

BEFORE YOU WATCH THE INVESTIGATOR TRAINING MODULE

PLEASE REVIEW THE FOLLOWING TIPS

- Your browser must enable pop-ups. Please go into your browser's setting and disable any pop-up blockers.
- On the Investigator Training Series homepage, click on the title of the Module you wish to view.

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Investigator Training Series

Welcome to NASBA's Investigator Training Series. Below, you will find six modules created to provide introductory training for investigators assigned to investigate a complaint for a Board of Accountancy. You can play the modules directly on this page, or click the titles of each module to open them in a new window/tab. Some of our Boards have requested that we provide quizzes and certificates of completion for the training modules. The presentations can be viewed without participating in the quizzes.

If you wish to complete the Quiz and obtain a certificate of completion, then **pop-up blockers must be disabled in order to view Quiz results**. The information entered on the Guest Book will be used to generate your scores upon completion of the Quiz at the end of each module. Each module must be watched in its entirety and all questions answered before the Quiz can be completed. The results screen will NOT appear if the viewer has not attained a score of 80% or higher on a Quiz, fails to view all slides, completely closes the browser window, or accesses another module through the attachments tab. Once the module window is closed after completing the Quiz, a separate window will open with your results and the option to print a certificate of completion.

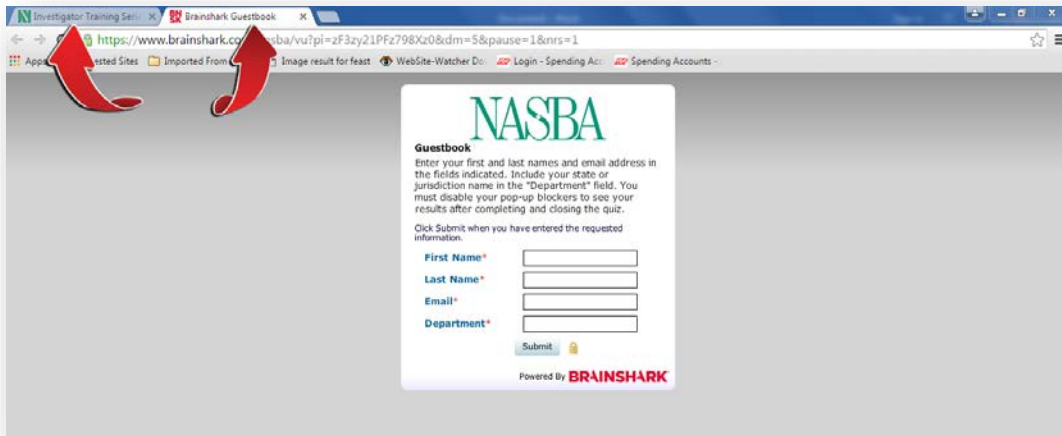
Please contact Stacey Grooms, Regulatory Affairs Manager, at sgrooms@nasba.org with any questions or technical difficulties.

Investigative Training
provided by NASBA

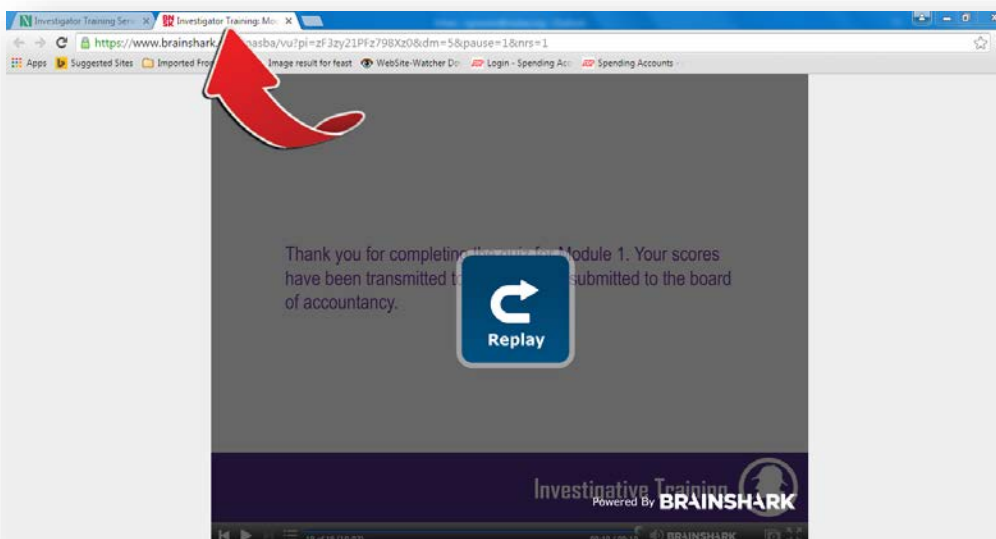
Complaint Process

In this first Module, we will explore the complaint process and the investigator's role within that process, as well as discuss how that process may differ depending on the procedures utilized by your particular board of accountancy. This module will give a brief description of the different types of complaints, sources of information for the investigation, and penalties available to most boards after a determination of a violation.

- Be sure that the module opens in a new tab.



- Enter your information in the Guest Book. This information will be used to populate your personal data on the final scores and certificate. Then watch the entire module and answer the quiz at the end of the video presentation. Each module and its quiz must be completed during the same session. If you stop the presentation, skip portions of the presentation, or cause the session to time-out due to extended lack of activity, the scores and certificate will be unavailable. You must score at least 80% in order to receive the certificate of completion for any module.
- When the quiz is completed, close ONLY the module tab. Do NOT close the home page tab or the entire browser.



- A window will pop up to provide your scores and the option to print a certificate. If the window does not pop up when the tab is closed, minimize the browser window to see if the pop-up window is hidden behind the main browser window. However, **DO NOT** close the browser window entirely, as this action will delete your session and will not allow you to receive credit for the module and quiz you have just completed.

Investigator Training: Module 1

Stacey Grooms
October 17, 2016

Print Page

Print Certificate

	Required	Completed	Status
% Slides Viewed	100.00%	100.00%	Complete
Score	80%	100%	Complete
Points	64	80	

Examination Question	Correct Answer	Your Answer	Result	Points Awarded
1. A common source of complaints against CPAs is _____.	All of the Above	All of the Above	✓	10
2. Which of the following violations would result in an administrative complaint being opened by Board staff? (Check all that apply)	Failure to obtain CPE Failure to timely renew a license	Failure to obtain CPE Failure to timely renew a license	✓	10
3. As administrative complaint would typically involve a violation of the professional standards or code of conduct.	False	False	✓	10
4. Administrative complaints typically require more investigation than performance based complaints.	False	False	✓	10
5. The following documents might be collected as part of the file during an investigation: (Check all that apply)	Statements from parties and witnesses Documents provided by the Complainant or Licensee Work papers	Statements from parties and witnesses Documents provided by the Complainant or Licensee Work papers	✓	10

- The pop-up window will give you the option to print your scores and to print a certificate of completion. If you close the pop-up window without printing these items, then you will be required to repeat the entire process in order to print scores or a certificate.