ERO Enterprise Align and ERO SEL Lessons Learned

Regional Change Agents
September 28, 2021
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• Navigate to www.Slido.com

• Enter the Code: ERO1

• Anonymity is optional but please include names to ensure a response
Agenda

- Lessons Learned Align R1, R2, and ERO Secure Evidence Locker (SEL)
- R1 and R2 Change Readiness Assessment Pulse Check
- Access Provisioning
- Coordinated Oversight/Multi-Region Registered Entity (MRRE)
- What’s Next: Release 3 and 4
- Data Handling in Align and the ERO SEL
- Legacy Systems: webCDMS and Compliance Portal
- Training Resources
Lessons Learned Align R1, R2, and ERO SEL
# Lessons Learned: Align R1, R2 and ERO SEL

## What Worked Well

<table>
<thead>
<tr>
<th>Category</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Communications</td>
<td>• Extensive communications and reminders on upcoming activities</td>
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<tr>
<td></td>
<td>• Align Newsletters, Regional outreach (newsletters, announcements, social media, etc.)</td>
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<tr>
<td>Training</td>
<td>• Live demonstrations conducted</td>
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<td></td>
<td>• Hands-on/simulation</td>
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<td></td>
<td>• Multiple training opportunities</td>
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<td></td>
<td>• Training videos, user guides, recorded training sessions</td>
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<tr>
<td>Access Provisioning</td>
<td>• Entity manages access for staff</td>
</tr>
<tr>
<td>Post Support Process</td>
<td>• Single platform utilized for Align and ERO SEL assistance: NERC Helpdesk tickets (<a href="https://support.nerc.net">https://support.nerc.net</a>)</td>
</tr>
<tr>
<td>General</td>
<td>• NERC's responsiveness in addressing the security concerns of the ERO SEL.</td>
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### Registered Entity Suggestions for Improvement

<table>
<thead>
<tr>
<th>Communications</th>
<th>Limited advanced communication for R2 training</th>
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<tbody>
<tr>
<td></td>
<td>Ensure same entity contacts from legacy system are</td>
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<td></td>
<td>receiving Align notifications</td>
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<tr>
<td>Training</td>
<td>More opportunities to play in the “sandbox”</td>
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<td></td>
<td>Conduct training closer to go-live date</td>
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<td></td>
<td>Update videos and user guides for Align and ERO SEL</td>
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<td></td>
<td>User friendly guide to identify what triggers a</td>
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<td>notification and who receives the notice.</td>
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<tr>
<td>Access Provisioning</td>
<td>User confirming Align/ERO SEL access and</td>
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<td>functionality in advance of Compliance Monitoring</td>
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<td>and Enforcement Program (CMEP) activities.</td>
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<tr>
<td></td>
<td>Ensure appropriate permissions and timely ticket</td>
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<td>responses.</td>
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</table>
### Registered Entity Suggestions for Improvement (continued)

| Post Support Process | • Offer grace period for entity while seeking support from Region or NERC  
|                       | • Develop technical support Q&A  
|                       | • Ensure appropriate permissions and timely ticket responses |
| General               | • Regions go live on the same day  
|                       | • Provide guidance on entity retrieving historical data in legacy system |
## Lessons Learned: Align R1, R2 and ERO SEL

### Changes Implemented

<table>
<thead>
<tr>
<th>Category</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Communications</td>
<td>- Align and ERO SEL outages: NERC informs Region-&gt;informs registered entity</td>
</tr>
<tr>
<td></td>
<td>- Advance notice of known outages on Align Dashboard</td>
</tr>
<tr>
<td>Training</td>
<td>- Some Regions implemented live demonstrations</td>
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<tr>
<td>Access Provisioning</td>
<td>- All PCCs and Registered Entity Align Submitter role were granted ERO SEL Submitter role</td>
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<tr>
<td>Post Support Process</td>
<td>- Addition subcategories to select when submitting Align and ERO SEL tickets</td>
</tr>
<tr>
<td>General</td>
<td>- Added print feature for findings/mitigation plans</td>
</tr>
</tbody>
</table>
R1 and R2 Change Readiness Assessment Pulse Check

“Good Feedback is the KEY to Improvement”
Total Responses: 720

Weighted Averages for Respondent Ratings Across Key Change Readiness Areas

- Communications received have been adequate
- Ready & equipped for changes related to Release 1
- Ready & equipped for changes related to Release 2
Adequate Communications and Release 1 readiness have increased

Room for improvement ensuring appropriate permission, timely processing of support tickets, and links to training materials more accessible

Users value having access to multiple training methods and continuous, consistent reinforcement through various communication channels

Key Takeaways
Access Provisioning
## Align Access Provisioning

### Align Permission Roles

- **Align Registered Entity Submitter Role**
- **Align Registered Entity Editor Role**
- **Align Registered Entity Reader Role**
- **Entity Admin**
  - Can approve access requests for Align permissions
  - Does not give you access to Align

### User must have an ERO Portal Account

- **ERO Portal Website**
- **ERO Portal User Setup Guide**
- **Creating an ERO Portal Account (Pages 4-27)**

### User has the correct credentials assigned through ERO Portal and given by PCC

- **ERO Portal User Setup Guide**
- **Requesting Align Access (Pages 28-34)**
- **Approving Align Access Request (Pages 35-37)**
Align Access Provisioning

• Request Access
  ▪ All PCCs granted Align Registered Entity Submitter Role and Entity Admin
  ▪ Entity users request access via the ERO Portal and PCC or Entity Admin vets the request

• Revoke Access
  ▪ PCC or Entity Admin can revoke access in the ERO Portal

• Reminder: Process can take up to 24-hours for access to be granted
  ▪ Submit NERC helpdesk ticket

• Training on updating Contact Roles
  ▪ CORES library
  ▪ Align User Setup Guide
ERO SEL Access Provisioning

• Ensure ERO SEL URL is whitelisted to allow access
  ▪ Chrome and Microsoft Edge are preferred and supported browsers

• Request Access
  ▪ All PCCs granted SEL Submitter role
  ▪ All Align Registered Entity Submitter role automatically granted SEL Submitter role
  ▪ If user does not need the Align Entity Submitter Role user can request access via the NERC Helpdesk
    ○ Region confirms with PCC access request
    ○ Region escalates ticket to NERC to grant access
    ○ Region confirms access with entity

• Revoke Access
  ▪ Remove PCC/Align Registered Entity Submitter Role through CORES
  ▪ Entity users submit NERC Helpdesk to revoke access
    ○ Region escalates ticket to NERC to revoke access
Visibility into all NERC Compliance Registry (NCR)

- **Align**
  - Entity users must request access via the ERO Portal for every NCR participating in Coordinated Oversight or is a MRRE
  - PCC or Entity Admin approves user access for each NCR request

- **ERO SEL**
  - Entity staff that do not have the Align Registered Entity Submitter role must request access via NERC’s Helpdesk ticket and indicate the NCRs
What’s Next: Release 3 and 4
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Release 3

- Scheduled rollout:
  - Development complete in September
  - User Acceptance Testing in October
  - Adoption plan will be determined in Q4 2021

- Core functionality:
  - Audits and Spot Checks
  - Scoping
  - Scheduling
  - Notifications
  - Tracking
  - Investigations
What’s Next: Release 3 and 4

Release 4

- Scheduled rollout:
  - 2022: Go-live date announced after Release 3 goes live

- Core functionality:
  - Audit and Spot Check Enhancements R3
  - Complaints
  - Inherent Risk Assessment (IRA)
  - Compliance Oversight Plan (COP)
Data Handling in Align and the ERO SEL
Data Handling in Align and the ERO SEL

Available on NERC’s Align Project Site

Guidance document provides clarity of storage and maintenance of registered entity and ERO Enterprise-created or -provided information related to CMEP activities in Align and the ERO SEL.

Artifact Retention

- Retention period for artifacts in the ERO SEL will vary based on circumstance and will adhere to the Rules of Procedure (RoP).
- Artifacts will remain in the ERO SEL no more than two years after the required data retention is applied.*
- Registered entity obligation to retain its own copy of submitted artifacts for five year period and must be able to resubmit to the ERO SEL upon request.

Appendix A provides Align and ERO SEL Examples

Appendix B provides Data Examples

*For Canadian entities using the ERO SEL, the retention period will be that specified by the applicable Canadian governmental authority.
Legacy Systems: webCDMS and Compliance Portal
Planned Legacy Data Migration

• Migrating closed PNCs across Regions
  ▪ Information for Enforcement Actions closed within the past five years will be migrated into Align
    o First migration batch to occur during Q4 2021
    o Additional migration batches to occur during 2022

• Migration supports metrics, ERO internal reports, and compliance history tracking
webCDMS (MRO, RF, Texas RE, and WECC)

- Registered entities will need to save documents uploaded to CDMS
- Anticipated retirement:
  - MRO – 12/31/2022
  - RF – 12/31/2022
  - Texas RE – 7/31/2022
  - WECC – anticipates retiring Quarter 4 2022

Compliance Portal (NPCC and SERC)

- NPCC Portal (CDAA) and SERC Compliance and Committee Portal have been restricted to prevent new records for the various CMEP functions deployed in Align.
- Entities provided communication to work existing issues in Legacy system until closed.
Training Resources

NERC Systems Training
Find your course by system or role below

NERC TRAINING COURSES
What system do you want to learn today?

Align
Align is the ERO's tool for processing and tracking all compliance monitoring and enforcement activities.

CODES
CODES is the ERO's tool for submitting a new entity registration request and managing your entity's registration information.

GADS Wind
This course includes GADS Wind introductory training as well as FAQs answered by GADS Wind experts. Find Resources.

TADS
TADS provides industry data to help Transmission Owners avoid preventable outages and help regulators make more informed decisions.

TEAMS
TEAMS stands for The Event Analysis Management System.

More Coming Soon!
We're working hard to bring you more comprehensive courses and training materials. Stay Tuned!
<table>
<thead>
<tr>
<th>Website</th>
<th>Registered Entity Resources</th>
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<tbody>
<tr>
<td>NERC Learning Site</td>
<td>Videos, User Guides</td>
</tr>
<tr>
<td>RF Align Site</td>
<td>Link to NERC Learning Site: Videos, User Guides</td>
</tr>
<tr>
<td></td>
<td>Align/ERO SEL Overview, Monthly Updates, Align Newsletters, RF Recorded Training Videos/Presentations, Register for Training</td>
</tr>
<tr>
<td>SERC Align Site</td>
<td>Links to NERC Align and FAQs, Platform to submit questions/comments</td>
</tr>
<tr>
<td>Texas RE Align Site</td>
<td>Link to NERC Learning Site: Videos, User Guides</td>
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<td></td>
<td>Align/ERO SEL Overview, Align Newsletters</td>
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<tr>
<td></td>
<td>Recorded Training Videos/Presentations, Register for Training</td>
</tr>
<tr>
<td>MRO Align Site</td>
<td>Links to NERC Learning Site: Videos, User Guides</td>
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<tr>
<td></td>
<td>ERO Help Desk Ticket, Align Training Environment</td>
</tr>
<tr>
<td></td>
<td>MRO Recorded Videos/Presentations, Register for Training</td>
</tr>
<tr>
<td>NPCC Align Site</td>
<td>Jason Wang (<a href="mailto:jwang@npcc.org">jwang@npcc.org</a>) and Kimberly Griffith (<a href="mailto:kgriffith@npcc.org">kgriffith@npcc.org</a>)</td>
</tr>
<tr>
<td>WECC Align Site</td>
<td>WECC Recorded Training Videos/Presentations, Align Facts, Questions and Answers</td>
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</tbody>
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Questions and Answers

Send questions to AskAlign@nerc.net