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.

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.

2. In the new section, select the "+" sign.

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.

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.
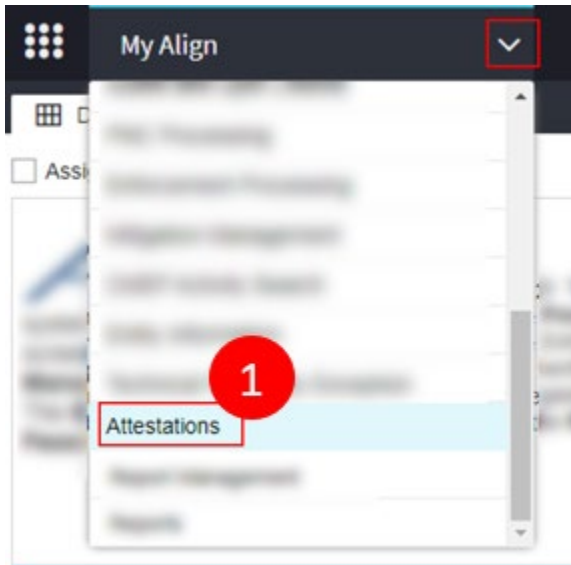
2. In this section, there are four tabs available for the user to review.
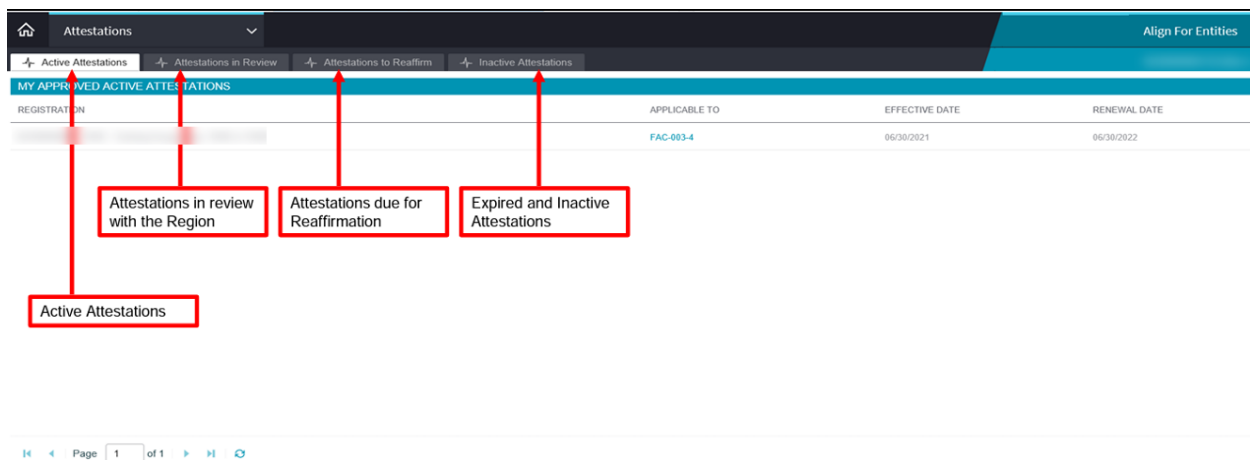
Below is a short description of each of the tabs.

- 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- Inactive Attestations – This tab will hold all attestations that have either been rescinded by the registered entity or not approved by the Region.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.
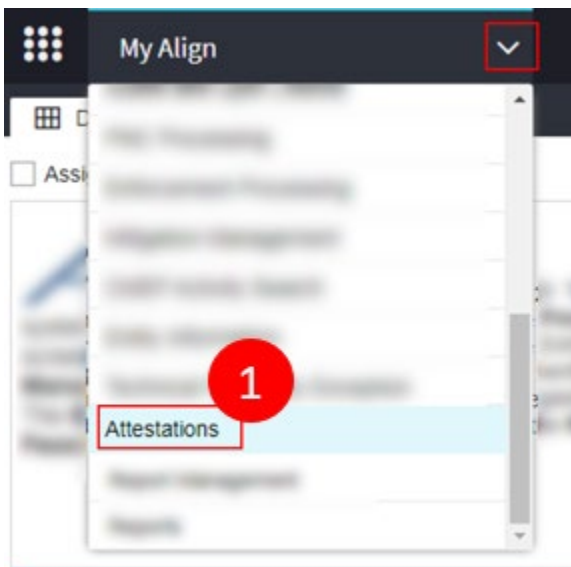
2. Select the "Attestations to Reaffirm" tab.
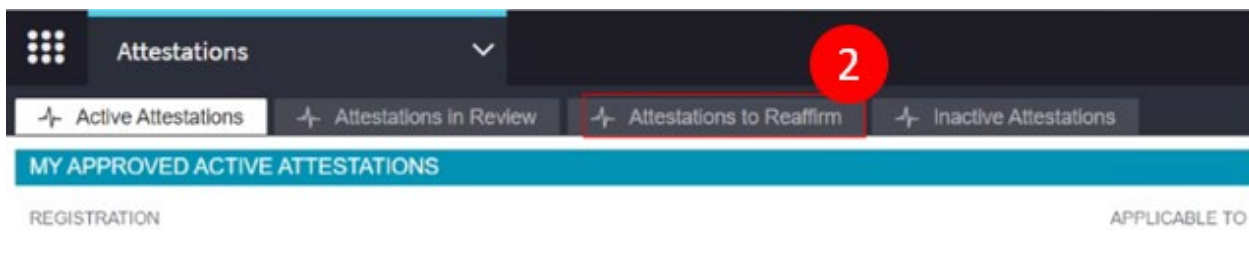
3. On the new screen, you should see the attestations that the Registered Entity needs to reaffirm. Select the "REAFFIRM" blue text.

4. You need to:

    a. Provide a reaffirmation comment (state why Standard/Requirement is no longer applicable)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

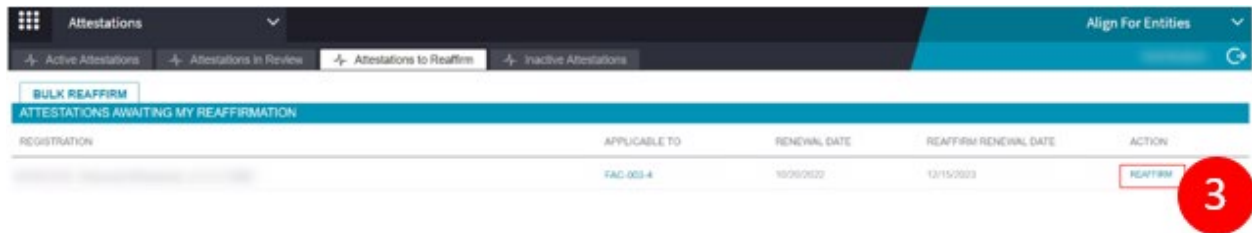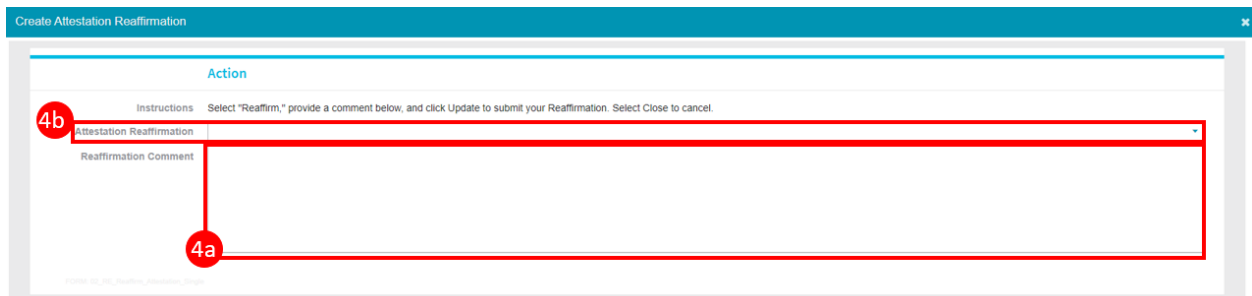## D. Rescinding an Attestation

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.

1. In Align, select "Attestations" from the drop-down menu.
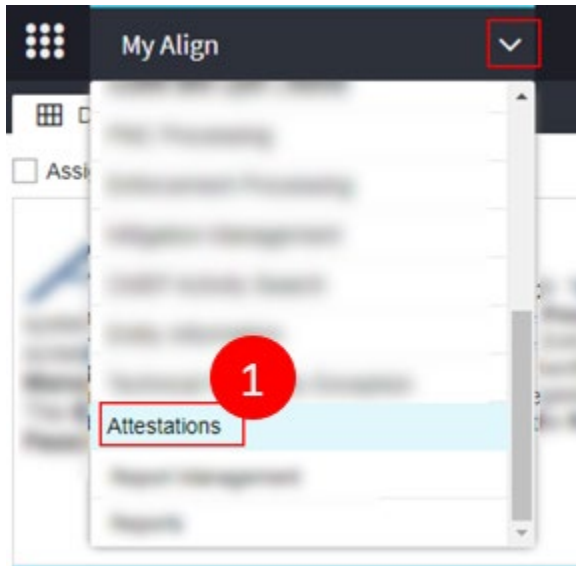
2. Within the "Active Attestations" tab, select the blue text of the attestation that you are rescinding.
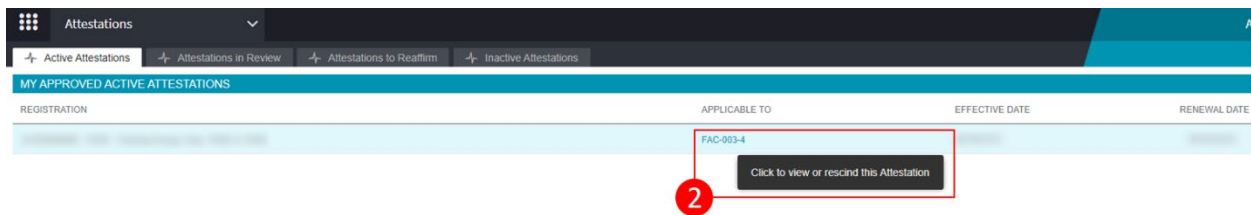
3. A new window should appear:

   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	
Registration	

Attestation Details

Function			
Standard			
Requirement		Part	
Submit Date		Submitted By	
Submitter Comments			

CEA Review

Results		Reviewed By	
Reviewer Comments			
Effective Date		Renewal Date	

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	Rescind **3b**

3c Update Close

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