OE-417 E-Filing System
Training Reference Guide

U.S. Department of Energy
Office of Cybersecurity, Energy Security, & Emergency Response

5/2/2019

OE-417 Training Reference Guide

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I. About OE-417 E-Filing

The OE-417 E-Filing System:
OE-417 Electronic Filing (E-Filing) refers to the updated online filing system for the Electric Emergency Incident and Disturbance Reporting Form (OE-417). Through the OE-417, information is collected on major electric system incidents to inform the Department of Energy (DOE).

Benefits of E-Filing:
For respondents, E-Filing is a convenient, fast, and secure way to submit an OE-417 Form. The updated OE-417 E-Filing also contains the ability to e-mail Forms as they are submitted, assisting companies in fulfilling NERC and other reporting requirements with no additional burden. The E-Filing system is available 24 hours a day, 7 days a week. The OE-417 E-Filing system supports Microsoft Internet Explorer ver. 7.0 and up or any version of Google Chrome.

OE-417 Security:
The OE-417 E-Filing system is a fully secured website hosted at DOE's National Energy Technology Laboratory (NETL) and adheres to best practices to ensure data and system securities. NETL also ensures compliance with all of DOE's security policies and procedures.

Features in the OE-417 E-Filing System:

- Secure login feature to authenticate credentials of individual (registered) respondents prior to granting account access.
- A password recovery system providing respondents the ability to reset/change their own password.
- Ability to submit test OE-417 Forms, allowing respondents to train on the E-Filing system.
- Registered respondent saved information (such as Organization Name, Address, Point of Contact, and Default States and Counties) are pre/auto-populated into the Form to reduce entry time.
- Ability to update and finalize incident reports without the need to re-enter the entire Form again.
- Ability to save a draft OE-417 Form for later completion/submission.
- Ability to download PDF versions of previous submissions at any time.
- A search engine to find previous OE-417 submissions and export search results.
- Organization management in order to view and edit other members' forms.

Additional Ways to Submit a Form:
OE-417 submissions will continue to be accepted via e-mail, phone, and fax.

Contact Us
If you have any questions please fill out the form under Contact Us or email OE417@hq.doe.gov directly.

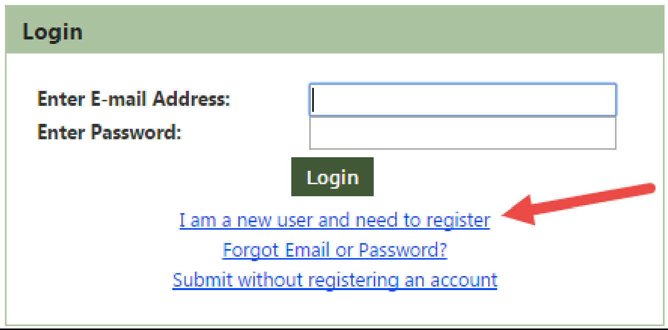
II. Registering an Account

Registering for an account in the new system takes three steps:

<table>
<tr><th>Step</th><th>Description</th></tr>
<tr><td>1</td><td>

From the E-Filing home page (https://www.oe.netl.doe.gov/OE417_Form.aspx), click the I am a new user and need to register link to create a new account in the OE-417 E-Filing system.

Figure 1: Registration Link

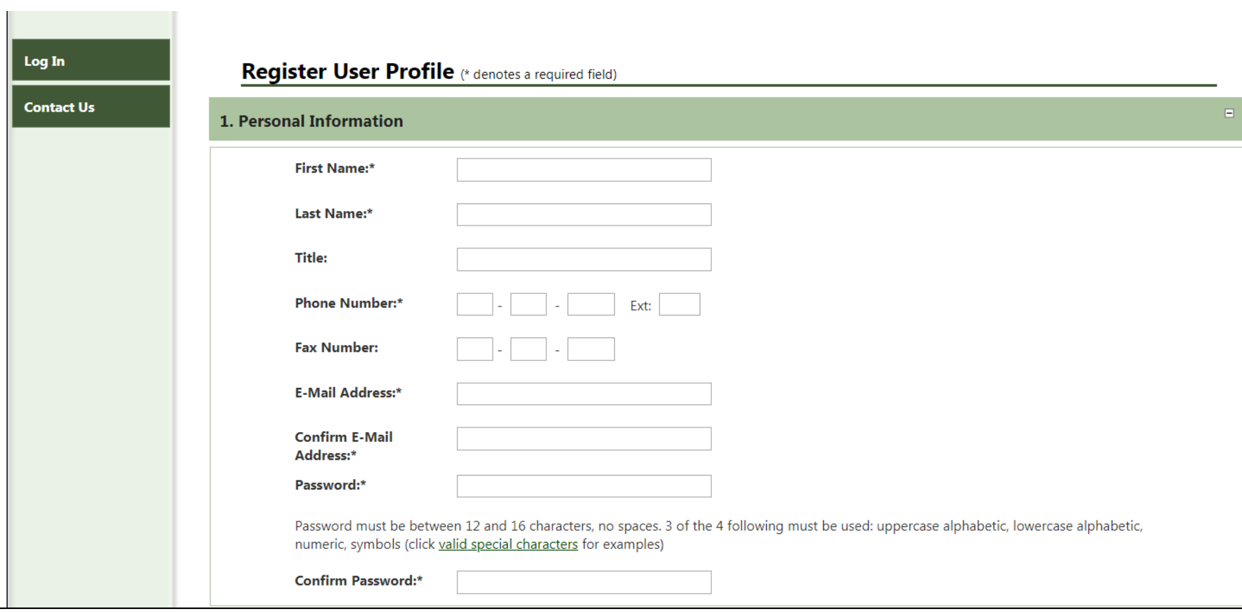


</td></tr>
<tr><td>2</td><td>

After completing Step 1, you will be routed to the registration page as shown below in Figure 2. Complete all required fields marked with an asterisk (*) (refer to FAQ below for a summary of required fields). Note the password requirements in the registration. There is a checkbox which can be selected if you are the POC (for lines M-Q on the OE-417 Form) for your company. Click the 'Submit' button to initiate the account activation process after you have completed all required fields.

Note: If you missed entering any required fields after you click 'Submit,' you will be prompted to complete all required fields and will need to click 'Submit' again after completing the missing fields to complete the submission.

Figure 2: User Registration Form



</td></tr>
</table>

Step	Description
3	After you have successfully submitted for an account, you will receive an account activation notice at your registered e-mail address. Click the 'Activate' link in the activation notice from that e-mail address to validate and complete the account registration process. After completing this step, you will be routed to the OE-417 Login page where you can enter your e-mail/password and start using the new system.

FAQs on User Registration/Account Management

Q. What should I do if I have not received a confirmation e-mail after completing the registration process and/or submitting electronic documents?
Prior to contacting the Office of Cybersecurity, Energy Security, & Emergency Response (CESER), please verify that your spam filters are not blocking e-mails from OE417@hq.doe.gov. If this is not the problem, please contact the CESER E-Filing Help Desk at OE417@hq.doe.gov.

Q. What are the required fields to register for an account?
Required fields for registration are:
1. First Name
2. Last Name
3. Phone Number
4. E-mail Address/Confirm E-Mail Address
5. Password/Confirm Password
6. Point of Contact (Can be the same)
7. Three Security Questions and Answers
8. Organization Profile

Q. What is the POC for?
The POC information will appear on the submitted form. They will also receive the e-mail notifications related to the form after submissions.

Q. How do I select an organization?
The OE-417 E-Filing system already has a stored list of organization names. To find yours, start typing the name of your organization in the 'Organization Name' field. After the first three (3) letters are typed, an auto-complete list of names will appear. The only exception is if your organization name starts with "City of" as the list is very long. The more letters you type in, the narrower the list gets. Select your organization from the drop-down list. All other fields will be prepopulated.

Q. What if my organization name doesn't appear in the auto-complete list?
You may add your organization by selecting the checkbox, "Create New Organization." You should **ONLY** use this feature if your organization did not appear in the auto-complete list. You will be required to enter in an Address, City, State, and ZIP Code.

Q. What is the Organization Admin checkbox for?
Organization Admins manage members of the organization and forms submitted by members. Requesting to be an Organization Admin will send a notification to the System Administrator and they can approve or decline your request.

Q. What is the Default States and Counties field used for?

Use the provided pull-down menu under this field to select a default state and then click the 'Add State' button. Multiple default states can be added, and multiple counties for each state. New forms you create when logged in under the registered account will automatically populate with the information you had selected and saved for this field.

Q. How do I become a member of my Organization?

If there is already an Organization Admin for your organization, membership request into the organization will be automatically sent to the Organization Admin for approval. Once approved, you will be able to take advantage of a member's system privileges.
If there is no Organization Admin, then the System Administrator can approve your membership request.

Q. Why can't I log in?

If you are getting a message that says "incorrect password and/or username," verify your login and password and that your Caps Lock key is not on (your password is case sensitive). If you have forgotten your login or password, click the "Forgot Link or Password" link on the login screen.

Q. What should I do if I get a message saying my account is locked?

The system will lock a user's account after three failed login attempts. If you have locked your account, e-mail the Help Desk at OE417@hq.doe.gov to have it unlocked.

Q. How do I change my password? Can I update other information like my name, phone number, and e-mail address?

All information can be updated. You can change your password or any other user account information at any time by clicking on "My Account" on the left navigation panel once you are logged in. To change your password, click on the 'Change Password' button to bring up the 'Password' and 'Confirm Password' fields. After you update your information, make sure to then click 'Submit.'

Q. Can I check the status of my filing if I submitted a Form without registering an account and logging into the E-Filing system?

No. In order to be able to see past filings, you must create an account, log in, and submit a Form through your account. Users will be able to see all Forms they have submitted.

Q. If I am seeing multiple instances of my organization in the system, is there a way to merge their details?

Yes, you can email a request to the help desk (OE417@hq.doe.gov) for a System Admin to initiate a merge between two or more organizations. All users associated with the selected organizations will be combined and then associated with the selected "new" organization, and will have the ability to view and edit all forms affected by the merge. All existing forms' organization details will not change and will remain as they were when submitted to DOE. The profiles of the users affected by the merge will be updated with the new organization details. The System Admin will select which organization in the system will replace all the other organizations for the merge.

Note: Once a merge has been completed, it CANNOT be undone.

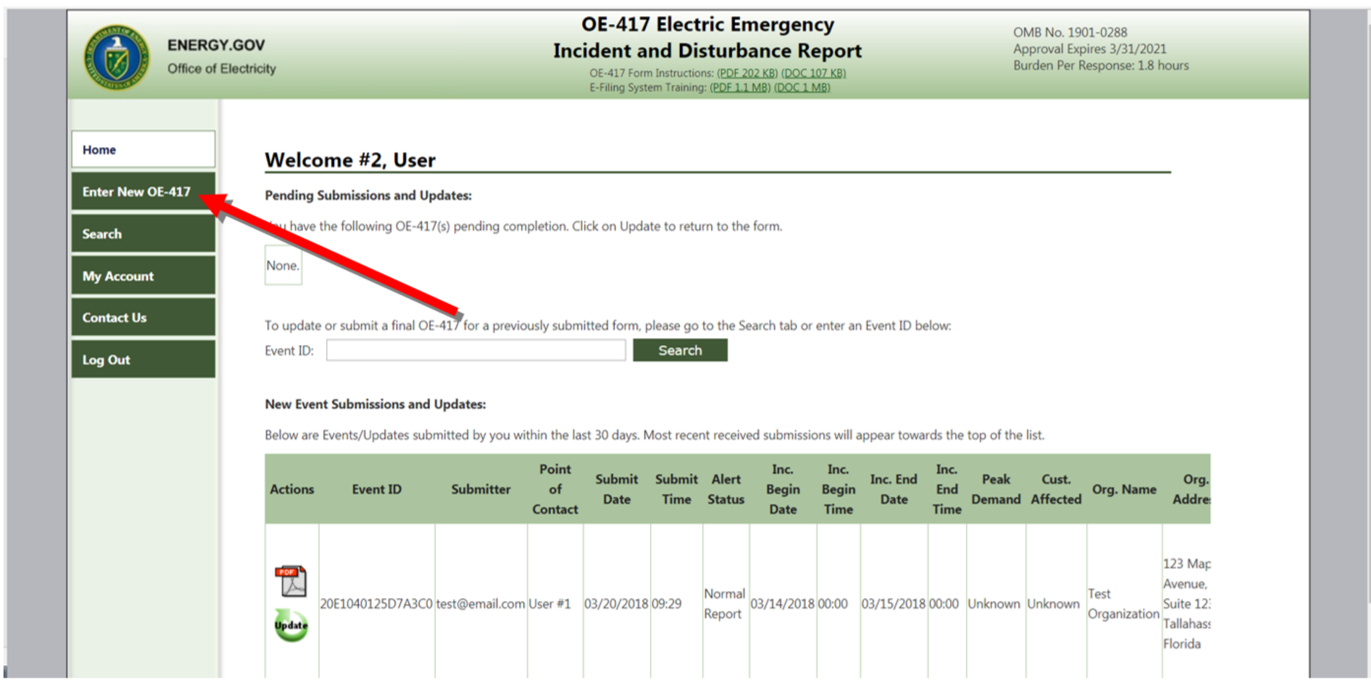
III. Submitting OE-417 Forms

The new OE-417 E-Filing system has four main features to help respondents manage their Forms effectively and efficiently.

1. Submitting a new Form
2. Updating an existing Form
3. Saving a draft
4. Search function

Note: The purpose of this section of the training reference guide is to help users understand the new features in the E-Filing system. For detailed instructions on how to fill out the OE-417 Form itself, see the Form Instructions.

Figure 3: 'Enter New OE-417' button

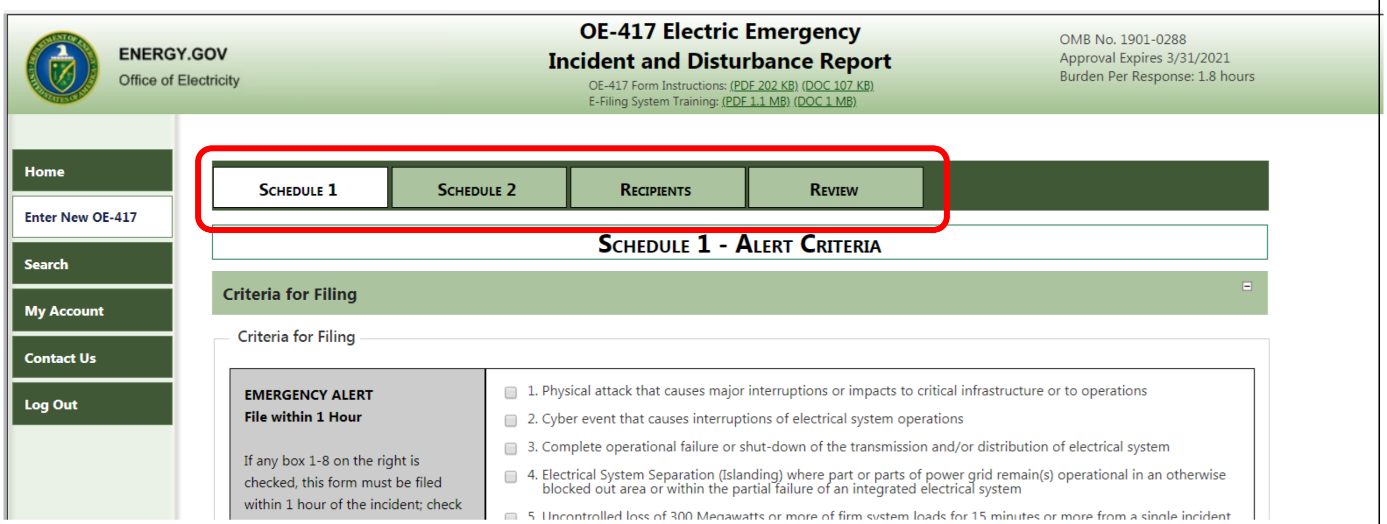


A. *Submitting a New Form*

Step	Description
1	Once you have activated your OE-417 account, log in with your credentials at https://www.oe.netl.doe.gov/OE417_Form.aspx.
2	In your homepage, click on the 'Enter New OE-417' button (see above Figure 3) to begin a Form submission. **Note:** All relevant information in your registration like your name, POC, organization information and default states and counties that had been selected will be prepopulated for your convenience.

Step	Description
3	The new OE-417 Form has five key parts that you will need to complete for the Form submission process. 1. **Schedule 1** – Enter all relevant and required fields in the 'Schedule 1' tab and then click 'Next' at the bottom of the screen. 2. **Schedule 2** – Enter all relevant and required fields in the 'Schedule 2' tab and then click 'Next' at the bottom of the screen. 3. **Recipients** – Select one or both of the checkboxes labeled 'Notify NERC' and 'Notify E-ISAC' in the 'Recipients' tab to submit the information on the form to the North American Electric Reliability Corporation (NERC) and/or the Electricity Information Sharing and Analysis Center (E-ISAC). 4. **Review –** After completing the first three steps, you will click **'Review'** at the bottom of the page. If there are required fields not filled in, red text next to the field will alert you to fields that still need to be filled in. These fields will also be summarized as a list of alert notifications at the top of this page in red text. You have the ability to edit all fields of the Form on this screen. 5. Click **'Submit'** at the bottom of the 'Review' screen to submit the completed OE-417 Form. A Confirmation screen will appear containing an Event ID and a confirmation e-mail will be sent to the user's e-mail address. **Note:** If you missed any required fields you will be prompted to complete all required fields and will need to click 'Submit' again after completing the missing fields to complete the submission.

Figure 4: Form Tabs

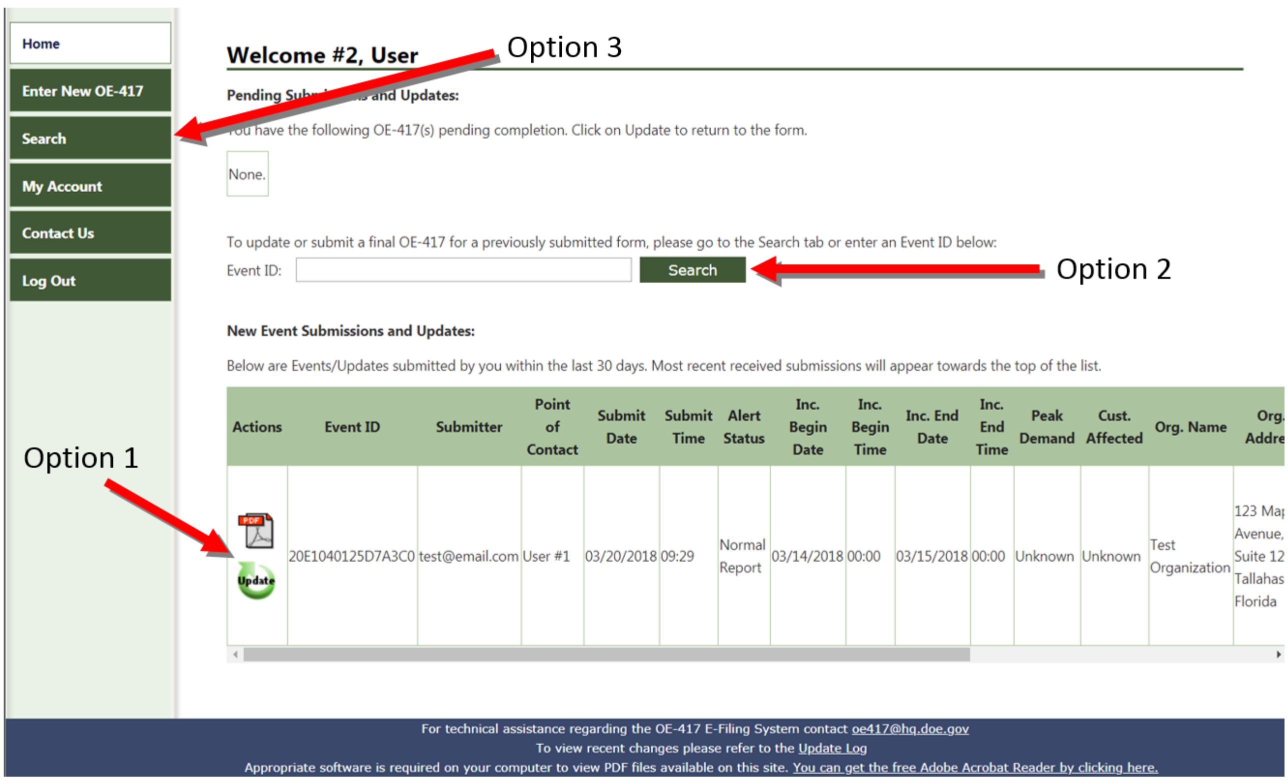


B. *Updating Submitted Forms*

Optional Steps	Description

Optional Steps	Description
1	Locate the Form you need to update on your OE-417 Homepage Dashboard (refer to Option 1 shown in Figure 5 below) if submitted within the last 30 days. Click the 'Update' icon and the selected Form will open. You can add and modify any fields in the selected Forms that require updates and follow the Form submission process explained earlier.
2	Enter the Event ID on your OE-417 Homepage (refer to Option 2 of Figure 5 below), click 'Search,' and your Form will open. Continue to update the Form as described in Optional Step 1 above.
3	As shown with Option 3 in Figure 5 below, go to the 'Search' menu option and then enter your search criteria to find your Form. Click the 'Update' icon next to the Form and the Form will open. Continue to update the Form as described in Optional Step 1 above.

Figure 5: Form Update Options



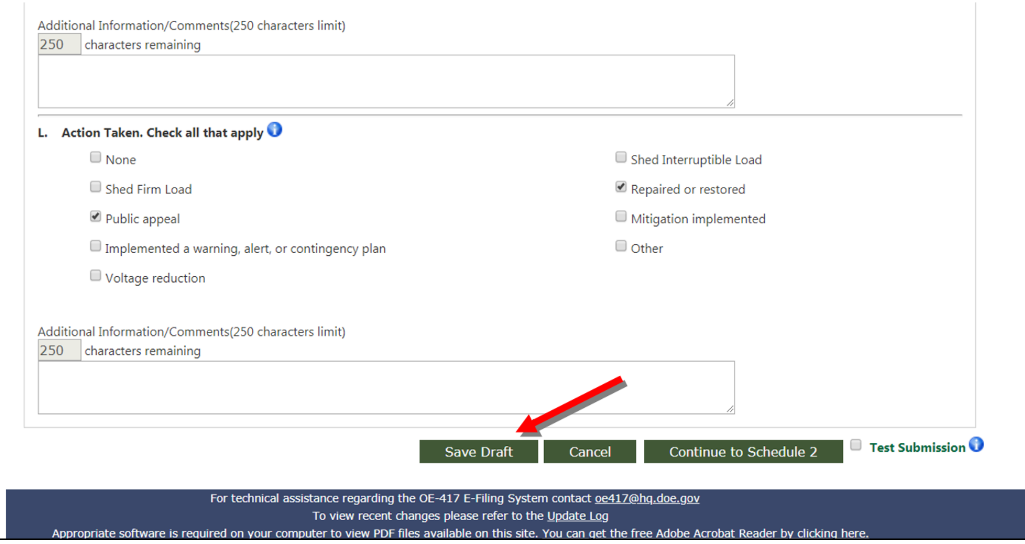
C. Save a Draft for Later Submission

In the new OE-417 E-Filing system, the respondents have the ability save draft Forms for later submissions, which requires two simple steps:

Step	Description
1	When entering an OE-417 Form, click 'Save Draft' button on the bottom of the screen (refer to Figure 6 below) anytime and your Form will be saved and displayed in your homepage under the 'Pending Submissions and Updates' section. **Note:** You must be logged into the OE-417 E-Filing system to save a draft.
2	When you are ready to submit a saved draft, click on the 'Update' icon next to your draft from the 'Pending Submissions and Updates' section of your homepage and follow the Form submission process.

Step	Description

Figure 6: 'Save Draft' Button

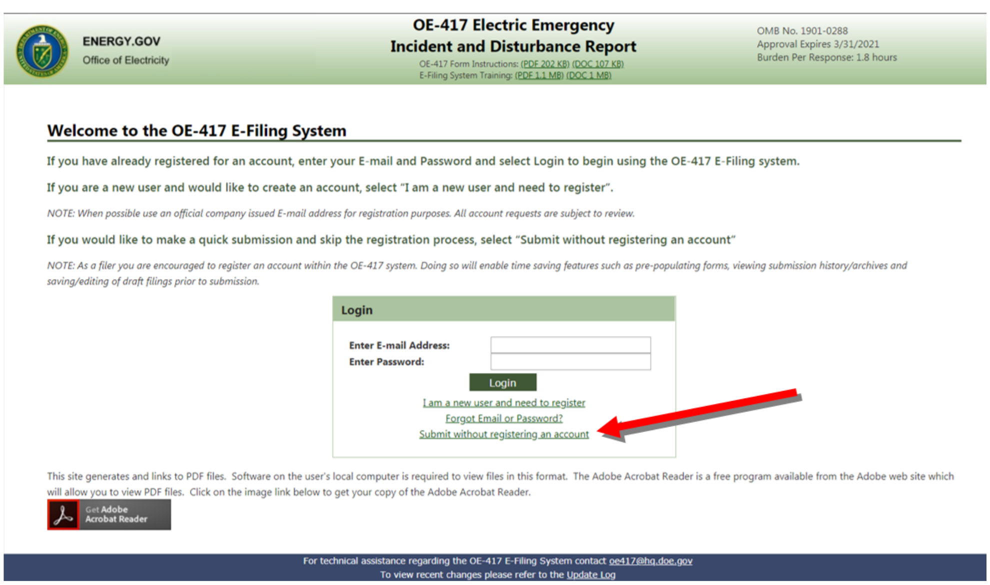


D. Submitting as a Guest

There is also an option to submit a Form as a Guest user without registering for an account. Click on 'Submit without registering an account' as shown in Figure 7 below. Then follow Step 3 under "A. Submitting a New Form" above. The e-mail listed as the Official Contact will receive a copy of the Form submitted as a Guest.

Note: You will lose most of the benefits of the OE-417 E-Filing system if you submit as a Guest as the information you submitted is not saved for updates and reference. Creating an OE-417 account is recommended to ensure full benefits of the system. If you wish to register after submitting a Form as a Guest, select the link on the Confirmation page after the Form is successfully submitted. You may also request at a later time to merge your guest submission(s) into a registered user's account if you elect to do so.

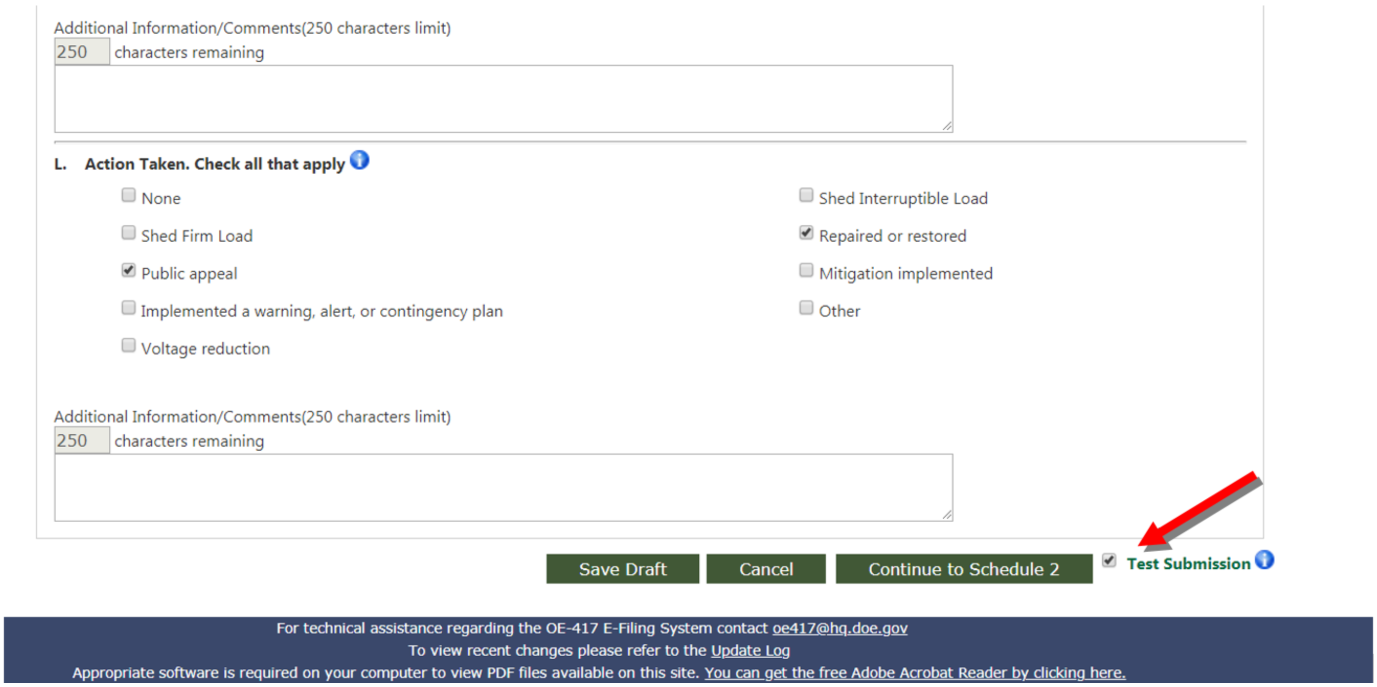
Figure 7: Submitting as a Guest



E. Submitting a Test Form

The E-Filing system can be used for testing and training. If the Form being submitted is only for testing purposes, select the checkbox next to ’Test Submission‘ located at the bottom of the Form. If a test Form is submitted, users will receive a test confirmation e-mail. The submitted Test Form will also not be listed in the list of previously submitted Forms. You may search for your test submission by going to the ‘Search’ menu option and selecting the ’Test Submissions Only‘ checkbox in your search criteria as shown in Figure 8 below.

Figure 8: Test Submission Option



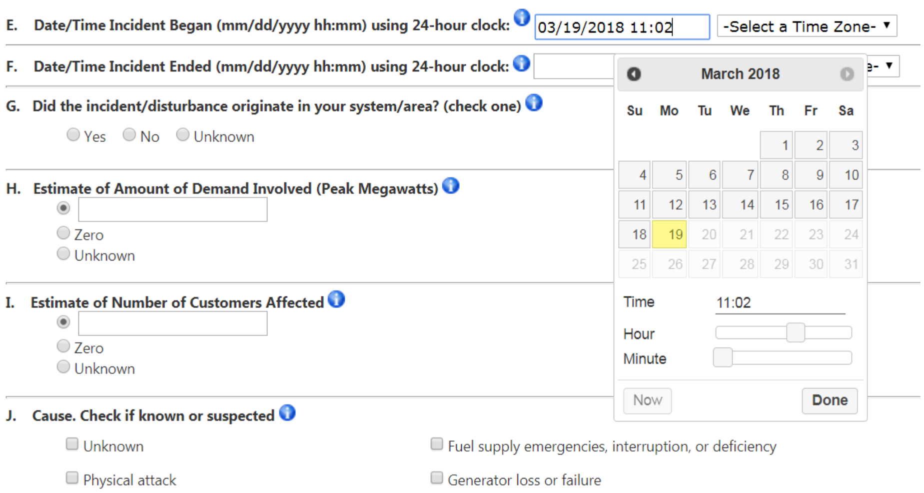
FAQs on Submitting an OE-417 Form in the New System

Q. How can I enter a date/time on lines E & F?

To enter a date/time on lines E & F, click on the area to the right of ’Date/Time Incident Began‘ and a pop-up box will appear displaying a calendar (see below in Figure 9). A user can select the date of the incident by clicking on the day with their mouse. To set the time, users will click and hold on the square next to ’Hour‘ or ’Minute‘ and, while still holding down the left mouse button, slide the box so that it moves to the right. Then the ’Hour‘ will increase up to 23 (based on the 24-hour clock) and the ’Minute‘ will increase up to 59. Click ’Done‘ and the pop-up box will disappear.

Note: The system will not let users input a date/time in the future. The sliding squares will only allow users to advance up to the current time.

Figure 9: Calendar – Date Picker



Q. How will I know if I have successfully E-Filed an OE-417 Form?

After submission, the system will display a confirmation page. If you have registered in the system, you will also receive an e-mail receipt confirming a successful transmission. Additionally, in the user’s OE-417 E-Filing Home Page, filings submitted within the last 30 days are visible or a user can click ’Search‘ on the left-hand bar to search their past filings.

Q. What fields are required to be filled out when completing an OE-417 Form?

Required fields for an Emergency Alert, Normal Report, System Report, or Update submission:
Criteria and Lines A-E, G, M, O, and Q

Required fields for a Final submission:
Criteria and Lines A-E, G, J-L, M, O, Q, and R

Q. What are the filing requirements for each Alert Status under Schedule 1 Criteria for Filing?

An Emergency Alert must be filed within one hour of the reported incident. A Normal Report must be filed within six hours of an incident. A System Report must be filed by the later of 24 hours after the recognition of the incident or by the end of the next business day. (**Note:** 4:00 pm local time will be considered the end of the business day.) If significant changes have occurred after filing the initial report, the form should be re-filed with the changes as an Update.

A Final Report form must be re-filed within 72 hours of the incident with the latest information, unless it was updated.

Q. Do I need to submit a new OE-417 Form when updating or finalizing an event?
No, you should not open a new submission in order to update or finalize an initial submission. Simply perform a search using the Event ID of the event submission. Then click the 'Update' icon next to the Form you wish to submit an Update or Final Submission for. This will open a Form with the previously submitted information already filled in. Select 'Update' or 'Final' in the Form and you will be able to make changes to it.

Please note that this feature only applies to users who have made submissions using a registered OE-417 account.

Q. How will I be notified if the OE determines my submission was filed incorrectly?
If your submission is filed incorrectly, you will receive an e-mail or phone notification of the problem and what action is required to correct the submission.

Q. What should I do if I realize I made a mistake after completing a submission?
If you file a document incorrectly, please go log into the system, locate the submission, click the 'Update' icon, make the correction, and resubmit the Form as an Update.

Q. Can form submissions be removed from the system?
Only the System Admin can elect to delete or "withdraw" any submissions in the system. Since deletions are permanent, the System Admin is most likely to withdraw a form in cases where its criteria are not met. This way, there is a record of the form that remains in the system. Withdrawn forms will not appear in typical search results or exports. To search for withdrawn forms, check the box next to "Show Withdrawn Forms" in the form search criteria. After the System Admin has withdrawn a submission, an alert email will be sent out to the submitter and NERC (if they were copied) notifying them that the form had been withdrawn.

Q. What if I need to submit a Form under another organization name or for states/counties different from those saved in my profile?
You can always edit any prepopulated information directly on the Form for a particular submission, such as the 'B. Organization Name' and 'D. Geographic Area(s) Affected' fields, all without having to change the settings saved on your profile. Refer to Option 1 of Figure 5 above for how to update a saved submission.

Q. If I am seeing multiple instances of a form I had submitted into the system, is there a way to merge their details?
Yes, you can email a request to the help desk (OE417@hq.doe.gov) for the System Admin to initiate a merge between two or more form submissions identified in the system. You will need to provide the two or more Event IDs that need to be associated into a single event. No actual data nor the Event ID is changed in the submitted forms after events have been merged. The 'Associated ID' field is used to identify forms that have been merged into one. If a form has not been merged, the Associated ID will be blank or the same as the Event ID. The System Admin will select which Event ID will be used to identify all the merged forms unless you specify an Event ID.

Note: Once a merge has been completed, it CANNOT be undone.

IV. Organization Management

The benefit to being part of an organization on the OE-417 E-Filing system is the ability to search, view, and edit forms submitted by others in your organization. Members can also view drafts started by other members. One or more designated Organization Administrator(s) can manage the users in their organization.

A. Becoming an Organization Administrator

In the registration page or if you are already registered in the 'My Account' page, you may request to become an Organization Admin by selecting the 'Organization Admin' checkbox in the 'Organization Profile' section. A System Administrator will get a notification of the request. Your profile will say "Org Admin – Pending" until approved. Once approved, your profile will change to "Org Admin – Approved." You will also receive an e-mail notification when approved.

B. Organization Admin Responsibilities

Approving Members

Organization Admins will receive an e-mail notification when a new member registers in their organization. They can approve or decline the membership request in the 'Join Organization Requests:' section from their homepage or from 'My Organization.' The organization member will get an e-mail notification when they have been approved into the organization.

Approving Other Organization Admins

Existing Organization Admins can also approve other Organization Admin requests of their organization. They can approve or decline the Organization Admin request in the 'Join Organization Admin Role Requests:' section from their homepage or from 'My Organization.'

Updating Organization Details

Organization Admins can go to the 'Organization Details (Click to Expand/Collapse)' section in the 'My Organization' page to update the organization's name and address. This update will be reflected in all members' profiles and will be prepopulated in future OE-417 forms. This will not be retroactive and change any organization details in forms previously submitted to DOE.

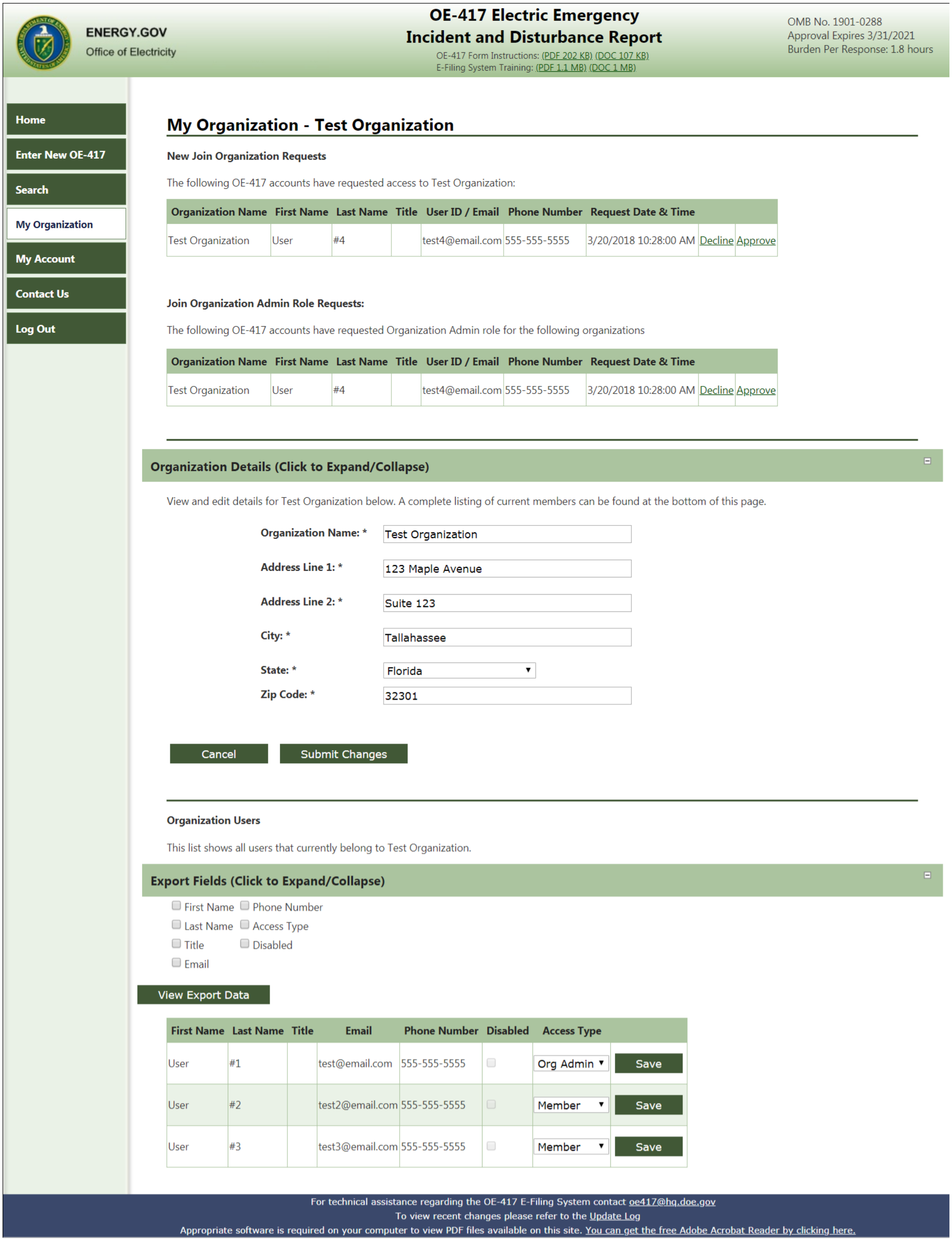
Managing Users

Organization Admins can view members, update their role, and export a list of members from the 'My Organization' page.

Roles can be changed under the 'Access Type' drop-down next to the member's name by selecting the updated role and clicking 'Save.'

To export the list of member names, Organization Admins can click on the 'Export Field (Click to Expand/Collapse),' select the fields to export, and click on 'View Export Data.' The new page will show the exported fields and then click on 'Export to Excel' to view export in MS Excel.

Figure 10: 'My Organization' Tab



V. Other Features

A. *Emailing the Form to NERC and/or E-ISAC*

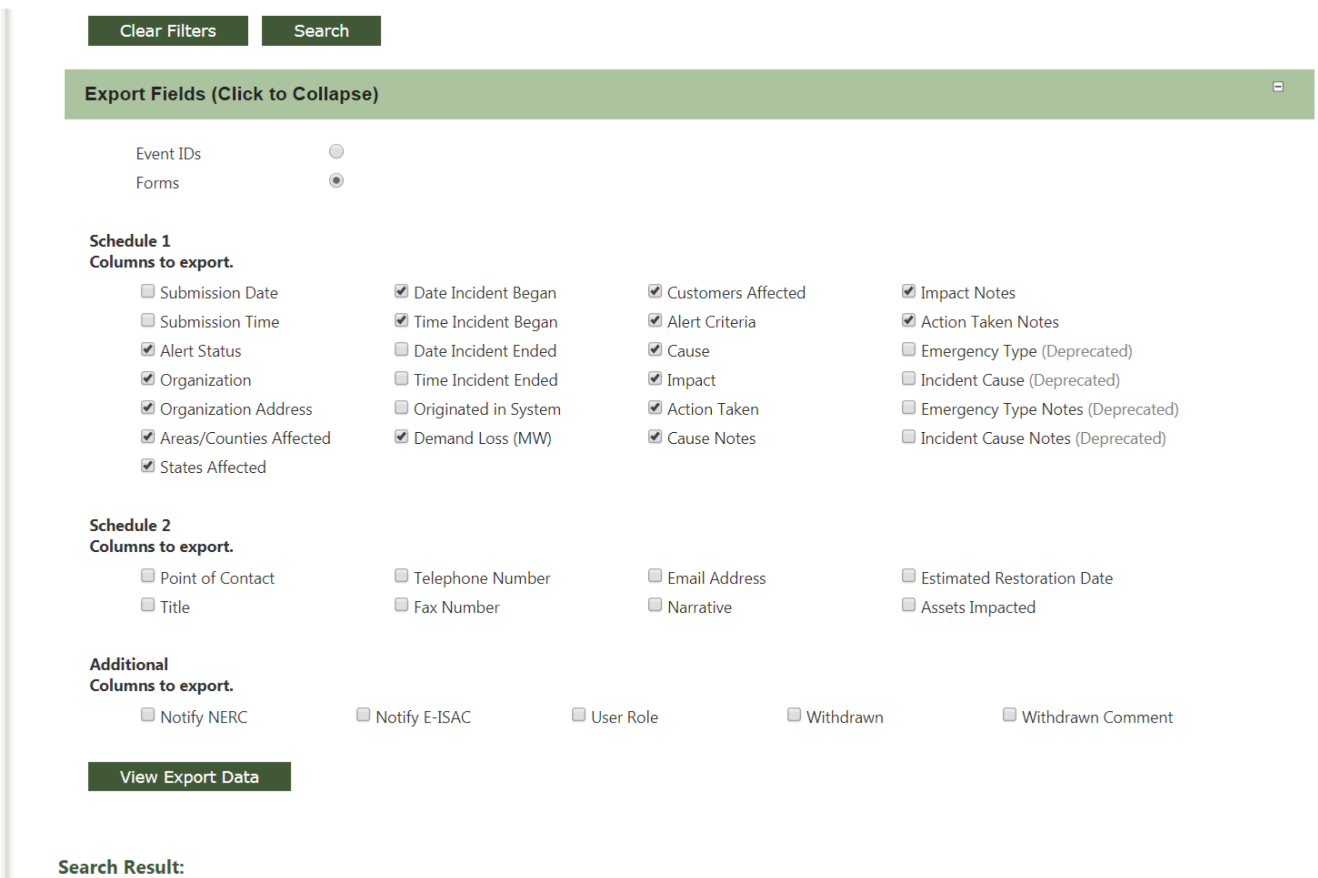
As an added benefit, the respondent may approve sending the pdf copies of a completed OE-417 form to NERC and/or E-ISAC. This information would be submitted to help fulfill the respondent's requirements under NERC's reliability standards.

B. *Search and Export Features*

The OE-417 E-Filing system allows users to search and edit previously submitted Forms to assist users in updating existing Forms, additional reporting, and to reference historic Forms for analysis. Users can also export their search results.

Note: Only Forms submitted by your account will be searchable. If you are an approved member of an organization, you will also be able to search for forms submitted by other members in your organization.

Figure 11: Export Fields



Step	Description
1	Click the 'Search' tab on your homepage to initiate a search (refer to Option 3 of previous Figure 5).

Step	Description
2	You can enter any of the following search criteria - Event ID, Begin/End Date Range, Organization Name, E-Mail Address, Peak MW Lost, Customers Affected, Criteria for Filing, Cause, Impact, Action Taken, State, Alert Status or Test Submissions Only - and then click the 'Search' button for your search results to be displayed.
3	To export your search results, click on 'Export Fields (Click to Expand)' (see above Figure 11). Select the fields to export. For your convenience, the most common fields have been preselected. Click on 'View Export Data.'
4	From the 'View Export' screen, you can select 'Export to Excel' to view your search results in MS Excel.