

*CMEP Data
Administration
Application
(CDAA) Portal
User Guide*

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Revision 5

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Introduction

What is the NPCC Compliance Portal (“CDAA”)?

You can use the CDAA to perform tasks such as:

- Create and maintain contacts within your organization
 - Assign roles that confer various permissions and abilities upon a user
- Submit monthly, quarterly, and annual forms, such as Self-Certifications and Quarterly Vegetation Outage Forms
- Submit Self-Reports, Scope Expansions, Mitigation Plans, and Mitigation Plan Closures

How do I access the CDAA?

The CDAA can be accessed via the following URL: <https://cdaa.npcc.org>. You can also log into the CDAA from the NPCC Compliance web page that is on NPCC’s web site.

What is an Entity Administrator (EA)?

Previously known as the Master Account Administrator, the duties and responsibilities of an Entity Administrator include:

- Acting as a point of contact between users, such as entity employees assigned to fill out and submit compliance forms.
- Creating and editing users under the Entity Portal
- Assigning permissions and roles to new and existing users, granting them access to various sections of the system
- Reset passwords for users, if necessary

Password Procedures

How do I log into the CDAA?

You can access the CDAA at <https://cdaa.npcc.org>. If you are logging into the CDAA for the first time, you will need to obtain your username from your Entity Administrator (EA) and follow the steps under “I forgot my password!”

I forgot my password!

If you have forgotten your password for the CDAA:

1. Go to <https://cdaa.npcc.org>
2. Click “I forgot my password” at the bottom of the screen
3. Enter the Username supplied to you by your Entity Administrator (EA) and the email address associated to that username
 - a. If your Username and email address match, you will receive an email notification with a link to create a new password
 - b. The email will be sent from compliance-support@npcc.org

You should receive the email within a few minutes. If you do not receive your password within a few minutes, check your Junk Mail folder to make sure that the automated email was not automatically filtered out as spam by your email program.

How do I change my password?

To change your password:

1. Go to <https://cdaa.npcc.org>
2. Select “System Administration” and click “Change Password” (you can also access this through “My Contact Information” and “Change Password” at the top of the page)
3. On the “Change Password” screen:
 - a. Enter your “Old Password”
 - b. Enter your “New Password” (twice)
 - c. Click “Change Password”

How does my Entity Administrator reset my password?

1. Select “System Administration”
2. Click “Search Contacts”
3. Click “Select” next to the appropriate contact (or enter filter criteria, click “Search”, and click “Select”)
4. Click “Reset Password” at the top of the page
5. Click “OK”
6. You will receive an email with a link that will allow you to reset your password

For password requirements, see “What makes for a secure password?”

What makes for a secure password?

NPCC requires that use of a secure password that meets the following requirements:

1. Your password may not contain any part of your name or your username exceeding

two consecutive characters.

2. Your password must be at least 8 characters in length.
3. Your username must contain characters from 3 of the following 4 categories:
 - a. Uppercase characters (A through Z)
 - b. Lowercase characters (a through z)
 - c. Numbers (0 through 9)
 - d. Non-alphanumeric characters (such as: !, \$, @, %)

The Portal will require you to change your password periodically for security purposes.

Compliance Contact Information

What are Compliance Contact Types?

NPCC requires all registered entities to provide a point of contact for each of the Compliance Contact types. You will find a brief explanation of each of these four types below:

1. Primary Compliance Contact (PCC)
 - a. Point of contact for all compliance communication from NPCC and periodically NERC
 - b. Distribution emails
2. Alternate Compliance Contact (ACC)
 - a. Alternate Point of contact for all compliance communication from NPCC and periodically NERC
 - b. Distribution emails
3. Primary Compliance Officer (PCO)
 - a. Officer level responsible for compliance activities
 - b. Point of contact for all enforcement notices (i.e. Notice of Possible Violation, Confirmed Violation, Mitigation Plan Acceptances, etc.)
 - c. Point of contact for escalated requests from NPCC or NERC for data, information, or other reports

How do I add or edit the Compliance Contact Types?

An Entity Administrator (EA) is the only user that can edit the Contact Types. To add a Contact Type:

1. Go to <https://cdaa.npcc.org>
2. Select the appropriate Registered Entity name from the dropdown menu at the top right of the screen and click "Change Entity"
3. Select "System Administration" and click "Company Info"
4. Scroll to the "Entity Contacts" section
5. To add a new contact, click "Add New Row"
 - a. Select "Click to edit" under the "Contact Name" and "Contact Type"

To edit the contact listed as one of these Contact Types:

1. Click on the Contact Name next to the appropriate Contact Type
 2. Select the new Contact Name from the dropdown list
- OR
1. Click "Delete" next to the appropriate Contact
 2. Click "Okay" at the confirmation screen
 3. Click "Add New Row"
 4. Select "Click to edit" under the "Contact Name" and "Contact Type"
 5. Click "Save"

NOTE: Only one contact can be listed as the Primary Compliance Contact and Primary Compliance Officer.

Entity Administration

What is an Entity Portal?

An Entity Portal is the term used to represent a Registered Entity's Portal site.

What is an Entity Administrator?

An Entity Administrator (EA), previously known as a Master Account Administrator (MAA), is the user account that has full permissions for a given Entity Portal, and is responsible for creating and maintaining other contacts and user accounts within that Entity Portal.

Can there be more than one EA per Entity Portal?

There can be multiple EAs within each Entity Portal. Your EA has the ability to promote any contact within your Entity Portal to an EA. Although NPCC recommends keeping a very limited number of contacts with EA permissions, it does recommend having more than one EA per Entity Portal, usually the Alternate Compliance Contact (ACC), for backup purposes.

Who gets to see the information and data in my Entity Portal?

Contacts within an Entity Portal will only see the areas of the system to which they have been granted access by an EA. A given contact's ability to view or edit data within an Entity Portal is restricted by the role or roles assigned by the EA. This means that data that the EA enters in the Entity Portal is only accessible by the contacts that he or she specifies, as well as by NPCC Compliance staff.

What Security Permissions do different Roles have?

There are two main types of Roles within the CDAA:

- **Contributors** may read, write, and delete data in a given area.
- **Viewers** may only view the data in a given area.

The following Roles are currently defined in the CDAA:

- Entity Administrator (EA)
 - Read-write access to the entire Entity Portal, except this user cannot sign Self-Certification, Technical Feasibility Exceptions (TFE), and Mitigation Plan forms.
- Compliance Contributor
 - This role can create, edit, and view all compliance reporting forms
- Compliance Viewer
 - This role can view all compliance reporting forms
- TFE Contributor
 - This role can create, edit, and view all TFE Request forms
- TFE Viewer
 - This role can view all TFE Request forms

- Authorized Signatory
 - This role can sign and submit Self-Certification forms and Mitigation Plan forms
- Basic User
 - This role can log into the Portal to maintain their contact information but has no other access
- Entity Administrator Read-only
 - This role can view all data within the Portal, but cannot make any changes

How do I navigate the Portal?

The portal user interface contains these features:

- **Home Link:** Click the **NPCC Compliance Portal** text in the upper left at any time to return to the NPCC Portal home page.
- **Logout Link:** Click **Logout** at any time to log out of the NPCC Portal.
- **Announcements:** This area displays system announcements or frequently asked questions.
- **Entity Selection Dropdown List:** If the logged in user has access to more than one entity, this dropdown list allows the user to select a specific entity for viewing and editing information. When the dropdown list is available, you must first select the appropriate Entity, and then click **CHANGE ENTITY** to access the **Add New Self-Report, Add New Scope Expansion, Add New Mitigation Plan, and Add New TFE** menu options. Select **All Entities** to view information for all entities the user has permission to view.
- **Compliance Form Summary:** This section displays hyperlinks to forms assigned but not completed. Click on the form name hyperlink to open the form.
- **Noncompliance Dashboard:** The **ACTIVE OR RECENTLY CLOSED** section will allow users to view an overview of the status of all open noncompliance and recently closed or dismissed noncompliance for the Registered Entity (or Entities) the user has permission to access. This area displays:
 - All noncompliance in any open state
 - All noncompliance closed or dismissed within the past three months
 - Noncompliance sorted by Date Reported with all open noncompliance appearing first in the list. Dismissed/Closed will appear last
 - Users with the following roles will be able to view the noncompliance dashboard
 - Compliance Viewer (CV)
 - Compliance Contributor (CC)
 - Entity Administrator (EA)
 - Authorized Signatory (AS)

The navigation bar can be found on the left side of the Portal:

1. System Administration:
 - a. Change Password
 - b. My Contact Information (*view your contact information*)
 - c. Search Contacts
 - d. Add New Contact

- e. Company Info (*view your company information*)
- 2. Self-Certification:
 - a. Search Self-Certifications (*create, edit, view Self-Certification forms*)
 - b. Search Historical Forms
- 3. Self-Reports:
 - a. Add New Self-Report
 - b. Search Self-Reports (*edit and view Self-Report forms*)
- 4. Scope Expansions:
 - a. Add New Scope Expansion
 - b. Search Scope Expansions
- 5. Mitigation Plans:
 - a. Add New Mitigation Plan
 - b. Search Mitigation Plans (*edit and view Mitigation Plan forms, create a revised Mitigation Plan form, create an Extension Request, submit Milestones, create a Mitigation Plan Closure*)
 - c. Search Mitigation Plan Closures (*edit and view Mitigation Plan Closure forms*)
- 6. Complaints
 - a. Add Anonymous Complaint (*link to NERC's hotline*)
- 7. Periodic Data Submittals
 - a. All Forms (*create, edit, view Periodic Data Submittal forms*)
 - b. Add New FAC-003-1 Event
 - c. Search FAC-003-1 Events
 - d. Search Historical Forms
- 8. TFEs
 - a. Add New TFE
 - b. Search TFEs (*edit and view TFE Request forms, create Amendments, and submit Termination requests*)
- 9. Non-Compliance
 - a. Search Non-Compliances

How do I add a New Contact?

To add a contact:

1. Select "System Administration"
2. Click "Add New Contact"

NOTE: It is recommended the EA search all contacts in the system first to make sure the contacts do not already exist. NPCC can grant a user access to multiple Entities if requested. Please contact compliance-support@npcc.org to request this action. You will be prompted if the email address already exists in the CDAA. For instructions on searching contacts, see "How do I Search and Edit Contacts" below.

1. Enter the desired username
 - a. The standard format is the first initial followed by the full last name, (John Doe would be JDoe); however, you may use any username you desire.

NOTE: The same username cannot be duplicated in the CDAA. If you request a username that is already in use, you will be required to choose a new username.

2. Provide the additional required information

3. Next, select the appropriate roles under the Entity Permissions section
 - b. Click "Add New Row"
 - c. Click "Click to edit" under "Entity" (if applicable)
 - d. Click "Click to edit" under "Roles" and check the appropriate roles
4. Click "Save" to save the contact once all required fields have been completed
 - e. Click "Cancel Changes" at any time if you would like to cancel adding a new contact
 - f. Once the status indicator shows "Status: Saved" with a green background, the contact has been added
5. If you wish to delete the contact once saved:
 - g. Click "Delete" at the top of the screen
 - h. When prompted for confirmation, click "Yes"

How do I Search and Edit Contacts?

1. Select "System Administration"
2. Click "Search Contacts"
1. You may refine your search by Name, Role(s), or Contact Type(s) and click "Search"
2. You may sort the results by clicking the up arrow for ascending or the down arrow for descending sort
3. To see more or fewer results per page, change "RPP" using the drop-down menu in the bottom left corner of the screen
4. To edit a contact, click "Select" next to the contact or double click the row
5. Once you have finished editing a contact, click "Save" to save the changes you have made
 - a. Click "Cancel Changes" to cancel any changes or click "Delete" to delete this contact

How do I view My Company Info?

If you have access to multiple Registered Entities, you must first select the appropriate Entity from the dropdown menu at the top right of the screen and click "Change Entity"

1. Select "System Administration"
2. Click "Company Info"

Compliance Forms

How do I create, view and submit a Self-Report form?

1. Log onto the CDAA at <https://cdaa.npcc.org>
2. Select the appropriate Registered Entity name from the dropdown menu at the top right of the screen and click "Change Entity"
3. Select "Self-Reports"
4. Click "Add New Self-Report"
 - o This creates a new Self-Report form
5. Provide the requested information
6. Click "Save" at any time to save your progress
7. When you are ready to submit to NPCC, click "Submit"
8. To view in-progress Self-Report forms, select "Self-Reports" and click "Search Self- Reports"
 - o This page will allow you to search by Standard Family, Requirement, Submittal Status, Sub-requirements and Functions
9. To view historical Self-Report forms that have been previously submitted to NPCC, select "Self-Reports" and click "Search Historical Forms"
 - o This page will allow you to search by Standard Family, Requirement, Sub-requirement, Submittal Status, Functions and Date Submitted

How do I create a Scope Expansion?

An entity can submit a scope expansion to a previously submitted noncompliance that is still in progress if the new discovery

- Involves the same Standard and Requirement as the previously submitted noncompliance, and
- Has the same or similar cause as the previously submitted noncompliance. In some cases, a Self-Report may be more appropriate than a scope expansion. Please contact your Enforcement Point of Contact for guidance prior to submitting any scope expansion.

To create a new Scope Expansion form:

1. Log onto the CDAA at <https://cdaa.npcc.org>
2. Select the appropriate Registered Entity name from the dropdown menu at the top right of the screen and click "Change Entity"
3. Select "Scope Expansions"
4. Click "Add New Scope Expansion"
5. Provide the requested information.
6. **Do not attach BES Cyber System Information to the Portal form.** Please provide such information via alternate methods. Contact your **SPOC** if you have questions.
7. Click **SAVE** at any time to save your progress.
8. When you are ready to submit to NPCC, click **SUBMIT**.

How do I create, view and submit a Complaint form?

To submit an anonymous Complaint to NERC:

1. Log onto the CDAA at <https://cdaa.npcc.org>
2. Select "Complaints"
3. Click "Add Anonymous Complaint" (this will link you to the NERC Hotline)

How do I create, edit, or view a FAC-003 Event form?

1. Log onto the CDAA at <https://cdaa.npcc.org>
2. Select the appropriate Registered Entity name from the dropdown menu at the top right of the screen and click "Change Entity"
3. Select "Periodic Data Submittals"
4. Click "Add New FAC-003-1 Event"
5. Provide the requested information
6. Click "Save" at any time to save your progress
7. When you are ready to submit to NPCC, click "Submit"
8. To view in-progress or historical FAC-003 Event forms that have been previously submitted to NPCC, select "Periodic Data Submittals" and click "Search FAC-003-1 Events"
 - o This page will allow you to search by Outage Date, Line kV, Category and Submittal Status

How do I create, edit, or view a Periodic Data Submittal form?

1. Log onto the CDAA at <https://cdaa.npcc.org>
2. Select the appropriate Registered Entity name from the dropdown menu at the top right of the screen and click "Change Entity"
3. Select "Periodic Data Submittals"
4. Click "All forms"
 - o This page will allow you to search by Standard Family, Submittal Status, Due Date, Reporting Period and Year (Compliance Program Year)
5. Click "Select" next to the appropriate form
6. Provide the requested information
7. Click "Save" at any time to save your progress
8. When you are ready to submit to NPCC, click "Submit"
9. To view historical Periodic Data Submittal forms that have been previously submitted to NPCC, select "Periodic Data Submittals" and click "Search Historical Forms"
 - o This page will allow you to search by Standard Family, Submittal Status, Due Date, Reporting Period and Year (Compliance Program Year)

NOTE: You will need to create a FAC-003 Event form in order for it to appear in the "Reportable Outage" section on the FAC-003 Periodic Data Submittal form, see "How do I create, edit, or view a FAC-003 Event form" above for instructions.

How do I create, edit, or view a Self-Certification form?

1. Log onto the CDAA at <https://cdaa.npcc.org>
2. Select the appropriate Registered Entity name from the dropdown menu at the top right of the screen and click "Change Entity"
3. Select "Self-Certifications"
4. Click "Search Self-Certifications"
 - o This page will allow you to search by Standard Family, Submittal Status, Due Date and Reporting Period
5. Click "Select" next to the appropriate form
6. To view in-progress or historical Self-Certification forms that have been previously submitted to NPCC, select "Self-Certifications" and click "Search Historical Forms"
 - o This page will allow you to search by Standard Family, Submittal Status, Due Date, Reporting Period and Date Submitted

How do I notify my Authorized Signatory?

Once the forms are "Pending Signature," the Authorized Signatory must sign forms to be submitted to NPCC. To move the appropriate forms to the "Pending Signature" state and notify your Authorized Signatory:

1. Select "Self-Certifications"
2. Click "Search Self-Certifications"
3. Click "Select" next to the appropriate form
4. Click "Ready for Signature" at the top of the form
5. Select the Authorized Signatory from the drop-down box

NOTE: If your Authorized Signatory does not appear in the list, contact your EA to assign the appropriate user the "Authorized Signatory" Role

6. Click "OK" to move these to the "Pending Signature" state and Notify your Authorized Signatory

You can also perform this action on multiple forms. To do this, see "Batch Action Feature" below.

How does an Authorized Signatory review and sign a Self-Certification Form?

Once a user has moved the form to a "Pending Signature" state and has notified its Authorized Signatory, an email will be generated and sent to the Authorized Signatory informing them that there is form pending their approval.

7. Click the link in the automatically generated email
 - a. To access this page from the Portal Homepage:
 - i. Select "Self-Certifications"
 - ii. Click "Search Self-Certifications"
8. Click "Select" next to the appropriate form
9. Click "Sign" at the top of the form
10. Click "OK"

You can also perform this action on multiple forms. To do this, see “Batch Action Feature” below.

What do the different submittal statuses mean?

Each form will have a submittal status based on where it is at in the submittal process to NPCC. Submittal Status:

1. *New: The form has been posted and available for the user*
2. *In Progress: The user has accessed the form and saved their progress*
3. *Pending Signature: The user has clicked “Ready for Signature” and the form is available for the Authorized Signatory to sign and submit*
4. *Completed: The form has been submitted to NPCC*

How do I edit a form that has been submitted to NPCC?

You will need to contact NPCC at compliance-support@npcc.org to unlock a form.

NOTE: Self-Report forms cannot be unlocked. You will need to submit supplemental information to NPCC.

Mitigation Plan Forms

How do I create or view a Mitigation Plan form?

If you have access to multiple Registered Entities, you must first select the appropriate Entity from the dropdown menu at the top right of the screen and click “Change Entity”. To create a Mitigation Plan:

1. Select “Mitigation Plans”
2. Click “Add New Mitigation Plan”
3. Provide the requested information
4. Click “Save” at any time to save your progress
5. To view in-progress Mitigation Plan forms, select “Mitigation Plans” and click “Search Mitigation Plans”
 - a. This page will allow you to search by Mitigation Plan Status, Standard, Requirement, NERC Violation ID, Regional Control ID and Functions
6. Select “Region Awaiting Mitigation Plan” from the “Mitigation Plan Status” dropdown
7. Click “Search”
8. To view historical Mitigation Plan forms that have been previously submitted to NPCC, select “Mitigation Plans” and click “Search Mitigation Plans”

How do I attach evidence to a Mitigation Plan form?

The Mitigation Plan form must be saved prior to enabling the option to attach documents to the Mitigation Plan form: **Do not attach BES Cyber System Information to the Portal form.** Please provide such information via alternate methods. Contact your **SPOC** if you have questions.

1. Click “Save” on the Mitigation Plan form
2. Click “Attachments” under the appropriate section
3. Click “New Attachment”
4. Provide comments
5. Browse and attach file
6. Click “Save”

How do I submit a Mitigation Plan form?

The Mitigation Plan form must be in a “Pending Signature” state to allow the Authorized Signatory to sign and submit the form to NPCC. To move the appropriate form to the “Pending Signature” state and notify your Authorized Signatory:

1. Click “Ready for Signature” at the top of the form
2. Select the Authorized Signatory from the drop-down box

NOTE: If your Authorized Signatory does not appear in the list, contact your EA to assign the appropriate user the “Authorized Signatory” Role

3. Click "OK" to move these to the "Pending Signature" state and Notify your Authorized Signatory

You can also perform this action on multiple forms. To do this, see "Batch Action Feature" below.

How does an Authorized Signatory review and sign a Mitigation Plan Form?

Once a user has moved the form to a "Pending Signature" state and has notified its Authorized Signatory, an email will be generated and sent to the Authorized Signatory informing them that there is form pending their approval.

1. Click the link in the automatically generated email
 - a. To access this page from the PortalHomepage:
 - i. Select "Mitigation Plans"
 - ii. Click "Search Mitigation Plans"
2. Click "Select" next to the appropriate form
3. Click "Sign" at the top of the form
4. Click "OK"

You can also perform this action on multiple forms. To do this, see "Batch Action Features" below.

How do I close a Mitigation Plan milestone?

1. Select "Mitigation Plans"
2. Click "Search Mitigation Plans"
3. Click "Select" next to the appropriate form
4. Scroll to Section D.3 and click the appropriate Milestone Name that is pending
5. Provide the requested information in the "Milestone Completion Information" section
6. Click "Complete Milestone"

How do I create a revised Mitigation Plan?

The Mitigation Plan must first be in the following states to all a the user to create a revised Mitigation Plan: "Mitigation Plan Rejected by Region", "Mitigation Plan Revision Requested", "Entity Implementing Mitigation Plan", "Region Validating Mitigation Plan Completion". To create a revised Mitigation Plan:

1. Select "Mitigation Plan"
2. Click "Search Mitigation Plans"
3. Select the appropriate search criteria and click "Search" or scroll through the results
4. Click "Select" next to an accepted or revision requested Mitigation Plan
5. Click "Create Revision" at the top of the form
6. Modify the Mitigation Plan form as appropriate
7. Click "Save" to save your progress

To submit the revised Mitigation Plan, see "How do I submit a Mitigation Plan form" above.

How do I create a Mitigation Plan Closure form?

A Mitigation Plan Closure form can be created from a Mitigation Plan form once the Mitigation Plan is Pending Signature, but cannot be submitted until the Mitigation Plan form has been

submitted to NPCC and all applicable milestones have been completed. To create a Mitigation Plan Closure form:

1. Select "Mitigation Plan"
1. Click "Search Mitigation Plans"
2. Select the appropriate search criteria and click "Search" or scroll through the results
3. Click "Select" next to the appropriate Mitigation Plan
4. Click "Closure Form" at the top of the form
5. Provide the requested information
6. Click "Save" at any time to save your progress
7. To view in-progress Mitigation Plan Closure forms, select "Mitigation Plans" and click "Search Mitigation Plan Closures"
 - a. This page will allow you to search by Mitigation Plan Status, Mitigation Plan Closure Status, Standard, Requirement, NERC Violation ID, Regional Control ID and Functions
8. Select "Mitigation Plan Closure In Progress" from the "Mitigation Plan Closure Status" dropdown
9. Click "Search"
10. To view historical Mitigation Plan Closure forms that have been previously submitted to NPCC, select "Mitigation Plans" and click "Search Mitigation Plan Closures"

How do I attach evidence to a Mitigation Plan Closure form?

Do not attach BES Cyber System Information to the Portal form. Please provide such information via alternate methods. Contact your **SPOC** if you have questions.

1. Click the appropriate Milestone Name in the Mitigation Plan Closure form
2. Click "Attachments"
3. Click "New Attachment"
4. Provide comments
5. Browse and attach file
6. Click "Save"

How do I notify my Authorized Signatory?

Once the forms are "Pending Signature", the Authorized Signatory must sign forms to be submitted to NPCC. To move the appropriate forms to the "Pending Signature" state and notify your Authorized Signatory:

1. Select "Mitigation Plans"
2. Click "Search Mitigation Plans" or "Search Mitigation Plan Closures"
3. Click "Select" next to the appropriate form
4. Click "Ready for Signature" at the top of the form
5. Select the Authorized Signatory from the drop-down box

NOTE: If your Authorized Signatory does not appear in the list, contact your EA to assign the appropriate user the "Authorized Signatory" Role

6. Click "OK" to move these to the "Pending Signature" state and Notify your Authorized Signatory

You can also perform this action on multiple forms. To do this, see “Batch Action Feature” below.

How does an Authorized Signatory review and sign a Mitigation Plan Form?

Once a user has moved the form to a “Pending Signature” state and has notified its Authorized Signatory, an email will be generated and sent to the Authorized Signatory informing them that there is form pending their approval.

1. Click the link in the automatically generated email
 - a. To access this page from the PortalHomepage:
 - i. Select “Mitigation Plans”
 - ii. Click “Search Mitigation Plans” or “Search Mitigation Plan Closures”
2. Click “Select” next to the appropriate form
3. Click “Sign” at the top of the form
4. Click “OK”

You can also perform this action on multiple forms. To do this, see “Batch Action Feature” below.

What do the different Mitigation Plan States and submittal statuses mean?

Each form will have a submittal status based on where it is at in the submittal process to NPCC. The Mitigation Plan will also have a state based on where it is at in the review process at NPCC.

Submittal Status:

1. Region awaiting Mitigation Plan: *The Mitigation Plan form has been saved and not submitted to NPCC*
2. Region awaiting Mitigation Plan (Pending Signature): *The Mitigation Plan form has been sent to the Authorized Signatory and is pending signature*
3. Mitigation Plan Closure In Progress: *The user has accessed the form and saved their progress*
4. Mitigation Plan Closure Pending Signature: *The user has clicked “Ready for Signature” and the form is available for the Authorized Signatory to sign and submit*
5. Mitigation Plan Closure Completed: *The form has been submitted to NPCC*

Mitigation Plan State:

1. Region reviewing Mitigation Plan: *The Mitigation Plan has been submitted to NPCC and NPCC is reviewing the Mitigation Plan*
2. Entity Implementing Mitigation Plan: *NPCC has accepted the Mitigation Plan*
3. Region Validating Mitigation Plan Completion: *NPCC has accepted the Mitigation Plan, the Entity has submitted the Mitigation Plan Closure form, and*

NPCC is reviewing the Mitigation Plan Closure form

4. *Waiting on NERC Mitigation Plan Approval: NPCC has accepted the Mitigation Plan and NERC is reviewing the Mitigation Plan*
5. *Mitigation Plan Closed: NPCC has verified completion of the Mitigation Plan; no pending actions.*
6. *Mitigation Plan Rejected by Region: NPCC has rejected the Mitigation Plan. A revised Mitigation Plan is required*
7. *Mitigation Plan Replaced with Revision: A revised Mitigation Plan has been submitted to replace this Mitigation Plan*
8. *Mitigation Plan Revision Requested: NPCC has requested changes to the Mitigation Plan; a revised Mitigation Plan is requested*
9. *Mitigation Plan Dismissed: The violation has been dismissed*
10. *Mitigation Plan Extension Review: The Entity has submitted an Extension Request and NPCC is reviewing the request*

How do I edit a Mitigation Plan that has been submitted to NPCC?

Mitigation Plan forms cannot be unlocked. You will need to submit supplemental information to NPCC or create a revised Mitigation Plan.

Technical Feasibility Exception (TFE) Request

How do I create or view a TFE Request form?

Do not attach **BES Cyber System Information** to the Portal form. Please provide such information via alternate methods. Contact your **SPOC** if you have questions.

1. Log onto the CDAA at <https://cdaa.npcc.org>
2. At top right of screen, select your Registered Entity name from the drop down menu and click "Change Entity"
3. Select "TFEs"
4. Click "Add New TFE"
 - o This creates a new TFE Request form
5. Click **SAVE** at any time to save your progress.
6. When you are ready to submit to NPCC, click **READY FOR SIGNATURE** to notify your Authorized Signatory contact of the form completion. See [Authorized Signatory](#) below for more information.
7. After the form is saved, these menu options display:
 - o **CANCEL CHANGES:** Cancel any unsaved changes and return to the last saved or new state.
 - o **DELETE:** Delete the TFE form. A form can be deleted only when the status is Pending Review.
 - o **READY FOR SIGNATURE:** Move the form to the Ready for Signature state and notify the Authorized Signatory contact.
 - o **CREATE PDF:** Create a PDF image of the current form.
 - o **ATTACHMENTS (x):** This option opens the **ATTACHMENT SEARCH** screen. "X" indicates the number of documents attached to the form. The option to add attachments is available for forms with a status of "Incomplete" and "Ready for Signature."
8. To view in-progress or submitted TFE Request forms, select "TFEs" and click "Search TFEs"
 - o This page will allow you to search by TFE State, Unique Identifier, Date Submitted and Requirement

How do I notify my Authorized Signatory?

Once the forms are "Pending Signature," the Authorized Signatory must sign forms to be submitted to NPCC. To move the appropriate forms to the "Pending Signature" state and notify your Authorized Signatory:

1. Select "TFEs"
2. Click "Search TFEs"
3. Click "Select" next to the appropriate form
4. Click "Ready for Signature" at the top of the form
5. Select the Authorized Signatory from the drop-down box

NOTE: If your Authorized Signatory does not appear in the list, contact your EA to assign the

appropriate user the “Authorized Signatory” Role

6. Click “OK” to move these to the “Pending Signature” state and Notify your Authorized Signatory

You can also perform this action on multiple forms. To do this, see “Batch Action Feature” below.

How does an Authorized Signatory review and sign a TFE Request Form?

Once a user has moved the form to a “Pending Signature” state and has notified its Authorized Signatory, an email will be generated and sent to the Authorized Signatory informing them that there is form pending their approval.

1. Click the link in the automatically generated email
 - a. To access this page from the PortalHomepage:
 - i. Select “TFEs”
 - ii. Click “Search TFEs”
2. Click “Select” next to the appropriate form
3. Click “Sign” at the top of the form
4. Click “OK”

You can also perform this action on multiple forms. To do this, see “Batch Action Feature” below.

Material Change Request

An entity must submit a Material Change Request any time the entity makes a change that would modify any of the Required Information outlined in Section 4.0 of the Rules of Procedure Appendix 4d.

1. Follow these steps to submit a Material Change Request:
2. Select the TFE needing a Material Change Request submitted.
3. Click **MATERIAL CHANGE**.
4. Click **Yes** on the Confirm Material Change pop up box.
5. Make the necessary changes.
6. Click **SAVE** at any time to save your progress.
7. When you are ready to submit to NPCC, click **READY FOR SIGNATURE** to notify your Authorized Signatory contact of the form completion.

Termination Request

An approved TFE shall remain in effect unless it terminates on the TFE Expiration Date, is terminated at an earlier date, the Responsible Entity achieves Strict Compliance with the Applicable Requirement, or there is a material misrepresentation by the Responsible Entity as to the facts relied upon by the Regional Entity in approving the TFE. The Responsible Entity may terminate an approved TFE by submitting a notice to the Regional Entity stating that the Responsible Entity is terminating the TFE and providing the TFE Termination Date.

Follow these steps to terminate a TFE:

1. Select the TFE that needs to be terminated.
2. Click **GO TO TERMINATE FORM**.
3. Provide the requested information.
4. Click **SAVE** at any time to save your progress.

5. When you are ready to submit to NPCC, click **READY FOR SIGNATURE** to notify your Authorized Signatory contact of the form completion.

What do the different TFE Request states and submittal statuses mean?

Each form will have a *submittal status* based on how far along it is in the submittal process to NPCC. The TFE Request will also have a *state* based on where it is in the review process at NPCC.

Submittal Status:

1. **New:** *The form has been posted and available for the user*
2. **In Progress:** *The user has accessed the form and saved their progress*
3. **Pending Signature:** *The user has clicked "Ready for Signature" and the form is available for the Authorized Signatory to sign and submit*
4. **Completed:** *The form has been submitted to NPCC*

TFE Request State:

1. **Incomplete:** *The TFE Request form has been saved and not submitted to NPCC*
2. **Pending Review:** *The TFE Request has been submitted to NPCC and NPCC is reviewing the TFE Request*
3. **Accepted:** *NPCC has accepted the TFE Request*
4. **Rejected:** *NPCC has rejected the TFE Request. An Amended TFE Request is required.*
5. **Approved:** *NPCC has accepted the TFE Request. NPCC has completed its Review and has approved it*
6. **Disapproved:** *NPCC has completed its Review and has rejected it. An Amended TFE Request is required.*
7. **Terminated:** *NPCC or the Entity has submitted a Termination Request*
8. **Resubmitted:** *A revised TFE Request has been submitted to replace this rejected TFE Request*
9. **Amended:** *An amended TFE Request has been submitted to replace this TFE Request*

Non-Compliance

This section provides the ability to allow users to search reported non-compliance for the Registered Entity (or Entities) they have permission to access using several different criteria.

- Once a search is complete, a grid will list the following:
 - **Region ID**
 - **NERC Violation ID**
 - **Standard**
 - **Requirement**
 - **Violation State**
 - **Identification Method**
 - **Date Submitted**
- Users will have a read-only view to non-compliance details submitted; see contact information for the Regional Contact, Screener Contact and Point of Contact; and have the ability to view the Mitigation Plan.

Portal Functionality Overview

Accessing Multiple Entities

If you have access to multiple Registered Entities, you must first select the appropriate Entity from the dropdown menu at the top right of the screen and click “Change Entity” to access the “Add New Self-Report”, “Add New Mitigation Plan” and “Add New TFE” menu options.

There is a new option of “All Entities” in the dropdown menu at the top right of the Portal

screen. This allows a user to view Compliance data for all Entities it has the appropriate access to. The user can select “All Entities” and click various search pages to view the forms for all Entities.

As an Entity Administrator, you should now be able to add various roles and permissions to a user for multiple Entities at one time. See “How do I add a New Contact” above for instructions.

Exporting and Creating a PDF

The Compliance Portal provides a feature to allow a user to export its search results into a CSV file. The “Export” button should be available on all search result page.

The Compliance Portal also provides a feature to allow a user to create a PDF document of the various forms. This option should be available on the top of every form. The Portal also allows a user to merge multiple forms and create a PDF, see “Batch Action Feature” below.

Batch Action Feature

This feature allows a user to select multiple forms and run a specific action. The actions are described below:

1. *Submit Forms: Allows a user to select “In-Progress” forms and submit the forms to NPCC*
2. *Ready for Signature: Allows a user to select “In-Progress” forms, that require a signature, and send the forms to its Authorized Signatory*
3. *Sign Forms: Allows an Authorized Signatory to select “Pending Signature” forms and submit the forms to NPCC*
4. *Email Notification: Sends an email notification to the user for “In-Progress” forms that contains a link for the Authorized Signatory to access and sign the form. The intent is to allow a user to forward the email to their appropriate Authorized Signatory if the original email wasn’t received*
5. *Create PDF: Allows a user to create a combined PDF package of the forms selected*

To execute this feature:

1. Navigate to the appropriate page or search page
2. Check the checkboxes in the first column for item you wish to include
3. Once all of the desired boxes are checked, click the appropriate “Batch Action” button

NOTE: The forms must be in the appropriate state to run specific actions (Example: You cannot check forms in the “New” state and run the “Submit Forms” action. These forms must be “In-Progress”).

Other features

On many pages there is a “status indicator” in the upper right hand corner of the screen, which will keep you updated as you perform actions.

Many fields are marked with an asterisk (*) to indicate that they are required fields, and must be completed before you can submit.

Technical Support

Who do I contact for any questions?

For any questions or technical issues with the CDAA, please contact compliance-support@npcc.org.

Revision History

Revision Number	Date	Description	Author
0	11/01/2012	Initial version	Jennifer Woolley, Compliance Program Administrator, SERC
1	11/30/2012	Replaced references to SERC with NPCC	Dave Cerasoli, CIP Analyst, NPCC
2	1/30/2018	Updated TFE process: Self-Cert.; language; Enforcement process	M.Kozub, Sr. Compliance Analyst
3	10/30/2018	Updated TFE, Non-Compliance, Scope Expansion, Complaint	J.Wang, Sr. Compliance Engineer
4	11/05/2018	Created aligned table of content, and fixed other formatting issues	Fariha Farzana, Finance Intern
5	7/23/2020	Changed Name of Document	Jason Wang