



User Manual for Board Audit Staff

03/25/14

Table of Contents

Signing on to the System	5
Forgot Password	6
Logging out of the System	7
Navigating CPETracking	8
Overview of Major Tabs	9
My Profile Tab.....	10
Change Password:.....	10
Change Email Address:.....	11
Administration	12
Manage Users.....	12
View Details.....	12
Enabling/Disabling an Individual Licensee Account	13
Enabling/Disabling Licensees' Accounts by Permission Level	14
Manage Groups.....	14
View Group Members:.....	15
Enabling/Disabling Licensees' Accounts by Group.....	16
Compliance Status	17
View Summary Screen by Jurisdiction.....	18
Printing a Copy of the Compliance Status Page	18
CPE Credits Reported.....	20
Editing Credits.....	27
Status Report	34
Printer Friendly View.....	34
Change Status to Exempt	36
Home State Exemption:	37
Audit Status	39

Change Reporting Period View.....	40
Change Audit Status for the Reporting Period:	40
Summary	42
Events	43
Detail about Rules Applied to Requested Credit.....	44
Marking Credit Audit Status:.....	44
Exceptions	47
Carry Forward/Carry Back	48
Credit Deficiency Adjustment	50
Questions	53
Attachments	53
Notes	54
Links & Information	55
Requirements Summary.....	56
Board's Homepage	57
Board's Regulations.....	58
Audit Log.....	59
Reports	60
View Audit Reports.....	60
Using the Search Tool.....	61
Audit Summary Report	61
Audit Details Report.....	62
Details Report	63
Monthly Report	64
Cycle Exemption Report.....	64
Credit Limitation Exception Report.....	65

Email Address Update Report.....	66
Unique Login Report.....	66
Generated Password Report.....	67
Login History	68
Phone or E-mail Assistance	69
Appendix A – Audit Flow Diagram.....	70
Appendix B – Audit Flow Process	71
Prior to the Audit.....	71
Identify CPE Submissions and Audit Work Queue	71
Audit Details Report.....	71
Sorting by Last Submission Date.....	71
Sorting by Audit Status.....	71
Conduct the Audit (without Home State Exemption)	71
Locate Licensee Account and Status Report.....	71
Review Individual Credits.....	72
Mark the Audit Status for the Reporting Period.....	72
Conduct the Audit (with Home State Exemption).....	73
Verify the home state license	73
Locate Licensee Account and Status Report.....	73
Review Individual Credits in the Home State.....	73
Mark the Audit Status for the Reporting Period in the Home State.....	73
Mark the Audit Status for the Reporting Period in Your State.....	73
Handling Issues during the Submission and Audit Period.....	75
Enabling/Disabling User Accounts	75
Enabling Reviewed Credits for Edit.....	75

Signing on to the System

Login IDs and initial passwords will be provided to each Board staff member by the CPETracking administrators from NASBA.

- Access the website [https://\[state abbreviation\].CPETracking.com](https://[state abbreviation].CPETracking.com) or [https://\[state name\].cpetracking.com](https://[state name].cpetracking.com)

cpetracking
report your cpe

Login

License Number:

Password

Login

[Forgot your password?](#)

NASBA

State CPE Reporting

First Time Here:

State CPAs should log in using their State license (registration) number and issued password. If you do not know your password, please contact the State Board of Accountancy.

Returning:

State CPAs who have already accessed CPE accounts can log in using their State issued CPA license (registration) number and password. The CPE accounts can be accessed during the audit submission period.

Already Submitted:

State CPAs who have already submitted all CPE records to the State Board using this system in response to a Board audit will not be able to log in and access the CPE account until the evaluation period has ended. The State Board may grant access to accounts upon request on a case by case basis. Please contact the State Board to request access to your account.

- Type your Login ID in the **License Number** field.
- Type in your password in the **Password** field.
- Click the **Login** button to access the system.
- If your account does not have a valid email address associated with it, then you will be prompted to provide an email address:

Change Email

Please Supply A Valid Email Address To Begin Using The System.

New Email Address

Confirm Email Address

Undo Changes
Change Email

- Type a valid email address in the New Email Address field.
- Type the same email address in the Confirm Email address field.
- Click **Undo Changes** to clear the contents of the fields.
- Click **Change Email** to save the entered email address.

Forgot Password

- If you have forgotten your password for your account, click the [Forgot your password?](#) link.

Forgot your password?

For security purposes, a confirmation will be sent to your email address; open the email and click on the provided link to change your password

Enter your license number:

Enter your email address:

Back
Next

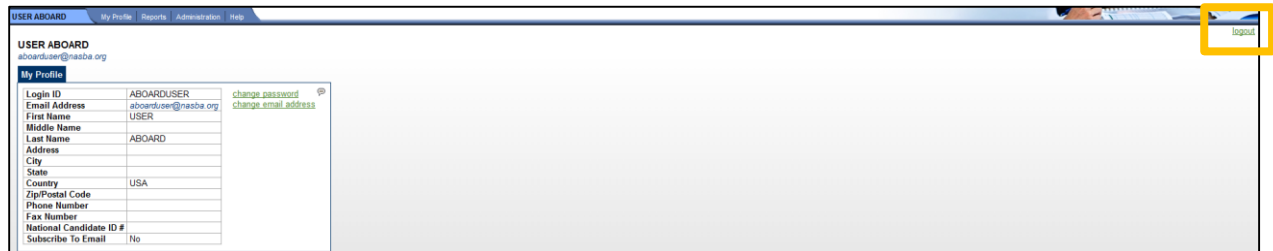
- Enter your Login ID in the **license number** field provided.
- Enter your **email address** in the field provided.
 - Click **Back** to return to the login screen.
 - Click **Next** to process the information.
- If either the Login ID or the email address cannot be validated, you will need to contact NASBA for assistance (see Phone or Email Assistance on page 69).
- If both pieces of information can be validated, you will receive a confirmation email to the address specified.
 - Click on the link provided in the email to change your password.

Logging out of the System

Regardless of the screen that you are working in, the link to logout appears at the top right of the display.

In order to log out of the system:

- Click the [logout](#) link to return to the log in screen.



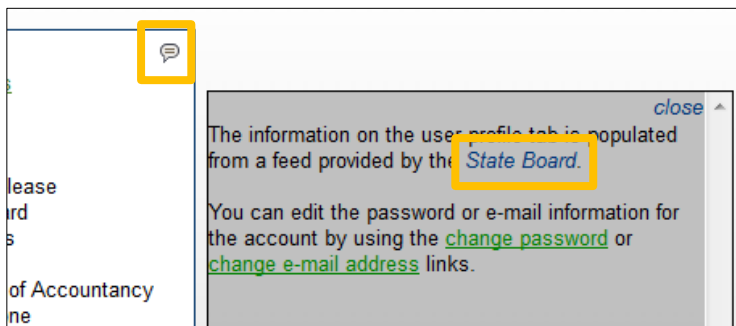
Navigating CPETracking

USER ABOARD
aboarduser@nasba.org

My Profile

Login ID	ABOARDUSER	change password
Email Address	aboarduser@nasba.org	change email address
First Name	USER	
Middle Name		
Last Name	ABOARD	
Address		
City		
State		
Country	USA	
Zip/Postal Code		
Phone Number		
Fax Number		
National Candidate ID #		
Subscribe To Email	No	

Throughout CPETracking, there are balloon-shaped callout icons that display. Clicking on these icons will provide additional information about the screen or field in view.



[Links](#) appear throughout CPETracking screens. Clicking on these phrases or commands highlighted in **green** and underlined will allow you to perform additional functions on the screen you are currently viewing.

If you move your mouse over text that appears in **blue** and it changes from your mouse pointer to a hand tool, you can click on that text to send an email or to access external content, such as your board website. Clicking on an email address in **blue** will launch your default e-mail program and populate that e-mail address in the To: field of the new email message.

Where dates are required, the format is a two digit month and date with a four digit year (MM/DD/YYYY).

To designate information that is required, the field title is followed by a red asterisk (*).

Overview of Major Tabs



Depending on your site setup and permissions, there will be four major tabs that appear across the top of the CPEtracking system at all times. You can move between them by clicking on the tab name.

My Profile This tab is your default view and contains information about your account. You may edit your e-mail address and password.

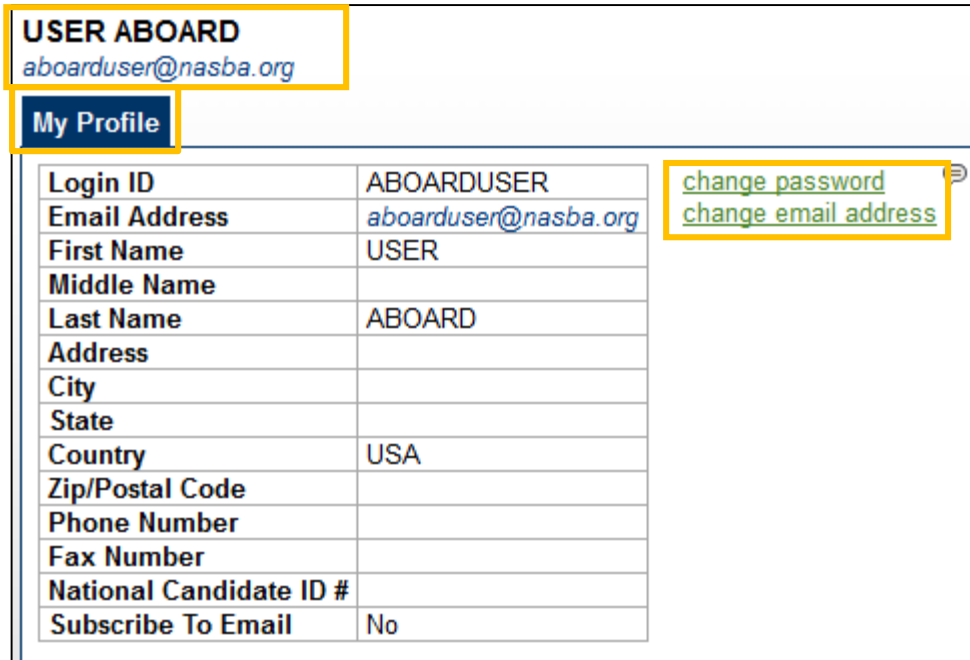
Reports This tab provides access to various Audit reports and to the Login History for the site.

Administration This tab allows Board Staff to view and, in some cases, access licensees' accounts, if that level of permission has been assigned. This would be useful if needing to manually enter all the credits for a licensee who submits all records in a paper format.

Help This tab allows you to view the Licensee and Board User manual for CPEtracking.

My Profile Tab

Once logged in to the system, the My Profile page will display. Your name will appear at the top left of the screen.



The screenshot shows a user profile page for 'USER ABOARD'. At the top left, the user's name 'USER ABOARD' and email 'aboarduser@nasba.org' are displayed. Below this is a 'My Profile' tab. The main content is a table of user information with two links to the right: 'change password' and 'change email address'.

USER ABOARD aboarduser@nasba.org		
My Profile		
Login ID	ABOARDUSER	change password
Email Address	aboarduser@nasba.org	change email address
First Name	USER	
Middle Name		
Last Name	ABOARD	
Address		
City		
State		
Country	USA	
Zip/Postal Code		
Phone Number		
Fax Number		
National Candidate ID #		
Subscribe To Email	No	

This page allows you to view your profile information and to edit select information.

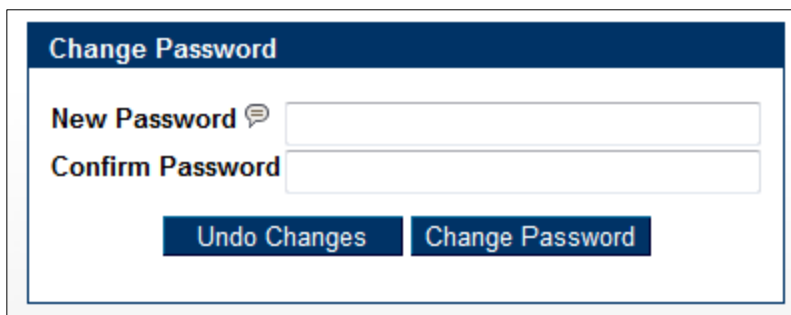
- Click on the [My Profile](#) tab.

You can view your current login ID, e-mail address, name, address and phone/fax information.

The two links to the right of your information allow you to make changes to various parts of your profile.

Change Password: Allows you to change your login password. You can only enter a new password. The system does not allow you to view the previous password.

- Click the [change password](#) link.



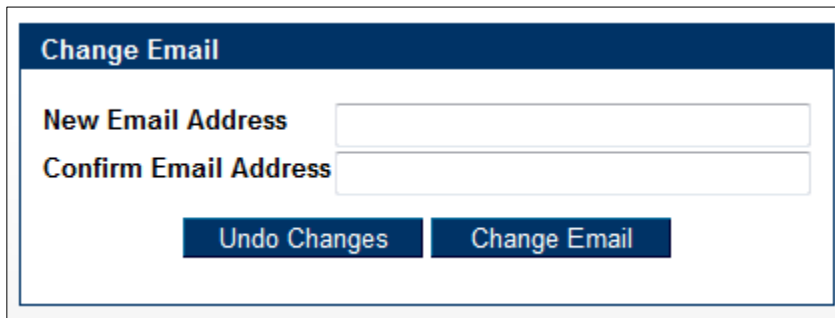
The screenshot shows a 'Change Password' form. It has a title bar 'Change Password' and two input fields: 'New Password' and 'Confirm Password'. Below the fields are two buttons: 'Undo Changes' and 'Change Password'.

Change Password	
New Password	<input type="password"/>
Confirm Password	<input type="password"/>
Undo Changes	Change Password

- Type your new password in the **New Password** field.
- Type the same new password in the **Confirm Password** field.
NOTE: Passwords must be at least six characters long and at least one character must be non-alphabetic (numbers or symbols).
- The password will be masked as you type it.
- Click **Undo Changes** to clear both fields.
- Click **Change Password** to complete the change. The system will return to the My Profile screen.

Change Email Address: Allows you to edit or update the email address on record.

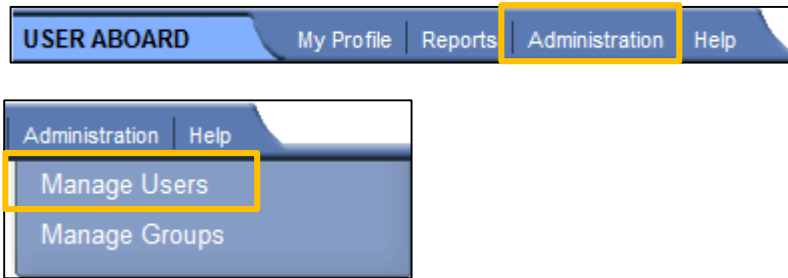
- Click the [change email address](#) link.



The screenshot shows a web form titled "Change Email". It contains two text input fields: "New Email Address" and "Confirm Email Address". Below the fields are two buttons: "Undo Changes" and "Change Email".

- Type your new email address in the **New Email Address** field.
- Type the same new password in the **Confirm Email Address** field.
NOTE: The system will not permit you to enter an e-mail address that is already in use.
- Click **Undo Changes** to clear both fields.
- Click **Change Email** to complete the change. The system will return to the My Profile screen.

Administration



Manage Users

- Click [Manage Users](#) from the [Administration](#) tab.

The screenshot shows the 'Manage Users' interface. At the top, there is a search filter: 'Show Users where Last Name' (dropdown), 'begins with' (text input), and 'and permission level is Reporting User' (dropdown). A 'filter' button is to the right. Below the filter, it says '5 Matches' and there is a link 'add new user'. A table displays the results:

	Login ID	Last Name	First Name	Middle Name	Email	Permission Level	Enabled
access view details edit delete	000001	Allen	Ethan		eallen@nasba.org	Reporting User	Yes
access view details edit delete	000002	Bridges	Jeff		jbridges@mailinator.com	Reporting User	Yes
access view details edit delete	000003	Clinton	Bill		bclinton@mailinator.com	Reporting User	Yes
access view details edit delete	000004	Jagger	Mick		mjagger@mailinator.com	Reporting User	Yes
access view details edit delete	000005	Manning	Peyton		pmanning@mailinator.com	Reporting User	Yes

- The system displays a list of all licensees in the system.
- To narrow your search, choose an option from the dropdown menu at the top left (Last Name, First Name, Middle Name, User Name or Email)
 - *NOTE: The User Name is also called the Login ID and is the license number for the licensee.*
- Type the first few letters of the criteria to search by in the **begins with** field
- Choose to search by a particular permission level by **selecting** that permission level from the dropdown list on the right.
- Click **filter** to perform the search.
- The system displays the results (for each user) as the Login ID, Last Name, First Name, Middle Name, Email address, Permission Level and Enabled (yes/no).
- Clicking on the column names in **blue** will sort the results in ascending/descending order.
- Clicking the email address will launch the board member's default email program and pre-populate the To: field on the email field with that address.

View Details: Allows you to view the person's account with your Board staff permission level. You can view the licensee's profile, compliance status reports and any credits entered.

- Click [view details](#) next to the desired user.
- Your name appears in the tab to the top left of the page, but the name and e-mail of the licensee selected appear below.
- You are viewing the details of the selected user.

- If you click on any of the major tabs across the top (My Profile, Reports, Administration or Help) you will no longer be viewing the details of that user, but will return to your own account.

The screenshot shows a user profile interface. At the top, there is a navigation bar with tabs: 'Test Board Staff', 'My Profile', 'Reports', 'Administration', and 'Help'. Below this, a user profile card is displayed for 'Test Licensee' with the email 'tlicensee@nasba.org'. The profile card has several tabs: 'My Profile', 'Compliance Status', 'CPE Credits Reported', 'Group Membership', 'Login History', 'Audit Log', 'CPE Status', and 'Submit to Board'. The 'My Profile' tab is active, showing a table of personal information and contact details. To the right of the table, there are links for 'access' and 'change password', and a message: 'If any details of your profile are incorrect, please contact the State Board to update your records'. Below the main table, there is a section for 'License Date' (05/15/2010) and 'License Number' (112569). At the bottom right, there is a link for 'Review CPE Requirements'.

Login ID	tlicensee	access
Email Address	tlicensee@nasba.org	change password
First Name	Test	
Middle Name		
Last Name	Licensee	
Address		If any details of your profile are incorrect, please contact the State Board to update your records
City		
State		
Country	USA	
Zip/Postal Code		Missouri State Board of Accountancy
Phone Number		573.751.0012 Telephone
Fax Number		800.735.2466 Voice Relay
Jurisdiction Membership	Missouri	mosba@pr.mo.gov
		http://pr.mo.gov/accountancy-coa.asp
		(ONLINE address change)
		Review CPE Requirements
License Date	05/15/2010	
License Number	112569	

- Below the **Jurisdiction Membership** field, the following information will be displayed as it becomes available:
 - **Last Submission** displays the date and time that the licensee last submitted their CPE.
 - **Last Audit Status** displays the last audit status for the licensee (Not Audited, In Progress, Passed or Failed)
 - **Last Audit Cycle** shows the last audited CPE reporting period start and end date.

Enabling/Disabling an Individual Licensee Account: If a licensee has submitted their CPE to the board, their account is disabled during the review period. You can enable their account by following these steps:

- Click the current response (*Yes* or *No*) in the **Enabled** column next to the desired licensee.

Manage Users

Show Users where Last Name begins with and permission level is Reporting User [filter](#)

5 Matches [add new user](#)

	Login ID	Last Name	First Name	Middle Name	Email	Permission Level	Enabled
access view details edit delete	000001	Allen	Ethan		eallen@nasba.org	Reporting User	Yes
access view details edit delete	000002	Bridges	Jeff		jbridges@mailinator.com	Reporting User	Yes
access view details edit delete	000003	Clinton	Bill		bclinton@mailinator.com	Reporting User	Yes
access view details edit delete	000004	Jagger	Mick		mjagger@mailinator.com	Reporting User	Yes
access view details edit delete	000005	Manning	Peyton		pmanning@mailinator.com	Reporting User	Yes

- The system will change the status of the licensee’s account to “yes,” if the original value was “no,” and to “no” if the original value was “yes”.
- Once Enabled is set to “no”, the licensee will not be able to login to CPETracking or access the account in any way. However, you will still be able to access that record.

Enabling/Disabling Licensees’ Accounts by Permission Level: You can enable or disable licensees’ accounts that are assigned to a particular permission level

- Choose a permission level from the “**permission level is**” dropdown menu.

Manage Users

Show Users where Last Name begins with and permission level is Reporting User [filter](#)

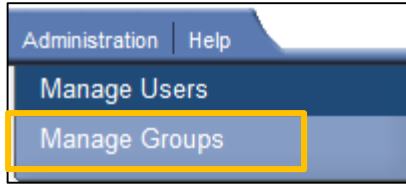
11079 Matches [disable all users](#) [enable all users](#)

	Login ID	Last Name	First Name	Middle Name	Email	Permission Level	Enabled
access view details	testdavis	Davis	Test		testdavis@nasba.org	Reporting User	Yes
access view details	newusermo1	Mo1	New	User	newusermo1@nasba.org	Reporting User	Yes
access view details	newuser7	User7	New		newuser7@nasba.org	Reporting User	Yes
access view details	newuser6	User6	New		newuser6@nasba.org	Reporting User	Yes
access view details	newuser5	User5	New		newuser5@nasba.org	Reporting User	Yes
access view details	newuser4	User4	New		newuser4@nasba.org	Reporting User	Yes
access view details	newuser3	User3	New		newuser3@nasba.org	Reporting User	Yes
access view details	newuser2	User2	New		newuser2@nasba.org	Reporting User	Yes
access view details	newuser	User	New		newuser@nasba.org	Reporting User	Yes
access view details	missouritest1	Misso	Missouri	Test	mouser@nasba.org	Reporting User	Yes

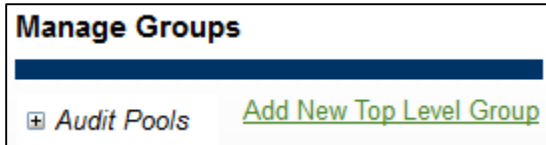
- Click the [disable all users](#) link to disable all user accounts with the selected permission level assigned.
 - The **Enabled** status for all accounts at the selected permission level is set to *No*.
- Click the [enable all users](#) link to enable all user accounts with the selected permission level assigned.
 - The **Enabled** status for all accounts at the selected permission level is set to *Yes*.

Manage Groups

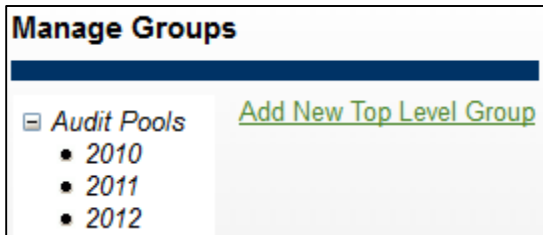
The groups and subgroups available within a site represent audit years. While Manage Users displays ALL licensees in the system, user groups can target licensees that were audited in a specific year.



- Select Manage Groups from the Administration menu.



- Click on the tree control (plus sign) to expand the group to see individual audit years.



- Select an individual audit year by clicking on its title (the year number, for example).



View Group Members: When viewing the details of a group/subgroup, the number of users assigned to the group is displayed.

- To view which users are assigned to a group or subgroup, click on the number of users in the Total Members row in *blue* to view specific users in that group/subgroup.

Manage Users							
Show Users where <input type="text" value="Last Name"/> begins with <input type="text" value=""/> and permission level is <input type="text" value="Any"/> <input type="button" value="filter"/>							
277 Matches for Audit Pools 2012						disable all users enable all users	
access view details	Login ID	Last Name	First Name	Middle Name	Email	Permission Level	Enabled
access view details	testdavis	Davis	Test		testdavis@nasba.org	None	Yes
access view details	newusermo1	Mo1	New	User	newusermo1@nasba.org	None	Yes
access view details	newuser7	User7	New		newuser7@nasba.org	None	Yes
access view details	newuser6	User6	New		newuser6@nasba.org	None	Yes
access view details	newuser5	User5	New		newuser5@nasba.org	None	Yes
access view details	newuser4	User4	New		newuser4@nasba.org	None	Yes
access view details	newuser3	User3	New		newuser3@nasba.org	None	Yes
access view details	newuser2	User2	New		newuser2@nasba.org	None	Yes
access view details	newuser	User	New		newuser@nasba.org	None	Yes
access view details	missouritest1	Misso	Missouri	Test	mouser@nasba.org	None	Yes

- The Manage User's view is displayed only for the users who are members of this group or subgroup.

Enabling/Disabling Licensees' Accounts by Group: When viewing Group Members, you can disable or enable all user accounts in that group at one time.

- Choose a permission level from the "permission level is" dropdown menu.

Manage Users							
Show Users where <input type="text" value="Last Name"/> begins with <input type="text" value=""/> and permission level is <input type="text" value="Any"/> <input type="button" value="filter"/>							
277 Matches for Audit Pools 2012						disable all users enable all users	
access view details	Login ID	Last Name	First Name	Middle Name	Email	Permission Level	Enabled
access view details	testdavis	Davis	Test		testdavis@nasba.org	None	Yes
access view details	newusermo1	Mo1	New	User	newusermo1@nasba.org	None	Yes
access view details	newuser7	User7	New		newuser7@nasba.org	None	Yes
access view details	newuser6	User6	New		newuser6@nasba.org	None	Yes
access view details	newuser5	User5	New		newuser5@nasba.org	None	Yes
access view details	newuser4	User4	New		newuser4@nasba.org	None	Yes
access view details	newuser3	User3	New		newuser3@nasba.org	None	Yes
access view details	newuser2	User2	New		newuser2@nasba.org	None	Yes
access view details	newuser	User	New		newuser@nasba.org	None	Yes
access view details	missouritest1	Misso	Missouri	Test	mouser@nasba.org	None	Yes

- Click the [disable all users](#) link to disable all user accounts within the selected group.
 - The **Enabled** status for all accounts in the selected group is set to **No**.
- Click the [enable all users](#) link to enable all user accounts within the selected group.
 - The **Enabled** status for all accounts in the selected group is set to **Yes**.

Compliance Status

This page allows you to see the compliance report that a licensee has on their profile based on credits they have entered. To review CPE compliance for a licensee, follow these steps:

- Select Manage Users from the Administration tab, then
- Select [view details](#) for the desired licensee (see Manage Users on page 12).
- Click on the [Compliance Status](#) tab.



The screenshot shows a web interface for a 'Test Licensee' with email 'tlicensee@nasba.org'. The 'Compliance Status' tab is highlighted. Below the tabs is a 'printer friendly view' link and a table with columns: Status, Jurisdiction Period, and Time Remaining. The table contains one entry: 'Not Compliant Missouri' with a period of '01/01/2012 - 12/31/2014' and '10 months, 25 days' remaining. A key at the bottom explains the status icons: Pending Calculation (blue circle), Missing Information (orange question mark), Not Compliant (red X), Compliant (green checkmark), and Exempt (blue checkmark).

Status	Jurisdiction Period	Time Remaining
Not Compliant	Missouri	01/01/2012 - 12/31/2014 10 months, 25 days

Key: Pending Calculation, Missing Information, Not Compliant, Compliant, Exempt

The Compliance Status view displays an at-a-glance summary of the compliance status for the licensee in each jurisdiction on their account, the current reporting period start and end dates, and the time remaining in that reporting period. The key at the bottom of the box indicates what the various compliance statuses could be:

Pending Calculation: New information has been added to the reporting period and must be recalculated by the system. In production, the system runs a recalculation every ten minutes, so it will not be often that this icon is seen.

Missing Information: There are unanswered questions that the licensee needs to answer in order to calculate compliance.

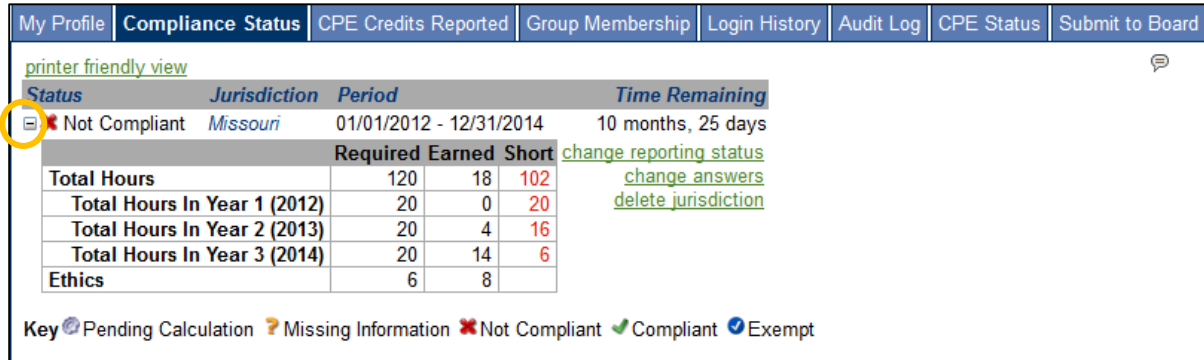
Not Compliant: All credit information has been compared to the jurisdiction rules in the system and all questions have been answered. The licensee does not have sufficient CPE hours to meet all of the jurisdiction requirements for the current reporting period.

Compliant: All credit information has been compared to the jurisdiction rules in the system and all questions have been answered. The licensee has sufficient CPE hours to meet all of the jurisdictional requirements for the current reporting period.

Exempt: The state board had granted the licensee an exemption from meeting the CPE requirements for this reporting period.

View Summary Screen by Jurisdiction

- Click on the tree control (the plus or minus sign to the left of the jurisdiction's compliance status) to open a summary of the CPE requirements for that jurisdiction, which includes the hours earned and the hours still needed for the licensee to become compliant.



My Profile | **Compliance Status** | CPE Credits Reported | Group Membership | Login History | Audit Log | CPE Status | Submit to Board

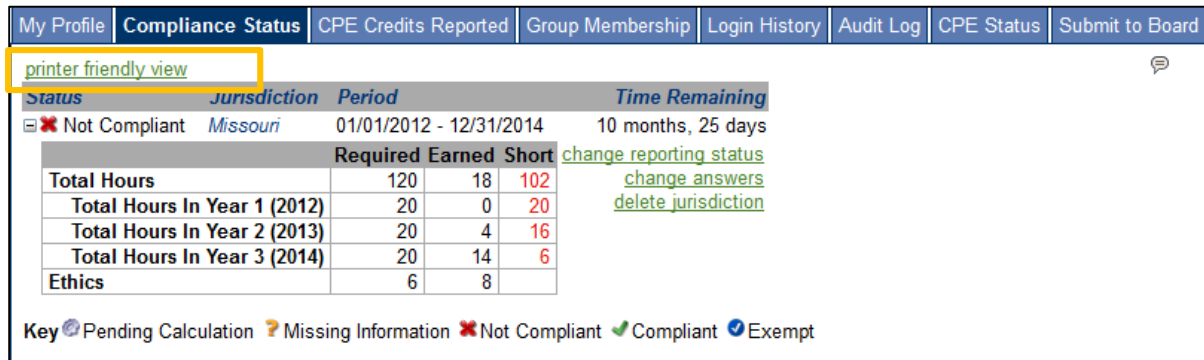
[printer friendly view](#)

Status	Jurisdiction	Period	Time Remaining			
Not Compliant	Missouri	01/01/2012 - 12/31/2014	10 months, 25 days			
		Required	Earned	Short		
Total Hours		120	18	102	change reporting status	
Total Hours In Year 1 (2012)		20	0	20	change answers	
Total Hours In Year 2 (2013)		20	4	16	delete jurisdiction	
Total Hours In Year 3 (2014)		20	14	6		
Ethics		6	8			

Key Pending Calculation Missing Information Not Compliant Compliant Exempt

- Click on the tree control again to close the summary screen.

Printing a Copy of the Compliance Status Page



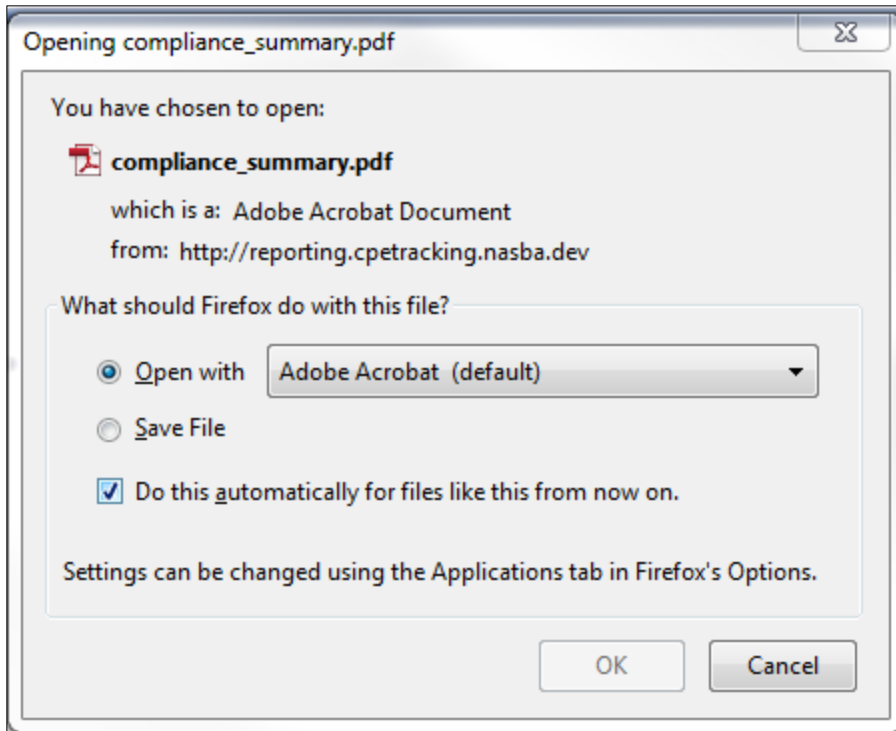
My Profile | **Compliance Status** | CPE Credits Reported | Group Membership | Login History | Audit Log | CPE Status | Submit to Board

[printer friendly view](#)

Status	Jurisdiction	Period	Time Remaining			
Not Compliant	Missouri	01/01/2012 - 12/31/2014	10 months, 25 days			
		Required	Earned	Short		
Total Hours		120	18	102	change reporting status	
Total Hours In Year 1 (2012)		20	0	20	change answers	
Total Hours In Year 2 (2013)		20	4	16	delete jurisdiction	
Total Hours In Year 3 (2014)		20	14	6		
Ethics		6	8			

Key Pending Calculation Missing Information Not Compliant Compliant Exempt

- Click the [printer friendly view](#) link.



- CPetracking creates a .pdf file that can be opened with Adobe Acrobat by clicking the OK button and printed on your local printer.
- You can also select “Save File” to save the document to your local computer drives.

CPetracking - Test Licensee

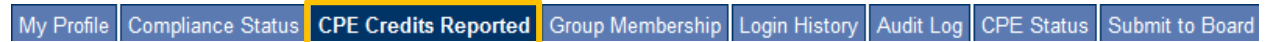
Status	Jurisdiction	Period	Time Remaining
✖ Not Compliant	Washington	01/01/2013 - 12/31/2015	2 years, 5 months, 12 days
Required Earned Short			
Total Hours	120	0	120
Ethics	4	0	4
Technical	96	0	96

Key Pending Calculation Missing Information Not Compliant Compliant Exempt

- The resulting document shows the jurisdiction and its compliance summary box expanded.

CPE Credits Reported

The tab to the right of Compliance Status is **CPE Credits Reported**.



If you wish to view credit entered by the licensee, this page allows you to search for courses taken within specific time frames or by program type. Additionally, you can download the results as a spreadsheet or in a .pdf file.

From Date: 01/01/2011 To Date: 12/31/2014 Run Report

Program: [All] Export Details Printable View

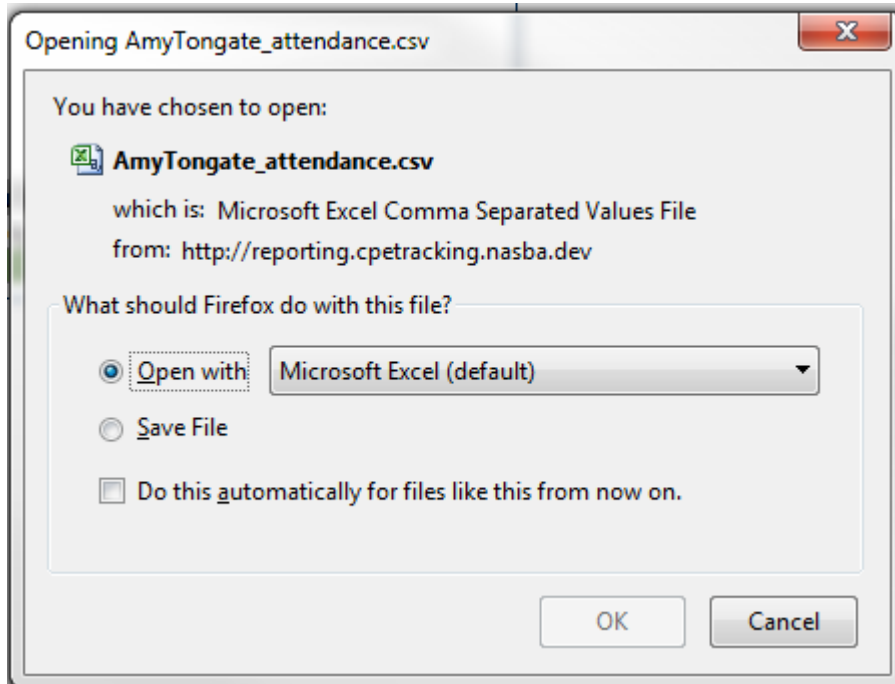
[Add New Credit](#)
[Check CPE Status](#)

AICPA and State Society Programs									
	Course Number	Title	Start Date	End Date	Delivery Mode	Provider	Subject Areas	Reported	Attachment?
credit details	02-0314B	Auditing Update 2014	01/31/2014	01/31/2014	Group Live	University of Tennessee Conferences	Auditing	8.00	No
								Total:	8.00
In-Firm Programs									
	Course Number	Title	Start Date	End Date	Delivery Mode	Provider	Subject Areas	Reported	Attachment?
credit details	02-0314C	Time Management for Supervisors	02/01/2014	02/01/2014	Group Live	Buchanan, Raymer & Tongate, LLP	Personal Development	2.00	Yes
								Total:	2.00
Other Organizations' Programs									
	Course Number	Title	Start Date	End Date	Delivery Mode	Provider	Subject Areas	Reported	Attachment?
credit details	02-0314D	Ethics for Accountants	12/01/2013	12/01/2013	Group Live	University of Tennessee Conferences	Regulatory Ethics	4.00	No
attendance details	02-0514A	Tax Update 2014	01/15/2014	01/15/2014	Group Internet-Based Live	Tax Council Policy Institute	Tax	4.00	Reported by Provider
								Total:	8.00
Practice Review									
	Title	Start Date	End Date	Company	Subject Areas	Reported	Attachment?		
credit details	System Review	12/01/2013	12/01/2013	Susan Young CPAs	Auditing	16.00	No		
						Total:	16.00		
Self-Study									
	Course Number	Title	Start Date	End Date	Type of Self Study	Provider	Subject Areas	Reported	Attachment?
credit details	02-0314A	Workplace Harassment	01/15/2014	01/15/2014	Non Interactive	Buchanan, Raymer & Tongate, LLP	Behavioral Ethics	4.00	Yes
								Total:	4.00

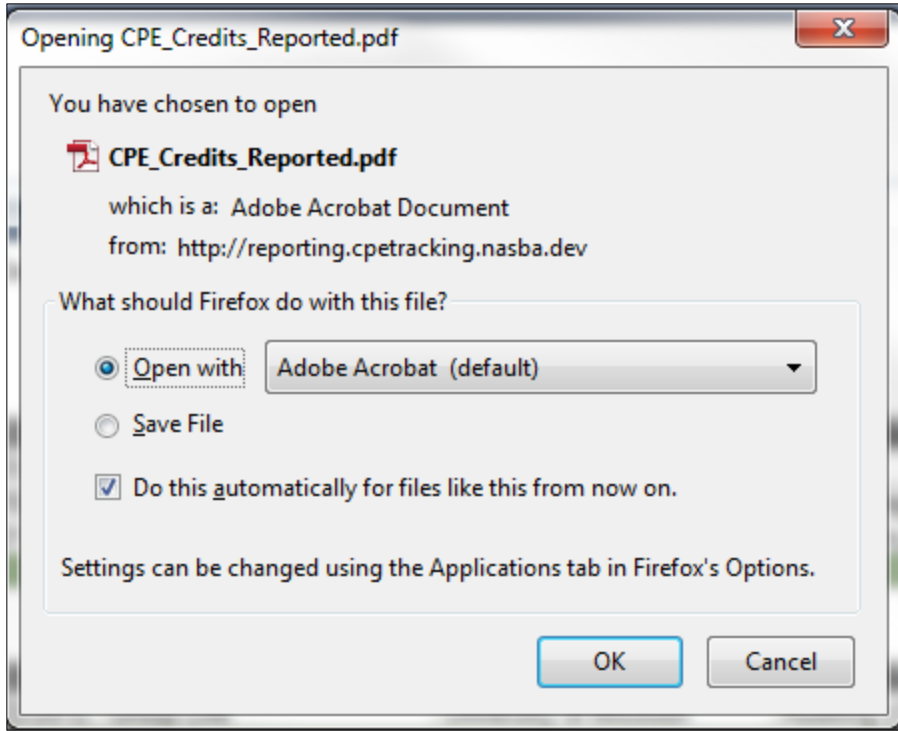
For each credit entered, the following details are displayed:

- **Course Number** (if provided)
- **Title** or name of credit
- **Start Date** for the credit
- **End Date** for the credit
- **Delivery Mode** for the credit
- **Provider**
- **Subject Areas**
- **Reported** number of credits for the learning activity
- **Attachments?** Indicates whether or not a document (such as a certificate of completion) has been added to the credit
 - If a credit was input directly from a provider, this will show “Reported by Provider”.
- The **From Date** field is defaulted to 1/1 of the third year prior to the current year.
- The **To Date** field is defaulted to 12/31 of the current year.
- Credits within the date range are listed by program type and date order within each type. If there are not any credits entered in the date range, then the message “**No CPE Credits have been reported for this date range**” is displayed.
- Credits that the licensee entered appear with the [credit details](#) link to the left. Clicking on the link will provide all credit details that were entered when the credit was created in the system.

- Credits that have been input to the licensee’s transcript from a provider feed will appear with the [attendance details](#) link to the left.
- To search for credits with an alternate date range, type in the desired beginning and ending dates in the **From Date** and **To Date** fields.
- If you wish to view only credits from a specific program type (i.e., self-study), select the program type from the drop down list next to the **Program** field.
- To view the results on screen, click the **Run Report** button.
- To view the results in a spreadsheet format, click the box beside “Export Details” and click the **Run Report** button. This file can be saved on your local computer drive.



- Open the file in the desired program.
- This file can be saved on your local computer drive for reference.
- To view the results in an Adobe PDF file, click the box beside “Printable view” and click the **Run Report** button. This file can be saved on your local computer drive.



Credit Details

- Credits that were entered by a licensee show the [credit details](#) link to their left.
- Click the [credit details](#) link to the left of the course name to view detailed information about the credit.

Credit Details	Subject Areas	Attachments	Notes	Audit Log
edit edit program type delete add copy				
User	Test Licensee			
Audit Status:	Passed			
Program Name	AICPA and State Society Programs			
Course Number	07-1613D			
Title	Auditing			
Description				
Start Date	01/31/2011			
End Date	01/31/2011			
City	Tacoma			
Country	USA			
State Or Province	Washington			
Delivery Mode	Group Live			
Provider	CPE Warehouse			

- The [Credit Details](#) tab is the default view and displays basic credit identification information and the audit status of the credit (Not Audited, In Progress, Board Review, Passed or Failed).
 - Click on the provider name in *blue* to view provider details.

Provider Details

[edit](#) [delete](#)

Name CPE Warehouse
Address 654 Mountain View Ct
City Seattle
State Washington
Country USA
Zip/Postal Code 98401
Phone 9876543210
Fax
Email
Url

[add registration](#) [subscribe to registrar](#)

Registrar	Number	Delivery	Start Date	End Date

- Click the different tabs to display additional information.
- The [Subject Areas](#) tab displays the subject area(s) and amount of CPE credit for each.

Credit Details	Subject Areas	Attachments	Notes	Audit Log						
<table border="1"> <thead> <tr> <th>Subject</th> <th>CPE Credits</th> </tr> </thead> <tbody> <tr> <td>Accounting</td> <td>4.00</td> </tr> <tr> <td colspan="2">Total Credits 4</td> </tr> </tbody> </table>		Subject	CPE Credits	Accounting	4.00	Total Credits 4				
Subject	CPE Credits									
Accounting	4.00									
Total Credits 4										

- The [Attachments](#) tab displays a listing of any files associated with the credit (such as a certificate of completion).
 - Click the [download](#) link to view the attachment.

Credit Details | Subject Areas | **Attachments** | Notes | Audit Log

Attachments

	Name	Attached By	Date
download delete	cprcert.jpg	Tongate, Amy	03/21/2014

Attachments: 1

Attach file

Note: Acceptable documentation of CPE attendance varies by state. Please refer to you Board rules to review their documentation specifications.

File No file selected.

- The **Notes** tab displays any notes entered about the credit by an auditor (NASBA staff), another board staff or you.

Credit Details | Subject Areas | Attachments | **Notes** | Audit Log

Notes

	Note	Author	Date
edit	Test note	Member, Board	10/30/2012
edit	Test note by System Administrator	Administrator, System	10/30/2012

Add Note

- The **Audit Log** tab displays changes made to the credit identifying information (displayed on the Credit Details tab).

Credit Details	Subject Areas	Attachments	Notes	Audit Log
User	Date	Action	Message	
Board, Test	07/17/2013 11:25:41	edit	Audit setting updated to Passed	
Board, Test	07/17/2013 11:16:13	edit	Audit setting updated to Failed	
Licensee, Test	07/16/2013 11:21:37	edit		
Licensee, Test	07/16/2013 10:55:27	edit	Field	Old Value New Value
			provider	s:1 u:3
Licensee, Test	07/16/2013 10:54:05	add	Record Created	

- The name of the person who made the change, the date/time the change was made, the action performed (add, edit or delete) and a message (description) of what piece of information changed is displayed.

Attendance Details

- Credits that were entered from a provider feed (such as the state society) have the [attendance details](#) link to their left.
- Click the [attendance details](#) link to the left of the course name to view detailed information about the credit.

Course Details	Session Details	Agenda	Subjects	Review	Attachments	Notes	My Attendance
Audit Status:	Not Audited						
Title	State Rules and Regulations						
Number	07-1613B						
Program	Other Organizations' Programs						
Provider	Husky Accounting Education Group						
Source							
Version Description							
Revision Date	01/01/2010						
Objectives							
Course Content							
Difficulty Level	Basic						
Prerequisites							
Advanced Prep							
Administrative Policies							
Notes							
URL							

- The [Course Details](#) tab is the default view and displays basic credit identification information and the audit status of the credit (Not Audited, In Progress, Board Review, Passed or Failed).
 - Click on the provider name in [blue](#) to view provider details.

Provider Details

Name Husky Accounting Education Group
Address 123 River Rd
City Seattle
State Washington
Country USA
Zip/Postal Code 98105
Phone 4251234567
Fax
Email huskycpegrp@nomail.com
Url

Registrar **Number** **Delivery** **Start Date** **End Date**

- Click the different tabs to display additional information.
- The [Session Details](#) tab provides information about the delivery method, Location and date of the credit.
 - A provider may have multiple sessions of the same course, which is why the date and location information is displayed separately from the Course Details.

Course Details	Session Details	Agenda	Subjects	Review	Attachments	Notes	My Attendance
Session	1						
Delivery Mode	Group Internet-Based Live						
Facility							
City	Saint Louis						
State	Missouri						
Country	USA						
Start Date	06/01/2012						
End Date	06/01/2012						
Start Time							
End Time							
Time Zone	GMT						
Cost							

- The [Agenda](#) will not be utilized in this installation.
- The [Subjects](#) tab displays the subject area(s) and the maximum amount of CPE Credit available for the course.

Course Details	Session Details	Agenda	Subjects	Review	Attachments	Notes	My Attendance
Subject Area	CPE Credits						
Regulatory Ethics	4.00						

- The [Review](#) and [Attachments](#) tabs will not be utilized in this installation.
- The [Notes](#) tab displays any notes entered about the credit by an auditor, another board member or you.

Note	Author	Date
edit This is a test note.	Staff, Board	10/30/2012

Add Note

Add Note

- The [My Attendance](#) tab displays the amount of credit the licensee earned for the course.
 - This is the amount displayed on CPE Credits Reported for the licensee.

Subject	CPE Hours
Regulatory Ethics	4.00

Editing Credits

- Select the [CPE Credits Reported](#) tab
- OR
- Select [CPE Credits Reported](#) from the [Manage CPE Credits](#) tab.
- OR
- Select the course number in *blue* on the [Events](#) tab within the [Status](#) report.

From Date	01/01/2011	To Date	12/31/2014	Run Report						
Program	[All]			<input type="checkbox"/> Export Details	<input type="checkbox"/> Printable View					
Add New Credit Check CPE Status										
AICPA and State Society Programs										
	credit details	Course Number	Title	Start Date	End Date	Delivery Mode	Provider	Subject Areas	Reported	Attachment?
		02-0314B	Auditing Update 2014	01/31/2014	01/31/2014	Group Live	University of Tennessee Conferences	Auditing	8.00	No
									Total:	8.00
In-Firm Programs										
	credit details	Course Number	Title	Start Date	End Date	Delivery Mode	Provider	Subject Areas	Reported	Attachment?
		02-0314C	Time Management for Supervisors	02/01/2014	02/01/2014	Group Live	Buchanan, Raymer & Tongate, LLP	Personal Development	2.00	Yes
									Total:	2.00
Other Organizations' Programs										
	credit details	Course Number	Title	Start Date	End Date	Delivery Mode	Provider	Subject Areas	Reported	Attachment?
		02-0314D	Ethics for Accountants	12/01/2013	12/01/2013	Group Live	University of Tennessee Conferences	Regulatory Ethics	4.00	No
	attendance details	02-0514A	Tax Update 2014	01/15/2014	01/15/2014	Group Internet-Based Live	Tax Council Policy Institute	Tax	4.00	Reported by Provider
									Total:	8.00
Practice Review										
	credit details	Title	Start Date	End Date	Company	Subject Areas	Reported	Attachment?		
		System Review	12/01/2013	12/01/2013	Susan Young CPAs	Auditing	16.00	No		
									Total:	16.00
Self-Study										
	credit details	Course Number	Title	Start Date	End Date	Type of Self Study	Provider	Subject Areas	Reported	Attachment?
		02-0314A	Workplace Harassment	01/15/2014	01/15/2014	Non Interactive	Buchanan, Raymer & Tongate, LLP	Behavioral Ethics	4.00	Yes
									Total:	4.00

- Credits that were entered directly from a provider show the [attendance details](#) link to their left.
- When you click on the link, you see the information provided for the credit:

Course Details	Session Details	Agenda	Subjects	Review	Attachments	Notes	My Attendance
Audit Status:	<i>Not Audited</i>						
Title	Tennessee Accounting and Business Expo						
Number	834OWT						
Program	AICPA and State Society Programs						
Provider	<i>Tennessee Society of CPAs</i>						
Source							
Version Description							
Revision Date	01/01/2013						
Objectives							
Course Content							
Difficulty Level	Intermediate						
Prerequisites							
Advanced Prep							
Administrative Policies							
Notes							
URL							

- You can view details of the credit by clicking on the various tabs for the credit.
- If any of the information on these types of credit is incorrect, you or the licensee will need to contact the provider directly to have it changed.
- For CPE that the licensee entered, click the [credit details](#) link to the left of the course number to view detailed information about the credit.

Credit Details	Subject Areas	Attachments	Notes	Audit Log
edit edit program type delete add copy				
User	Missouri Test Misso			
Audit Status:	In Progress			
Program Name	AICPA and State Society Programs			
Course Number	10-0912A			
Title	Accounting Update 2012			
Description				
Start Date	01/15/2012			
End Date	01/15/2012			
City	Saint Louis			
Country	USA			
State Or Province	Missouri			
Delivery Mode	Group Live			
Provider	Tarheel CPE			

- A tabbed summary of the credit information is displayed.
- Click on each tab to view details of the credit.
- **Credit Details:** Displays the licensee's name, the audit status of the credit and general course identification information.
 - Click [edit](#) to change only the course identification information.
 - Click on the provider name in [blue](#) to view Provider Details (for information on editing provider details go to Manage CPE Providers on page **Error! Bookmark not defined.**).

Edit AICPA and State Society Programs Credit

Course Number	<input type="text" value="10-0912G"/>
Title*	<input type="text" value="Tax Update 2012"/>
Description <small>🗨</small>	<div style="border: 1px solid #ccc; height: 40px; width: 100%;"></div>
Start Date* <small>🗨</small>	<input type="text" value="11/25/2011"/>
End Date*	<input type="text" value="11/25/2011"/>
City	<input type="text" value="Sunnyside"/>
Country*	<input type="text" value="USA"/>
State Or Province*	<input type="text" value="Missouri"/>
Delivery Mode* <small>🗨</small>	<input type="text" value="Group Live"/>
Provider* <small>🗨</small>	<input type="text" value="AICPA"/> Add New Provider View Providers

[return](#)

- Make any changes to the text and selections displayed.
- Click **Update**.
- Click [edit program type](#) to change the type of credit.

Steps to Add Credit

- ➔ Credit Type
- Credit Information
- Subject Areas
- Attachments
- Credit Summary

Add New Credit

Step 1: Is this a Self-Study Course? If so, select Self-Study and click Save & Continue.

Self-Study

Step 2: If this is not a Self-Study course, select the type of program below and click Save & Continue. *Definitions for each are provided if you hover over the different categories.*

- AICPA and State Society Programs
- Authored Published Material
- Breakfast/Lunch/Dinner Meetings
- College and University Courses
- Committee Meetings
- Firm Meetings
- In-Firm Programs
- Instructed
- Other Organizations' Programs
- Practice Review
- Technical Meetings

- The information currently entered will appear in each step and can be edited.

- Click [delete](#) from the Credit Details tab to remove the course.

Delete Credit

Are you sure you want to delete this record?

- Click **Yes** to delete the course and all of its information.
- Click **No** to return to the previous screen.
- **Add Copy:** This allows you to copy the details of a course if you want to create a similar course and not have to re-type the information.
 - Click [add copy](#).
 - The system launches the Steps to Add Credit with all of the previously entered course information populated.
 - As you go through the Steps to Add Credit, make any necessary changes to the credit to create a new credit.

Credit Details	Subject Areas	Attachments	Notes	Audit Log
add				
Subject CPE Credits				
edit	delete	Auditing	4.00	
Total Credits 4				

- **Subject Areas:** The current subject areas selected and your respective CPE credit amounts are displayed.
 - Click [add](#) to add another subject area and credit amounts.
 - Click [edit](#) to change the amount of CPE credit that a subject area is worth.
 - Click [delete](#) to remove the subject area permanently.

Credit Details	Subject Areas	Attachments	Notes	Audit Log
----------------	---------------	--------------------	-------	-----------

Attachments

No Attachments
Attachments: 0

Attach file

Note: Acceptable documentation of CPE attendance varies by state. Please refer to you Board rules to review their documentation specifications.

File No file selected.

- **Attachments:** You can view any attached documents from this tab or attach documents to an existing course as described in Add New Credit.
 - Click the [download](#) link to view an existing attachment.
 - Click the [delete](#) link to permanently remove the attachment.
- **Add an Attachment:**
 - Select the type of document being attached from the Content Type drop down menu.
 - Click the Browse button to search your local computer drives for the desired document.
 - Once the document is selected, click **Attach**.
 - The document is listed under the Attachments box.

Credit Details | Subject Areas | Attachments | **Notes** | Audit Log

Notes

Note	Author	Date
edit Notes are added here!	ABOARD, USER	10/09/2013

Add Note

[Add Note](#)

- **Notes:** You can view any notes added to the course from this tab or add notes.
 - Type in any desired notes in the Add Note table.
 - Click **Add Note** to save the text.
 - Click the [edit](#) link beside an existing note to change its text.

Status Report

Once the licensee has added their credits, CPEtracking filters the courses through the jurisdiction rules to show how requested CPE credits will be applied by jurisdiction. The resulting information is called the Status Report.

- Locate the desired licensee account through the [Administration](#) menu and the [Manage Users](#) option.
 - Use the [view details](#) link.

The screenshot shows the 'Test Licensee' page for a user with email tllicensee@nasba.org. The 'Compliance Status' tab is highlighted. Below the tabs, there is a 'printer friendly view' link and a table with columns for Status, Jurisdiction Period, and Time Remaining. The table shows a status of 'Not Compliant' for Missouri from 01/01/2012 to 12/31/2014, with 10 months and 25 days remaining. A key below the table defines symbols: Pending Calculation (P), Missing Information (M), Not Compliant (X), Compliant (C), and Exempt (E).

- Click on the [Compliance Status](#) tab.
- Click on the jurisdiction name in [blue](#) to view the Status Report for the specific jurisdiction.

The screenshot displays the 'Test Licensee's Missouri Compliance for 01/01/2012 - 12/31/2014: Not Compliant' report. The report includes a 'Requirements' table, 'Totals by Program', and 'Totals by Subject Area'.

	Required	Earned	Short
Total Hours	20	22	98
Minimum Hours In Year 1 (2012)	20	9	20
Minimum Hours In Year 2 (2013)	20	4	16
Minimum Hours In Year 3 (2014)	20	18	2
Ethics	6	8	

Totals by Program	Totals by Subject Area
Total Hours: 22	Total Hours: 22
↳ ACPA and State Society Programs: 8	↳ Accounting & Auditing: 8
↳ In-Firm Programs: 2	↳ Non-Governmental: 8
↳ Other Organizations' Programs: 8	↳ Auditing: 8
↳ Self-Study: 4	↳ Ethics: 8
	↳ Behavioral Ethics: 4
	↳ Regulatory Ethics: 4
	↳ Personal Development: 2
	↳ Personal Development: 2
	↳ Tax: 4

- The jurisdiction name and current compliance status appear at the top left of the screen.

Printer Friendly View

- Click [CPE Status Report](#) to create an Adobe Acrobat document of the Summary, Events and Questions tabs that can be saved to your local computer drives or printed on a local printer.
- The report will include your requirements, Totals by Program, Totals by Subject Area and any information you provided to establish reporting periods for this jurisdiction.

Test Licensee - CPE Profile Report
Washington (1/01/2010 - 12/31/2012)

Test Licensee's Washington Compliance for 01/01/2010 - 12/31/2012

Last Update On: 07/19/2013 1:27:51 PM UTC
Audit Status: **Not Audited**

Licensing Information

License date: 01/01/2010
License number: 987456
Non-licensed Owner: No

Requirements	Required	Earned	Short
Total Hours	100	10	90
Ethics	4	0	4
Technical	96	10	86

Totals by Program	Total Hours
Total Hours	19
AICPA and State Society Programs	6
In-Firm Programs	4
Other Organizations' Programs	7
Self-Study	2

Totals by Subject Area	Total Hours
Total Hours	19
Non-Technical	4
Personal Development	4
Technical	15 [-4]
Accounting & Auditing	8
Non-Governmental	8
Accounting	2
Auditing	6
Ethics	0
Regulatory Ethics	0 [-4]
Tax	3

CPETracking - Copyright 2005 - 2012 NASBA. All rights reserved. Run Date/Time:07/19/2013 06:27:51 PM UTC

- A transcript of the Events tab comprises the second page of the report.

Test Licensee - CPE Profile Report
Washington (1/01/2010 - 12/31/2012)

Credits Earned

Number	Title	Date	Provider/Sponsor	National Registry #	Subject Area					Summary Total	
					Acc.	Audit	Personal Dev.	R. Ethics	Tax		Re-Class
AICPA and State Society Programs											
07-16130	Auditing	01/01/2011	CPE Warehouse	None	0	6	0	0	0	0	6
In-Firm Programs											
07-16136	Time Management for Supervisors	02/12/2012	Raymen, Thompson & Tongate, LLP	None	0	0	4	0	0	0	4
Other Organizations' Programs											
07-16138	State Rules and Regulations	02/15/2010	Isaly Accounting Education Group	None	0	0	0	0	4	0	4
07-16132	Tax Update 2010	03/15/2010	Washington State Society of CPAs	None	0	0	0	0	3	0	3
Self-Study											
07-16134	Accounting Update	01/15/2010	Washington State Society of CPAs	None	2	0	0	0	0	0	2
Total Hours:					2	6	4	0	3	4	30

CPETracking - Copyright 2005 - 2012 NASBA. All rights reserved. Run Date/Time:07/19/2013 06:27:51 PM UTC

- A listing of credits denied comprises the third page of the report, with the rule applied listed to its right.

Test Licensee - CPE Profile Report
Washington 01/01/2010 - 12/31/2012



3

Credits Denied & Explanations						
Number	Title	Date	Provider/ Sponsor	National Registry #	Subject	(Credits Denied) Reasons
Other Organizations' Programs						
07-1813A	Finance	06/15/2011	Highlander CPE Provider	None	Fin.	(4) CPE credit not accepted by this jurisdiction.

CPEtracking - Copyright 2005 - 2012 NASBA. All rights reserved. Run Date/Time: 07/18/2013 06:27:51 PM UTC

Change Status to Exempt: If the board has granted the licensee an exemption from CPE for a given reporting period, the status of the reporting period can be changed to “Exempt”.

Test Licensee's Missouri Compliance for 01/01/2012 - 12/31/2014: Not Compliant

[CPE Status Report](#)  [manage exemptions](#) 

[return](#)

Updated at: 02/05/2014 3:34:05 PM

- Click [manage exemptions](#) .

Manage Exemptions for Washington

Has the board given you an exemption from your CPE requirement for the period **01/01/2010** to **12/31/2012**?

- Click **Yes** to change the licensee’s reporting status to Exempt.
- Click **No** to return to the Status Report.
- The licensee’s Status for the current reporting period would be changed to Exempt and it will show **You Have No Requirements** on the Summary tab.

- It is recommended that notes and/or corresponding attachments be added by the Board staff user when an exemption is granted to create an audit trail of why the licensee was granted an exemption from CPE requirements for the given reporting period. The Notes and Attachments tabs are located across the top of the Compliance report for the licensee.

Test Licensee's Missouri Compliance for 01/01/2012 - 12/31/2014: An exemption has been granted for this period.

[CPE Status Report](#)  [manage exemptions](#) 

[return](#)

Updated at: 02/05/2014 3:36:52 PM

- Depending on your state's CPE rules, you may be able to exempt individual years within a reporting period and the exemption display will offer the choice of exempting the entire period CPE requirements or individual year's CPE requirements:

Manage Exemptions for

Has the board given you an exemption from your CPE requirement for any of the following dates?

Entire Cycle	Partial Cycle
01/01/2011 - 12/31/2013 <input type="checkbox"/> No	01/01/2011 - 12/31/2011 <input type="checkbox"/> No
	01/01/2012 - 12/31/2012 <input type="checkbox"/> No
	01/01/2013 - 12/31/2013 <input type="checkbox"/> No

- If an exemption is selected for the "Entire Cycle", then the period status would be changed to "An exemption has been granted for this period".
- If an exemption is selected for a year or years within the reporting period, the CPE requirements summary will be changed according to your state's rules for per year exemptions.

Home State Exemption:

Certain jurisdictions allow licensees to meet the CPE requirements of their state by virtue of having met the CPE requirements in their principal jurisdiction (PPB) or state of residence (SOR). The licensee indicates that they wish to use "home state exemption" (HSE) when they access the CPE tracking site, select the home state and add that jurisdiction to their profile.

The Audit Details report (see page 62) notes whether or not a licensee elected to use HSE and displays the state they selected as their "home state".

Change Principal Jurisdiction or State of Residence

Your licensees' Principal Jurisdiction (PPB) and State of Residence (SOR) are defaulted to your jurisdiction when the account is created.

If a licensee is claiming HSE, you will need to change the PPB or SOR so that the rules engine can evaluate whether or not the licensee is eligible for home state exemption in your state.

- Click the **Questions** tab in the status report.
- The current PPB and/or SOR are displayed.

Summary	Events	Questions	Attachments	Notes	Links & Information	Audit Log
Initial License Status <i>Active</i>						
License Status <i>Active</i>						
License Date <i>11/10/2010</i>						
License Number <i>321123</i>						
Principal Jurisdiction <i>Mississippi 11/25/1969</i>						
State Of Residence <i>Alabama 11/25/1969</i>						

- Select the current PPB or SOR by clicking on the current response in *blue*.

Please answer the following question

Where is your principal place of business located?

State: Effective Date:

Current Entries:

State	Effective Date
Mississippi	11/25/1969

- Select the desired state from the dropdown menu provided in the State field.
- Type in the effective date for this state being the PPB or SOR.
 - You may type in the start date for the reporting period being audited.
- Click the **Undo Changes** button to return all fields to their default state.
- Click the **Update** button to change the PPB or the SOR.
- Both the home state's and your jurisdiction's reporting periods will show a status of "Pending Calculation".
- Access the home state compliance reports first to recalculate those.
 - You can view another jurisdiction's status report for a licensee by selecting a different jurisdiction in the dropdown menu in the "Change Jurisdiction" field located at the top right of the screen.

Change Jurisdiction

Change Reporting Period

- Choose the most recently completed reporting period in the home state that corresponds to the reporting period in your state that is being audited from the “Change Reporting Period” table at the top right:

Change Reporting Period	
Not Compliant	01/01/2010 - 12/31/2012
Not Compliant	01/01/2008 - 12/31/2010
Compliant	01/01/2008 - 12/31/2008

- Return to the compliance report for your state.


In calculating compliance for your state, CPEtracking checks for compliance in the selected home state. If the licensee is compliant in the home state but not in your state, CPEtracking automatically applies “home state exemption” to the status report for your jurisdiction (the licensee’s status in your state will be marked “Compliant” because they are compliant in their “home state”).


When home state exemption has been applied, it will be reflected at the top left of the Status Report.

SCOTT ALAN GOFFSTEIN's Missouri Compliance for 01/01/2012 - 12/31/2014: OK

Using Home State Exemption In Massachusetts

[CPE Status Report](#) 

[manage exemptions](#) 

[manage home state exemption](#) 

[return](#)

Updated at: 02/06/2014 9:18:38 AM

You can turn this exemption off if you do not wish to use it.

- Click the [manage home state exemption](#) link.

Manage Home State Exemption

Would you like to use home state exemption to meet your CPE requirements in all state you are licensed in?

- Click the **Yes** button to leave this feature on.
- Click the **No** button to turn this feature off for all applicable jurisdictions.

Audit Status

- The *Audit Status* field indicates the reporting period’s state in the audit process.

Audit Status: Not Audited	Change Reporting Period	<ul style="list-style-type: none"> ✓ Exempt 01/01/2010 - 12/31/2012 ✗ Not Compliant 01/01/2008 - 12/31/2010 ✓ Compliant 01/01/2008 - 12/31/2008
Audit Status: <i>Board Review</i> ●	Change Reporting Period	<ul style="list-style-type: none"> ✗ Not Compliant 01/01/2012 - 12/31/2014 ✗ Not Compliant 01/01/2010 - 12/31/2012 ✗ Not Compliant 01/01/2008 - 12/31/2010 ✗ Not Compliant 01/01/2006 - 12/31/2008 ✗ Not Compliant 05/15/2004 - 12/31/2006
Audit Status: <i>In Progress</i> ●	Change Reporting Period	<ul style="list-style-type: none"> ✗ Not Compliant 01/01/2010 - 12/31/2012 ✗ Not Compliant 01/01/2008 - 12/31/2010 ✓ Compliant 01/01/2008 - 12/31/2008
Audit Status: <i>Failed</i> ●	Change Reporting Period	<ul style="list-style-type: none"> ✗ Not Compliant 01/01/2010 - 12/31/2012 ✗ Not Compliant 01/01/2008 - 12/31/2010 ✓ Compliant 01/01/2008 - 12/31/2008
Audit Status: <i>Passed</i> ●	Change Reporting Period	<ul style="list-style-type: none"> ✗ Not Compliant 01/01/2010 - 12/31/2012 ✗ Not Compliant 01/01/2008 - 12/31/2010 ✓ Compliant 01/01/2008 - 12/31/2008

- Looking at the **Audited?** Column:
 - If *Not Audited* is indicated, then the period has not been reviewed.
 - A **Blue** circle and *Board Review* indicates that the period has been reviewed, but there are outstanding issues that the Board is working on.
 - A **Yellow** circle and *In Progress* indicates that an audit of the period is in progress.
 - A **Red** circle and *Failed* indicates that the reporting period failed audit.
 - A **Green** circle and *Passed* indicates that the reporting period passed the audit.
- The reporting period(s) for the jurisdiction appear underneath the *Change Reporting Period* box.

Return: Click the [return](#) link to go back to the My Profile page.

Updated at: This field tells you the last time that the status report was updated. You can refresh the status report by clicking the [mm/dd/yyyy hh:mm AM/PM](#) link.

Change Reporting Period View: Allows you to view the licensee's information for a previous reporting period for this jurisdiction.

- Click on the reporting period date range in *blue* to view details for that reporting period.

Change Audit Status for the Reporting Period:

- Click on the text next to the **Audit Status** field.

Reporting Period Status Update

Not Audited Board Review In Progress Failed Passed

- Select the desired review status.
- Click the **Update** button to save the status change.
- Click **Cancel** to return to the Status Report.
- Begin auditing individual credits within the reporting period (see Events/Changing Audit Status on page 35).

Summary

- This is the default view when entering the Status report for a jurisdiction.
 - The requirements displayed will vary depending on the CPE requirements of the jurisdiction.

Summary
Events
Questions
Attachments
Notes
Links & Information
Audit Log

Requirements 🗨

	Required	Earned	Short
Total Hours	120	80	40
Minimum Hours In Year 1 (2010)	20	2	18
Minimum Hours In Year 2 (2011)	20	10	10
Minimum Hours In Year 3 (2012)	20	68	
Ethics In Year 1 (2010)	2	0	2
Ethics In Year 2 (2011)	2	4	
Ethics In Year 3 (2012)	2	4	

Totals by Program 🗨

Total Hours	80
↳ AICPA and State Society Programs	11
↳ Breakfast/Lunch/Dinner Meetings	7
↳ College and University Courses	45
↳ Committee Meetings	2
↳ Firm Meetings	3
↳ In-Firm Programs	8
↳ Self-Study	4

Totals by Subject Area 🗨

Total Hours	80
↳ Accounting & Auditing	49
↳ Governmental A&A	45
↳ Auditing (Governmental)	45
↳ Non-Governmental	4
↳ Accounting	4
↳ Consulting Services	8
↳ Administrative practice	8
↳ Ethics	8
↳ Behavioral Ethics	4
↳ Regulatory Ethics	4
↳ Management	2
↳ Finance	2
↳ Personal Development	3
↳ Communications	3
↳ Specialized Knowledge & Applications	7
↳ Computer Science	7
↳ Tax	3

- The Requirements box displays the jurisdiction's required hours, the licensee's earned hours and the amount of hours the licensee is short, if any, for each requirement.
- The Totals by Program box displays hours earned by the type of credits taken.
- The Totals by Subject Area box shows the number of hours earned by subject area (fields of study).

Events

- Click on the [Events](#) tab.

Credit Earned																		
AICPA and State Society Programs																		
Audited?	Attachment?	Number	Title	Date	Acct.	Adm. Prac.	Audit	B. Ethics	Bus. Mgmt.	Econ.	Fin.	Market.	Math	Person.	Prod.	R. Ethics	Stats	Tax
		11-161Z	Business Statistics and Algebra	04/10/2011									2 (2.00)				2 (2.00)	
Yes		10-1112R	Accounting Update 2012	02/15/2012	4 (4.00)													
		10-3112C	Tax Update 2012	10/30/2012									2				2	3 (3.00)
					4	0	0	0	0	0	0	0	2	0	0	0	2	3
Authorized Published Material																		
Audited?	Attachment?	Number	Title	Date	Acct.	Adm. Prac.	Audit	B. Ethics	Bus. Mgmt.	Econ.	Fin.	Market.	Math	Person.	Prod.	R. Ethics	Stats	Tax
Yes		10-3112J	Personnel/HR	08/01/2012										10 (10.00)				
					0	0	0	0	0	0	0	0	0	10	0	0	0	0
Breakfast/Lunch/Dinner Meetings																		
Audited?	Attachment?	Number	Title	Date	Acct.	Adm. Prac.	Audit	B. Ethics	Bus. Mgmt.	Econ.	Fin.	Market.	Math	Person.	Prod.	R. Ethics	Stats	Tax
No		10-1912B	Accounting Update 2012	01/15/2012			2 (2.00)											
					0	0	2	0	0	0	0	0	0	0	0	0	0	0
College and University Courses																		
Audited?	Attachment?	Number	Title	Date	Acct.	Adm. Prac.	Audit	B. Ethics	Bus. Mgmt.	Econ.	Fin.	Market.	Math	Person.	Prod.	R. Ethics	Stats	Tax
No		10-3112E	Behavioral Ethics	02/01/2012						30 (2.00)	30 (2.00)							
					0	0	0	0	0	30	30	0	0	0	0	0	0	0
Committee Meetings																		
Audited?	Attachment?	Number	Title	Date	Acct.	Adm. Prac.	Audit	B. Ethics	Bus. Mgmt.	Econ.	Fin.	Market.	Math	Person.	Prod.	R. Ethics	Stats	Tax
Yes		11-161D	Practice Management Standards	01/15/2010			0 (2.00)											
					0	0	0	0	0	0	0	0	0	0	0	0	0	0
Firm Meetings																		
Audited?	Attachment?	Number	Title	Date	Acct.	Adm. Prac.	Audit	B. Ethics	Bus. Mgmt.	Econ.	Fin.	Market.	Math	Person.	Prod.	R. Ethics	Stats	Tax
Yes		11-161E	Recordkeeping Essentials	03/31/2010					2 (2.00)									
					0	0	0	0	2	0	0	0	0	0	0	0	0	0
In-Firm Programs																		
Audited?	Attachment?	Number	Title	Date	Acct.	Adm. Prac.	Audit	B. Ethics	Bus. Mgmt.	Econ.	Fin.	Market.	Math	Person.	Prod.	R. Ethics	Stats	Tax
Yes		11-161F	Production	11/16/2011											8 (8.00)			
					0	0	0	0	0	0	0	0	0	0	8	8	0	0
Instructed																		
Audited?	Attachment?	Number	Title	Date	Acct.	Adm. Prac.	Audit	B. Ethics	Bus. Mgmt.	Econ.	Fin.	Market.	Math	Person.	Prod.	R. Ethics	Stats	Tax
Yes		10-2512C	Taxation	05/25/2011														9 (3.00)
					0	0	0	0	0	0	0	0	0	0	0	0	0	9

- The courses taken during the reporting period are displayed by credit type and in ascending date order within the credit type.
- The CPE hours for each credit are listed to the right of the credit date and underneath the subject area(s) for the credit.
- The credits requested appear in parentheses (this is the amount that were entered when the credit was created).
- The credits to the left of the parentheses are what were actually earned based on the jurisdiction's rules.
- The Audited column displays whether or not a credit has been evaluated and the results of the audit of the credit.

Looking at the **Audited?** Column:

- If no status is indicated (it is blank), then the credit has not been reviewed.
 - A **Blue** circle indicates that the results of the credit's audit are under review.
 - A **Yellow** circle indicates that an audit of the credit is in progress.
 - A **Red** circle indicates that the credit failed an audit and is not granted credit toward requirements.
 - A **Green** circle indicates that the credit passed an audit.
- The **Attachments?** Column indicates whether or not a file is attached to the credit.
 - "Yes" indicates that there is an attachment for the credit.
 - "No" indicates that there are no files attached to the credit.
 - "Reported by Provider" indicates that the credits were fed in from a provider.
 - You can click on the course **Number** in blue to view credit details (see page 22) or attendance details (see page 25).

Detail about Rules Applied to Requested Credit: Allows you to see what rule was applied to calculate the amount of credit earned (or if zero credit was granted, it shows the limitation rule that applied).

- Click on the CPE hours requested/granted (the mouse pointer changes to a hand tool).

College and University Courses																		
Audited?	Attachment?	Number	Title	Date	Acct.	Adm. Prac.	Audit	B. Ethics	Bus. Mgmt.	Econ.	Fin.	Market.	Math	Person.	Prod.	R. Ethics	Stats	Tax
	No	10-3112E	Behavioral Ethics	02/01/2012						30 (2.00)	30 (2.00)							
<div style="border: 1px solid black; padding: 5px;"> <p>Current Rules in Use close</p> <p>Date: 01/15/2010 Acct.: 0 (2.00) Adm. Prac.: 0 Audit: 0 B. Ethics: 0 Bus. Mgmt.: 0 Econ.: 0 Fin.: 0 Market.: 0 Math: 0 Person.: 0 Prod.: 0 R. Ethics: 0 Stats: 0 Tax: 0</p> <p>Program conversion rule: 0 Must have certificate of completion with credits earned.</p> </div>																		
Committee																		
Audited?	Attachment?	Number	Title	Date	Acct.	Adm. Prac.	Audit	B. Ethics	Bus. Mgmt.	Econ.	Fin.	Market.	Math	Person.	Prod.	R. Ethics	Stats	Tax
	Yes	11-1612E	Practice Management Standards	03/31/2010					2 (2.00)									
Firm Meeting																		
Audited?	Attachment?	Number	Title	Date	Acct.	Adm. Prac.	Audit	B. Ethics	Bus. Mgmt.	Econ.	Fin.	Market.	Math	Person.	Prod.	R. Ethics	Stats	Tax
	Yes	11-1612F	Recordkeeping Essentials	11/16/2011											8 (8.00)			
In-Firm Programs																		
Audited?	Attachment?	Number	Title	Date	Acct.	Adm. Prac.	Audit	B. Ethics	Bus. Mgmt.	Econ.	Fin.	Market.	Math	Person.	Prod.	R. Ethics	Stats	Tax
	Yes	11-1612F	Production	05/25/2011														9 (3.00)
Instructed																		
Audited?	Attachment?	Number	Title	Date	Acct.	Adm. Prac.	Audit	B. Ethics	Bus. Mgmt.	Econ.	Fin.	Market.	Math	Person.	Prod.	R. Ethics	Stats	Tax
	Yes	10-2512C	Taxation	05/25/2011														9 (3.00)
Other Organizations' Programs																		
Audited?	Attachment?	Number	Title	Date	Acct.	Adm. Prac.	Audit	B. Ethics	Bus. Mgmt.	Econ.	Fin.	Market.	Math	Person.	Prod.	R. Ethics	Stats	Tax
	Yes	11-1612H	Ethics in the Workplace	05/22/2010												2 (2.00)		
	Yes	11-1612A	Ethics in the Workplace	01/15/2011				2 (2.00)								2 (2.00)		
	Yes	11-1612G	Ethics in the Workplace	02/10/2011												2 (2.00)		
								2								6		
Practice Review																		
Audited?	Attachment?	Number	Title	Date	Acct.	Adm. Prac.	Audit	B. Ethics	Bus. Mgmt.	Econ.	Fin.	Market.	Math	Person.	Prod.	R. Ethics	Stats	Tax
	No	[No Number]	System Review	10/15/2012				0 (16.00)										
Self-Study																		
Audited?	Attachment?	Number	Title	Date	Acct.	Adm. Prac.	Audit	B. Ethics	Bus. Mgmt.	Econ.	Fin.	Market.	Math	Person.	Prod.	R. Ethics	Stats	Tax
	Yes	11-1612B	Marketing Your Firm	06/15/2012								2 (2.00)						
Technical Meetings																		
Audited?	Attachment?	Number	Title	Date	Acct.	Adm. Prac.	Audit	B. Ethics	Bus. Mgmt.	Econ.	Fin.	Market.	Math	Person.	Prod.	R. Ethics	Stats	Tax
	Yes	11-1612C	Advanced Applied Accounting Principles	09/01/2012				0 (4.00)										

[] indicate credits applied toward another category
 *CPE credits granted appear in the Subject Area column
 *CPE credits requested appear in parenthesis
 *CPE credits highlighted in red indicate that the board has granted an exception to allow credits that would usually be denied by rule

↔ Credits are available for carry forward/back
 ↔ A portion of credits have been used for carry forward/back
 ↔ All credits have been used for carry forward/back

In this example, no credit was granted for course 11-1812C “Advanced Applied Accounting Principles.” The Rules dialog box lets you know that this type of credit must have a certificate of completion with credits earned.

- A Rules dialog box opens regarding that particular credit.
- Click the *close* link to return to the Events tab.

Marking Credit Audit Status: The default status for credit entered is Not Audited.

- View the current audit status of a credit by clicking either the [attendance details](#) or the [credit details](#) links.

Credit Details	Subject Areas	Attachments	Notes	Audit Log
edit edit program type delete add copy				
User	Missouri Test Misso			
Audit Status:	Not Audited			
Program Name	AICPA and State Society Programs			
Course Number	10-0912G			
Title	Tax Update 2012			
Description				
Start Date	11/25/2011			
End Date	11/25/2011			
City	Sunnyside			
Country	USA			
State Or Province	Missouri			
Delivery Mode	Group Live			
Provider	AICPA			

- Click the current audit status in **blue** listed in the Audit Status field.

Credit Audit Status Update

Not Audited
 Board Review
 In Progress
 Failed
 Passed

- **Board Review** indicates that you have reviewed the credit but are awaiting information before making a determination about the credit.
 - **In Progress** indicates that you have begun reviewing the credit and any associated documentation.
 - **Failed** indicates that the credit's details and documentation have been reviewed and it does not meet the state's criteria for qualifying CPE. **NOTE: The course will be denied credit toward any CPE requirements.**
 - **Passed** indicates that the credit's details and documentation have been reviewed and it meets the state's criteria for qualifying CPE.
 - **NOTE:** Licensees cannot edit credits in Board Review, Failed or Passed status.
- Select the desired audit status.
 - Click **Update** to save the new status OR
 - Click **Cancel** to return to the attendance or credit details screen.

Credit Details	Subject Areas	Attachments	Notes	Audit Log
edit edit program type delete add copy				
User	Missouri Test Misso			
Audit Status:	In Progress			
Program Name	AICPA and State Society Programs			
Course Number	10-0912G			
Title	Tax Update 2012			
Description				
Start Date	11/25/2011			
End Date	11/25/2011			
City	Sunnyside			
Country	USA			
State Or Province	Missouri			
Delivery Mode	Group Live			
Provider	AICPA			

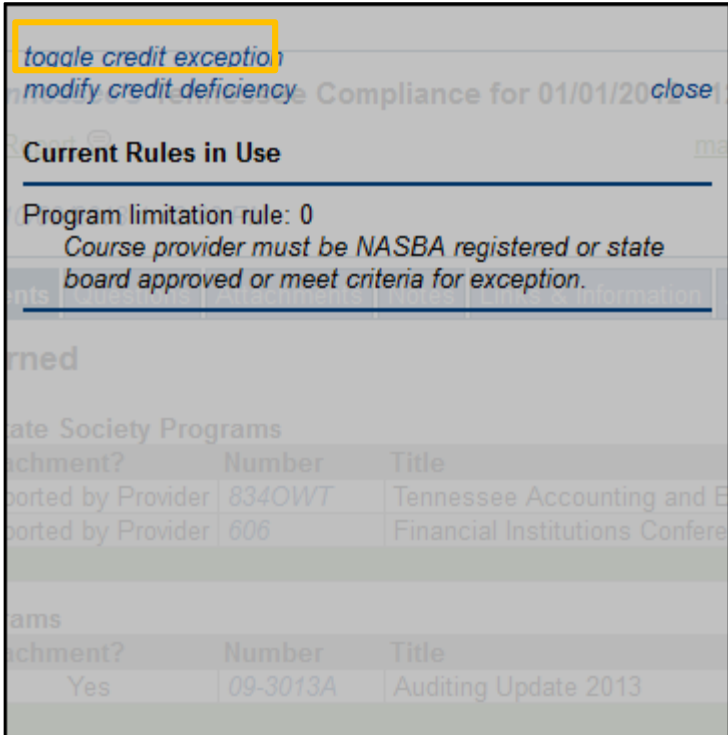
Exceptions

This functionality allows Board audit staff to override a limitation rule (program type, subject area or provider limitation) to allow all credits for a subject area to be granted credit that would normally be denied by rule. The action is performed per subject area of a course.

- Click on the CPE hours requested/granted (the mouse pointer changes to a hand tool) where credit has been denied or limited.

Summary	Events	Questions	Attachments	Notes	Links & Information	Audit Log
Credits Earned						
Number	Title	Date	Acct.	Audit	Bus. Mgmt.	Com
AICPA and State Society Programs						
08-0112C	Firm Meeting	05/15/2010	1 (1.00)			
08-0912A	Auditing	08/15/2011	0 (0.50)	0 (0.50)		
			1	0	0	0
Authored Published Material						
08-2012B	APM	05/15/2011	10 (11.00)	0 (6.00)		
08-2112A	APM	05/15/2012				
			10	0	0	0
College and University Courses						
08-2012J	Tax	06/30/2012				
			0	0	0	0
Committee Meetings						
08-2012F	Committee Meeting	05/15/2010	0 (13.00)			
			0	0	0	0
In-Firm Programs						
08-0912B	Mostly Marketing	05/02/2010			4.75 (4.75)	
			0	0	4.75	
Instructed						
08-1112B	Introduction to Auditing	04/15/2011		6 (6.00)		

- The Rules Dialog box opens with the toggle credit exception link at the top left of the box.



- Click the link.
- The Events tab is displayed and the limited credit is now given full credit and is highlighted in red.

Summary	Events	Questions	Attachments	Notes	Links & Information	Audit Log
Credits Earned						
Number	Title	Date	Acct.	Audit		
AICPA and State Society Programs						
08-0112C	Firm Meeting	05/15/2010	1 (1.00)			
08-0912A	Auditing	08/15/2011	0.50 (0.50)	0 (0.50)		
			1.5	0		

- Click on the course Number link.
- Click on the Notes tab for the course and state who approved the exception.
- Click on the Attachments tab and attach documentation to support the exception.
- You can run the Credit Limitation Exception Report (page 65) to review all exceptions performed in your site.

Carry Forward/Carry Back

Certain jurisdictions allow credits to be carried to other reporting periods to resolve deficiencies.

- CPE hours that are eligible for carry forward or carry back are noted with a clear green triangle to the left.

Summary	Events	Questions	Attachments (1)	Notes (2)	Links & Information	Audit Log					
Carried Credits											
Type	Comp. Sci. R. Ethics										
Carried Backward Out											
12/31/2010	4					4					
Total:	4					4					
Credits Earned											
Audited?	Attachment?	Number	Title	Date	Acct.	Adm. Prac. Audit (Govt.)	B. Ethics	Comm. Arts	Comp. Sci.	Fin.	R. Ethics
AICPA and State Society Programs											
	Reported by Provider	◀ 10-0912F	Missouri Rules and Regulations	12/31/2010							4 (4)
●	Yes	10-0912A	Accounting Update 2012	01/15/2012	◀ 3 (3.00)						
●	Reported by Provider	10-0912F	Missouri Rules and Regulations	06/01/2012							◀ 0 (4.00)
					3	0	0	0	0	0	4
Breakfast/Lunch/Dinner Meetings											
	No	◀ 10-1212A	Excel 2012 Updates	12/31/2010							◀ 4 (4)
●	No	10-1212A	Excel 2012 Updates	10/01/2012							◀ 3 (7.00)
					0	0	0	0	0	0	0
College and University Courses											
●	Yes	10-0912B	Governmental Accounting Basics	05/22/2012		◀ 45 (3.00)					
					0	0	45	0	0	0	0
Committee Meetings											
●	Yes	10-1212B	Finance Committee Quarterly Meeting	09/30/2010							◀ 2 (2.00)
					0	0	0	0	0	0	2
Firm Meetings											
●	Yes	10-1212C	Dealing with Difficult People	12/15/2011							◀ 3 (3.00)
					0	0	0	0	0	3	0
In-Firm Programs											
●	Yes	10-0912C	Practice Management Standards	03/01/2012		◀ 8 (8.00)					
					0	8	0	0	0	0	0
Instructed											
●	Yes	10-2912A	Economic Trends	05/15/2012	◀ 55 (45.00)						
					55	0	0	0	0	0	0
Self-Study											
●	Yes	10-0912D	Ethics in the Workplace	04/15/2011							◀ 4 (4.00)
●	Yes	10-1012A	Ethics and Compliance Training - Mission Integrity	06/01/2012							0 (2.00)
●	Yes	10-2412A	Workplace Harassment	06/22/2012							◀ 4 (4.00)
					0	0	0	0	8	0	0

[] indicate credits applied toward another category.
 *CPE credits granted appear in the Subject Area column
 *CPE credits requested appear in parenthesis
 *CPE credits highlighted in red indicate that the board has granted an exception to allow credits that would usually be denied by rule

◀ Credits are available for carry forward/back
 ▶ A portion of credits have been used for carry forward/back
 ▶ All credits have been used for carry forward/back

- A solid green triangle beside CPE hours indicates that a portion of the hours have been used for carry forward/back.
- A solid black triangle beside CPE hours indicates that the total of the credit hours have been used for carry forward/back.
- The direction of the triangle indicates whether the credits are eligible for carry forward (to next reporting period) or carry back (to previous reporting period).
 - Directed to the right signifies “carry forward”.
 - Directed to the left signifies “carry back”
- The amount of credit carried out will appear at the top of the Events tab display in the reporting period they were carried from.
- The courses will appear on the events tab of the reporting period they were transferred to with a black triangle next to the course number.

Summary	Events	Questions	Attachments (1)	Notes (2)	Links & Information	Audit Log					
Carried Credits											
Type	Comp. Sci. R. Ethics										
Carried Backward Out	12/31/2010 4 4										
Total:	4 4										
Credits Earned											
Audited?	Attachment?	Number	Title	Date	Acct.	Adm. Prac. Audit (Govt.)	B. Ethics	Comm. Arts	Comp. Sci.	Fin.	R. Ethics
AICPA and State Society Programs											
	Reported by Provider	10-0912F	Missouri Rules and Regulations	12/31/2010							4 (4)
	Yes	10-0912A	Accounting Update 2012	01/15/2012	3 (3.00)						
	Reported by Provider	10-0912F	Missouri Rules and Regulations	06/01/2012							0 (4.00)
					3	0	0	0	0	0	4
Breakfast/Lunch/Summer Meeting											
	No	10-1212A	Excel 2012 Updates	12/31/2010					4 (4)		
	No	10-1212A	Excel 2012 Updates	10/01/2012				3 (7.00)			
					0	0	0	0	7	0	0
College and University Courses											
	Yes	10-0912B	Governmental Accounting Basics	05/22/2012		45 (3.00)					
					0	0	45	0	0	0	0
Committee Meetings											
	Yes	10-1212B	Finance Committee Quarterly Meeting	09/30/2010						2 (2.00)	
					0	0	0	0	0	2	0
Firm Meetings											
	Yes	10-1212C	Dealing with Difficult People	12/15/2011					3 (3.00)		
					0	0	0	0	3	0	0
In-Firm Programs											
	Yes	10-0912C	Practice Management Standards	03/01/2012		8 (8.00)					
					0	8	0	0	0	0	0
Instructed											
	Yes	10-2912A	Economic Trends	05/15/2012	55 (45.00)						
					55	0	0	0	0	0	0
Self-Study											
	Yes	10-0912D	Ethics in the Workplace	04/15/2011				4 (4.00)			
	Yes	10-1012A	Ethics and Compliance Training - Mission Integrity	06/01/2012							0 (2.00)
	Yes	10-2412A	Workplace Harassment	06/22/2012				4 (4.00)			
					0	0	0	8	0	0	0
<p>[] indicate credits applied toward another category. *CPE credits granted appear in the Subject Area column *CPE credits requested appear in parenthesis *CPE credits highlighted in red indicate that the board has granted an exception to allow credits that would usually be denied by rule</p> <p>◀ Credits are available for carry forward/back ▶ A portion of credits have been used for carry forward/back ◀▶ All credits have been used for carry forward/back</p>											

Credit Deficiency Adjustment

As a Board Staff member, you can use credits in one reporting period to meet a credit shortage in a previous reporting period. This works as an exception to any existing Board carry back rules.

- On the Events tab, move the mouse pointer to the cell of the credit that you wish to move.
- Click on the credit cell.

[toggle credit exception](#)
[modify credit deficiency](#) Compliance for 01/01/2009 close **12/31/2010: Not Compliant**

[CPE Profile](#)
[return](#)
 Updated at:

Current Rules in Use
 Used 2 of 2 hours toward total year 3 requirement

[manage exemptions](#)
[manage alerts](#)

Summary | **Events** | Questions | Attachments | Notes | Links & Information | Audit Log

Credits Earned

Committee Meetings

Audited?	Attachment?	Number	Title	Date	Acct.	Adm. Prac.	Bus. Mgmt.	R. Ethics
	Yes	11-1612D	Practice Management Standards	01/15/2010		2 (2.00)	0	0

Firm Meeting

Audited?	Attachment?	Number	Title	Date	Acct.	Adm. Prac.	Bus. Mgmt.	R. Ethics
	Yes	11-1612E	Recordkeeping Essentials	03/31/2010		0	2 (2.00)	0

Other Organizations Programs

Audited?	Attachment?	Number	Title	Date	Acct.	Adm. Prac.	Bus. Mgmt.	R. Ethics
	No	123456	MO DE862a	01/01/2009	4 (4.00)			
	Yes	11-1612G	Ethics in the Workplace	12/31/2009				0 [2] (2)
	Yes	11-1612A	Ethics in the Workplace	12/31/2009				0 [1] (1)
	Yes	11-1612H	Ethics in the Workplace	05/22/2010				0 (2.00)
					4	0	0	0

[] indicate credits applied toward another category.
 *CPE credits granted appear in the Subject Area column
 *CPE credits requested appear in parenthesis
 *CPE credits highlighted in red indicate that the board has granted an exception to allow credits that would usually be denied by rule

<> Credits are available for carry forward/back
 <> A portion of credits have been used for carry forward/back
 <> All credits have been used for carry forward/back
 <> A portion of the credits or all of the credits have been transferred to a prior year or reporting period.
 <> Credits transferred into the CPE reporting cycle using the Credit Deficiency feature.

- Click the *modify credit deficiency* link.

Adjusted Deficiencies	
Title	Practice Management Standards
Date	01/15/2010
Subject	Administrative practice
Credits Adjusted	0 hours to 01/01/2006
	0 hours to 12/31/2006
	0 hours to 12/31/2007
	0 hours to 01/01/2008
	0 hours to 12/31/2008
	0 hours to 12/31/2009
	0 hours to 01/01/2010
<input type="button" value="Undo Changes"/> <input type="button" value="Submit"/>	

- The dialog displays the end date of reporting year within a period that is missing credit.
- Select the amount of credit to be moved from the dropdown provided next to the desired destination date.
- Click the **Undo Changes** button to return all fields to their default state.
- Click the **Submit** button to move credits.
- A warning message is displayed in both the period credits were carried from and the period credits were carried to:


Period carried from:

Missouri Test Misso's Missouri Compliance for 01/01/2008 - 12/31/2010: Not Compliant
Credits have been transferred from this report using the Credit Deficiency feature.


Period carried to:

Missouri Test Misso's Missouri Compliance for 01/01/2006 - 12/31/2008: Not Compliant
This report contains transferred credits using the Credit Deficiency feature.

- On the Events table where credits were moved out, a symbol is displayed next to the credits moved to indicate that its credits were moved out.

11-1612D	Practice Management Standards	01/15/2010	0 (2.00) 
----------	-------------------------------	------------	--

- On the Events table where credits were moved in, a symbol is displayed next to the credits moved to indicate that the credits were moved in.

11-1612D	Practice Management Standards	12/31/2009	2 (2) 
----------	-------------------------------	------------	---

Questions

Allows you to view the questions about the licensee's account with regard to the jurisdiction that are used to establish reporting periods and requirements.

- Click on the [Questions](#) tab.

The screenshot shows a navigation bar with tabs: Summary, Events, Questions (highlighted), Attachments, Notes, Links & Information, and Audit Log. Below the tabs, the following information is displayed:

Initial License Status	Active
License Status	Active
License Date	11/10/2010
License Number	321123
Principal Jurisdiction	Mississippi 11/25/1969
State Of Residence	Alabama 11/25/1969

Attachments

This tab allows you to view attached documents or attach additional documents to the reporting period (certificates of completion, exemption letter from board, etc.).

If attachments already exist for the reporting period, the number of attachments will appear in parentheses on the Attachments tab.

- Click the [Attachments](#) tab.

The screenshot shows the Attachments tab selected in the navigation bar, which now displays "(1)". The main content area is titled "Attachments" and contains a table with the following data:

	Name	Attached By	Date
download delete	11755 UAT.docx	Tongate, Amy	03/25/2014

Below the table, it says "Attachments: 1".

Below the table is an "Attach file" section with a note: "Note: Attach any relevant documentation or correspondence for the reporting period here." It includes a "File" label, a "Browse..." button, and the text "No file selected." At the bottom of this section are "Reset" and "Attach" buttons.

- Click [download](#) to view an attached document.
- Click [delete](#) to remove an attached document.
- **Add an Attachment:**

- Select the type of document being attached from the Content Type drop down menu.
- Click the Browse button to search your local computer drives for the desired document.
- Once the document is selected, click **Attach**.
- The document is listed under the Attachments box.
-

Notes

Allows you to view comments entered or to create a new note.

If notes have been added to the reporting period, the number of notes appears in parentheses on the Notes tab.

- Click the [Notes](#) tab.
- Click the [edit](#) link beside an existing note to change its text.

The screenshot shows a software interface with several tabs: Summary, Events, Questions, Attachments (1), **Notes (1)**, Links & Information, and Audit Log. The 'Notes (1)' tab is active and highlighted with a yellow box. Below the tabs is a section titled 'Notes' containing a table with the following data:

Note	Author	Date
edit I am changing an added test note.	Board, Test	07/17/2013

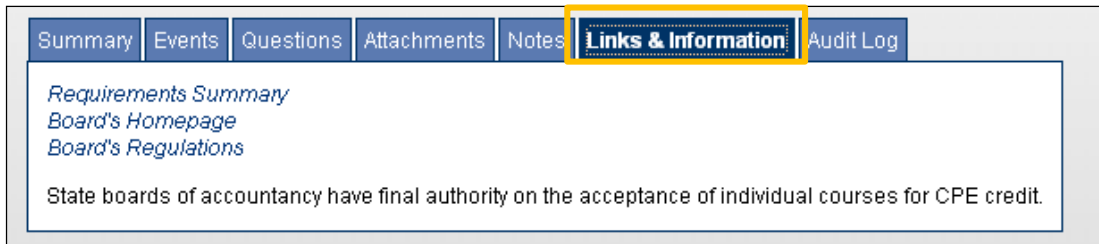
Below the table is an 'Add Note' section with a large text input area and an 'Add Note' button at the bottom.

- Type in any desired notes in the Add Note table.
 - Click **Add Note** to save the text.

Links & Information

Provides a summary of the jurisdiction's CPE requirements, a link to the Board of Accountancy webpage for the jurisdiction and a link to the specific rules and regulations for the jurisdiction.

- Click on the [Links & Information](#) tab.



The screenshot shows a navigation menu with the following tabs: Summary, Events, Questions, Attachments, Notes, **Links & Information** (highlighted with a yellow border), and Audit Log. Below the menu, the content area displays the following text:

Requirements Summary
Board's Homepage
Board's Regulations

State boards of accountancy have final authority on the acceptance of individual courses for CPE credit.

Requirements Summary

- Click [Requirements Summary](#).
 - The CPE requirements summary for your jurisdiction is displayed in a separate window. For example:

Requirements Summary for

License Renewal:

- **Date** - 4/30
- **Type** - Triennially

CPE Reporting Period:

- **Dates** - 1/1 to 12/31
- **Type** - Triennial Fixed

Initial Period Requirements:

License date through two years to 12/31

Requirement	Hours
Total	120
Technical	96
Ethics	4

- *Non-CPA Owners are only required to earn 4 hours of ethics in each reporting period.*

Renewal Period Requirements:

Requirement	Hours
Total	120
Technical	96
Ethics	4

- *Non-CPA Owners are only required to earn 4 hours of ethics in each reporting period.*

Ethics Requirement:

- Four (4) hours over three years
- Must be board approved
- Click [here](#) for a list of approved courses.

Program Type Limitations:

- **Authored/Published Material:** Limited to 30 hours total
- **Committee Meeting:** Must meet board standards for CPE
- **Instructed:** Limited to 72 hours total. Repeat instruction not allowed unless the material is substantially different.
- **Peer Review:** Limited to 64 hours per year
- **Self Study:** Non-interactive delivery method receives half credit

Subject Area Limitations:

- Click [close Window](#) to return to the [Links & Information](#) tab.

Board's Homepage

- Click [Board's Homepage](#).
- Your internet browser will launch and go directly to the Board's homepage for the jurisdiction. For example:

The screenshot shows the homepage of the Tennessee Department of Commerce and Insurance (TDCI) for the Board of Accountancy. The header includes the TDCI logo, the text "Department Of Commerce And Insurance" with "Julie Mix McPeak, Commissioner" below it, and a photo of Governor Bill Haslam with the text "GOVERNOR BILL HASLAM Visit Bill's Web Site". A search bar is located in the top right corner.

The main content area is titled "BOARD OF ACCOUNTANCY" and is divided into several sections:

- Quick Links:** A list of links including "Frequently Asked Questions", "Contact Information", "Members", "Public Meeting Calendars", "Public Meeting Agenda and Minutes", "Forms and Downloads", "Reports and Data", and "Speaker Request".
- News And Information:** Contains two yellow highlighted boxes. The first is titled "Is Your License Suspended?" and provides information about license suspension due to delinquent student loan payments or child support, with a link to learn more. The second is titled "Notification Options Are Now Available!" and lists various notification options like "New or Amended Statutes", "Changes to Fees", and "Significant Changes Impacting Your License", with a link to sign up.
- Director:** Features a portrait of Mark H. Crocker, CPA, CGMA, Executive Director.
- Contact Info:** Provides the mailing address (State Board of Accountancy, 500 James Robertson Pkwy, Nashville, TN 37243-1141) and telephone numbers (615-741-2550, Toll Free: 888-453-6150, Fax: 615-532-8800).

The left sidebar contains a navigation menu with categories such as "Commerce (TDCI)", "Insurance", "Athletic Commission", "Consumer Affairs", "Corrections Institute", "Emergency Comm. (E911)", "Fire Prevention", "Law Enforcement Training", "Regulatory Boards", "Securities", "TennCare Oversight", "Small Business Advocate", "Public Meetings", "Verify a License", "Renew a License", "Downloadable Reports", "Disciplinary Actions", and "Other Tools".

The right sidebar includes social media links (YouTube, Twitter, Facebook, RSS), "JOIN US" section, "FEATURED SITES" (Athletic Commission, Scrap Metals Registration Program, Contractors/Home Improvement), "AGENCY SERVICES" (Online Data and Tools, Request a Speaker, File a Complaint, Public Meetings), and "TN.GOV SERVICES" (Renew Driver License, Renew Health License, Renew Professional Non-health License, Reserve at State Parks, More »).

Board's Regulations

- Click [Board's Regulations](#).
- Your internet browser will launch and go directly to the Board's rules and regulations page. For example:

Missouri Division of
Professional Registration

John M. Huff, DIFP Director
Jane A. Rackers, Director

[Home](#) | [Boards](#) | [Professions](#) | [Online Services](#)

Board of Accountancy

Sub Navigation

- [Accountancy Home](#)
- [About the Board](#)
- [Board Membership](#)
- [CPA Examination](#)
- [CPE Courses](#)
- [CPE Information & Standards](#)
- [CPE Provider Registry](#)
- [Exam Passing List](#)
- [Fees](#)
- [Forms](#)
- [Licensee Search](#)
- [Meeting Information](#)
- [Mission Statement](#)
- [Newsletters](#)
- [ONLINE Address Change](#)
- [Related Links](#)
- [Rules & Regulations](#)
- [Staff](#)
- [Statutes](#)

Advisory Opinions


An applicant seeking renewal of a license shall have completed no less than one hundred twenty (120) hours of continuing professional education during the three (3)-year period preceding renewal.

An applicant seeking reinstatement of a license shall provide documentation (certificates) as evidence that you have completed forty (40) hours of continuing education during the twelve (12) months previous to this application, or you may provide a statement on your application, that you will obtain forty (40) hours of continuing education within sixty (60) days of application. (Continuing professional education taken within sixty (60) days before or after applying for reinstatement may be used to meet the requirement for the first year of licensure.)

Effective January 1, 2004, a minimum of twenty (20) hours of continuing professional education (CPE) is required in each calendar year, of which a minimum of two (2) hours of the required twenty (20) hours shall be in the area of **ethics**.

Additionally, an applicant seeking renewal or reinstatement of a license shall demonstrate participation in a program of learning meeting the standards set forth in the Statement on Standards for Continuing Professional Education (CPE) Programs jointly approved by National Association of State Boards of Accountancy (NASBA) and American Institute of Certified Public Accountants (AICPA).

[CPE Rules - Full Context of 4 CSR 2010](#)
[CPE Statement on Standards](#)

 **Get Accountancy News**

Board of Accountancy
3605 Missouri Boulevard
P.O. Box 613
Jefferson City, MO 65102-0613
573.751.0012 Telephone
573.751.0890 Fax
800.735.2966 TTY
800.735.2466 Voice Relay
mosba@pr.mo.gov

Audit Log

This tab within the status report tracks changes made within a jurisdiction in regard to answers to the reporting period and jurisdiction questions.

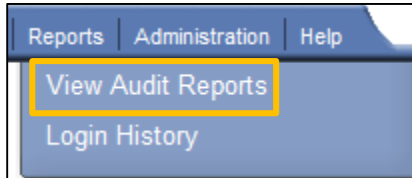
- Click on the [Audit Log](#) tab.

Summary	Events	Questions	Attachments (1)	Notes (1)	Links & Information	Audit Log
<i>Board, Test</i>	07/18/2013 13:47:55	reporting_period	edit	Field	Old Value	New Value
				exempt	1	0
<i>Board, Test</i>	07/18/2013 13:36:00	reporting_period	edit	Field	Old Value	New Value
				exempt	0	1
<i>Board, Test</i>	07/18/2013 13:22:42	user_j_answer	edit	Field	Old Value	New Value
				License date	2010-11-12	2010-01-01
<i>Board, Test</i>	07/17/2013 15:42:07	user_j_answer	edit	Field	Old Value	New Value
				License date	2007-05-15	2010-11-12
<i>Board, Test</i>	07/17/2013 11:28:13	reporting_period	edit	Field	Old Value	New Value
				exempt	1	0
<i>Board, Test</i>	07/17/2013 11:28:09	reporting_period	edit	Field	Old Value	New Value
				exempt	0	1
<i>Board, Test</i>	07/17/2013 11:26:40	user_j_answer	edit	Field	Old Value	New Value
				Non-licensed Owner	1	0
<i>Board, Test</i>	07/17/2013 11:26:25	user_j_answer	add	Question Answered: Ownership Date		
<i>Board, Test</i>	07/17/2013 11:26:19	user_j_answer	edit	Field	Old Value	New Value
				Non-licensed Owner	0	1
<i>Board, Test</i>	07/17/2013 11:15:47	user_j_answer	edit	Field	Old Value	New Value
				License date	2008-05-15	2007-05-15
<i>Tongate, Amy</i>	07/16/2013 13:59:19	user_j_answer	add	Question Answered: License number		
<i>Board, Test</i>	07/16/2013 13:58:26	user_j_answer	add	Question Answered: License date		
<i>Board, Test</i>	07/16/2013 13:58:17	user_j_answer	add	Question Answered: Non-licensed Owner		

Reports

Several different reports are available from this menu and the login history for all users can be viewed.



View Audit Reports



This option contains a collection of established queries whose results are exported to a spreadsheet file.

- From the [Reports](#) menu, select View Audit Reports.

CPetracking Audit Reports

Start Date:  End Date: 

Select Whole Year: Include Inactive:

Select Audit Group:

Audit Summary Report	<input type="button" value="Generate"/>	<input type="text" value="All"/>	<input type="text" value=""/>
Audit Details Report	<input type="button" value="Generate"/>	<input type="text" value="All"/>	<input type="text" value=""/>
Details Report	<input type="button" value="Generate"/>	<input type="text" value="All"/>	<input type="text" value=""/>
Monthly Report	<input type="button" value="Generate"/>	<input type="text" value="All"/>	<input type="text" value=""/> (uses month/year of start date)
Cycle Exemption Report	<input type="button" value="Generate"/>	<input type="text" value="All"/>	<input type="text" value=""/>
Credit Limitation Exception Report	<input type="button" value="Generate"/>	<input type="text" value="All"/>	<input type="text" value=""/>
Email Address Update Report	<input type="button" value="Generate"/>		

Using the Search Tool

- The Start Date and End Date are defaulted to the current date.
 - Type in the desired start/end date (mm/dd/yyyy) or use the calendar widgets to select dates. OR
- The Select Whole Year drop down is not defaulted.
 - Select a year from the dropdown provided.
 - This will limit the search to 1/1 and 12/31 of the year provided.
- The Include Inactive checkbox is checked by default.
 - Left selected users whose accounts are disabled will be included in the results.
 - If unselected, only users with enabled accounts will be included in the results.
- The Select Audit Group drop down is not defaulted.
 - Select a year from the options provided.
 - This will limit the search to licensees who were audited in the year provided.
- Click the Generate button for the desired report.

Audit Summary Report

- Purpose
 - Display a sum of users by jurisdiction with reporting periods that end within the range entered.
 - Show total users and the total number by Audit Status, Compliance Status and CPE category (Total Hours, Ethics and Other).
- An Excel spreadsheet will be generated showing the following information, organized by jurisdiction in alphabetical order.
- Columns
 - Jurisdiction
 - CPE Period End
 - This is not dynamic, but based off of a table.
 - Audit Passed
 - The number of licensees with a “Passed” audit status.
 - Audit Failed
 - The number of licensees with a “Failed” audit status.
 - Audit In Progress
 - The number of licensees with an “In Progress” audit status.
 - Audit Board Review
 - The number of licensees with a “Board Review” audit status.
 - Audit Not Started
 - The number of licensees with a “Not Audited” audit status.
 - Reporting Periods
 - The number of reporting periods represented.
 - Compliant
 - The number of licensees that are Compliant.
 - The number of Short hours for all requirements in the period is equal to zero.
 - Non-Compliant Individuals
 - The number of licensees that are Not Compliant.
 - The number of Short hours for one or more requirements is greater than zero.
 - Short Total Hours
 - The number of licensees who are short hours in the Total Hours category.
 - Short Ethics

- The number of licensees who are short hours for the Ethics requirement.
- Short Other
 - The number of licensees who are short hours for any other requirement that is neither Total Hours nor Ethics.

Audit Details Report

- Purpose
 - The date range entered targets reporting periods that end within the range.
 - Show individual users who are Not Compliant and their hours short by category.
- The default is to run “All”, which will look at all jurisdictions.
 - The dropdown allows the administrator to select an individual jurisdiction.
- An Excel spreadsheet will be generated showing the following information, organized by jurisdiction in alphabetical order.
- Columns
 - License #
 - The license number
 - The username in CPETracking
 - Licensee Name
 - The licensee’s full name.
 - Organized as Last Name and First Name
 - Jurisdiction
 - The jurisdiction name where the user is licensed
 - Period Start Date
 - The jurisdiction reporting period start date
 - Formatted as yyyy/mm/dd – yyyy/mm/dd
 - Period End Date
 - The jurisdiction reporting period end date
 - Formatted as yyyy/mm/dd – yyyy/mm/dd
 - Compliance Status
 - The licensee’s compliance status for the reporting period
 - Audit Status
 - The licensee’s audit status for the reporting period
 - Quantity
 - The number of courses entered.
 - Passed
 - The number of courses with a “Passed” audit status
 - Failed
 - The number of courses with a “Failed” audit status
 - In Progress
 - The number of courses with an “In Progress” audit status
 - Not Audited
 - The number of courses with a “Not Audited” audit status
 - Board Review
 - The number of courses with a “Board Review” audit status
 - Last Submission
 - The last date and time that the licensee submitted their CPE
 - HSE Status
 - If your state allows home state exemption, the state the licensee selected as their “home state” is displayed.
 - Short Total Hours

- The number of hours the licensee lacks to meet the Total Hour requirement.
- Short Yearly
 - If your state has a yearly minimum CPE requirement, the number of hours the licensee lacks to meet that requirement.
- Short Ethics
 - The number of hours the licensee lacks to meet the Ethics requirement.
- Short Other
 - The number of hours the licensee lacks to meet any other CPE requirements that are not Total Hours, Yearly Minimum or Ethics requirements.

Details Report

- Purpose
 - The date range entered targets reporting periods that end within the range.
 - Show individual users who are Not Compliant and their hours short by category.
- The default is to run “All”, which will look at all jurisdictions.
 - The dropdown allows the administrator to select an individual jurisdiction.
- An Excel spreadsheet will be generated showing the following information, organized by jurisdiction in alphabetical order.
- Results show individual users with a status of Not Compliant for a reporting period.
- Columns
 - License #
 - The license number
 - The username in CPETracking
 - Name
 - The licensee’s full name.
 - Email
 - The licensee’s e-mail address
 - Jurisdiction
 - The jurisdiction name where the user is licensed
 - License Date
 - The date the user was licensed in the jurisdiction
 - CPE Period
 - The jurisdiction reporting period start and end date
 - Formatted as yyyy/mm/dd – yyyy/mm/dd
 - CPE Category
 - The categories of CPE where the user is short
 - Categories are listed in alphabetical order and separated by commas
 - Hours Remaining
 - The number of hours needed for each category
 - The list for each category is preceded by the phrase “Short....”
 - The number of hours is listed with the type of CPE listed after the number
 - Forward earned
 - Displays any hours earned in the next reporting period
 - Notes
 - Displays any notes entered for the reporting period by an administrator.

Monthly Report

- Purpose
 - Regardless of the date range entered, it uses the month and year of the start date
 - Displays all licensees who are Not Compliant from the first of that month to the last day of that month
 - Displays the hours short by CPE category
- The default is to run “All” which will look at all jurisdictions.
 - The dropdown allows the administrator to select an individual jurisdiction.
- An Excel spreadsheet will be generated showing the following information, organized by jurisdiction in alphabetical order.
- Grouped By
 - Jurisdiction
 - The jurisdiction name for the licensees listed underneath.
 - Columns within each jurisdiction
 - License #
 - The state license number
 - The username in CPETracking
 - Licensee
 - The licensee’s full name
 - Organized as Last Name and First Name
 - Email
 - The licensee’s e-mail address.
 - CPE Period
 - The jurisdiction reporting period start and end date
 - Formatted as yyyy/mm/dd – yyyy/mm/dd
 - Jurisdiction
 - The jurisdiction name where the user is licensed.
 - Notes
 - Displays any notes entered for the reporting period by an administrator
 - CPE Category
 - A repeating set of columns showing each CPE category for that jurisdiction’s requirements for the particular user.
 - The number of categories will vary based on the jurisdiction (Total Hours, Ethics, A&A, etc.)
 - There is a Required, Earned and Need listing for each category.
 - Required: The number of CPE hours due.
 - Earned: The number of CPE hours earned.
 - Need: The number of CPE hours needed to fulfill the requirement.

Cycle Exemption Report

- Purpose
 - The date range entered targets reporting periods that end within the range.
 - Displays users who are exempt from CPE requirements for the period.
- The default is to run “All”, which will look at all jurisdictions.
 - The dropdown allows the administrator to select an individual jurisdiction.
- An Excel spreadsheet will be generated showing the following information, organized by jurisdiction in ascending alphabetical order.
- Columns

- License Number
 - The license number
 - The username in CPETTracking
- Name
 - The licensee's full name
 - Organized as Last Name and First Name
- CPE Period
 - The jurisdiction reporting period start and end date
 - Formatted as yyyy/mm/dd – yyyy/mm/dd
- Jurisdiction
 - The jurisdiction name where the user is licensed
- Exemption
 - Shows the type of exemption marked on the reporting period
 - Using Home State Exemption in [jurisdiction abbrev.]
 - If a user is eligible as being Compliant for meeting the CPE requirements of their home state
 - Granted Exemption
 - Board staff has marked the reporting period as exempt from CPE requirements

Credit Limitation Exception Report

- Purpose
 - This report targets reporting period end dates that fall in between the date range selected where credits have been added using exceptions functionality.
- The default is to run "All" which will look at all jurisdictions.
 - The dropdown allows the administrator to select an individual jurisdiction.
- An Excel spreadsheet will be generated showing the following information, organized by License Number and licensee name in ascending license number order.
- Columns
 - License Number
 - The license number
 - The username in CPETTracking
 - Name
 - The licensee's full name.
 - Organized as Last Name and First Name
 - Email
 - The licensee's e-mail address.
 - Jurisdiction
 - The jurisdiction where credit has been allowed using exceptions functionality.
 - Course Number
 - The number assigned to the course
 - End Date
 - The end date for the course
 - Listed as yyyy/mm/dd
 - Subject
 - The subject area where the exception was applied.
 - Hours
 - The number of CPE credits for the subject area
 - Timestamp

- The date/time that the exception was applied.
- Acting user
 - The user ID that performed the exception
- Notes
 - Displays any notes typed in for the course

Email Address Update Report

- Purpose
 - This report targets the date of the action of changing the email address on a licensee account where the date falls in between the date range selected
- An Excel spreadsheet will be generated showing the following information, organized by License Number and licensee name in ascending license number order.
- Columns
 - License Number
 - The license number
 - The username in CPETracking
 - Name
 - The licensee's full name.
 - Organized as Last Name and First Name
 - Email
 - The licensee's e-mail address.
 - Date Changed
 - The date and time the action was performed

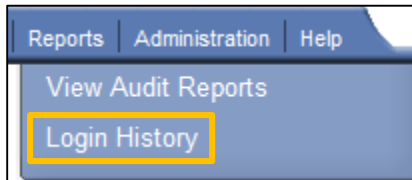
Unique Login Report

- Purpose
 - This report targets the date of the action of logging in to CPETracking where the date falls in between the date range selected
- An Excel spreadsheet will be generated showing the following information, organized by License Number and licensee name in ascending license number order.
- Columns
 - License Number
 - The license number
 - The username in CPETracking
 - Name
 - The licensee's full name.
 - Organized as Last Name and First Name
 - Permission Level
 - The permission level assigned to the user/licensee record.
 - Last Login
 - The most recent date and time that a login was performed
 - Enabled
 - Indicates whether or not (Yes or No) the user account is enabled for access.

Generated Password Report

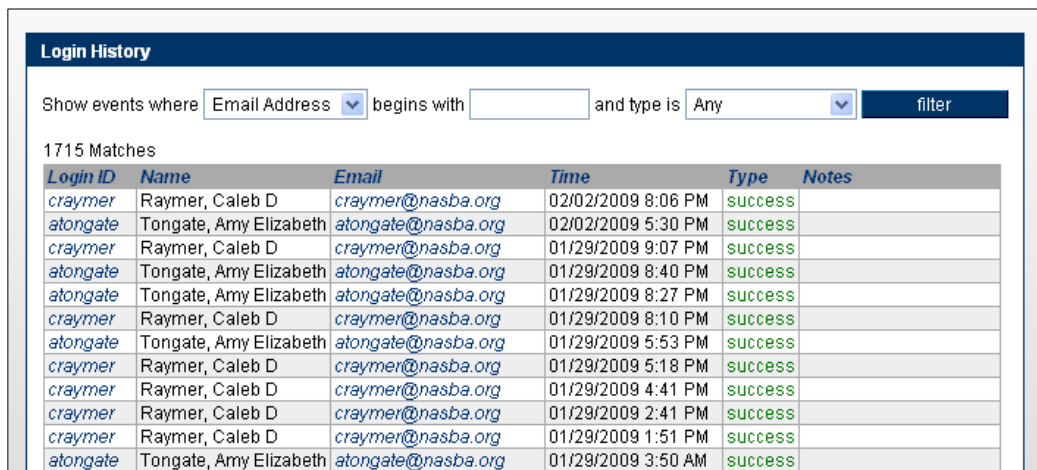
- Purpose
 - This report targets the date that a new user was added to the system where they date falls in between the date range selected and a unique initial password is generated for that licensee.
- An Excel spreadsheet will be generated showing the following information, organized by Last Name in alphabetical order.
- Columns
 - Last Name
 - The licensee's last name.
 - First Name
 - The licensee's first name.
 - License Number
 - The user's license number.
 - Email
 - The licensee's e-mail, if provided.
 - Password
 - The system-generated initial password for first time sign-on.
 - Address1
 - The licensee's address provided in the ALD feed.
 - Address2
 - The licensee's address provided in the ALD feed.
 - City
 - The city provided in the address from the ALD feed.
 - State
 - The state provided in the address from the ALD feed.
 - Zip
 - The zip code provided in the address from the ALD feed.
 - Date Changed
 - The date and time that an account was created for the licensee in the site.

Login History



This allows you to view login activity on the system by licensee.

- Select Login History from the Reports menu.

A screenshot of the 'Login History' page. At the top, there is a search bar with the text 'Show events where' followed by a dropdown menu set to 'Email Address', the text 'begins with', an empty text input field, the text 'and type is', another dropdown menu set to 'Any', and a 'filter' button. Below the search bar, it says '1715 Matches'. The main content is a table with the following columns: 'Login ID', 'Name', 'Email', 'Time', 'Type', and 'Notes'. The table contains 14 rows of data, all with a 'success' type. The 'Login ID' column is highlighted in blue for each row.

Login ID	Name	Email	Time	Type	Notes
craymer	Raymer, Caleb D	craymer@nasba.org	02/02/2009 8:06 PM	success	
atongate	Tongate, Amy Elizabeth	atongate@nasba.org	02/02/2009 5:30 PM	success	
craymer	Raymer, Caleb D	craymer@nasba.org	01/29/2009 9:07 PM	success	
atongate	Tongate, Amy Elizabeth	atongate@nasba.org	01/29/2009 8:40 PM	success	
atongate	Tongate, Amy Elizabeth	atongate@nasba.org	01/29/2009 8:27 PM	success	
craymer	Raymer, Caleb D	craymer@nasba.org	01/29/2009 8:10 PM	success	
atongate	Tongate, Amy Elizabeth	atongate@nasba.org	01/29/2009 5:53 PM	success	
craymer	Raymer, Caleb D	craymer@nasba.org	01/29/2009 5:18 PM	success	
craymer	Raymer, Caleb D	craymer@nasba.org	01/29/2009 4:41 PM	success	
craymer	Raymer, Caleb D	craymer@nasba.org	01/29/2009 2:41 PM	success	
craymer	Raymer, Caleb D	craymer@nasba.org	01/29/2009 1:51 PM	success	
atongate	Tongate, Amy Elizabeth	atongate@nasba.org	01/29/2009 3:50 AM	success	

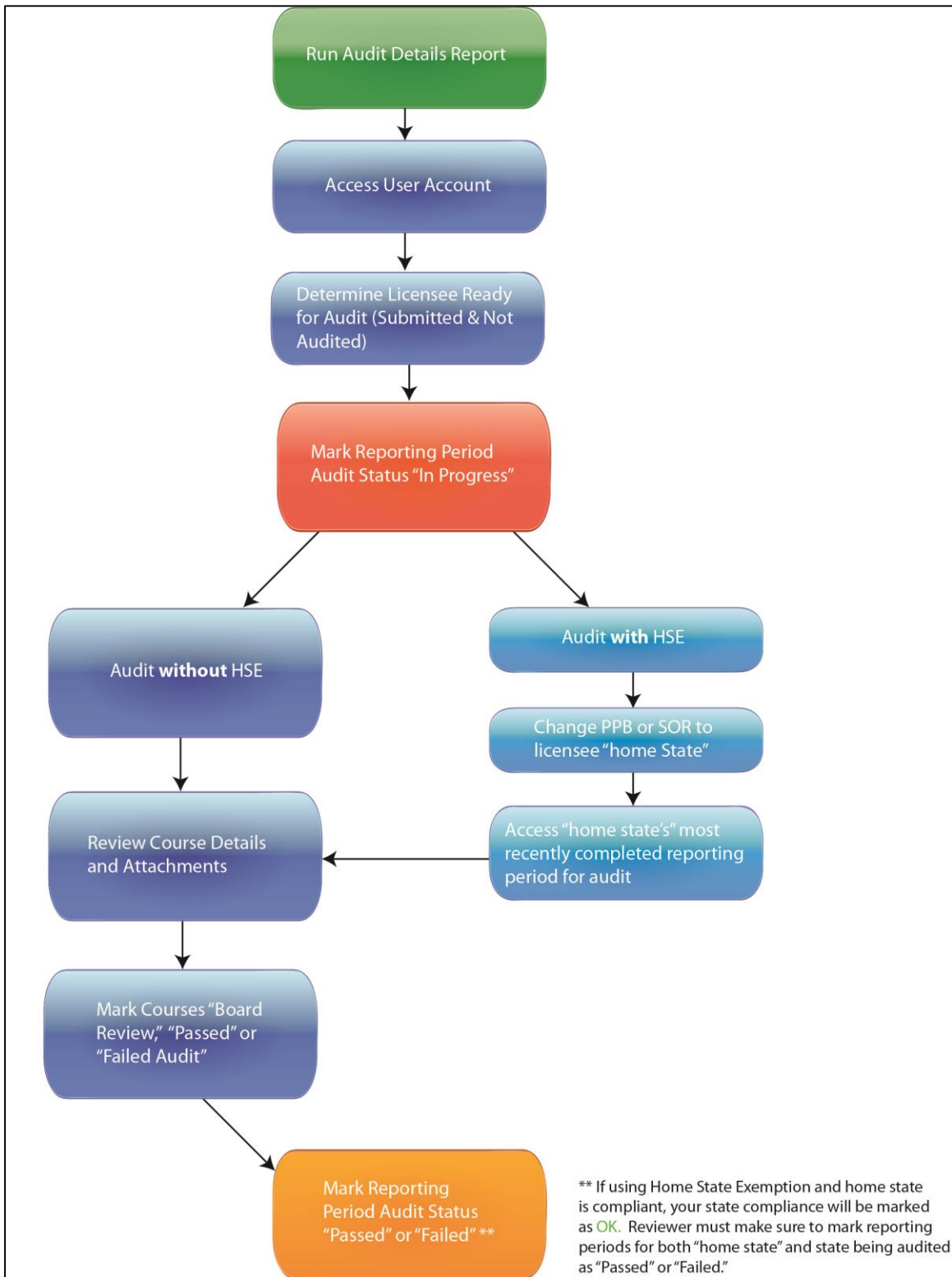
- The login ID, licensee Name, Email address, Time, Type and Notes for each login attempt are listed in descending order.
- Click on the column titles in blue to change the sequence of the results in a column.
- Narrow your search by e-mail address, last name or login ID in the “Show events where” field.
- Type in the letter(s) with which to perform a search.
- If desired, choose a login type from the dropdown list in the “and type is” field.
- Click [filter](#) to perform a search.
- Click the login ID in blue to view details for the licensee.

Phone or E-mail Assistance

Phone	E-mail
Toll free: 844-273-8722	CPEtracking@nasba.org

Hours are generally 8:00am-4:30pm Central Time-Monday through Friday

Appendix A – Audit Flow Diagram



Appendix B – Audit Flow Process

Prior to the Audit

The Board identifies the audit population for NASBA and only those licensee's accounts are assigned to the audit Group named for the year in which the audit is conducted. The Board contacts the selected Licensees via mail or by a method of their choosing to provide the deadline for submitting their CPE. Sign on information is included for the licensees. Once they have completed the entry of their credits and documentation, the licensees submit their CPE and CPETracking disables their account until the audit process is completed by the Board.

Identify CPE Submissions and Audit Work Queue

Audit Details Report

- During the audit submission period, run the Audit Details report daily to identify new submissions from licensees (see page 62).
 - Select the CPE period end year from the Whole Year dropdown menu.
 - Select the audit year from the Audit Year dropdown menu.
 - Select your state from the dropdown provided next to the Audit Details report.

Sorting by Last Submission Date

- Once the report is generated, sort the results by the Last Submission column.
- Use the latest submission date/time to identify licensees available for audit.
- Delete results where the Last Submission date is blank (those licensee accounts are not ready for audit).
- If the HSE status column is also populated for a licensee, you will need to make some edits to the licensee's Principal Jurisdiction and/or State of Residence information prior to beginning the audit (see page 37).

Sorting by Audit Status

- Once the report is generated and those without a Last Submission date are removed, sort the results by the Audit Status column.
- Delete results where the Audit Status is "Passed" or "Failed", as those records are completed.
- This resulting list shows all licensee accounts that have submitted their CPE and where their reporting period is in the audit process.

Conduct the Audit (without Home State Exemption)

Locate Licensee Account and Status Report

- Go to the Administration tab and select Manage Users to locate the licensee account and view its details (see page 12).

- Select the Compliance Status tab and click on your state name to access the Status Report (see page 34).
- Select the desired reporting period from the Change Reporting Period table.
- If the reporting period Audit Status is “Not Audited”, change to “In Progress” to indicate that you are working on the reporting period (see page 39).

Review Individual Credits

- Select the Events tab to display all courses/credits entered for the reporting period and the Audit status for each (see page 43).
- To review the details of a specific course and its attached documentation, click on the course number (see page 22)
 - Mark the course Audit Status as “In Progress” (see page 43)
- Open the documentation attached to the course and review to verify the information displayed is in accordance with your state’s documentation rules.
- Compare the information in the documentation with the information entered into CPETracking for the course.
- If there are discrepancies between the documentation and the course details, make (or have the licensee make) edits to the credit details to match the documentation to ensure it is properly evaluated by CPETracking for credits earned (see page 27).
- Once you complete the review of the individual course, change its Audit Status to Board Review, Failed or Passed.
- Add Notes to courses to document findings from the audit.
- Repeat this process for every course in the reporting period.

Mark the Audit Status for the Reporting Period

- Once all courses have been marked as either “Passed” or “Failed” the reporting period audit is complete.
- Verify whether the licensee’s reporting period compliance status is “Compliant” following the course review.
- Change the reporting period Audit Status to either “Passed” or “Failed”.
- Add Notes to the reporting period to document findings from the audit.

Conduct the Audit (with Home State Exemption)

Verify the home state license

- Verify that the licensee is licensed and in good standing in the state they indicated for use in home-state exemption by looking them up on [CPAVerify](#) or the home state licensee lookup tool (board website links are available within CPETracking from the Status Report Links & Information tab or from the NASBA [website](#)).
- If the licensee cannot be located as a licensee in the state claimed, they are not eligible to use Home State Exemption and must be notified to enter their credits based on your Board's requirements.

Locate Licensee Account and Status Report

- Go to the Administration tab and select Manage Users to locate the licensee account and view its details (see page 12).
- Select the Compliance Status tab and click on the **home state** name to access the Status Report (see page 34).
- Select the most recently completed reporting period for the home state (that corresponds to your state's reporting period in audit) from the Change Reporting Period table.
 - NOTE: If the licensee, based on credits entered, has a reporting period status of "Not Compliant" in the home state, then they are not eligible to use Home State Exemption in your state. Contact the licensee to enter credits based on your Board's requirements.
 - NOTE: If the home state does not require CPE for their reporting period, verify with your state's rules if they may still use home state exemption.
- Select the Questions tab and edit the Principal Jurisdiction and/or State of Residence question response (see page 37).
 - NOTE: The question needing the edit depends on whether your state's rules use the principal place of business or the state of residence to evaluate home state exemption.
- If the reporting period Audit Status is "Not Audited", change to "In Progress" to indicate that you are working on the reporting period (see page 39).

Review Individual Credits in the Home State

- Use the same processes as for a licensee not using home state exemption.

Mark the Audit Status for the Reporting Period in the Home State

- Use the same processes as for a licensee not using home state exemption.

Mark the Audit Status for the Reporting Period in Your State

- Select your state from the "Change Jurisdiction" table at the top right of the status report.
- Select the desired reporting period for audit.

- If the licensee's reporting period is "Compliant" in the home state, your state's reporting period will also be marked as "Compliant " and "Using Home State Exemption in [state]".
- Change the reporting period Audit Status to either "Passed" or "Failed".
- Add Notes to the reporting period to document findings from the audit.

Handling Issues during the Submission and Audit Period

Enabling/Disabling User Accounts

- By default, a licensee's account is disabled once they have selected the option to Submit their CPE entered. All accounts assigned to this year's audit Group, except for the Board's accounts, are disabled once the deadline for submission passes. Reasons that you may want to enable the account for a licensee include:
 - The licensee clicked the Submit button in error and needs to complete CPE entry.
 - During the audit, you have contacted the licensee to enter more CPE or make corrections.
 - The licensee chose Home State Exemption and is not eligible to use this – they need to finish entering credits.
- Select Manage Users from the Administration tab and re-enable the account (see page 12).

Enabling Reviewed Credits for Edit

- Credits with a status of "Board Review", "Failed" or "Passed" cannot be edited by licensees given access to their account.
- Change the credit status to "In Progress" if the licensee is permitted to make changes to the credit details (see page 43).