CPA User Guide

August 2024

Version 2.3

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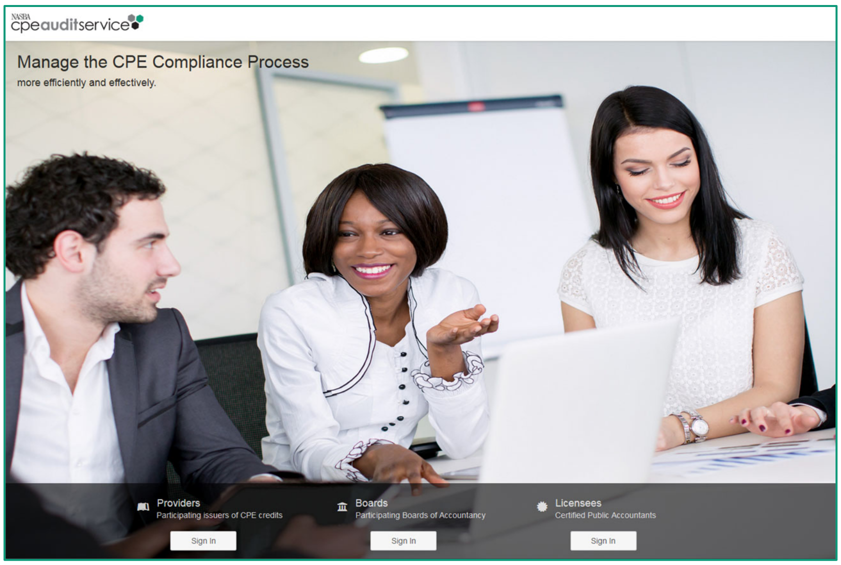
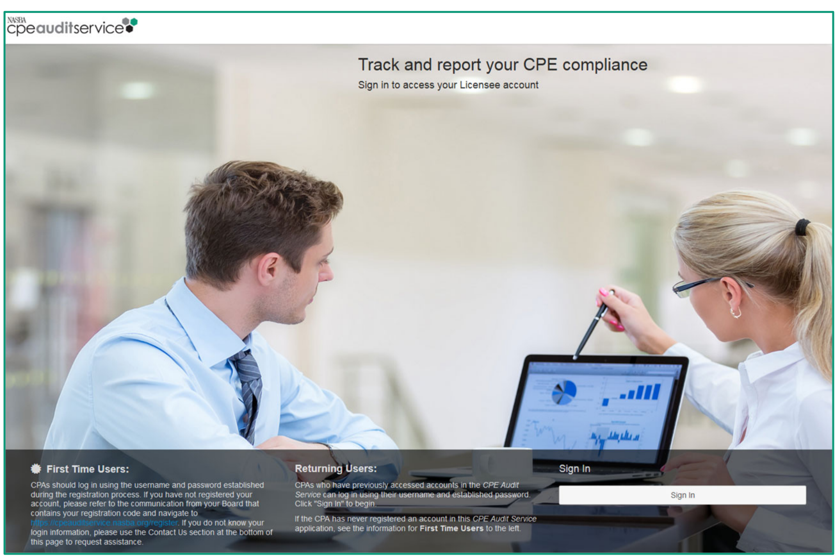
Accessing the Application

CPA Login Page

- Access the internet browser application (ex. Firefox, Chrome, Edge, etc.)
- Navigate to the *CPE Audit Service* using the URL below:
    - https://cpeauditservice.nasba.org
    - NOTE: If you have never registered an account with the *CPE Audit Service,* contact your Board or e-mail cpeauditservice@nasba.org to request your registration code and information.

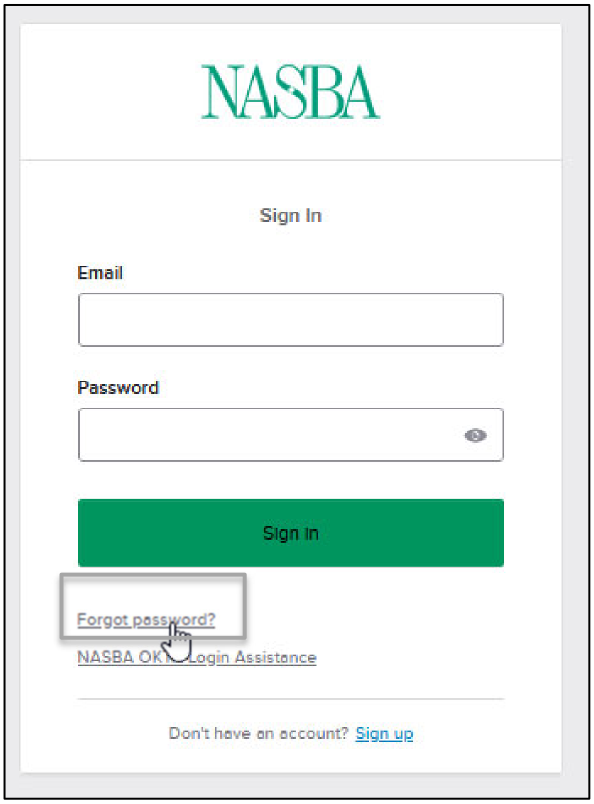


- Choose the **Sign In** button under the Licensees section.

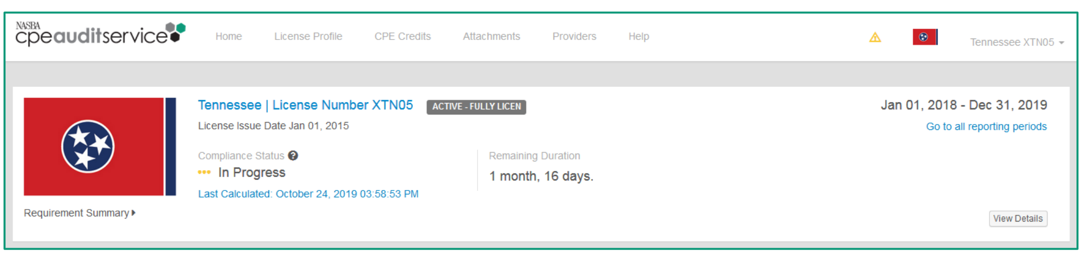


- Choose the **Sign In** button at the bottom right of the page.

- The login page is displayed.

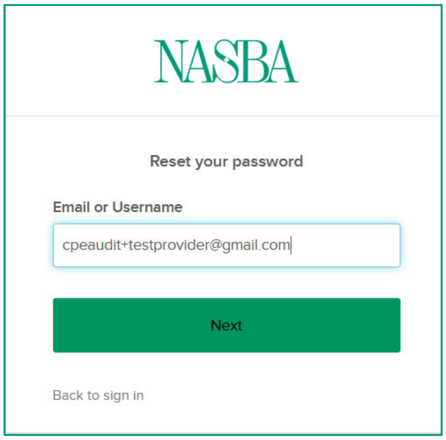


- Type the e-mail address used for account registration in the Email field
- Type the password created during account registration in the Password field.
- Choose the **Sign In** button
- The CPA Home page is displayed.

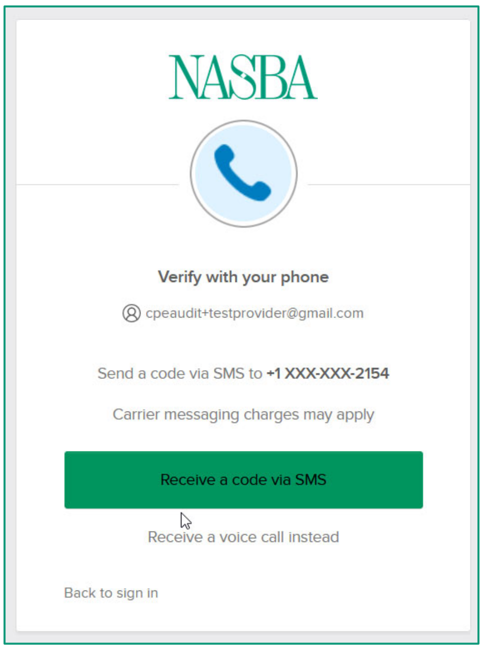


Forgot Password

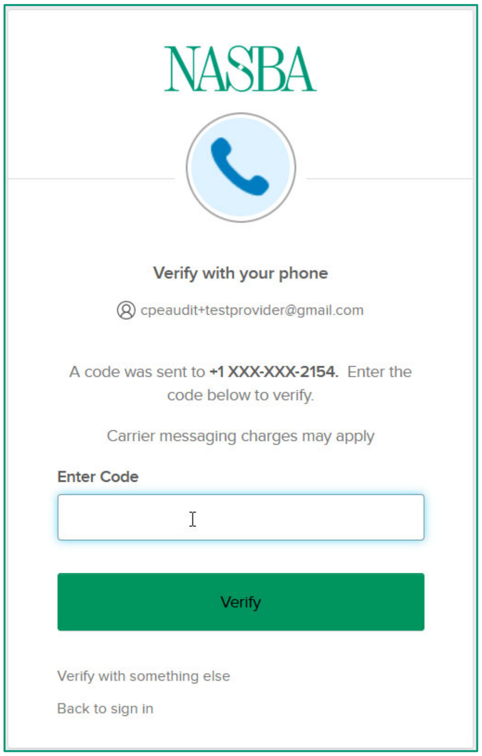
- If you have forgotten your password, click the Forgot Password? link below the **Sign In** button.



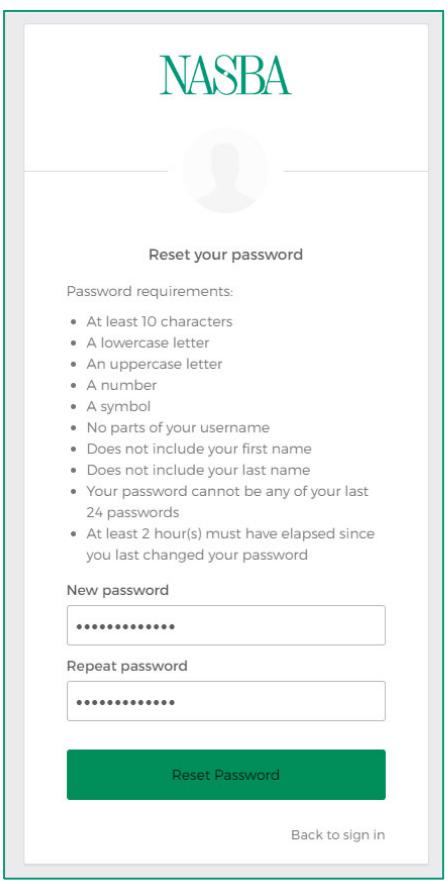
- Type in your account e-mail address in the **Email or Username** field and choose **Next**.



  - Choose either "Receive a code via SMS" or "Receive a voice call instead".
  - A code will be sent to the phone number on the account via text or a voice call to that number.

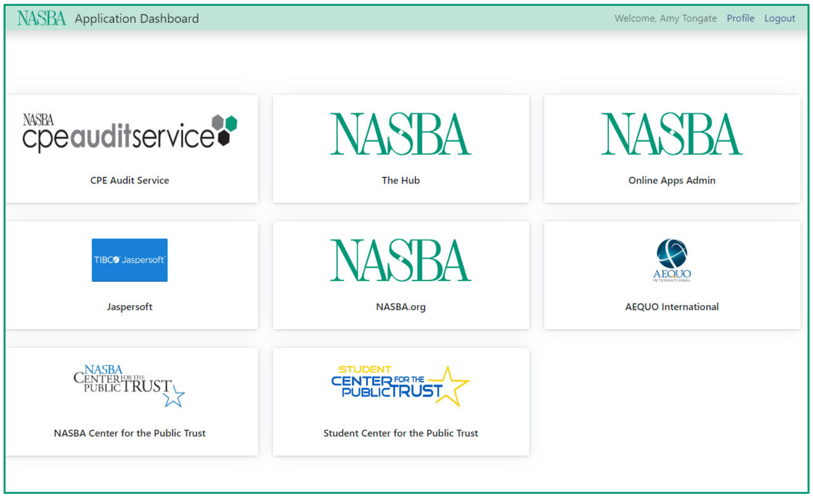


- Type the code received into the Enter Code field and choose the **Verify** button



- Type in the new password in the **New Password** and the **Repeat password** fields.
- Choose the **Reset Password** button.

- The OKTA Application Dashboard will be displayed.

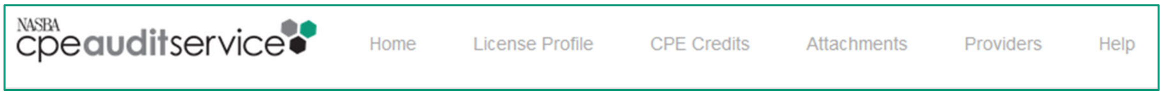


- Choose the *CPE Audit Service* tile to login.

General

Menus

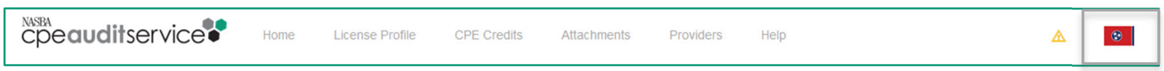
At the top of every page, the major sections of the application are displayed for selection to navigate to the section.



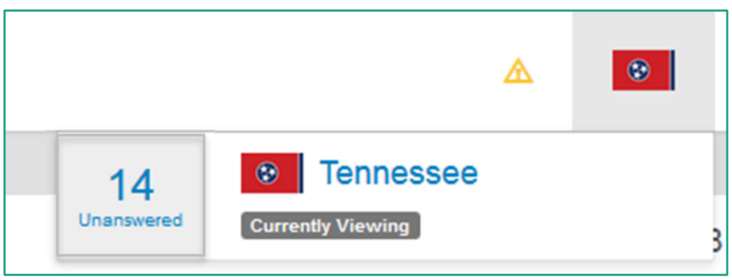
- Select the desired page by clicking on its title.
- The desired page will be displayed.

Missing Information

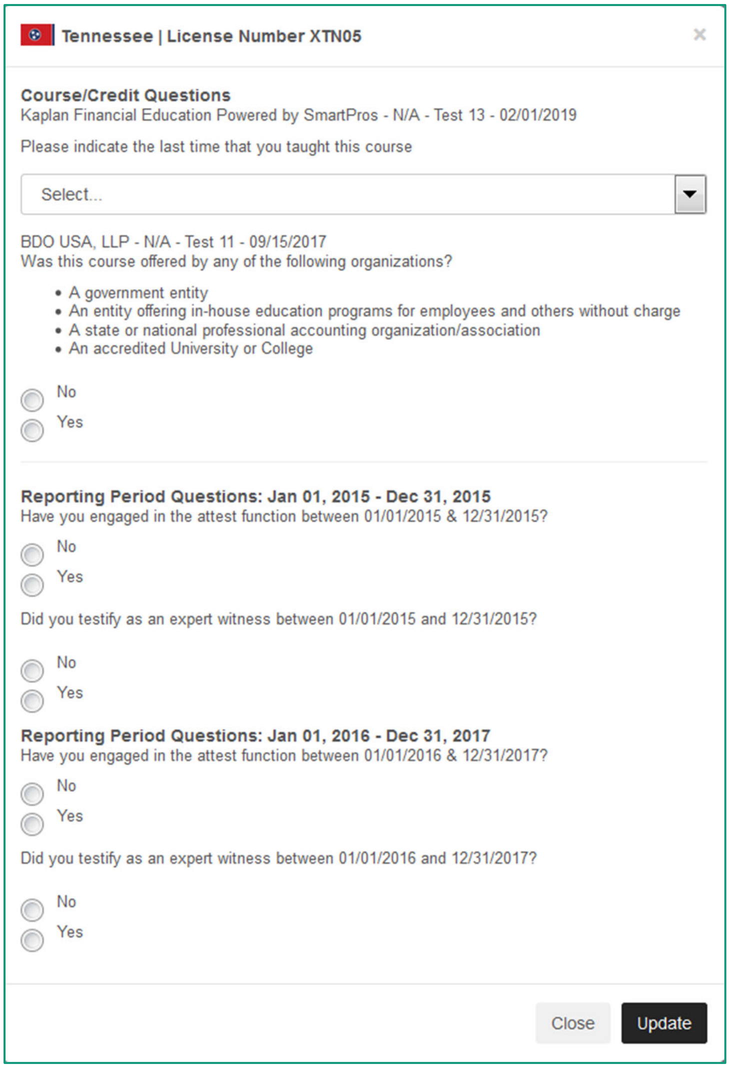
If a license has questions that need to be answered in order to calculate compliance for the CPA, then a yellow warning icon will be displayed on the menu row next to the jurisdiction flag.



- Select the flag icon.
- The number of unanswered questions is displayed in blue.

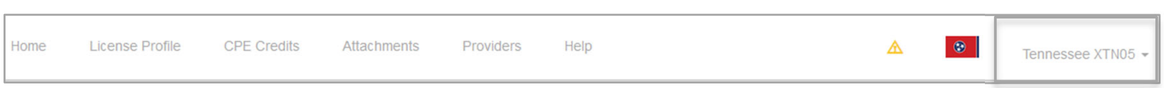


- Click on the number of unanswered questions to view the questions and respond.

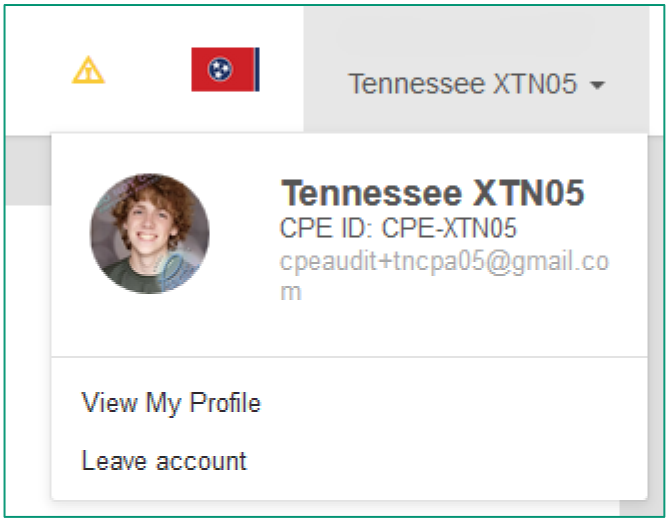


- Answer the questions for your license, reporting periods or courses by selecting from a dropdown menu or clicking the appropriate radio button.
- Choose the **Update** button to save the changes and recalculate your compliance.
- Choose the **Close** button to close the window.

Account Profile/Leave Account



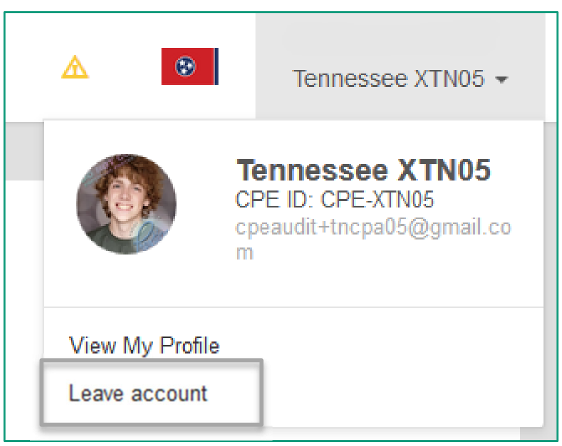
- The CPA first and last name appears on the far-right side of the header row.
- Choose the caret to the right of the name to open the account profile options.



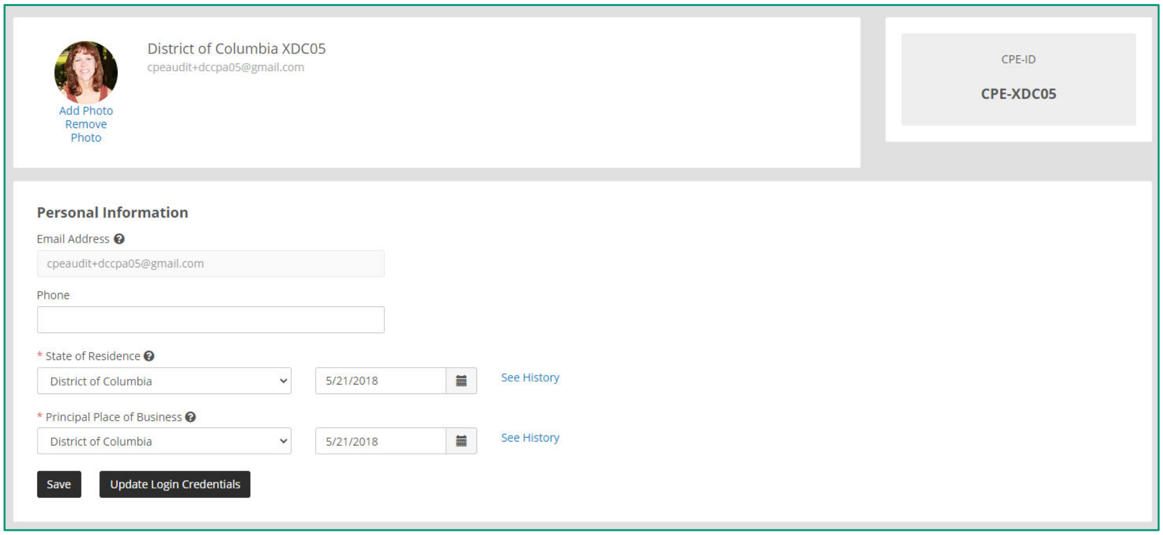
Account Overview

- The licensee profile picture or initials are displayed in the circle.
- The licensee first and last name appear in bold.
    - This is the first and last name as sent to the *CPE Audit Service* by the Board. It can only be changed if the Board changes the name in their licensing system, which would then update the *CPE Audit Service*.
- The licensee's CPE ID number is displayed below the licensee name.
    - The CPE ID number is the licensee's unique ID for any CPE provider that is sending in CPE attendance information electronically. It cannot be changed.
- The licensee's account e-mail address (user name) is displayed below the CPE ID.

View My Profile

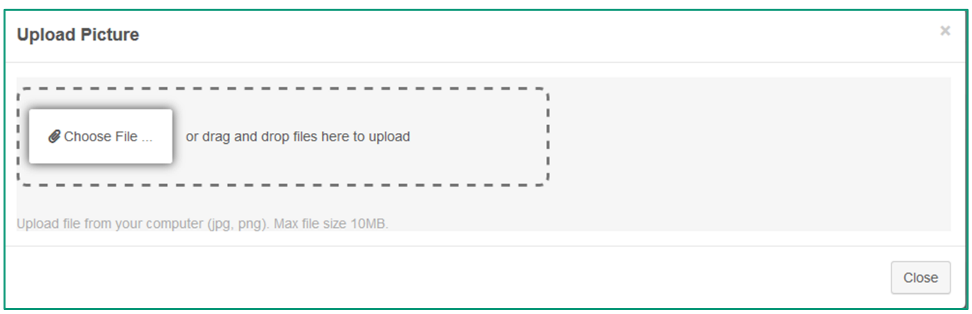


- Choose the View My Profile option.

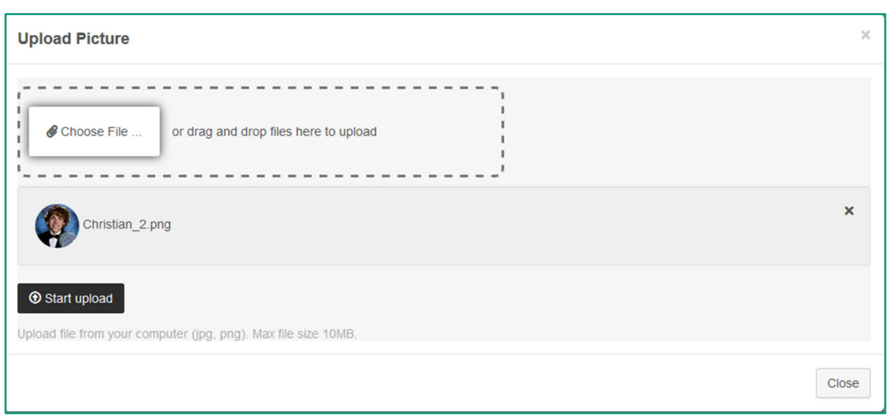


Profile Picture

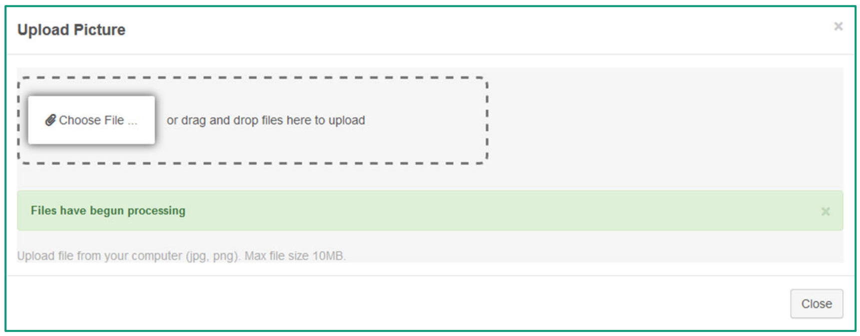
- The licensee profile picture or initials are displayed in the circle.
    - The licensee's initials are displayed if no profile picture has been added.
    - To add or change a profile picture, choose the Add Photo link.
        - The Upload Picture overlay is displayed.



- Click the **Choose File** button to open your local computer drives.
- Choose the file desired or drag the file from your folder to the Choose file section of the overlay.



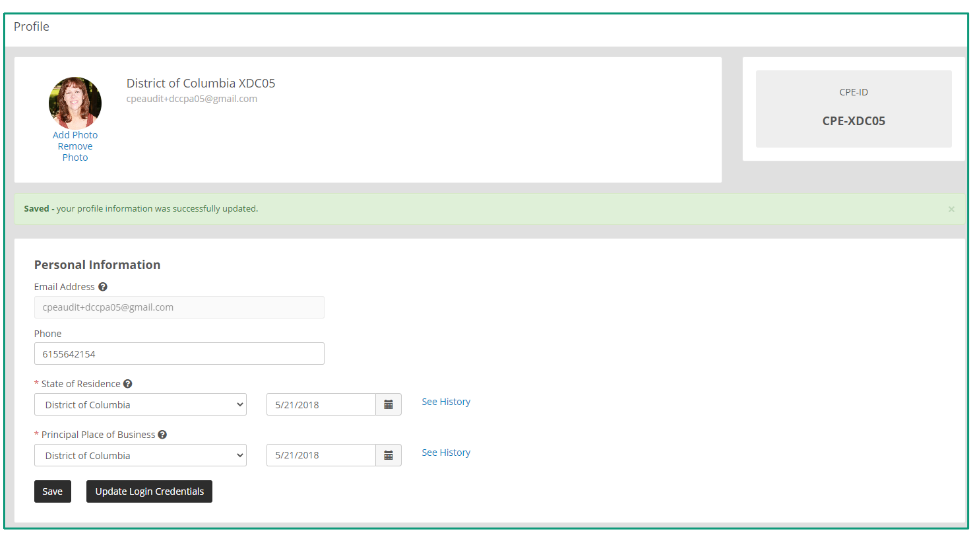
        - The file and its thumbnail will be populated below the Choose file section.
            - Click the **Start upload** button to process the picture.
            - Click the X to the right of the file to remove it from the screen and select another picture.
        - Once the upload is started, a green success message is displayed.



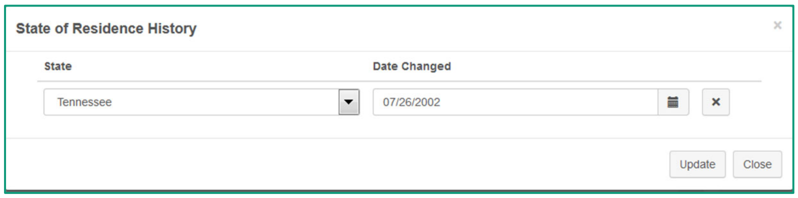
        - Choose the **Close** button to return to the profile screen.
    - Click the Remove Photo link to remove the profile picture displayed.
- The licensee's name and account e-mail address are listed to the right of the profile picture.
- The licensee's CPE ID is listed to the right of the name and email information.

Personal Information

- The current account e-mail address is displayed in the Email address field.
- A contact phone number can be input in the Phone field.
    - Once the phone number is updated, choose the **Save** link to save the changes.
    - A success message will be displayed in green.



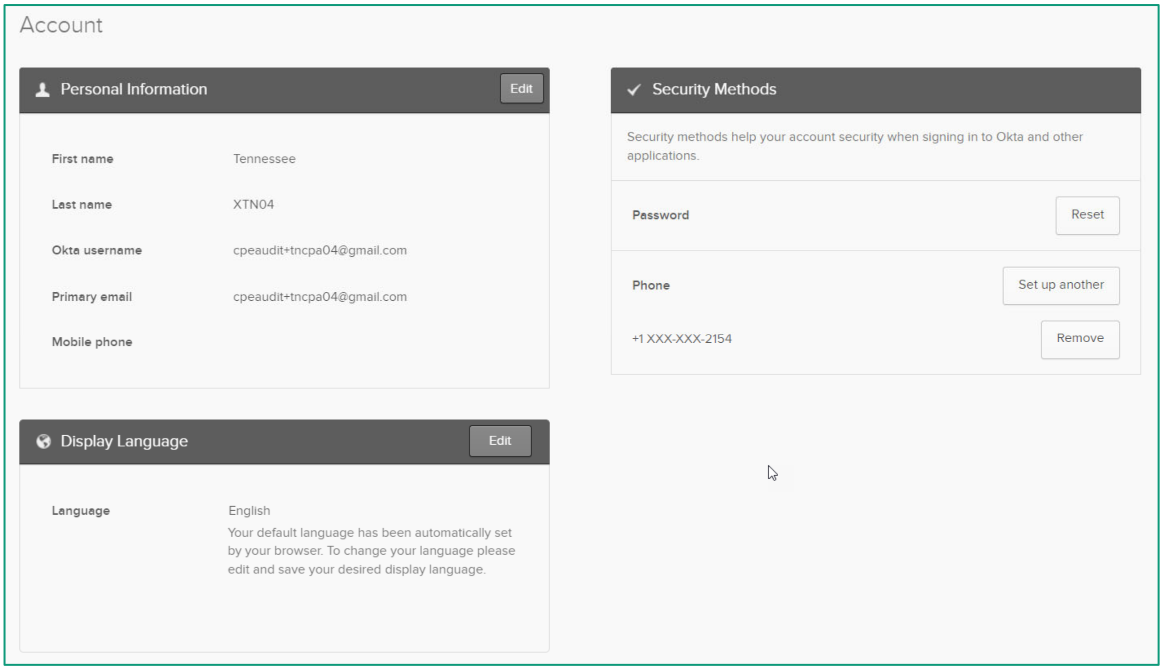
- If the licensee’s state allows CPE Reciprocity, the licensee’s State of Residence and Principal Place of Business can be input or updated on this screen.
    - For either field, choose the desired state from the dropdown menu provided in the **State** field.
    - Type in the date that the state became your State of Residence or Principal Place of Business in the date field provided.
    - Once the values are saved, a link will appear next to each labeled See History.
        - If either value changes, click the link to add a new value with a new start date.



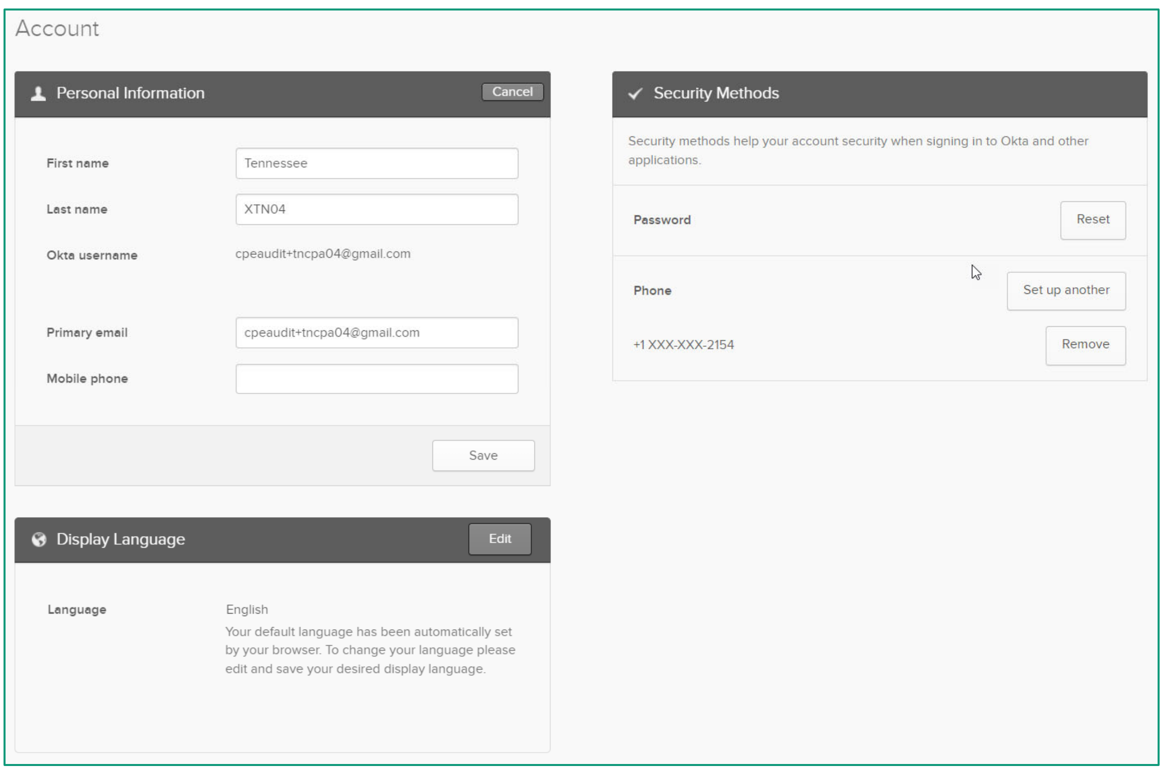
        - Choose a new state from the dropdown menu provided in the **State** field.
        - Choose the new start date for the **Date Changed** Field.
        - Click the **Update** button to save your changes.
        - Choose the **Close** button to exit the overlay and return to the Profile screen.
- The Update Login Credentials button allows the CPA to change their username, password, or MFA phone number.

Update User Credentials

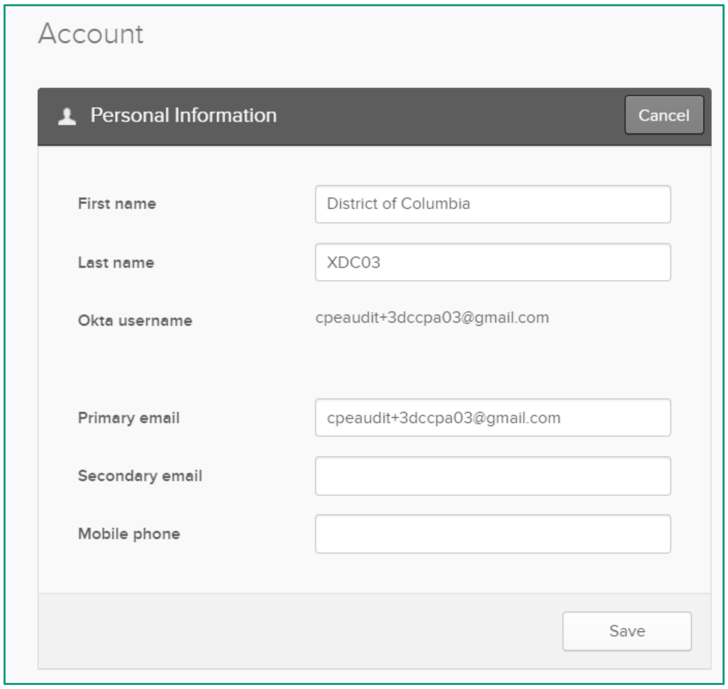
- Click Update Login Credentials.
- The account profile page for OKTA will open in a new window.



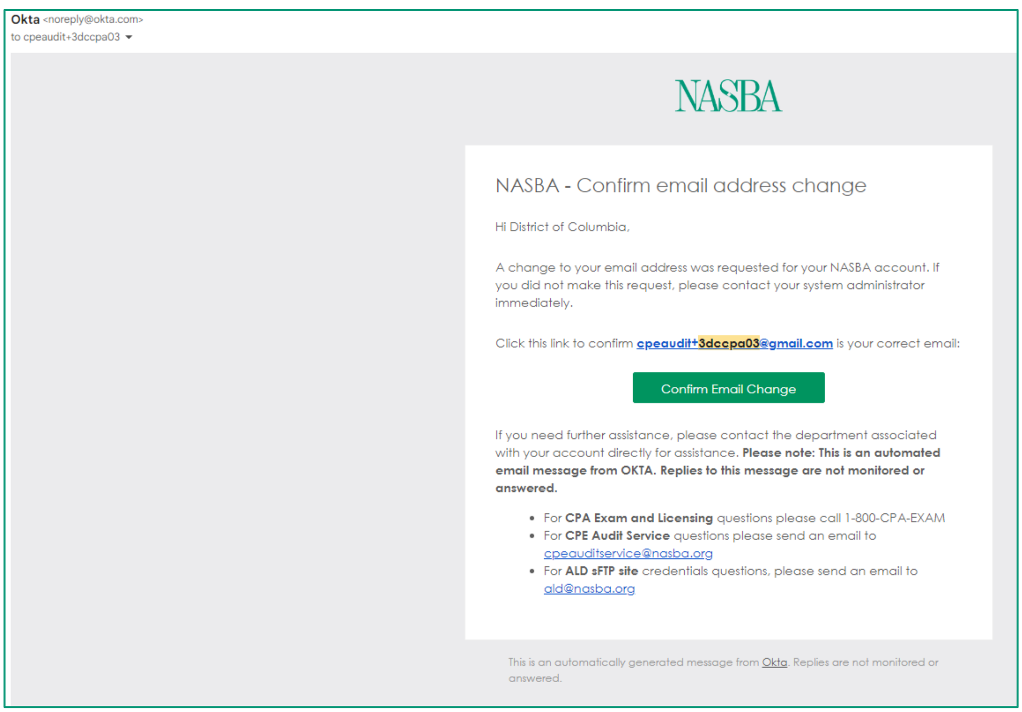
- Choose the Edit Profile button at the top right of the page to unlock fields for editing.



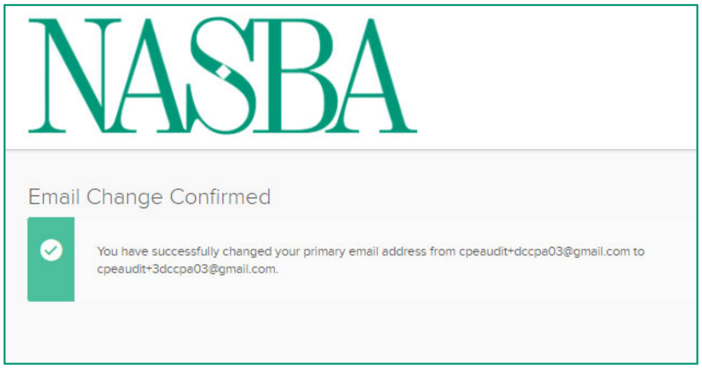
Update Username



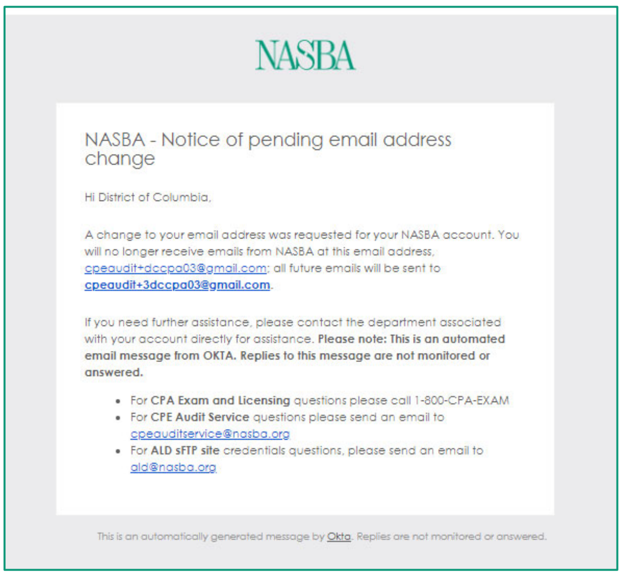
- Type a new e-mail address in the **Primary Email** field and choose the **Save** button.
- A confirmation e-mail is sent to the new e-mail address.



- Choose the Confirm Email Change button.
- A confirmation message is displayed on screen:



- Notices are sent to the old e-mail address as well, so that if the user did NOT request this change, they can contact NASBA to report it.
- These do not require any action on the user's part.


NASBA

NASBA - Notice of pending email address change

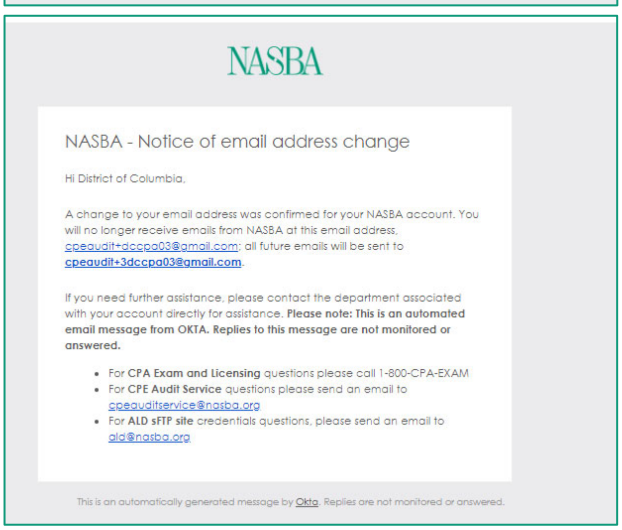
Hi District of Columbia,

A change to your email address was requested for your NASBA account. You will no longer receive emails from NASBA at this email address, cpeaudit+dccpa03@gmail.com; all future emails will be sent to **cpeaudit+3dccpa03@gmail.com**.

If you need further assistance, please contact the department associated with your account directly for assistance. **Please note: This is an automated email message from OKTA. Replies to this message are not monitored or answered.**

- For **CPA Exam and Licensing** questions please call 1-800-CPA-EXAM
- For **CPE Audit Service** questions please send an email to cpeauditservice@nasba.org
- For **ALD sFTP site** credentials questions, please send an email to ald@nasba.org

This is an automatically generated message by Okta. Replies are not monitored or answered.


NASBA

NASBA - Notice of email address change

Hi District of Columbia,

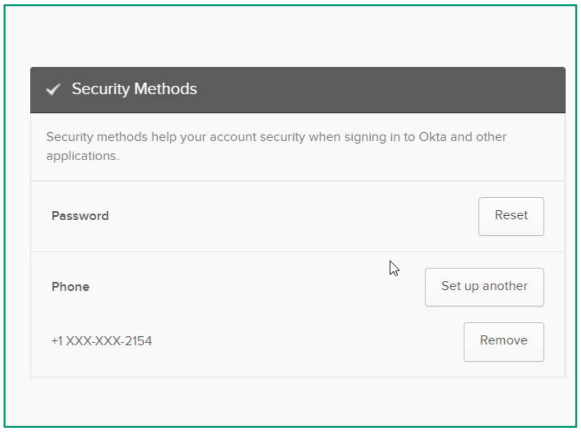
A change to your email address was confirmed for your NASBA account. You will no longer receive emails from NASBA at this email address, cpeaudit+dccpa03@gmail.com; all future emails will be sent to **cpeaudit+3dccpa03@gmail.com**.

If you need further assistance, please contact the department associated with your account directly for assistance. **Please note: This is an automated email message from OKTA. Replies to this message are not monitored or answered.**

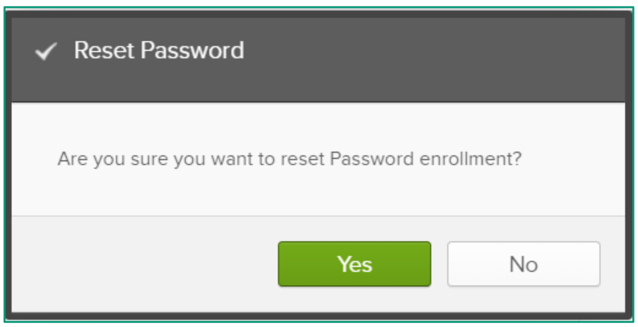
- For **CPA Exam and Licensing** questions please call 1-800-CPA-EXAM
- For **CPE Audit Service** questions please send an email to cpeauditservice@nasba.org
- For **ALD sFTP site** credentials questions, please send an email to ald@nasba.org

This is an automatically generated message by Okta. Replies are not monitored or answered.

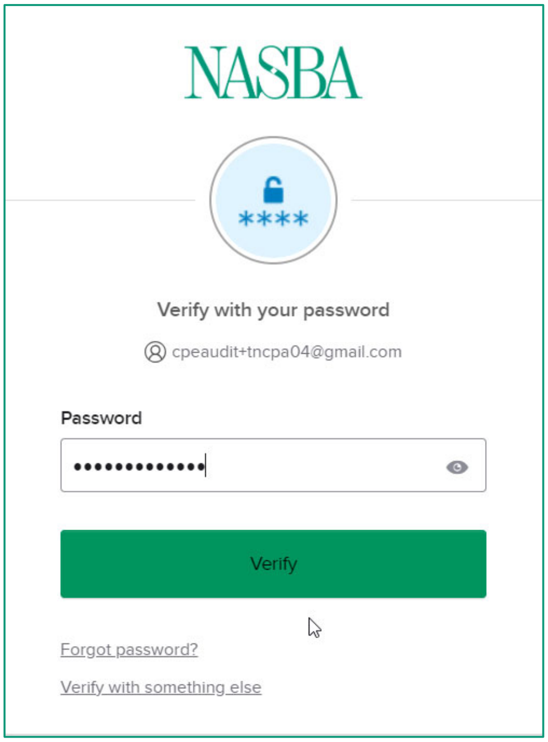
Reset/Update Password



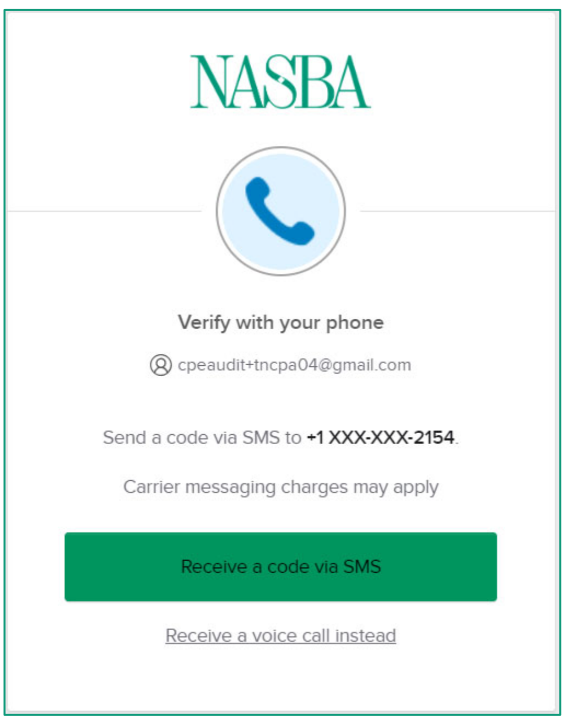
- Choose the “Reset” button next to the **Password** field.



- Choose the “Yes” button to continue.
  - Choosing the “No” button will return to the Okta profile page.

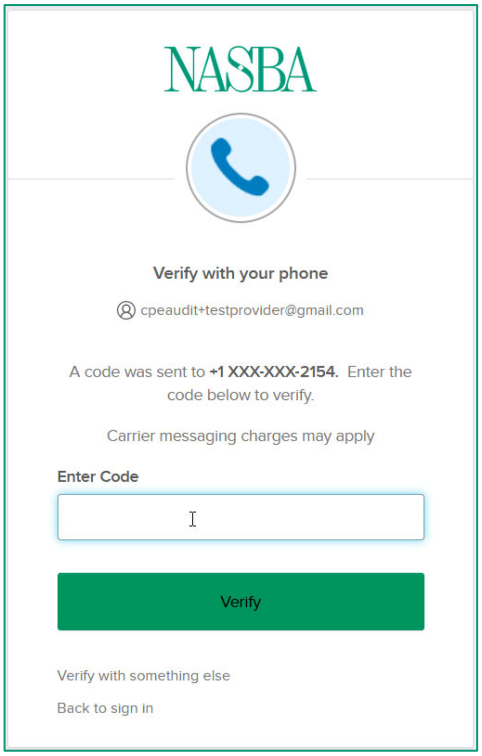


- Type in the current account password in the Password field.
- Choose the Verify button.

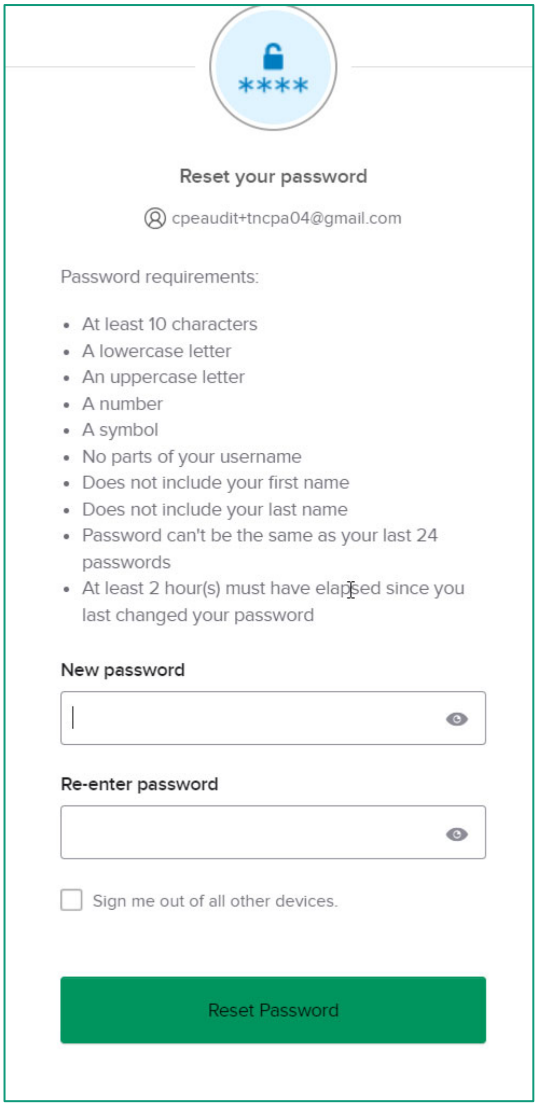


- Choose either “Receive a code via SMS” or “Receive a voice call instead”.

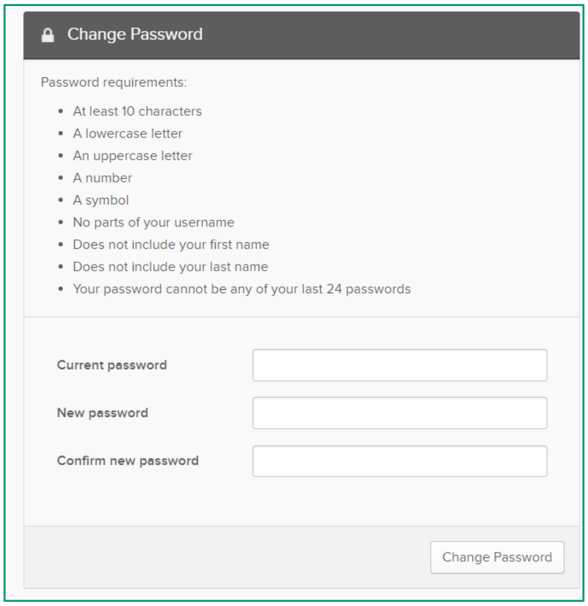
- A code will be sent to the phone number on the account via text or a voice call to that number.



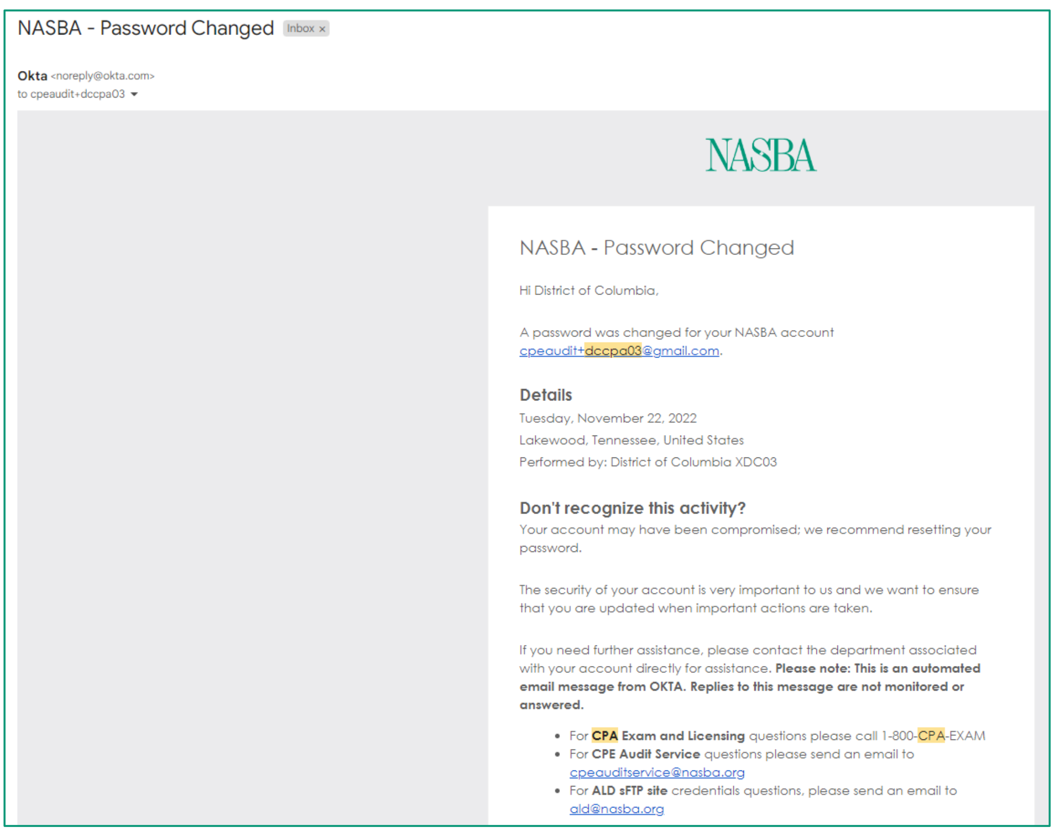
- Type the code received into the Enter Code field and choose the **Verify** button



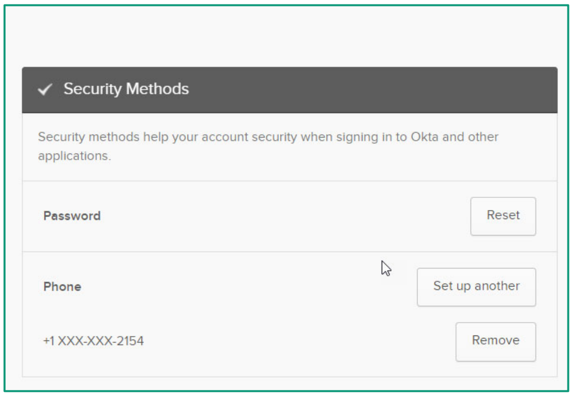
- Type in the new password in the **New Password** and the **Repeat password** fields.
- Choose the **Reset Password** button.



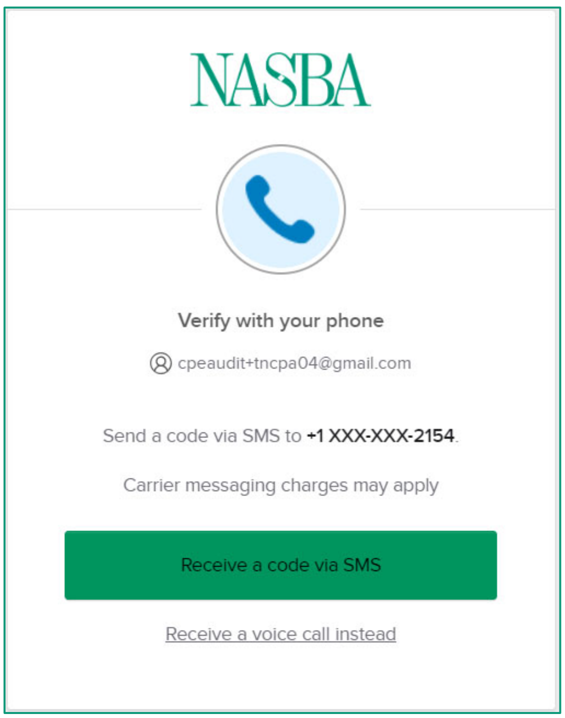
- Type the old password in the **Current Password** field.
- Type the new password in the **New Password** field.
- Retype the new password in the **Confirm new password** field.
- Choose the Change Password button.
- A confirmation e-mail is sent to the account e-mail address:



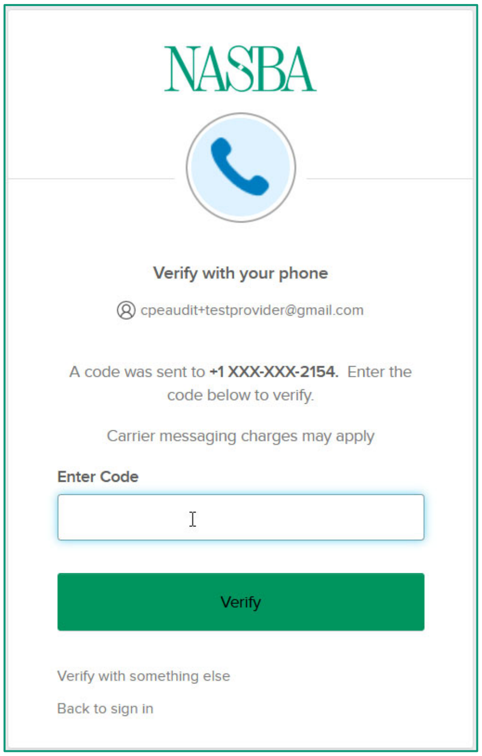
Update Multifactor Authentication (MFA) Phone Number



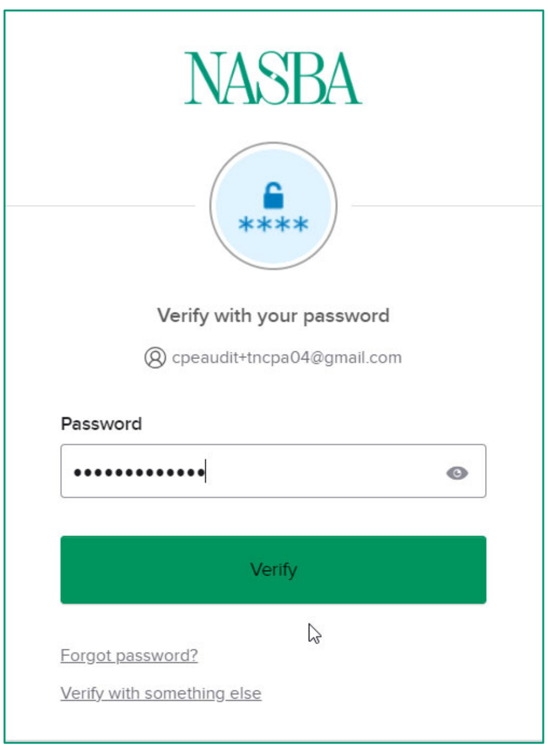
- Choose the “Set Up another” button next to the **Phone** field.



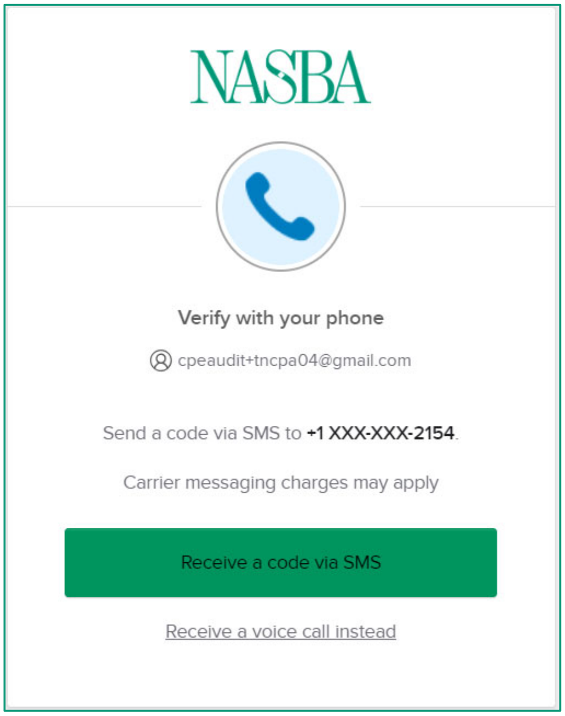
- Choose either “Receive a code via SMS” or “Receive a voice call instead”.
- A code will be sent to the phone number on the account via text or a voice call to that number.



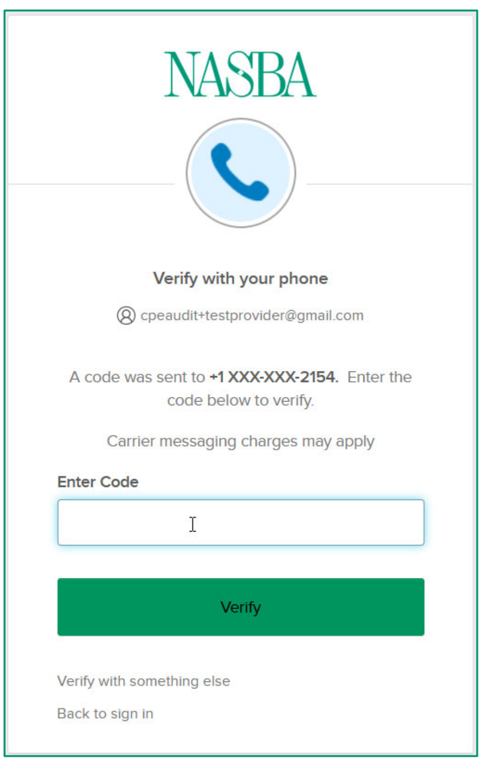
- Type the code received into the Enter Code field and choose the **Verify** button



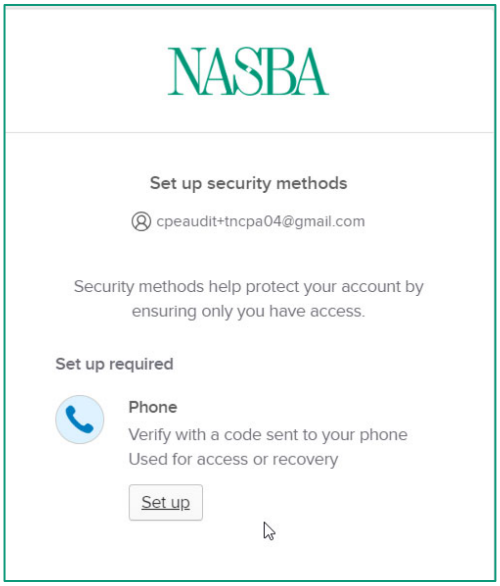
- Type in the current account password in the Password field.
- Choose the **Verify** button.



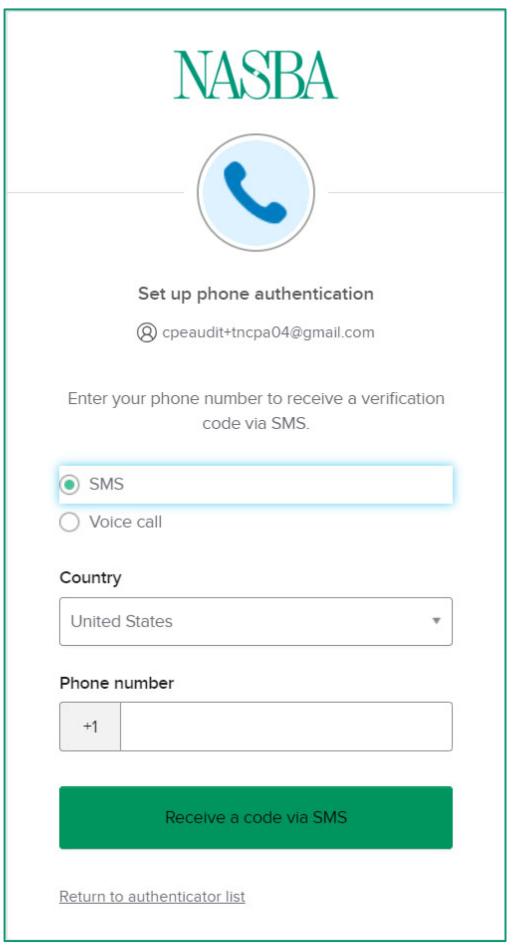
- Choose either “Receive a code via SMS” or “Receive a voice call instead”.
- A code will be sent to the phone number on the account via text or a voice call to that number.



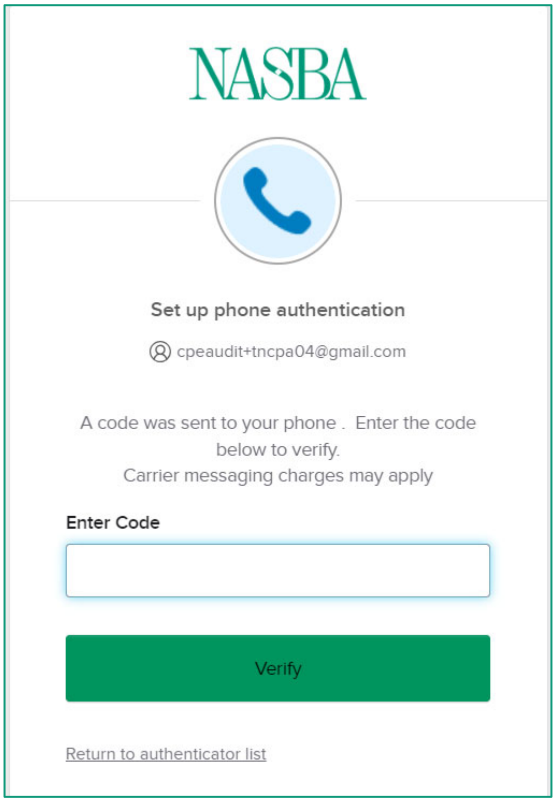
- Type the code received into the Enter Code field and choose the Verify button.



- Choose the Set up button

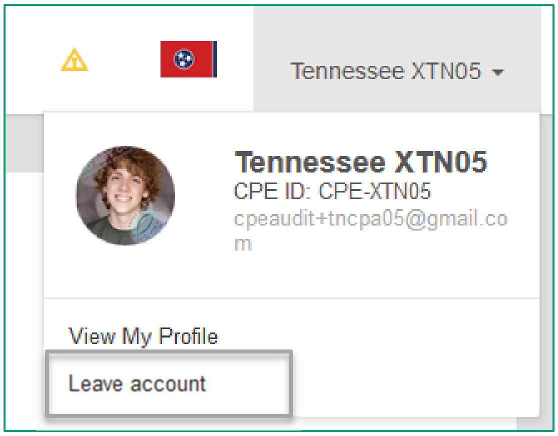


- Choose either the “SMS” (text) or “Voice call” button to indicate how the code information is to be sent to the new phone number.
- Type in the new phone number in the **Phone number** field.
- Choose the **Receive a code via SMS** button or the **Receive a code via voice** call button.



- Type the code received in to the **Enter Code** field.
- Choose the **Verify** button.
- The Edit Profile page with the additional phone number will be displayed.

Leave Account

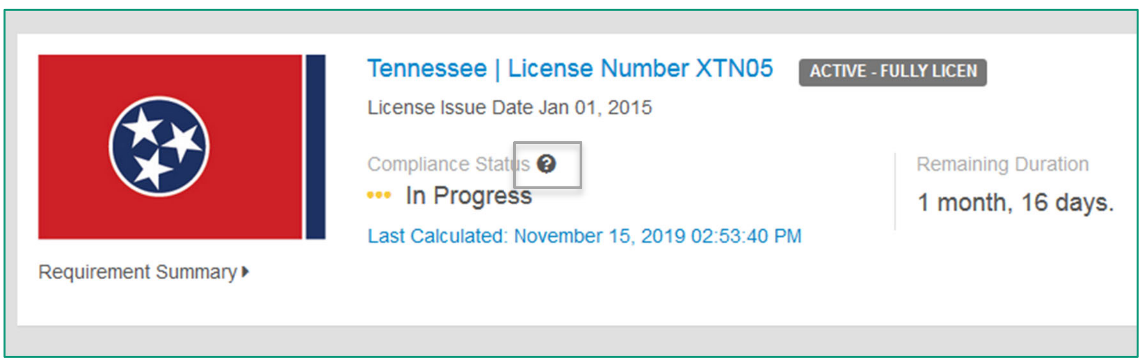


- To log off the system, click the Leave Account option in the profile menu.

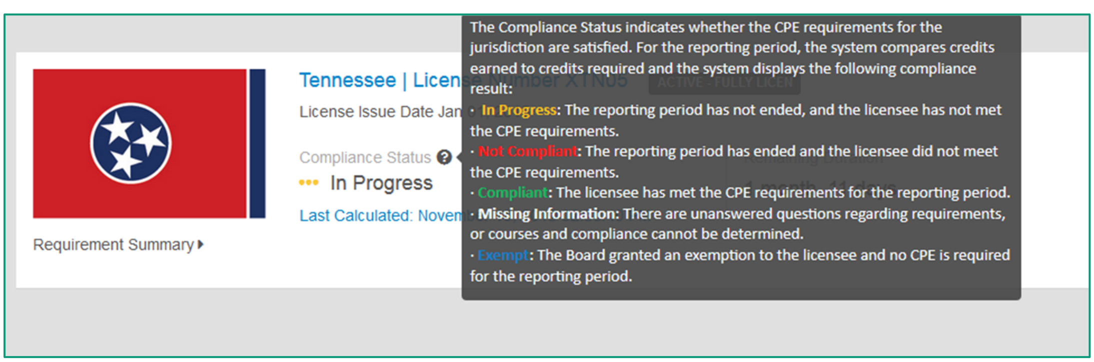
Tooltips

For specific fields, throughout the application, help text is available when a question mark icon is displayed next to the field label.

Example:

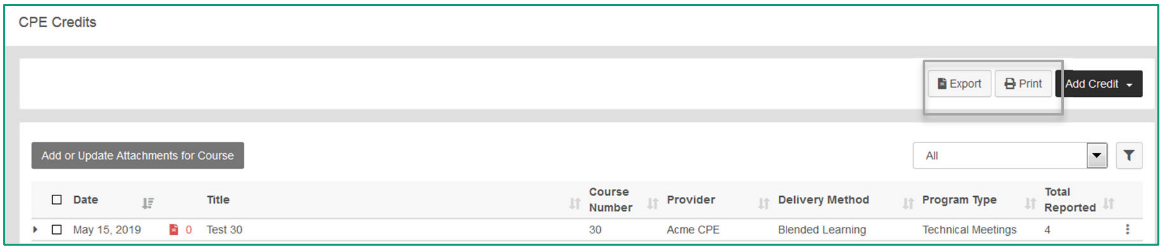


- Move the cursor over the tooltip icon to display the help text.
- Text explaining the field associated with the tooltip is displayed.

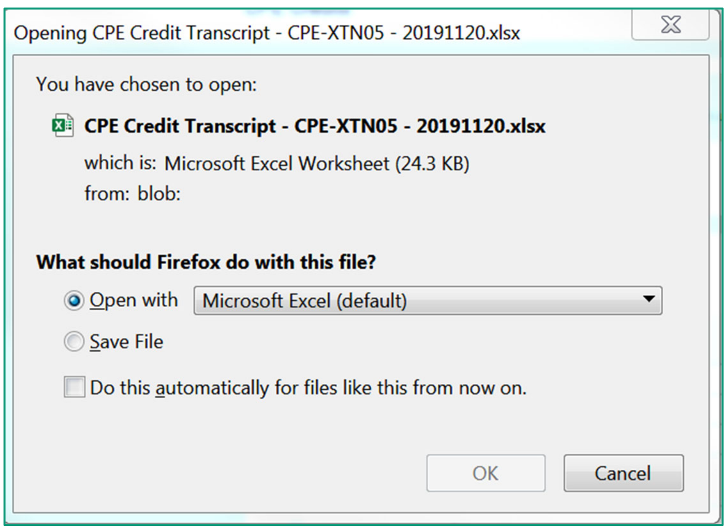


Export/Print

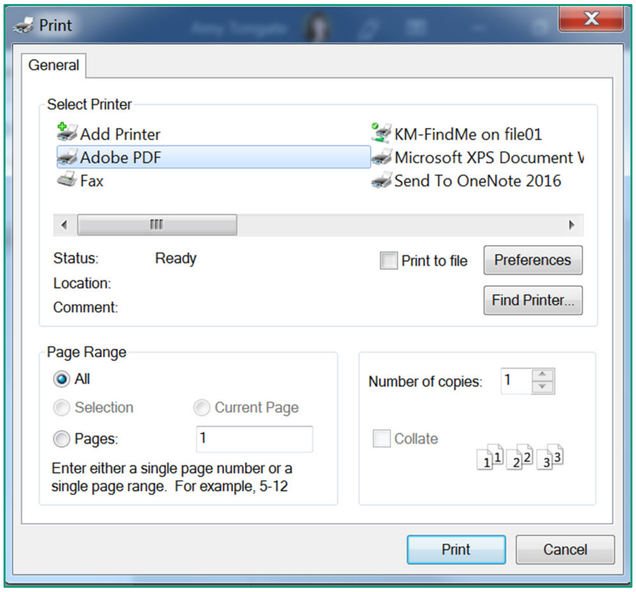
Most grids in the application that display information can be exported to an Excel spreadsheet (an .xls file) or printed to a .pdf file.



- The **Export** and **Print** buttons appear to the top and right of the grid.
- By clicking the Export button, an Excel spreadsheet file will be created that can then be opened or saved from the dialog box displayed by your browser.

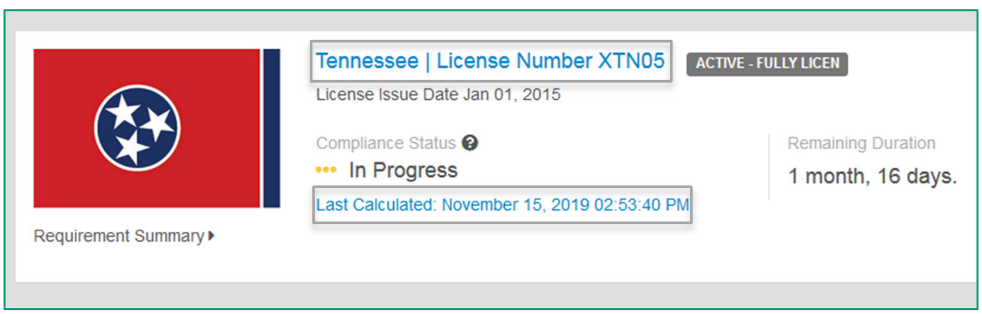


- By clicking the Print button, an Adobe .pdf file will be created that can then be opened or saved from the dialog box displayed by your browser.



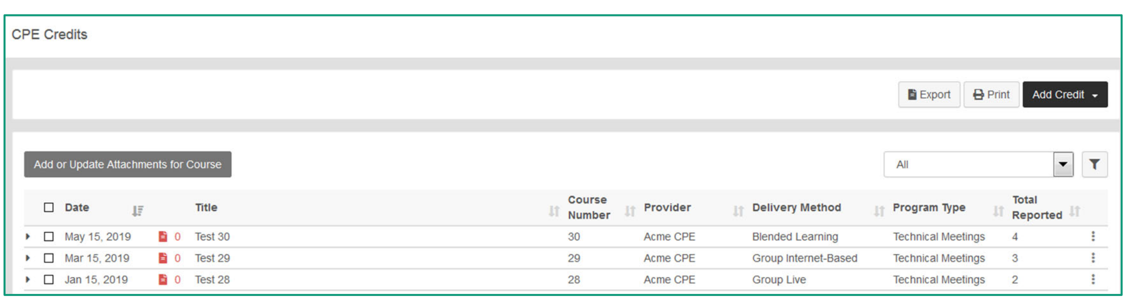
Links

Sections of text that are highlighted in blue are links to other functionality or pages within the application.



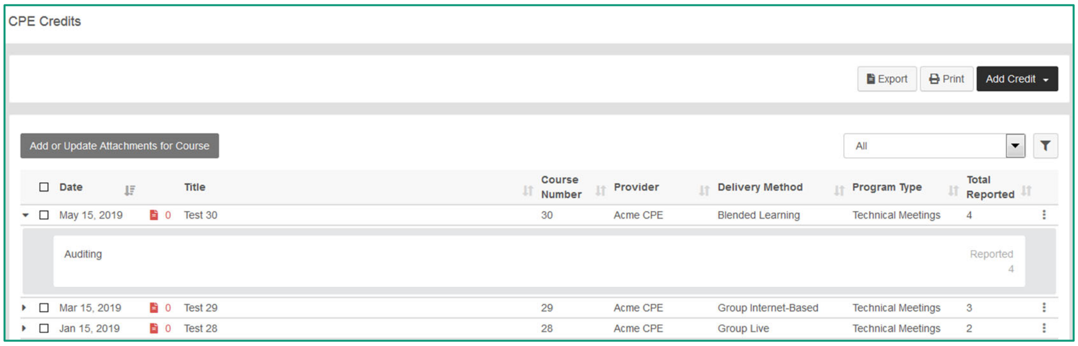
- When the mouse moves over hyperlinks, it changes from an arrow to a "hand" icon.
- Click the hyperlink to perform the action or navigate to the new page.

Expand Icons



- By default, information in a grid is displayed in one row (collapsed) where its additional information is hidden.

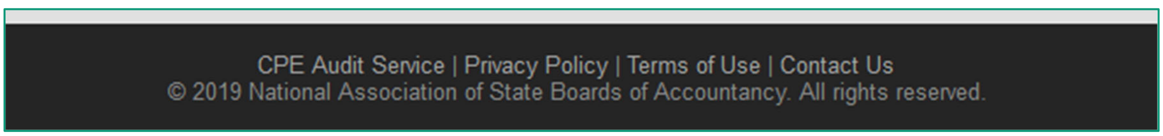
- A collapse icon, a “triangle”, is displayed on the left side of the grid for each row.
- Click on the collapse icon to expand the row and view additional details for the record.



- Click on the collapse icon again to close the expanded information.

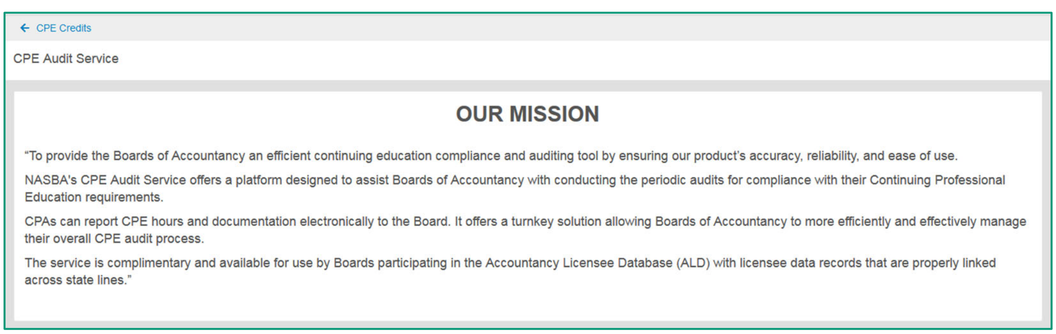
Footer

At the bottom of every page within the CPE Audit Service, a set of links and information is available for your reference.



CPE Audit Service

- By clicking on the “CPE Audit Service” text in the footer, the mission statement for the application is displayed.



Privacy Policy

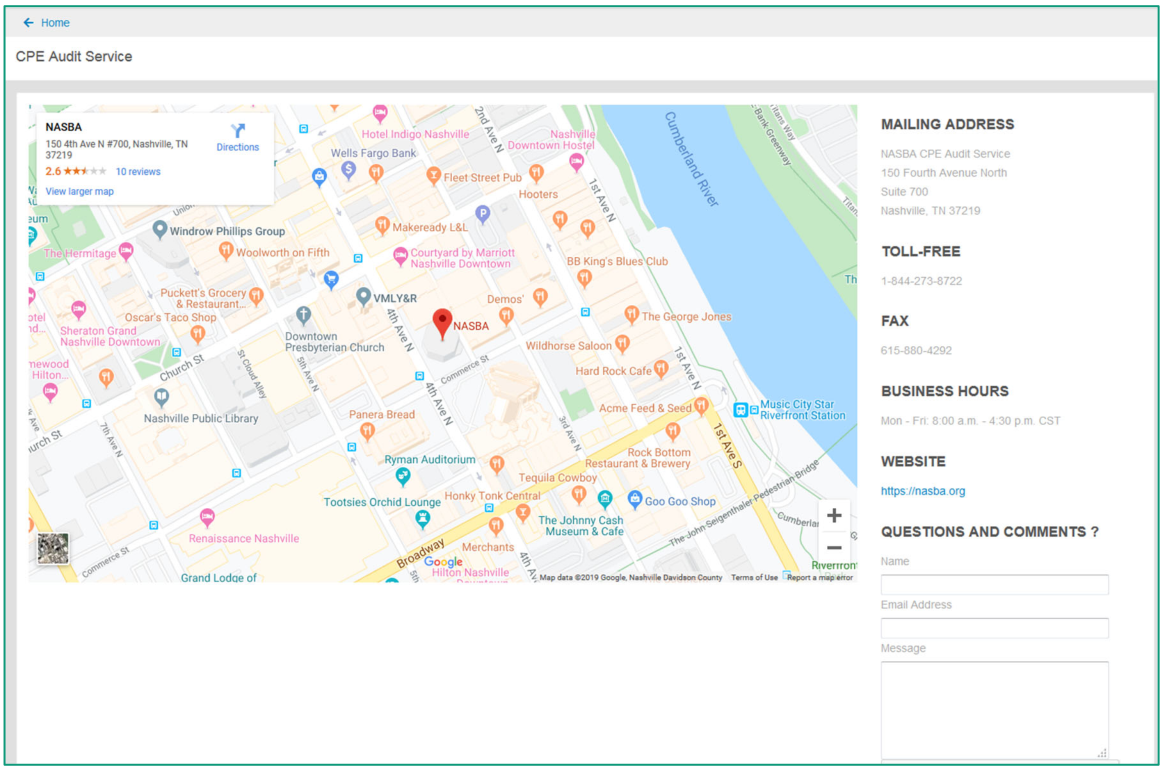
- By clicking on the “Privacy Policy” text in the footer, the privacy policy for NASBA is listed for your review in a separate browser window.

Terms of Use

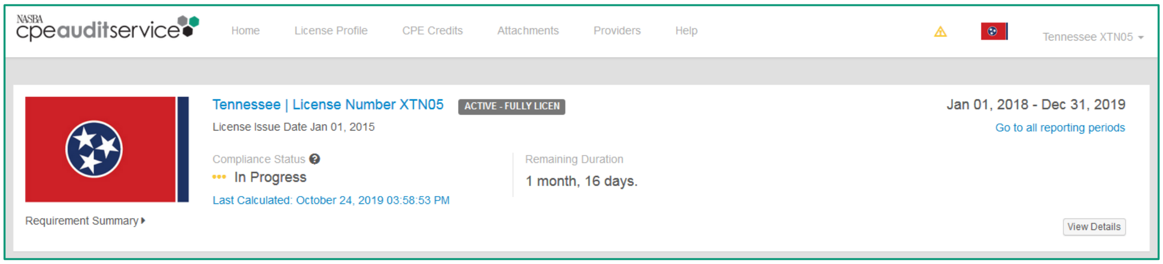
- By clicking on the “Terms of Use” text in the footer, the Terms of Use for NASBA is listed for your review in a separate browser window.

Contact Us

- By clicking on the “Contact Us” text in the footer, the CPE Audit Service address, phone number and hours are displayed.
- A form for Questions and Comments is also displayed, allowing you to send an e-mail to the *CPE Audit Service* team.



Home



License and Compliance Information

- The Home page displays all the CPA license information, as well as their overall compliance information for the reporting period that is in progress.
  - The license information displayed is populated from the state's information in the **Accounting Licensee Database (ALD)** as sent by the Board of Accountancy from their licensing system.
  - The reporting period and compliance information displayed with the license information is calculated based on the state's CPE rules as they are applied to the coursework entered by the CPA.
- A CPA may have more than one state's license information displayed, if they are licensed in multiple states that are participating in use of the *CPE Audit Service*.
  - Board staff users can only see the license information for their own state – they will not see any other licenses in the CPA account.

License Information

- The state flag is displayed at the top left of the display.
- The state name and the license number for the CPA in that state is displayed to the right of the flag.
  - This text is a hyperlink to the License Profile page, discussed later in this document.
- The current license status for the CPA license in the state is displayed next to the license number.
- The license issue date is displayed below the license number and status information.
- The Go to all reporting periods link is a hyperlink to the License Profile page, discussed later in this document.

Compliance Information

- The start and end date for the current reporting period are displayed at the top right of the box.
- The **Compliance Status** of the current reporting period is displayed to the right of the state flag image.

- The Compliance Status indicates whether the CPE requirements for the jurisdiction are satisfied. For the reporting period, the system compares credits earned to credits required and the system displays the following compliance result:
  - In Progress: The reporting period has not ended, and the licensee has not met the CPE requirements.
  - Not Compliant: The reporting period is ended and the licensee did not meet the CPE requirements.
  - Compliant: The licensee has met the CPE requirements for the reporting period.
  - **Missing Information**: There are unanswered questions regarding requirements, or courses and compliance cannot be determined.
  - Exempt: The Board granted an exemption to the licensee and no CPE is required for the reporting period.
- The **Time Remaining** value indicates the months and days remaining in the reporting period based on today's date and the end date for the reporting period.
- The **Last Calculated** link shows the last time (date and time) that compliance was calculated for the license.
  - Click on the link to recalculate compliance.
  - The date/time stamp will be updated.

Requirements Summary

- Click the collapse icon next to the Requirements Summary label to view the current requirements and compliance for the reporting period.

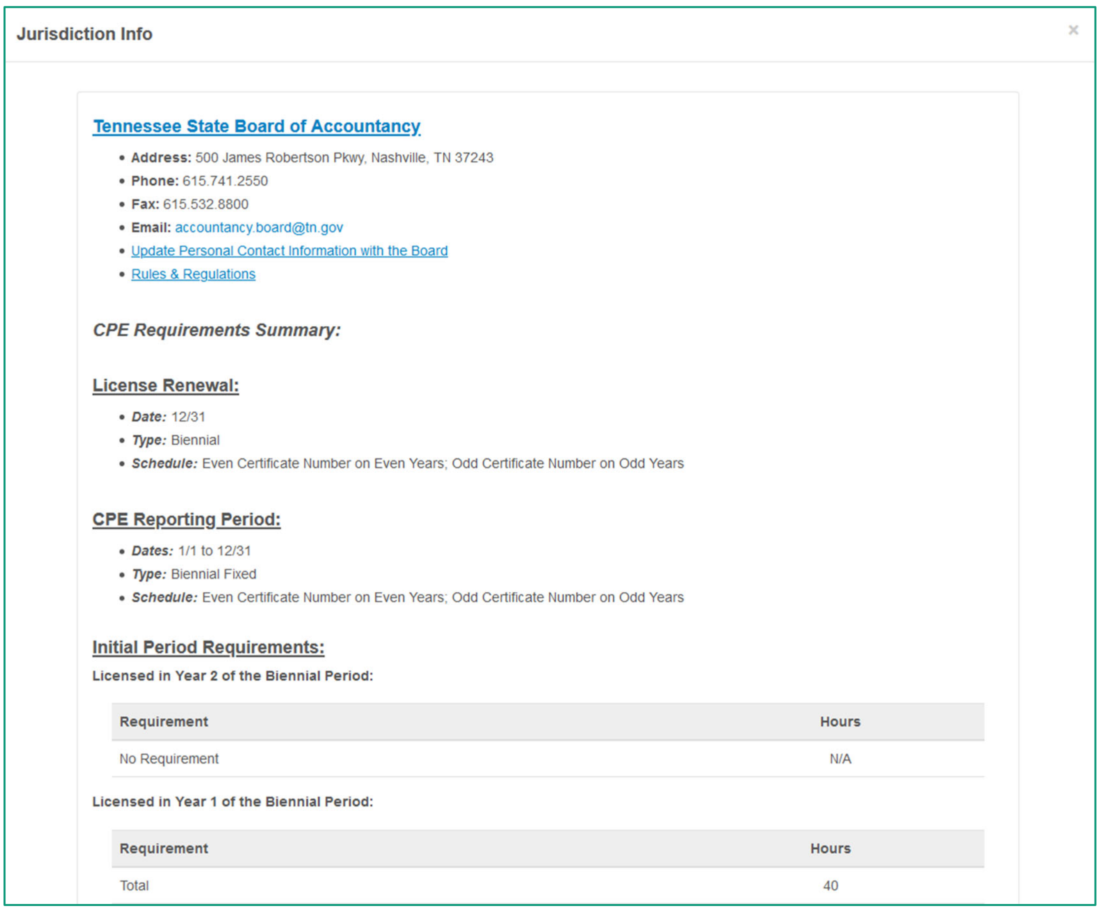
Requirements	Required	Earned	Short	Requirement Met?
Total Hours	80	41.8	38.2	
Minimum Hours, Non-carried in year 1 (2018)	20	32.8		✓
Minimum Hours, Non-carried in year 2 (2019)	20	9	11	
Technical	40	29.8	10.2	
Tennessee-Specific Ethics	2	0	2	

- The state's CPE requirement names are listed in the **Requirements** column.
- The number of CPE hours required for each requirement type are displayed in the **Required** column.
- The number of CPE hours earned for each requirement type, based on the state's CPE rules and the coursework entered by the CPA, is displayed in the **Earned** column.

- The number of CPE hours lacking based on the hours required less the hours earned is displayed in the **Short** column.
- If the number of hours earned meets or exceeds the number of hours required for a requirement type, then a green check mark will appear in the **Requirement Met?** column.
- Click the collapse icon again to hide the Requirements Summary display.

View Details

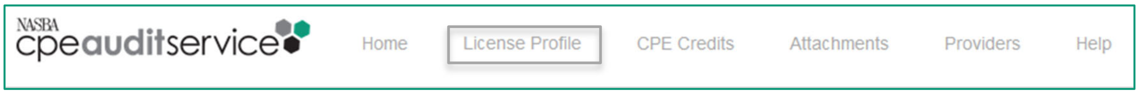
- Choose the **View Details** button to review contact information for and a summary of the CPE requirements programmed for the state.



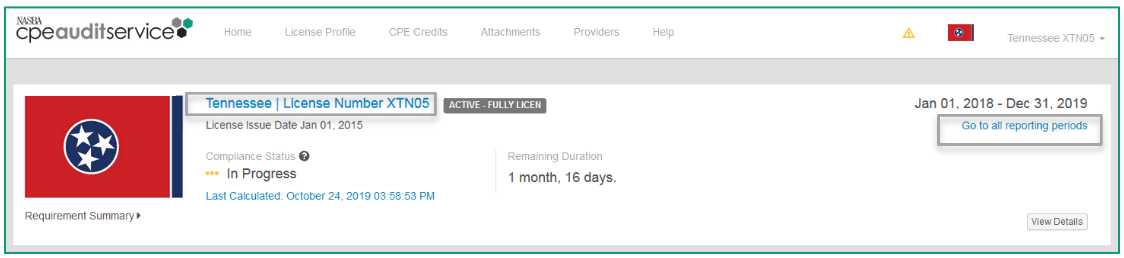
- Click the “X” icon at the top right or the **Close** button at the bottom left of the overlay screen to return to the Home page.

License Profile

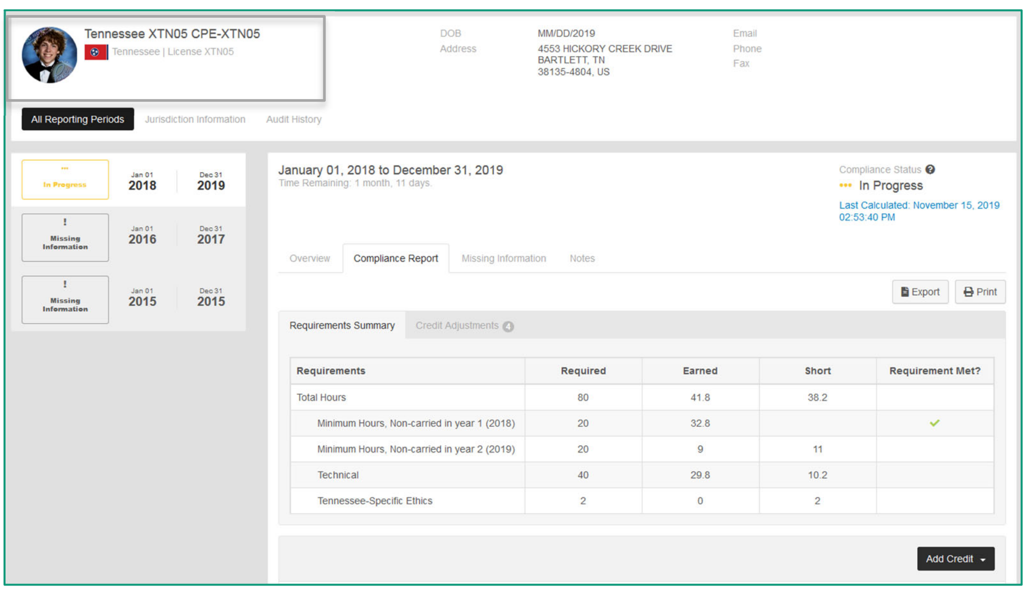
From this page, a CPA can view license information, reporting period and requirement information along with its compliance, resolve unanswered questions and submit to the Board in response to an audit.



- Navigate to the License Profile page
    - Choose the “License Profile” menu from the header row of any page.
- Choose the state name/license number hyperlink on the home page.



- Choose the Go to all reporting periods hyperlink on the home page.
- The License Profile page is displayed.



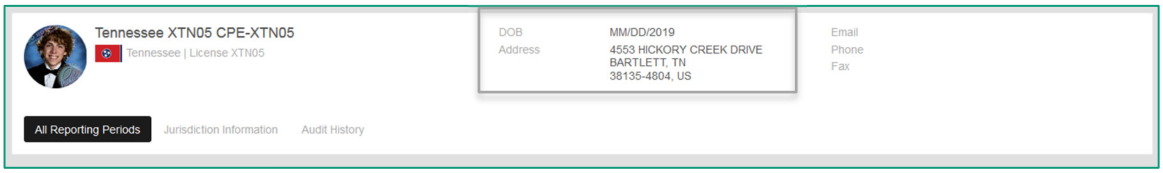
Licensee Information

Left Column

- The licensee profile picture or initials are displayed in the circle at the top left of the page.

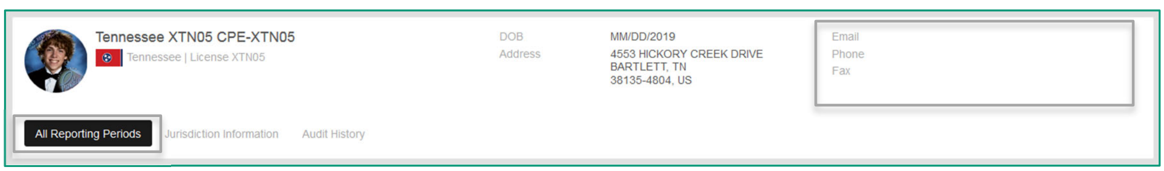
- The licensee first and last name appear to the right of the profile picture.
    - This is the first and last name as sent to the *CPE Audit Service* by the Board. It can only be changed if the Board changes the name in their licensing system, which would then update the *CPE Audit Service*.
- The licensee's CPE ID number is displayed to the right of the licensee name.
    - The CPE ID number is the licensee's unique ID for any CPE provider that is sending in CPE attendance information electronically. It cannot be changed.
- The state flag image, state name and license number for the CPA is listed below the name.

Center Column



- The **DOB** field shows the masked date of birth as sent by the Board, if provided.
- The **Address** field shows the address as sent by the Board.
    - This could be the mailing, business or preferred address depending on which the Board wished to populate to the application.

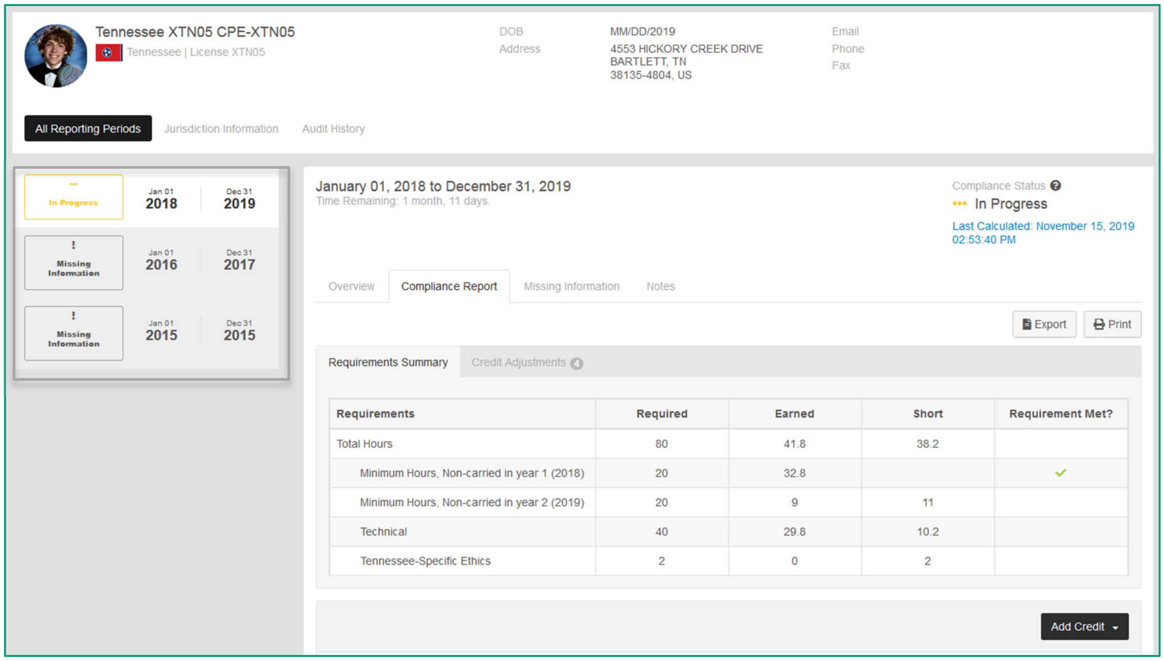
Right Column



- The **Email** field displays the e-mail address as sent by the Board, if any.
    - This can be different than the e-mail address selected by the CPA for logging in to the application.
- The **Phone** field displays the phone number as sent by the Board, if any.
- The **Fax** field displays any fax number as sent by the Board, if any.

All Reporting Periods

The default view on the License Profile page is to display the compliance information for the current reporting period. All other reporting periods are listed along the left side of the page.

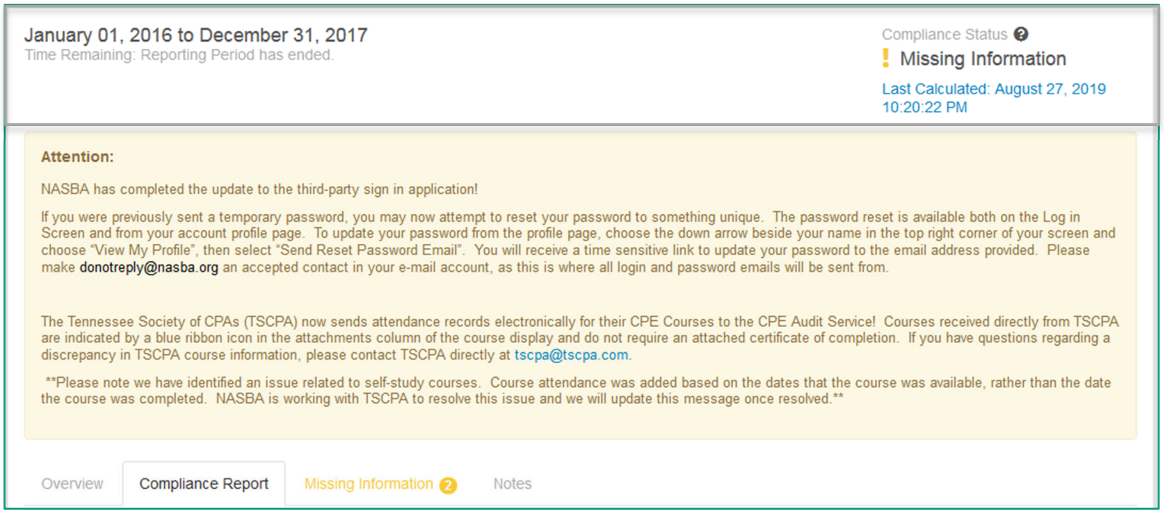


Choosing a Reporting Period

- The different reporting periods available to view are listed on the left side of the page.
- The compliance status, along with the reporting period start and end dates are listed for each period.
- To view a different reporting period's information, click on the desired period in the reporting period ribbon. The compliance information to the right will refresh to show that period's information.

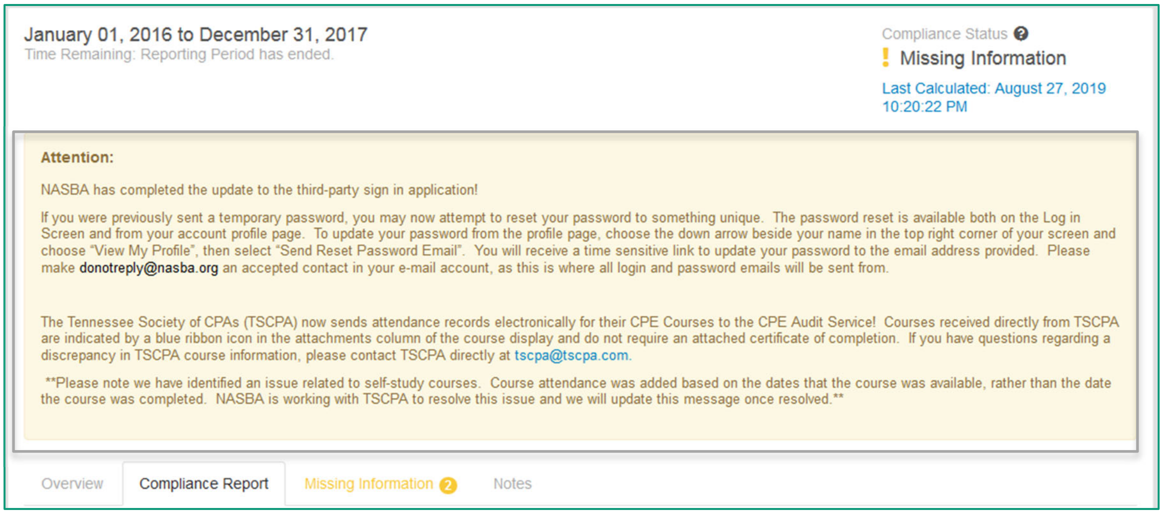
Reporting Period Details and Jurisdiction Messages

Reporting Period Details



- The start and end date of the reporting period selected is listed at the top left.
- The Compliance Status at the top right indicates whether the CPE requirements for the jurisdiction are satisfied. For the reporting period, the system compares credits earned to credits required and the system displays the following compliance result:
  - **In Progress**: The reporting period has not ended, and the licensee has not met the CPE requirements.
  - **Not Compliant**: The reporting period is ended and the licensee did not meet the CPE requirements.
  - **Compliant**: The licensee has met the CPE requirements for the reporting period.
  - **Missing Information**: There are unanswered questions regarding requirements, or courses and compliance cannot be determined.
  - **Exempt**: The Board granted an exemption to the licensee and no CPE is required for the reporting period.
  - The **Time Remaining** value, below the reporting period start and end dates, indicates the months and days remaining in the reporting period based on today's date and the end date for the reporting period.
  - The **Last Calculated** link shows the last time (date and time) that compliance was calculated for the license.
    - Click on the link to recalculate compliance.
    - The date/time stamp will be updated.

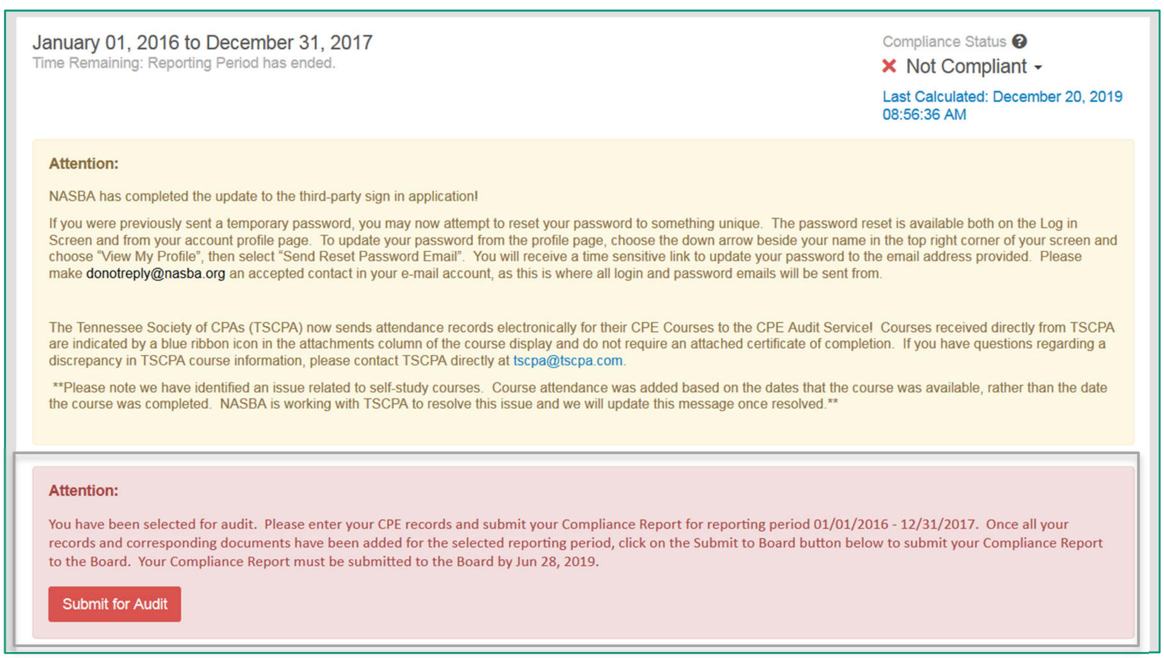
Jurisdiction Messages



- If a Board requests it, information can be added to the page to make CPAs aware of certain CPE or other information.
- This information appears in a yellow box below the reporting period information.

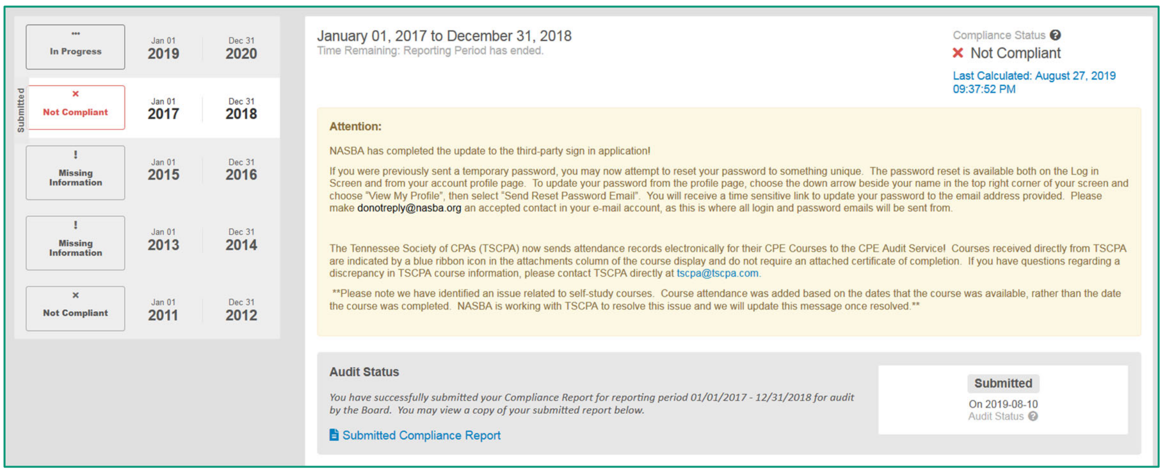
Audit Notifications

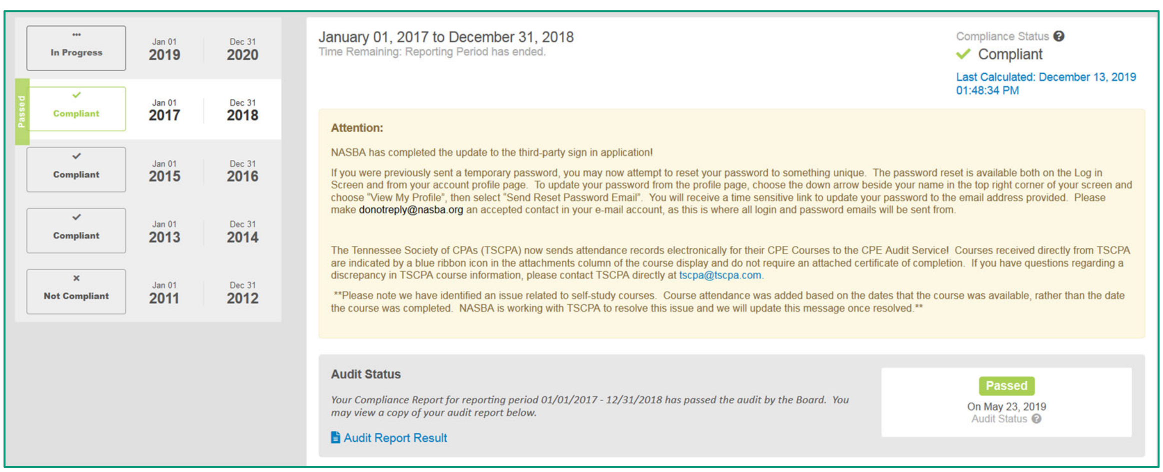
If the Board has selected a reporting period for audit, an audit notification message box will be displayed above the Requirements Summary grid.

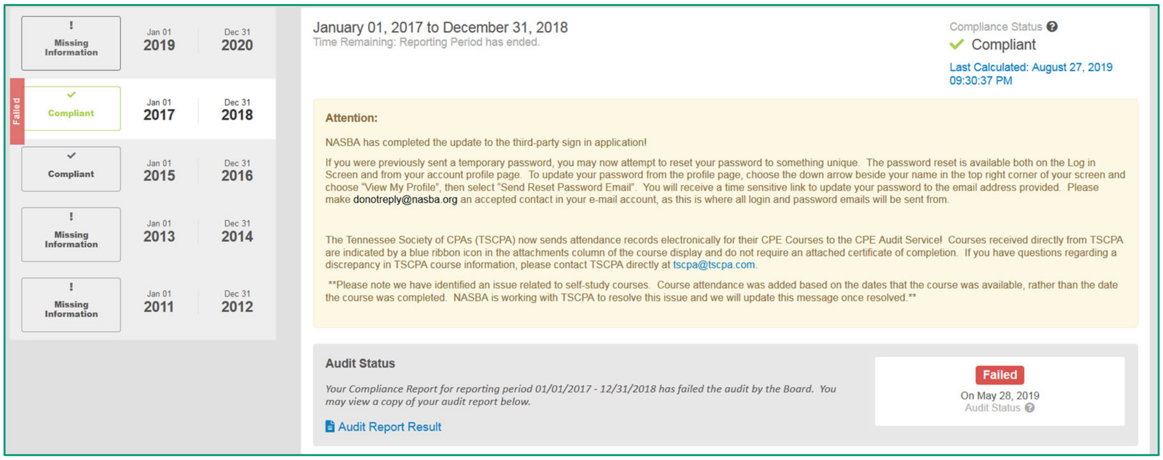


An e-mail will be sent to the address that is the CPA username for the account to notify the CPA that they are selected for audit, like the one shown below:

Once you submit your report to the Board in response to the audit and the audit progresses, the audit message will be updated:



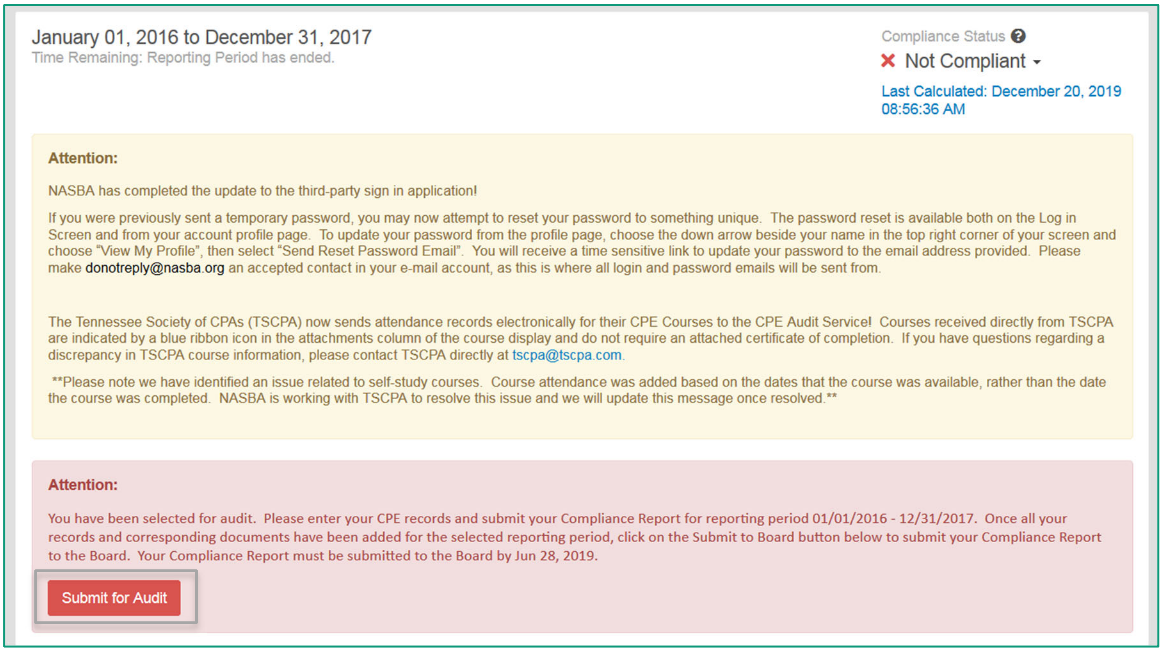




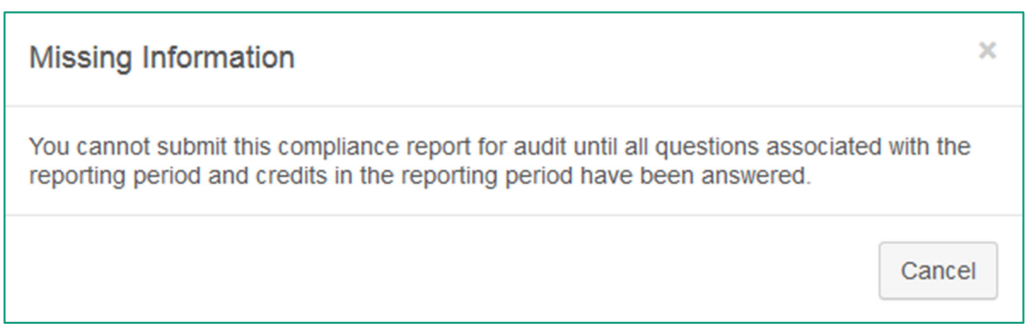
Choose either the **Submitted Audit Report** or the **Audit Report Result** link to access those reports and generate a .pdf file of the report.

Submitting Report for Audit

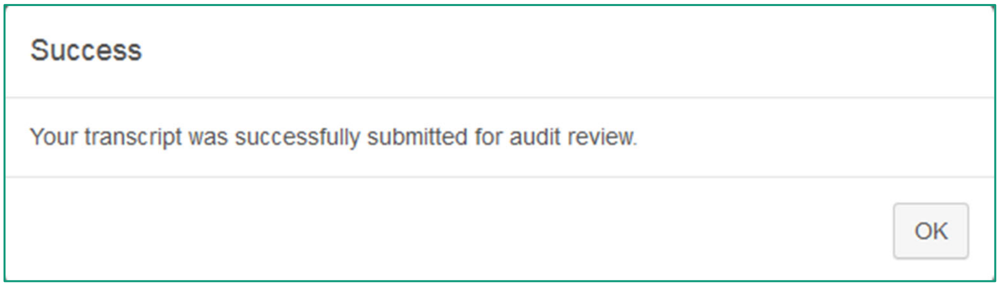
If you are selected for audit, take the following steps to submit your CPE, documentation and compliance information to the Board:



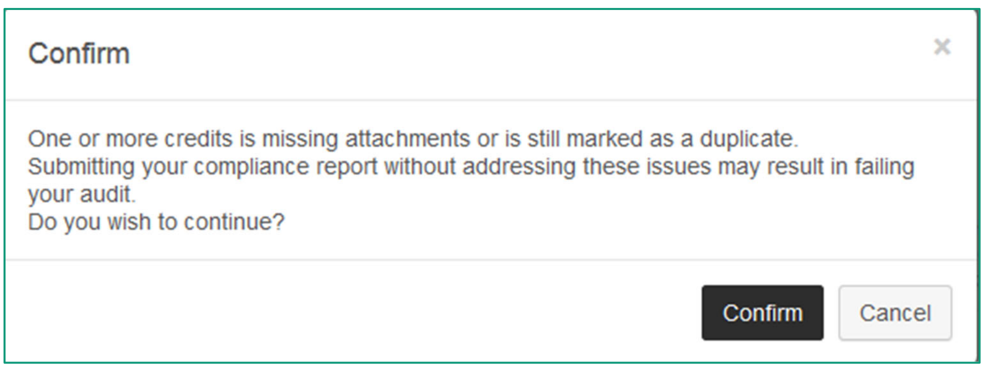
- Enter in all coursework, with attachments, using Add Credits.
- Remove any duplicate attendance records prior to submission.
- Choose the **Submit for Audit** button in the audit message box.
- If there are unanswered questions for the reporting period (the compliance status is Missing Information), the following message will be displayed, and the audit information will not be submitted.



  - Choose the **Cancel** button and resolve the missing questions by providing responses.
- If the compliance status is not "Missing Information", then a success message will be displayed:



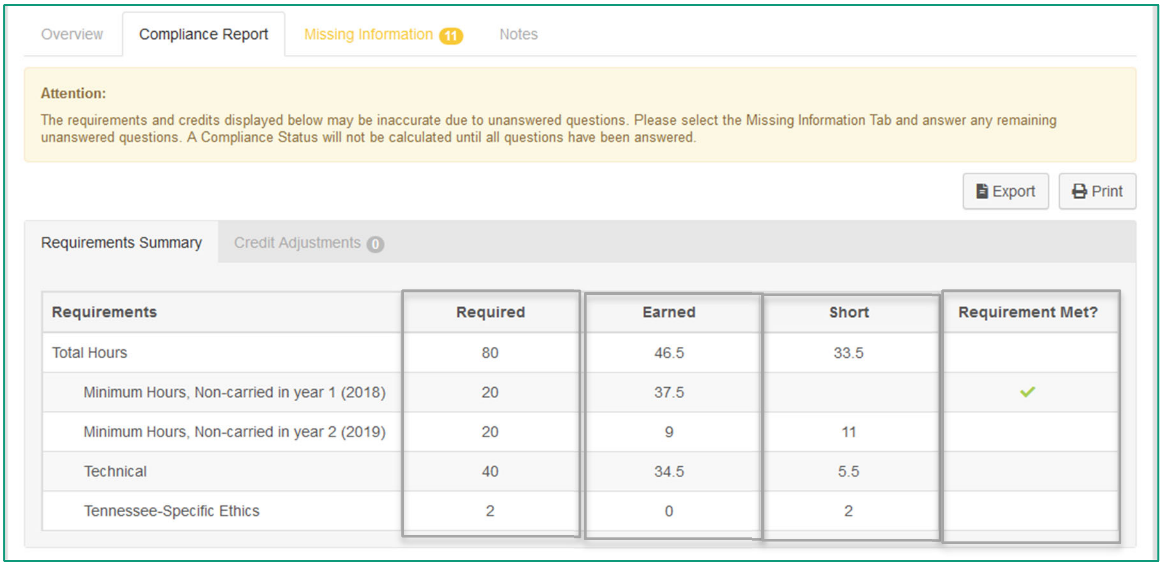
- Choose the **OK** button to return to the Compliance Report. The audit status for the reporting period will change to “Submitted”.
  - Refer to the section on Audit Notifications and the Submitted Compliance Report.
- If there are potential duplicate courses that are not resolved or courses without attachments, then a warning message is displayed:



- Choose the **Cancel** button to return to the compliance report and resolve the duplicate courses and/or add attachments to courses where needed. Then resubmit the report to the Board.
- Choose the **Confirm** button to submit your report to the Board for the audit. The success message will then be displayed.

Compliance Report

This tab is the default view for the reporting period selected.



Overview | Compliance Report | Missing Information 11 | Notes

Attention:

The requirements and credits displayed below may be inaccurate due to unanswered questions. Please select the Missing Information Tab and answer any remaining unanswered questions. A Compliance Status will not be calculated until all questions have been answered.

Export | Print

Requirements Summary | Credit Adjustments 0

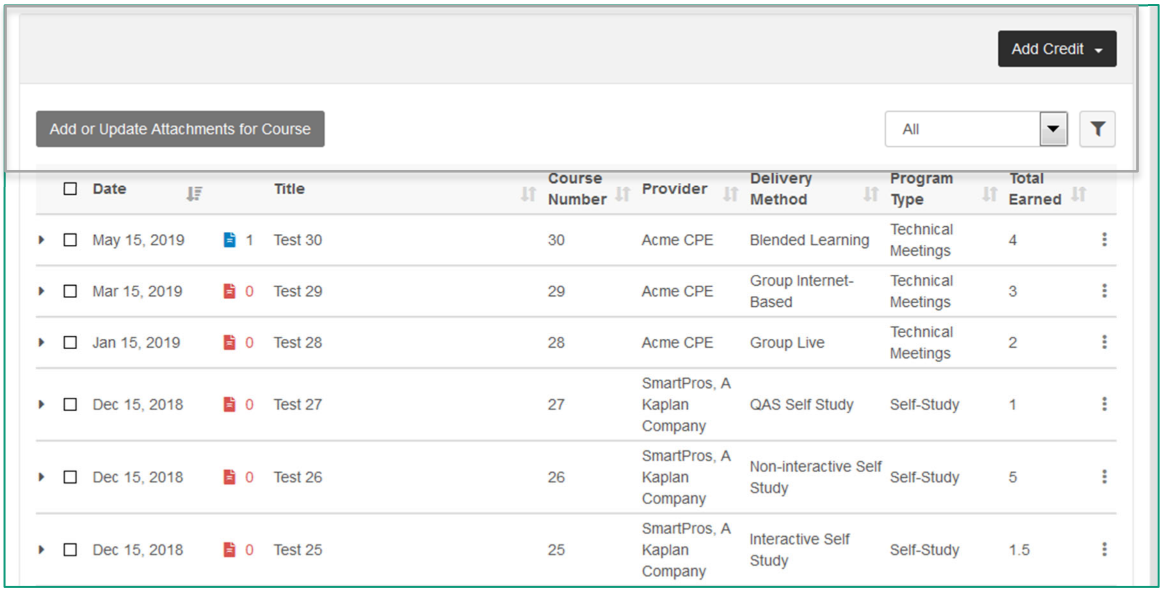
Requirements	Required	Earned	Short	Requirement Met?
Total Hours	80	46.5	33.5	
Minimum Hours, Non-carried in year 1 (2018)	20	37.5		✓
Minimum Hours, Non-carried in year 2 (2019)	20	9	11	
Technical	40	34.5	5.5	
Tennessee-Specific Ethics	2	0	2	

Requirements Summary

- The state's CPE requirement names are listed in the **Requirements** column.
- The number of CPE hours required for each requirement type are displayed in the **Required** column.
- The number of CPE hours earned for each requirement type, based on the state's CPE rules and the coursework entered by the CPA, is displayed in the **Earned** column.
- The number of CPE hours lacking based on the hours required less the hours earned is displayed in the **Short** column.
- If the number of hours earned meets or exceeds the number of hours required for a requirement type, then a green check mark will appear in the **Requirement Met?** column.
- Click the collapse icon again to hide the Requirements Summary display.

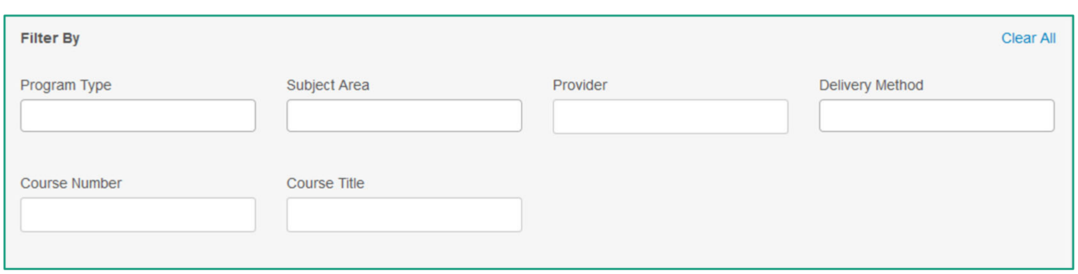
Courses

Below the Requirements Summary grid, a listing of all courses entered with completion dates within the reporting period are displayed.

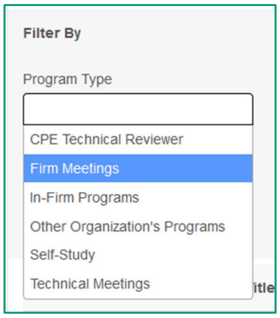


Date		Title	Course Number	Provider	Delivery Method	Program Type	Total Earned
May 15, 2019	1	Test 30	30	Acme CPE	Blended Learning	Technical Meetings	4
Mar 15, 2019	0	Test 29	29	Acme CPE	Group Internet-Based	Technical Meetings	3
Jan 15, 2019	0	Test 28	28	Acme CPE	Group Live	Technical Meetings	2
Dec 15, 2018	0	Test 27	27	SmartPros, A Kaplan Company	QAS Self Study	Self-Study	1
Dec 15, 2018	0	Test 26	26	SmartPros, A Kaplan Company	Non-interactive Self Study	Self-Study	5
Dec 15, 2018	0	Test 25	25	SmartPros, A Kaplan Company	Interactive Self Study	Self-Study	1.5

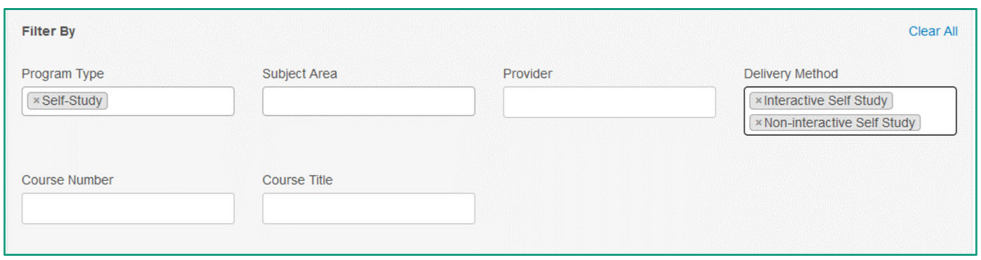
- Adding new credits can be initiated using the Add Credit button.
- To add or update attachments to a course or courses, click on the check box for the desired course(s) and select the Add or Update Attachments for Course button.
- Courses can be filtered by dates using the dropdown menu located below the Add Credit button.
    - The default view is **All** which displays all courses that fall within the reporting period date range.
    - Choose the yearly option(s) to display only the courses whose end date falls within the specified year of the reporting period.
    - Choose the **Date Range** option to select a specific set of dates. Only courses whose end date falls in the range will be displayed.
- Choose the Filter icon to display advanced filters for the listing of courses.



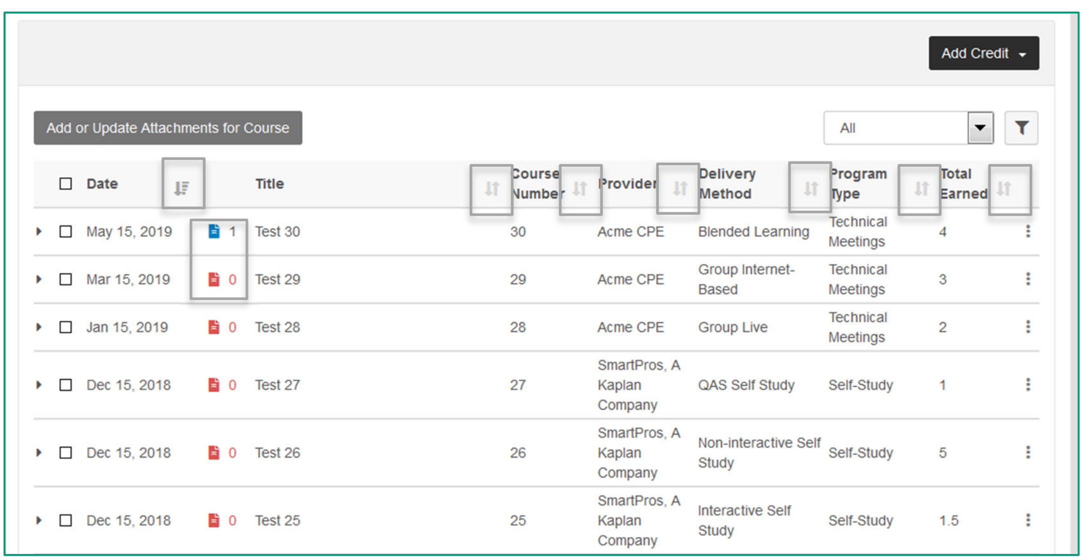
- Clicking in any of the filter options shows a display of the possible values contained within the set of courses.



- The data filters include Program Type, Subject Area, Provider, Delivery Method, Course Number and Course Title.
- Multiple filters can be used together by choosing values in more than one filter field.
- Multiple values can be selected for each filter by clicking in the field to see the possible values and selecting until all the desired values are chosen.
- Choose the Clear All link to remove all filters.



- The courses are listed in descending Date order, newest to oldest, by default.

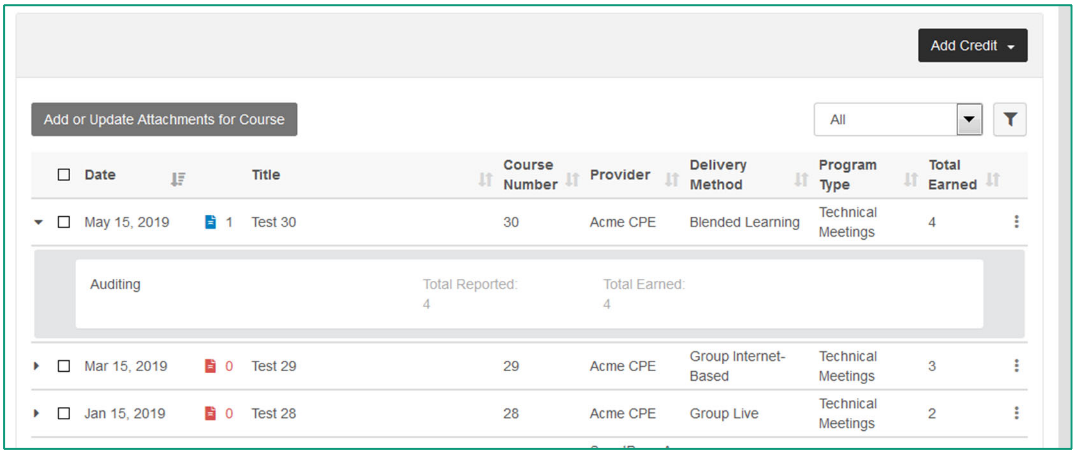


Date		Title	Course Number	Provider	Delivery Method	Program Type	Total Earned
May 15, 2019	1	Test 30	30	Acme CPE	Blended Learning	Technical Meetings	4
Mar 15, 2019	0	Test 29	29	Acme CPE	Group Internet-Based	Technical Meetings	3
Jan 15, 2019	0	Test 28	28	Acme CPE	Group Live	Technical Meetings	2
Dec 15, 2018	0	Test 27	27	SmartPros, A Kaplan Company	QAS Self Study	Self-Study	1
Dec 15, 2018	0	Test 26	26	SmartPros, A Kaplan Company	Non-interactive Self Study	Self-Study	5
Dec 15, 2018	0	Test 25	25	SmartPros, A Kaplan Company	Interactive Self Study	Self-Study	1.5

- Each column heading has an ascending/descending sort icon next to it. Click on the arrows icon to sort in ascending or descending order.
- Each row of the grid contains the details for an individual course:

COLUMN TITLE	DETAILS
Expander Icon	Each row within the grid can be expanded to show the Subject Area(s) and credit for the course. Choose the icon to view the subject areas for the course.
Checkbox	Click in this box in order to add or update an attachment.
Date	The end date entered for the course
Attachment	A red paper icon with "0" to its right indicates that there are no attachments for the course. A blue paper icon with a number above 0 to its right indicates that there is at least one attachment for the course with the number indicating how many attachments are associated with the course.
Title	The title entered for the course or the course name.
Course Number	The unique identifier for the course, if entered.
Provider	The sponsor entered for the course.
Delivery Method	The delivery method selected for the course.
Program Type	The program type selected for the course.
Total Earned	The number of CPE credits for the course after all state rules are applied.
Ellipsis	This symbol  at the end of the course row can be selected to reveal additional actions that can be taken on the course. Edit – returns to the Add Credit screen for the course for you to make and save updates to the course details or question responses. View – allows you to view all the details entered for the course. Delete – allows you to remove the course from the CPE Credits transcript and any compliance calculation.

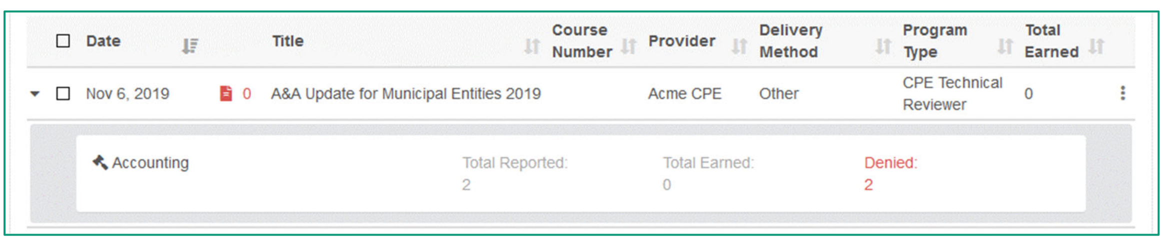
- When the expander icon is used, the subject area(s) for the course and the credit for each are displayed:



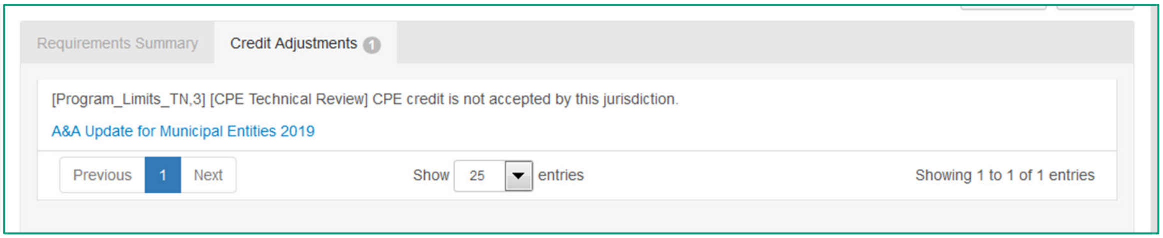
- The subject area name is displayed first.
- The Total Report is the amount of credit for the subject area as entered by the CPA.
- The Total Earned is the amount of credit for the subject area granted by the Board's CPE rules.

Credit Adjustments

When the credit reported does not match the credit earned for a course, the credit was either denied, limited or otherwise calculated by a Board rule.



- **Denied Credit**
  - A gavel icon is displayed next to the subject area name when credit is denied.
  - The amount of credit denied is listed in red font in the **Denied** column.
- The Credit Adjustments tab to the right of the Requirements tab displays text for each course, with text to describe the Board rule that was applied.
- The number of texts included is displayed next to the tab title.
- Choose the Credit Adjustments tab to review all text related to courses whose credit earned differed from the credit reported:

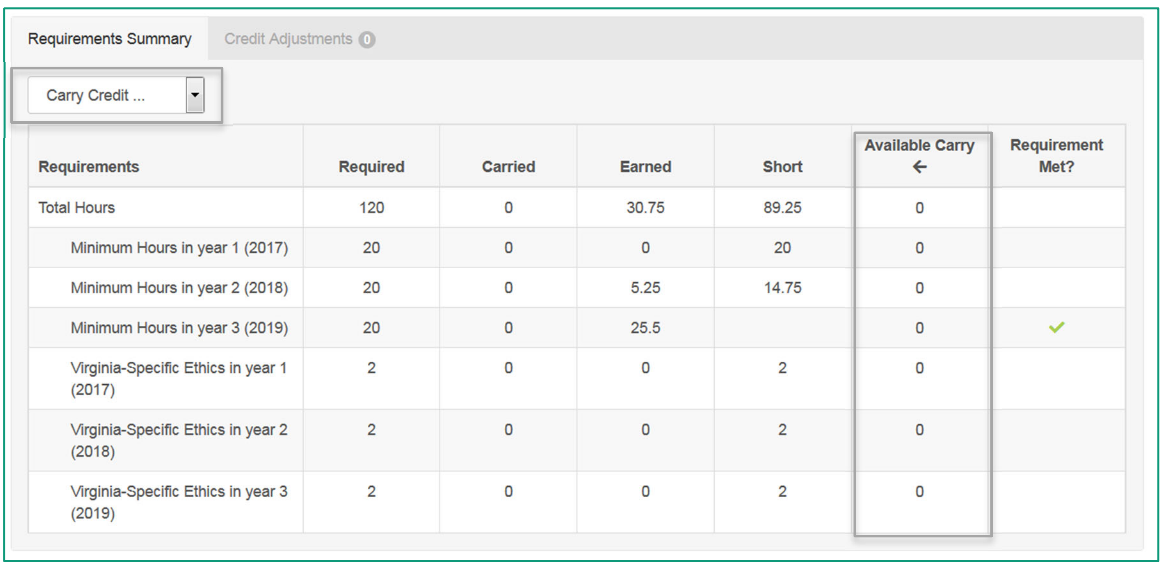


- The state rule name is displayed in brackets.
- The text explaining the rule applied is displayed to the right of the bracketed text.
- The course name/title appears below the rule text. This is a link to the course in the CPE Credits view. Click on the course title to navigate to the course.

Carry Credit

Some Boards allow licensees to carry credits earned in excess of their requirements to the next reporting period (“carry forward”), while other Boards allow licensees to carry credits earned in the current reporting period to the previous reporting period to cover a shortage of credits (“carry back” or sometimes “grace period).

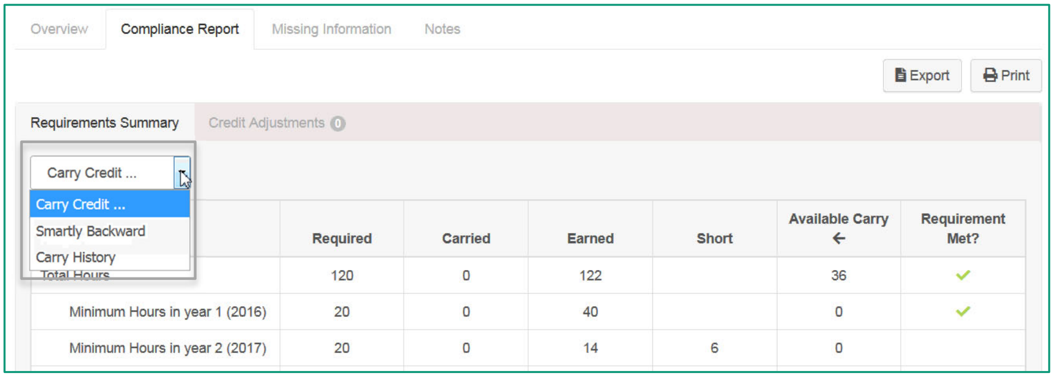
- The Requirements Summary will include a column for **Available Carry** between the **Short** and **Requirement Met?** Columns in these cases.
- If the Board allows the CPA user to initiate carry, a **Carry Credit** dropdown will be shown above the Requirements column in the display.



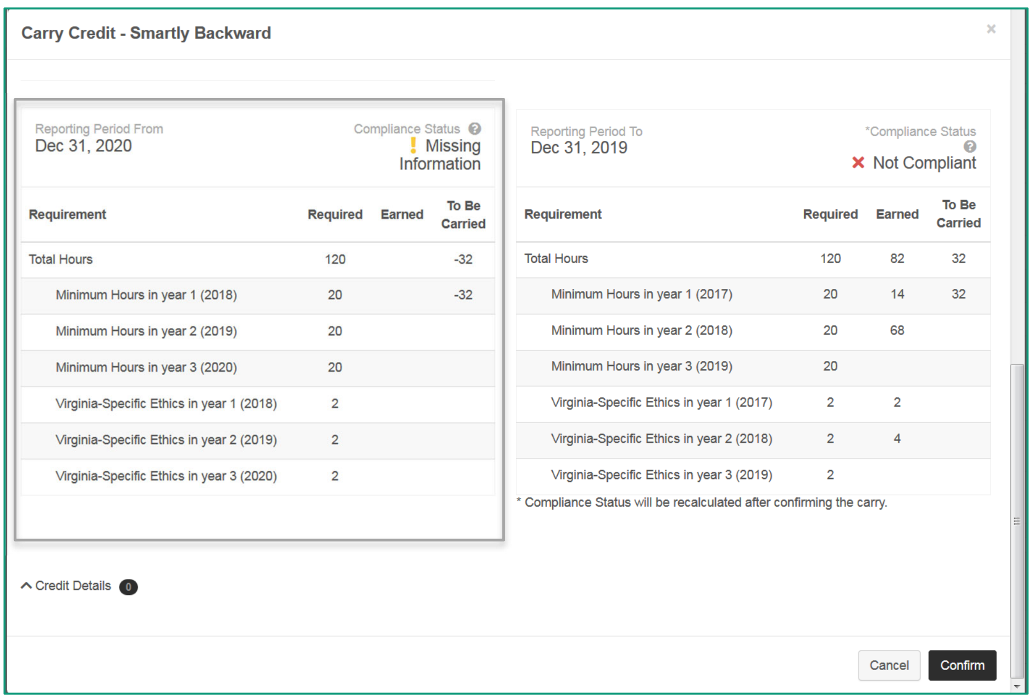
Requirements	Required	Carried	Earned	Short	Available Carry ←	Requirement Met?
Total Hours	120	0	30.75	89.25	0	
Minimum Hours in year 1 (2017)	20	0	0	20	0	
Minimum Hours in year 2 (2018)	20	0	5.25	14.75	0	
Minimum Hours in year 3 (2019)	20	0	25.5		0	✓
Virginia-Specific Ethics in year 1 (2017)	2	0	0	2	0	
Virginia-Specific Ethics in year 2 (2018)	2	0	0	2	0	
Virginia-Specific Ethics in year 3 (2019)	2	0	0	2	0	

- The Board’s rules for carry credit are listed in the Jurisdiction Information page.
- **Carry Back**
  - This feature can be used:
    - If there is a shortage in credits in the *previous* reporting period.
    - If there are eligible credits to be carried in the *current* reporting period.

  - If the Board limit on the amount of credits that can be carried is not exceeded.
- From the **Carry Credit** dropdown, choose the *Smartly Backward* option.

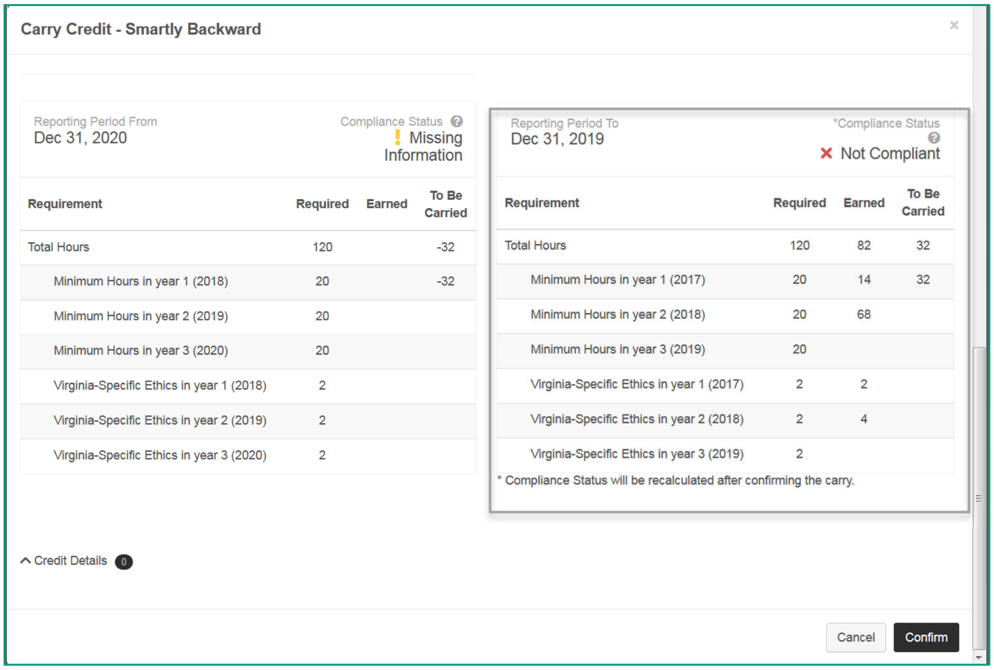


- A preview screen is displayed showing the credits carried out of the source period and the period they will be carried to.



- The reporting period that is the source of the carried credit is listed on the left side of the overlay with its end date, compliance status and amount of credits to be carried out of each requirement type.
- The reporting period that will receive the carried credit is listed on the right side of the overlay with its end date, compliance status and amount of credits to be carried into each requirement type.

- If more than one reporting period is receiving credits from the source reporting period, then more than one reporting period will appear in the overlay.


Carry Credit - Smartly Backward

Reporting Period From
Dec 31, 2020
Compliance Status
! Missing Information

Requirement	Required	Earned	To Be Carried
Total Hours	120		-32
Minimum Hours in year 1 (2018)	20		-32
Minimum Hours in year 2 (2019)	20		
Minimum Hours in year 3 (2020)	20		
Virginia-Specific Ethics in year 1 (2018)	2		
Virginia-Specific Ethics in year 2 (2019)	2		
Virginia-Specific Ethics in year 3 (2020)	2		

Reporting Period To
Dec 31, 2019
*Compliance Status
✕ Not Compliant

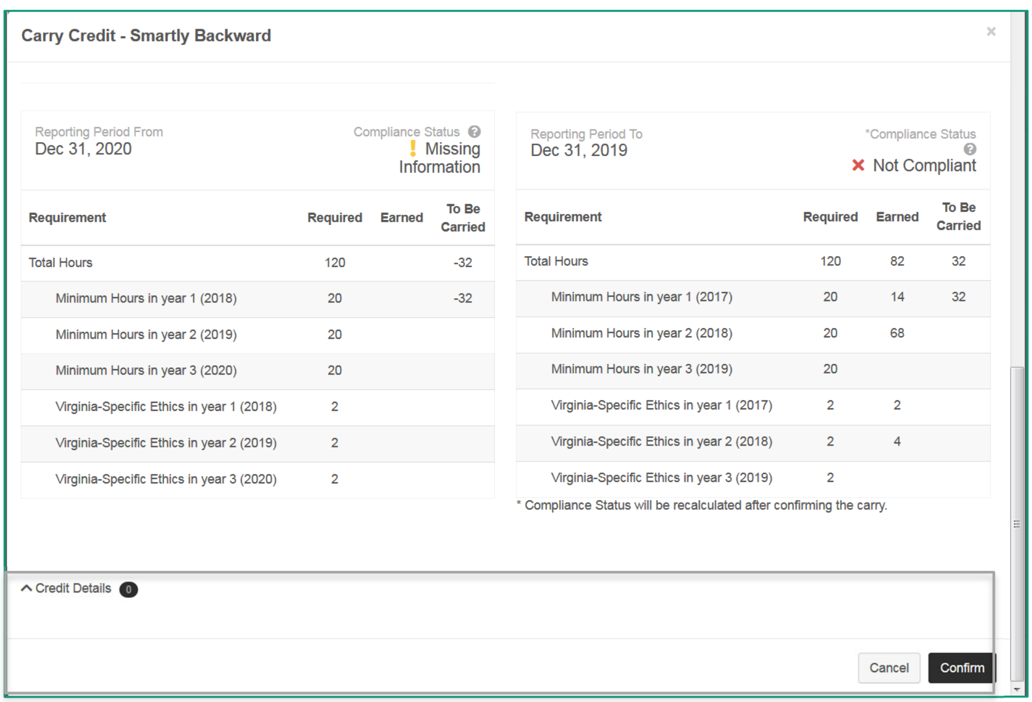
Requirement	Required	Earned	To Be Carried
Total Hours	120	82	32
Minimum Hours in year 1 (2017)	20	14	32
Minimum Hours in year 2 (2018)	20	68	
Minimum Hours in year 3 (2019)	20		
Virginia-Specific Ethics in year 1 (2017)	2	2	
Virginia-Specific Ethics in year 2 (2018)	2	4	
Virginia-Specific Ethics in year 3 (2019)	2		

* Compliance Status will be recalculated after confirming the carry.

Credit Details 0

Cancel Confirm

- Any related limitations for carried credit are detailed in the Credit Details section of the overlay.


Carry Credit - Smartly Backward

Reporting Period From
Dec 31, 2020
Compliance Status
! Missing Information

Requirement	Required	Earned	To Be Carried
Total Hours	120		-32
Minimum Hours in year 1 (2018)	20		-32
Minimum Hours in year 2 (2019)	20		
Minimum Hours in year 3 (2020)	20		
Virginia-Specific Ethics in year 1 (2018)	2		
Virginia-Specific Ethics in year 2 (2019)	2		
Virginia-Specific Ethics in year 3 (2020)	2		

Reporting Period To
Dec 31, 2019
*Compliance Status
✕ Not Compliant

Requirement	Required	Earned	To Be Carried
Total Hours	120	82	32
Minimum Hours in year 1 (2017)	20	14	32
Minimum Hours in year 2 (2018)	20	68	
Minimum Hours in year 3 (2019)	20		
Virginia-Specific Ethics in year 1 (2017)	2	2	
Virginia-Specific Ethics in year 2 (2018)	2	4	
Virginia-Specific Ethics in year 3 (2019)	2		

* Compliance Status will be recalculated after confirming the carry.

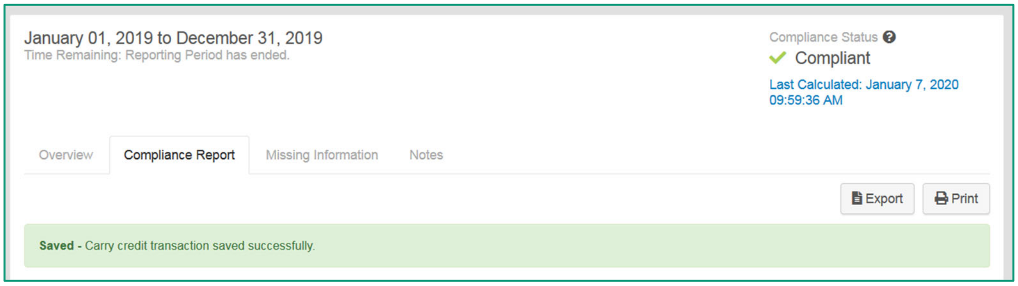
Credit Details 0

Cancel Confirm

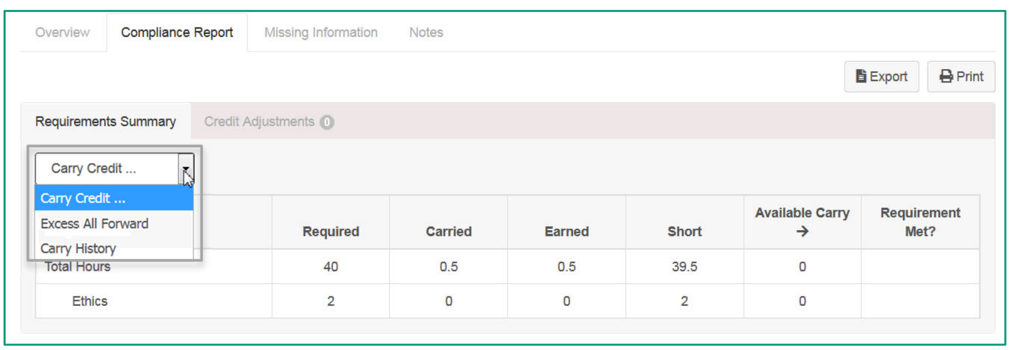
  - Choose the **Cancel** button to close the overlay screen and return to the Compliance Report without carrying any credit.

- Choose the **Confirm** button to carry the credit and recalculate compliance for the reporting periods.

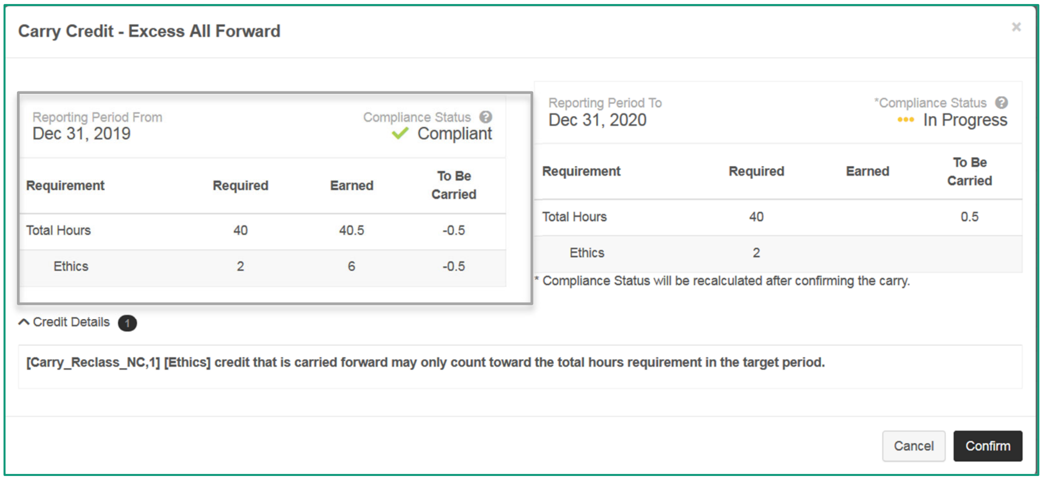
- A message will be displayed indicating that the carried credit transaction was saved.



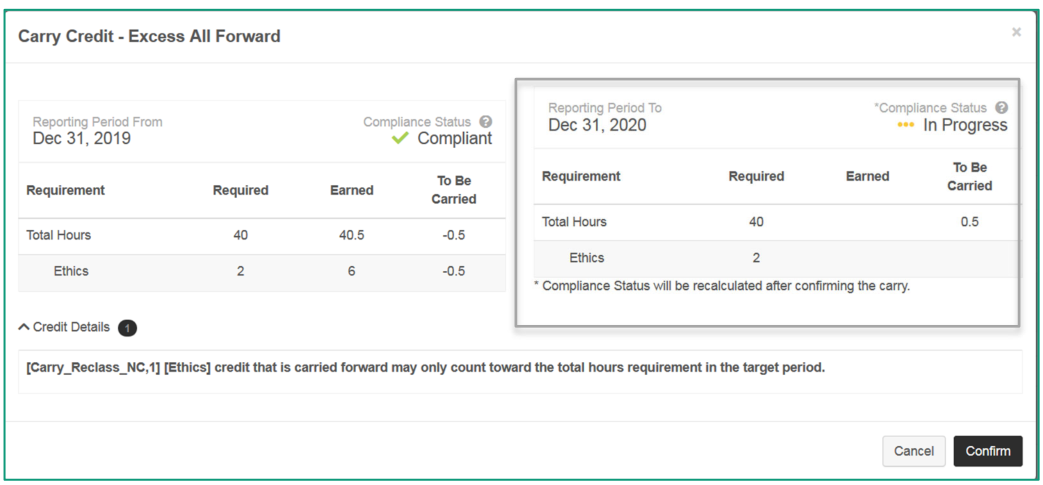
- **Carry Forward**
  - This feature can be used:
    - If there is an excess of credits earned the *previous* reporting period.
      - NOTE: If the current reporting period contains excess credits earned, these cannot be carried forward until that period is ended and the next reporting period is shown.
    - If the Board limit on the amount of credits that can be carried is not exceeded.
  - From the **Carry Credit** dropdown, choose the *Excess All Forward* option.



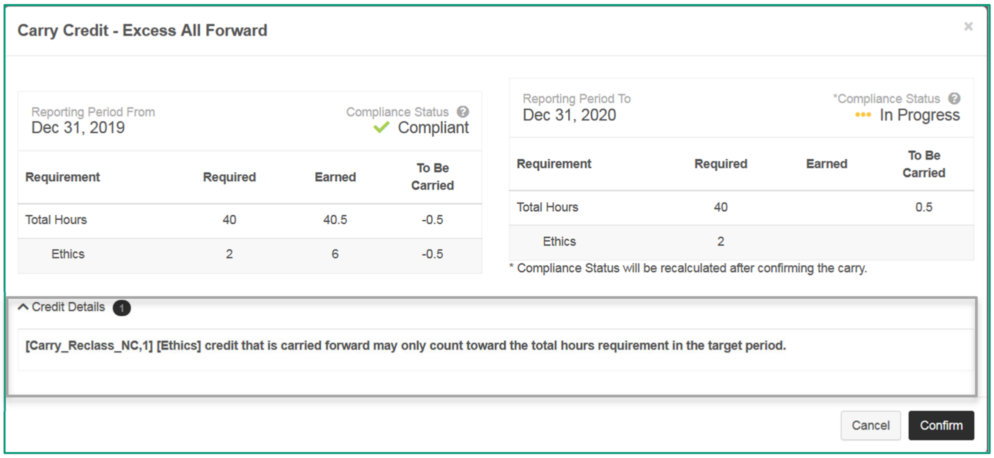
  - A preview screen is displayed showing the credits carried out of the source period and the period they will be carried to.



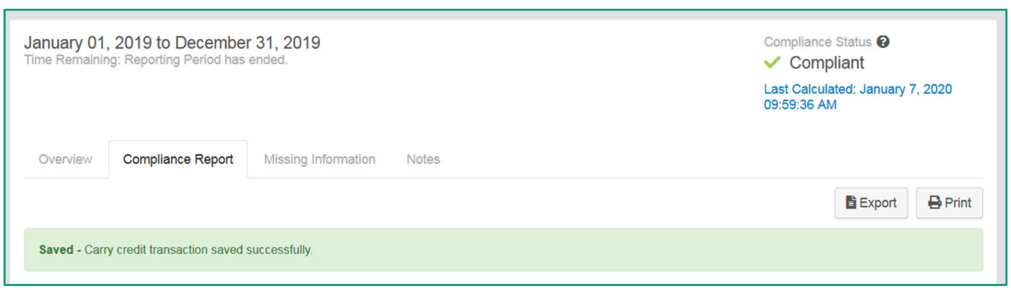
- The reporting period that is the source of the carried credit is listed on the left side of the overlay with its end date, compliance status and amount of credits to be carried out of each requirement type.
- The reporting period that will receive the carried credit is listed on the right side of the overlay with its end date, compliance status and amount of credits to be carried into each requirement type.



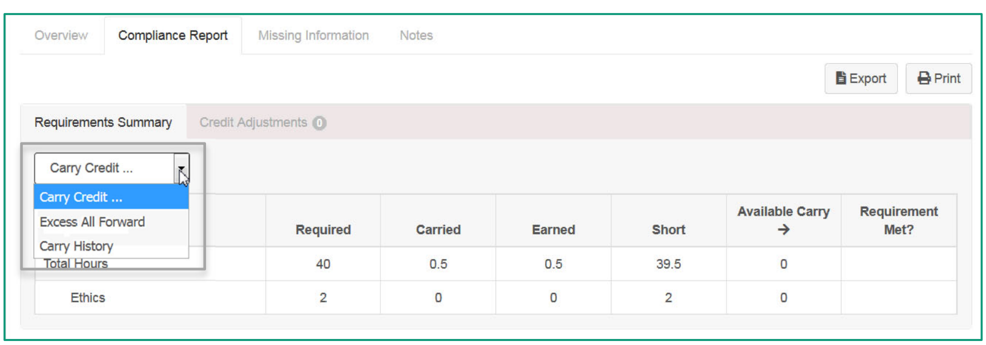
- Any related limitations for carried credit are detailed in the Credit Details section of the overlay.



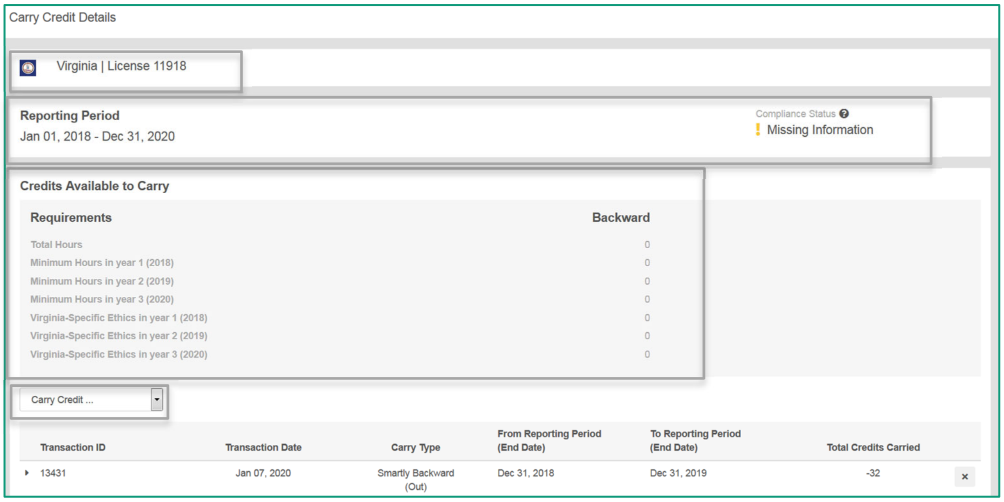
- Choose the **Cancel** button to close the overlay screen and return to the Compliance Report without carrying any credit.
- Choose the **Confirm** button to carry the credit and recalculate compliance for the reporting periods.
- A message will be displayed indicating that the carried credit transaction was saved.



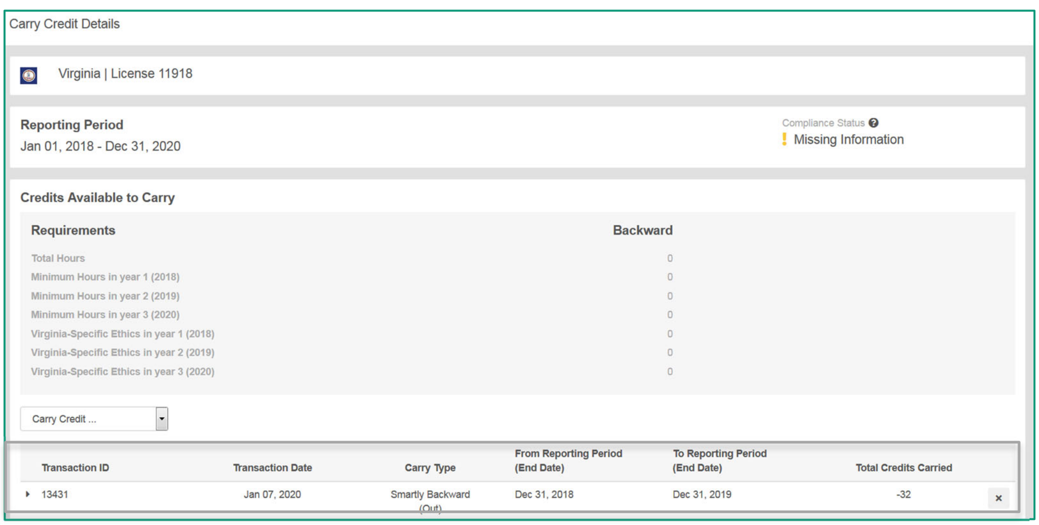
- <u>**Carry History**</u>
  - This feature can be used whether Carry Forward or Carry Back is available to review all carry transactions that have occurred for the reporting period.
  - From the **Carry Credit** dropdown, choose the *Carry History* option.



  - A listing of every carry transaction for the reporting period is displayed.

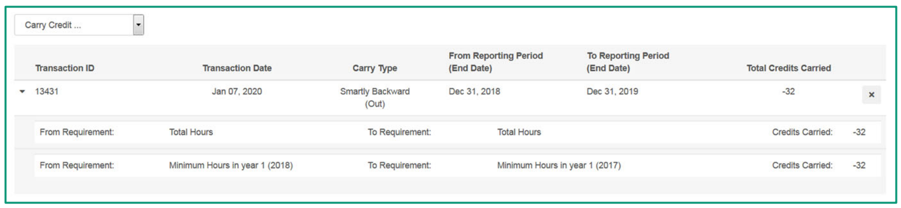


- The state and license number for the CPA are listed at the top of the page.
- The reporting period start and end date, along with its compliance status are listed in the second section.
- The amount of credits available for carrying, if any, by requirement type are listed in the third section.
- A **Carry Credit** dropdown will be shown below the Requirements column in the display and a carry transaction can be initiated from this screen.
- Finally, each carry transaction performed for the reporting period is listed at the bottom of the page.

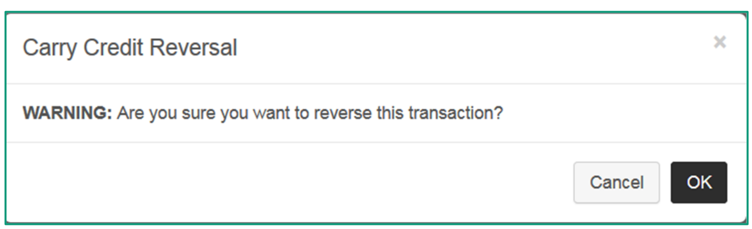


  - For each carry action, the following information is presented:
    - Transaction ID: An internal number for tracking purposes.
    - Transaction Date: The date the carry credit was performed.
    - Carry Type: *Smartly Backward* or *Excess All Forward*
      - These can be marked as (In) if the reporting period received carried credits or (Out) if the reporting period provided credits to carry.

        - From Reporting Period (End Date): indicates the end date of the reporting period that provided the carried credits.
        - To Reporting Period (End Date): indicates the end date of the reporting period that received the carried credits.
        - Total Credits Carried: this amount can be negative if credits were carried out.
    - Choose the expand icon to the left of the transaction ID to view each requirement where credits were moved along with the amount of credit moved.



    - For each requirement the following information is presented:
        - From Requirement
        - Requirement name in the source reporting period
        - To Requirement
        - Requirement name in the receiving reporting period
        - The amount of credit carried
- Choose the X icon to the right of the transaction row to reverse (remove) the carried credit.
    - A warning message will be displayed to ensure that you wish to continue to remove the carry transaction.

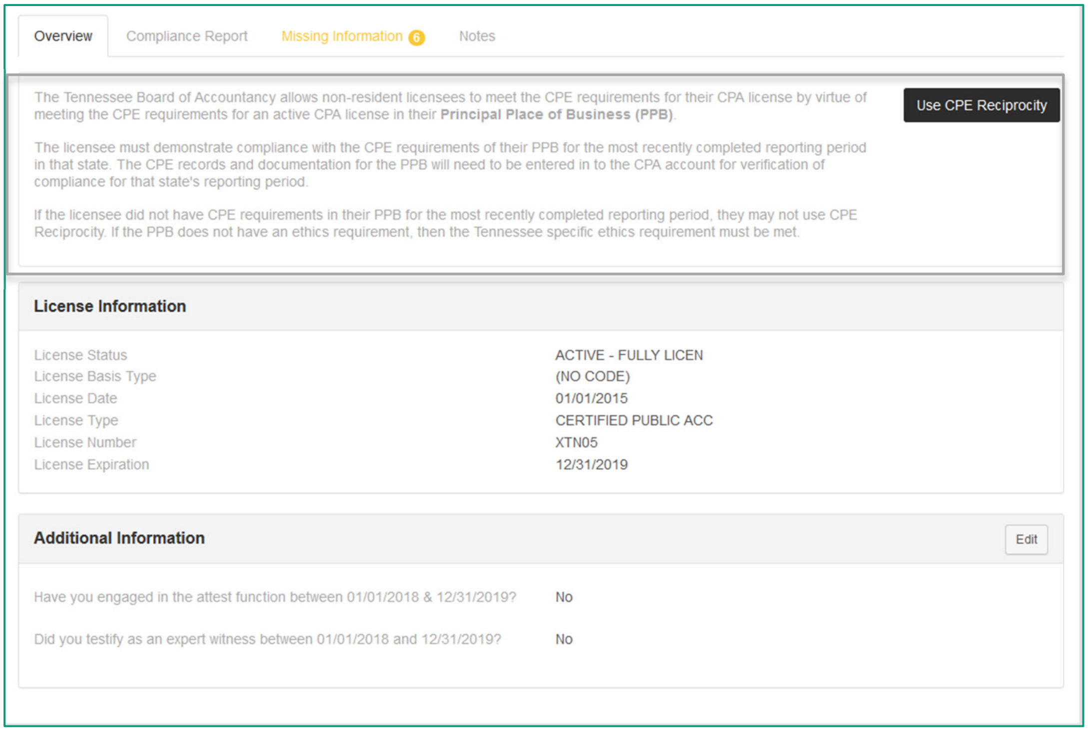


    - Choose the **Cancel** button to return to the Carry History screen.
    - Choose the **OK** button to proceed with removing the carry transaction.

Overview

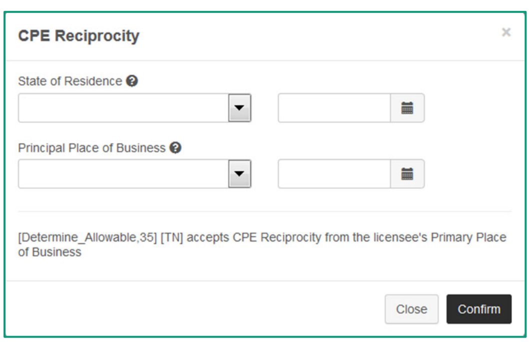
The Overview tab shows the details of your CPA license as sent by the Board, any reporting period questions answered with their current response, as well as the option to initiate CPE Reciprocity (if allowed by your Board's rules).

- Choose the **Overview** tab.



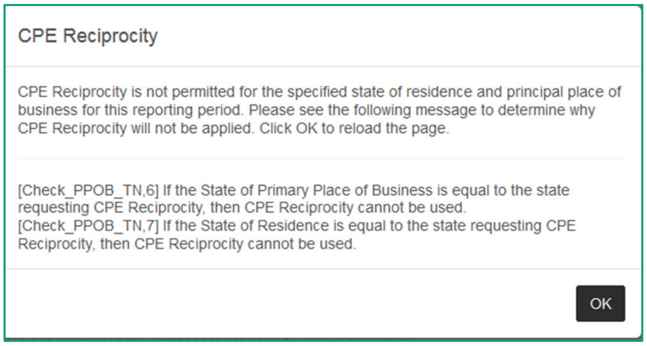
CPE Reciprocity

- If your Board does not offer CPE Reciprocity, this box will not be displayed.
- A summary of the specific rules regarding CPE Reciprocity in your state is displayed.
- To initiate CPE Reciprocity, choose the **Use CPE Reciprocity** button.
  - If you have not already supplied the information, you will be prompted to provide your State of Residence as well as your Principal Place of Business.

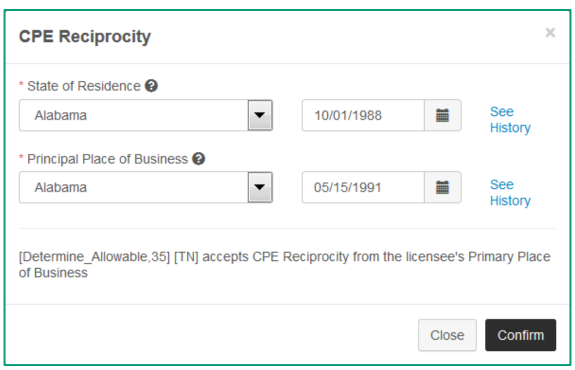


  - **State of Residence:** Select the state in which you reside from the dropdown list provided. Type in the effective date that this became your State of Residence in the date field to the right.
  - **Principal Place of Business:** Select the state in which your principal place of business is located from the dropdown list provided. Type in the effective date that this became your Principal Place of Business in the date field to the right.
  - Your state's rule for which state is used as the basis for CPE Reciprocity is listed next.
  - Click the **Close** button to return to the Overview tab.

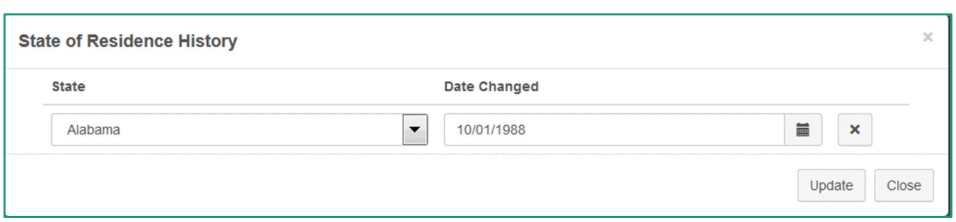
- Click the **Confirm** button to continue.
  - The values entered for your State of Residence and your Principal Place of Business will be saved on your Profile page within the application.
- If either the State of Residence or Principal Place of Business provided do not allow you to use CPE Reciprocity, a message will be displayed explaining the rule.



  - Click the **OK** button to close the window and return to the Overview screen.
- If you have already provided this information on your Profile page, the current values for the State of Residence and Principal Place of Business will be displayed.

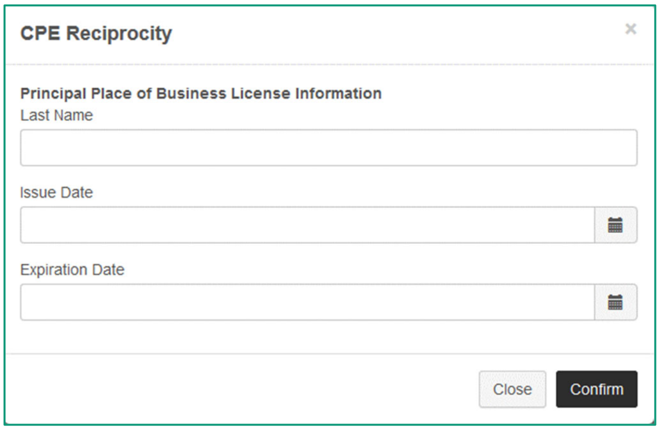


  - If either the State of Residence or Principal Place of Business need to be edited, choose the See History link to add a newer value to your profile.

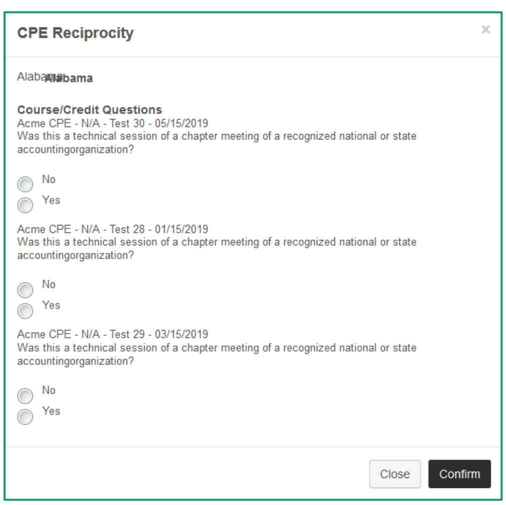


  - Select the new value in the **State** field from the dropdown list provided.
  - Choose the effective date for this state in the **Date Changed** field.
  - Click the **Close** button to return to the CPE Reciprocity window without saving your changes.

- Click the **Update** button to save your changes.
- If you have already provided this information on your Profile page, the current values for the State of Residence and Principal Place of Business will be displayed.
- Choose the **Confirm** button to continue.
- The next screen will prompt you for details regarding the relevant state license in order to evaluate your courses against that state's rules.



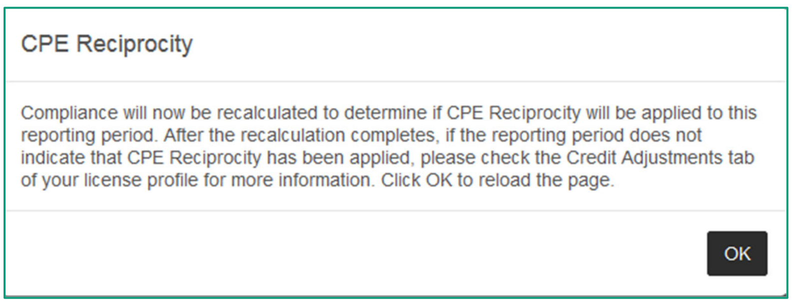
- The details needed can vary depending on the state being used as the basis for evaluating CPE Reciprocity.
- Once the necessary information is entered, click the **Confirm** button to continue.
  - Click the **Close** button to return to the Overview screen.
- Any necessary reporting period or course/subject area questions for the home state will be displayed next.



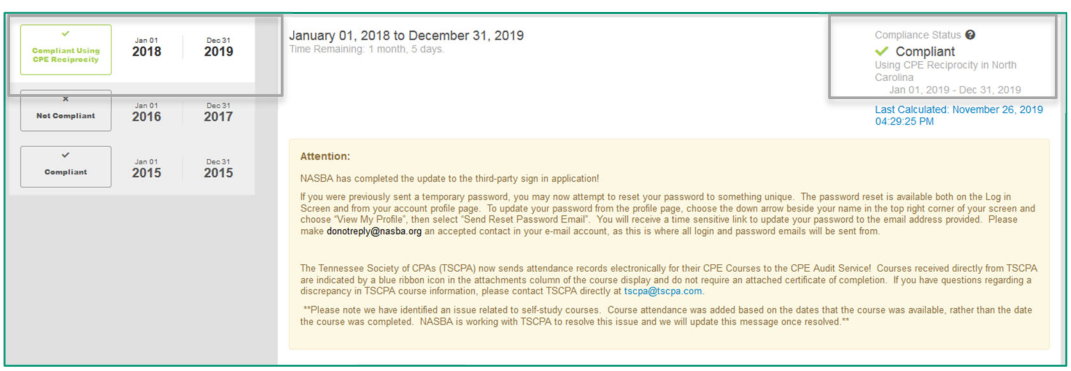
- Provide the responses to the question, click the **Confirm** button to continue.
  - Click the **Close** button to return to the Overview screen.
- If the home state is not eligible to use for CPE Reciprocity due to the requirements of that state not meeting the other state's requirements (ex: it does not have an ethics

requirement), then a message is displayed explaining that CPE Reciprocity cannot be used.

- Choose the **OK** button to return to the Overview screen.
- If the process can continue, then the following message is displayed:

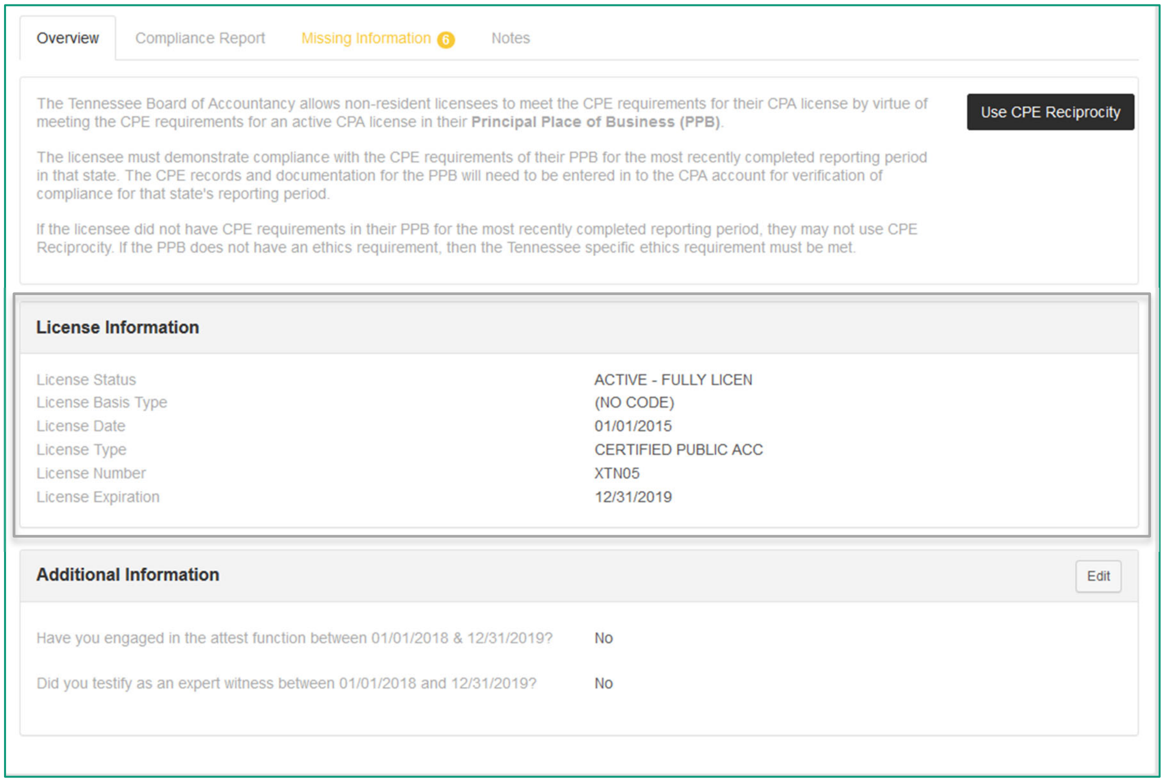


- If the home state is compliant for the eligible reporting period, then the compliance status for the state that is requesting CPE Reciprocity will be updated in the reporting period ribbon and for the compliance status of your state:



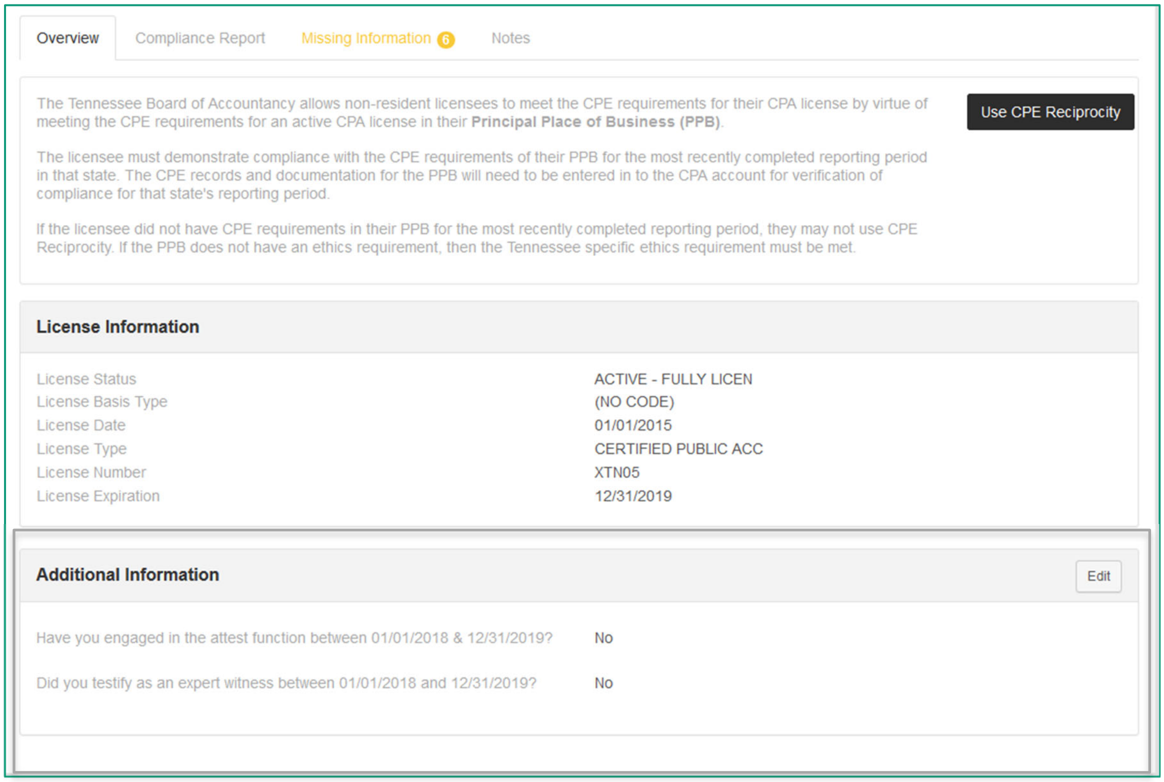
- The Requirements Summary will reflect the requirements for the state used as the basis for CPE Reciprocity, rather than your state's requirements.

License Information

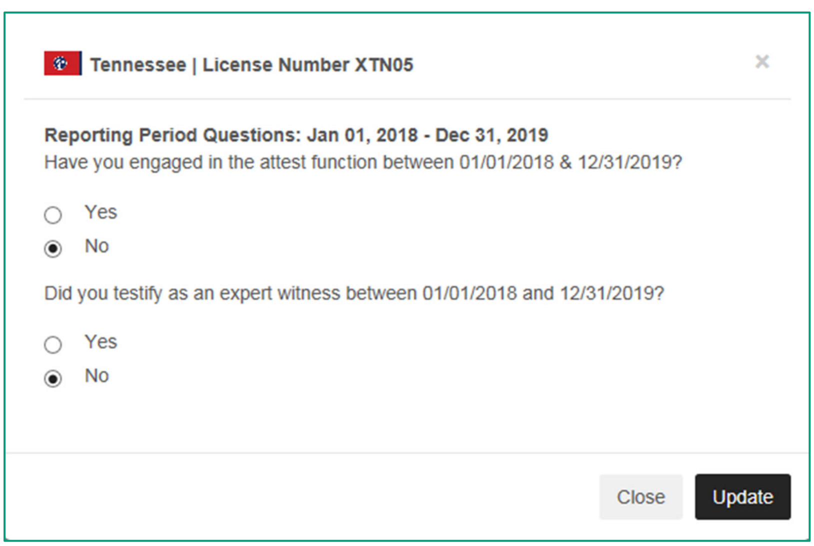


- The License Information displayed is populated and updated from the information sent by the state Board to the Accounting Licensee Database (ALD).
- This information is not editable by the CPA.
    - Questions about the license information should be directed to the Board of Accountancy.
    - Contact information for the Board is listed on the Jurisdiction Information tab in the License Profile page.
- The fields listed can vary by state but will generally show:
    - License Status: The current status of the license.
    - License Basis Type: Exam or Reciprocity, if provided by the Board.
    - License Date: The date the license was issued.
    - License Type: Types can vary by Board.
    - License Number: The license number as issued by the Board.
    - License Expiration: The date the license will expire.

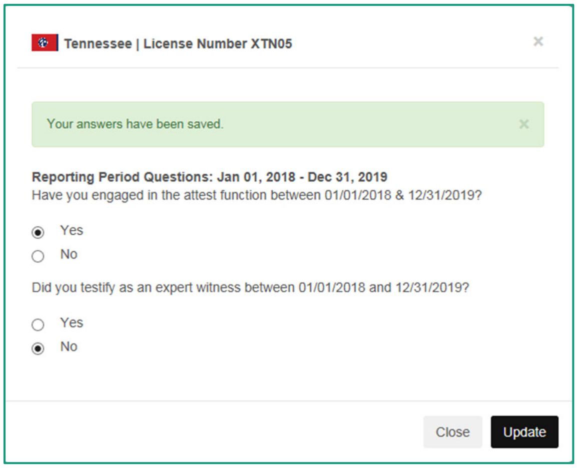
Reporting Period Questions



- If a state has rules that require information to determine reporting period requirements, these questions and their current responses (if provided) are listed in the **Additional Information** section of the page.
- Choose the **Edit** button to change the question responses.



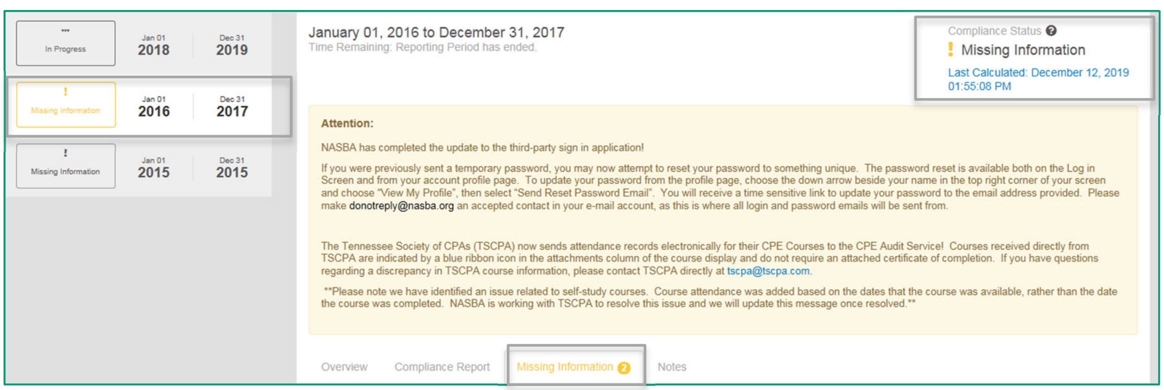
- Edit the response listed.
- Choose the **Update** button to save the changes.
    - A message is displayed once the responses are saved.



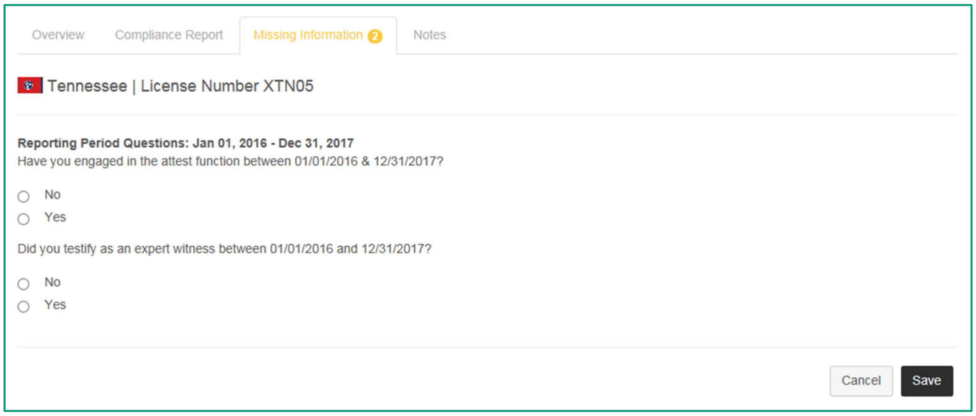
- Choose the **Close** button to return to the Overview page.

Missing Information

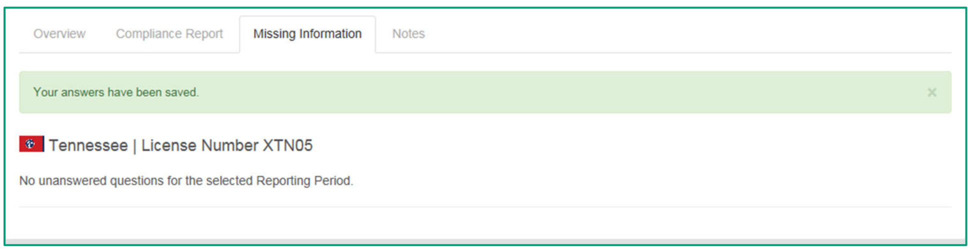
When reporting period or course questions for a state are not answered, the compliance status for a reporting period will show as "Missing Information" until responses are provided to the questions.



- Choose the Missing Information tab.
    - The number of unanswered questions is displayed on the tab.
    - The questions and set of possible responses are displayed.



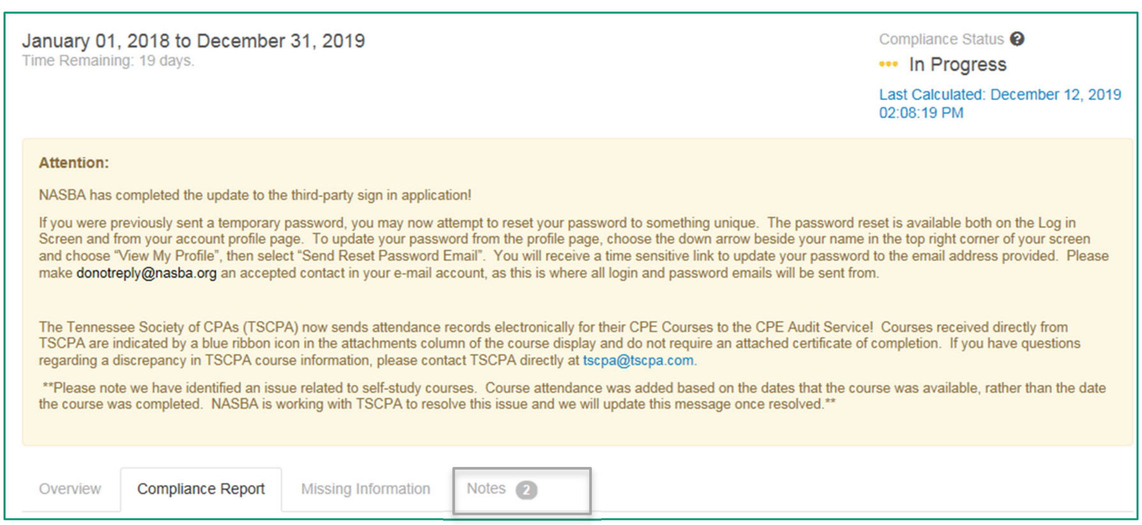
- Answer the questions for your license, reporting periods or courses by selecting from a dropdown menu or clicking the appropriate radio button.
- Choose the **Save** button to save the changes and recalculate your compliance.
  - A message is displayed once the responses are saved.



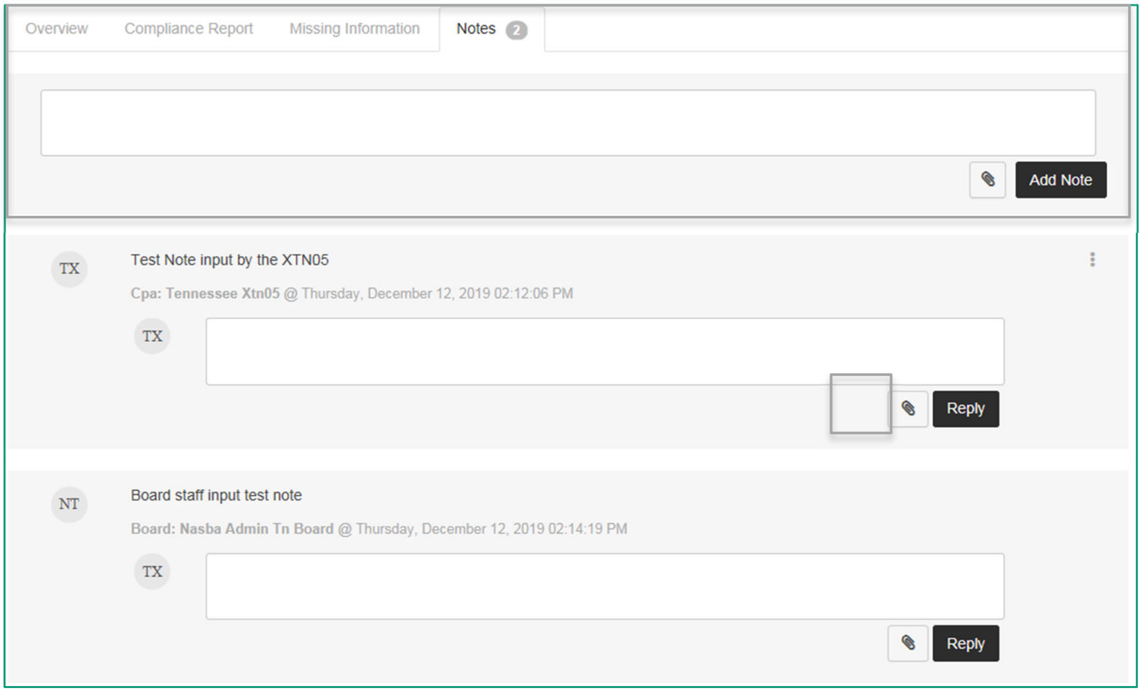
- Choose the **Cancel** button to clear any question responses.

Notes

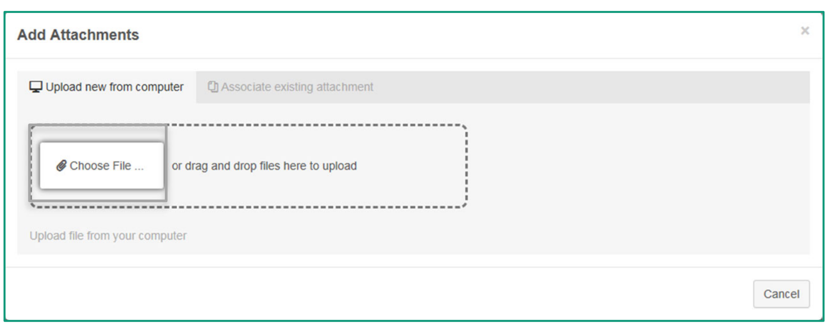
The CPA or a Board staff member can enter in notes and attachments for a reporting period using the Notes tab.



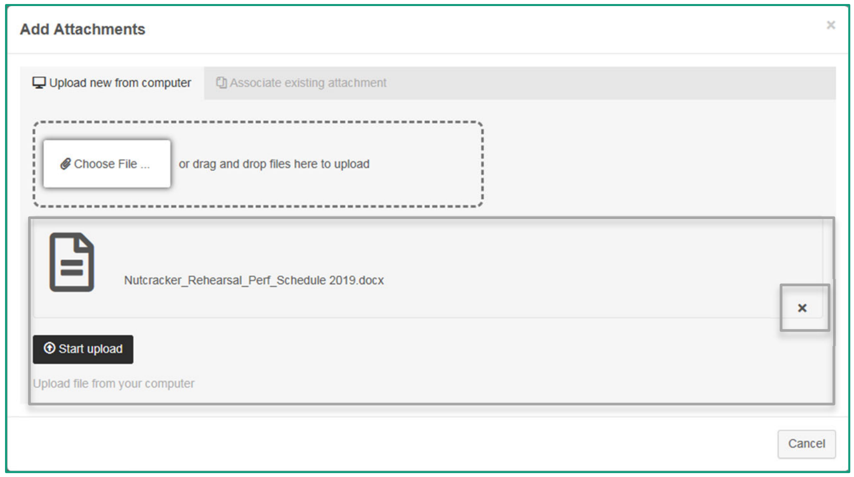
- Choose the **Notes** tab.



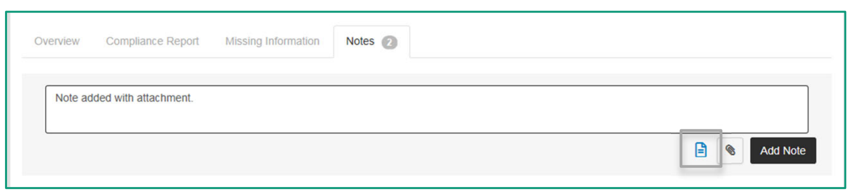
- An empty text box appears at the top of the display to enter a new note.
  - Type in the desired text in the box provided.
  - Click the paperclip icon to the left of the **Add Note** Button to associate an attachment with the Note.



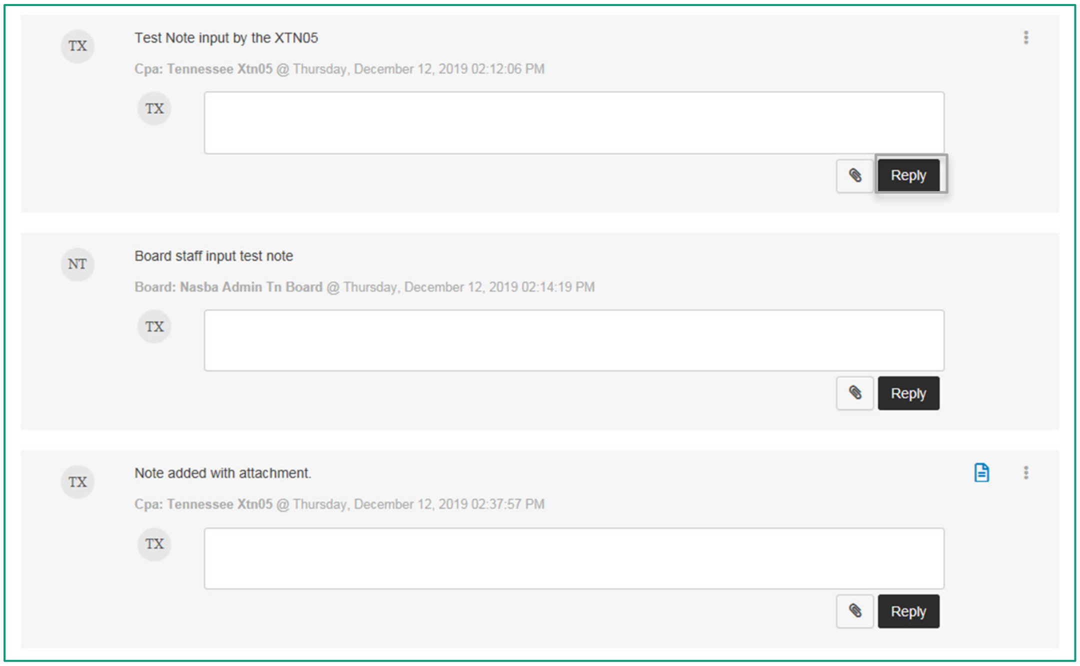
    - Select the **Choose File** button to open the files explorer dialog window for the computer OR drag the desired file from its location on the computer into the Choose File box.



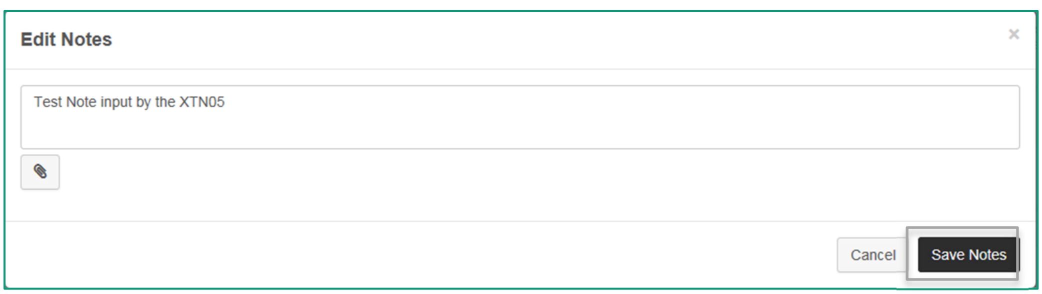
- As each attachment is selected, it will be populated below the Choose File section.
  - Choose the X icon to the right of the attachment to remove it prior to upload.
- Choose the **Start Upload** button to complete adding the attachment to the note.
  - Choose the **Cancel** button to return to the Notes page.
- The Add Attachments overlay will close, and a blue paper icon will appear to the left of the attachments icon, indicating that there is an attachment associated with the note.



  - Click the **Add Note** button to save the text and attachment (if any added).
- Any existing notes are listed in ascending order based on the date/time of entry.



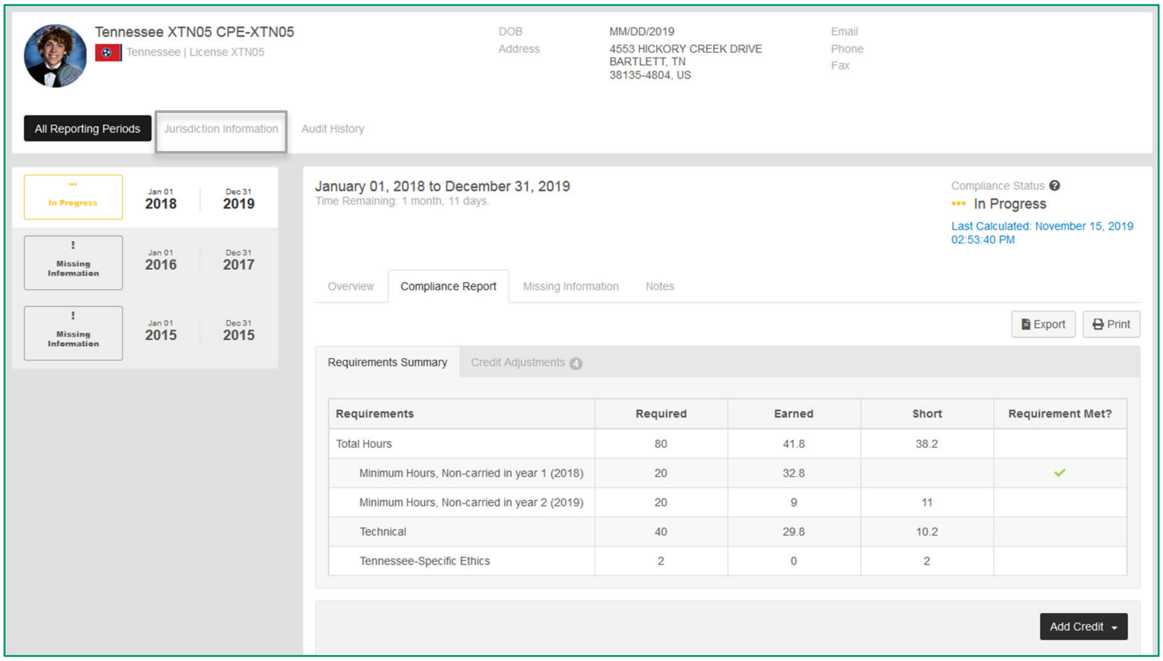
- The profile picture or initials of the note creator are listed at the top left.
- The Note text is displayed at the top and, if there are attachments, the blue paper icon is listed to the right of the note text.
- The ellipsis icon  at the far right of the note text opens an Edit overlay for the notes created by you.



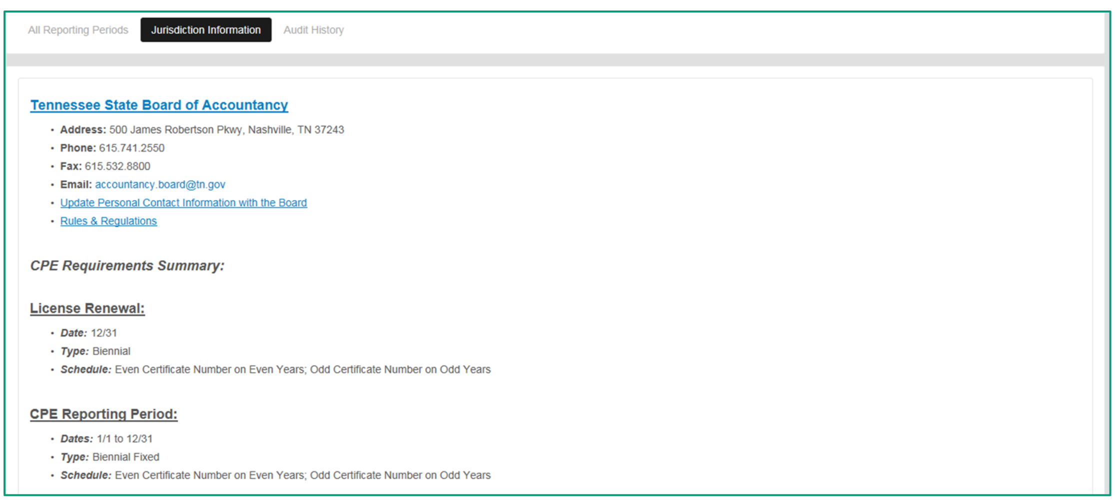
  - Edit the note text and/or add an attachment to the note.
  - Select the **Save Notes** button to retain the changes.
  - Select the **Cancel** button to return to the Notes page.
- The note creator role (CPA or Board) and their first/last name are displayed below the text along with the day, date and time that the note was added.
- A reply text box is displayed below the existing note.
  - Type in the desired text in the space provided and/or add an attachment.
  - Choose the **Reply** button to save the response to the note.
- Email notifications are sent to the Board staff and to the CPA when notes are added in a reporting period.

Jurisdiciton Information

The Jurisdiction Information tab contains contact information for the Board as well as a summary of the Board's CPE rules.



- Choose the Jurisdiction Information tab.

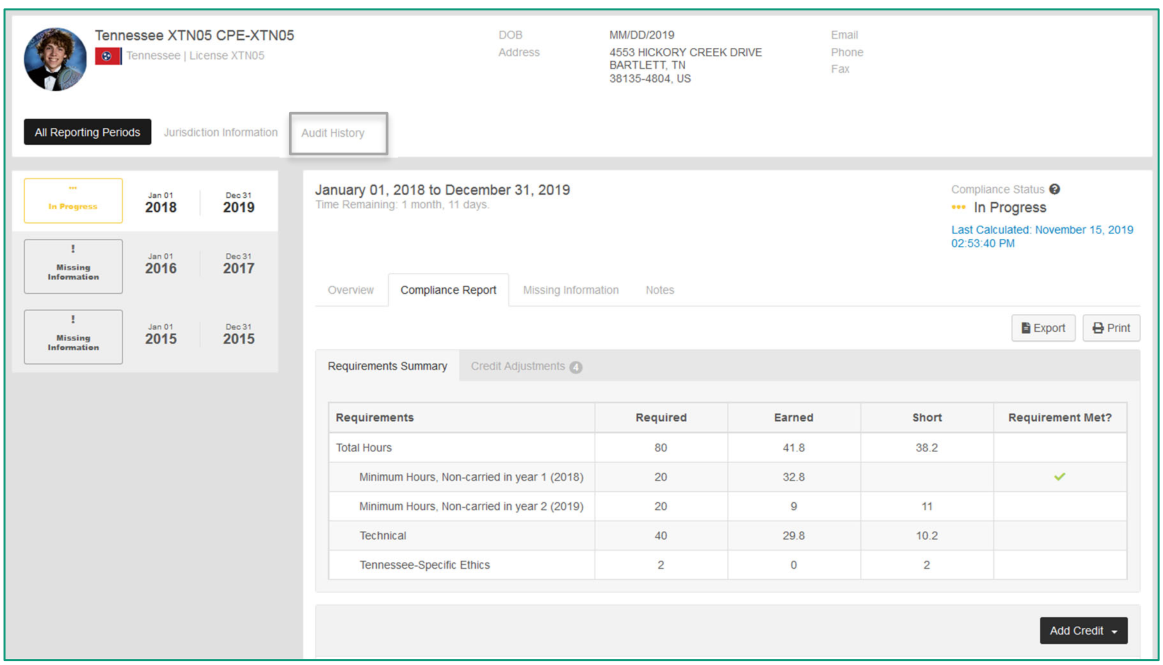


- The board name in blue is a hyperlink to the website for that Board of Accountancy.
- The board contact information is listed below the Board name (address, phone, fax and e-mail).
- A link to the page to update the CPA name and address information is listed below the contact information.
- A link to the rules and regulations for the Board are listed.

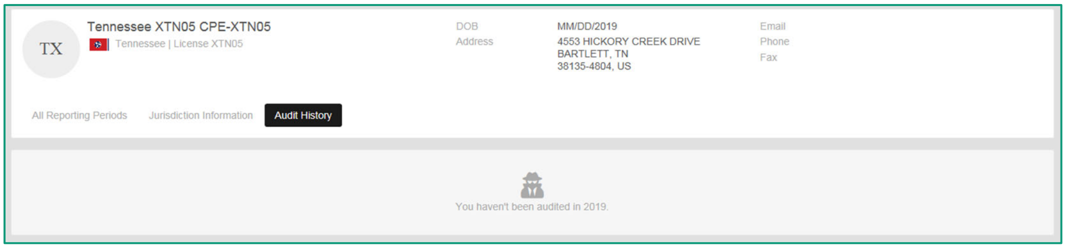
- A CPE Requirements Summary for the Board is listed after the Board contact information to include:
  - License Renewal Period
  - CPE Reporting Period
  - Initial Period Requirements
  - Renewal Period Requirements
  - Program Type Limitations
  - Delivery Method Limitations
  - Subject Area Limitations
  - Provider Approval
  - Credit Calculation
  - CPE Reciprocity
  - Carry Credits
  - Special Conditions

Audit History

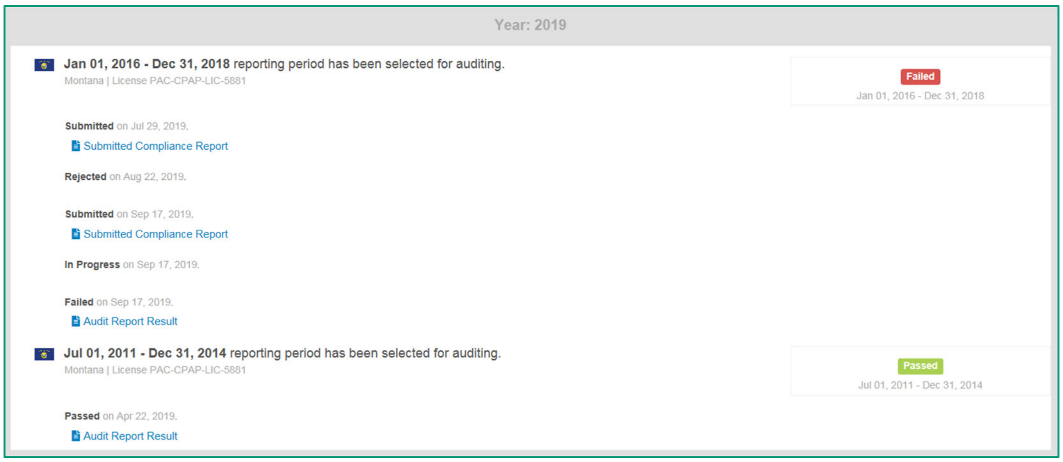
The Audit History tab displays the reporting period's movement through the audit process, if the reporting period was selected for audit.



- Choose the Audit History tab.
- If the reporting period is not/was never selected for audit the display is:



- If the reporting period is/was selected for audit, the display is:



- The history is organized by the year the audit was completed by the Board.
  - The Year: YYYY of the audit is listed at the top of the display.
- The state logo and the reporting period start and end date are listed first.
- The current/final audit status for the reporting period is listed to the right.
- The audit status and the date of the status are listed for each step in the audit process:
  - The possible statuses include:
    - Submitted: Indicates that the compliance report was submitted to the Board.
    - Overdue: Indicates that the submission deadline is passed
    - In Progress: Indicates that the Board is reviewing the submitted report.
    - Rejected: Indicates that the Board needs more information and a resubmission of the report.
    - Under Review: Indicates that the Board is reviewing the submitted report.
    - Passed: Indicates that the Board has completed its audit and the results were satisfactory.
    - Failed: Indicates that the Board has completed its audit and the results are not satisfactory.
- The reporting period audit status as it moved through the process is listed along with the date the status was changed in the application

- The Submitted status will have a blue link to a .pdf of the compliance report as the CPA submitted it to the Board.
- The Passed or Failed status will have a blue link to a .pdf of the final audit report.

Submitted Compliance Report

Once you have submitted a compliance report for audit for a reporting period, the submitted report is available for review.

- Choose the **Audit Report Result** link to access the report from the Audit Notifications box or the Audit History page and generate a .pdf file of the report.

Compliance Report - Missouri - 2008009038 - 20191227

Jurisdiction	CPE-ID	Full Name	License Number	DOB	Address	Email	Phone	Fax
Missouri	CPE-12627	SHERRY R. MICHAU	2008009038	MM/DD/1975	1502 LONDON ROAD, SUITE 200, DULUTH, MN 55812			

Reporting Period Start Date	Reporting Period End Date	Compliance Status	CPE Reciprocity Jurisdiction
1/1/2016	12/31/2018	Compliant	

Requirement	Required Hours	Earned Hours	Short Hours	Requirement Met
Total Hours	120	138.8		Yes
Ethics	6	19.5		Yes
Minimum Hours in year 1 (2016)	20	40		Yes
Ethics in year 1 (2016)		7.5		Yes
Minimum Hours in year 2 (2017)	20	42		Yes
Ethics in year 2 (2017)		8		Yes
Minimum Hours in year 3 (2018)	20	56.8		Yes
Ethics in year 3 (2018)		4		Yes

Credit End Date	Course Title	Provider	Program Type	Delivery Method	Subject Area	Reported Credits	Denied Credits	Has Attachments	Potential Duplicate
12/14/2018	December A&A Webinar	Wipfli LLP	In-Firm Programs	Group Internet-Based	Auditing	2	0	Yes	No
12/14/2018	December A&A Webinar	Wipfli LLP	In-Firm Programs	Group Internet-Based	Auditing (Governmental)	1	0	Yes	No
12/12/2018	Tax Issue Awareness - Real Estate: Webinar	Wipfli LLP	In-Firm Programs	Group Internet-Based	Taxes	2	0	Yes	No
12/7/2018	Opportunity Funds - Defer, Reduce & Avoid Income Tax!	Wipfli LLP	In-Firm Programs	Group Internet-Based	Taxes	1	0	Yes	No
11/29/2018	Business LEAN Process Improvement Roll Out Training	Wipfli LLP	In-Firm Programs	Group Live	Taxes	4.2	0	Yes	No

- The first section of the report shows the licensee information.
  - Jurisdiction name
  - CPE-ID for the licensee
  - Licensee Name
  - License Number
  - Licensee Date of Birth
  - Licensee Address
  - Licensee Email

- Licensee Phone Number
- Licensee Fax Number

- The second section of the report shows the reporting period information.
  - Reporting Period Start Date
  - Reporting Period End Date
  - Compliance Status
  - CPE Reciprocity Jurisdiction (if applicable)

Compliance Report - Missouri - 2008009038 - 20191227

Jurisdiction	CPE-ID	Full Name	License Number	DOB	Address	Email	Phone	Fax
Missouri	CPE-12627	SHERRY R. MICHAU	2008009038	MM/DD/1975	1502 LONDON ROAD, SUITE 200, DULUTH, MN 55812			

Reporting Period Start Date	Reporting Period End Date	Compliance Status	CPE Reciprocity Jurisdiction
1/1/2016	12/31/2018	Compliant	

Requirement	Required Hours	Earned Hours	Short Hours	Requirement Met
Total Hours	120	138.8		Yes
Ethics	6	19.5		Yes
Minimum Hours in year 1 (2016)	20	40		Yes
Ethics in year 1 (2016)		7.5		Yes
Minimum Hours in year 2 (2017)	20	42		Yes
Ethics in year 2 (2017)		8		Yes
Minimum Hours in year 3 (2018)	20	56.8		Yes
Ethics in year 3 (2018)		4		Yes

- The Requirements Summary section of the report shows:
  - The state's CPE requirement names are listed in the **Requirements** column.
  - The number of CPE hours required for each requirement type are displayed in the **Required** column.
  - The number of CPE hours earned for each requirement type, based on the state's CPE rules and the coursework entered by the CPA, is displayed in the **Earned** column.
  - The number of CPE hours lacking based on the hours required less the hours earned is displayed in the **Short** column.
  - If the number of hours earned meets or exceeds the number of hours required for a requirement type, then a green check mark will appear in the **Requirement Met?** column.

Compliance Report - Missouri - 2008009038 - 20191227

Jurisdiction	CPE-ID	Full Name	License Number	DOB	Address	Email	Phone	Fax
Missouri	CPE-12627	SHERRY R. MICHAU	2008009038	MM/DD/1975	1502 LONDON ROAD, SUITE 200, DULUTH, MN 55812			

Reporting Period Start Date	Reporting Period End Date	Compliance Status	CPE Reciprocity Jurisdiction
1/1/2016	12/31/2018	Compliant	

Requirement	Required Hours	Earned Hours	Short Hours	Requirement Met
Total Hours	120	138.8		Yes
Ethics	6	19.5		Yes
Minimum Hours in year 1 (2016)	20	40		Yes
Ethics in year 1 (2016)		7.5		Yes
Minimum Hours in year 2 (2017)	20	42		Yes
Ethics in year 2 (2017)		8		Yes
Minimum Hours in year 3 (2018)	20	56.8		Yes
Ethics in year 3 (2018)		4		Yes

Credit End Date	Course Title	Provider	Program Type	Delivery Method	Subject Area	Reported Credits	Denied Credits	Has Attachments	Potential Duplicate
12/14/2018	December A&A Webinar	Wipfli LLP	In-Firm Programs	Group Internet-Based	Auditing	2	0	Yes	No
12/14/2018	December A&A Webinar	Wipfli LLP	In-Firm Programs	Group Internet-Based	Auditing (Governmental)	1	0	Yes	No
12/12/2018	Tax Issue Awareness - Real Estate: Webinar	Wipfli LLP	In-Firm Programs	Group Internet-Based	Taxes	2	0	Yes	No
12/7/2018	Opportunity Funds - Defer, Reduce & Avoid Income Tax!	Wipfli LLP	In-Firm Programs	Group Internet-Based	Taxes	1	0	Yes	No
11/29/2018	Business LEAN Process Improvement Roll Out Training	Wipfli LLP	In-Firm Programs	Group Live	Taxes	4.2	0	Yes	No

- The bottom of the report lists each course, its details, any denied credits, an indicator of attachments and whether the course is potentially a duplicate credit (matches another course listed).

Audit Report Result

Once the Board has completed an audit for a reporting period, the final audit report is available for review.

- Choose the **Audit Report Result** link to access the report from the Audit Notifications box or the Audit History page and generate a .pdf file of the report.

Audit Report - CPE-152AD - 20181231 - Tennessee

Jurisdiction	CPE-ID	Full Name	License Number	Reporting Period Start Date	Reporting Period End Date	Compliance Status	CPE Reciprocity Jurisdiction	Audit Status	Log
Tennessee	CPE-152 AD	KEVIN D. HUME	14346	20170101	20181231	Compliant		Passed	

Requirement	Required Hours	Earned Hours	Short Hours
Total Hours	112	112	
Minimum Hours, Non-carried in year 1 (2017)	20	26	
Minimum Hours, Non-carried in year 2 (2018)	20	86	
Technical	40	103.5	
Accounting & Auditing	20	28	
Tennessee-Specific Ethics	2	2	

Credit Audit Status	Total Courses
Passed	27
Not Audited	0
Under Review	0
Failed	0
In Progress	0

Credit End Date	Course Title	Provider	Program Type	Delivery Method	Audit Status	Subject Area	Reported Credits	Denied Credits	Has Attachments	Potential Duplicate
20181231	Responding to the Most Common IRS Notices	Canopy Tax	Self-Study	QAS Self Study	Passed	Taxes	1		Yes	Yes
20181231	FBAR Basics and Form 8938	Canopy Tax	Self-Study	QAS Self Study	Passed	Taxes	1		Yes	Yes
20181231	2019 Penalty hours for 2017-2018 audit	Sequoia CPE	Self-Study	QAS Self Study	Passed	Accounting	28		Yes	Yes
20181231	2019 Penalty hours for 2017-2018 audit	Sequoia CPE	Self-Study	QAS Self Study	Passed	Business Law	2		Yes	Yes
20181231	2019 Penalty hours for 2017-2018 audit	Sequoia CPE	Self-Study	QAS Self Study	Passed	Taxes	45		Yes	Yes

- The first section of the report shows the reporting period and licensee information.
  - Jurisdiction name
  - CPE-ID for the licensee
  - Licensee Name
  - License Number
  - Reporting Period Start Date
  - Reporting Period End Date
  - Compliance Status
  - CPE Reciprocity Jurisdiction (if applicable)
  - Audit Status

Audit Report - CPE-152AD - 20181231 - Tennessee

Jurisdiction	CPE-ID	Full Name	License Number	Reporting Period Start Date	Reporting Period End Date	Compliance Status	CPE Reciprocity Jurisdiction	Audit Status	Log
Tennessee	CPE-152 AD	KEVIN D. HUME	14346	20170101	20181231	Compliant		Passed	

Requirement	Required Hours	Earned Hours	Short Hours
Total Hours	112	112	
Minimum Hours, Non-carried in year 1 (2017)	20	26	
Minimum Hours, Non-carried in year 2 (2018)	20	86	
Technical	40	103.5	
Accounting & Auditing	20	28	
Tennessee-Specific Ethics	2	2	

- The state's CPE requirement names are listed in the **Requirements** column.
- The number of CPE hours required for each requirement type are displayed in the **Required** column.
- The number of CPE hours earned for each requirement type, based on the state's CPE rules and the coursework entered by the CPA, is displayed in the **Earned** column.
- The number of CPE hours lacking based on the hours required less the hours earned is displayed in the **Short** column.

Audit Report - CPE-152AD - 20181231 - Tennessee

Jurisdiction	CPE-ID	Full Name	License Number	Reporting Period Start Date	Reporting Period End Date	Compliance Status	CPE Reciprocity Jurisdiction	Audit Status	Log
Tennessee	CPE-152 AD	KEVIN D. HUME	14346	20170101	20181231	Compliant		Passed	

Requirement	Required Hours	Earned Hours	Short Hours
Total Hours	112	112	
Minimum Hours, Non-carried in year 1 (2017)	20	26	
Minimum Hours, Non-carried in year 2 (2018)	20	86	
Technical	40	103.5	
Accounting & Auditing	20	28	
Tennessee-Specific Ethics	2	2	

Credit Audit Status	Total Courses
Passed	27
Not Audited	0
Under Review	0
Failed	0
In Progress	0

- The Credit Audit Status section provides a summary of the number of individual courses in each possible audit status, as marked by the Board staff.

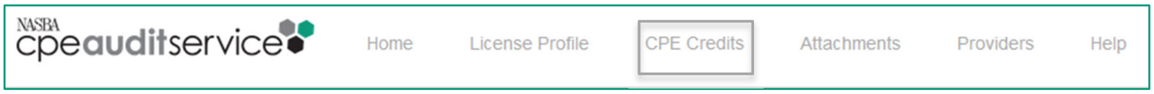
Credit Audit Status	Total Courses
Passed	27
Not Audited	0
Under Review	0
Failed	0
In Progress	0

Credit End Date	Course Title	Provider	Program Type	Delivery Method	Audit Status	Subject Area	Reported Credits	Denied Credits	Has Attachments	Potential Duplicate
20181231	Responding to the Most Common IRS Notices	Canopy Tax	Self-Study	QAS Self Study	Passed	Taxes	1		Yes	Yes
20181231	FBAR Basics and Form 8938	Canopy Tax	Self-Study	QAS Self Study	Passed	Taxes	1		Yes	Yes
20181231	2019 Penalty hours for 2017-2018 audit	Sequoia CPE	Self-Study	QAS Self Study	Passed	Accounting	28		Yes	Yes
20181231	2019 Penalty hours for 2017-2018 audit	Sequoia CPE	Self-Study	QAS Self Study	Passed	Business Law	2		Yes	Yes
20181231	2019 Penalty hours for 2017-2018 audit	Sequoia CPE	Self-Study	QAS Self Study	Passed	Taxes	45		Yes	Yes

- The bottom of the report lists each course, its details and its Audit Status as marked by the Board staff along with any credits denied, an indicator of attachments and whether the course is potentially a duplicate credit (matches another course listed).

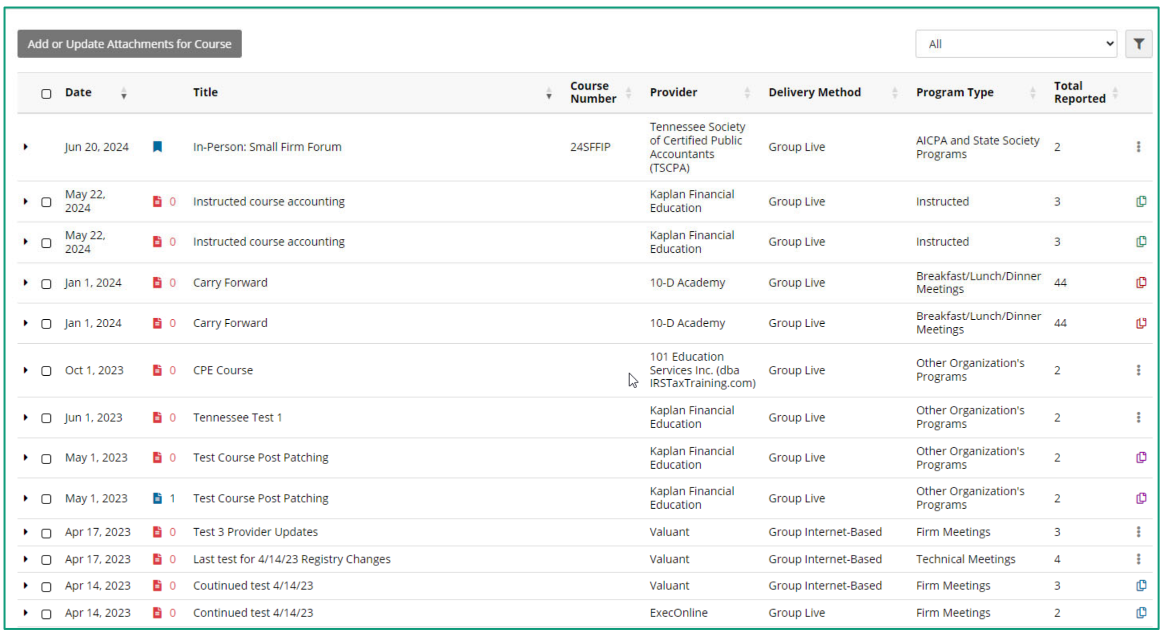
CPE Credits

A transcript of all courses entered or fed to your account is found by selecting the CPE Credits menu from the top of the screen. From this screen, you can add new credits or edit existing credits.



- Navigate to the CPE Credits page.
  - Choose the “CPE Credits” menu from the header row of any page.

CPE Credits Grid

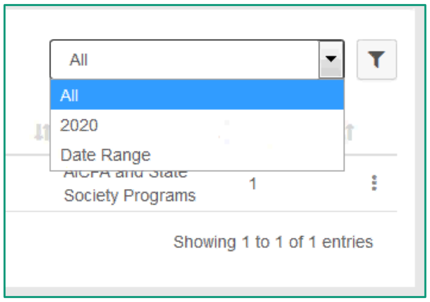


Date		Title	Course Number	Provider	Delivery Method	Program Type	Total Reported
Jun 20, 2024		In-Person: Small Firm Forum	24SFFIP	Tennessee Society of Certified Public Accountants (TSCPA)	Group Live	AICPA and State Society Programs	2
May 22, 2024	0	Instructed course accounting		Kaplan Financial Education	Group Live	Instructed	3
May 22, 2024	0	Instructed course accounting		Kaplan Financial Education	Group Live	Instructed	3
Jan 1, 2024	0	Carry Forward		10-D Academy	Group Live	Breakfast/Lunch/Dinner Meetings	44
Jan 1, 2024	0	Carry Forward		10-D Academy	Group Live	Breakfast/Lunch/Dinner Meetings	44
Oct 1, 2023	0	CPE Course		101 Education Services Inc. (dba IRSTaxTraining.com)	Group Live	Other Organization's Programs	2
Jun 1, 2023	0	Tennessee Test 1		Kaplan Financial Education	Group Live	Other Organization's Programs	2
May 1, 2023	0	Test Course Post Patching		Kaplan Financial Education	Group Live	Other Organization's Programs	2
May 1, 2023	1	Test Course Post Patching		Kaplan Financial Education	Group Live	Other Organization's Programs	2
Apr 17, 2023	0	Test 3 Provider Updates		Valuant	Group Internet-Based	Firm Meetings	3
Apr 17, 2023	0	Last test for 4/14/23 Registry Changes		Valuant	Group Internet-Based	Technical Meetings	4
Apr 14, 2023	0	Coutinued test 4/14/23		Valuant	Group Internet-Based	Firm Meetings	3
Apr 14, 2023	0	Continued test 4/14/23		ExecOnline	Group Live	Firm Meetings	2

- Courses are displayed in descending date order (newest to oldest) by default.

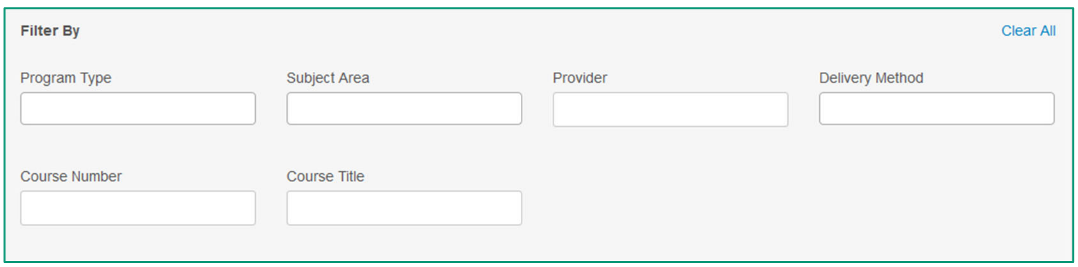
Search

- The default view is **All** which displays all courses in the CPA transcript, regardless of dates.
- Courses can be filtered by dates using the dropdown menu located below the Add Credit button.

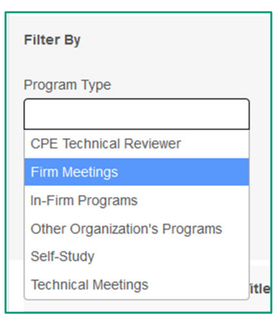


- Choose the yearly option(s) to display only the courses whose end date falls within the specified calendar year.
- Choose the **Date Range** option to select a specific set of dates. Only courses whose end date falls in the range will be displayed.

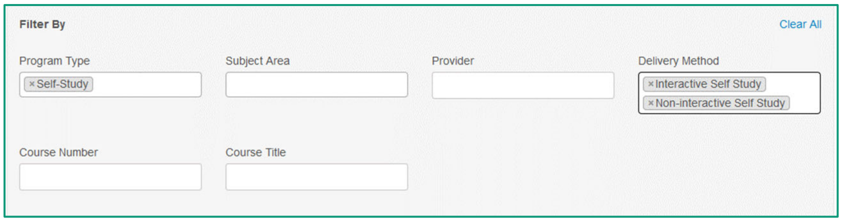
- Choose the Filter icon  to display advanced filters for the listing of courses.

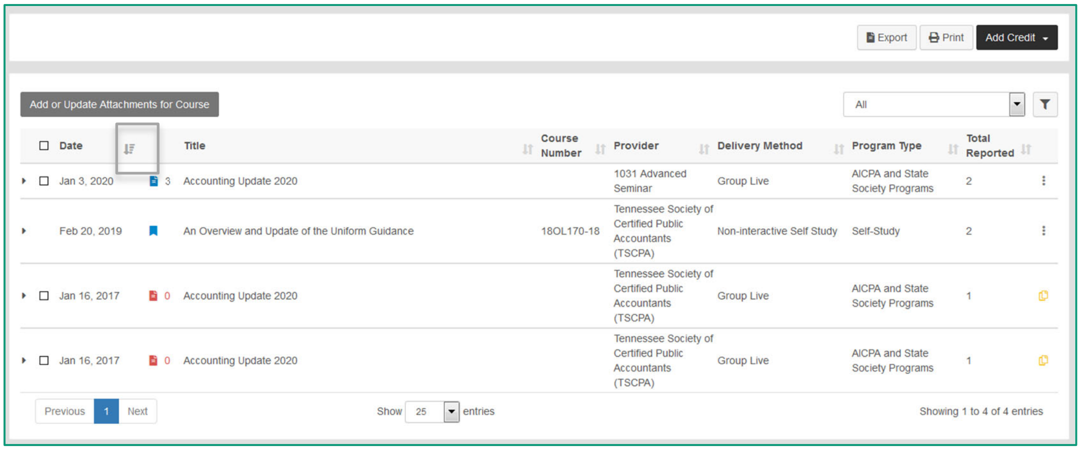


- Clicking in any of the filter options shows a display of the possible values contained within the set of courses.



- The data filters include Program Type, Subject Area, Provider, Delivery Method, Course Number and Course Title.
- Multiple filters can be used together by choosing values in more than one filter field.
- Multiple values can be selected for each filter by clicking in the field to see the possible values and selecting until all the desired values are chosen.
- Choose the Clear All link to remove all filters.



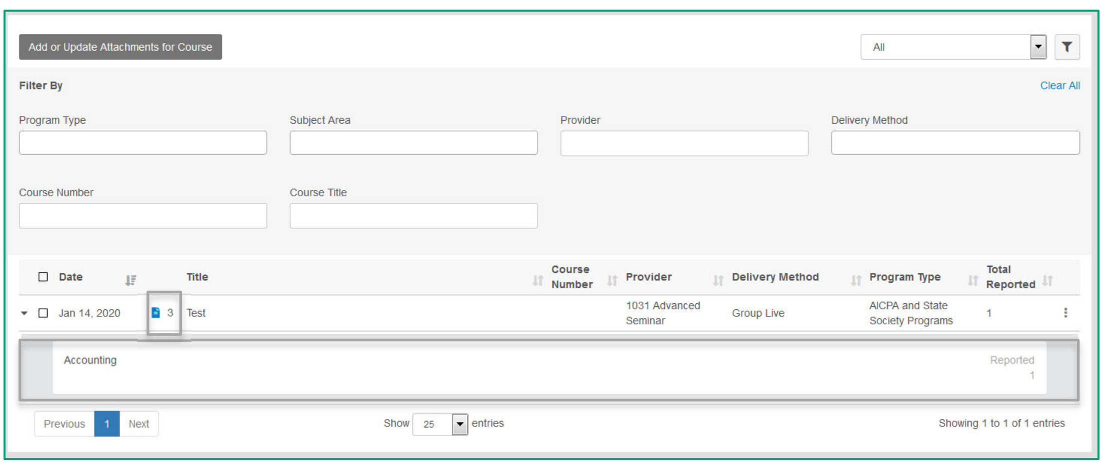


- Each column heading has an ascending/descending sort icon next to it. Click on the arrows icon to sort in ascending or descending order.
- Each row of the grid contains the details for an individual course:

COLUMN TITLE	DETAILS
Expander Icon	Each row within the grid can be expanded to show the Subject Area(s) and credit for the course. Choose the icon to view the subject areas for the course.
Checkbox	Click in this box in order to add or update an attachment.
Date	The end date entered for the course
Attachment	A red paper icon with "0" to its right indicates that there are no attachments for the course. A blue paper icon with a number above 0 to its right indicates that there is at least one attachment for the course with the number indicating how many attachments are associated with the course. A blue-ribbon icon indicates that the course was fed into your account directly from the provider.
Title	The title entered for the course or the course name.
Course Number	The unique identifier for the course, if entered.

Provider	The CPE sponsor entered for the course.
Delivery Method	The delivery method selected for the course.
Program Type	The program type selected for the course.
Total Reported	The number of CPE credits entered for the course.
Ellipsis	This symbol ⋮ at the end of the course row can be selected to reveal additional actions that can be taken on the course. Edit – returns to the Add Credit screen for the course for you to make and save updates to the course details or question responses. Link to Edit section View – allows you to view all the details entered for the course. Link to View Delete – allows you to remove the course from the CPE Credits transcript and any compliance calculation. Link to Delete

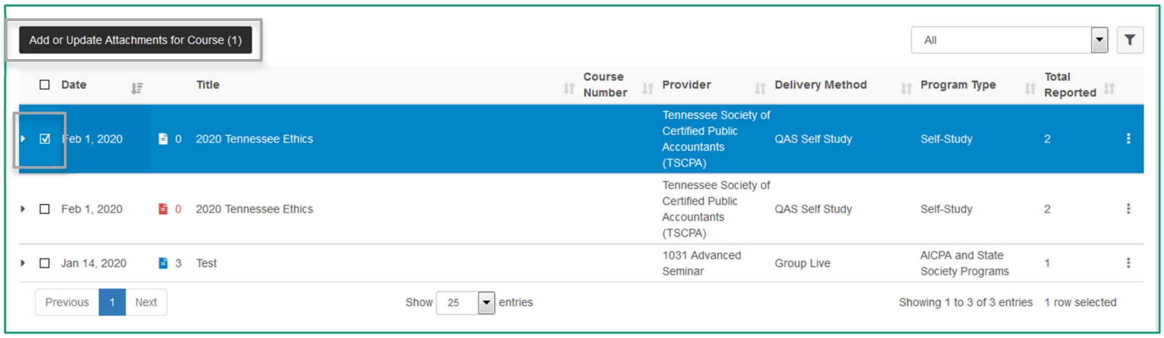
- When the expander icon is used, the subject area(s) for the course and the credit for each are displayed:



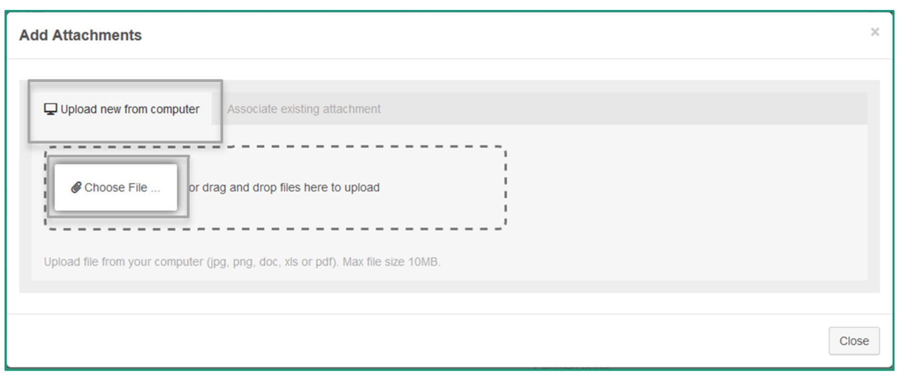
- The subject area name is displayed first.
- The Reported amount is the number of credits for the subject area as entered by the CPA.
- When there are attachments on the course, choosing the attachment icons will open each attachment in a separate browser tab.

Add or Update Attachments for Course

Course attachments can be added during manual credit entry or after a course is saved from the CPE Credits page.

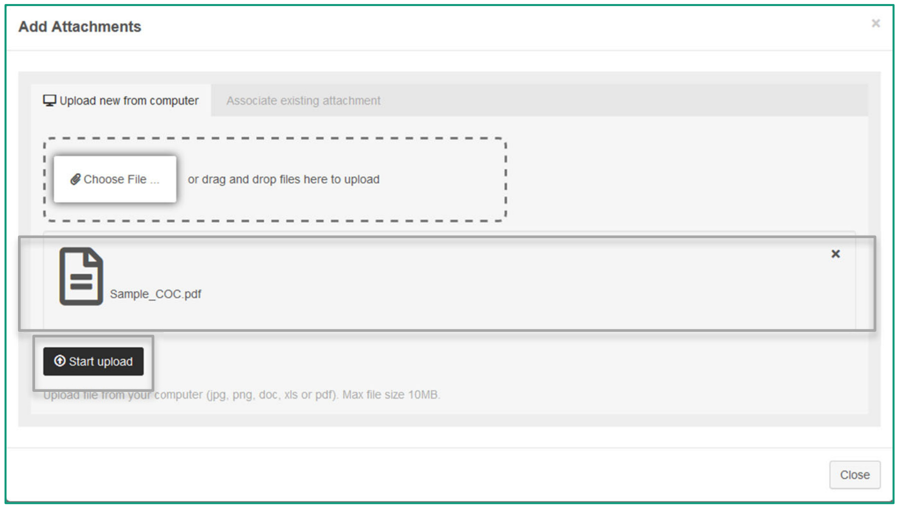


- Select the checkbox next to the course or courses desired to begin adding an attachment to the course(s).
- The courses selected will be highlighted in blue.
- The **Add or Update Attachments for Course** button will change from grey to black, with the number of courses selected indicated in its title.
- Choose the **Add or Update Attachments for Course** button.
  - The Add Attachments overlay is displayed and defaulted to the “Upload New from computer” tab.



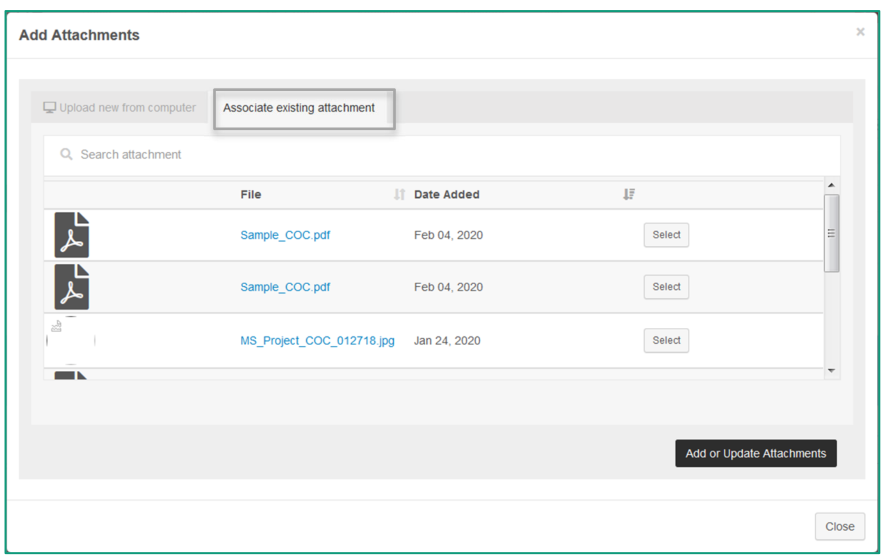
If the file has not been uploaded in your account previously:

- Click the **Choose File** button to open your local computer drives.
- Choose the file desired or drag the file from your folder to the Choose file section of the overlay.
  - The file can be of several file types: .jpg, .png, .doc, .xls or .pdf
  - The file size cannot be larger than 10MB.

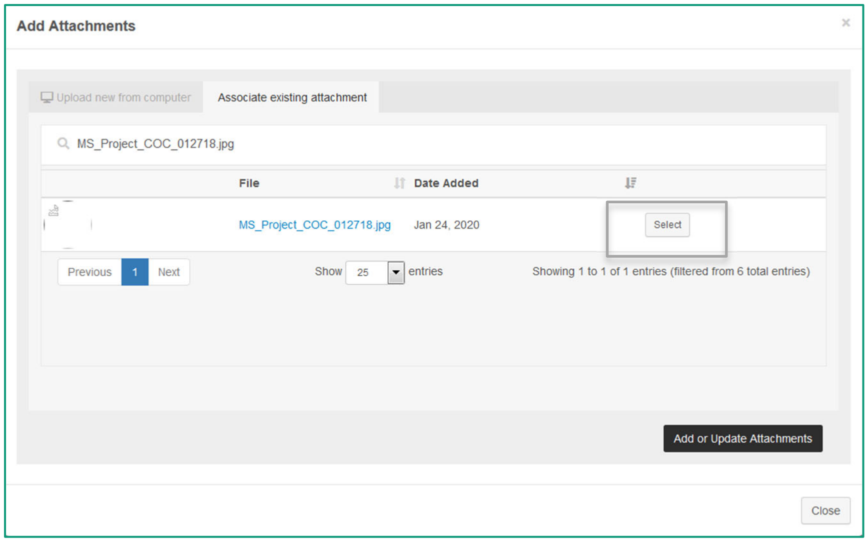


- The file will be populated below the Choose file section.
  - Click the **Start upload** button to process the picture.
  - Click the X to the right of the file to remove it from the screen and select another picture.
- Once the upload is started, a "processing" message will display briefly.
- The CPE Credits grid will be refreshed and the attachments counter on your file will be increased by the number of attachments added.

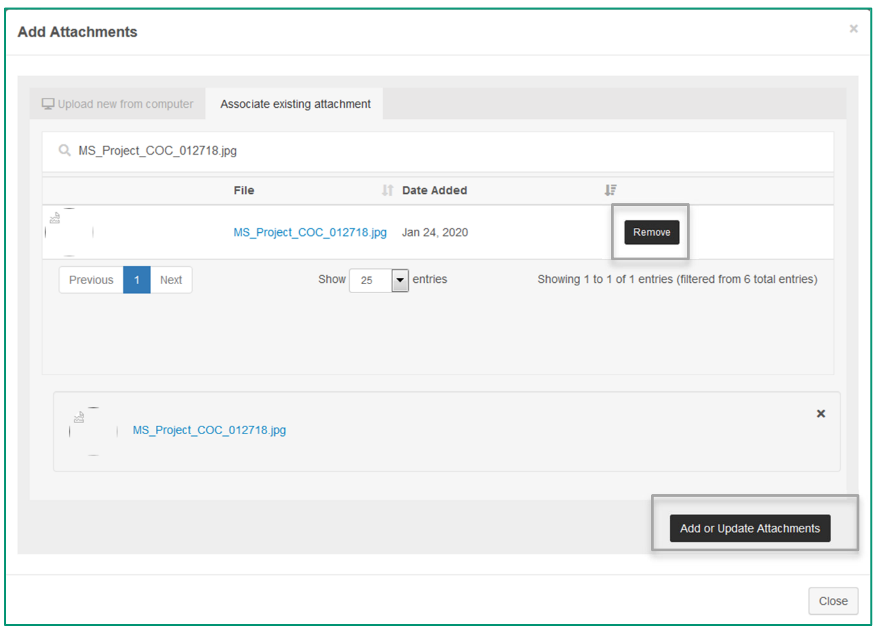
  <u>If the file has been previously uploaded to your account</u>
- Choose the "Associate existing attachment" tab.



- All previously uploaded files are displayed.
- Type the desired filename in the "Search attachment" field.
- Search results will be displayed in the grid below the search field.



- Choose the **Select** button next to the desired attachment.
- Once the upload is started, a "processing" message will display briefly.
- The CPE Credits grid will be refreshed and the attachments counter on your file will be increased by the number of attachments added.



- The attachment will be listed below the search results.
- The button next to the selected attachment will change from **Select** to Remove.
- Choose the Add or Update Attachments button to associate the attachment with the course previously selected.
- Once the upload is started, a "processing" message will display briefly.

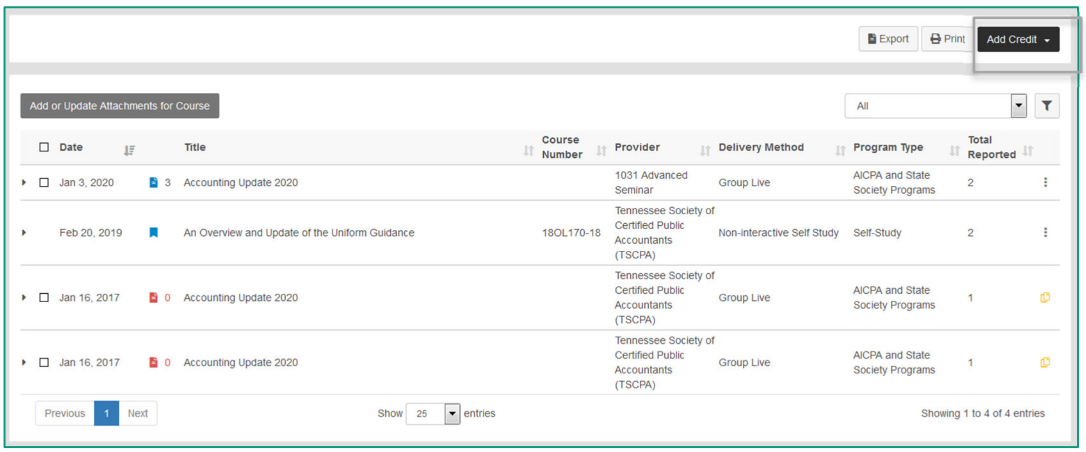
- The CPE Credits grid will be refreshed and the attachments counter on your file will be increased by the number of attachments added.
- A green success message will be displayed at the top of the CPE Credits grid.

Add Credits

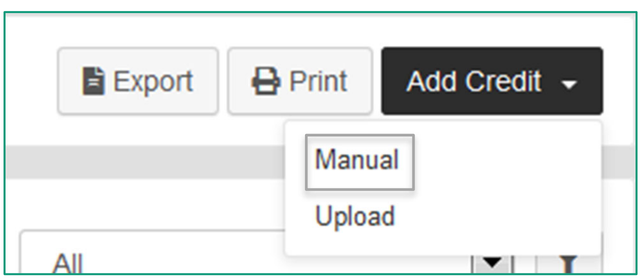
CPE courses can be added individually or via uploading a .csv file from a specified template – this is available from the CPE Credits page, as well as the Compliance Report.

Manual

- Choose the Add Credits button from the top right of the CPE Credits grid.

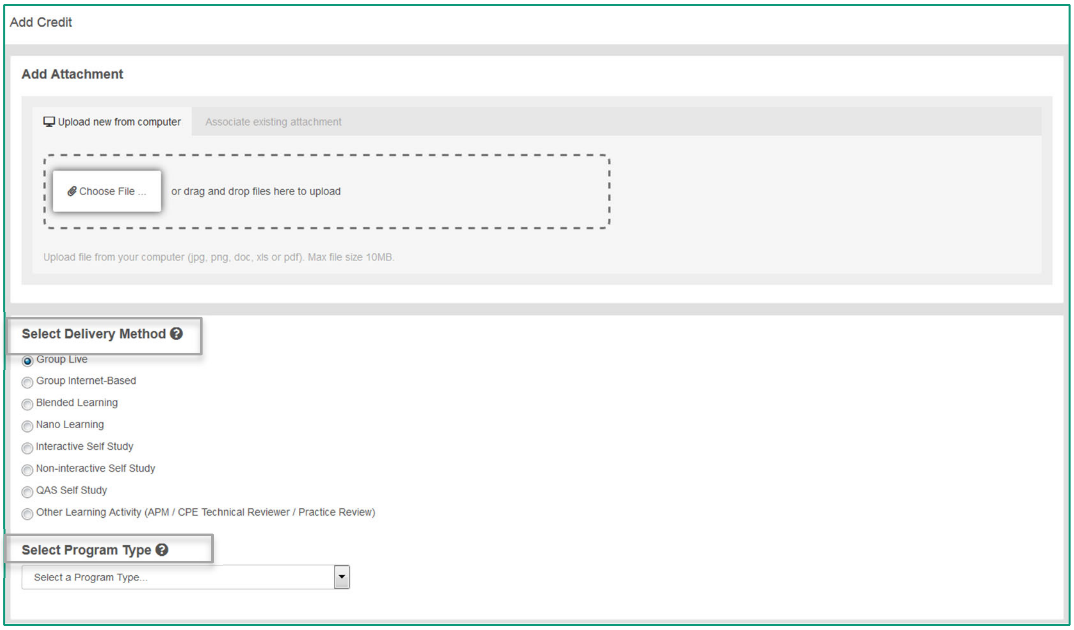


- Choose the "Manual" option from the dropdown displayed.



Add Attachments, Select Delivery Method and Select Program Type

- You can Add or Associate Attachments before entering credit details if you choose in the **Add Attachment** section of the page.

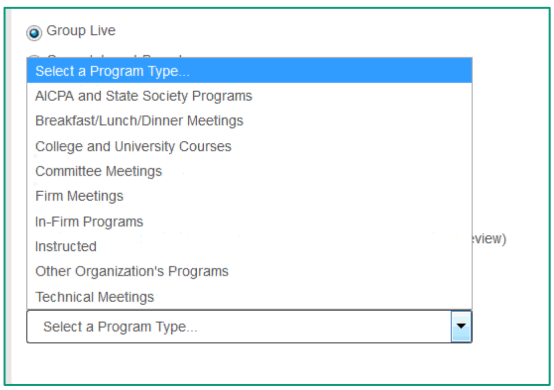


- Choose the delivery method that matches the one for your course in the **Select Delivery Method** section.
    - Available delivery method definitions include:
        - **Group Live** programs occur via interaction with an instructor in a classroom or conference setting.
        - **Group Internet-Based** programs occur via interaction with an instructor using the Internet.
        - **Blended Learning** programs incorporate multiple learning formats and can be a combination of Group delivery methods and nano learning.
        - **Nano Learning** programs are designed to permit a participant to learn a given subject in a 10-minute timeframe through the use of electronic media and without interaction with a real-time instructor.
        - **Interactive Self Study** programs allow the participant to review or learn a given subject without involvement of an instructor or facilitator. They may be internet or paper based. They provide review questions throughout the learning process with feedback. Also, there is a final exam that must be passed.
        - **Non-interactive Self Study** programs allow the participant to review or learn a given subject without involvement of an instructor or facilitator. They may be internet or paper based. The do not provide review questions during the learning process and may not have a final exam OR

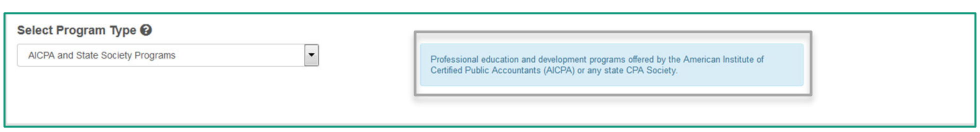
there is an exam, but the participant does not receive feedback on the exam results.

  - **QAS Self Study** programs are offered through providers on the NASBA Registry of CPE Sponsors approved for the Self Study delivery method (they will have a Registry Sponsor ID and note QAS qualification on their certificates of completion). These courses are specifically approved to meet the standards for self-study programs under the Statement on Standards for Continuing Professional Education.
  - **Other Learning Activity:** This delivery method option includes Authored/Published Material and Peer Review.
- The delivery method definitions are also listed under the Tooltips icon.

- Choose the radio button next to the desired delivery method
- Choose the dropdown arrow to the right of the **Select Program Type** field and select the program type that matches your course.



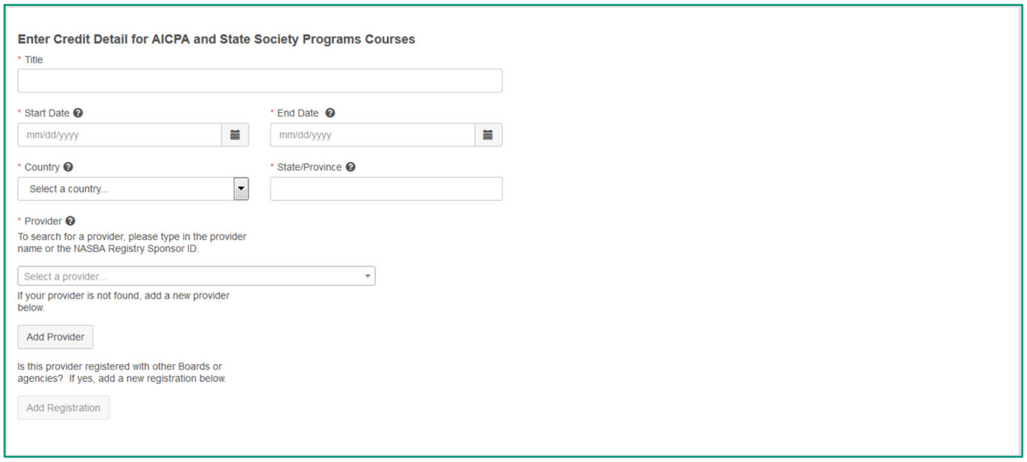
  - The program types available will be filtered by the delivery method selected in the previous step.
  - The program type definitions are available in a blue box to the right as each one is selected.



Enter Credit Detail

- Once the Program Type is selected, the **Enter Credit Detail** section of the screen is displayed with its required fields.
- The information needed can vary depending on the type of credit (delivery method and program type) selected:

- Group Live, Group Internet-Based, Blended Learning or CPE Tech Reviewer


Enter Credit Detail for AICPA and State Society Programs Courses

* Title

* Start Date

mm/dd/yyyy

* End Date

mm/dd/yyyy

* Country

Select a country...

* State/Province

* Provider

To search for a provider, please type in the provider name or the NASBA Registry Sponsor ID.

Select a provider...

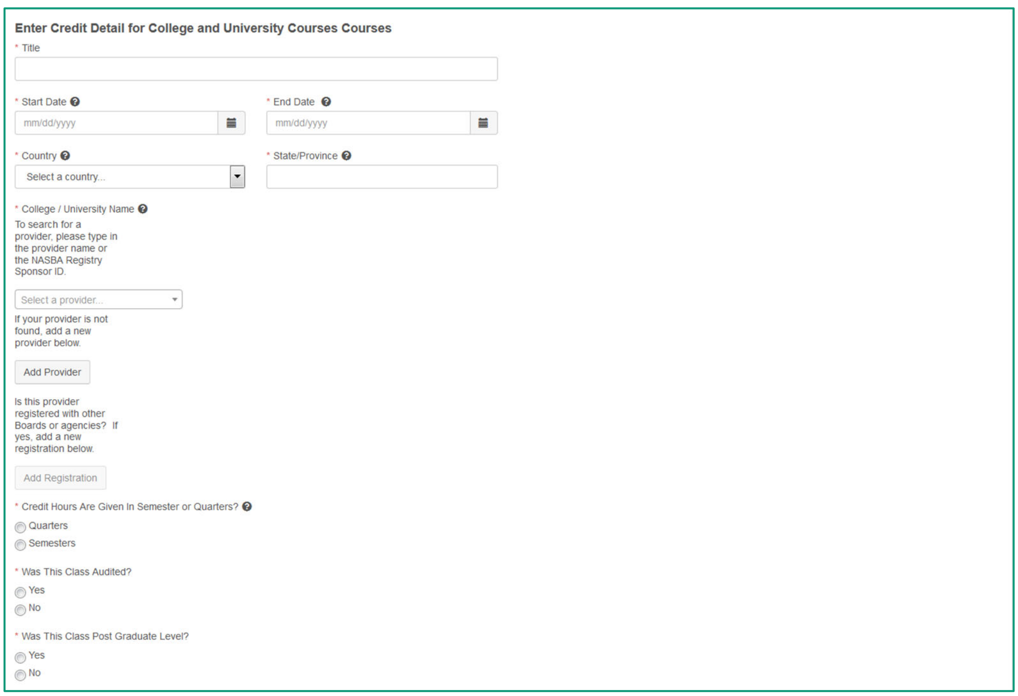
If your provider is not found, add a new provider below.

Add Provider

Is this provider registered with other Boards or agencies? If yes, add a new registration below.

Add Registration

- College and University Courses


Enter Credit Detail for College and University Courses Courses

* Title

* Start Date

mm/dd/yyyy

* End Date

mm/dd/yyyy

* Country

Select a country...

* State/Province

* College / University Name

To search for a provider, please type in the provider name or the NASBA Registry Sponsor ID.

Select a provider...

If your provider is not found, add a new provider below.

Add Provider

Is this provider registered with other Boards or agencies? If yes, add a new registration below.

Add Registration

* Credit Hours Are Given In Semester or Quarters?

Quarters

Semesters

* Was This Class Audited?

Yes

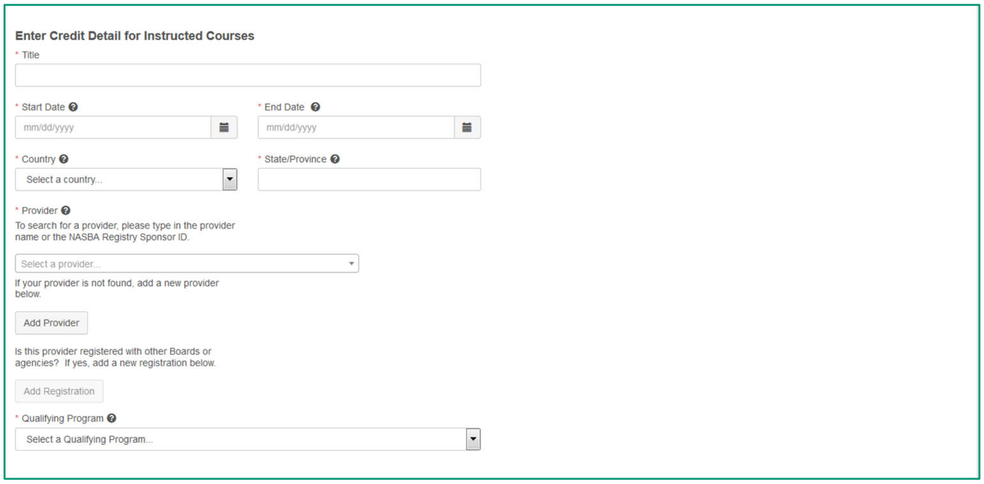
No

* Was This Class Post Graduate Level?

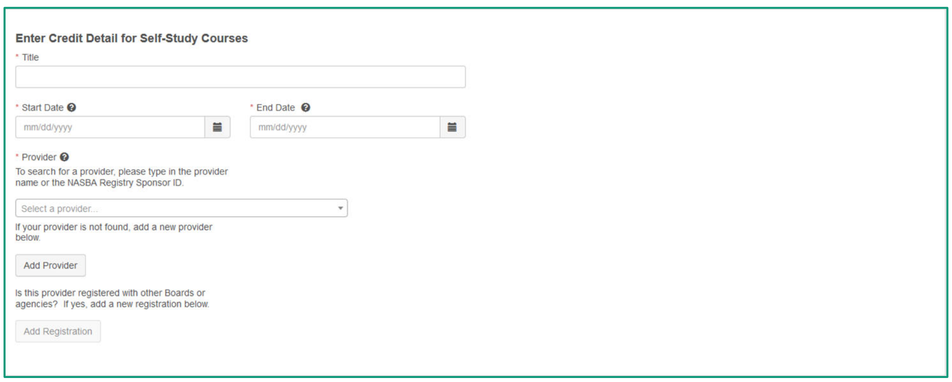
Yes

No

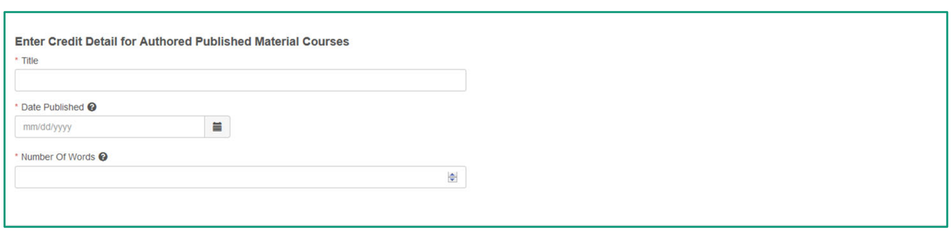
- ○ Instructed



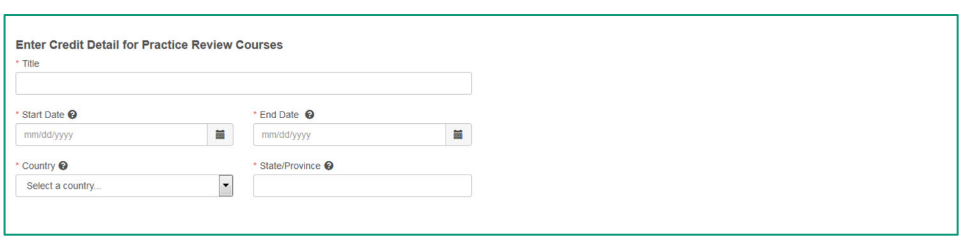
- ○ Interactive Self Study, Noninteractive Self Study or QAS Self Study



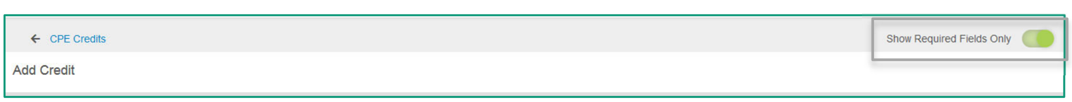
- ○ Authored Published Material



- ○ Practice Review

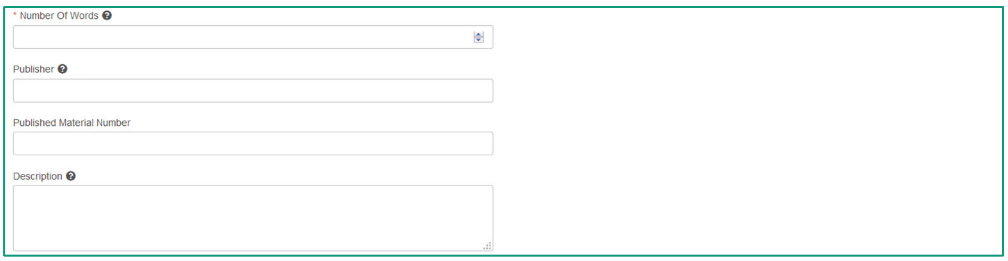


- Enter the name of the course in the **Title** field.
- Type the date (or select the date using the calendar widget) the course started in the **Start Date** field.
- Type the date (or select the date using the calendar widget) the course was completed in the **End Date** field.
- Select the **Country** in which the course was taken.
  - NOTE: Certain program types, such as Self Study, will not prompt for location information.
  - If the country selected is USA, Mexico or Canada, then a dropdown menu listing of states (for USA and Mexico) or provinces (Canada) will be populated in the **State/Province** field.
  - If the country selected is not USA, Mexico or Canada, then the other identifying location information for the country selected can be typed in the **State/Province** field.
- Select the state/province for the country selected from the dropdown provided OR type in the other identifying information for the country selected in the **State/Province** field.
- Type the CPE sponsor name in the **Provider** field to search by name OR type in the NASBA Registry Sponsor ID.
  - A list of possible matches will be displayed.
  - Select the provider that matches the provider for your course.
  - The provider name will be populated in the Provider field.
  - If the desired provider is not in the list, select the Add Provider button to create a provider record for that sponsor.
  - If the desired provider is on a state registry, the state registry can be added to the provider record by selecting the Add Registration button.
- If you would like to add a course number, description or City (for Group, Blended Learning or CPE Tech Reviewer courses), then click on the **Show Required Fields Only** toggle at the top right of the screen to open text fields for that information:



- A field for Course Number, Description and (depending on the program type) City will be added for entry below the Add Registration button:

- For Authored Published Material, a field for Publisher, Published Material Number and Description will be added for entry below the Number of Words field:



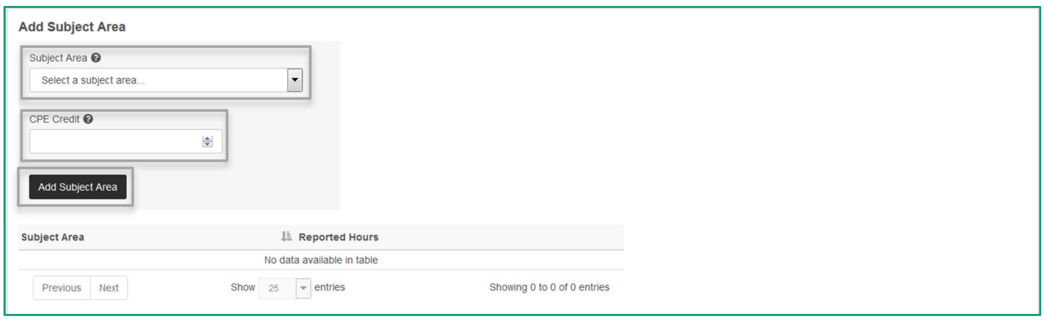
- Type the desired information in any of these fields.
- For College and University courses some additional information is required:

    - **Credit Hours are Given in Semesters or Quarters?** Select the radio button to indicate if credit was provided in Quarters or Semesters
    - **Was this Class Audited?** Select the "Yes" or "No" radio button to indicate if the course was audited (not taken for college credit) or not (taken for college credit).
    - **Was This Class Post Graduate Level?** Select the "Yes" or "No" radio button to indicate if the course was or was not at a graduate difficulty level.
- For Instructed credit, some additional information is needed:

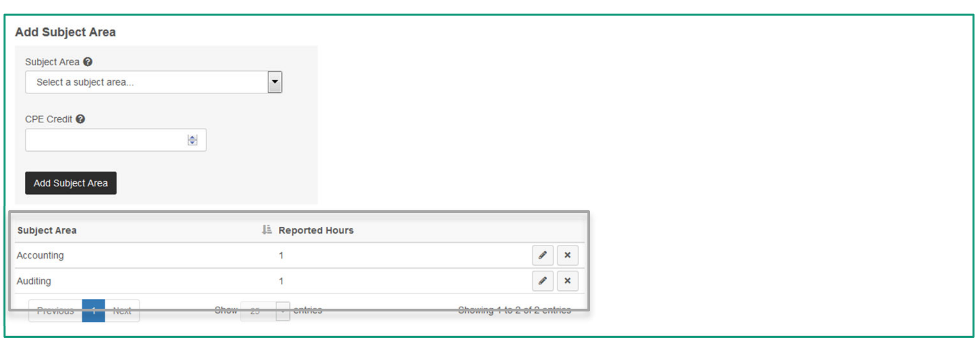
- Select the type of course that you instructed from the dropdown listing provided in the **Qualifying Program** field.

Add Subject Area

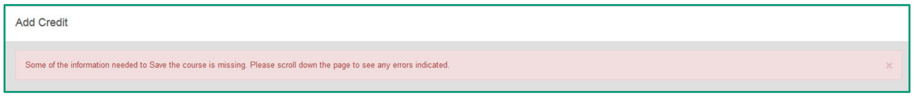
- The subject areas (fields of study) for the course are selected with the amount of CPE credit in the **Add Subject Area** section of the page.



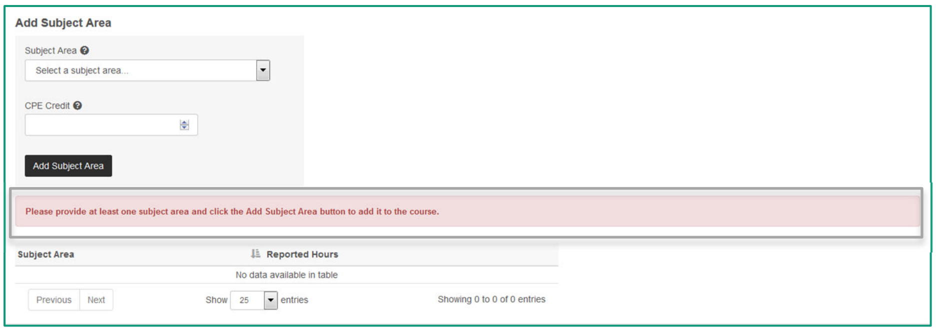
  - Select the first subject area for your course from the dropdown provided in the **Subject Area** field.
    - The subject areas are based on the Fields of Study as referenced in the [Statement on Standards for Continuing Professional Education (CPE) Programs.](#) Visit this link to the document that defines each Field of Study.
  - Type the amount of credit issued in the **CPE Credits** field (**College Credit** field for College/University courses) field.
  - Choose the Add Subject Area button to add the credit to the course.
  - Repeat these steps for any additional subject areas that are associated with this course.
  - The added subject area(s) are displayed in a grid in the Add Subject Area section.



- **NOTE: If you attempt to save the course without having saved your subject areas to the course, an error will be displayed at the top of the credit entry screen, as well as within the Add Subject Area section.**



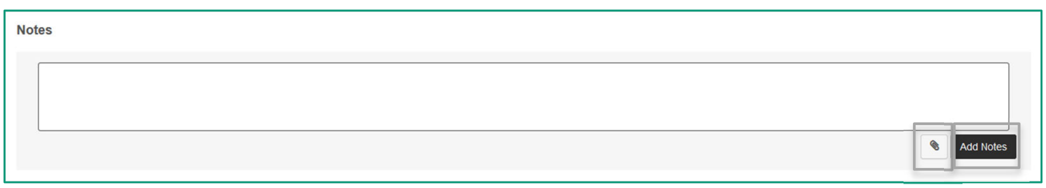
as well as within the Add Subject Area section.



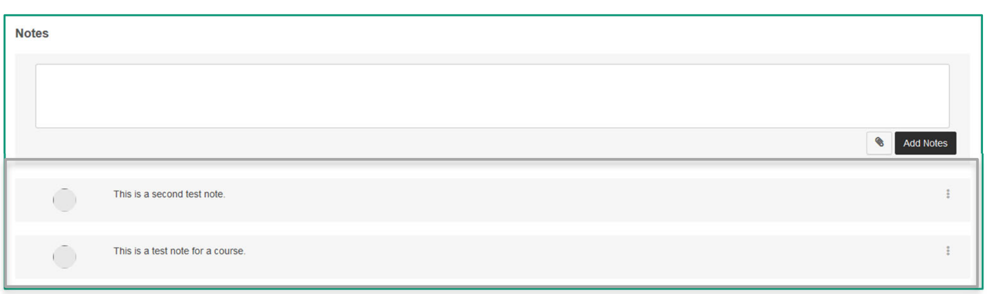
  - Select and save the subject area(s) before saving the course.

Add Notes

- Notes can be added to the course in the **Notes** section of the page.

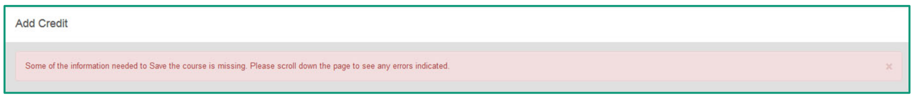


  - Type the desired text in the field provided.
  - If desired, add an attachment to the note by selecting the paperclip icon and then upload the attachment.
  - Select the Add Notes button to save the note to the course.
  - Saved notes will appear in the Notes section below the entry field for notes.



Save Course

- Choose the **Cancel** button if you do not wish to save the course.
- Choose the **Save and Add New** button if you want to save this course and then begin entering a new course.
- Choose the Save button if you want to save this course and return to the CPE Credits screen.
    - NOTE: If required values are missing (fields preceded with a red asterisk * are required), then an error message will be displayed at the top of the page:



and the missing fields will be highlighted in red:

    - Enter the required information and save the course again.

Upload

Download and Prepare Upload File

CPE courses for a given licensee can be input to the Credit Upload Template and then be uploaded into the CPE Audit Service.

- Open the "CPE Audit Service – Credit Upload Template.xlsx" file, which is also available under the CPA Upload help topic within the application. The template contains a few sample rows – be sure to delete these before saving and uploading your file.
- The CPA Credit Upload Data Guide below matches the columns in the template file.
- The formatting of the acceptable values must match exactly (capital letters, punctuation, etc.).

CPA Credit Upload Data Guide			Notes
Column/Field	**Required**	**Acceptable Values**	
Delivery Method	Yes	Group Live Group Internet-Based Blended Learning Nano Learning Interactive Self Study Non-interactive Self Study QAS Self Study Other	Capitalization and characters must match
Program Type	Yes	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 Organization's Programs Practice Review Self-Study Technical Meetings	Capitalization and Characters must match
Title	Yes	Title for the program/course.	
Course Number	No	Course number identifier or code (if provided)	
Description	No	Description of the program/course.	
Start Date	Yes	Date must be formatted MM/DD/YYYY	In Excel, you will need to format the date cell as a Category of Custom and put mm/dd/yyyy in the Type field.
End Date	Yes	Date must be formatted MM/DD/YYYY	In Excel, you will need to format the date cell as a

			Category of Custom and put mm/dd/yyyy in the Type field.
Country	No	Location of the program/course.	USA or the country name spelled out such as “Canada”
State	No	Location of the program/course.	If the country is = USA, then use the two-letter abbreviation for the state – such as TN for Tennessee.
City	No	Location of the program/course.	
NASBA Provider ID	No	Six-digit NASBA Registry ID number	Include the six-digit number here, if the provider is a NASBA Registry Sponsor
Provider	Yes	Provider/Facilitator of the program/course.	

Subject Area	Yes	Accounting Accounting (Governmental) Administrative Practice Auditing Auditing (Governmental) Behavioral Ethics Business Law Business Management & Organization Communications Communications & Marketing Computer Science Computer Software & Applications Economics Finance Information Technology Management Advisory Services Management Services Marketing Mathematics Personal Development Personnel/HR Production Regulatory Ethics Social Environment of Business Specialized Knowledge Specialized Knowledge & Applications Statistics Tax Taxes	If there are multiple subject areas, separate with a comma in the same cell and no space in between. Ex: Accounting, Auditing
CPE Credit	Yes	Number of CPE Credits for the given subject area(s).	If there are multiple subject areas with CPE credit, separate with a comma in the same cell and no space in between. Ex: 2,2

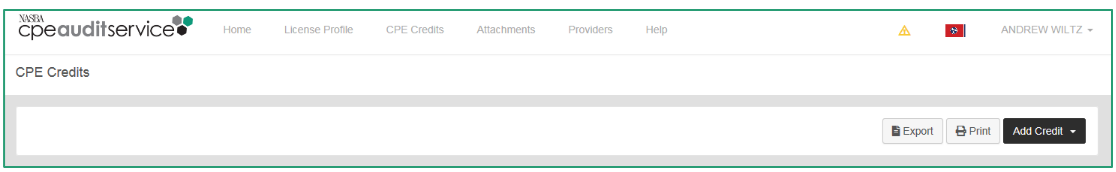
a. If the column is required to be included, it is noted with a “Yes” in the Required section above. Otherwise, the value is “No”.

- All the columns must be present in the file whether they are required or not. They can be left blank if a value is not required.
- The Acceptable Values section in the grid above displays the type of information that is allowed in the column.

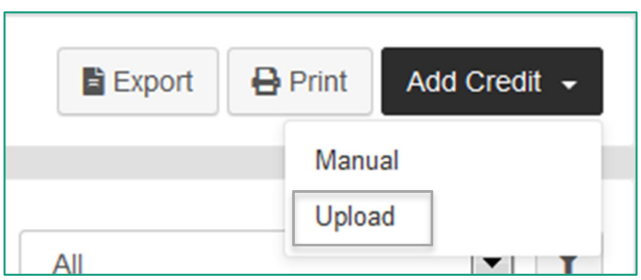
- Complete the template with your CPE course details.
- Save the file in Excel as a .csv file on your local computer drive.
    - Choose **Save As** in Excel.

    - The filename is listed first in the Save As dialog box.
    - The default format will be Excel workbook (*.xlsx) or Excel 97- 2003 Workbook (*.xls).
    - Choose the CSV UTF-8 (Comma delimited) (*.csv) format from the format dropdown provided.
    - Choose the **Save** button.

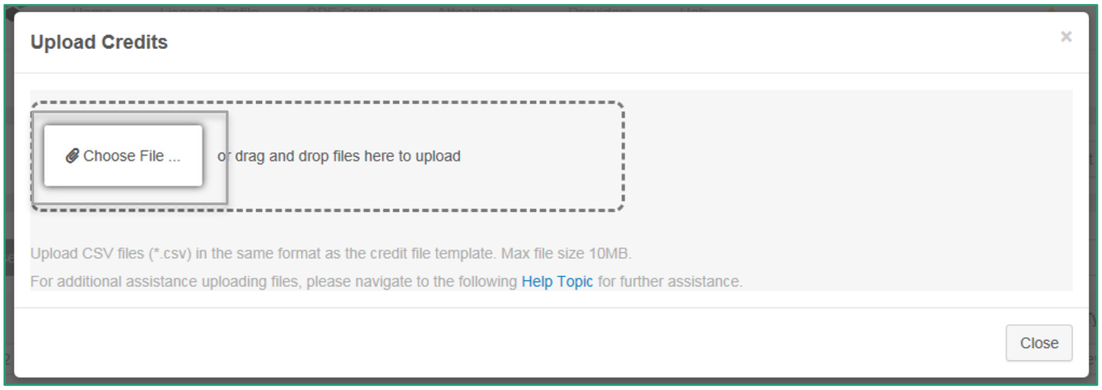
Upload File



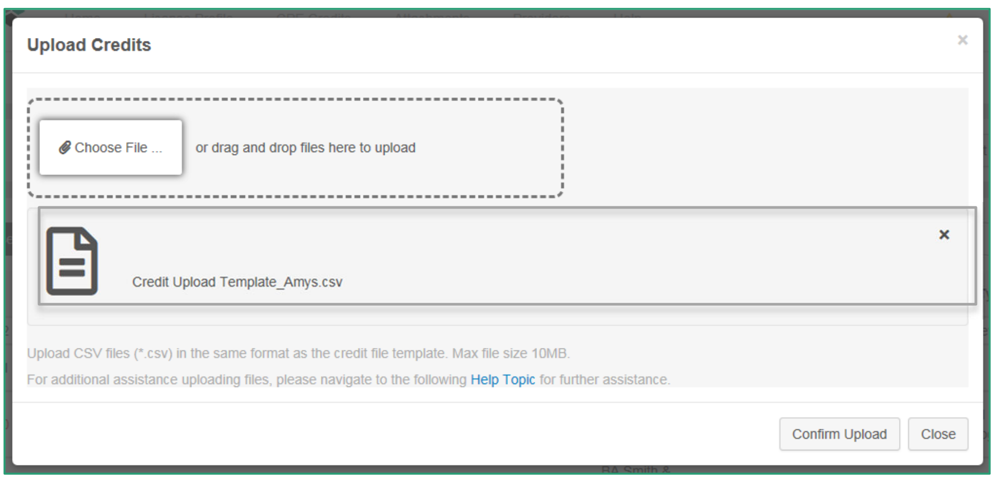
- Choose the **Add Credits** button at the top right of the credits grid and select the **Upload** option.



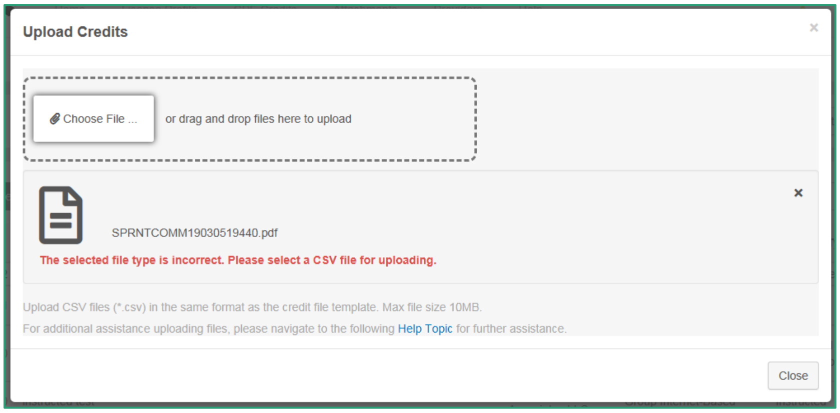
- The **"Upload Credits"** overlay is displayed.



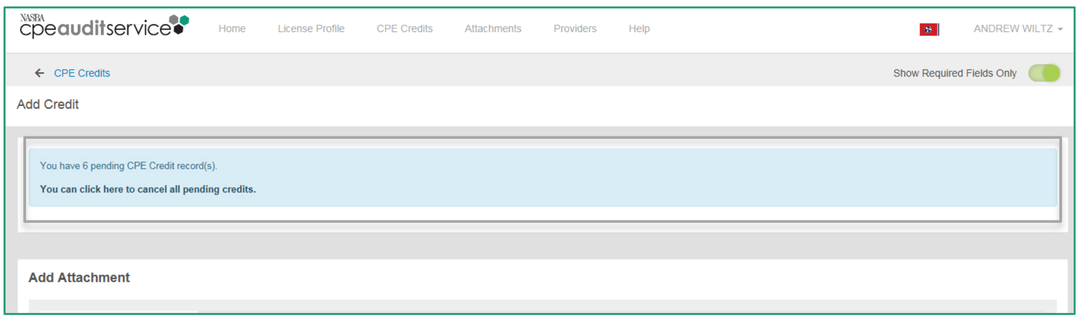
- Select the **Choose File** button.
- A dialog showing your local computer drive(s) is displayed.
- Navigate to where your .csv file is saved.
- Select the file.
- Choose the Open button.
- The file is displayed below the Choose File section of the overlay.



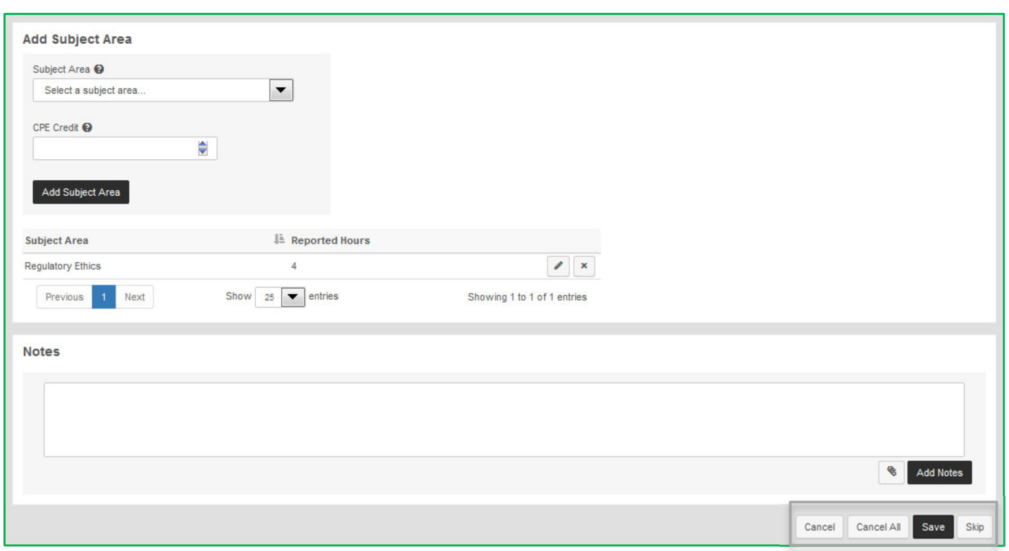
- Choose the **Confirm Upload** button.
  - Click the "X" button to the right of the file listed to remove it.
  - Choose the **Close** button if you do not want to continue uploading the file.
- The **Confirm Upload** button will briefly change to say "Uploading" as it processes the file.
  - Files cannot be larger than 10MB in size. If the file is too large, an error message will be displayed.
  - If the file is not in the .csv format, an error will be displayed.



- The **Add Credit** screen will be displayed.



- The number of credits pending (which corresponds to the number of rows in your uploaded file) is displayed in a blue message box above the Add Attachments section.
    - You may click the message "You can click here to cancel all pending credits" to exit the **Add Credit** process.
- The data from the first row of your file's information populated in the fields on the page.
- Review the information populated in the fields and make any necessary edits.



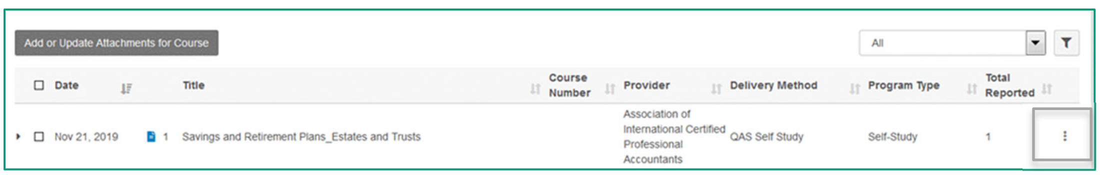
- Choose the **Save** button to move to the next row in your uploaded file.
    - Choose the **Cancel** button to skip the pending credit displayed. It will not be saved, and the process will move to the next row in the file.
    - Choose the **Cancel All** button to stop uploading any rows from your file.
- Choose the **Skip** button to move to the next row in the file without saving any changes. The skipped courses will remain in a pending status until saved or pending items are cancelled.
- Once all the pending rows have been processed, you will be returned to the CPE Credits screen and your saved courses will be included in your transcript.

Edit Credits

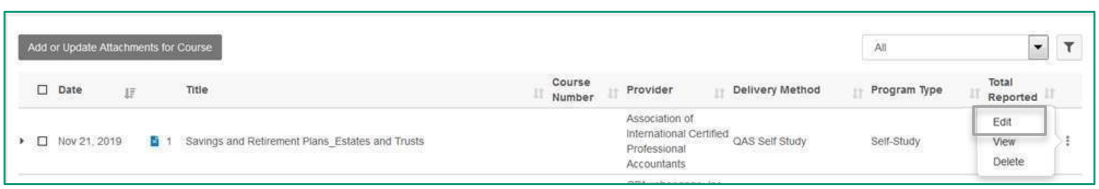
CPE courses entered by the CPA can be edited or deleted if changes are needed.

NOTE: Courses fed in directly from a participating provider and noted with the "blue ribbon" icon to the left of the course Title, cannot be edited by the CPA or Board. The CPA would need to contact the provider to have any changes made to that type of course attendance.

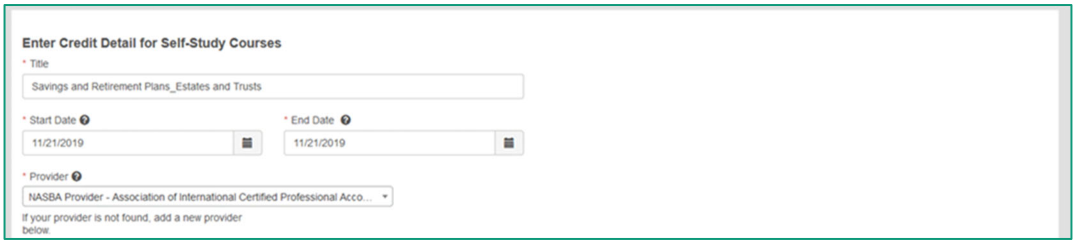
- Course edits can be initiated from the Compliance Report or from the CPE Credits page.
- Choose the ellipsis (the three dots) at the end of the course row:



- Choose the "Edit" option.



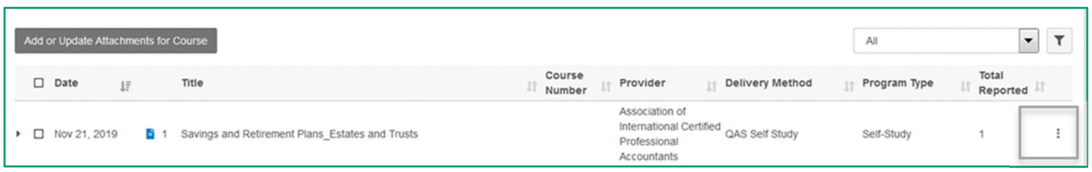
- The existing course details are displayed as they were entered.
- Scroll down to the section that needs an update and type in the correct information for the course.
- Choose the **Save** button at the bottom of the page.



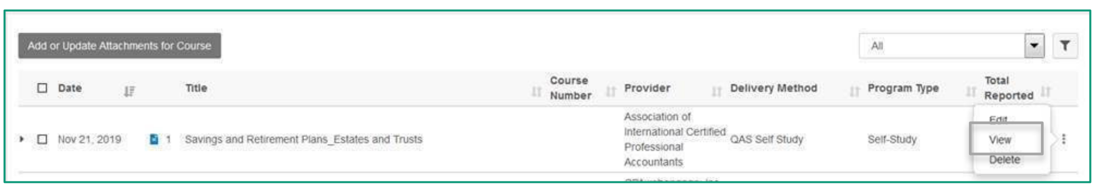
- Once you have chosen the **Save** button, the course dates will be updated, and your compliance will be recalculated.

View Credits

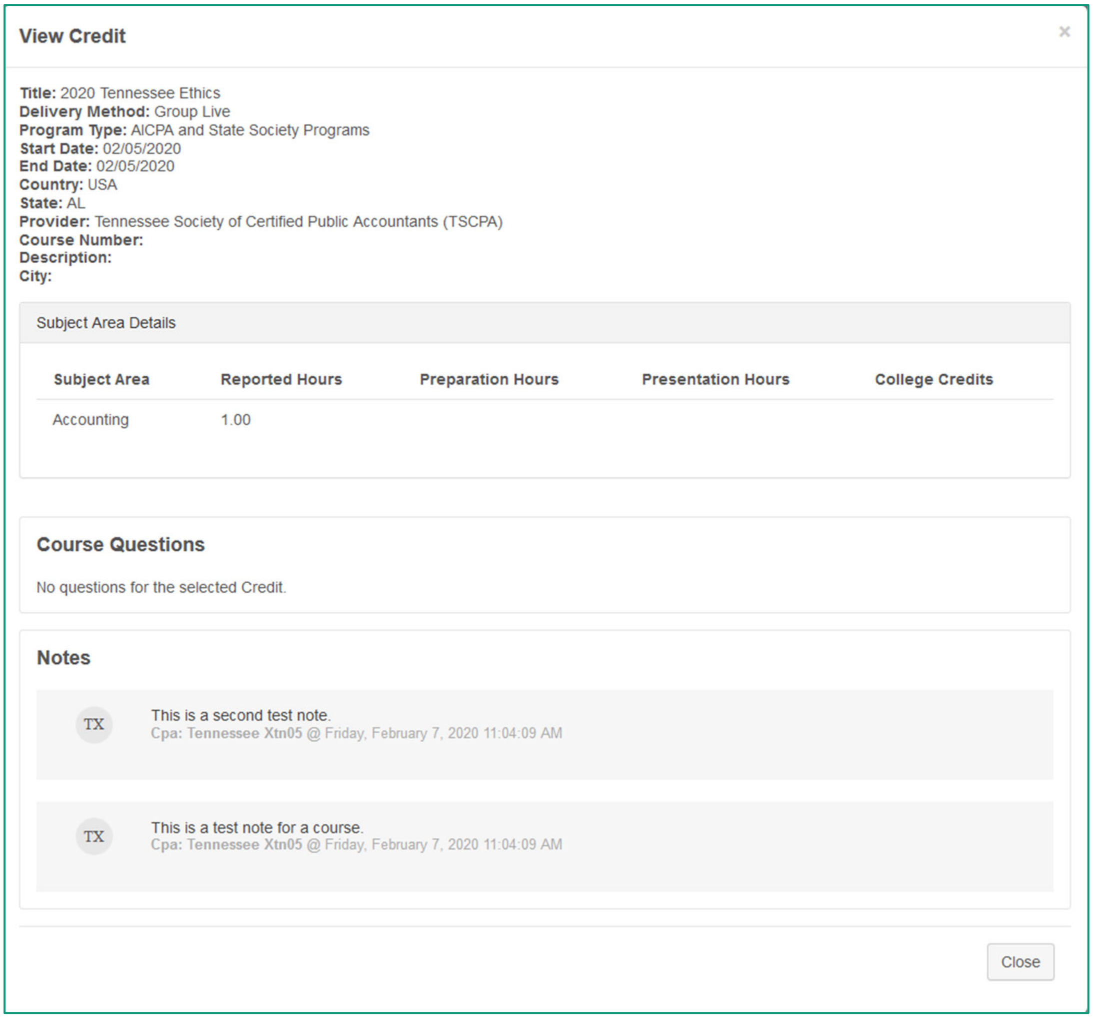
- A view of the course details can be initiated from the Compliance Report or from the CPE Credits page.
- Choose the ellipsis (the three dots) at the end of the course row:



- Choose the “View” option.



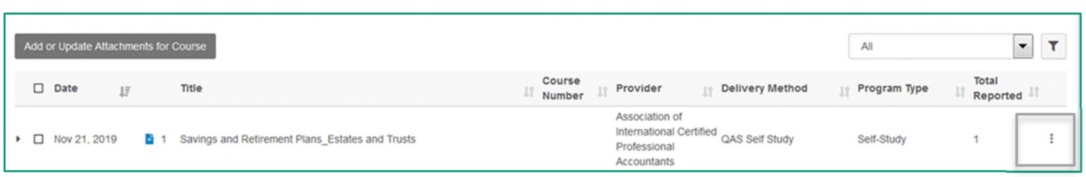
- The existing course details are displayed as they were entered.



- Choose the **Close** button to return to the CPE Credits page.

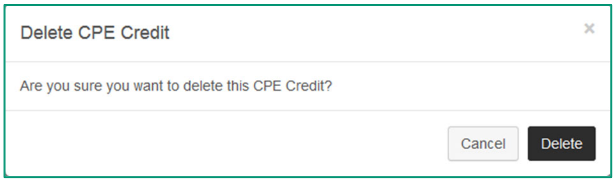
Delete Credits

- A view of the course details can be initiated from the Compliance Report or from the CPE Credits page.
- Choose the ellipsis (the three dots) at the end of the course row:



- Choose the “Delete” option.

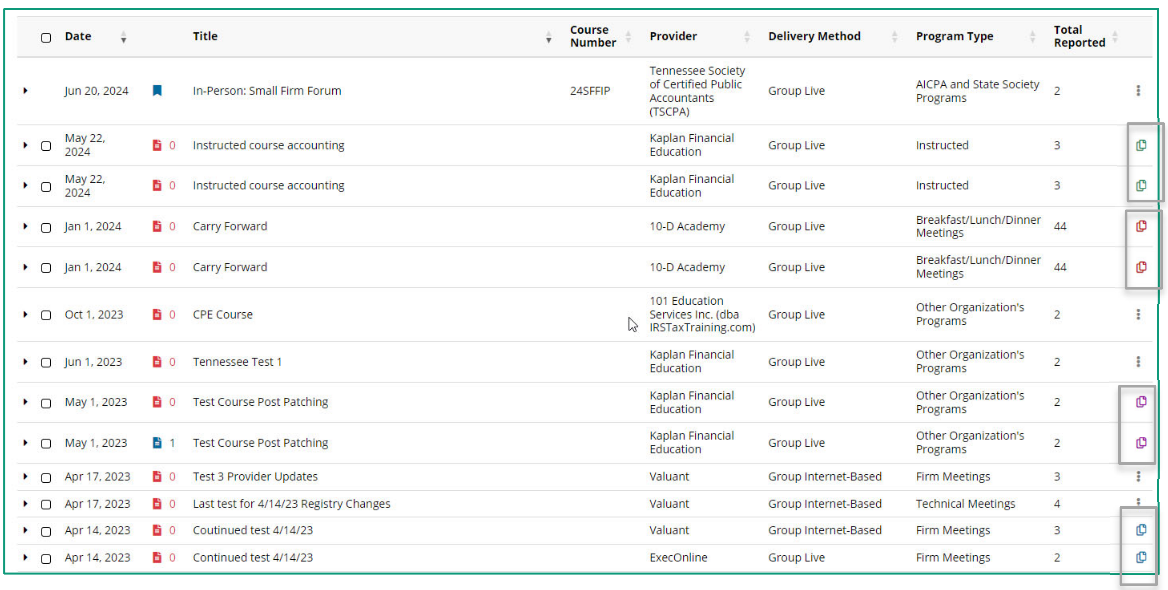
- A warning message is displayed:



- Choose the **Cancel** button to return to the CPE Credits page without deleting the course.
- Choose the **Delete** button to remove the course. Compliance will be recalculated.

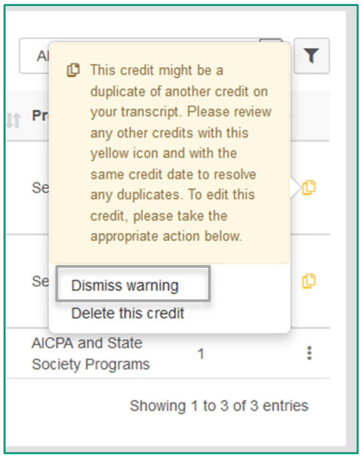
Duplicates

If courses appear to be the same, a color paper icon will appear (red, green, blue or purple) for the sets of courses rather than the Edit/View/Delete ellipsis, at the end of the course row.

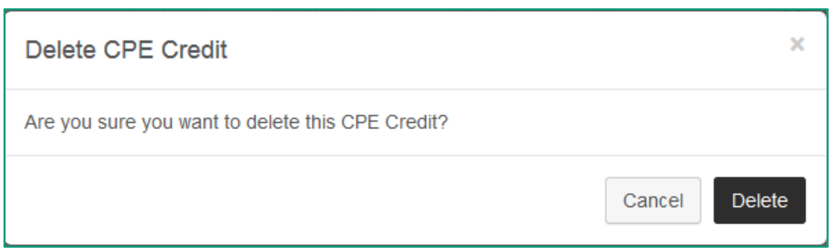


Date		Title	Course Number	Provider	Delivery Method	Program Type	Total Reported
Jun 20, 2024		In-Person: Small Firm Forum	24SFFIP	Tennessee Society of Certified Public Accountants (TSCPA)	Group Live	AICPA and State Society Programs	2
May 22, 2024	0	Instructed course accounting		Kaplan Financial Education	Group Live	Instructed	3
May 22, 2024	0	Instructed course accounting		Kaplan Financial Education	Group Live	Instructed	3
Jan 1, 2024	0	Carry Forward		10-D Academy	Group Live	Breakfast/Lunch/Dinner Meetings	44
Jan 1, 2024	0	Carry Forward		10-D Academy	Group Live	Breakfast/Lunch/Dinner Meetings	44
Oct 1, 2023	0	CPE Course		101 Education Services Inc. (dba IRSTaxTraining.com)	Group Live	Other Organization's Programs	2
Jun 1, 2023	0	Tennessee Test 1		Kaplan Financial Education	Group Live	Other Organization's Programs	2
May 1, 2023	0	Test Course Post Patching		Kaplan Financial Education	Group Live	Other Organization's Programs	2
May 1, 2023	1	Test Course Post Patching		Kaplan Financial Education	Group Live	Other Organization's Programs	2
Apr 17, 2023	0	Test 3 Provider Updates		Valuant	Group Internet-Based	Firm Meetings	3
Apr 17, 2023	0	Last test for 4/14/23 Registry Changes		Valuant	Group Internet-Based	Technical Meetings	4
Apr 14, 2023	0	Coutinued test 4/14/23		Valuant	Group Internet-Based	Firm Meetings	3
Apr 14, 2023	0	Continued test 4/14/23		ExecOnline	Group Live	Firm Meetings	2

- Choose the duplicates icon to dismiss the warning or to delete the duplicate credit.



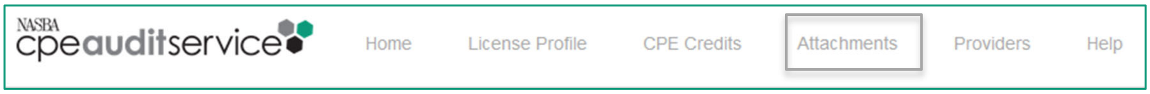
- If the courses indicated are not duplicate records, choose the "Dismiss warning" option and the duplicate icon will be removed from both courses.
- If the courses indicated are duplicate records, choose the "Delete this credit" option to remove one of the records.
    - A warning message overlay is presented:



    - Choose the **Cancel** button if you do not want to delete the course.
    - Choose the **Delete** button to proceed and delete the course.

Attachments

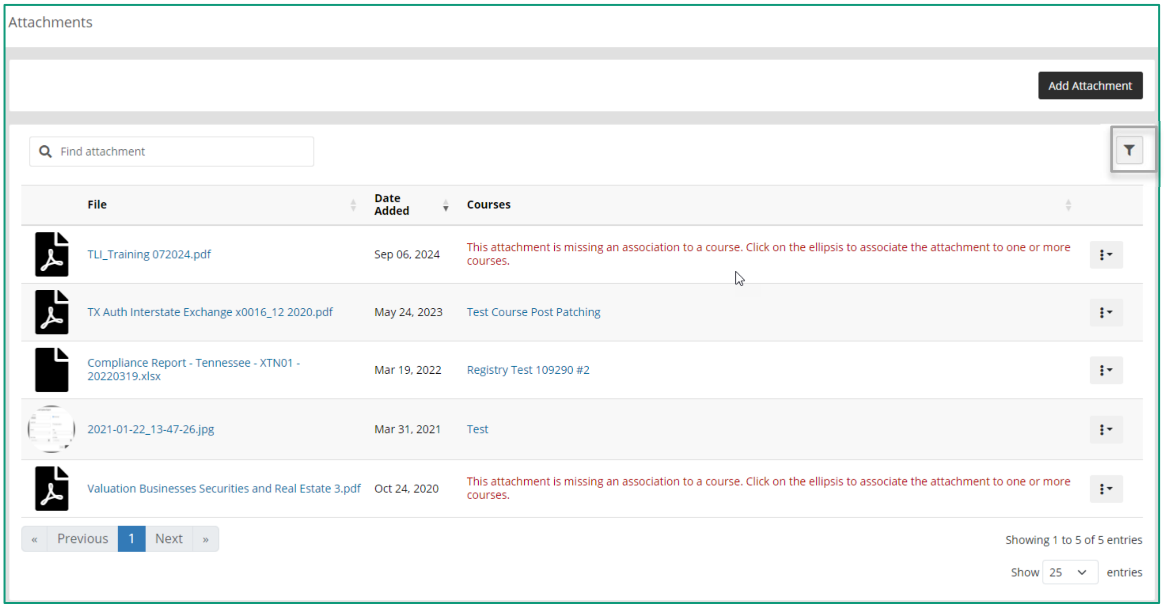
A listing of all attachments added to your account is found by selecting the Attachments menu from the top of the screen. From this screen, you can add new attachments or delete existing attachments. Any attachments listed here can be associated with courses on the CPE Credits grid, the Compliance Report or during the Add Credit process.



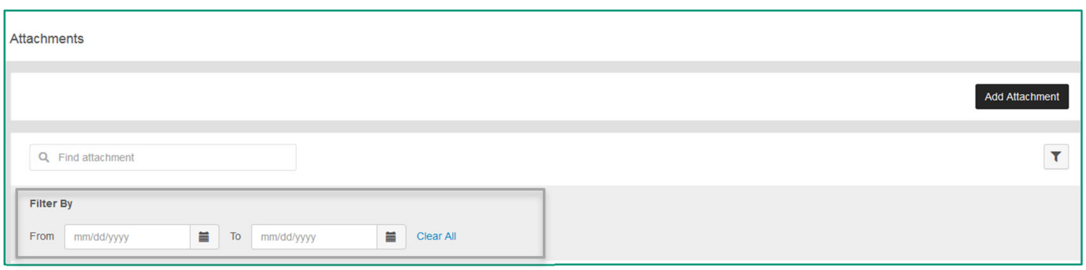
- Navigate to the Attachments page.

Attachments Grid

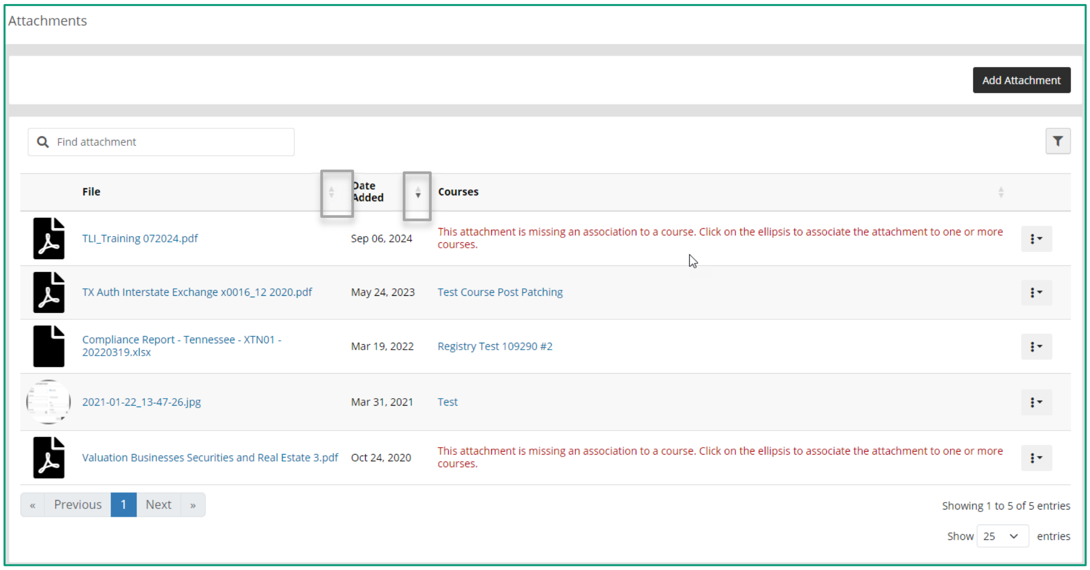
- The default view displays all attachments for your account.



- Choose the Filter icon  to display a filter for sorting on the date the attachment was added.



  - Type in the desired date range in the “From” and “To” fields provided (or select using the calendar widget) to filter the listing of attachments.
  - Choose the Clear All link to remove all filters.



- The **Date Added** and **Courses** columns have an ascending/descending sort icon next to it. Click on the arrows icon to sort in ascending or descending order.
- Each row of the grid contains the details for an individual course:

COLUMN TITLE	DETAILS
File	Each row within the grid can be expanded to show the Subject Area(s) and credit for the course. Choose the icon to view the subject areas for the course.
Date Added	This is the date that the attachment was added to your account
Courses	This is a listing of the course or courses that are associated with the attachment. If there is no course associated with the attachment, then a message is displayed "This attachment is missing an association to a course. Click on the ellipsis to associate the attachment to one or more courses."
Ellipsis	This symbol  at the end of the course row can be selected add the attachment to a course or to delete the attachment from your account. Add Attachment to Courses – returns to the Add Credit screen for the course for you to make and save updates to the course details or question responses.

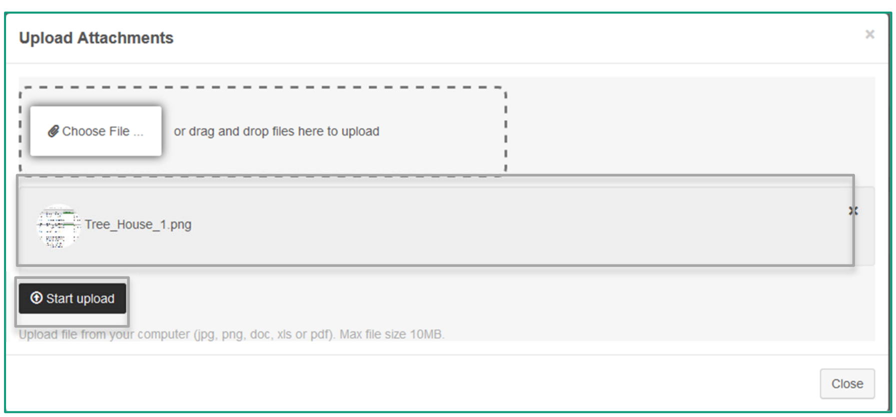
	Delete Attachment – allows you to view the details entered for the course.

- Choosing the attachment name in blue opens the attachment in a new browser window.
- Choosing a course title that is associated with an attachment in blue opens the CPE Credits page, filtered down to the course.

Add Attachment

- Choose the **Add Attachments** button to add attachments in your account.
  - The Add Attachments overlay is displayed and defaulted to the "Upload New from computer" tab.

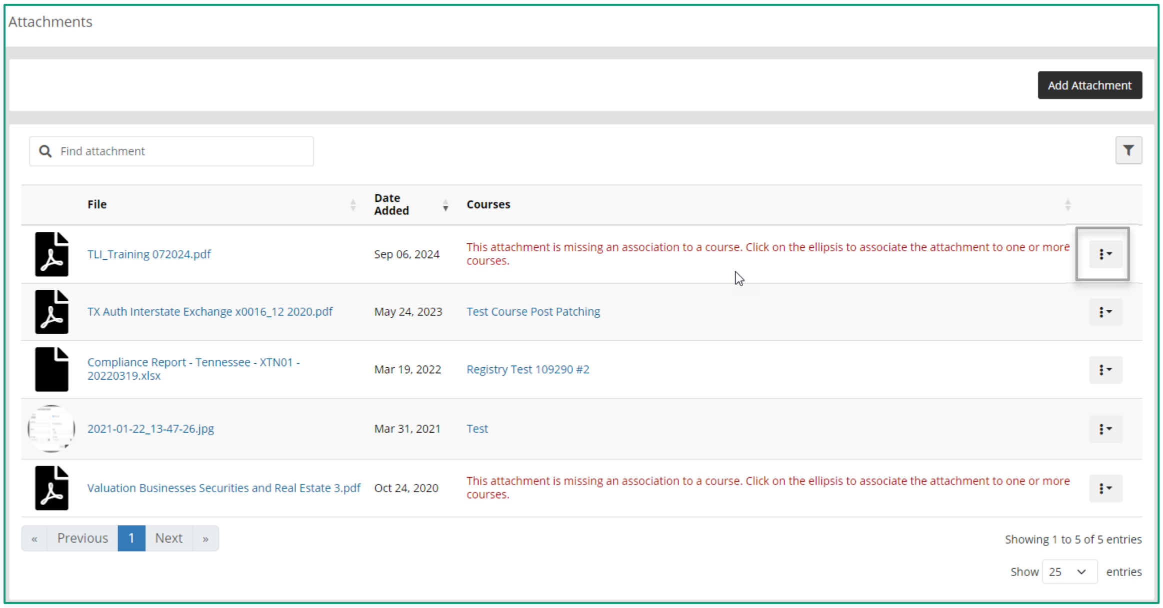
  - Click the **Choose File** button to open your local computer drives.
  - Choose the file desired or drag the file from your folder to the Choose file section of the overlay.
    - The file can be of several file types: .jpg, .png, .doc, .xls or .pdf
    - The file size cannot be larger than 10MB.
    - The file will be populated below the Choose file section.



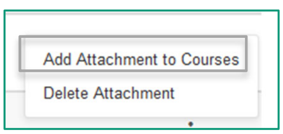
      - Click the **Start upload** button to process the picture.
      - Click the X to the right of the file to remove it from the screen and select another picture.
    - Once the upload is started, a "processing" message will display briefly.

- The Attachments grid will be refreshed to include the new attachment.

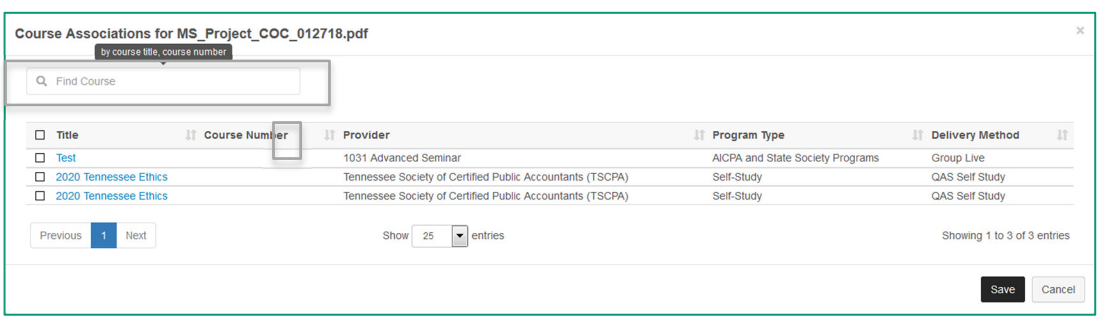
Add Attachment to Courses



- Choose the ellipsis icon at the end of the row for the desired attachment.
- Choose the option to “Add Attachment to Courses”

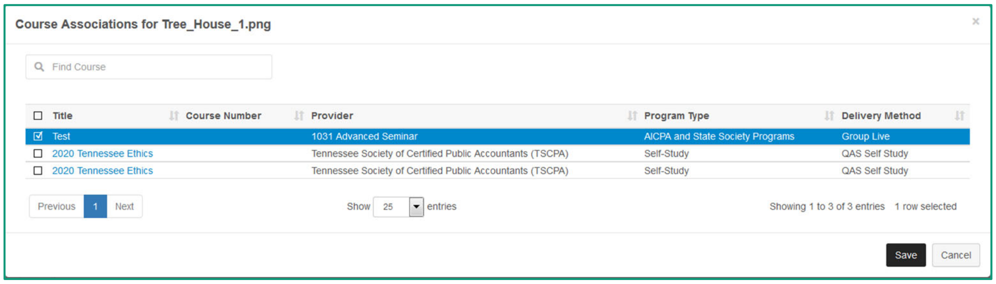


- A listing of the courses in your transcript are displayed with the attachment name listed at the top of the display.



- To filter the list to a specific course, type in the course title or course number in the **Find Course** field provided.
- The courses are displayed in alphabetical order by Program Type by default.
- To sort in ascending or descending order by Course Number, Provider, Program Type or Delivery Method, choose the sort icon to the left of the column name.

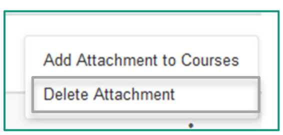
- To view a specific course in the CPE Credits page, click on its title in blue.
- Select the specific course or courses to associate with the attachment, choose the checkbox next to the desired rows.
    - The course row will be highlighted in blue.



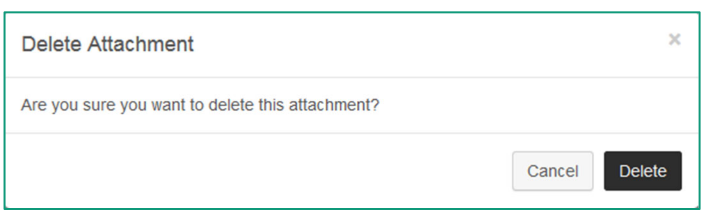
- Choose the **Cancel** button to return to the Attachments page.
- Choose the **Save** button to associate the attachment with the selected course(s).
- The course title will be added to the Courses information for the attachment on the attachments page.

Delete Attachment

- Choose the ellipsis icon at the end of the row for the desired attachment.
- Choose the option to "Delete Attachment"



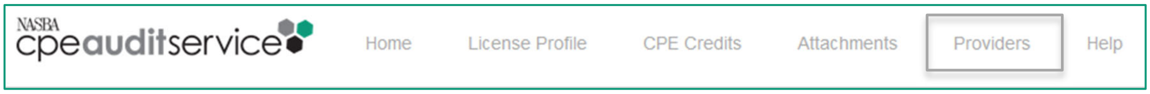
- A warning message is displayed:



- Choose the **Cancel** button to return to the Attachments page without deleting the attachment.
- Choose the **Delete** button to remove the Attachment. Any associations with courses will also be removed.

Providers

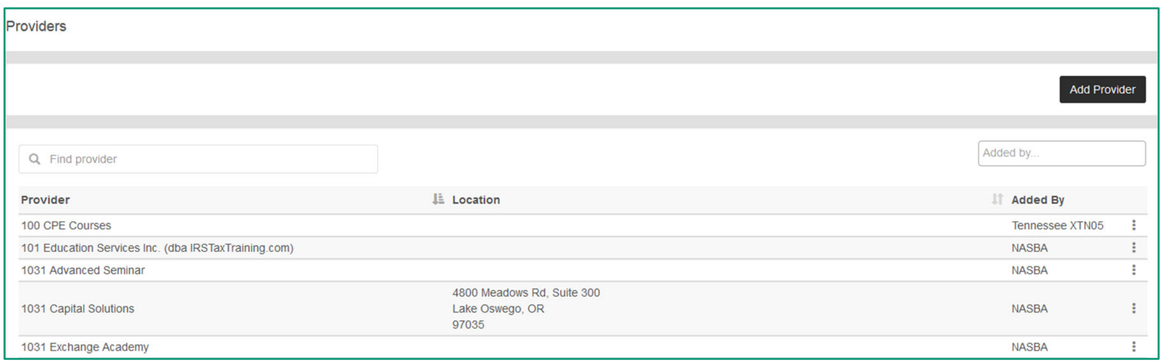
A listing of all providers available in your account is found by selecting the Providers menu from the top of the screen. From this screen, you can add, edit and delete providers of your own. You can view providers that are on the NASBA Registry of CPE Sponsors. Any providers listed here can be selected for courses during the [Add Credit](#) process.



- Navigate to the Providers page.

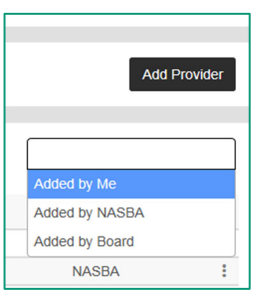
Providers Grid

- The available providers for your account whether added by you, the Board, or NASBA are listed.
- The providers are listed in descending alphabetical order.



Provider	Location	Added By
100 CPE Courses		Tennessee XTN05
101 Education Services Inc. (dba IRSTaxTraining.com)		NASBA
1031 Advanced Seminar		NASBA
1031 Capital Solutions	4800 Meadows Rd, Suite 300 Lake Oswego, OR 97035	NASBA
1031 Exchange Academy		NASBA

- Type the provider name or its address in the **Find provider** field to search for a provider record.
- To filter by the creator of a provider record, choose “Added By Me”, “Added By Board” or “Added by NASBA” from the **Added by** field dropdown.

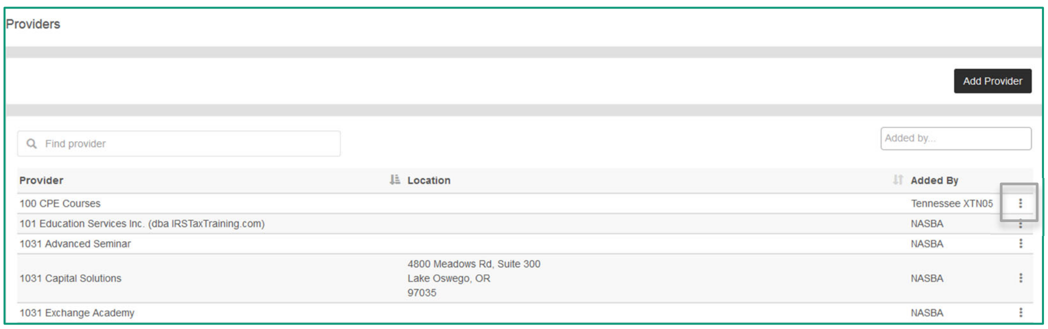


- Each row of the grid contains the details for an individual provider:

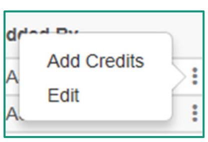
COLUMN TITLE	DETAILS
Provider	The name of the provider.
Location	The address, city and state for the provider if included when the provider is created.
Added By	The creator of the provider record.

Provider Actions

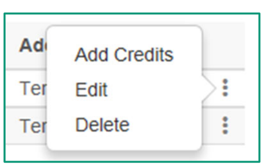
- A view of the provider details can be initiated from the grid.
- Choose the ellipsis (the three dots) at the end of the course row:



- For a provider created by NASBA or by the Board, you have the option to View the Provider or Edit the provider.



- For a provider created by you, the option is also added to delete the record.



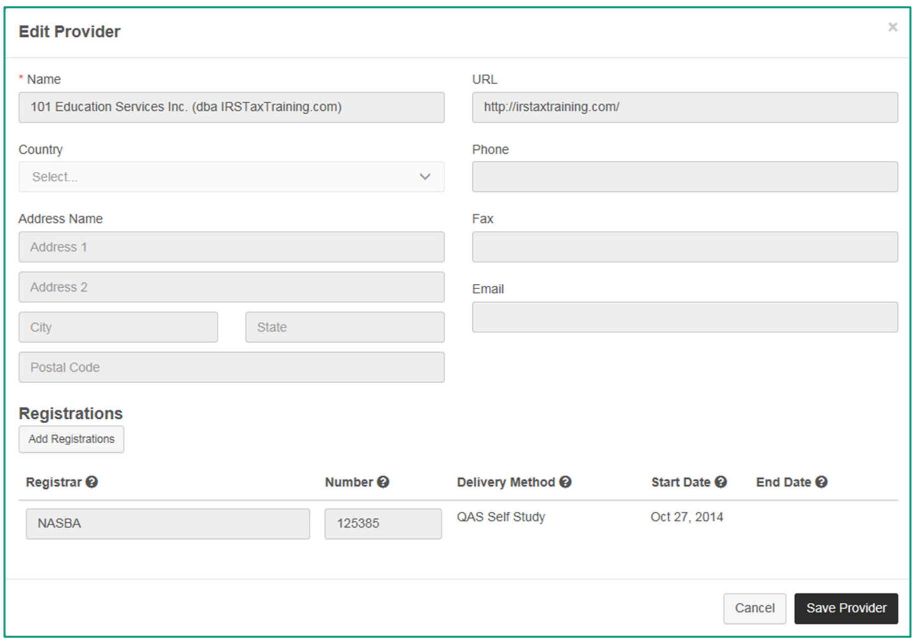
Add Credits

- To initiate adding a credit manually with the provider selected, choose the Add Credits option.

Edit

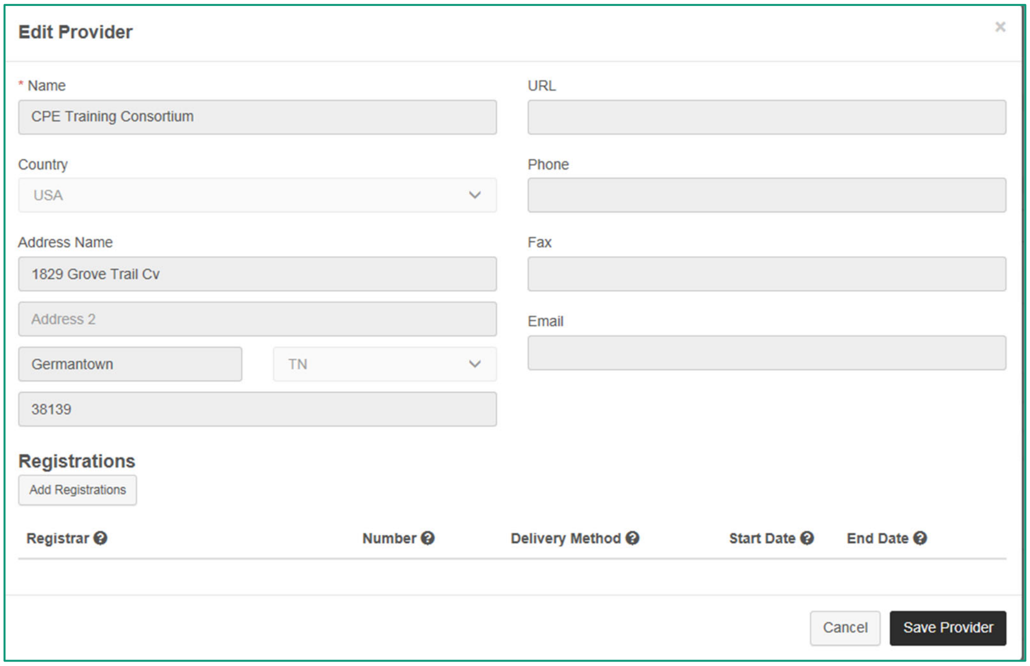
- The available edit options differ between providers that are created by NASBA or by the Board, versus those created by you.

    - Added by NASBA



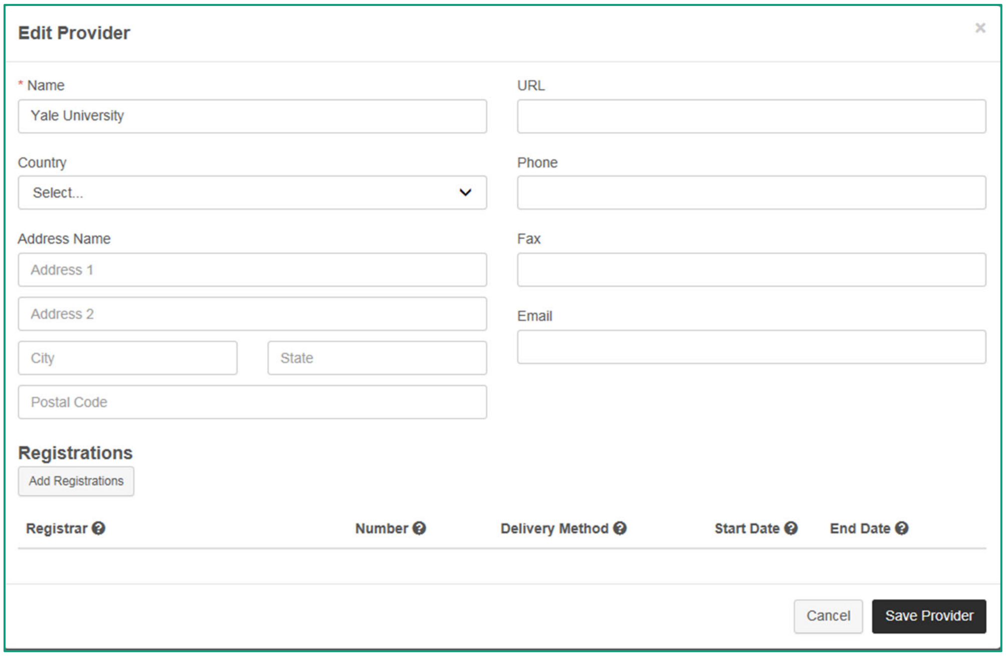
    - The provider information from the NASBA National Registry of CPE Sponsors is displayed along with the NASBA Registry number and approved delivery methods for the sponsor.
    - None of this information is editable by you.
    - If the provider is approved on another state's registry, you can add that Registry information in your account by choosing the Add Registrations button.
    - If Registry information is added, choose the **Save Provider** button to save the changes.
    - Choose the **Cancel** button to return to the providers grid.

- Added by Board



- The provider information provided by the Board is displayed along with state registry information (if the Board provided any).
- None of this information is editable by you.
- If the provider is approved on another state's registry in addition to any displayed, you can add that Registry information in your account by choosing the Add Registrations button.
- If Registry information is added, choose the **Save Provider** button to save the changes.
- Choose the **Cancel** button to return to the providers grid.

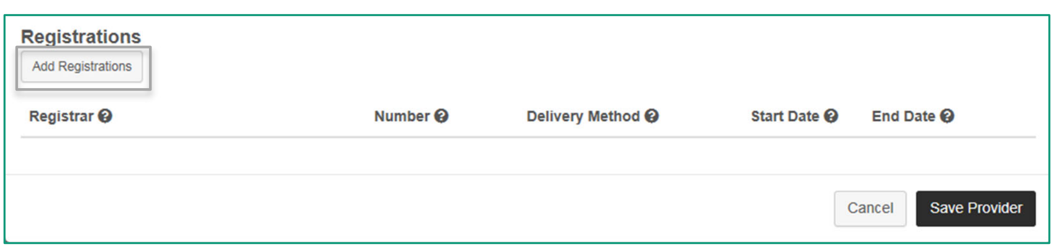
- Added by Me



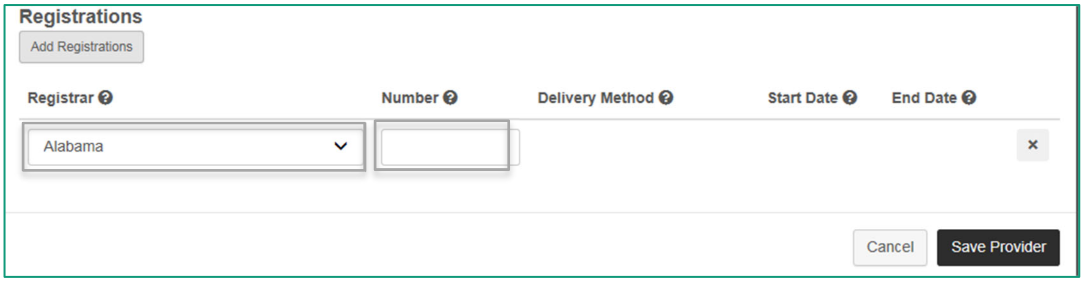
- The provider information provided by you is displayed along with any state registry information (if you provided any when you created the record).
- All this information is editable by you.
- If the provider is approved on another state's registry in addition to any displayed, you can add that Registry information in your account by choosing the Add Registrations button.
- If Registry information is added and/or other edits are made, choose the **Save Provider** button to save the changes.
- Choose the **Cancel** button to return to the providers grid.

Add Registrations

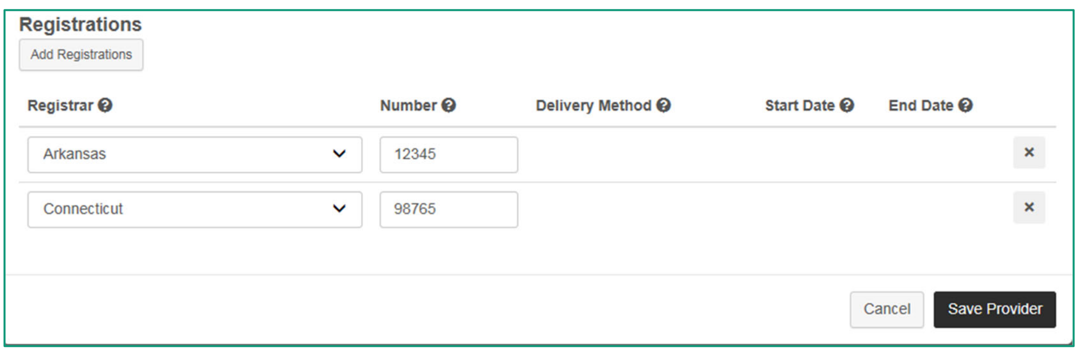
- Some states require that providers of your courses be NASBA or state board approved. State board approvals can be added to any provider through Add Registrations.
- In order to add other state registries to a provider record, choose the **Add Registrations** button at the bottom of the Edit Provider overlay.



- The Registrar and the Number fields are opened for adding information.



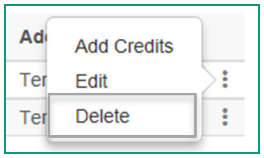
- Select the state where the provider is registered from the dropdown list provided in the **Registrar** column.
- Type in the registration number for the provider in the state selected in the **Number** column.
- Choose the **Save Provider** button to save the registrar information to the provider record.
- Choose the **Cancel** button to return to the providers grid.
- The Registrations information will show any state registrar records that are added to the provider record.



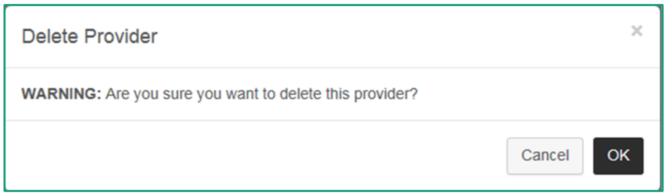
- To remove a state registration record from the provider, choose the X button at the end of the registration row.
- Choose the **Save Provider** button to save the registrar information to the provider record.
- Choose the **Cancel** button to return to the providers grid.

Delete Provider

- You can only delete providers that you have added to your account.
- Choose the Delete option from the ellipsis at the end of the provider row.



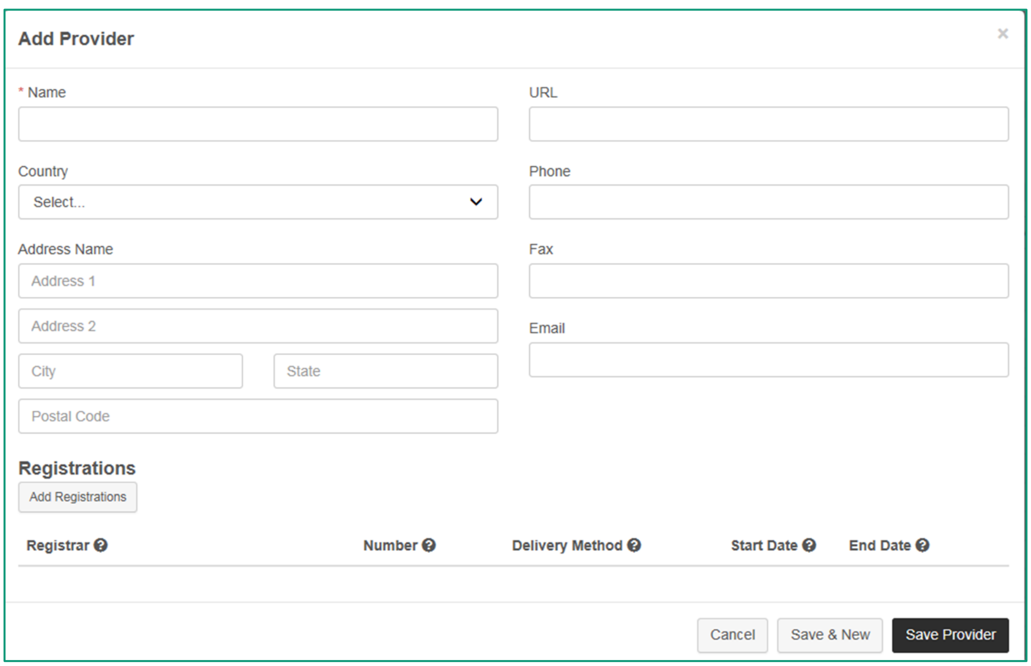
- A warning overlay will be displayed.



- Choose the **Cancel** button to return to the Providers page without deleting the provider.
- Choose the **OK** button to remove the course. Compliance will be recalculated.

Add Provider

- Click the **Add Provider** button to create a new provider entry in your account.

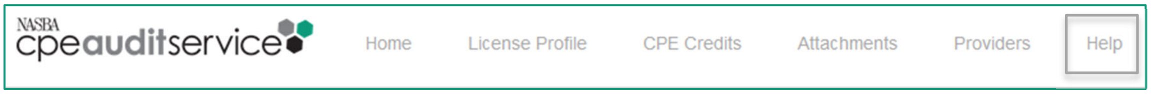


- Required fields are denoted with a red asterisk.
- Type the provider name in the Name field. This is the only required field.
- Type the provider's web address in the URL field.
- Select the **Country** in which the provider is located.

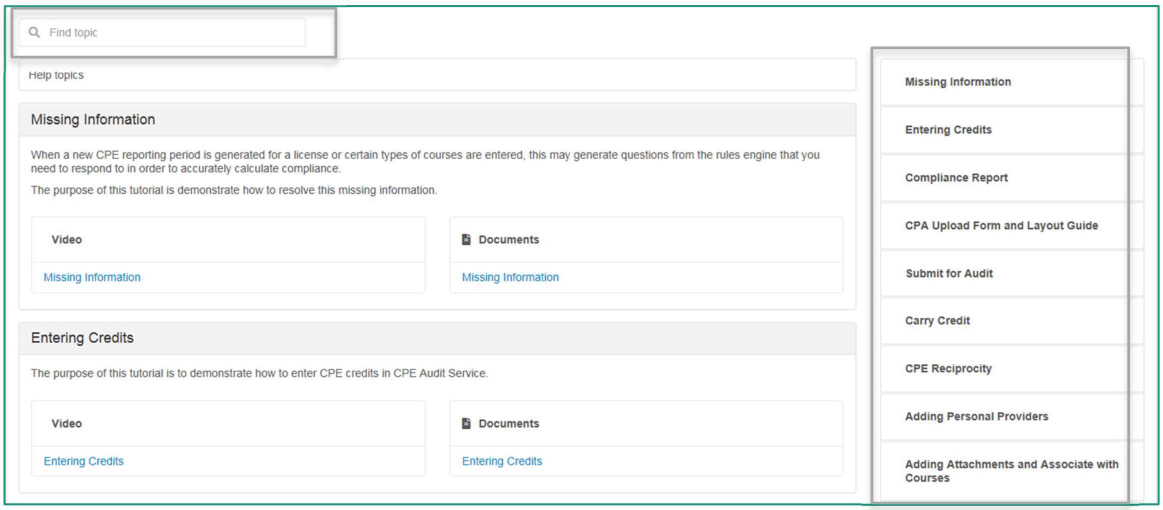
    - If the country selected is USA, Mexico or Canada, then a dropdown menu listing of states (for USA and Mexico) or provinces (Canada) will be populated in the **State** field.
    - If the country selected is not USA, Mexico or Canada, then the other identifying location information for the country selected can be typed in the **State** field.
    - Select the state/province for the country selected from the dropdown provided OR type in the other identifying information for the country selected in the **State/Province** field.
- Type in the provider's address in the **Address 1, Address 2, City** and **Postal Code** fields.
- Type in the provider's fax number in the **Fax** field.
- Type in the provider's contact e-mail address in the **Email** field.
- Choose the **Save and Add New** to save this provider and start creating another new provider.
- Choose the **Save Provider** button to save the registrar information to the provider record.
- Choose the **Cancel** button to return to the providers grid.
- Once saved, this provider can be searched for and selected from the Provider dropdown during any subsequent creation of new courses in your transcript.

Help

The Help page provides documents and videos on a wide range of topics in using the *CPE Audit Service.*



- Navigate to the Help page.



- Help topics are listed by title and include a brief summary of the topic, with links to videos and/or documents for each topic.
- A listing of topic titles is listed to the right of the page. Click on the topic title to navigate to that specific help topic.

Search

- To search for a topic by keywords, type in the desired search term in the **Find Topic** field at the top left of the page.
- Any topic names or summaries containing the keyword are listed.

Contact Us

If you have questions about using the application, please e-mail the *CPE Audit Service* Team at cpeauditservice@nasba.org.

If you have questions about your CPE audit, please contact your respective Board.