

# Align Self-Certifications User Guide



Welcome to the Align User Guide for the Self-Certifications (Self-Cert) module specific to the registered entity role. Along with the Align [instructional videos](#), this user guide will help you navigate through all the features included in this module. Click on a topic in the list below or in the ribbon above to begin.

- 1 Accessing Align
- 2 Responding to Self-Certification Requests
- 3 Creating a Finding (Self-Certifications)
- 4 Self-Certification Attestations
- 5 Requests for Extension
- 6 Submitting for CEA Review
- 7 Requests for Information
- 8 Related Issues
- 9 Reopened Self-Certification Assessments
- 10 Self-Cert Submittals Tab
- 11 Completed Self-Certs Tab
- 12 Self-Cert RFEs Tab

*Notice:* Updates to the Self-Certification and Attestation functionality remain under development as of this version update. This User Guide reflects current functionality in the Align and updates will be made as future releases are deployed to improve Self-Certification and Attestation functionality.



This email icon indicates when an email notification will be sent to a Registered Entity



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# Accessing Align

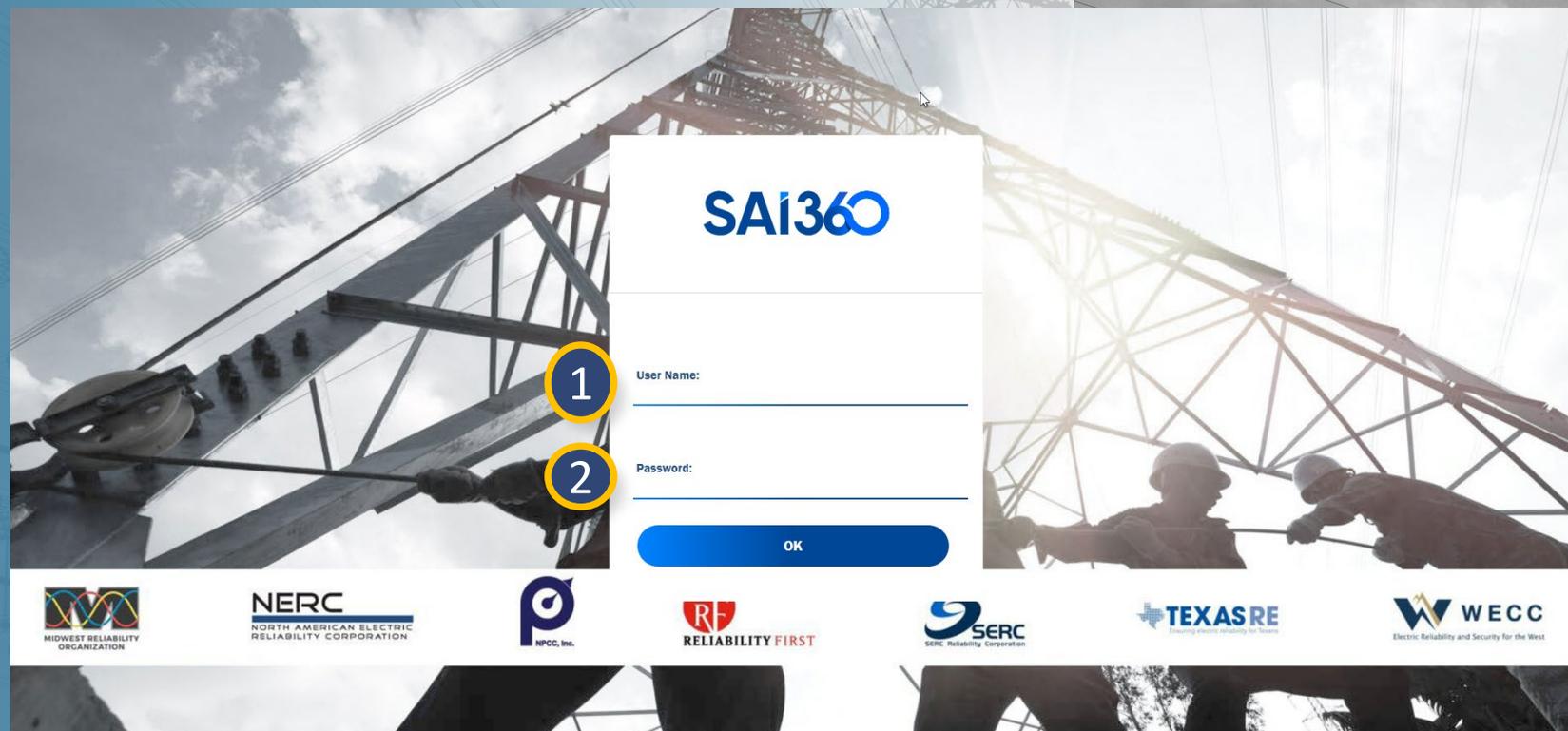


From the [Align Log-in Page](#)

1 Enter the **Align Username**

2 Enter the **Align Password**

*Notice:* All Align users MUST have an ERO Portal Account. Refer to the [Align User Access Guide](#) for details.



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# Responding to Self-Certification Requests

To navigate to **Self Certifications**:

- 1 Click the **dropdown arrow**.
- 2 Select the **Self Certifications** View.

The screenshot shows the 'My Align' dropdown menu with 'Self Certifications' selected. The background shows a dashboard with a table containing columns: STATUS, NCR, REGISTRATI..., STANDARD, REQ, and DUE DATE.

*Notice:* For Coordinated Oversight groups, entities will receive separate Self-Certification requests for each region.



# Responding to Self-Certification Requests

To respond to a Self-Certification Request:

1 Click the **Unique ID** to open the Request and view details, such as: monitoring period, dates to submit response, and selected requirements.

2 To begin responding, you will need to assign the requirement(s) in the PDS request by clicking the **Click to Assign** link.

*Notice:* The **Submit on or after** [A] date indicates when an entity can start entering information, but you may have visibility before that date. The due date of entity response is the date listed in **But no later than** [B] field.

The screenshot shows the 'Self-Certifications' dashboard. A yellow circle with the number '1' highlights the 'Active Self-Cert Requests' tab. Below it, a table lists 'MY ACTIVE SELF-CERTS'. One request, SC2022-004784, is highlighted. Callout 'A' points to the 'Submit on or after' date (July 25, 2022), and callout 'B' points to the 'But no later than' date (October 8, 2022). Below the table, the 'INSTRUCTIONS' section contains text about submitting data. The 'SELF-CERT ASSIGNMENTS' section shows a table with columns for SUBJECT, REVISION, and STATUS. A yellow circle with the number '2' highlights the 'Click to Assign' link in the first row of this table. At the bottom right, there are 'Update' and 'Close' buttons.



# Responding to Self-Certification Requests

- 3 Select the **Click to Finalize** link.
  - 4 Click the **Link Icon** to select an Assignee.
- To remove an assignee, check the checkbox click the **Unlink** icon.
- 5 Click the **Link Icon** to select the Self-Cert Scope if multiple requirements should be assigned to the same user.

Self-Cert Test JS

Questions

**Instructions** To create a new Assignment click **Click to Assign** below. Once Assignment is created click **Edit and Finalize Assignment** to submit Assessment. Open the questions below and answer each question. Need more time? Scroll down to **Request an Extension**. Have evidence to upload? Scroll down to the **Evidence** section.

SELF-CERT ASSIGNMENTS

SUBJECT	REVISION	STATUS
PRC-023-4 R1. <a href="#">Assignment Finalization Incomplete - Click here to Finalize</a>	Not Assigned	Pending Assignment
PRC-023-4 R2. <a href="#">Click to Assign</a>	Not Assigned	Not Assigned
PRC-023-4 R3. <a href="#">Click to Assign</a>	Not Assigned	Not Assigned
PRC-023-4 R4. <a href="#">Click to Assign</a>	Not Assigned	Not Assigned
PRC-023-4 R5. <a href="#">Click to Assign</a>	Not Assigned	Not Assigned

AS-22-00000032

Assignment

**Instructions** Assignment must have only **One** Person assigned. You must have at least **One** Requirement populated. To submit the Assessment, select **Assign** in the **Action** field and click the **Save** button.

**Persons**

ASSIGNEE

NCR9999999 Second Day Training Test 2 Editor 2

**Self-Cert Scope**

REQUIREMENT

PRC-023-4 R1.

**Action**

Action None

Update
Close



# Responding to Self-Certification Requests

- 6 Click the **checkbox** next to the requirement(s) you want to assign the user.
- 7 Click **Confirm**.
- 8 When ready, select **Assign** in the Action section.
- 9 Click **Update**.

Relate Existing

REQUIREMENT	Persons	Self-Cert Scope
<input checked="" type="checkbox"/> PRC-023-4 R1.	<input type="checkbox"/> ASSIGNEE <input type="checkbox"/> NCR9999999 Second Day Training Test 2 Editor 2	<input type="checkbox"/> REQUIREMENT <input type="checkbox"/> PRC-023-4 R1.
<input type="checkbox"/> PRC-023-4 R2.		<input type="checkbox"/>
<input type="checkbox"/> PRC-023-4 R3.		<input type="checkbox"/>
<input type="checkbox"/> PRC-023-4 R4.		<input type="checkbox"/>
<input type="checkbox"/> PRC-023-4 R5.		<input type="checkbox"/>

Action

Action

Assign

Update
Close

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Confirm
Close



# Responding to Self-Certification Requests

Only the assigned users may answer the Self-Cert Assignments.

If needed, assigned requirements can be re-assigned to different user(s) to answer by clicking **Assign Again [A]**.

*Notice:* Upon using the Assign again functionality, a new row will be populated into the Self-Cert Assignments portlet. This row will say **Assignment Finalization Incomplete - Click here to Finalize [B]**.

Once assigned, the new row and previous assignment row will show (appearing duplicated). Currently, this duplication cannot be avoided but may be fixed in future enhancement work.

**SELF-CERT ASSIGNMENTS**

SUBJECT	REVISION	STATUS
<b>A</b> PRC-023-4 R1.   <a href="#">Assign Again</a> Assigned to you (NCR9999999 Second Day Training Test 2 Editor 2) - <a href="#">Click here to Answer</a>	Initial Response	NEW
PRC-023-4 R2.   <a href="#">Assign Again</a> Assigned to you (NCR9999999 Second Day Training Test 2 Editor 2) - <a href="#">Click here to Answer</a>	Initial Response	NEW
PRC-023-4 R3.   <a href="#">Assign Again</a> Assigned to you (NCR9999999 Second Day Training Test 2 Editor 2) - <a href="#">Click here to Answer</a>	Initial Response	NEW
PRC-023-4 R4.   <a href="#">Assign Again</a> Assigned to you (NCR9999999 Second Day Training Test 2 Editor 2) - <a href="#">Click here to Answer</a>	Initial Response	NEW
PRC-023-4 R5.   <a href="#">Assign Again</a> Assigned to you (NCR9999999 Second Day Training Test 2 Editor 2) - <a href="#">Click here to Answer</a>	Initial Response	NEW

**SELF-CERT ASSIGNMENTS**

SUBJECT	REVISION	STATUS
<b>B</b> MOD-028-2 R9. <a href="#">Assignment Finalization Incomplete - Click here to Finalize</a>	Not Assigned	Pending Assignment
MOD-028-2 R9.   <a href="#">Assign Again</a> Assigned to you (NCR55555 Test Company in WECC Editor 1) - <a href="#">Click here to Answer</a>	Initial Response	NEW



# Responding to Self-Certification Requests

10 Click the **Click here to Answer** link.

11 Select your **response** from the **dropdown**.

If “Non-Compliant” is selected, ensure a Finding is created from the Self-Cert (refer to following slides).

12 Provide any **comments** in the textbox.

*Notice:* To delegate a section of the question to another user, click the **Delegate Section** checkbox [A], select someone from the **Delegated To** dropdown [B], enter any remarks, and click **Save Draft** [C].

**SELF-CERT ASSIGNMENTS**

SUBJECT	REVISION	STATUS
PRC-023-4 R1.   Assign Again Assigned to you (NCR9999999 Second Day Training Test 2 Editor 2) - Click here to Answer	Initial Response	NEW
PRC-023-4 R2.   Assign Again Assigned to you (NCR9999999 Second Day Training Test 2 Editor 2) - Click here to Answer	Initial Response	NEW

SC2022-004784 - AS-24-00000622 - NCR55555 - Test Entity Name Change in WECC - MOD-028-2 R9. - NCR55555 Test Compan...

Entity: [ ]  
Section: MOD-028-2 R9.

Please indicate your response for this requirement: Compliant

Please provide any comments you might have related to this Requirement here: [ ]

Delegate Section

Delegate Section

Delegated From: NCR55555 Test Company in WECC Editor 1

Delegated To: [ ]

Previous Remarks: [ ]

Delegation Remarks: [ ]



# Responding to Self-Certification Requests

13 If response is finalized, Click **Save**.

*Notice:* You will not be able to edit your responses to the questions after you click **Save**. If you are not ready to mark your responses final, click **Save Draft**. Hitting the **Close** button will exit the Self-Cert Assessment form without saving information.

14 Click **Yes**.

Complete these steps for each requirement in scope of the Self-Certification.

The screenshot shows a web form titled "SC2021-000546 - NCR9999999 - Second Game Day Friday Entity in MRO - FAC-003-4 R1. - NCR9999999 Second D...". The form contains two text input fields: "Please indicate your response for this requirement:" and "Please provide any comments you might have related to this Requirement here:". A modal dialog box titled "SAVE" is overlaid on the form, containing the text "Stored answers cannot be changed. Do you want to continue?" and two buttons: "Yes" (highlighted with a yellow circle and the number 14) and "No". At the bottom of the form, there are three buttons: "Save", "Save Draft", and "Close". A yellow circle with the number 13 is positioned near the "Save" button.



# Responding to Self-Certification Requests

If the CEA has included additional questions, the entity can view and respond:

- 1 Scroll to the **Additional Questions** section.
- 2 Click the **Question** hyperlink.
- 3 Provide your answer in the **Answer** field.
- 4 Click **Update**.

The screenshot shows the 'Jeff Test Pi' interface. At the top, it says 'Page 1 of 1'. Below that is the 'Additional Questions' section. A question is listed: 'What is your favorite color?'. Below the question are several options: 'Findings', 'Create Attestation', 'Request for Extension', 'Evidence', and 'Secure Evidence Locker Instructions'. At the bottom of the main interface, there are 'Update' and 'Close' buttons. A modal window is open over the question, titled 'Additional Question'. It contains the question 'What is your favorite color?' and an 'Answer' field. Below the answer field are 'Update' and 'Close' buttons. The steps from the list are numbered 1 through 4 on the screenshot.



# Creating a Finding (Self-Certifications)

If a response of “Non-Compliant” is provided for any requirements in a Self-Certification and a Finding does not yet exist for the noncompliance, a Finding should be created from the Self-Certification record. This ensures related records are created in the Align system for processing.

- 1 Click to expand the **Findings** section in the Self-Cert.
- 2 Click the **plus icon** next to the applicable requirement

Test 1 EM 518

Additional Questions

**Findings** 1

Note: The red flag indicates there is an Active Attestation

CREATE FINDING			RELATED FINDINGS		
REGISTRATION	REQUIREMENT	CREATE FINDING	ID	REGISTRATION	REQUIREMENT
NCR9999999 - Second Game Day Friday Entity in MRO	BAL-001-2 R1.	+ 2			

Request for Extension

Update Close



# Creating a Finding (Self-Certifications)

3 Populate the **Create a Finding** information accordingly.

4 Click **Save**.

*Notice:* Coordinated Oversight entities will use the **Other Region** field for identifying additional jurisdictions for reporting the Potential Noncompliance.

The **Create a Finding** form is like the Self-Report form and requires the Registered Entity to fill in the form with sufficient data for processing. Refer to the **Align Enforcement and Mitigation User Guide** for additional instructions.

The finding just created will appear in the Findings section of the Self-Certification request as a **draft**. To submit the finding to your CEA with the Self-Certification response, you will need use the **Self-Report and Self-Logs** module to submit.



# Creating a Finding (Self-Certifications)

- 5 Navigate to the **Self Reports and Logs** module.
- 6 Click the **Unique ID** to open the Draft Finding.
- 7 **Verify** the information previously entered is correct.

Ensure that any non-applicable functions are removed before submitting or you will receive an error indicating there are non-applicable functions tied to your registration.

The screenshot shows the 'Self Reports and Logs' module. A dropdown menu is open, highlighting 'Self Reports and Logs' with a circled '5'. Below it is a table of 'MY DRAFTS' with columns for TYPE, UNIQUE ID, and REGISTRATION. The row with UNIQUE ID '2021-00119' is highlighted, with a circled '6' over the ID. To the right, a detailed form for finding '2021-00119' is shown. The form has sections for 'Instructions', 'General Information', 'CFR/JRO Notes', and 'Discovery and Description'. A circled '7' is placed over the 'Registration' field in the 'General Information' section. The 'Instructions' section contains text about self-reports. The 'General Information' section includes fields for 'Applicable Requirement' (FAC-003-4 R1), 'Applicable Part(s)', 'Applicable Reliability Function(s)', 'Region - Jurisdiction in which the Potential Noncompliance occurred' (MRO-US), and 'Other Region - Jurisdiction(s) where you are reporting this Potential Noncompliance'. The 'Discovery and Description' section includes dates for 'When was the Potential Noncompliance discovered?' (06/10/2021) and 'When did the Potential Noncompliance start?' (06/01/2021), along with text boxes for 'How was this Potential Noncompliance' (test) and 'What is the basis for your selecting this start date?' (test). At the bottom are buttons for 'Save and Action', 'Save', and 'Close'.



# Creating a Finding (Self-Certifications)

8 In the **Action section**, select **Submit** from the **dropdown**.

9 If you wish to submit **Mitigations** with the Finding, check the **checkbox**.

10 Click **Save and Action**.

*Notice:* Each Finding will need to be paired with a mitigation record, but the Mitigation Information section is optional at this stage. If you are ready to enter mitigation milestones for this Finding, click on the **Mitigation Information** heading to expand the section and click the + icon. Refer to the **Align Enforcement and Mitigation User Guide** for additional instructions.

2021-00119
✕

MRO|NCR9999999|VI2021-00119|VI2021-00119|FAC-003-4|R1.|1.4.,1.3.,1.2.,1.1.

If you are hosting your own SEL, please provide a hyperlink to your locker in the comment section above.

Mitigation Information (optional - click to expand)

**Action**

**Instructions**

**Submit Finding:** Select "Submit" on the Action dropdown, then click the Save and Action button at the bottom of the screen.

**OPTIONAL - Submit Mitigations:** Submit mitigations now by checking the box "Submit Mitigations for Review with Finding?" or later via the "My Mitigations Tab".

By submitting the mitigating activities described above, I acknowledge that I have authority to submit the mitigating activities on behalf of the Registered Entity.

**Delete Finding:** Select "Delete" on the Action dropdown, then click the Save and Action button at the bottom of the screen.

**Save a Draft:** Click the Save button at bottom of the screen. The CEA will not see this finding until the Registered Entity selects "Submit" on the Action dropdown and clicks the Save and Action button.

**Close:** Click the Close button at the bottom of the screen to close the window.

click [here](#) to print

FORM: RE-SR2-Editor

Action\*  8

Submit Mitigations for Review with Finding?  9

Submit

No Action

Delete

Submit

Save and Action
Save
Close

10



# Self-Certification Attestations

Attestations are used when a Self-Certification is not applicable to an entity.

To create an Attestation for a requirement related to a Self-Certification:

- 1 In the **Active Self Cert Requests** tab, click the **Unique ID** to open the Self-Cert.
- 2 Click to expand the **Create Attestation** section.
- 3 Click the **plus icon**.

The screenshot shows the 'Active Self-Cert Requests' tab selected. A list of self-certifications is visible, with 'SC2022-004784' highlighted. A modal window titled 'Test 6-4 EM' is open, showing 'Additional Questions' (empty) and 'Findings'. Below the findings, there is a 'Create Attestation' section with a table:

ATTESTATION SCOPE	FUNCTION	CREATE ATTESTATION
FAC-003-4 R1.	GO	+
FAC-003-4 R1.1.	GO	+
FAC-003-4 R1.2.	GO	+
FAC-003-4 R1.3.	GO	+
FAC-003-4 R1.4.	GO	+

To the right of this table is an 'ATTESTATIONS OVERVIEW' table with columns for Attestation ID, Scope, Effective Date, Renewal Date, and Status. Below the table is a 'Request for Extension' section with 'Update' and 'Close' buttons.

At the time of updating this User Guide, there are ongoing enhancements ready for future Align deployments to fix Attestation functionality. User Guides will be updated when the deployment(s) occur. The following information reflects the limited functionality that currently exists.

# Self-Certification Attestations



- 4 Type justification comments in the **Notes** **textbox**; this is required information.
- 5 Click **Update** to save the Attestation.
- 6 Click **Update** to send the attestation request to the region.

To review submitted attestations, navigate to the **Attestations** Module and click **Active Attestations** tab or **Attestations in Review** tab.

At the time of updating this User Guide, there are ongoing enhancements ready for future Align deployments to fix Attestation functionality. User Guides will be updated when the deployment(s) occur. The following information reflects the limited functionality that currently exists.

Create Applicability Exception

General

Source Attestation

Registration NCR9999999 - Second Game Day Friday Entity in MRO Function(s) GO

Standard Requirement FAC-003-4 R1. Part

Notes

4

Update Close

5



# Self-Certification Attestations - Reaffirmations

Periodically, the CEA will request that an attestation(s) be reaffirmed. To reaffirm an attestation:

1. Navigate to **Attestations to Reaffirm** tab from the Attestations module.

To reaffirm a single attestation:

2. Find the attestation you wish to reaffirm and then click the **REAFFIRM** link in the Action column.

REGISTRATION	APPLICABLE TO	RENEWAL DATE	REAFFIRM RENEWAL DATE	ACTION	CREATED BY	MODIFIED BY	MODIFIED ON
NCR5555 - Test Entity Name Change in WECC	EOP-011-1 R3.1.	08/08/2021		REAFFIRM	NCR5555 Test Company in WECC Editor 1	WECC Editor 1	07/19/2024

At the time of updating this User Guide, there are ongoing enhancements ready for future Align deployments to fix Attestation functionality. User Guides will be updated when the deployment(s) occur. The following information reflects the limited functionality that currently exists.



# Self-Certification Attestations - Reaffirmations

To reaffirm multiple attestations from the Attestations module:

- 1 Click on the **Bulk Reaffirm** button.
- 2 Click the **Relate Existing** button.
- 3 Select the records you wish to reaffirm.
- 4 Click **Confirm**.
- 5 Select **Reaffirm** from the drop down and add a comment in the Reaffirmation Comment box if desired.
- 6 Click **Update**.

The screenshot shows the 'Create Attestation Reaffirmation' window in the Align system. It includes a table of attestations to be related, a dropdown menu for selecting the reaffirmation action, and a comment box. The interface is annotated with numbered callouts: 1 points to the 'BULK REAFFIRM' button in the background; 2 points to the 'Relate Existing' button; 3 points to the selection checkboxes in the 'OPEN REQUESTED REAFFIRMATION' table; 4 points to the 'Confirm' button; 5 points to the 'Reaffirm' option in the dropdown menu; and 6 points to the 'Update' button.

APPLICABILITY EXCE...	NAME	REGISTRATION	STANDARD	REQUIREMENT	PART
<input type="checkbox"/>	AE / 000025	AE / 000025	NCR55555 - Test Entity Name Change in WECC	FAC-501-WECC-2 R1.	
<input type="checkbox"/>	AE / 000026	AE / 000026	NCR55555 - Test Entity Name Change in WECC	CIP-013-1 R1.	
<input type="checkbox"/>	AE / 000028	AE / 000028	NCR55555 - Test Entity Name Change in WECC	EOP-006-3 R6.	
<input type="checkbox"/>	AE / 000030	AE / 000030	NCR55555 - Test Entity Name Change in WECC	EOP-011-1 R3.1.	

Attestation Reaffirmation: **Reaffirm**

Reaffirmation Comment: **Reaffirm**

At the time of updating this User Guide, there are ongoing enhancements ready for future Align deployments to fix Attestation functionality. User Guides will be updated when the deployment(s) occur. The following information reflects the limited functionality that currently exists.



# Requests for Extension

To request an extension for an active Self-Certification:

- 1 In the **Active Self Cert Requests** tab, click the Unique ID.
- 2 Click to expand the **Request for Extension** section of the Self-Cert.
- 3 Click the **plus (+) icon**.

Self-Certifications
Align For Entities

Active Self-Cert Requests
NCR55555 Test Company in WECC Editor 1

**MY ACTIVE SELF-CERTS**

UNIQUE ID	REG
SC2023-000001	NCR: Chan
SC2022-004784	NCR: Chan
SC2022-004649	NCR: Chan
SC2022-004542	NCR: Chan
SC2022-004235	NCR: Chan
SC2022-004180	NCR: Chan
SC2022-004096	NCR: Chan
SC2022-004047	NCR: Chan
SC2022-003998	NCR: Chan

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**INSTRUCTIONS**

Above are Self-Certifications awaiting your response. Above are Self-Certifications awaiting your response, you will be asked to complete a submission data to the SEL.

Self-Certifications that have been sent to your Facility SEL but have already submitted your Self-Certification tab as well.

SC2024-000068

QUESTION	ANSWER
This table is empty	

**Findings**

**Request an Extension**

Click on the + sign to add a new Request for Extension

LABEL	REQUEST DATE	SOURCE DUE DATE	REGION APPROV...	REASON FOR RE...	REGION COMMENT	REQUIREMENTS	STATUS
RFE / 000227	11/29/2024	09/18/2024		Reason here.		FAC-002-3 R3., PRC-002-4 R4., CIP-008-6 R2., PRC-011-0 R1...	Requested

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# Requests for Extension

- 4 Select a **Requested New Due Date** for the Self-Cert.
- 5 Provide a **Reason for extension** in the textbox.
- 6 Click **Update**. Once Update is clicked, the request is immediately sent to the region.
- 7 Click **Update**.

*Notice:* The Request for Extension (RFE) will now be sent to the CEA for review and approval or disapproval

Create Request for Extension
✕

### Request for Extension

Source Registration \* NCR55555 - test confirm name change in MRO

Parent Source \* SC2024-00068

Standard / Requirements / \* Part  
 FAC-002-3 R3. ✕ PRC-002-4 R4. ✕ CIP-008-6 R2. ✕ PRC-011-0 R1. ✕ FAC-001-3 R4. ✕ FAC-003-4 R3. ✕ PRC-005-6 R5. ✕  
 PRC-023-4 R5. ✕ FAC-003-4 R2. ✕ FAC-003-4 R4. ✕ FAC-003-4 R1. ✕

Requested New Due Date \* June 2021

Reason for extension \*

**Action**

Action Send  
Update will send this RFE to the CEA.

Update
Close

### Request for Extension

Source Registration \* NCR55555 - test confirm name change in MRO

Parent Source \* SC2024-00068

Standard / Requirements / \* Part  
 FAC-002-3 R3. ✕ PRC-002-4 R4. ✕ CIP-008-6 R2. ✕ PRC-011-0 R1. ✕ FAC-001-3 R4. ✕ FAC-003-4 R3. ✕ PRC-005-6 R5. ✕  
 PRC-023-4 R5. ✕ FAC-003-4 R2. ✕ FAC-003-4 R4. ✕ FAC-003-4 R1. ✕

Requested New Due Date \* June 2021

Reason for extension \*

**Action**

Action Send  
Update will send this RFE to the CEA.

Update
Close





# Requests for Extension

8 To check the status of a Request for Extension, navigate to the **Self-Cert RFEs** tab and check in the status column [A].

*Notice:* Status will be listed as either Approved, Disapproved or Requested.

The screenshot shows the 'Self-Certifications' application interface. The 'Self-Cert RFEs' tab is selected and highlighted with a yellow circle and the number 8. A yellow arrow labeled 'A' points to the 'STATUS' column in the table below.

RFE ID	RELATED SEL...	REGISTRATION	ORIGINAL DUE DATE	REQUESTED DUE DATE	NEW	STATUS	CREATED BY	MODIFIED BY	MODIFIED ON
RFE / 000227	SC2024-000068	NCR55555 - test confirm name change in MRO	09/18/2024	11/29/2024	11/29/2024	Requested	ncr55555 entity editor 1	NCR55555 Entity Edit...	11/22/2024

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# Submitting for CEA Review

If the Self-Certification response is ready for region review:

- 1 Navigate to the **Active Self-Certs** tab and click the **Unique ID** to open the Self-Certification.
- 2 Ensure any requested evidence is uploaded for the Self-Certification to the ERO SEL using the provided SEL Reference ID. If you are unsure if evidence is requested, please contact the region to confirm.
- 3 Once the response is ready for region review, in the Action section, select **Submit for CEA Review** from the dropdown.
- 4 Click **Update**.

*Notice:* The Self-Certification will now appear in the **Self-Cert Submittals** tab.

The screenshot shows the 'Self-Certifications' interface. At the top, there are tabs for 'Active Self-Cert Requests', 'Self-Cert Submittals', 'Completed Self-Certs', and 'Self-Cert RFEs'. The 'Active Self-Cert Requests' tab is selected, showing a list of requests. A red circle with the number '1' highlights the 'Unique ID' column. Below the list, there are instructions for submitting evidence to the ERO SEL. A red circle with the number '2' highlights the 'Evidence' section. At the bottom, there is an 'Action' dropdown menu with a red circle and the number '3' highlighting the 'Submit for CEA Review' option. A red circle with the number '4' highlights the 'Update' button.

REGISTRATION	SELF-CERT NAME	STANDARD AND REQUIREMENT	MONITORING PERIOD	DUE DATE	PROGRESS	CREATE...	MODIFIED BY	MODIFIED ON
SC2023-000001	Test01_01_18_2023	CIP-002-5.1a R1., CIP-002-5.1a R2., CIP-003-8 R1., PR...	01/01/2022 - 12/31/2022	18 Apr 2023 -598 days to complete	NOT STARTED	ImportUser	Import User	08/24/2023

**INSTRUCTIONS**

Above are Self-Certifications awaiting your company, you will be asked to complete and submit data to the SEL.

Self-Certifications that have been sent to the SEL but have already submitted your Self-Certification as well.

**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/merc-infrastructure> with the following reference number:

- For evidence related to PRC-005-6 R3. use: WECC|NCR55555|SC2023-000001|SC2023-000001|PRC-005-6|R3.
- For evidence related to CIP-003-8 R1. use: WECC|NCR55555|SC2023-000001|SC2023-000001|CIP-003-8|R1.
- For evidence related to PRC-005-6 R1. use: WECC|NCR55555|SC2023-000001|SC2023-000001|PRC-005-6|R1.
- For evidence related to PRC-005-6 R2. use: WECC|NCR55555|SC2023-000001|SC2023-000001|PRC-005-6|R2.
- For evidence related to CIP-002-5.1a R1. use: WECC|NCR55555|SC2023-000001|SC2023-000001|CIP-002-5.1a|R1.
- For evidence related to CIP-002-5.1a R2. use: WECC|NCR55555|SC2023-000001|SC2023-000001|CIP-002-5.1a|R2.

If the entity is hosting its own SEL, please provide a hyperlink to their locker in the comment section above.

**Action**

Instructions: When all questions are answered and this Self-Certification is ready for CEA's review, submit this Self-Certification by selecting the "Submit for CEA Review" Action option and clicking "Update" below.

Action:  (Dropdown menu options: -- None --, No Action, Submit for CEA Review)

**Update** **Close**



# Requests for Information

To respond to a Self-Certification Request for Information (RFI):

- 1 Navigate to the **My Align dashboard**.
- 2 Click the **Unique ID** to open the Request for Information. RFIs can also be opened from the Self-Cert record opened through the Self-Certification module.
- 3 Type comments in the **Respondent Comments** textbox and upload any needed evidence to the ERO SEL [A].
- 4 If the response is ready, click **Save and Action** to send the response for region review or click **Save** to continue drafting.

*Notice:* Regions can send RFIs anytime after the Self-Certification has been sent to the entity.

**Request for Information**

Parent Source: SC2021-000189

Applicable Standard/Requirement: CIP-003-8 R2.; PRC-005-6 R1.

Related Registration: NCR55555 - Test Entity Name Change in WECC

Requestor: WECC Editor 1

Requestor Comments: This is a draft RFI for the Self-Cert review.

Requestor Attachments

Request Sent On: December 6, 2024

Response Due By: January 5, 2025

**Respondent Comments\***

**Note:** You cannot proceed in the workflow until the Respondent Comments are filled in. If evidence is submitted to the SEL, please check the box for Upload to SEL.

Upload to SEL

**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:

**For evidence related to CIP-003-8 R2. use: WECC|NCR55555|SC2021-000189|SC2021-000189,RF24-010211|CIP-003-8|R2. |**  
**For evidence related to PRC-005-6 R1. use: WECC|NCR55555|SC2021-000189|SC2021-000189,RF24-010211|PRC-005-6|R1. |**

If you are hosting your own SEL, please provide a hyperlink to your locker in the comment section above.

**Save and Action** | **Save** | **Close**

TYPE	Unique ID	Status	Entity	Requirement	Due Date	Requestor	Admin	Response Date
RFI for Self-Certs	SC2022-044101   RF22-010111	MRO	Montana-Dakota Utilities Company in MRO	MOD-027-1 R2.	01/03/2023 Overdue by 689	MRO Editor 1	Admin Admin	12/06/2023
RFI for Self-Certs	SC2021-000042   RF24-010209	MRO	Montana-Dakota Utilities Company in WECC	CIP-004-6 R1.	12/22/2024	MRO Editor 1	MRO Editor 1	11/22/2024

Page 1 of 1 | **Respond to this Request for Information**



# Related Issues

After review of the Self-Certification response, the CEA may have other conclusions. These include Positive Observations, Areas of Concern, and Recommendations.

If the CEA includes any of these conclusions, they will be visible once the Self-Cert is marked completed.

To locate them, if any:

- 1 Navigate to **Completed Self-Certs**.
- 2 Click on a **Unique ID**.
- 3 Scroll to **Related Issues** section.

The screenshot shows the 'Self-Certifications' application interface. At the top, there are navigation tabs: 'Active Self-Cert Requests', 'Self-Cert Submittals', 'Completed Self-Certs' (highlighted with a circled '1'), and 'Self-Cert RFEs'. The user is logged in as 'NCR55555 Test Company in WECC Editor 1'. Below the tabs is a table titled 'MY COMPLETED SELF-CERTS'. The first row is selected, with its 'UNIQUE ID' (2021-000058) circled with a '2'. A modal window is open for this self-cert, showing a 'Related Issues' section (circled with a '3') containing a table of issues.

UNIQUE ID	REGISTRATION	SELF-CERT NAME	STANDARD AND REQUIREMENT	MONITORING PERIOD	SUBMITTAL/DUE DATE	SELF-CERT STATUS	CREATED ...	MODIFIED BY	MODIFIED ON
2021-000058	NCR55555 - Test Entity Name Change in WECC	2 Scenario - 7/21 SC - Demo	CIP-002-5.1a R1., CIP-009-6 R2., PRC-005-6 R1.	01/01/2020 - 12/31/2020	21 Jul 2021 08 Sep 2021	Closed with PNC	ImportUser	WECC Editor 1	08/24/2023
SC2021-000059	NCR55555 - Test Entity Name Change in WECC	07/23 - SC Test - AS	CIP-002-5.1a R1., CIP-006-6 R3., PRC-003-4 R5., PRC-003-4 R6.	06/01/2021 - 06/30/2021	30 Jul 2021 27 Aug 2021	Closed with no PNC	ImportUser	Ozge Doyle	08/24/2023
SC2022-000006	SC2022-000068								
SC2022-000068	SC2022-000068								

PARENT NAME	ISSUE TYPE	ISSUE ID	REGISTRATION	STANDARD / REQUIREMENTS	ISSUE STATUS
SC2022-000068	Area of Concern	<a href="#">AC24-00048</a>	NCR55555 - Test Entity Name Change in WECC	CIP-003-8 R1.	Draft
SC2022-000068	Positive Observations	<a href="#">PO24-00038</a>	NCR55555 - Test Entity Name Change in WECC	PRC-005-6 R3.	Final
SC2022-000068	Recommendations	<a href="#">RC24-00028</a>	NCR55555 - Test Entity Name Change in WECC	CIP-002-5.1a R1.	Final

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# Related Issues

For any Related Issues included with Self-Certs, it will show the Issue Type, related Registration and Standard/Requirements.

To view the details of the Issue:

- 4 Click on an **Issue ID**, if any, to view more information.
- 5 Review details, particularly the **Description** field.
- 6 Click **Close** when finished.

*Notice:* The "Issue Status" column [A] may indicate an issue is not yet final and "draft." Please contact the CEA to clarify if the issue is final.

Currently, entities are not automatically notified of Related Issues on Self-Certs and will need to navigate to this section to identify such records.

SC2022-000068

PARENT NAME	ISSUE TYPE	ISSUE ID	REGISTRATION	STANDARD / REQUIREMENTS	ISSUE STATUS
SC2022-000068	Area of Concern	AC24-00048	NCR55555 - Test Entity Name Change in WECC	CIP-003-8 R1.	Draft
SC2022-000068	Positive Observations	PO24-00038	NCR55555 - Test Entity Name Change in WECC	PRC-005-6 R3.	Final
SC2022-000068	Recommendations	RC24-00028	NCR55555 - Test Entity Name	CIP-002-5.1a R1	Final

RC24-00028

**General**

Name	Rec Test	ID	RC24-00028
Description	This is a Recommendation test.		
Parent Source	SC2022-000068	Created On	November 25, 2024
		Prepared By	WECC Editor 1
Registrations	NCR55555 - Test Entity Name Change in WECC	No Additional Review Needed	No
Standards and Requirements	CIP-002-5.1a R1.	Status	Final

**Comments**

Reviewer Comments	
Follow-up Comments	
Reviewed By	Reviewed On

FORM-02\_Self\_Review\_SC

Close



# Reopened Self-Certification Assessments

Your CEA may need to re-open a Self-Cert after submitted by the entity.

To respond to assessments in a reopened Self-Certification:

- 1 Navigate to the reopened Self-Certification and click the link in the **Action** column.
- 2 **Close** or **Cancel** the screen that pops up.
- 3 Click on the new **Questions link**, and complete the question set as needed.

*Notice:* Only click the Action link [A] for the questions you need to change. Once a new question set [B] is created, you will not be able to resubmit before completing it again.

The screenshot displays the 'Questions' interface for a 'SELF-CERT ASSESSMENT'. It shows a table with columns for 'COMPLETED' status and 'QUESTIONS' descriptions. An 'ACTION' column contains links for re-assessment. A modal window titled 'Please answer the following questions:' is overlaid, showing a 'Subject' and 'Section' for a specific assessment. A 'NEW' question set is also visible in the table below the modal.



# Self-Cert Submittals Tab

The **Self-Cert Submittals** tab displays all Self-Certification assessments that have been submitted to the CEA for review.

Self-Certifications Submittals will remain in this tab until the CEA either completes their review, at which point it will move to the **Completed Self-Certs** tab, or flags the Self-Cert for revision, at which point it will move back to the **Active Self-Cert Requests** tab.

Self-Certifications													
Active Self-Cert Requests											Self-Cert Submittals	Completed Self-Certs	Self-Cert RFEs
MY SUBMITTED SELF-CERTS											Align For Entities		
	UNIQUE ID	REGISTRATION	SELF-CERT NAME	STANDARD AND REQUIREMENT	MONITORING PERIOD	SUBMITTAL/ DUE DATE	SUBMITTED BY	SELF-CERT STATUS	CREATED...	MODIFIED BY	MODIFIED ON		
<input type="checkbox"/>	SC2021-000185	NCR55555 - Test Entity Name Change in WECC	2021 Self Certification Demo	CIP-003-8 R2., PRC-005-6 R1.	01/01/2020 - 12/31/2020	16 Sep 2021 31 Oct 2021	NCR55555 Test Company in WECC...	In review	ImportUser	NCR55555 Test...	08/24/2023		
<input type="checkbox"/>	SC2021-000183	NCR55555 - Test Entity Name Change in WECC	2021 Self-Certification Demo	CIP-003-8 R2., PRC-005-6 R3.	01/01/2020 - 09/01/2020	16 Sep 2021 01 Nov 2021	NCR55555 Test Company in WECC...	In review	ImportUser	NCR55555 Test...	08/24/2023		
<input type="checkbox"/>	SC2021-000136	NCR55555 - Test Entity Name Change in WECC	8/11_Demo_SC	CIP-002-5.1a R1., CIP-003-8 R2., PRC-005-6 R3., PRC-019-2 R1.	01/01/2020 - 12/31/2020	26 Aug 2021 01 Oct 2021	NCR55555 Test Company in WECC...	In review	ImportUser	NCR55555 Test...	08/24/2023		
<input type="checkbox"/>	SC2021-000142	NCR55555 - Test Entity Name Change in WECC	8/17_Demo1_DC	CIP-002-5.1a R1., CIP-002-5.1a R2., PRC-005-6 R1.	01/01/2020 - 12/31/2020	16 Sep 2021 01 Oct 2021	NCR55555 Test Company in WECC...	In review	ImportUser	NCR55555 Test...	08/24/2023		
<input type="checkbox"/>	SC2022-000006	NCR55555 - Test Entity Name Change in WECC	Annual_SC_2021_De	CIP-003-8 R2., CIP-004-6 R1., PRC-005-6 R3.	01/01/2021 - 12/31/2021	17 Feb 2022 15 Apr 2022	NCR55555 Test Company in WECC...	In review	ImportUser	NCR55555 Test...	08/24/2023		
<input type="checkbox"/>	SC2021-000189	NCR55555 - Test Entity Name Change in WECC	Demo - Self-Certification - 2021	CIP-003-8 R2., PRC-005-6 R1.	01/01/2020 - 09/01/2020	15 Apr 2022 30 Nov 2021	NCR55555 Test Company in WECC...	Closed with PNC	ImportUser	WECC Editor 1	08/24/2023		
<input type="checkbox"/>	SC2022-000068	NCR55555 - Test Entity Name Change in WECC	Duane_Test_01	BAL-001-2 R1., CIP-002-5.1a R1., CIP-002-5.1a R2., CIP-003-8 R...	01/01/2021 - 12/31/2021	15 Apr 2022 01 May 2022	Andy J Rodriguez	In review	ImportUser	Andy J Rodriguez	08/24/2023		



# Completed Self-Certs Tab

The **Completed Self-Certs** tab displays all Self-Certifications requests that are completed.

The Registered Entity may use this tab to review any Self-Certification assessments for which the CEA has completed their review and review statuses and related issues.

The status column will list whether the Self-Certification has been **Closed with PNC** or **Closed with no PNC**. Opening the individual Self-Cert records will provide related information about Self-Certification, any findings, and other information, such as RFIs, RFEs, etc.

Self-Certifications											Align For Entities
Active Self-Cert Requests	Self-Cert Submittals	Completed Self-Certs	Self-Cert RFEs	NCR55555 Test Company in WECC Editor 1							
MY COMPLETED SELF-CERTS											
	UNIQUE ID	REGISTRATION	SELF-CERT NAME	STANDARD AND REQUIREMENT	MONITORING PERIOD	SUBMITTAL/ DUE DATE	SELF-CERT STATUS	CREAT...	MODIF... BY	MODIF... ON	
<input type="checkbox"/>	SC2021-000058	NCR55555 - Test Entity Name Change in WECC	2 Scenario - 7/21 SC - Demo	CIP-002-5.1a R1., CIP-009-6 R2., PRC-005-6...	01/01/2020 - 12/31/2020	21 Jul 2021 08 Sep 2021	Closed with PNC	ImportUser	WECC Editor 1	08/24/2023	
<input type="checkbox"/>	SC2021-000059	NCR55555 - Test Entity Name Change in WECC	07/23 - SC Test - AS	CIP-002-5.1a R1., CIP-006-6 R2., PRC-023-4...	06/01/2021 - 06/30/2021	30 Jul 2021 27 Aug 2021	Closed with no PNC	ImportUser	Ozge Doyle	08/24/2023	



# Self-Cert RFEs Tab

The **Self-Cert RFEs** tab displays information related to any Requests for Extension the Registered Entity has submitted to the CEA.

From this tab, a status of the RFE request can be obtained by looking at the Status column which will display either Approved, Disapproved or Requested.

Self-Certifications Align For Entities

Active Self-Cert Requests | Self-Cert Submittals | Completed Self-Certs | **Self-Cert RFEs** NCR5555 Test Company in WECC Editor 1

RFES RELATED TO SELF-CERTS

RFE ID	RELATED S...	REGISTRATION	ORIGINAL DUE DATE	REQUESTED DUE DATE	NEW DUE DATE	STATUS	CREATED ...	MODIFIED BY	MODIFIED ON
RFE-000012	SC2021-000025	NCR55555 - Test Entity Name Change in WECC	09/01/2021	09/10/2021	09/10/2021	Approved	NCR55555 Editor 1	Admin Admin	12/08/2023
RFE-000013	SC2021-000030	NCR55555 - Test Entity Name Change in WECC	09/01/2021	09/10/2021	09/10/2021	Approved	NCR55555 Editor 1	Admin Admin	12/08/2023
RFE-000015	SC2021-000037	NCR55555 - Test Entity Name Change in WECC	09/01/2021	09/10/2021	09/10/2021	Approved	NCR55555 Editor 1	Admin Admin	12/08/2023
RFE-000021	SC2021-000051	NCR55555 - Test Entity Name Change in WECC	09/01/2021	09/10/2021	09/10/2021	Approved	NCR55555 Editor 1	Admin Admin	12/08/2023
RFE-000022	SC2021-000058	NCR55555 - Test Entity Name Change in WECC	09/01/2021	09/08/2021	09/08/2021	Approved	NCR55555 Editor 1	Admin Admin	12/08/2023
RFE-000039	SC2021-000185	NCR55555 - Test Entity Name Change in WECC	10/31/2021	11/30/2021	11/30/2021	Requested	Admin	Admin Admin	12/08/2023
RFE-000039	SC2021-000185	NCR55555 - Test Entity Name Change in WECC	10/31/2021	11/30/2021	11/30/2021	Requested	NCR55555 Editor 1	Admin Admin	12/08/2023
RFE-000041	SC2021-000186	NCR55555 - Test Entity Name Change in WECC	11/30/2021	11/30/2021	11/30/2021	Requested	Admin	Admin Admin	12/08/2023
RFE-000041	SC2021-000186	NCR55555 - Test Entity Name Change in WECC	11/30/2021	11/30/2021	11/30/2021	Requested	NCR55555 Editor 1	Admin Admin	12/08/2023
RFE-000043	SC2021-000189	NCR55555 - Test Entity Name Change in WECC	11/30/2021	12/01/2021	12/01/2021	Requested	Admin	Admin Admin	12/08/2023
RFE-000043	SC2021-000189	NCR55555 - Test Entity Name Change in WECC	11/30/2021	12/01/2021	12/01/2021	Requested	NCR55555 Editor 1	Admin Admin	12/08/2023
RFE-000050	SC2022-000006	NCR55555 - Test Entity Name Change in WECC	04/15/2022	05/02/2022	05/02/2022	Requested	Admin	Admin Admin	12/08/2023

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# Appendix: Revision History



Revision Date	Brief Description of Updates
2021	Initial release of guide (Align Release 2)
December 2024	Retitled user guide to reflect Align module rather than Release 2 Corrected typos Updated steps and screenshots to match recent updates in Self-Certification module