# Align Release Notes

## Release 7.4.0
## Date of Deployment: September 6, 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 ensure effective implementation of the CMEP. Maintenance may include modifications to correct existing objects, notifications, records, workflows, etc.  Enhancements may include new or improved functionality, workflows, reports, etc. These changes are expected as these CMEP tools are adjusted from their initial deployment to provide additional user functionality, efficiency, and enhancements to usability.

## Purpose

As changes are implemented to the CMEP tools, training and training materials provided during initial deployment may no longer be accurate. As part of an effective communication plan and to assure the effectiveness of user training, NERC is providing detailed release notes in this report. These release notes include detailed information regarding what features are changing or being added, what users are impacted by the changes, and if current training materials are impacted and have been updated. Users are encouraged to familiarize themselves with any changes that impact features or workflows regularly used.

## Terminology

Ongoing maintenance and enhancement of the CMEP Tools is conducted using an adaptive and iterative software development process. Terminology used within this document may refer to various processes most users may be unfamiliar with.

**CEA**: Compliance Enforcement Authority

**COP**: Compliance Oversight Plan

**IRA**: Inherent Risk Assessment

**Module**: Used to refer to a set of features used within Align. As shown in **Figure 1**, each item that can be selected from the My Align drop-down menu is a Module. *Example: Risk and Planning*

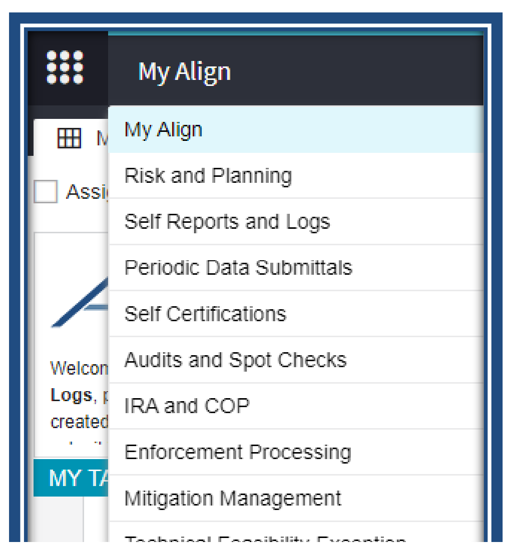


**Figure 1: My Align Drop-Down Menu**

**User Story #**: As shown in **Figure 2**, a unique number is used by the developers, NERC IT, and testers when referencing discrete changes. This number is used to aggregate all details, testing, and development information regarding a specific change. This number is not used by most CMEP tool users and users are not expected to become familiar or track these numbers. These numbers are provided for transparency purposes regarding changes and change controls. However, users may leverage these numbers to facilitate any follow up discussion, troubleshooting, testing, or IT support ticket details.

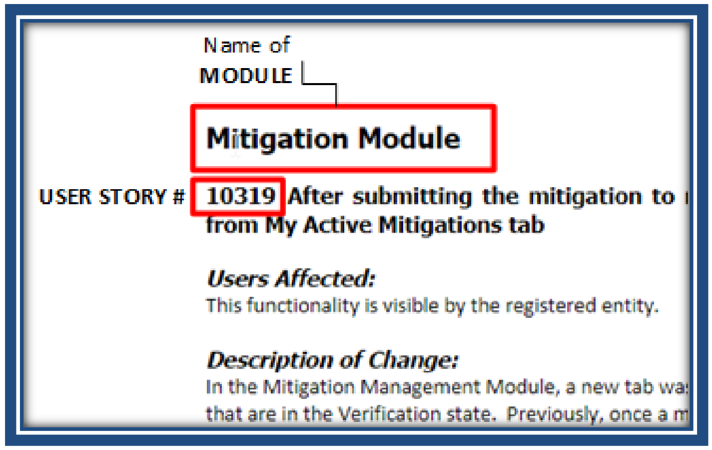



**Figure 2: Elements of a User Story**

## Enforcement Processing Module

**User Story # 18100, 23009**
Description of Issue: Audit Finding ID in SEL Path is still incorrect in some cases; ERO-33340; ERO-40688; ERO-43566; ERO-36607

Users Affected: Registered Entities and CEA

Description of Change: In April 2024, there were corrections to the SEL Reference ID formulas, but after deployment it was identified that not all Audit Finding IDs were corrected in the SEL Path. The Align Production environment used a different field than the lower environment to reference the Audit Finding ID is the SEL Path. This change corrects the SEL Path for Audit Finding ID by using the original finding displaystring instead of the original finding label.

Training Materials Modified: N/A

**User Story # 22014[1]**
Description of Issue: Performance - Look at class attributes and related triggers

Users Affected: N/A

Description of Change: A new attribute class was needed by developers on the Finding, PNC, Mitigation, and RFI classes to capture the workflow steps, specifically the Previous Step, Current Step, Previous Step Executed BY and Previous Executed On. These attributes existed in a Workflow class but need to be added to the Finding, PNC, Mitigation, and RFI classes to eliminate multiple joins in the datastores.

Training Materials Modified: N/A

**User Story # 22816**
Description of Issue: Email notification shows Finding IDs not matching; ERO-39888

Users Affected: Registered Entities and CEA

Description of Change: When an Audit Finding ID passed the preliminary screen, the email that triggered referenced the non-Audit Finding ID. This change corrects the "Registered Entity Notification that PNC has passed screening" email language to only reference the Audit Finding ID, in the subject line and body of the email.

Training Materials Modified: N/A

**User Story # 23678**

[1] This user story is related to User Story #20718, 20719. This user story also addresses user story 33996.

Description of Issue: RFI - As a CEA user, the Respondent Contact should not be editable on the RFI after it is saved to Draft state

Users Affected: CEA

Description of Change: When an RFI is first created, the Respondent Contact is auto-populated with the PCC contact for the entity. Upon saving and reopening of the Draft RFI, the Respondent Contact was editable. This change corrects this to make the Respondent Contact read-only on the Draft RFI form.

Training Materials Modified: N/A

**User Story # 23679**

Description of Issue: Notification object does not allow CEA user to view Response Attachments

Users Affected: CEA

Description of Change: The Notification object allows the CEA and Registered Entity to attach documents to the object. The Notification object would only allow the CEA user that issued the Notification to view and access the Response Attachments from the Registered Entity; a second CEA user was unable to view the Response Attachments field. This change corrects the permission by adding Notification Read profile to the Response attachment field, which allows these users to view any response attachments.

Training Materials Modified: N/A

**User Story # 24285**

Description of Issue: Entity Information tab related affiliates section gets cut off; ERO-41151

Users Affected: CEA and NERC

Description of Change: The 'Entity Information' module includes Relationship information from the CORES/XRM platform for Registered Entities. This change updates this section to have all the data fields on the left-hand side instead of split into two rows. This change ensures that text does not overlap over the other data fields.

Training Materials Modified: N/A

**User Story # 24411**

Description of Issue: Registered Entity – Export of Applicable Reliability Standards

Users Affected: Registered Entity

Description of Change: In Self-Reports and Logs module, My Registrations portlet, the little blue arrow that allows the Registered Entity to view applicable Reliability Standards does not limit the standards for that registration and instead shows all Reliability Standards. This modification will limit the Reliability Standards that are applicable to that Registered Entity and its applicable functions.

Training Materials Modified: N/A

**User Story # 25241**
Description of Issue: Entity Information - Add new Self-Logging fields

Users Affected: CEA and NERC

Description of Change: The Self-Log information that is captured in "Entity Information" module has been modified to include additional fields related to Self-Logging process. The CEA or NERC can capture notes related to Self-Logging and indicate whether the Registered Entity was approved to Self-Log for all Reliability Standards, only CIP Reliability Standards, or only O&P Reliability Standards. The data field "Self-Logging Notes" is a text box and "Self-Log Standards" is a drop down that allows single select from the following options: All, O&P, CIP. The reporting universe was also updated to include these two new data files [R Self-Logging Notes] and [R Self-Log Standards] under the Entities->Registration folder.

Training Materials Modified: The CEA Enforcement and Mitigation User Guide was updated with new screenshots capturing the new data fields. The section that was updated is "Entity Information: Self-Log" (slides 137-138).

**User Story # 25681**
Description of Issue: Correct issues with Consolidated Audit Findings

Users Affected: CEA

Description of Change: When an audit finding is consolidated, it was creating an EA record for the consolidated ID as well as the consolidation record. This change corrects it so when an audit finding is consolidated into another audit finding or a non-audit finding, an orphan EA record is not also created. The Region will now only see the consolidation record on the Open Enforcement Actions tab.

Training Materials Modified: N/A

**User Story # 28984**
Description of Issue: Provide Notification Hyperlink to BC Regulator View

Users Affected: BC Regulator and WECC CEA

Description of Change: The BC Regulator view was updated so that these users can view the notification object. On the Active Disposition tab, after the user clicks on the Active Disposition that it wants to view, on the lower right portlet "Associated Notifications" the BC Regulator users can now click on the

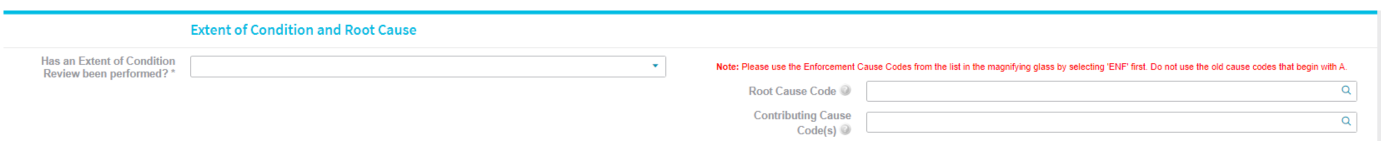
Notification object to view the Notification that was submitted to the entity and any response from that entity, including the ability to view the attachments.

Training Materials Modified: N/A

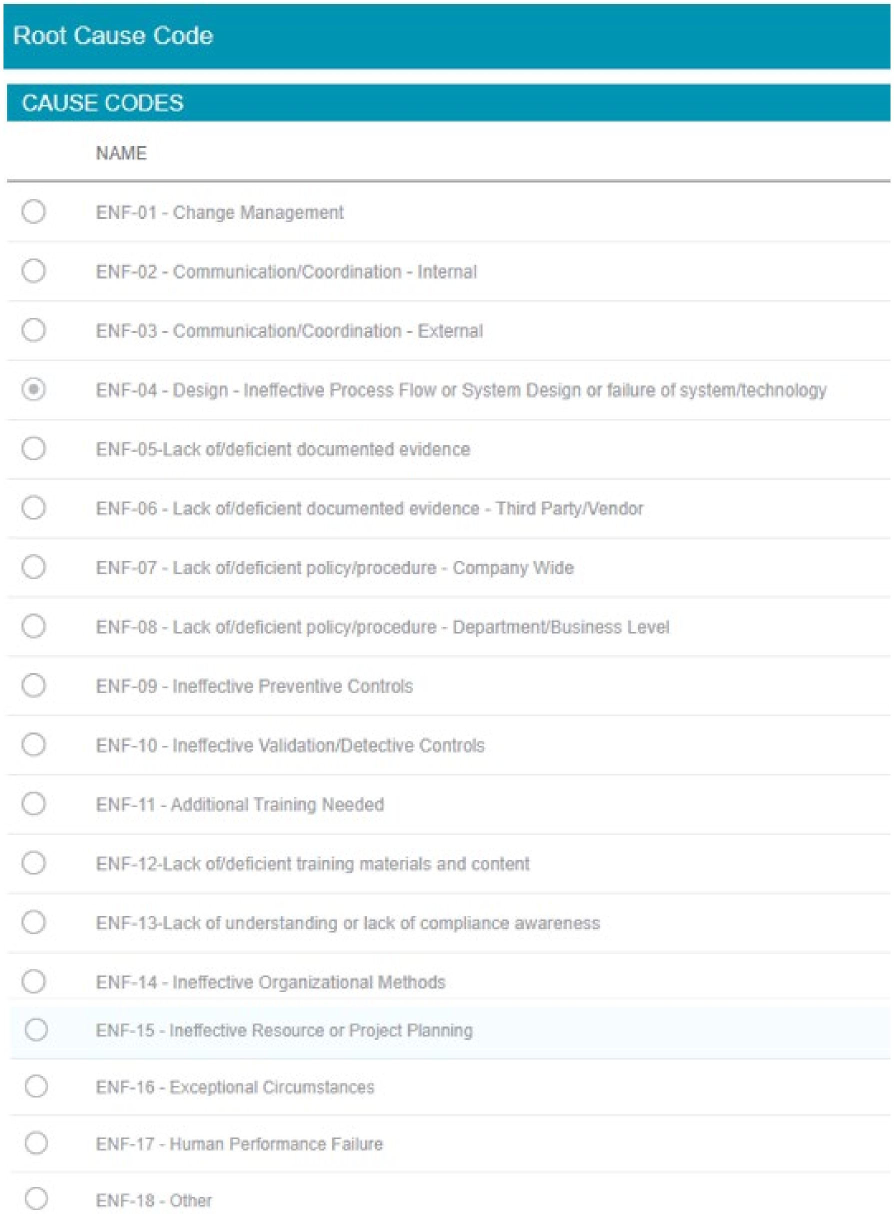
**User Story # 22881**[2]
Description of Issue: FINDING: Create two new fields on the ENTITY Finding forms and data universe

Users Affected: Registered Entities and CEA

Description of Change: In the Registered Entity Finding form and the CEA Finding form, the Registered Entity and CEA will see two new data fields ("Root Cause Code" and "Contributing Cause Code(s)") under the "Extent of Condition and Root Cause" section. The "Root Cause Code" field is a single-select item, the Registered Entity will click the magnifying glass, and a new window will open that will show the Enforcement Cause Codes that are available for selection. The "Contributing Cause Code(s)" field is a multi-select item, the Registered Entity will click the magnifying glass, and a new window will open that will show the Enforcement Cause Codes that are available for selection. The Enforcement Cause Codes all start with "ENF" in the code. These fields will be visible to the CEA once the Registered Entity submits the Finding for Preliminary Screening review. The fields will be visible to the Registered Entity if the Cause Codes were added from a Finding form.




[2] This user story also addresses user story 33768.




<u>Training Materials Modified</u>: The Registered Entity Align Enforcement and Mitigation User Guide was updated to discuss the two new data fields. The section that was updated is "Creating a Finding: Extent of Condition" which discusses the Extent of Condition and Root Cause section (slides 21-22). The subsequent numbering for the rest of the Creating a Finding slides will need to be updated to reflect the new numbers.

**User Story # 25034**[3]

Description of Issue: Cause Codes - Modify descriptions on cause codes

Users Affected: Registered Entities and CEA

Description of Change: The Enforcement Cause codes had some modifications to the descriptions; this user story updates eight of the cause code descriptions.

| Old Cause Code Name | New Cause Code Name |
|---|---|
| ENF 04 Design - Ineffective Process Flow or System Design | ENF 04 Design - Ineffective Process Flow or System Design or failure of system/technology |
| ENF-05 - Activity Performed but Lack of or Deficient or Incorrect Documentation | ENF-05 - Lack of/deficient documented evidence |
| ENF 06 Activity Performed but Lack of or Deficient or Incorrect Documentation from Third Party | ENF 06 Lack of/deficient documented evidence - Third Party/Vendor |
| ENF 07 Lack of or Deficient Policy/Procedure/Process - Company Wide | ENF 07 Lack of/deficient policy/procedure - Company Wide |
| ENF 08 Lack of or Deficient Policy/Procedure/Process - Department/Business Level | ENF 08 Lack of/deficient policy/procedure - Department/Business Level |
| ENF-12 - Ineffective Training Program | ENF-12 - Lack of/deficient training materials and content |
| ENF-13 - Lack of Understanding | ENF-13 - Lack of understanding or lack of compliance awareness |
| ENF 14 Ineffective Management Oversight | ENF 14 Ineffective Organizational Methods |

Training Materials Modified: The Registered Entity Align Enforcement and Mitigation User Guide was updated with new functionality for User Story #22881, which included the updated screenshot with new cause code descriptions. The Registered Entity Align Enforcement and Mitigation User Guide was updated with new screenshot showing the new cause code descriptions. The section that was updated is “Creating a Finding: Extent of Condition and Root Cause” (Slide 19). The subsequent numbering for the rest of the Creating a Finding slides will need to be updated to reflect the new numbers.

[3] This user story also addresses user story 33772.

## Mitigation Management Module

**User Story # 7446**

Description of Issue: Email Notification that Mitigation has been submitted

Users Affected: Registered Entities and CEA

Description of Change: A new email has been created that will trigger once a Registered Entity submits mitigation to the CEA for review. The email will trigger from the "Self-Report and Logs" module if the Registered Entity checks the box on the draft finding object "Submit Mitigations for Review with Findings." The email will also trigger if the Registered Entity submits the draft mitigation from the "My Draft Mitigation" tab under "Mitigation Management" module record by selecting the action "Submit for CEA Review." The email will be sent to both the Registered Entity and CEA indicating that the mitigation record was submitted. Subject Line will be: "Mitigating Activities has been submitted - (Unique Finding ID)" or "Mitigation Plan has been submitted - (Unique Finding ID)"

Training Materials Modified: The Registered Entity Align Enforcement and Mitigation User Guide will need to be updated to show this new email under the following slides: "Creating a Finding: Mitigation Information," "Submitting Mitigating Activities," and "Emails."

**User Story # 7447**

Description of Issue: Create notification for Milestone Extension Request to the CEA

Users Affected: Registered Entities and CEA

Description of Change: A new email notification was created to trigger when the Registered Entity submits a Milestone Extension Request to the CEA. Previously, there was no email notification for this action. The email will be sent to the Registered Entity and the CEA. Subject Line will be: "Mitigating Activities Milestone Extension Requested – [Unique Finding ID] – [Unique Milestone ID] (Unique Milestone Extension Request ID)" or "Mitigation Plan Milestone Extension Requested – [Unique Finding ID] – [Unique Milestone ID] (Unique Milestone Extension Request ID)"

Training Materials Modified: The Registered Entity Align Enforcement and Mitigation User Guide was updated to note this new email notification. Specifically, the Emails slide (slide 71) shows "Mitigating Activities/Mitigation Plan Milestone Extension Requested" in the list of emails. The Registered Entity Align Enforcement and Mitigation User Guide was updated to note this new email notification. Specifically, the Emails slide (slide 71) shows "Mitigating Activities/Mitigation Plan Milestone Extension Requested" in the list of emails. The CEA Align Enforcement and Mitigation User Guide was updated to note the new email notification in the Emails slide (slide 142).

**User Story # 7675**

Description of Issue: Updating the Mitigation Status when in Complete state to show the Verification status instead of the workflow state

Users Affected: Registered Entities, CEA, and NERC

Description of Change: When the Mitigation record is completed it will be in the final workflow state of "Complete." Users noted that it would be helpful for Registered Entities and CEA to more easily identify whether the Mitigation record was "Verified Complete" by the CEA or if the CEA accepted the Certification without verification and the record was marked "Complete" by the CEA. This modification will update the portlets to reflect the Verification action, where applicable. If the Verification Action by the CEA is "Complete" then the user will see "Complete" in the column, if the Verification Action by the CEA is "Verified complete" then the user will see "Verified Complete" in the column, and if the Noncompliance and related Mitigation record were Dismissed by the CEA then the user will see "Complete." *NOTE, the CEA can modify the Verification action from the Completed Mitigations tab, and the users will see the updated status.* The following portlets were updated to reflect the updated Mitigation record status:

**Registered Entity Portlets**

- The "Mitigation" column in the "Enforcement Processing" module, on both the "My Open Findings" and the "My Closed Findings" tabs
- The "Status" column in the "Mitigation Management" module, on the "Completed Mitigations" tab

**NERC and CEA Portlets**

- The "Verification Action" column in the "Mitigation Management" module, on the "Completed Mitigations" tab
- The "Status" column in the "Mitigation Management" module, on the "All Mitigations" tab

Training Materials Modified: The Registered Entity Align Enforcement and Mitigation User Guide was updated to state the Registered Entity will see the updated status. In the 'Updating Mitigations: Complete Status' slides (Slide 65), new screenshot and language added to reflect the updated status information and what the Registered Entity should expect to see. The CEA Align Enforcement and Mitigation User Guide in 'Completed Mitigation' section (slide 129) was updated to reflect the change.

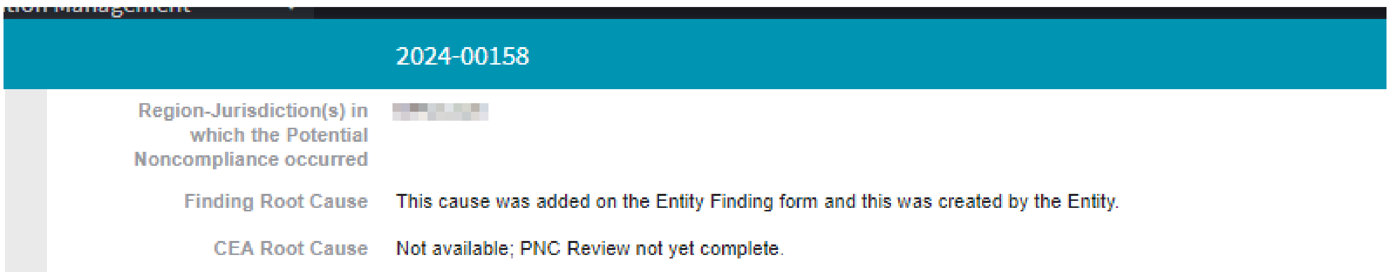
**User Story # 7686**

Description of Issue: When you view mitigation from "Draft Mitigations", display information from the finding record so that the user can reference it when filling out the info

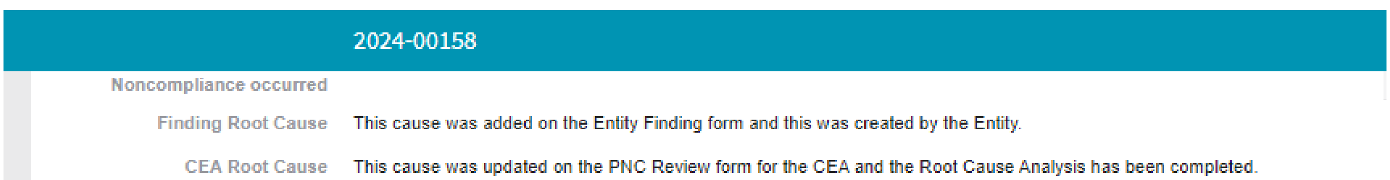
<u>Users Affected</u>: Registered Entities and CEA

<u>Description of Change</u>: On the Registered Entity Mitigation record, the users would like to see the Root Cause that was entered on the Finding form, as well as the CEA's Root Cause that is noted once PNC Review has been completed. The Registered Entity Mitigation forms have a new field "Finding Root Cause" which will add the content that was added on the Finding form. If the CEA creates the Finding, the cause from that form will also show in this field. The old field "Root Cause" has been renamed as "CEA Root Cause." The "CEA Root Cause" field is always populated by the CEA and will be visible to the Registered Entity on the Mitigation form once the Root Cause Analysis is completed during the PNC Review process.

*<u>Registered Entity Mitigation Form Prior to CEA's Root Cause Analysis being completed</u>*




*<u>Registered Entity Mitigation Form After CEA's Root Cause Analysis being completed</u>*




<u>Training Materials Modified</u>: The Registered Entity Align Enforcement and Mitigation User Guide was updated to show the new data fields in the screenshots. In the 'Submitting Mitigating Activities' slides (Slide 44), new screenshot and language added to reflect the new data field and what the Registered Entity should expect to see.

**User Story # 11298**
<u>Description of Issue</u>: Mitigation Portlet Changes for ENTITY

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

Description of Change: This change updates the Registered Entities view of the Mitigation Management module portlets to provide additional information and clarity on existing columns. The following portlet changes have been made to Mitigation Management module tabs:

**My Draft Mitigations tab**

- Rename 'START DATE' column to 'FINDING START DATE'
- Add 'FINDING END DATE' column after 'FINDING START DATE' column
  - Update 'FINDING START DATE' and 'FINDING END DATE' columns if the CEA updates these dates during its review on the PNC or EA review process
- Add 'ASSIGNED TO' column after 'MODIFIED ON' column

**My Active Mitigations tab**

- Rename 'START DATE' column to 'FINDING START DATE'
- Add 'FINDING END DATE' column after 'START DATE' column
  - Update 'FINDING START DATE' and 'FINDING END DATE' columns if the CEA updates these dates during its review on the PNC or EA review process
- Rename 'DATE SUBMITTED' column to 'DATE MIT SUBMITTED'
- Rename 'COMPLETION DATE' column to 'ENTITY COMPLETION DATE'
- Add new 'PLANNED COMPLETION DATE' column before 'COMPLETION DATE' column
- Split 'STANDARD/REQ' column into two separate columns, 'STANDARD' and 'REQ'
- Remove 'REGION AND JURISDICTION' columns
- Add 'ASSIGNED TO' column after 'MODIFIED ON' column

**Mitigations in Verification and Consolidated Mitigations tabs**

- Rename 'START DATE' column to 'FINDING START DATE'
- Add 'FINDING END DATE' column after 'START DATE' column
  - Update 'FINDING START DATE' and 'FINDING END DATE' columns if the CEA updates these dates during its review on the PNC or EA review process
- Rename 'DATE SUBMITTED' column to 'DATE MIT SUBMITTED'
- Rename 'COMPLETION DATE' column to 'ENTITY COMPLETION DATE'
- Add new 'PLANNED COMPLETION DATE' column before 'COMPLETION DATE' column
- Split 'STANDARD/REQ' column into two separate columns, 'STANDARD' and 'REQ'
  - Not applicable to Consolidated Mitigations tab - already separated here
- Remove 'REGION AND JURISDICTION' columns
- Add 'ASSIGNED TO' column after 'MODIFIED ON' column

**Completed Mitigations tab**

- Rename 'START DATE' column to 'FINDING START DATE'
- Add 'FINDING END DATE' column after 'START DATE' column
    - Update 'FINDING START DATE' and 'FINDING END DATE' columns if the CEA updates these dates during its review on the PNC or EA review process
- Rename 'DATE SUBMITTED' column to 'DATE MIT SUBMITTED'
- Rename 'COMPLETION DATE' column to 'ENTITY COMPLETION DATE'
- Add new 'PLANNED COMPLETION DATE' column before 'COMPLETION DATE' column
- Split 'STANDARD/REQ' column into two separate columns, 'STANDARD' and 'REQ'
- Remove 'REGION AND JURISDICTION' columns
- Add 'ASSIGNED TO' column after 'MODIFIED ON' column

Training Materials Modified: The Registered Entity Align Enforcement and Mitigation User Guide was updated to reflect the new columns, the screenshots of the portlets were updated throughout the guide.

### User Story # 24326

Description of Issue: Mitigation Portlet Changes for REGION

Users Affected: CEA

Description of Change: In the CEA View, updated the columns in the Mitigation Management Module. The following are the changes that were made to the columns on the tabs in the Mitigation Management module:

**Mitigations Awaiting Review tab**

- No changes

**Rejected Mitigations tab**

- No changes

**Active Mitigations tab**

- Add "PLANNED COMPLETION DATE" column after "VIOLATION START DATE" column
    - If there is no Entity Completion Date and the Planned Completion date is in the past, the Planned Completion Date should be in Red text to show it is overdue
- Add "ENTITY COMPLETION DATE" column after "PLANNED COMPLETION DATE" column
- Remove the "REGION AND JURISDICTION" column

**Mitigations Awaiting Verification tab**

- Add “PLANNED COMPLETION DATE” column after “VIOLATION START DATE” column
- Add “COMPLETION DATE” column after “PLANNED COMPLETION DATE” column
- Add “REGION OR LRE” column before “ENTITY NAME” column
- Remove the “REGIONS” column

**Completed Mitigations tab**

- Add “PLANNED COMPLETION DATE” column before “COMPLETION DATE” column
- Add “VERIFICATION ACTION” column after “DATE SENT TO FERC” column
- Remove the “REGION AND JURISDICTION” column

**All Mitigations tab**

- Add “PLANNED COMPLETION DATE” column after “VIOLATION START DATE” column
  - If there is no Entity Completion Date and the Planned Completion date is in the past, the Planned Completion Date should be in Red text to show it is overdue
- Add “COMPLETION DATE” column after “PLANNED COMPLETION DATE” column
- Remove the “REGION AND JURISDICTION” column

**Consolidations tab**

- No changes

**Mitigation RFIs tab**

- No changes

Training Materials Modified: The CEA Align Enforcement and Mitigation User Guide was updated to reflect the new columns, the screenshots of the portlets were updated throughout the guide.

### User Story # 24327

Description of Issue: Mitigation Portlet Changes for NERC

Users Affected: NERC

Description of Change: In the NERC View, updated the columns in the Mitigation Management Module. The following are the changes that were made to the columns on the tabs in the Mitigation Management module:

**Mitigations Awaiting Review tab**

- No changes

**Rejected Mitigations tab**

- Added the Rejected Mitigations tab from the CEA view

**Active Mitigations tab**

- Add "PLANNED COMPLETION DATE" column after "VIOLATION START DATE" column
  - If there is no Entity Completion Date and the Planned Completion date is in the past, the Planned Completion Date should be in Red text to show it is overdue
- Add "ENTITY COMPLETION DATE" column after "PLANNED COMPLETION DATE" column

**Completed Mitigations tab**

- Add "PLANNED COMPLETION DATE" column before "COMPLETION DATE" column
- Add "STATUS" column after "DATE SENT" column

**All Mitigations tab**

- Add "PLANNED COMPLETION DATE" column after "VIOLATION START DATE" column
  - If there is no Entity Completion Date and the Planned Completion date is in the past, the Planned Completion Date should be in Red text to show it is overdue
- Add "ENTITY COMPLETION DATE" column after "PLANNED COMPLETION DATE" column

**Consolidations tab**

- No changes

Training Materials Modified: The NERC Align Enforcement and Mitigation User Guide will need to be updated to reflect the new columns, the screenshots of the portlets were updated throughout the guide.

### User Story # 24466

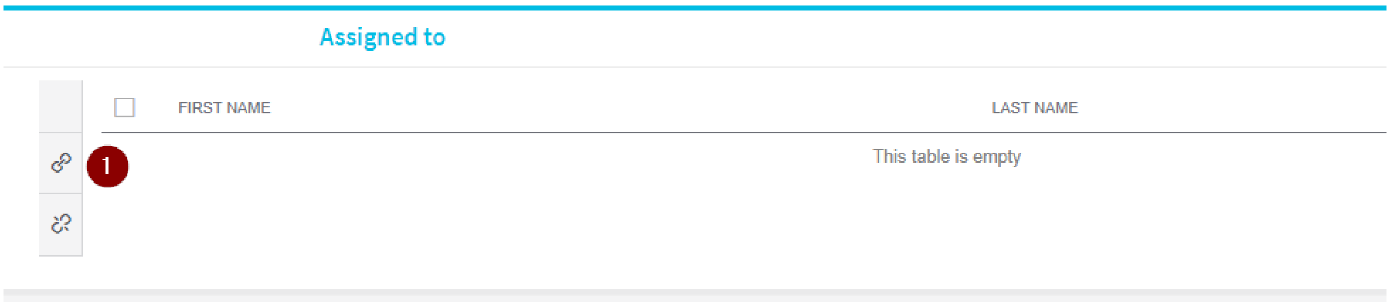
Description of Issue: Entity Mitigation 'Assigned to' field

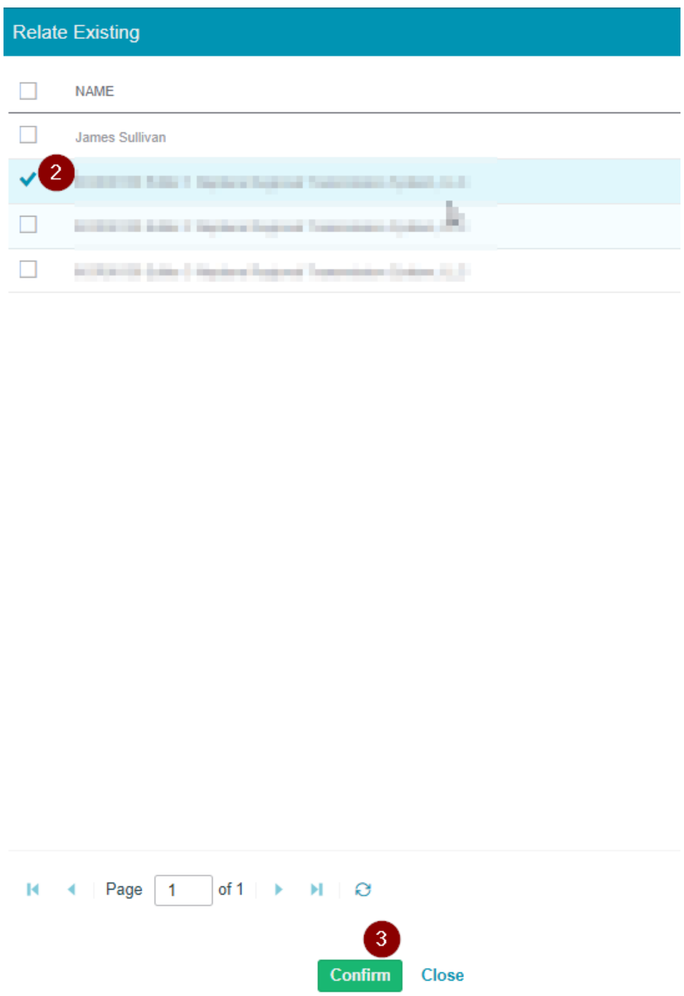
Users Affected: Registered Entities

Description of Change: This change will allow the Registered Entity to indicate which staff should be assigned to the record. If the Registered Entity identifies the staff that should be assigned to the Finding record, while in the Draft state, once the Finding is submitted, the assignment will also populate on the Mitigation record. After the Finding has been submitted, if the Registered Entity wants to update the assignment, the Registered Entity will need to update the assignment from the Mitigation record.

*Assign from Draft Finding form*

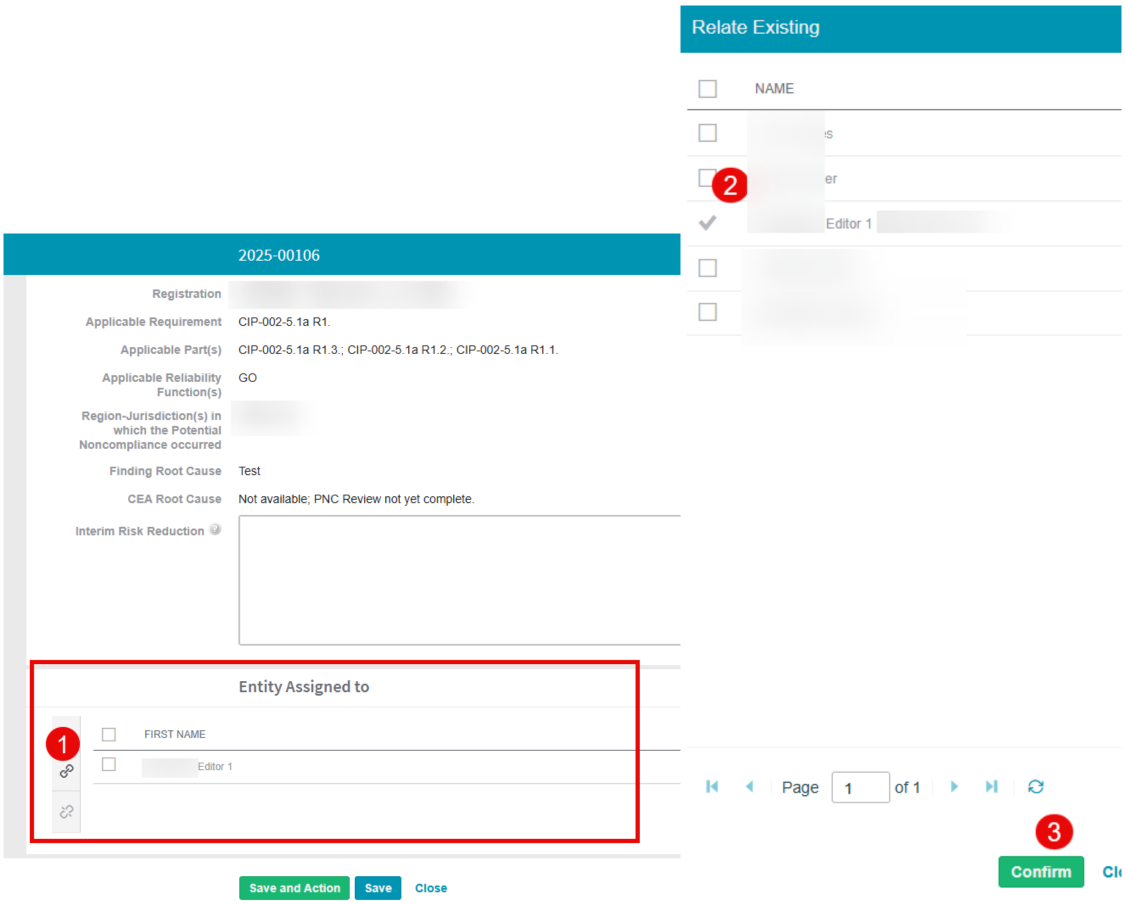
The user can assign from the Draft Finding form by navigating to the “Assigned to” section and clicking on the link button. After clicking on the link button, a new window will open to allow the user to select from its designated staff.



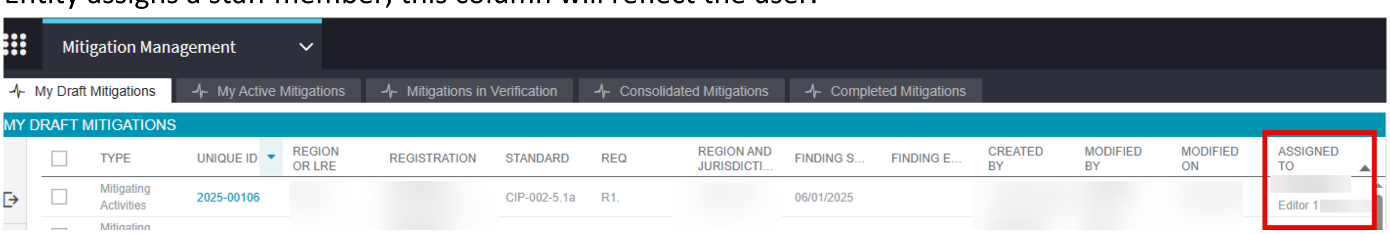




## *Assign from Mitigation Form*

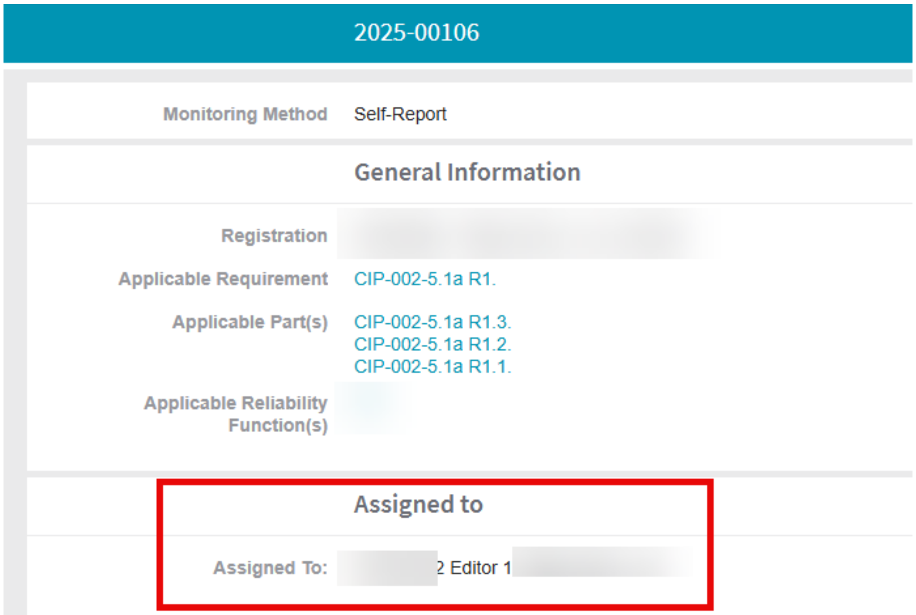
The user can assign from the Mitigation form by navigating to the “Entity Assigned to” section and clicking on the link button. After clicking on the link button, a new window will open to allow the user to select from its designated staff. If the Registered Entity assigns staff at the Mitigation record, it will also reflect on the Finding Record under the Enforcement Processing module. *NOTE, as indicated above, after the Finding has been submitted to the CEA for Preliminary Screening, the Registered Entity will only be able to update the assignment from the Mitigation record.*




On the Mitigation Management module, you will also see the 'Assigned To' columns, if the Registered Entity assigns a staff member, this column will reflect the user.



If the Registered Entity assigns staff at the Mitigation record, it will also reflect on the Finding Record under the Enforcement Processing module.




Training Materials Modified: The Registered Entity Align Enforcement and Mitigation User Guide was updated to discuss this new functionality. The ‘Create a Finding or Draft Mitigation: Assign To’ slides were updated to explain how to Assign staff (Slides 30-31).

**User Story # 29272**

Description of Issue: MITIGATION - Create a new section on the Mitigation form for BCUC Reporting Information

Users Affected: CEA

Description of Change: A new section was added to the CEA Mitigation Forms so that WECC can capture details related to the BC Mitigation records. The new section “BCUC Reporting Information” has five data fields. This change will allow WECC to update the information from Mitigations Awaiting Review tab, Active Mitigation tab, Mitigations Awaiting Verification tab, and Completed Mitigations tab. For the mitigation records that are non-BC jurisdiction, the section will be visible, but the data fields will not show on the form.

- on the left: Order Attachment, Order Number, and Date Order Received
- on the right: Date Letter Received, Letter Attachment

Training Materials Modified: N/A

**User Story # 24557**[4]

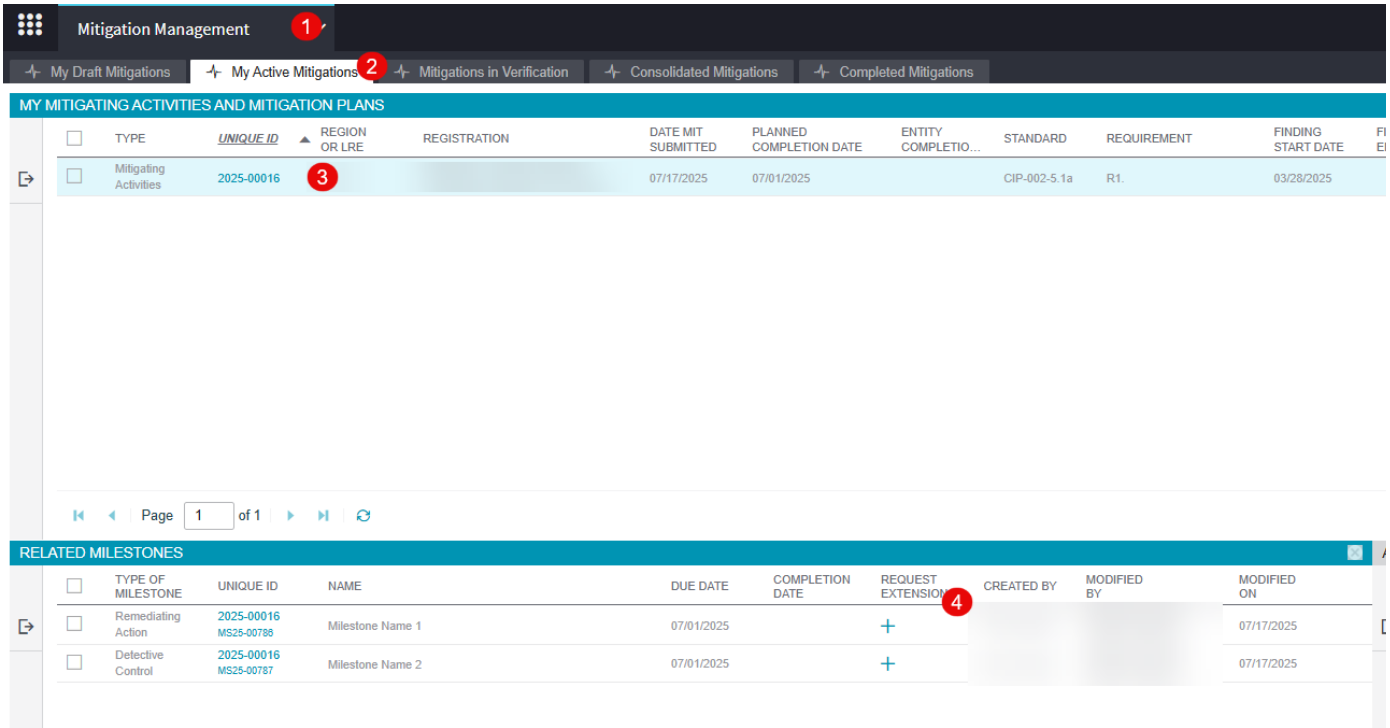
Description of Issue: For Mitigation Extension requests, add a section to the Milestone form that shows all related extension requests for the related milestones

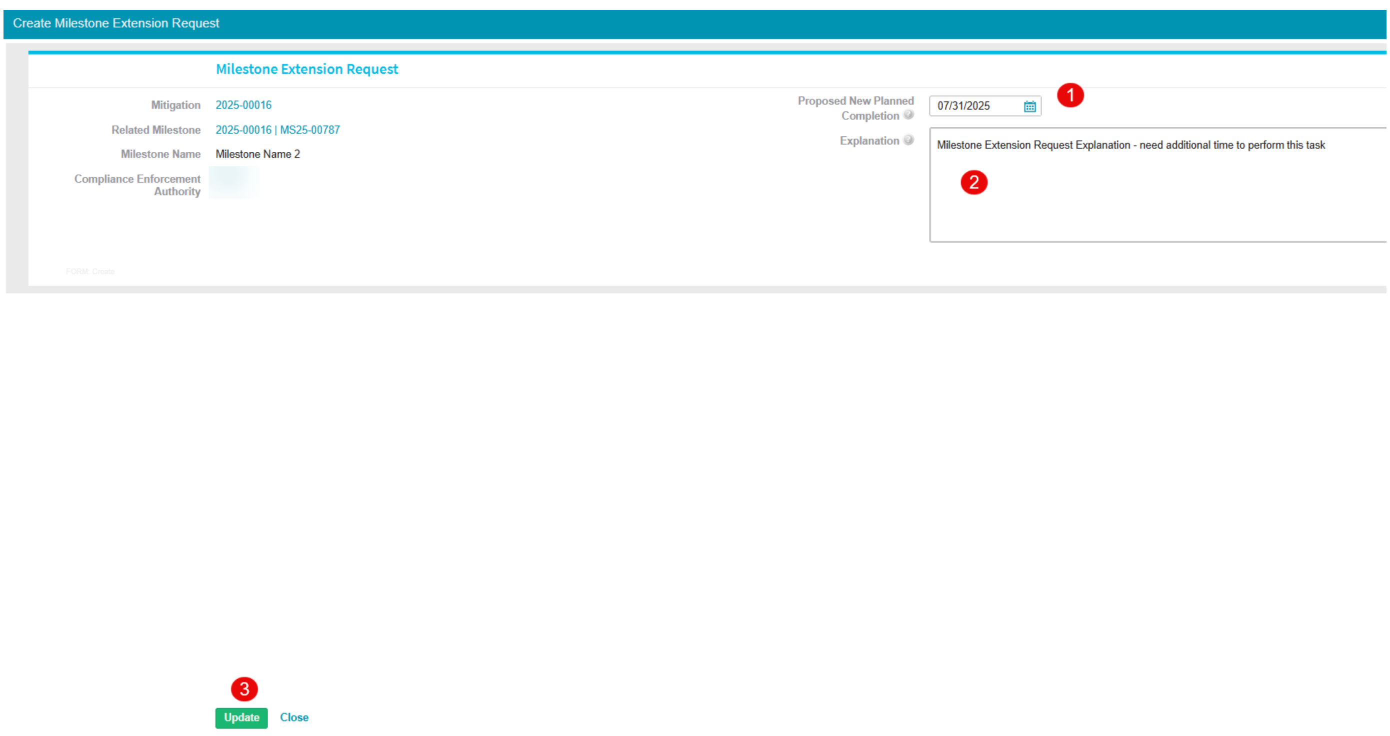
Users Affected: Registered Entities and CEA

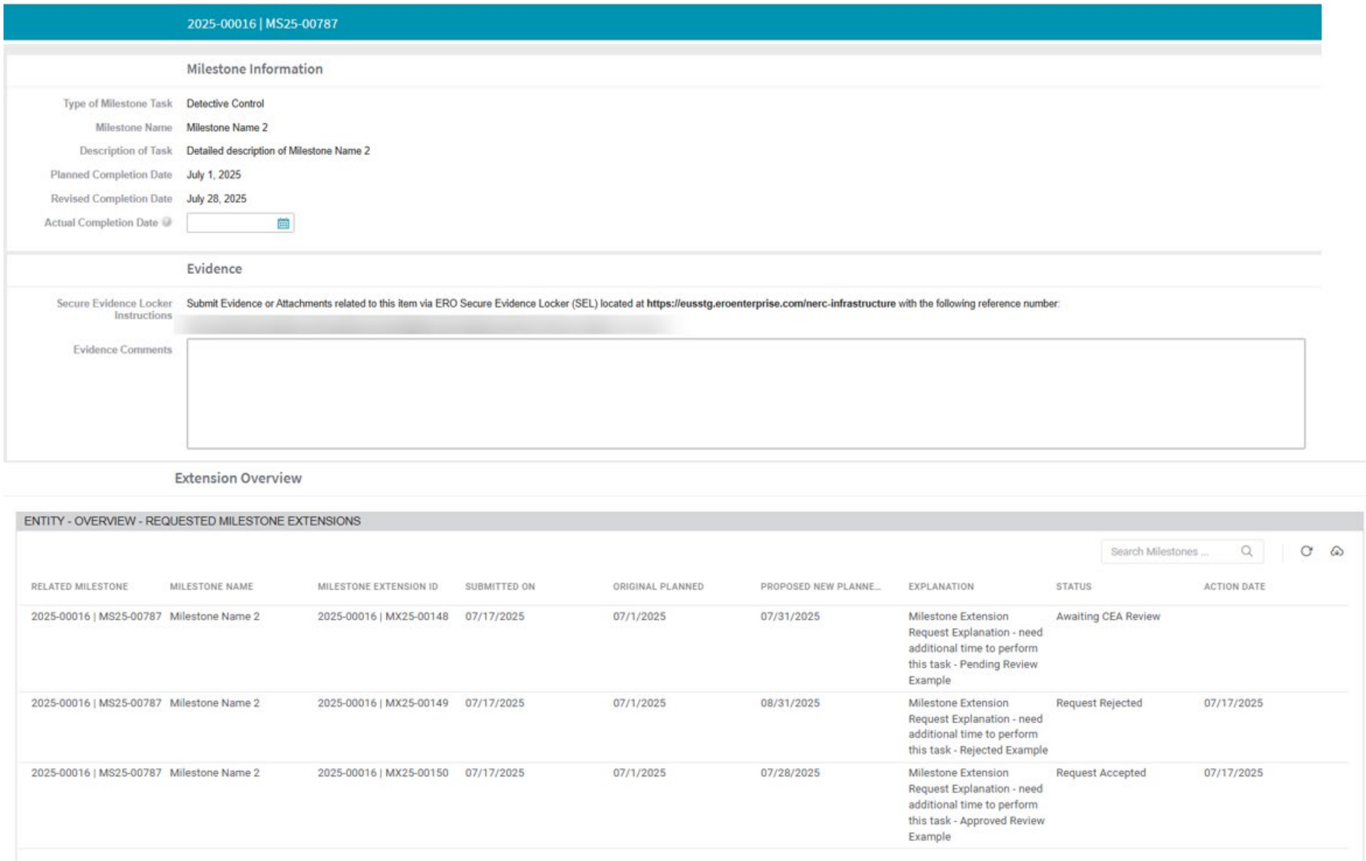
Description of Change: On the Mitigation Milestone forms, a new section ("Extension Overview" was added to capture any Milestone Extension Requests. The new section has the following columns: Related Milestone, Name, Submitted On, Original Planned, Proposed New Planned Completion, Explanation, Status (Awaiting CEA Review, Request Accepted, Request Rejected), and Action date. When a Registered Entity or CEA user clicks on a Milestone object from the Mitigation form, the user will see the new "Extension Overview" form which will capture any extension requests for that specific milestone. Milestone Extension Requests can be requested from the "My Active Mitigation" tab, highlight the mitigation record in the top portlet "My Mitigating Activities and Mitigation Plans" and find the related milestone in the bottom portlet "Related Milestones". Click on the "+" button in the Request for Extension column. After Mitigation Extension Request has been submitted, the request will be captured on the milestone form. The Reporting Universe also was updated with a new data field [MER Action Date] in the "Milestone Extension Request (MER)" folder. This data field will capture the date the CEA acted on the Milestone Extension Request.[5]

Upon deployment, existing Milestone Extension Requests will be visible on the Mitigation Milestone form and will reflect the correct status. However, the action date will initially be blank until we perform a data correction in a future user story.[6]

[4] This user story also addresses user story 7458, 24287, 24805.
[5] The [MER Action] will always show "Accept" or "Reject" in the Reporting Universe, the CEA should use both the [MER Action] and [MER Action Date] data fields in reports to accurately capture the status. A future user story will be created to capture when the CEA has not yet acted.
[6] The future user story to address the action date data correction is 27768.


Mitigation Management
1
My Draft Mitigations
My Active Mitigations
2
Mitigations in Verification
Consolidated Mitigations
Completed Mitigations
MY MITIGATING ACTIVITIES AND MITIGATION PLANS
TYPE
UNIQUE ID
REGION OR LRE
REGISTRATION
DATE MIT SUBMITTED
PLANNED COMPLETION DATE
ENTITY COMPLETIO...
STANDARD
REQUIREMENT
FINDING START DATE
Mitigating Activities
2025-00016
3
07/17/2025
07/01/2025
CIP-002-5.1a
R1.
03/28/2025
Page 1 of 1
RELATED MILESTONES
TYPE OF MILESTONE
UNIQUE ID
NAME
DUE DATE
COMPLETION DATE
REQUEST EXTENSION
4
CREATED BY
MODIFIED BY
MODIFIED ON
Remediating Action
2025-00016
MS25-00786
Milestone Name 1
07/01/2025
07/17/2025
Detective Control
2025-00016
MS25-00787
Milestone Name 2
07/01/2025
07/17/2025


Create Milestone Extension Request
Milestone Extension Request
Mitigation 2025-00016
Related Milestone 2025-00016 | MS25-00787
Milestone Name Milestone Name 2
Compliance Enforcement Authority
Proposed New Planned Completion
07/31/2025
1
Explanation
Milestone Extension Request Explanation - need additional time to perform this task
2
3
Update
Close


2025-00016 | MS25-00787

Milestone Information

Type of Milestone Task: Detective Control
Milestone Name: Milestone Name 2
Description of Task: Detailed description of Milestone Name 2
Planned Completion Date: July 1, 2025
Revised Completion Date: July 28, 2025
Actual Completion Date:

Evidence

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

Extension Overview

ENTITY - OVERVIEW - REQUESTED MILESTONE EXTENSIONS

Search Milestones ...

| RELATED MILESTONE | MILESTONE NAME | MILESTONE EXTENSION ID | SUBMITTED ON | ORIGINAL PLANNED | PROPOSED NEW PLANNE... | EXPLANATION | STATUS | ACTION DATE |
|---|---|---|---|---|---|---|---|---|
| 2025-00016 \| MS25-00787 | Milestone Name 2 | 2025-00016 \| MX25-00148 | 07/17/2025 | 07/1/2025 | 07/31/2025 | Milestone Extension Request Explanation - need additional time to perform this task - Pending Review Example | Awaiting CEA Review | |
| 2025-00016 \| MS25-00787 | Milestone Name 2 | 2025-00016 \| MX25-00149 | 07/17/2025 | 07/1/2025 | 08/31/2025 | Milestone Extension Request Explanation - need additional time to perform this task - Rejected Example | Request Rejected | 07/17/2025 |
| 2025-00016 \| MS25-00787 | Milestone Name 2 | 2025-00016 \| MX25-00150 | 07/17/2025 | 07/1/2025 | 07/28/2025 | Milestone Extension Request Explanation - need additional time to perform this task - Approved Review Example | Request Accepted | 07/17/2025 |

<u>Training Materials Modified</u>: The Registered Entity Align Enforcement and Mitigation User Guide will need to be updated to show this new section. The section that will be updated is “Updating Mitigations: Milestone Extension Requests” to explain where a Registered Entity can find details of Milestone Extension Requests after submission (slides 58-60). The image of the Milestone form in the following sections will need to be updated, as well as the subsequent numbering on the remaining slides for these sections:

- Submitting Mitigating Activities
- Updating Mitigations: Completing Milestones
- Updating Mitigations: Removing a Milestone Completion Date

## User Story # 24558[7]

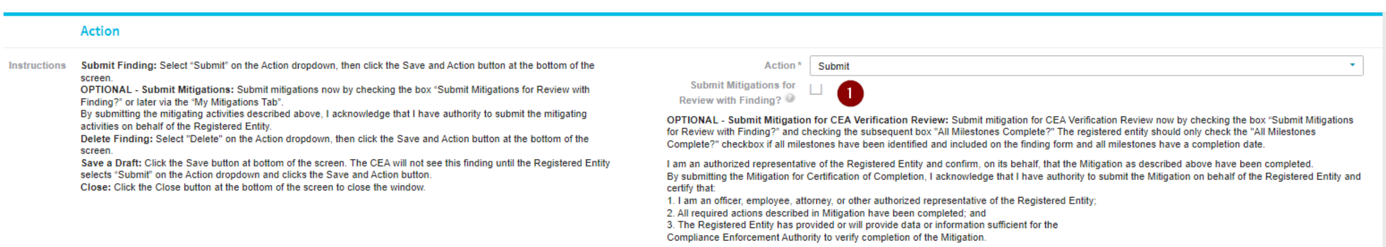
Description of Issue: The entity ability to submit Mitigation and Certify Completion prior to the CEA accepting the Mitigation record

Users Affected: Registered Entities

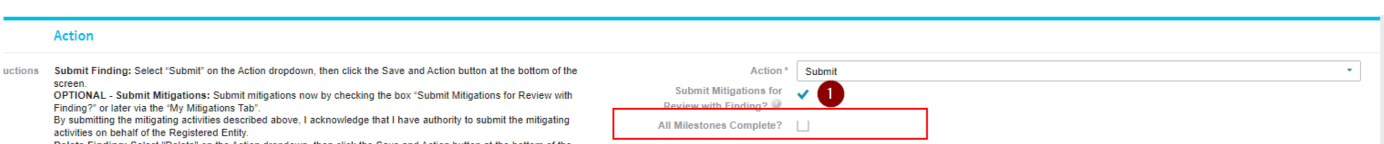
Description of Change: In the previous workflow, the Registered Entity would have to wait until the CEA accepts Mitigation record so it shows in the Active state before the Registered Entity could submit the Mitigation to the CEA for Verification Review. This change will allow the Registered Entity to mark a Mitigation record as ready for verification review. The Mitigation record should have all milestones included on the record and all milestones will need to have a Completion Date. If all milestones do not have the Completion date, then the record cannot be Certified as Complete by the Registered Entity. The Registered Entity is able to Certify as Complete at the following steps:

*Creation of Finding and Submit Finding and Mitigation*

To certify the mitigation record as complete, the first thing the user will need to do is have milestones on the form and all milestones need to have completion dates. If the user is ready to submit the Mitigation to the CEA for review when it submits the Finding to the CEA for Preliminary Screening, the user will first click the checkbox “Submit Mitigations for Review with Finding?” checkbox. Once that checkbox is marked, a second checkbox will appear for “All Milestones Complete?”. If the user has completion dates for all milestones and the user wants to certify that all the milestones on the form are complete and submit to CEA for review, the user will check that box.

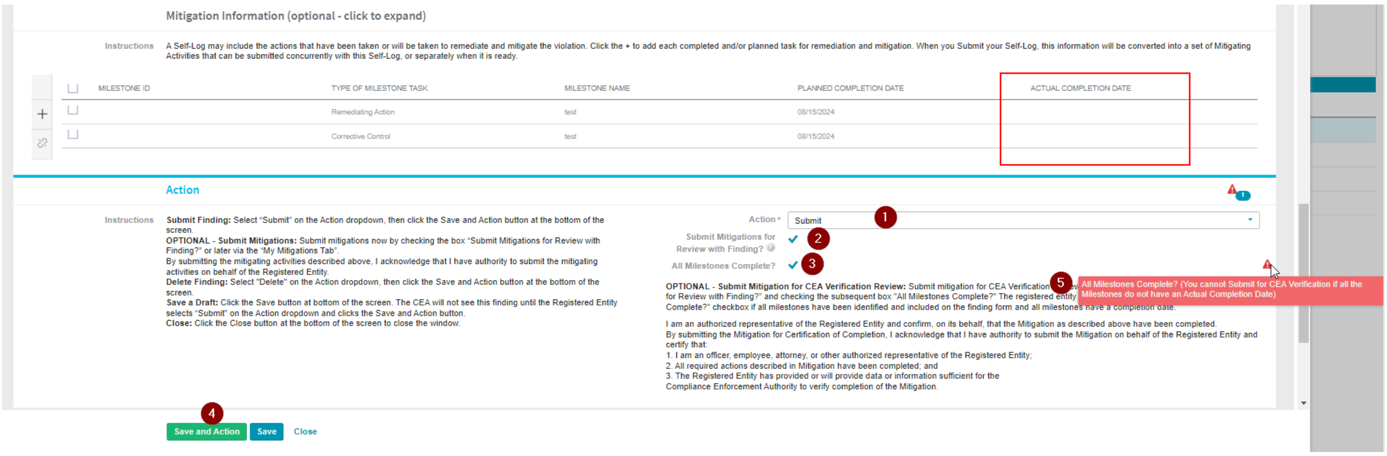



After checking the box “Submit Mitigations for Review with Finding?” the second checkbox “All Milestones Complete?” will appear for the user.

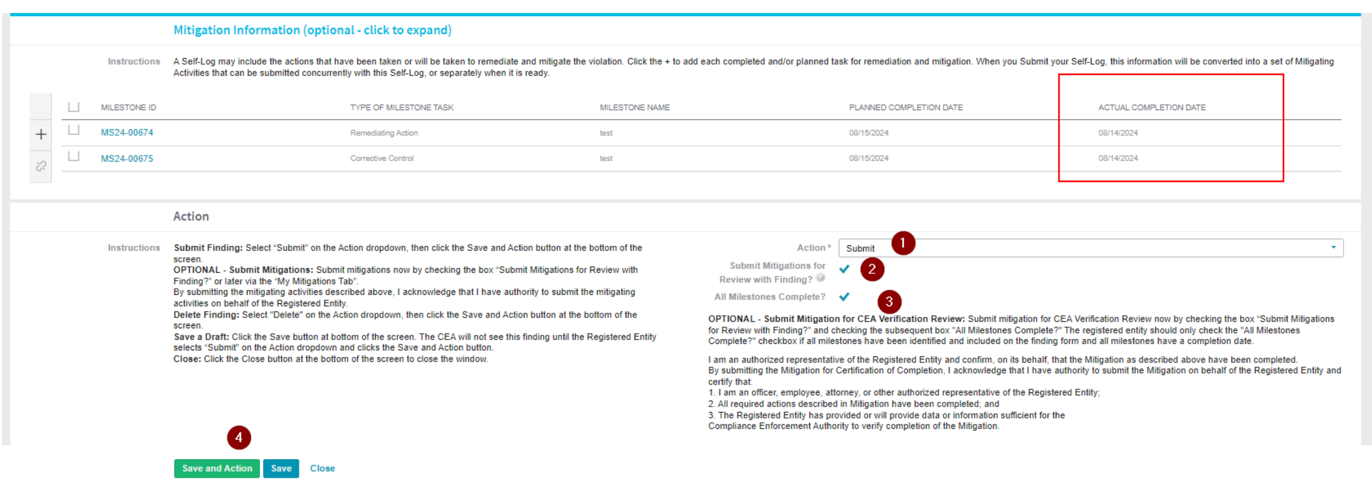



[7] This user story also addresses user stories: 24406, 25203, 24412, 24407, 23594, 25223, 25204, 20200, 25185, 7609, 24335.

If the user does not have a completion date for all the milestones, the user will see a validation error message.




If the user does completion date for all the milestones and checked the boxes next to “Submit Mitigations for Review with Finding?“ and “All Milestones Complete?” the user will have Certified the mitigation record as complete. This will move the mitigation record to the My Active Tab and the user can see it is in CEA Processing state. If the CEA accepts the mitigation record (and NERC approves mitigation record if it is a Mitigation Plan), the mitigation record will automatically move to the Verification state without the Registered Entity having to take any actions. The date the checkbox was marked, and the record was submitted will be the date captured for Date Certification was Received.

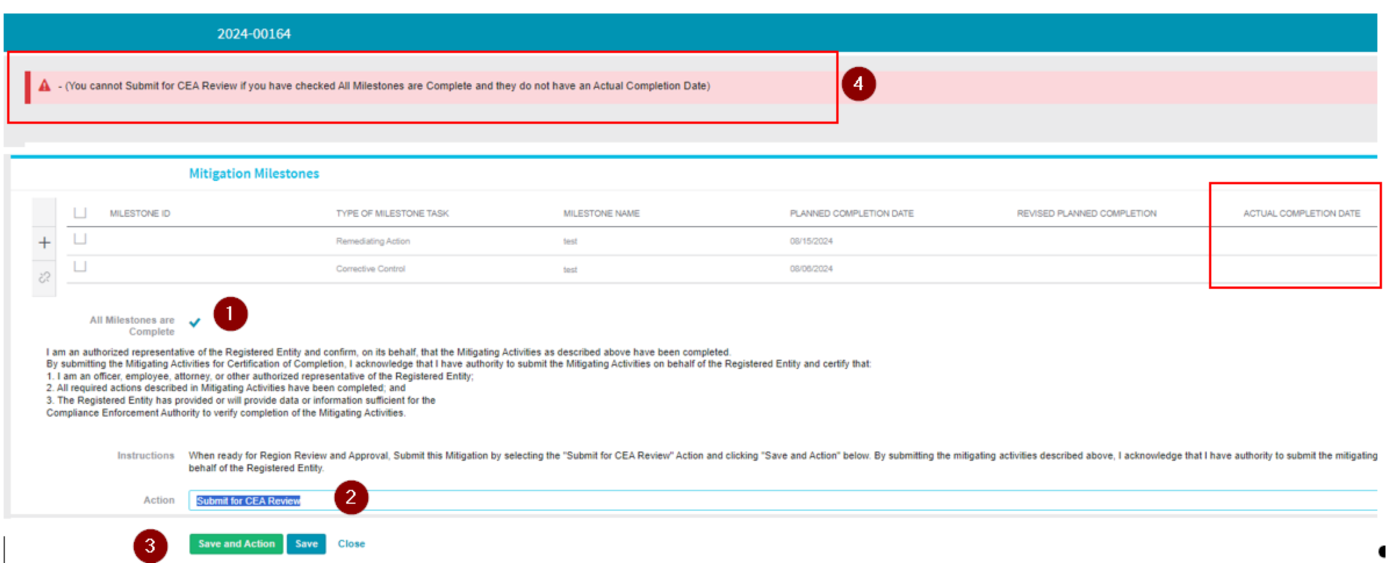


*NOTE: on the Self-Report and Self-Log forms, the following language was added on the form. This language is for the Registered Entity to understand that by clicking on the "All Milestones are Complete" checkbox, this is Certifying the Mitigation record as Complete.*

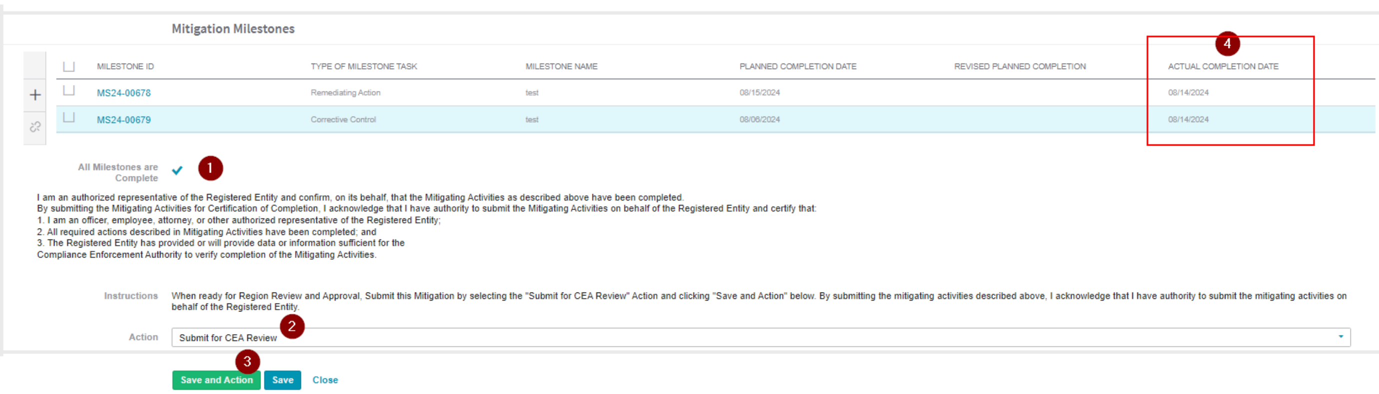
> **OPTIONAL - Submit Mitigation for CEA Verification Review**: Submit mitigation for CEA Verification Review now by checking the box "Submit Mitigations for Review with Finding?" and checking the subsequent box "All Milestones Complete?" The registered entity should only check the "All Milestones Complete?" checkbox if all milestones have been identified and included on the finding form and all milestones have a completion date.
>
> I am an authorized representative of the Registered Entity and confirm, on its behalf, that the Mitigation as described above have been completed.
> By submitting the Mitigation for Certification of Completion, I acknowledge that I have authority to submit the Mitigation on behalf of the Registered Entity and certify that:
> 1. I am an officer, employee, attorney, or other authorized representative of the Registered Entity;
> 2. All required actions described in Mitigation have been completed; and
> 3. The Registered Entity has provided or will provide data or information sufficient for the Compliance Enforcement Authority to verify completion of the Mitigation.

*Draft Mitigation*

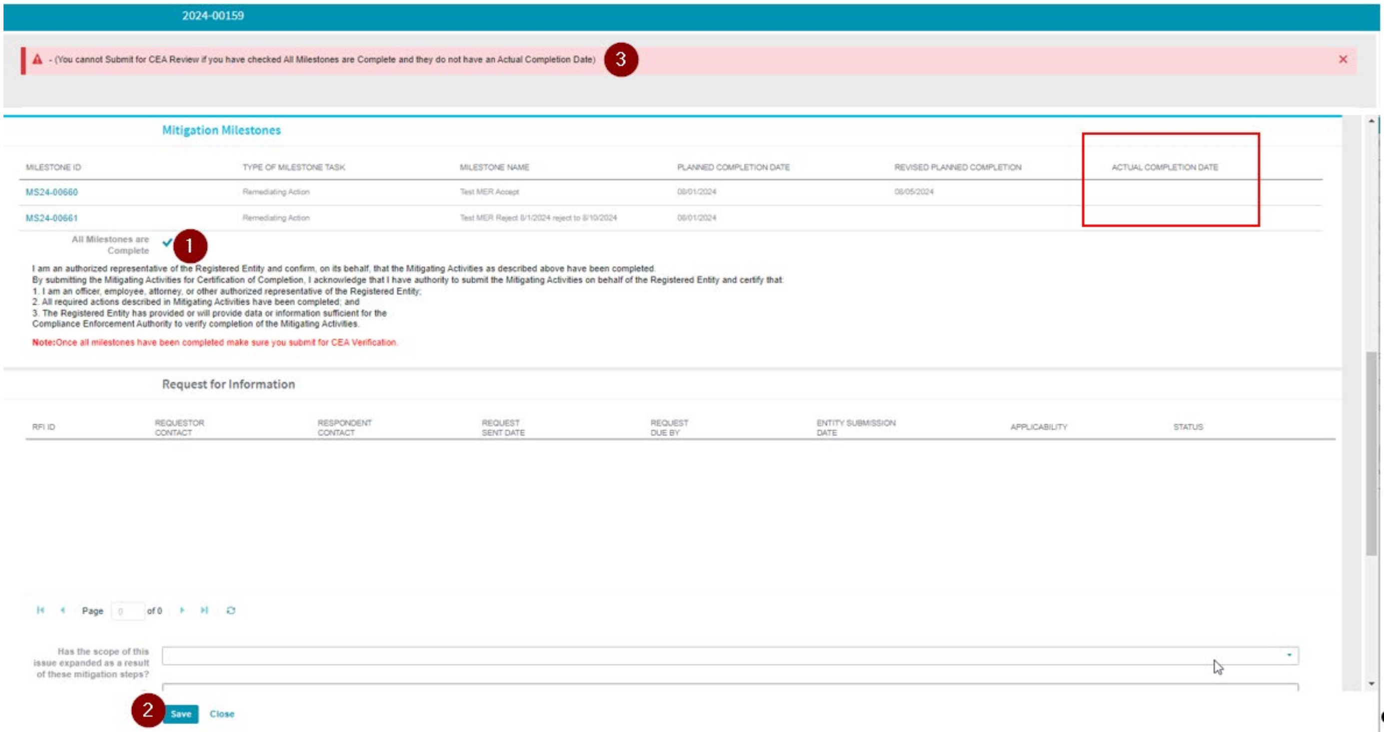
There is a checkbox on the form "All Milestones are Complete" if you check the box, but all milestones do not have a completion date, the user will get a validation error ("*You cannot Submit for CEA Review if you have checked All Milestones are Complete and they do not have an Actual Completion Date* ") at the top of the form.



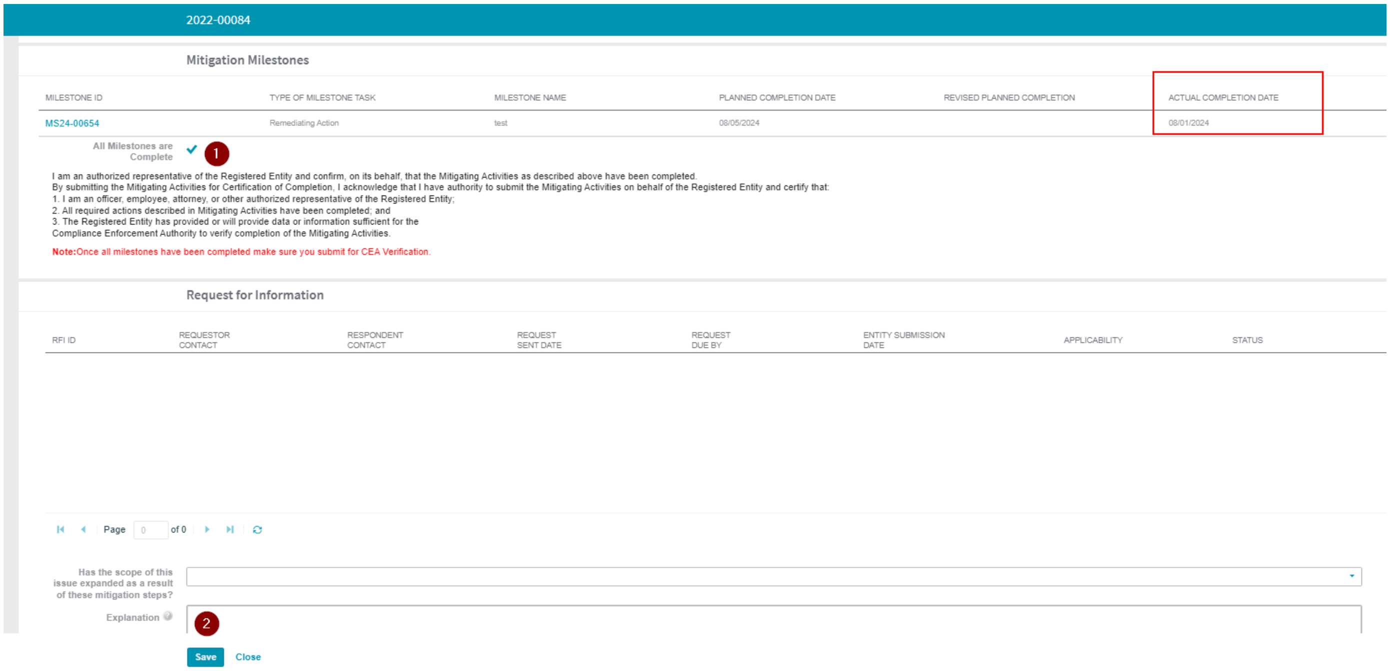
If all milestones are complete, the user can check the box and click Submit for CEA Review. This will move it to the My Active Tab and the user can see it is in CEA Processing tab. If the CEA accepts the mitigation record (and NERC approves mitigation record if it is a Mitigation Plan), the mitigation record will automatically move to the Verification state without the Registered Entity having to take any actions. The date the checkbox was marked and the record was submitted will be the date captured for Date Certification was Received.



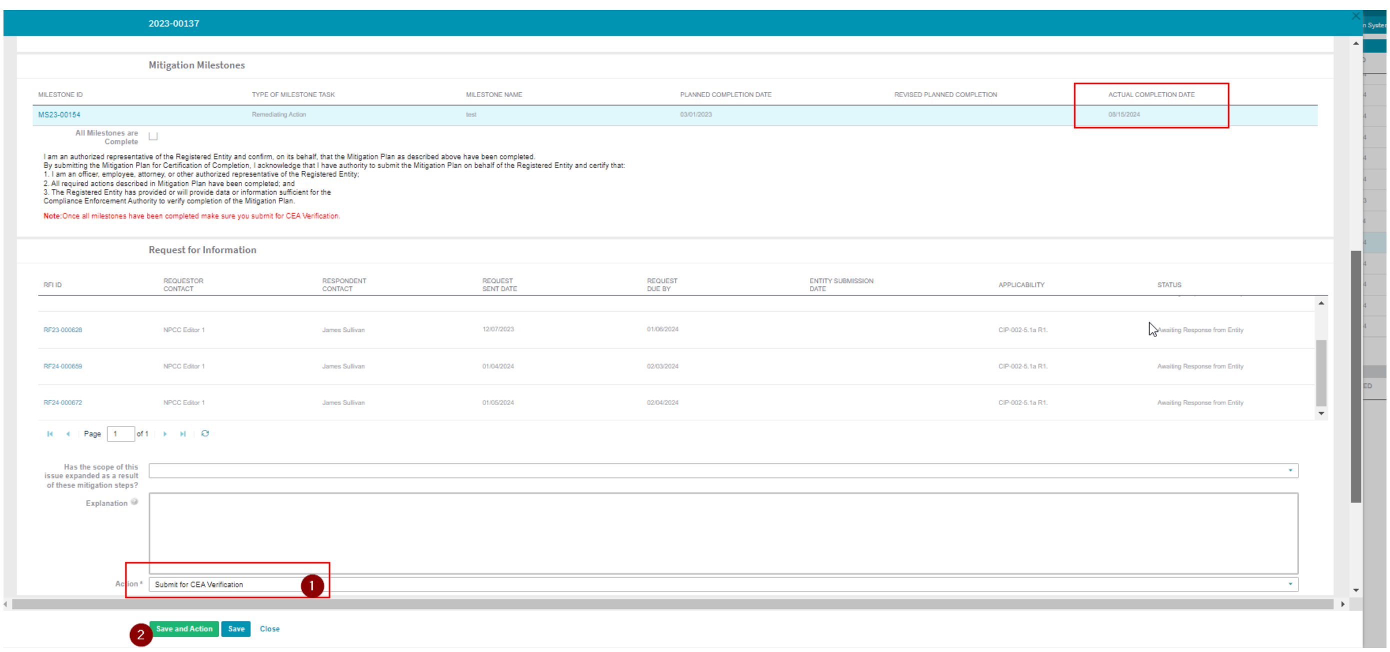

On the My Active Tab, the Registered Entity can check the box next to “All Milestone are Complete” and click Save while the record is in CEA Processing or NERC Processing. If you check the box, but all milestones do not have a completion date, the user will get a validation error (“*You cannot Submit for CEA Review if you have checked All Milestones are Complete and they do not have an Actual Completion Date* “) at the top of the form.




If all milestones are completed and you check the box, the record will stay on the My Active Mitigations tab until the CEA and/or NERC takes action on the mitigation record. If the CEA accepts the mitigation record (and NERC approves mitigation record if it is a Mitigation Plan), the mitigation record will automatically move to the Verification state without the Registered Entity having to take any actions. This will move the mitigation record from the My Active Mitigations tab to the Mitigation in Verification tab while it is in Verification review with the CEA. The date the checkbox was marked, and the record was submitted will be the date captured for Date Certification was Received.



If it is Active, you can submit the record as normal and select “Submit for CEA Verification” Action and click on the “Save and Action” button. The “Save and Action” button will only appear if it is in the Active state.



*NOTE: on the Mitigation forms, the following language was added on the form. This language is for the Registered Entity to understand that by clicking on the "All Milestones are Complete" checkbox, this is Certifying the Mitigation record as Complete.*

> I am an authorized representative of the Registered Entity and confirm, on its behalf, that the Mitigation Plan as described above have been completed.
> By submitting the Mitigation Plan for Certification of Completion, I acknowledge that I have authority to submit the Mitigation Plan on behalf of the Registered Entity and certify that:
> 1. I am an officer, employee, attorney, or other authorized representative of the Registered Entity;
> 2. All required actions described in Mitigation Plan have been completed; and
> 3. The Registered Entity has provided or will provide data or information sufficient for the Compliance Enforcement Authority to verify completion of the Mitigation Plan.

Training Materials Modified: The Registered Entity Align Enforcement and Mitigation User Guide was updated to show this new functionality. Some of the updates will be explanation of the new functionality and others will just be updated screenshots to show the updated forms. The guide was updated to show the functionality from the Self-Report and Logs module and Mitigation Management module, specifically section 'Creating a Finding: Mitigation Information' (slides 27-29), 'Submitting Mitigating Activities' (slides 49-52), 'Mitigation Status Progression' (slide 53-54). The CEA Align Enforcement and Mitigation User Guide was updated to explain this new functionality. Specifically, references explaining the new functionality were updated: 'Mitigation Status Progression' (slides 107-109) and 'Mitigations Awaiting Review' (slides 117).

**User Story # 20719[8]**
Description of Issue: Mitigation Workflow States

Users Affected: N/A

Description of Change: A new attribute class was needed by developers on the Mitigation class to capture the workflow steps, specifically the Previous Step, Current Step, Previous Step Executed BY and Previous Executed On. These attributes existed in a Workflow class but need to be added to the Mitigation class to eliminate multiple joins in the datastores.

Training Materials Modified: N/A

[8] This user story is related to User Story #20718, 22014. This user story also addresses user story 33996.

## Multiple Modules

**User Story # 20718**[9]
Description of Issue: RFI Workflow States

Users Affected: N/A

Description of Change: A new attribute class was needed by developers on the RFI class (Potential Noncompliance, Enforcement Action, Mitigation, Periodic Data Submittal, Self-Certification, and Technical Feasibility Exceptions) to capture the workflow steps, specifically the Previous Step, Current Step, Previous Step Executed BY and Previous Executed On. These attributes existed in a Workflow class but need to be added to the RFI class to eliminate multiple joins in the datastores.

Training Materials Modified: N/A

[9] This user story is related to User Story #20718, 20719. This user story also addresses user story 33996.

## Periodic Data Submittals (PDS) Module and related Attestation functions

**User Story # 22045**
Description of Issue: Issues Buttons When Clicked on PDS/Self-Certs Slow to Open Window

Users Affected: CEA

Description of Change: Plus sign (+) buttons for Area of Concern, Recommendation, and Positive Observations on PDS and Self-Certs took a long time to open when clicked on. These were optimized to open more quickly.

Training Materials Modified: N/A

## Audits and Spot Checks Module

**User Story # 22973**
Description of Issue: Issue Forms - Entity Contact Information field should default to current user and remain view-only

Users Affected: NERC, CEA, and Registered Entity

Description of Change: Removed the ‘Entity Contact Information’ on Area of Concern, Positive Observation, and Recommendations for Working Papers, PDS, and Self-Certifications.

Training Materials Modified: N/A

**User Story # 23007**
Description of Issue: Link to SEL is pointing to Align login page; ERO-40467; ERO-40690; ERO-41752; ERO-41737; ERO-41751; ERO42004.

Users Affected: Registered Entities and CEA

Description of Change: On IRA and COP module and Audit RFI modules in Align, the link to the SEL was updated to show the correct link to the SEL instead of the Align login page.

Training Materials Modified: N/A

## Standards Module

**User Story # 23399**
Description of Issue: Fix Trends Report in Align

Users Affected: NERC, CEA

Description of Change: Updated the Standards / Trends Reports to only show US Standards and Requirements.

Training Materials Modified: N/A

# Appendix A – Table of User Stories

| ID | Chapter | Title |
|---|---|---|
| 18100 | Enforcement Processing Module | Audit Finding ID in SEL Path is still incorrect in some cases |
| 22014 | Enforcement Processing Module | Performance - Look at class attributes and related triggers |
| 22816 | Enforcement Processing Module | Email notification shows Finding IDs not matching |
| 23678 | Enforcement Processing Module | RFI - As a CEA user, the Respondent Contact should not be editable on the RFI after it is saved to Draft state |
| 23679 | Enforcement Processing Module | Notification object does not allow CEA user to view Response Attachments |
| 24285 | Enforcement Processing Module | Entity Information tab related affiliates section gets cut off |
| 24411 | Enforcement Processing Module | Registered Entity – Export of Applicable Reliability Standards |
| 25241 | Enforcement Processing Module | Entity Information - Add new Self-Logging fields |
| 25681 | Enforcement Processing Module | Correct issues with Consolidated Audit Findings |
| 28984 | Enforcement Processing Module | Provide Notification Hyperlink to BC Regulator View |
| 22881 | Enforcement Processing Module | FINDING: Create two new fields on the ENTITY Finding forms and data universe |
| **25034** | Enforcement Processing Module | Cause Codes - Modify descriptions on cause codes |
| **7446** | Mitigation Management Module | Email Notification that Mitigation has been submitted |
| **7447** | Mitigation Management Module | Create notification for Milestone Extension Request to the CEA |
| **7675** | Mitigation Management Module | Updating the Mitigation Status when in Complete state to show the Verification status instead of the workflow state |
| **7686** | Mitigation Management Module | When you view mitigation from "Draft Mitigations", display information from the finding record so that the user can reference it when filling out the info |
| **11298** | Mitigation Management Module | Mitigation Portlet Changes for ENTITY |
| **24326** | Mitigation Management Module | Mitigation Portlet Changes for REGION |
| **24327** | Mitigation Management Module | Mitigation Portlet Changes for NERC |

| | | |
|---|---|---|
| **24466** | Mitigation Management Module | Entity Mitigation 'Assigned to' field |
| **29272** | Mitigation Management Module | MITIGATION - Create a new section on the Mitigation form for BCUC Reporting Information |
| **24557, 24805** | Mitigation Management Module | For Mitigation Extension requests, add a section to the Milestone form that shows all related extension requests for the related milestones |
| **24558** | Mitigation Management Module | The entity ability to submit Mitigation and Certify Completion prior to the CEA accepting the Mitigation record |
| **20719** | Mitigation Management Module | Mitigation Workflow States |
| **20718** | Multiple Module | RFI Workflow States |
| **22045** | Periodic Data Submittals / Self-Certifications | Optimization to open Areas of Concern, Recommendations, and Positive Observations for PDSs and Self-Certs more quickly. |
| **22973** | Audits and Spot Checks, PDS, Self-Certification | Removed ‘Entity Contact Information’ from Area of Concern, Recommendation, and Positive Observation forms in Working Papers, Self-Certifications, and PDS. |
| **23007** | IRAs and COPs / Audit RFI | Link to the SEL has been updated to the correct address. |
| **23399** | Standards Module | Updated Standards Trend Report to only show US Standards and Requirements. |
| | | |
| | | |
| | | |

# Appendix B – Revision History

| Revision History | | |
|---|---|---|
| **Version** | **Date** | **Revision Details** |
| **1.0** | 7/6/2025 | Initial Draft |