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## ALIGN ATTESTATION GUIDE

### Purpose

The purpose of this document is to guide users of Align to create, monitor, and maintain accurate attestations. Attestations are generally a response related to a Periodic Data Request from Texas RE. The guide illustrates steps based on the revision level of Align. If enhancements are made to Align that affect this guide Texas RE will update accordingly.

If there are any issues noted, please contact Texas RE at [compliance@texasre.org](mailto:compliance@texasre.org).

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### A. Creating an Attestation

The steps below show registered entities how to create an attestation when completing a Periodic Data Submittal (PDS). Currently, most attestations are for FAC-003 and PRC-023 R5.

1. Within the PDS, expand the “Click here to make an Attestation” section.

7/20/2021

**General**

Unique ID [REDACTED]  
PDS for FAC-003-4  
Registration [REDACTED]  
PDS Name [REDACTED]  
Description of Request [REDACTED]  
Submit on or after July 20, 2021  
But no later than August 25, 2021  
Region/LRE TXRE  
Monitoring Period Start April 1, 2021  
Monitoring Period End June 30, 2021

**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.

**PDS ASSIGNMENTS**

SUBJECT	REVISION	STATUS
FAC-003-4   Assign Item Assigned to [REDACTED] <a href="#">Click here to answer</a>	Initial Response	NEW

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[Click here to make an Attestation](#) ← 1

[Click here to Request an Extension](#)

**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:  
TXRE [REDACTED] FAC-003-4[]  
If the entity is hosting its own SEL, please provide a hyperlink to their locker in the comment section above.

Artinn  
[Update](#) [Close](#)

2. In the new section, select the “+” sign.

7/20/2021 [redacted]

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.

**PDS ASSIGNMENTS**

SUBJECT	REVISION	STATUS
FAC-003-41 assign-Assign	Initial Response	NEW

Assigned [redacted] [Click here to answer](#)

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[Click here to make an Attestation](#)

CREATE ATTESTATION			ATTESTATION OVERVIEW				
ATTESTATION SCOPE	FUNCTION	CREATE ATTESTATION	ATTESTATION	ATTESTATION SCOPE	EFFECTIVE DATE	RENEWAL DATE	STATUS
FAC-003-4	GO	<a href="#">+</a>	[redacted]	FAC-003-4	03/22/2021		Requested
			AE [redacted]	FAC-003-4	03/21/2021	10/29/2021	Approved
			AE [redacted]	FAC-003-4	03/18/2021		Requested
			AE [redacted]	FAC-003-4	03/05/2021		Requested
			AE [redacted]	FAC-003-4	03/01/2021	10/29/2021	Approved

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[Click here to Request an Extension](#)

**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/ero-infrastructure> with the following reference number:  
**TXRE [redacted] (FAC-003-4)**  
If the entity is hosting its own SEL, please provide a hreflink to their locker in the comment section above.

[Update](#) [Close](#)

3. A new window will appear, in the “Notes” section provide a narrative based on the Standard/Requirement language as to why the registered entity is not applicable to the associated Standard/Requirement, and then click on the “Update” button. NOTE: Registered entities should have evidence to demonstrate non-applicability available upon request.

Create Applicability Exception

General

Source Attestation

Registration [redacted] Function(s) GO

Standard FAC-003-4 Requirement Part

Notes

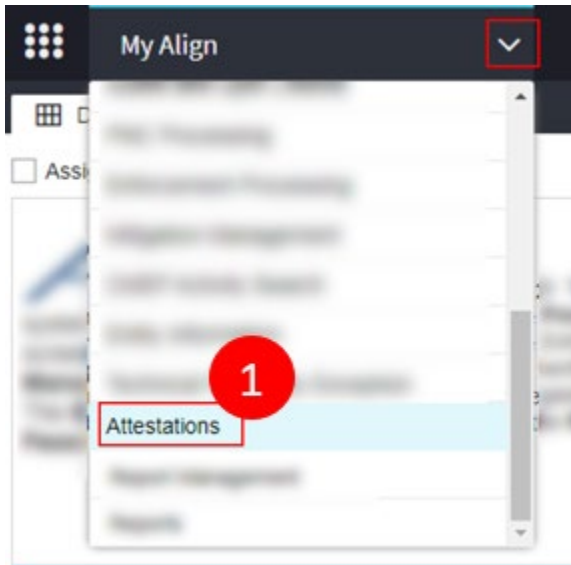
FORM 03\_Create\_Exception

[Update](#) [Close](#)

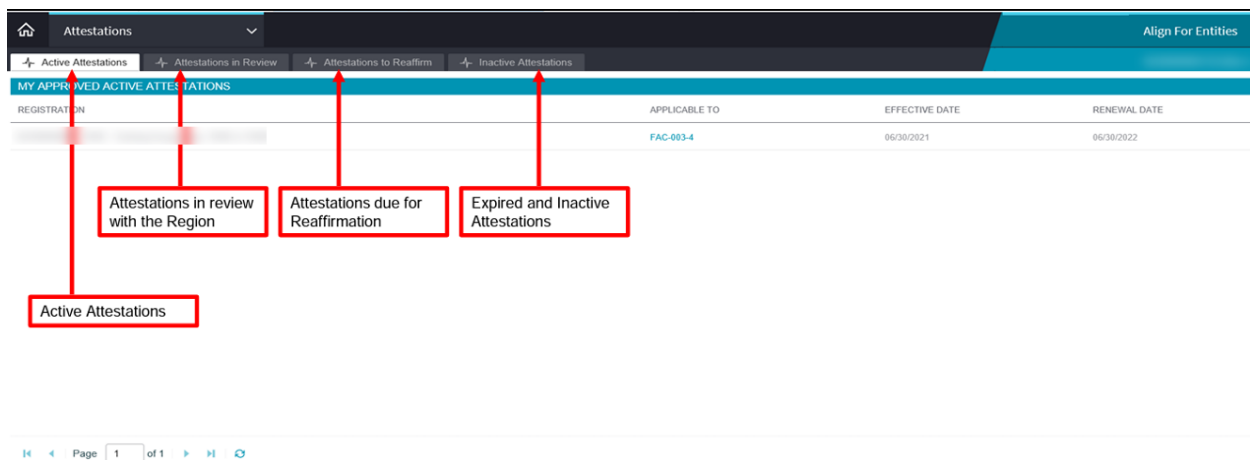
## B. Checking the status of an Attestation

The steps below show registered entities how to navigate in Align to see the status of their attestations.

1. In Align, select “Attestations” from the drop-down menu.



2. In this section, there are four tabs available for the user to review.



Below is a short description of each of the tabs.

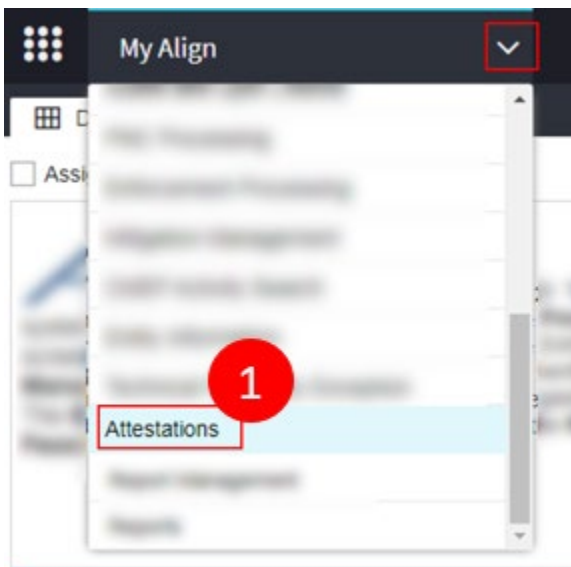
- Active Attestations – This tab will hold attestations that are currently active for the registered entity.

- Attestations in Review – This tab will hold attestations submitted to the Region by the registered entity. Attestations in this tab are being reviewed by the Region.
- Attestations to Reaffirm – This tab will hold attestations which the Region has sent to the registered entity to renew.
- Inactive Attestations – This tab will hold all attestations that have either been rescinded by the registered entity or not approved by the Region.

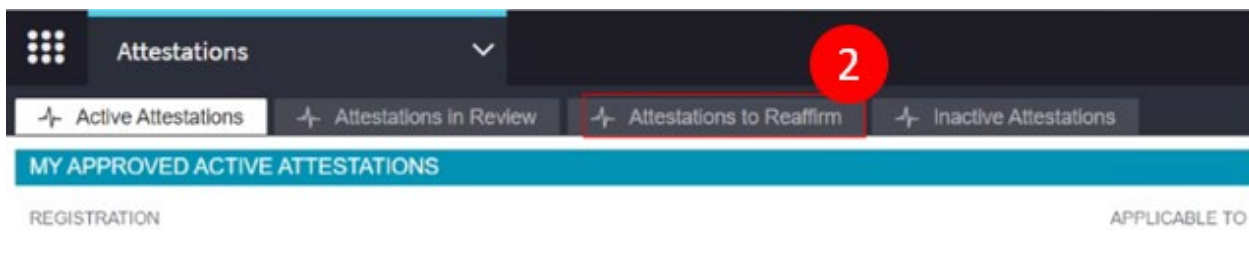
### C. Reaffirming an Attestation

The steps below show registered entities how to reaffirm an attestation. Currently, registered entities will receive the reaffirmation request via Align at a minimum of once a year. This is to help ensure that the applicability for a Standard/Requirement has not changed during the course of the attestation time period (default of one year). Note- A registered entity is expected to provide updates to Texas RE in a timely manner (e.g., within a quarter) if the update changes applicability to a Standard/Requirement covered by an attestation.

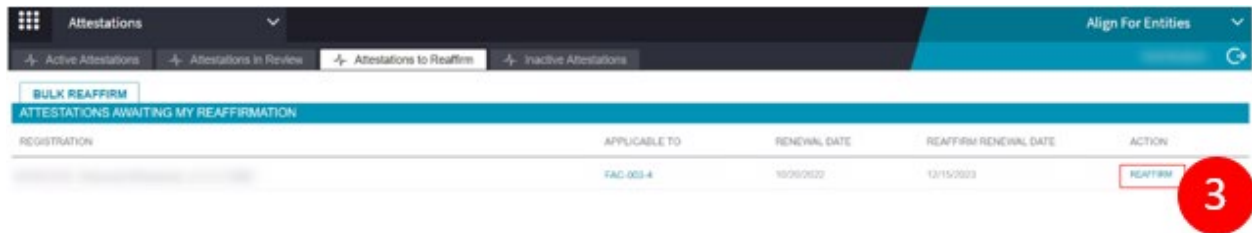
1. In Align, select “Attestations” from the drop-down menu.



2. Select the “Attestations to Reaffirm” tab.

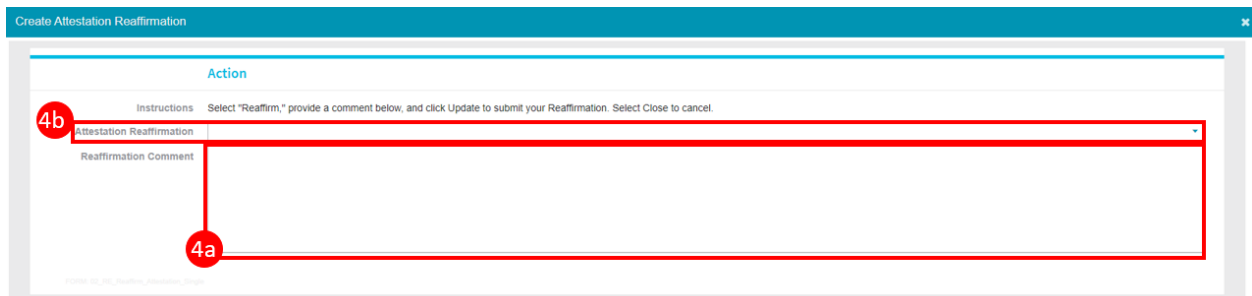


- On the new screen, you should see the attestations that the Registered Entity needs to reaffirm. Select the “REAFFIRM” blue text.



- You need to:

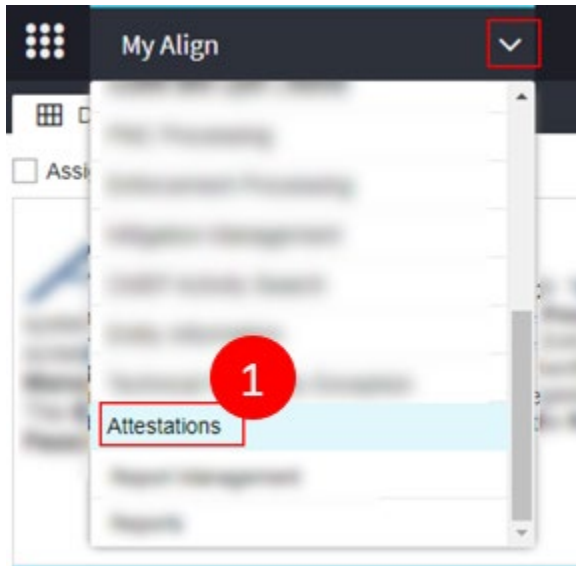
- Provide a reaffirmation comment (state why Standard/Requirement is no longer applicable)
- Select “Reaffirm” from the drop down menu.
- Select the “Update” button at the bottom.



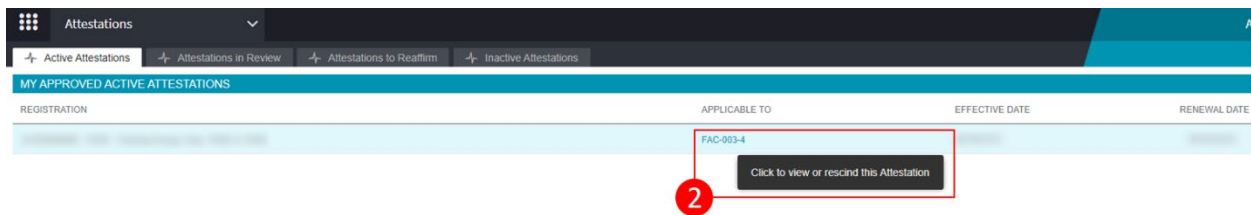
## D. Rescinding an Attestation

The steps below show registered entities how to rescind an attestation. This should be done in case that the entity applicability changes for a specific standard or requirement. Regional Entity staff cannot rescind an attestation on behalf of a registered entity.

- In Align, select “Attestations” from the drop-down menu.



2. Within the “Active Attestations” tab, select the blue text of the attestation that you are rescinding.



3. A new window should appear:
  - a. Select the “Click to Rescind this Attestation” section.
  - b. From the “Action” drop menu select “Rescind”.
  - c. Then select the “Update” button.

**General**

Attestation ID: [redacted]  
Registration: [redacted]

**Attestation Details**

Function: [redacted]  
Standard: [redacted]  
Requirement: [redacted]  
Submit Date: [redacted] Part: [redacted]  
Submitted By: [redacted]  
Submitter Comments: [redacted]

**CEA Review**

Results: [redacted]  
Reviewed By: [redacted]  
Reviewer Comments: [redacted]  
Effective Date: [redacted] Renewal Date: [redacted]

**3a** [Click to Rescind this Attestation](#)

Instructions: If this attestation is no longer applicable, please rescind it by selecting the "Rescind" action and clicking Update.

Action:  **3b**

**3c**



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Revision Level	Revision Notes	Revision Date
1.0	Initial	July 18, 2023
1.1	Labeled as Public	September 20, 2023