



Assurance Information Exchange

Client User Guide

CLA utilizes a secure web-based application to request and obtain documents necessary to complete client engagements. This application allows you to view detailed information, including due dates for all the items CLA is requesting. Additionally, you will have the ability to attach electronic files and add commentary related to the document requests directly on the application.

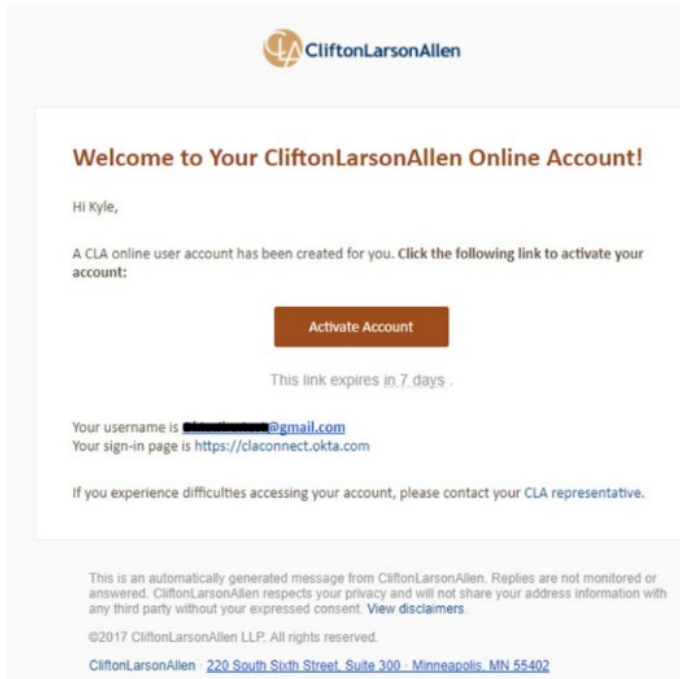
Contents

Accessing Your CLA Online Account	2
Initial Logon.....	2
Multifactor Authentication.....	4
Accessing Document Requests	6
Working in the Assurance Information Exchange	7
Dashboard View	7
List View	8
Detail View	15
Email Notifications	20
Daily Activity Summary	20
Weekly Due Date Summary	21

Accessing Your CLA Online Account

Initial Logon

You will receive a welcome email message prompting you to activate your CLA online account




Click on **Activate Account**.

Note - After the initial activation and set up process browse to <https://claconnect.okta.com> to log into your CLA online account in the future.

Account configuration

You will be prompted to configure your CLA online account.

- Create your new password.
 - Minimum password length is 14 characters.
 - Password must contain at least one of each of the following:
 - Uppercase letter
 - Lowercase letter
 - Number




Enter new password

Password requirements: at least 14 characters, a lowercase letter, an uppercase letter, a number, no parts of your username. Your password cannot be any of your last 4 passwords.

Repeat new password


- Configure your forgot password question.



Choose a forgot password question







Answer

- Select a security image.



Click a picture to choose a security image

Your security image gives you additional assurance that you are logging into Okta, and not a fraudulent website.

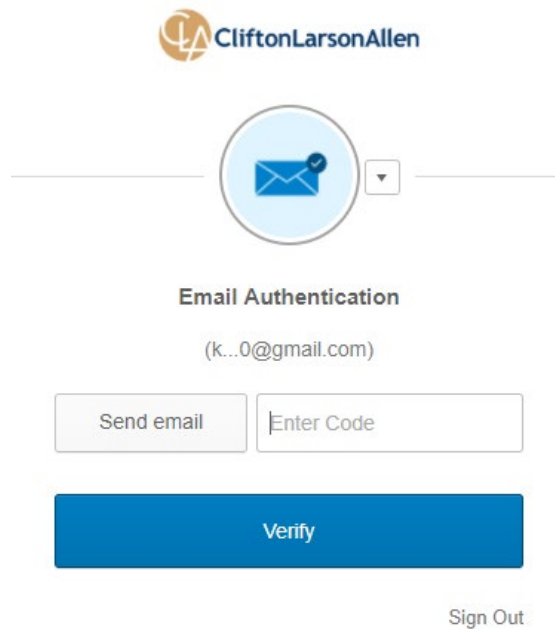




Click on **Create My Account**.

Multifactor Authentication

You will need to obtain and enter a one-time use verification code each time you log into your CLA online account.

Click on the **Send email** button to receive the verification code. Once the code has been obtained, enter it on the login screen and click **Verify**.



CliftonLarsonAllen

Email Authentication

(k...0@gmail.com)

Send email

Enter Code

Verify

Sign Out

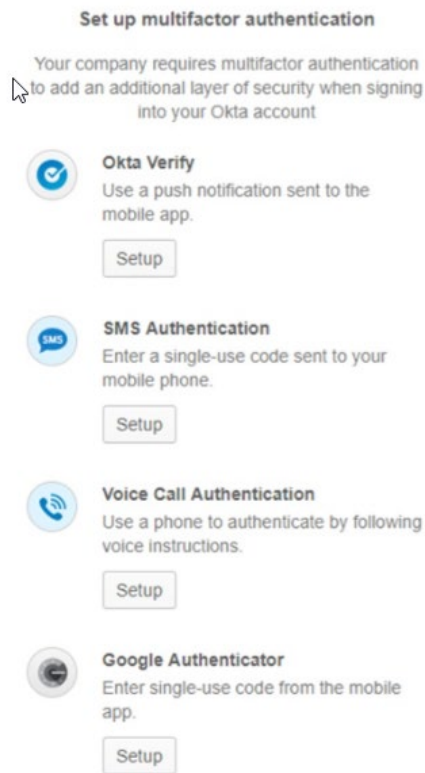
Note - The logon process resets if the verification code has not been completed within 10 minutes.

Configure alternate multifactor method

You will be prompted to select alternate multifactor method(s), which may be used instead of the email method for future logins.

- **Okta Verify** – Requires you to download the Okta app on your mobile device and sign into your CLA online account to receive push notifications.
- **SMS Authentication** – Will send a sms (text message) to a phone number that you provide.
- **Voice Call Authentication** – Will call you on a phone number that you provide.
- **Google Authenticator** – Requires you to download the Google Authenticator app on your mobile device to receive push notifications.

Note - The SMS or Voice Call Authentication methods are the recommended methods.



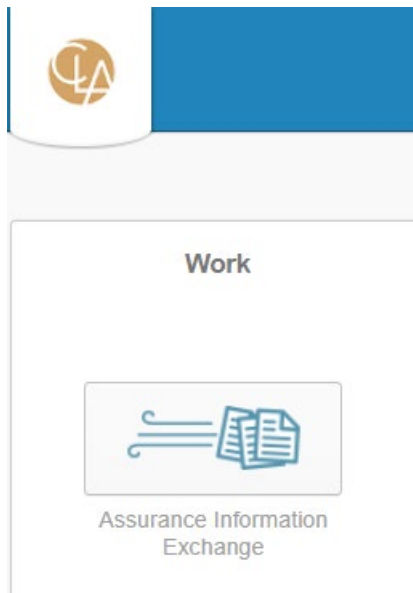
Setup and re-authenticate yourself for at least one of the alternate multifactor methods following the prompts on screen.

Note - If the Okta app, Google Authenticator, or SMS multifactor options have been configured, the SMS option will be the default when logging into your CLA online account in the future. You may select a different method by clicking on the dropdown arrow on the login screen.

Click **Finish**.

Accessing Document Requests

Click on the **Assurance Information Exchange** application button within your CLA online account to access your document requests.

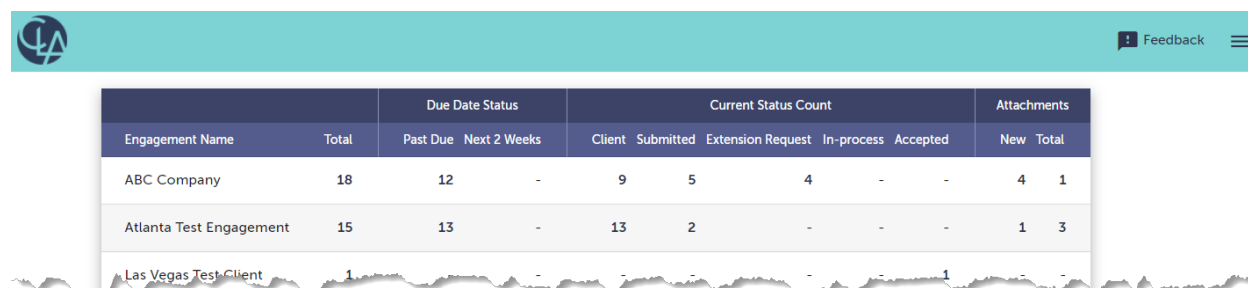


Working in the Assurance Information Exchange

Dashboard View

Client user accounts that have access to multiple engagements will initially see the dashboard view when AIE is accessed. Alternatively, if you only have access to a single engagement the list view will be the default view.

The dashboard view will list each of the entities that you have access to as well as the count of request items associated with each entity.



The screenshot shows a dashboard header with a teal background, a logo on the left, and a 'Feedback' button on the right. Below the header is a table with the following data:

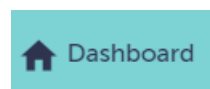
Engagement Name	Total	Due Date Status		Current Status Count				Attachments		
		Past Due	Next 2 Weeks	Client Submitted	Extension Request	In-process	Accepted	New	Total	
ABC Company	18	12	-	9	5	4	-	-	4	1
Atlanta Test Engagement	15	13	-	13	2	-	-	-	1	3
Las Vegas Test Client	1	-	-	-	-	-	-	-	1	-

To access a pre-filtered list for a specific engagement click on any of the hyperlinked numbers under the various columns for that engagement.

- Total** View all requests for that engagement.
- Due Date Status** View requests that are either past due or will be due within the next two weeks.
- Current Status Count** View requests based on their current status.
- Attachments** View requests that have new attachments added by the CLA engagement team and have not been viewed or downloaded. Or, view any requests that have any attachments, no matter who added them, and whether or not they have been accessed.

From the list view, the filters may be changed or removed as deemed necessary, using the process described later in this guide.

To return to the dashboard view click on the dashboard button in the upper left corner of the list view.



List View

The list view, which is the default view, contains most of the information and functionality you will need to provide CLA with the requested information.

Filtering

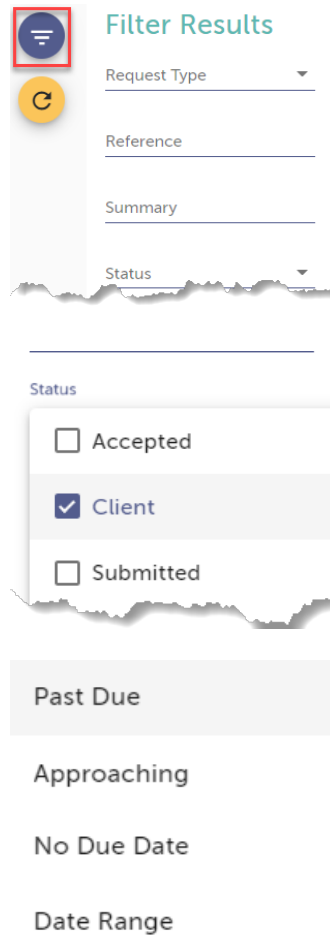
The data displayed in the list view may be filtered by any of the columns. To view and set filters, click on the filter icon in the upper left corner.

To hide the filters, click on the filter icon again.

Any of the filters with a dropdown arrow are contextual filters which will allow you to filter based on options available within the request items data.

The Due Date filter allows for filtering for request items that are past due, approaching their due date (within the next two weeks), No Due Date, or fall within a specific date range.

Any filters without a dropdown arrow, such as **Reference** or **Summary**, will be free text search filters which will allow for filtering based on any text that is entered.



Sorting

The data displayed in the list view may be sorted by any of the columns by clicking on the column header.

Type	Reference	Summary	Status	Stage ↑
AUD	AIW-198194	Trial Balance	Submitted	Final Fieldwork
AUD	AIW-198195	General Ledger - audit period	Client	Final Fieldwork

Clicking on the same column header a second time will reverse the sort.

Print List to PDF

If deemed necessary, the request list may be printed to PDF by clicking on the **Print** button in the upper right corner.

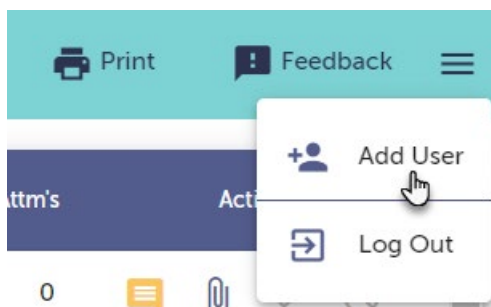


Caution - As activity by your CLA engagement team and staff from your organization occurs, a printed copy of the list could quickly become outdated. For the most current status of the request items, you should always refer to the list within AIE.

Add New Client User Accounts

Client staff designated as the Client Lead on one or more request items for an engagement may create user accounts for additional staff from your organization.

1. Click on the **Menu** button in the upper right corner and select **Add User**.



2. Complete the **Add User** pop up window.
 - a. First Name
 - b. Last Name
 - c. Email Address
 - d. Select which engagement(s) to grant access to the new user account.

Add User

Please provide the following information to create a new user account for your organization.

First Name
Page

Last Name
Turner

Email
Page.Turner@ABCCompany.com

Engagements
Orlando Test Client ▼

CANCEL **SUBMIT**

3. Click **Submit**.

An account activation email will be sent to the email address identified in the **Add User** pop up window. After the staff activate their account, they may begin working in AIE.

An existing client staff user account may be granted access to additional engagement(s) later by following the same steps noted above. Since the user account already exists an activation email will not be sent once the **Add User** pop up window has been submitted.

Note - It may take up to fifteen minutes before access to additional engagements is established. It is recommended that the client staff logout of their account, wait fifteen minutes and then log back in.

List view fields

Type

This refers to the type of engagement the request item relates to:

AUP	Agreed Upon Procedures
ATTEST	Attestation
AUD	Audit
CMP	Compilation
CNSLT	Consulting
PRP	Preparation
REV	Review

Reference

The reference is an auto generated request ID number. When communicating with the CLA engagement team the reference may be useful to identify a specific request.

Summary

The summary column will briefly describe the information CLA is requesting. If applicable, a more detailed description can be viewed by hovering your pointer over the summary for a given request item.

Reference	Summary	Status	Stage	Responsible	Engagement Name	Due Date
-198200	Organization Documents					X /19
-198198	Personnel Policies					/19

Note: A red dashed arrow points from the 'Organization Documents' summary cell to a tooltip box containing the text: 'If any organization documents have been updated during the CY, please provide a copy of the update or changes through today and any additional changes through the end of fieldwork, if any.'

Status

The Status column will identify the overall status of a particular request item:

- **Client** – This signifies an open request item that client staff are currently responsible for fulfilling.
- **Extension Pending** – This signifies that a due date extension request had been submitted. Once CLA staff have approved or denied the request, the due date will be adjusted, if necessary, and the request item will be sent back into the **Client** status.
- **Submitted** – Client staff have submitted the request item to CLA.
- **In-Process** – CLA staff are currently working with the submitted information and are responsible for verifying whether it adequately fulfills the request.
- **Accepted** – CLA staff have verified that the information submitted by client staff adequately fulfills the request.

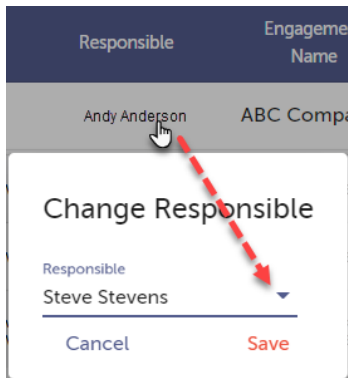
Stage

Stage refers to general stage of the engagement (i.e., interim testing, final fieldwork, etc.) the request will be used for.

Responsible

The client staff person who has been assigned to provide the requested information (aka **Client Assignee**) will be listed in the responsible column.

To adjust which client staff person is assigned to a particular request click on the name of the individual that is currently displayed. In the popup select the individual who should be responsible from the dropdown then click **Save**.



Note - If the Client Lead has restricted access to a request item, it can only be reassigned to an individual who currently has access to the request.

Engagement Name

In some instances, CLA will request information from a client related to multiple separate engagements. The engagement name field can be used to distinguish which request items are needed for a specific engagement.

Entity ID

In some instances, CLA will request information from a client related to multiple separate entities, locations or divisions. If applicable, the entity ID field can be used to distinguish which request items are needed for a specific entity.

Due Date

The due date is the deadline for providing the requested information to CLA. The displayed date fonts will be color coded:

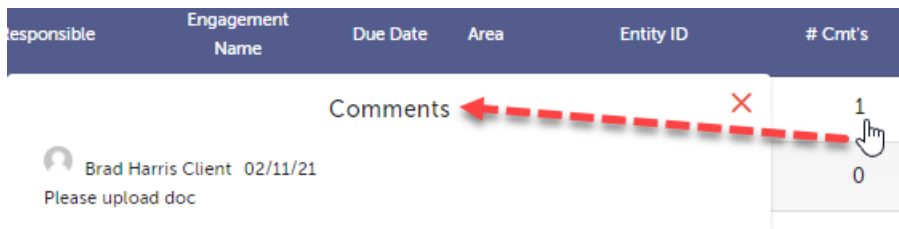
- 01/17/21** Red dates represent request items that are past the due date.
- 06/15/21** Yellow dates represent request items that are approaching the due date (within the next two weeks).
- 06/30/21** Black dates represent request items that are due beyond two weeks from the current date.

Area

The area classifies the request item into a logical area (i.e., Cash, Inventory, etc.) of the engagement that will be performed by CLA.






Cmt's

The number of comments that have been added to a request item is displayed in this field. To view the actual comments, hover over the number with your pointer.



Attm's

The number of attachments that have been added to a request item is displayed in this field. To view and download the actual attachments, hover over the number with your pointer.

Engagement Name	Due Date	Area	Entity ID	# Cmt's	# Attm's
					Attachments    1
File	Attached by	Uploaded			1
 File Attachment - 10.xlsx	CLA	03/19/20	Delete 		1

Note - Any files attached by CLA will include a **NEW** indicator until an individual from the client team has viewed or downloaded the attachment.

File	Attached by	Uploaded		
 File Attachment - 10.xlsx	CLA	03/19/20	Delete 	

Actions



Click to add comments to a request item.



Click to add attachments to a request item. Browse to the file(s) that should be attached and click on the **Open** button.

Note - Multiple files can be selected by holding down the Ctrl key.



After comments and/or attachments have been added to a request item click to submit the fulfilled information request to CLA. This will change the status of the request to **Submitted**.



Click if a request item is not applicable. A comment indicating that the request item is not applicable will be automatically added and the status of the request will change to **Submitted**.

Comments



Steve Stevens 10/17/19

The documents that you have requested are not applicable to us at this time.
Review the Roll Forward settings in light of the use of the Not Applicable transition



Detail View

To access the detail view for a request item click anywhere on the row for that request. Items will be listed in bold font on the list view until they have been viewed for the first time.

Request Details

Much of the same information found on the list view, along with additional details to clarify the information being requested by CLA are displayed at the top of the detail view.

Accrued interest payable

✓ ✗

Type	AUD	Status	Client
Due Date	05/01/18 Request Extension	Reference	AIW-5840
Responsible	Steve Stevens Change	Stage	Final Fieldwork
Engagement Name	Atlanta Test Engagement	Area	Long Term Debt
Start Date		End Date	
Scope		Preferred Format	
Entity ID		Report/File Name	
Engagement In-Charge		Client Lead	

Responsible

To adjust which client staff person is assigned to a particular request click on the **Change** link next to the name of the individual that is currently displayed. In the popup select the individual who should be responsible from the dropdown then click **Save**.

Due Date	05/01/18 Request Extension	Reference	
Responsible	Steve Stevens Change	Stage	
Engagement Name	Atlanta Test Engagement		
Start Date			
Scope			
Entity ID			
Engagement In-Charge			
Links			

Change Responsible

Responsible

Andy Anderson

Cancel Save

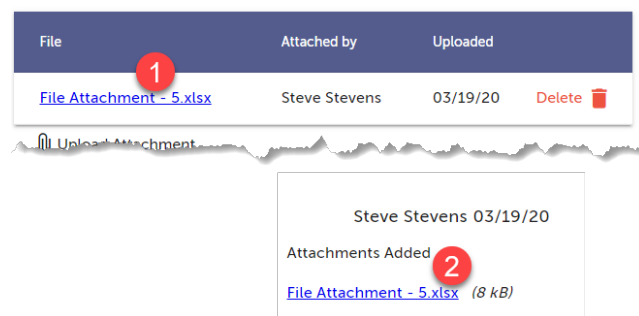
Attachments

Click on **Upload Attachment** to add attachments to a request item. Browse to the file(s) that should be attached and click on the **Open** button. Alternatively, files may also be added on the detail view by using drag-n-drop. Multiple files can be selected by holding down the **Ctrl** key within the browse window.

Note - If files have been attached to a request from the detail view and the request is not submitted to CLA, you will be prompted to submit the request when navigating away from that view. Additionally, any requests with attachments that have not been submitted will display a red exclamation point icon on the left side of the list view. Hovering over that icon will display help text prompting you to submit the request item.

To download attachments click on either the link within the **Attachments** or **Comments** section.

Attachments



Comments

To add a comment to a request, begin typing in the **leave a comment section** and click on the **Comment** button. All comments from both CLA and Client staff will be displayed at the bottom of the comment section.

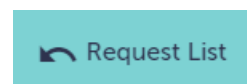
Actions



After comments and/or attachments have been added to a request item click to submit the fulfilled information request to CLA. This will change the status of the request to **Submitted**.



Click if a request item is not applicable. A comment indicating that the request item is not applicable will be added and the status of the request will change to **Submitted**.



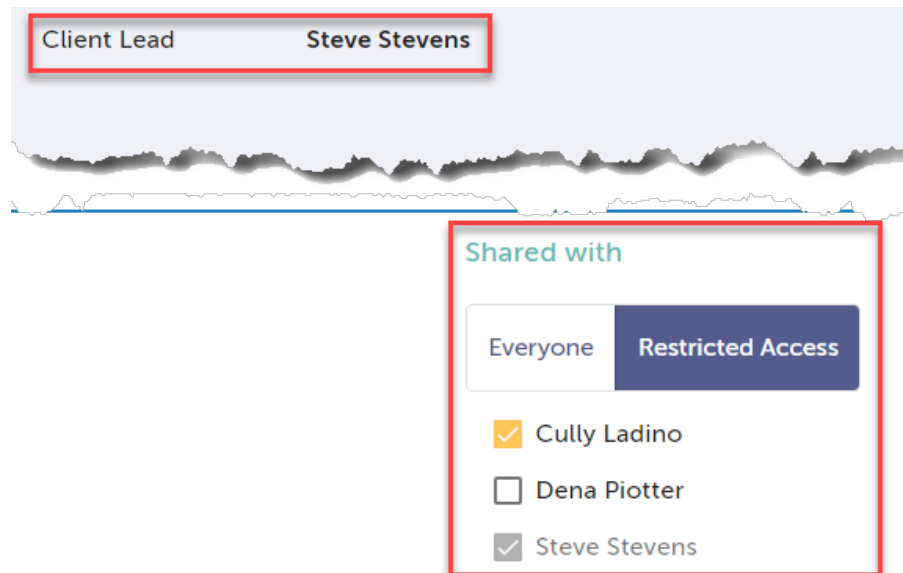
Click to return to the list of all request items.

Access Restrictions

Individual request items may be restricted so only specific client staff may view and work with them. Client staff who have not been granted access to a request item will not see the request displayed in their view and will not be able to view any related attachments or comments.

The client staff with access to view the request item will be displayed in the **Shared with** section of the detail view.


Note - Only the individual designated as the **Client Lead** will have the ability to restrict access, therefore access cannot be removed from this individual.



1. Click on the **Restricted Access** button.
2. Uncheck the box next to the staff who should not have access.

To remove previously enacted access restrictions the **Client Lead** may either re-check the boxes next to individual staff names or click on the **Everyone** button to give all staff access.

After a request item has been restricted a lock icon will be displayed next to the **Summary** on the **List View**.

Type	Reference	Summary	Status
AUD	AIW-5849	 Vacation & sick liabilities	Client

Extension Request

In some situations, the requested information may not be able to be provided by the due date. To more proactively manage these situations a request to extend the due date for a particular item may be submitted to CLA.

1. Click on Request Extension.
2. Enter the requested extension date and reason for the request.
3. Click Send Request.

The screenshot shows a software interface with a modal dialog box titled "Request Extension Date". The background interface has a table with the following fields:

Due Date	05/11/21	Request Extension	Reference
Responsible	Steve Stevens	Change	
Engagement Name	Atlanta Test Engagement		
Start Date			
Scope			
Entity ID			
Engagement In-Charge			
Links			

The modal dialog box contains the following elements:

- A "Choose a date" label above a date input field containing "6/17/2021".
- A "Please tell us the reason" label above a text input field containing "Waiting for our vendor to provide this info".
- "Cancel" and "Send Request" buttons at the bottom.

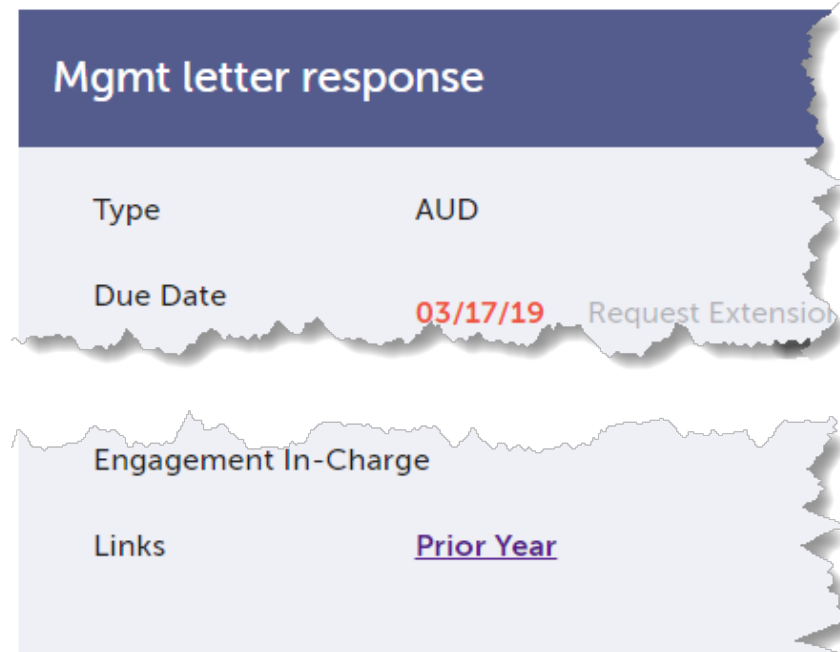
Red dashed arrows and numbered circles (1, 2, 3) indicate the steps: 1. Click on "Request Extension" in the background table; 2. Enter the date and reason in the modal; 3. Click "Send Request" in the modal.

This will change the status of the information request item to **Extension Pending**. CLA staff will approve and update the due date, modify the due date to an alternate date or deny the request. Once CLA staff have addressed the extension request the item will be sent back to the **Client** status.

View Prior Year Requests

For recurring engagements request items may be rolled forward by the CLA engagement team. The roll forward process will include a link within the current period request items to view the details from the corresponding request from the prior period engagement.

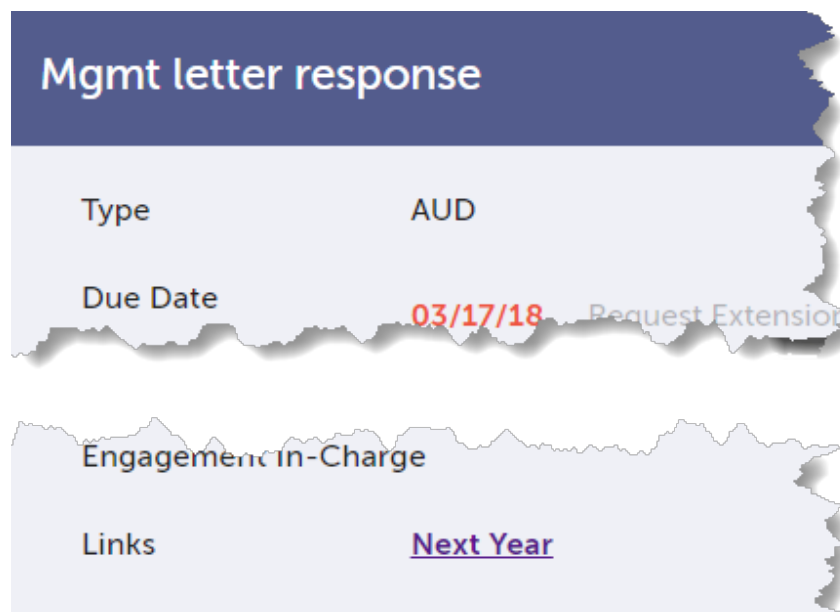
To view the details for the prior period's request item, click on the **Prior Year** link.



Mgmt letter response

Type	AUD
Due Date	03/17/19 Request Extension
Engagement In-Charge	
Links	Prior Year

To return to the details for the current period request item, click on the **Next Year** link.



Mgmt letter response

Type	AUD
Due Date	03/17/18 Request Extension
Engagement In-Charge	
Links	Next Year

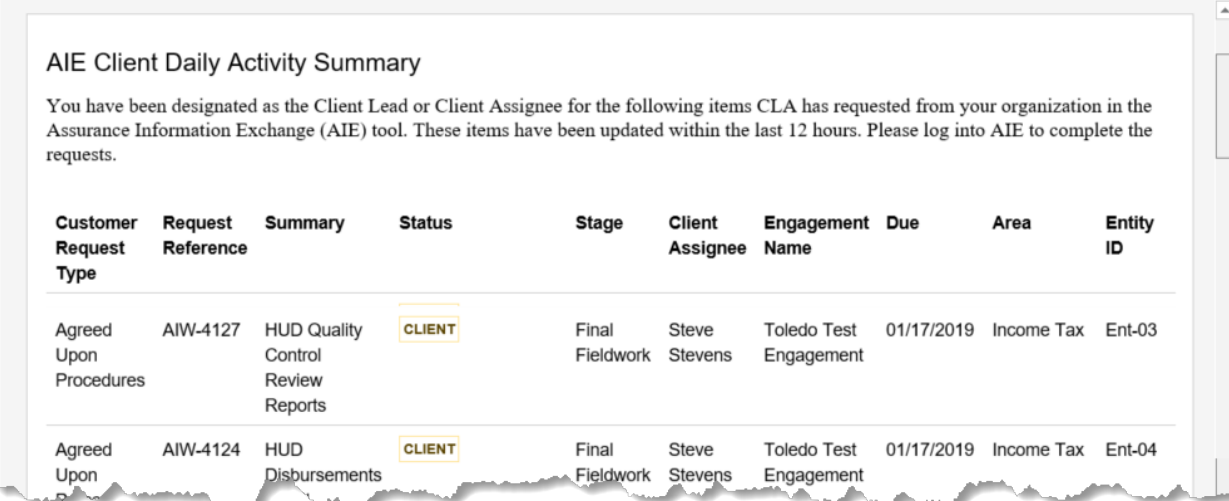
Email Notifications

Daily Activity Summary

Twice daily, AIE will send a summary of request items with activity occurring in the past 12 hours to the **Client Lead** and **Client Assignee**. This summary email will only be sent if one (or more) of the following events occurred:

- The request item was transitioned to the **Client** status.
- A comment has been added to a request in the **Client** status.
- An attachment has been added to a request in the **Client** status.
- Any information fields related to the request, such as **Client Assignee**, **Due Date**, etc. have been updated.

Note - Depending on the timing of updates to request items, persons may receive two summary notifications per day.



AIE Client Daily Activity Summary

You have been designated as the Client Lead or Client Assignee for the following items CLA has requested from your organization in the Assurance Information Exchange (AIE) tool. These items have been updated within the last 12 hours. Please log into AIE to complete the requests.

Customer Request Type	Request Reference	Summary	Status	Stage	Client Assignee	Engagement Name	Due	Area	Entity ID
Agreed Upon Procedures	AIW-4127	HUD Quality Control Review Reports	CLIENT	Final Fieldwork	Steve Stevens	Toledo Test Engagement	01/17/2019	Income Tax	Ent-03
Agreed Upon Procedures	AIW-4124	HUD Disbursements	CLIENT	Final Fieldwork	Steve Stevens	Toledo Test Engagement	01/17/2019	Income Tax	Ent-04

Note - The CLA staff assigned to request items will receive similar notifications as activity occurs on items that are in the **Submitted**, **Accepted** or **Extension Pending** statuses.

Weekly Due Date Summary

Starting two weeks before request items are due and continuing until request items are fulfilled, AIE will send out a weekly summary of requested items to the **Client Lead** and the **Client Assignee**. Using the AIE client portal, the **Client Assignee** may request a due date extension for any request items as noted earlier in this guide.

AIE Client Weekly Due Date Summary

You have been designated as the Client Lead or Client Assignee for the following items CLA has requested from your organization in the Assurance Information Exchange (AIE) tool. These items will be due in two weeks or less (or are already past due). If you are unable to meet these due dates, log into AIE to request a due date extension.

Customer Request Type	Request Reference	Summary	Status	Stage	Client Assignee	Engagement Name	Due	Area	Entity ID
Agreed Upon Procedures	AIW-4136	File Maintenance Reports	CLIENT	Interim	Steve Stevens	Toledo Test Engagement	10/07/18	Internal Controls	Ent-01
Agreed	AIW-4133	Teller sheets	CLIENT	Final	Steve Stevens	Toledo Test Engagement	10/07/18	Cash	Ent-01

CLAconnect.com

WEALTH ADVISORY | OUTSOURCING | AUDIT, TAX, AND CONSULTING

Investment advisory services are offered through CliftonLarsonAllen Wealth Advisors, LLC, an SEC-registered investment advisor. CLA is an independent member of Nexia International, a leading, global network of independent accounting and consulting firms. See nexia.com/member-firm-disclaimer.
Rev 6/10/2021

