the Notes section are not migrated to the new Auditor Review Note area. That data remains as entered by Regional Entities through previous activities.

Each requirement Working Paper displays a hyper link that when clicked opens the window for Auditor Review Notes, whether to create a new note or edit an existing note. Any CEA notes entered here will NOT be visible or accessible to an entity user but are accessible by other region users (NERC user visibility

for Oversight purposes will be addressed in the future). Auditor Review Notes can only be created or edited while the overall ME record is in In Progress or In Review status. Once an ME record is marked Review Completed (and progressed through other statuses of Final and Closed), the Auditor Review Notes are read-only and cannot be edited. CEA users will click either the + button or Edit Note button to document text for Auditor Review Notes.

Working Papers					
ENTITY REQUIREMENT	TEAM MEMBERS ASSIGNED	WORKING PAPER STATE	REVIEW STATUS	AUDITOR REVIEW NOTE	ACTION BUTTONS
CIP-002-5.1a R1. for NCR [redacted] -MRO	MRO Editor 1	Not Started	In Progress	+	
CIP-002-5.1a R2. for NCR [redacted] -MRO	Assign Team Member	Not Started	Not Started	+	
FAC-008-5 R3. for NCR [redacted] -MRO	Assign Team Member	Not Started	Not Started	+	
PRC-002-4 R2. for NCR [redacted] -MRO	Assign Team Member	Not Started	Not Started	Edit Note	
PRC-002-4 R3. for NCR [redacted] -MRO	Assign Team Member	Not Started	Not Started	+	

When creating a new Auditor Review Note, the pop-up will provide a text box for CEA staff to add their information. Additionally, there is a checkbox that can be selected if the requirement is applicable to an Open Enforcement Action, "Select this checkbox if requirement is applicable to an Open Enforcement Action." If the checkbox is checked, an additional text box "Open Enforcement Action" will appear for the CEA user to add OEA information notes. As needed throughout the CEA user's work, the user will save (clicking the Update button) their notes to ensure updates are maintained in the system. CEA users will continue to follow the **Data Handling in Align and the SEL⁴** guidance.

⁴ Guidance on Data Handling in Align and the SEL can be found at this link:
https://www.nerc.com/ResourceCenter/Align%20Documents/Align-and-SEL-Data-Handling_August_2021.pdf

For the Open Enforcement Action Notes text, if the check box is unchecked after text is entered (saved previously), the text can be accessed again if needed. If a CEA user enters text, then closes without clicking Update, the text would not have been saved. However, if CEA users type text, click Update, then go back to uncheck the box, the notes can be accessed again if the checkbox is re-checked. If for some reason previously entered Open Enforcement Action Notes need to be removed, CEA users will need to specifically delete the text, click Update, then uncheck the box.

Additionally, CEA users will not be able to add Auditor Review Notes for requirements marked with a Review Status of “Removed from Scope.”

Any text copied into these sections of an Auditor Review Note will not retain formatting if copy-and-paste steps are used (e.g., ctrl+c/ctrl+v keyboard shortcut). However, dragging selected text over from a separate window (i.e. Word document file) will copy over formatting with the selected text (referred to as drag-and-drop).

Training Materials Modified: The CEA user guide will need to be updated to reflect the new functionality.

User Story # 22774

Description of Issue: Working papers not visible for the audit - but do show in report

Users Affected: CEA, Registered Entity

Description of Change: For entities with very long names, the ME records’ Working Papers were not visible (example, an entity name over 100 characters). The system was fixed to ensure truncation of long entity names does not prohibit the visibility of Working Papers on ME records.

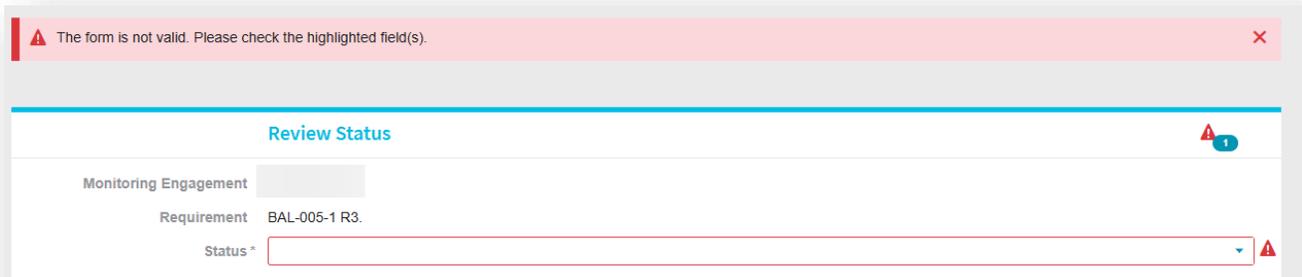
Training Materials Modified: N/A

User Story # 23027

Description of Issue: Working paper with Review Status of No Finding does not have flag to generate PNC and review status link is missing

Users Affected: CEA

Description of Change: CEA users were previously able change a Working Paper Review Status to blank/null, which prevented the ability of getting the "Create a Finding" action button. It is now required that a status be selected (cannot be saved blank/nulled out) which ensures the Create a Finding flag will show. If a CEA user attempts to update a Review Status to a null value, the system will display an error message, "The form is not valid. Please check the highlighted field(s)."



Training Materials Modified: N/A

User Story # 23042

Description of Issue: Functions or Requirements added to an existing Audit Finding in Draft status appear invisible

Users Affected: CEA

Description of Change: When CEA Users previously added functions or requirements to an existing audit Finding in "Draft" status (a Finding record created from an ME record), the added functions or requirements would not display.

FINDINGS FROM THIS AUDIT				
UNIQUE ID	STANDARD AND REQUIREMENT	START DATE	CREATED ON	STATUS
2025-50001	CIP-002-5.1a R1.	04/01/2024	01/03/2025	Draft

2025-50001

Instructions

Complete the information on this form and save. When you are ready to submit, select the

General Information

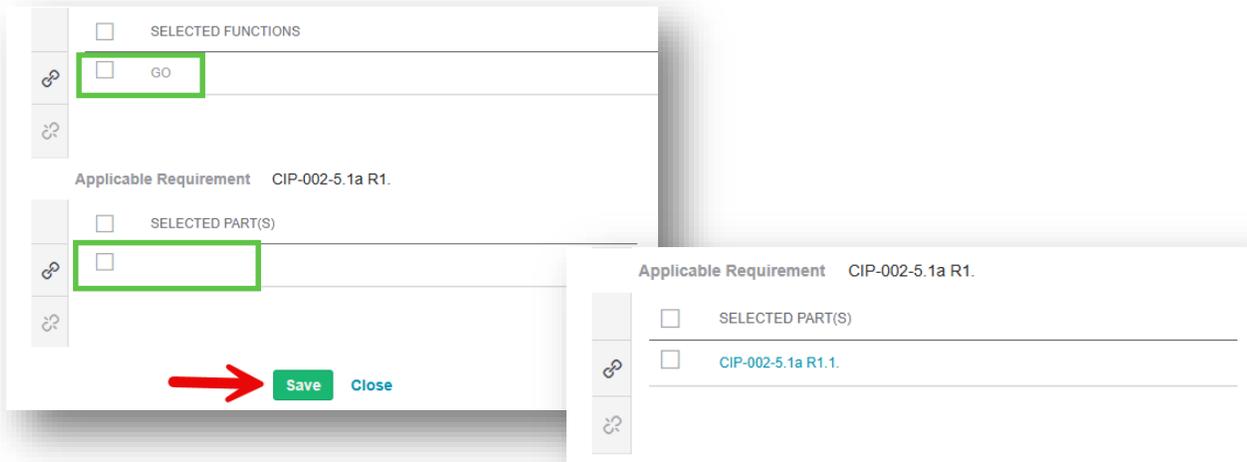
Registrations

	REGISTRATION ID
<input type="checkbox"/>	
<input type="checkbox"/>	
<input type="checkbox"/>	
<input type="checkbox"/>	SELECTED FUNCTIONS

Applicable Requirement CIP-002-5.1a R1.

	SELECTED PART(S)
<input type="checkbox"/>	This table is empty

The system will now display the related Functions, and the related Requirement will show once the draft record is saved and updated. There is a system limitation at the time of release that prevents the system from displaying the selected Applicable Requirement and will be resolved when the audit finding form is updated to v3.



Training Materials Modified: N/A

User Story # 23352

Description of Issue: Audits - Working Papers by requirement *CO Group Only*

Users Affected: Registered Entity, CEA, NERC

Description of Change: When an Audit or Spot Check record includes a Coordinated Oversight (CO) Group, Working Papers do not need to be duplicated for each requirement for each NCR of the CO Group. CEA users can select a primary/lead NCR of the CO Group that will generate which Working Papers to create the engagement scope.

The ME record will generate Working Papers for each requirement of the engagement scope based on which NCR(s) is populated in the “Select Participating CO Group Registration” section. Remaining applicable CO Group registrations should be populated into the “Impacted Registrations” list. CEA users should ensure NCR(s) chosen for “Select Participating CO Group Registrations” will include the desired requirements needed for conclusions. For example, if one NCR is applicable to a unique requirement that will need to have a Review Status populated, that NCR should be included in the “Select Participating CO Group Registrations.”

ME25-00785

Select Participating CO Group Registrations

Coordinated Oversight Group CO Group No. [input]

NAME

  This table is empty

WARNING: At this time, registrations and/or CO Groups cannot be automatically copied from the schedule. Until this issue is resolved, please re-enter the Registration and/or CO Group before proceeding.

Working Papers will be created for each registration of the CO Group linked in the "Select Participating CO Group Registrations" section. If you require individual responses from multiple registrations within a CO Group, please select the respective registrations. If only one set of Working Papers is requested, ensure the desired registration is selected in this section.

Selected Registrations/CO Group on the Scheduled Engagement CO Group No. [input]

Impacted Registrations

REGISTRATION ID

  This table is empty

The CEA user will relate the desired NCR(s) of the CO Group in the “Select Participating CO Group Registrations” section and then relate the remaining desired NCRs of the CO Group in the “Impacted Registrations” section. Once the registrations are added, the ME record must be updated in order to populate other areas (e.g., engagement scope picker).

ME25-00785

Select Participating CO Group Registrations

Coordinated Oversight Group CO Group No. [REDACTED]

<input type="checkbox"/>	NAME
<input type="checkbox"/>	NCR [REDACTED]-MRO

WARNING: At this time, registrations and/or CO Groups cannot be automatically copied from the schedule. Until this issue is resolved, please re-enter the Registration and/or CO Group before proceeding.

Working Papers will be created for each registration of the CO Group linked in the "Select Participating CO Group Registrations" section. If you require individual responses from multiple registrations within a CO Group, please select the respective registrations. If only one set of Working Papers is requested, ensure the desired registration is selected in this section.

Selected Registrations/CO Group on the Scheduled Engagement CO Group No. [REDACTED]

Impacted Registrations

<input type="checkbox"/>	REGISTRATION ID
<input type="checkbox"/>	NCR [REDACTED]-MRO
<input type="checkbox"/>	NCR [REDACTED]-MRO
<input type="checkbox"/>	NCR [REDACTED]-RF

Regional Entities are encouraged to only use this functionality for newly created ME records in Planned status at the time of Release 7.2 deployment. Due to system configuration, attempting to use this after the ANP is submitted to an entity could lead to complications in entity submitting their working paper responses.

Training Materials Modified: The Registered Entity and CEA user guide will need to be updated to reflect the new CO Group functionality.

User Story # 23354

Description of Issue: Audits - Sharing Reports and Documents

Users Affected: Registered Entity, CEA, NERC

Description of Change: For CEA users, the ME record General tab has a section for Upload Reports and Documents (uploaded files by CEA). When the CEA uploads a document for Opening Presentation, Exit Briefing, Non-Public Report, or the Public Report, the CEA will check a box when each file should be made visible to the entity. With this update to the "Upload Reports and Documents" section, for the CEA view, there is text that says, "Any documents marked submit to entity will be accessible to the entity. Please

ensure the document is ready before updating the submit selection." Once the CEA selects the box for entity visibility and updates the ME record, the entity user will be able to access the uploaded file. Please note, email notifications are not configured for this action. Regional Entities should ensure registered entities are notified when any files are made visible to them on the General tab of the monitoring engagement.

Upload Reports and Documents

Any documents marked submit to entity will be accessible to the entity. Please ensure the document is ready before updating the submit selection.

Upload Audit Daily Status Report

Entity Non-Public Report Visibility

Upload Non-Public Report

Entity Public Report Visibility

Upload Public Report

Entity Exit Briefing Visibility

Upload Exit Briefing

Entity Opening Presentation Visibility

Upload Opening Presentation

Upload Supporting Documents

Exit Briefing Date Conducted

Opening Presentation Date Conducted

The "Supporting Documents" files CEA uploads will NOT be accessible to the entity or to NERC; that field remains only accessible to the CEA. The Daily Status Report field was not part of this scope and may be addressed later.

Training Materials Modified: The Registered Entity and CEA user guide will need to be updated to reflect the new functionality.

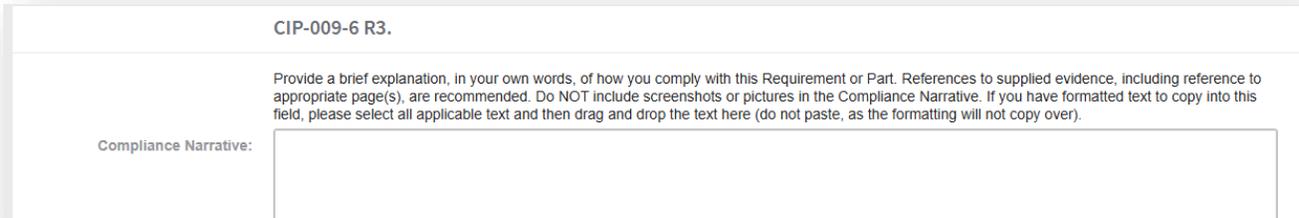
User Story # 23889

Description of Issue: Audits - Entity - Working Papers Need updated instructions

Users Affected: Registered Entity

Description of Change: When an entity user navigates to the Working Papers tab of an ME record, the instructions need to be updated to include no screenshots or pictures in the text box and instructions for how to copy over formatted text since copy/paste doesn't work. Updated instructions now display:

"Provide a brief explanation, in your own words, of how you comply with this Requirement or Part. References to Supplied evidence, including reference to appropriate page(s), are recommended. Do NOT include screenshots or pictures in the Compliance Narrative. If you have formatted text to copy into this field, please select all applicable text and then drag and drop the text here (do not paste, as the formatting will not copy over)."



The screenshot shows a form titled "CIP-009-6 R3." Below the title, there is a text area with the instruction: "Provide a brief explanation, in your own words, of how you comply with this Requirement or Part. References to supplied evidence, including reference to appropriate page(s), are recommended. Do NOT include screenshots or pictures in the Compliance Narrative. If you have formatted text to copy into this field, please select all applicable text and then drag and drop the text here (do not paste, as the formatting will not copy over)." To the left of this text area, the label "Compliance Narrative:" is visible. The text area itself is empty, indicating where the user's response should be entered.

Training Materials Modified: The Registered Entity user guide will need to be updated to reflect the new instructions.

User Story # 25529

Description of Issue: Every registered entity appears within 'Lead Entity' dropdown menu on Monitoring Engagement form

Users Affected: CEA

Description of Change: When a CEA user selects the 'Lead Entity' dropdown arrow on a Monitoring Engagement form, all registered entities for each jurisdiction previously appeared within the menu. The drop-down action has been removed from the field (no longer displaying all entities in a list).

This story removed the drop-down menu from this field to avoid showing all entities. CEA users will need to use the magnifying glass button, which will filter the list of entities to display only the entities on the engagement (this will only work after the entities have been added to the engagement AND the engagement has been updated). For Coordinated Oversight Groups, the list will populate with the NCR(s) picked in the "Select Participating CO Group Registrations" section.

Training Materials Modified: N/A

User Story # 27835

Description of Issue: Audits: Create a Finding and Linking Impacted Registrations

Users Affected: CEA

Description of Change: To match functionality with User Story 23352, the Create a Finding action was updated for CEA users to populate with all registrations associated with the engagement. Previously, the picker for related Registrations with a Draft Finding created from Coordinated Oversight monitoring engagements only displayed those listed in the “Selected Participating CO Group Registrations” section. With the added section for “Impacted Registrations,” the Draft Finding picker for related Registrations will now display all NCRs listed in the engagement.

Training Materials Modified: N/A

Reporting Module

User Story # 27851

Description of Issue: Add a data field in reporting universe that clones the Entity/Registration Jurisdiction attribute to each main data folder to allow users to filter more easily on jurisdiction

Users Affected: CEA and NERC

Description of Change: This change updates several of the Reporting folders to include a reference to the Jurisdiction of the Registered Entity to each folder. This change will allow NERC and Regions to filter and report on the Jurisdiction. The following Reporting folders were updated:

- Entities-> Region Jurisdiction -> Has Jurisdiction field already, but added to Registration class Jurisdiction field (R Registration Jurisdiction)
- Issue Management -> Findings -> added F Registration Jurisdiction
- Issue Management -> Mitigation -> added M Registration Jurisdiction
- Issue Management -> Potential Non Compliance -> added PNC Registration Jurisdiction
- Issue Management -> Enforcement Action -> added EA Registration Jurisdiction
- Issue Management -> Disposition -> added D Registration Jurisdiction
- Release 2 Elements -> Periodic Data Submittal -> added Registration Jurisdiction
- Release 2 Elements -> Periodic Data Submittal Distribution -> added Registration(s) Jurisdiction
- Release 2 Elements -> Self-Certification -> added Registration Jurisdiction
- Release 2 Elements -> Self-Certification Distribution -> added Applicable Registered Entities Jurisdiction
- Release 2 Elements -> Technical Feasibility Exception -> added Registration Jurisdiction
- Release 2 Elements -> Applicability Exception -> added Registration Jurisdiction
 - Release 2 Elements -> Attestation Reaffirmation Request -> linked to Applicability Exception so should filter based on that folder’s data element

- Release 2 Elements -> Attestation Reaffirmation -> linked to Applicability Exception so should filter based on that folder's data element
- Release 2 Elements -> Attestation Review -> linked to Applicability Exception so should filter based on that folder's data element
- Release 3 Elements -> Audit -> added Audit Registrations Jurisdiction
 - Release 3 Elements -> Audit Scope Justification -> linked to Audit so should filter based on that folder's data element
 - Release 3 Elements -> Areas of Concern -> linked to Audit so should filter based on that folder's data element
 - Release 3 Elements -> Positive Observation -> linked to Audit so should filter based on that folder's data element
 - Release 3 Elements -> Recommendations -> linked to Audit so should filter based on that folder's data element
 - Release 3 Elements -> Work Papers -> linked to Audit so should filter based on that folder's data element
- Release 3 Elements -> Audit Notification Letter -> added Registrations/CO Group Jurisdiction
- Release 3 Elements -> Audit RFI -> added Registration Jurisdiction
- Release 3 Elements -> Audit Report / Related ARPs -> added Registration Jurisdiction
- Release 3 Elements -> Audit Finding -> added Registration Jurisdiction
- Release 3 Elements -> Scheduling -> added CO Group Registrations Jurisdiction
 - Release 3 Elements -> Scheduling Milestones -> linked to Scheduling so should filter based on that folder's data element
- Release 4 Elements -> Compliance Oversight Plan -> added Registration Jurisdiction (With formula like Registration field)
- Release 4 Elements -> Internal Control Assessments -> added Registration Jurisdiction
- Release 4 Elements -> Inherent Risk Assessment -> added Registration Jurisdiction (With formula like Registration field)
- Release 4 Elements -> IRA Questionnaires - Risk Factor Questionnaire -> added Registration Jurisdiction
- Release 4 Elements -> IRA Questionnaires - ERPQ Questionnaire -> added Registration Jurisdiction

NOTE: An additional user story will need to be deployed to Production that adds this field to the data model.

Training Materials Modified: N/A

User Story # 23201

Description of Issue: Add a data fields in reporting universe

Users Affected: CEA and NERC

Description of Change: This change adds the ability to run reports in Align to see the Area of Concern, Positive Observation, and Recommendations for PDS and Self-Certification records. It also adds the ability to run a report for completed mitigations to see which ones have been sent to verification.

Training Materials Modified: N/A

User Story # 25236

Description of Issue: Adding Auditor Review Note data points to the reporting universe

Users Affected: CEA and NERC

Description of Change: Adding data points to the reporting universe for Auditor Review Note elements for the following:

- Label
- Auditor Note
- Applicable to Open Enforcement Action?
- Working Paper
- Monitoring Engagement
- Creator
- Created On
- Changed By
- Changed On
- Still Open?

Note, the “Open Enforcement Action Notes” data point was not included as part of this user story. It will be addressed in a future release.

Training Materials Modified: N/A

Appendix A – Table of User Stories

ID	Chapter	Title
25035	Multiple Modules	Portlet, form, and email fixes to consistently show the Audit Finding ID instead of the Finding ID – Entity Mitigation Management Portlets
25036	Multiple Modules	Portlet, form, and email fixes to consistently show the Audit Finding ID instead of the Finding ID – CEA Mitigation Management Portlets
25037	Multiple Modules	Portlet, form, and email fixes to consistently show the Audit Finding ID instead of the Finding ID – CEA PNC Processing Portlets
25038	Multiple Modules	Portlet, form, and email fixes to consistently show the Audit Finding ID instead of the Finding ID – CEA CMEP Activity Search Portlets
25039	Multiple Modules	Portlet, form, and email fixes to consistently show the Audit Finding ID instead of the Finding ID – NERC Enforcement Processing Portlets
25040	Multiple Modules	Portlet, form, and email fixes to consistently show the Audit Finding ID instead of the Finding ID – NERC Mitigation Management Portlets
25041	Multiple Modules	Portlet, form, and email fixes to consistently show the Audit Finding ID instead of the Finding ID – Entity, CEA, NERC Mitigation Form
25042	Multiple Modules	Portlet, form, and email fixes to consistently show the Audit Finding ID instead of the Finding ID – CEA, NERC PNC Form
25043	Multiple Modules	Portlet, form, and email fixes to consistently show the Audit Finding ID instead of the Finding ID – CEA, NERC EA Forms
25044	Multiple Modules	Portlet, form, and email fixes to consistently show the Audit Finding ID instead of the Finding ID – CEA, NERC Disposition Forms
25045	Multiple Modules	Portlet, form, and email fixes to consistently show the Audit Finding ID instead of the Finding ID – CEA, NERC Notification Form
25046	Multiple Modules	Portlet, form, and email fixes to consistently show the Audit Finding ID instead of the Finding ID – NERC FERC Reporting Portlet
26842	Multiple Modules	Portlet, form, and email fixes to consistently show the Audit Finding ID instead of the Finding ID – Entity Finding Form
18243	Scheduling Module	Create Scheduled Engagements - duplicate entities
22368	Scheduling Module	Cannot cancel Scheduled ME records
19497	Audits and Spot Checks Module	Working paper with Review Status of PNC does not have flag to generate PNC
22185	Audits and Spot Checks Module	Audits - CEA - Working Papers Tab View

22187	Audits and Spot Checks Module	Audits - CEA - Working Papers and Review Status
22189, 25705	Audits and Spot Checks Module	Audits - CEA - Working Papers and Auditor Review Notes
22774	Audits and Spot Checks Module	Working papers not visible for the audit - but do show in report
23027	Audits and Spot Checks Module	Working paper with Review Status of No Finding does not have flag to generate PNC and review status link is missing
23042	Audits and Spot Checks Module	Functions or Requirements added to an existing Audit Finding in Draft status appear invisible
23352	Audits and Spot Checks Module	Audits - Working Papers by requirement *CO Group Only*
23354	Audits and Spot Checks Module	Audits - Sharing Reports and Documents
23889	Audits and Spot Checks Module	Audits - Entity - Working Papers Need updated instructions
25529	Audits and Spot Checks Module	Every registered entity appears within 'Lead Entity' dropdown menu on Monitoring Engagement form
27835	Audits and Spot Checks Module	Audits: Create a Finding and Linking Impacted Registrations
27851	Reporting Module	Add a data field in reporting universe that clones the Entity/Registration Jurisdiction attribute to each main data folder to allow users to filter more easily on jurisdiction
23201	Reporting Module	Add data fields in reporting universe
25236	Reporting Module	Adding Auditor Review Note data points to the reporting universe

Appendix B – Revision History

Revision History		
Version	Date	Revision Details
1.0	5/16/2025	Initial Draft