HQ Exchange

Client User Guide

Contents

Accessing Your HQ Exchange Account through CLA Client HQ

Initial login

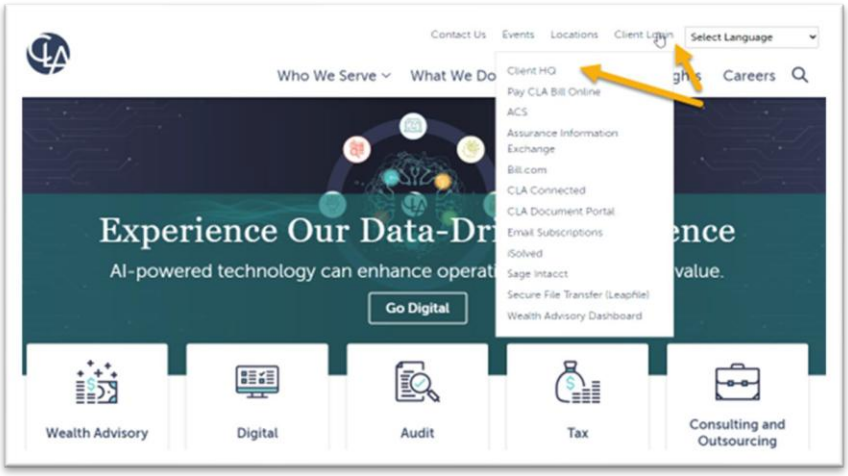
New Client HQ users

1. Accept the invitation shared with you via email from SendGrid.

   NOTE: If you did not receive an invitation or cannot find the link, please contact the CLA support team.

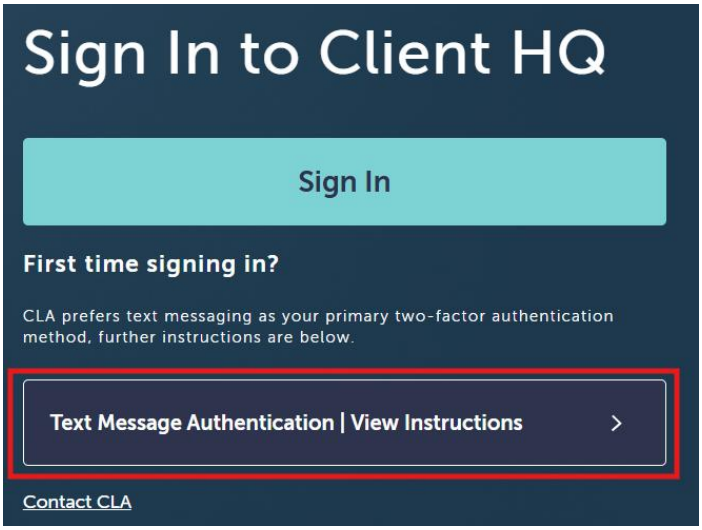
2. Navigate to **https://www.claconnect.com/.**

   NOTE: We recommend bookmarking this page to access CLA Client HQ in the future.



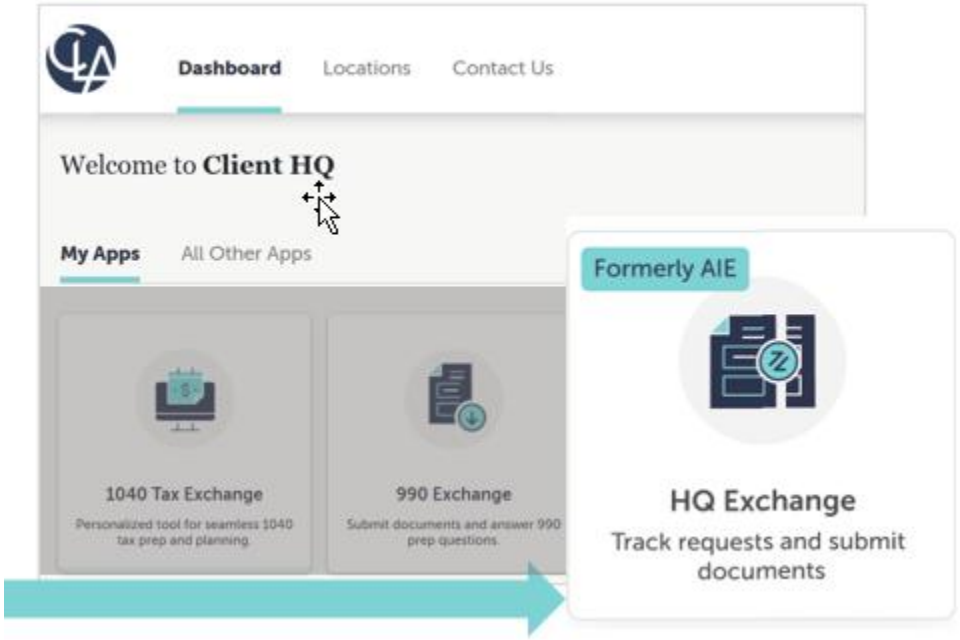
3. Click **"client login"** from the top menu, then select **"Client HQ."**

4. Once you are on the Client HQ page, please activate your account by following the instructions for signing in the first time. You will be prompted to follow a multifactor authentication process with detailed instructions. Depending on your type of authentication, you may need to provide a password, a one-time passcode, and/or verification via the Microsoft Authenticator App.



NOTE: If you are prompted for a password, enter the password associated with your login email. Client HQ is a Microsoft platform; CLA does not manage your password for Client HQ. If support is needed, contact us via the "contact CLA" pop-up on the Client HQ login page

5. Once authenticated, click on the HQ Exchange tile within CLA Client HQ to access your HQ Exchange dashboard.



Returning users login

Existing client HQ users

To access HQ Exchange, sign into CLA Client HQ using your existing Client HQ credentials.

1. Navigate to https://www.claconnect.com/. NOTE: We recommend bookmarking this page to access Client HQ in the future.
2. Click “client login” at the top right.
3. Click “Client HQ.”
4. Select “sign in.”
5. Once authenticated, you can select the HQ Exchange tile within Client HQ to access your HQ Exchange dashboard.

Multifactor Authentication

For support authenticating your account, please review the instructions on Client HQ login page. If you need additional support, click on “**Contact CLA**” to contact our service desk.

Working in HQ Exchange

Dashboard view

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

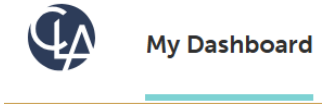
The **view by engagement** tab on the dashboard view will list each of the entities you have access to as well as the count of request items associated with each entity. Alternatively, the **view by responsible** tab will display summarized counts by each of the designated responsible individuals.

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 Requests	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 with new attachments added by the CLA engagement team and have not been viewed or downloaded. Or view any requests with 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 “My Dashboard” button in the upper left corner of the list view.

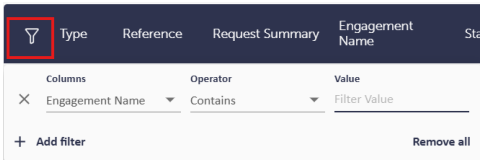


List view

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

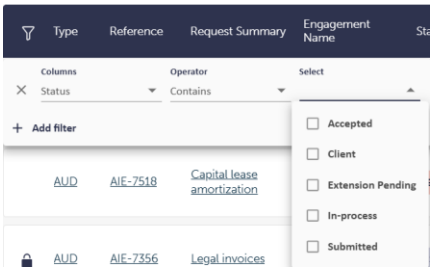
Filtering

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.

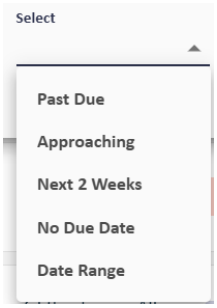


To hide the filters, click on the filter icon again.

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



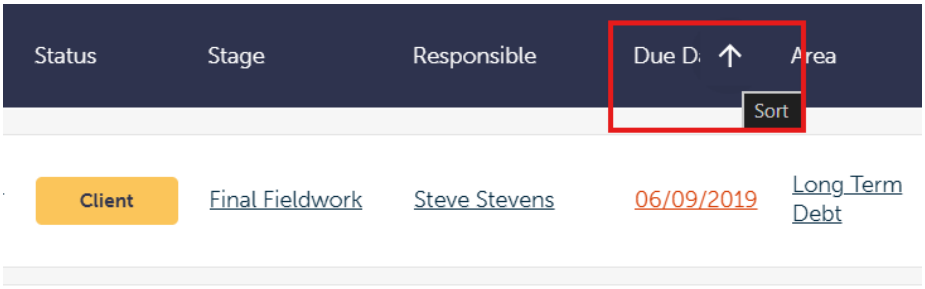
The due date filter allows filtering for request items that are past due, approaching their due date (within the next two weeks), No due date, or fall within a specific date range.



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 entered.

Sorting

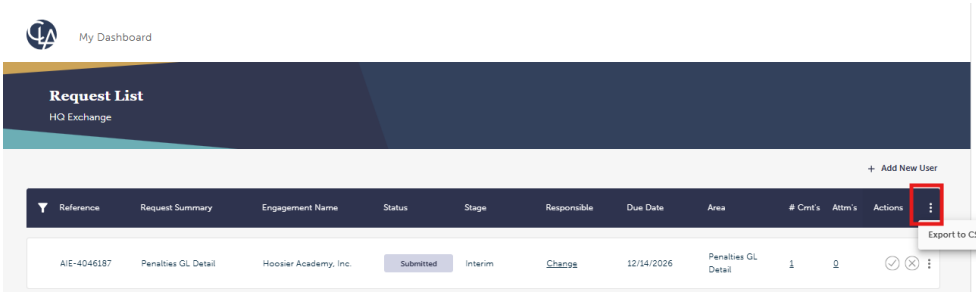
The data displayed in the list view may be sorted by any of the columns by clicking on the column header.



Clicking on the same column header a second time reverses the sort.

Export request lists

Request lists can be downloaded by clicking on the **three dots** button in the upper right corner, exporting to a CSV that can be saved or printed, if desired.

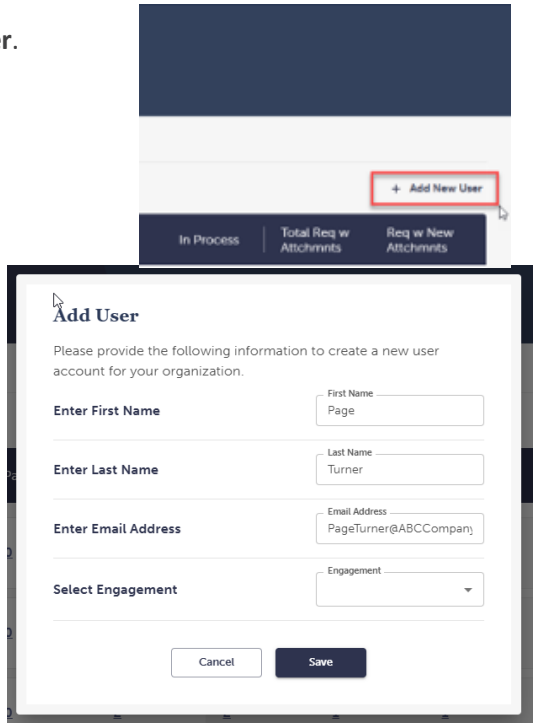


Caution: As activity by your CLA engagement team and your organization staff occurs, a printed copy of the list could quickly become outdated. For the most current status of the request items, you should always refer to the list within HQ Exchange.

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.
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 HQ Exchange.

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 15 minutes before access to additional engagements is established. It is recommended the client staff log out of their account, wait 15 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.

Request Summary

The Request Summary column briefly describes 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 or clicking into the item directly.

Status

The status column identifies the overall status of a particular request item:

- **Client** – This signifies an open request item client staff are currently responsible for fulfilling.
- **Extension pending** – This signifies a due date extension request has 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 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:

01/17/2025	**Red** dates represent request items past the due date.
01/17/2025	**Yellow** dates represent request items approaching the due date (within the next two weeks).
01/17/2025	**Black** dates represent request items due beyond two weeks from the current date.

Area

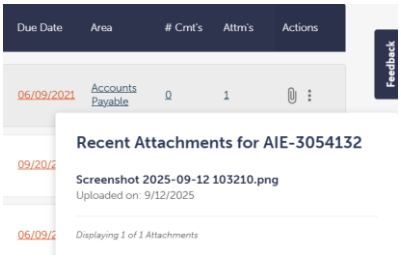
The area classifies the request item into a logical area (i.e., cash, inventory, etc.) of the engagement that will be performed by CLA.

 # Cmt's

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



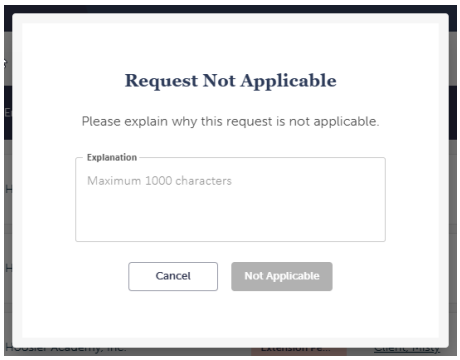
Actions

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

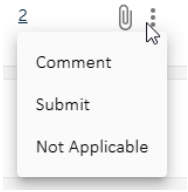
Note - Multiple files can be selected by holding down the ctrl key.

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 prompt to provide a reason the request item is not applicable will pop up. Enter a reason and click on the **post** button. The status of the request will change to **submitted**.



Click the three vertical dots menu to add comments to a request item.



Detail view

To access the detail view for a request item, click anywhere on the row for that request.

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.

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**.

Attachments

Click on **upload file** to add attachments to a request item. Browse 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-and-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. Common file attachment types include .xls, .xlsm, .doc, .ppt, .jpeg, .txt, .csv, .pdf, .zip

To download attachments, click on the link within the **attachment** section.

Comments

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

Caution: You must click on the **submit** button to save your comment, otherwise comments will be lost.

Actions

Submit Request

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**.

Note – Submitting a comment/attachment does not notify CLA (and vice-versa for adjustments made by CLA). Please notify the CLA project team via email to CLA contact to indicate a question has been submitted.

Caution – If you do not click the icon to submit and navigate to another screen your comments will not save and will not be visible by CLA.

Reject Request

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

Request List

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 **manage access** button.
2. Uncheck the box next to the staff who should not have access.

Manage Access

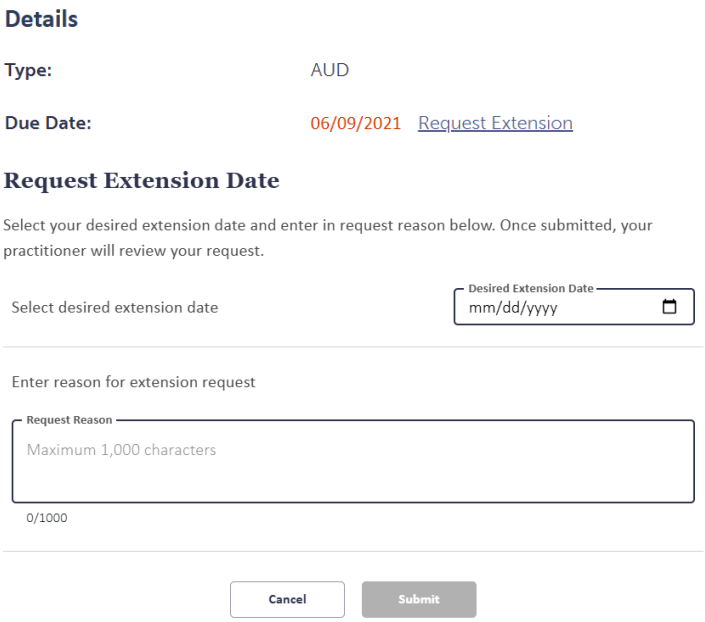
To remove previously enacted access restrictions, the **client lead** may either re-check the boxes next to individual staff names or click on the **everyone** button to give all staff access.

After a request item has been restricted, a lock icon will be displayed next to the **type** on the **list view**.

Extension request

In some situations, the requested information may not be able to be provided by the due date. To 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.



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 client status.

Note: Once **extension** is requested, client cannot submit until CLA staff approves or rejects request.

View prior year's requests

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

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

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

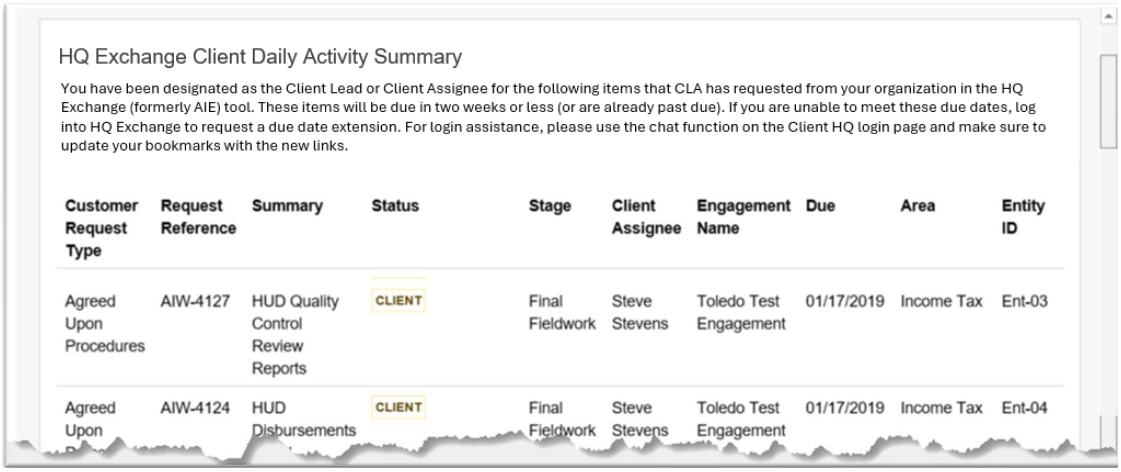
Email Notifications

Daily activity summary

Twice daily, HQ Exchange 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 the update to request items, you may receive two summary notifications per day. The daily activity summary is sent at 11 a.m. CST and the weekly summary is sent at 10 a.m. CST.



HQ Exchange Client Daily Activity Summary

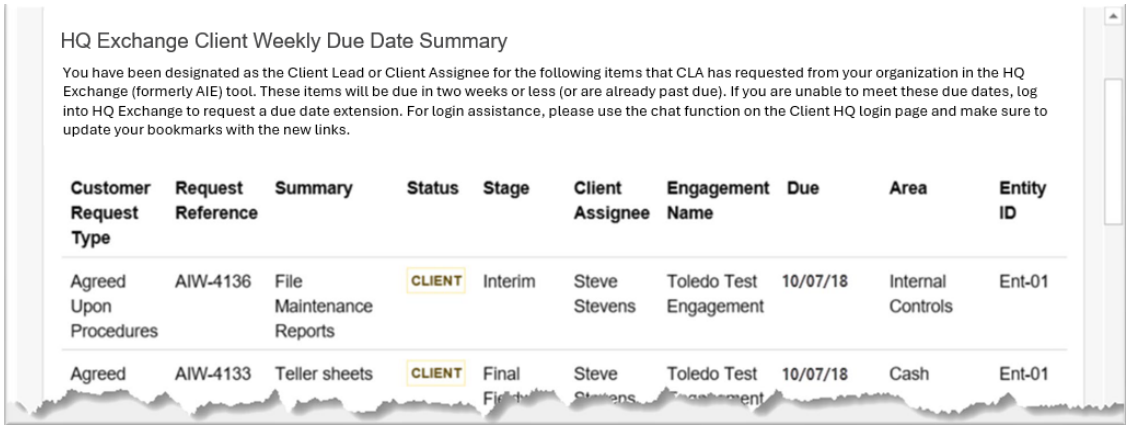
You have been designated as the Client Lead or Client Assignee for the following items that CLA has requested from your organization in the HQ Exchange (formerly AIE) tool. These items will be due in two weeks or less (or are already past due). If you are unable to meet these due dates, log into HQ Exchange to request a due date extension. For login assistance, please use the chat function on the Client HQ login page and make sure to update your bookmarks with the new links.

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	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 requested items are due and continuing until request items are fulfilled, HQ Exchange will send out a weekly summary of requested items to the **client lead** and the **client assignee**. Using the HQ Exchange client portal, the **client assignee** may request a due date extension for any request items as noted earlier in this guide.



HQ Exchange Client Weekly Due Date Summary

You have been designated as the Client Lead or Client Assignee for the following items that CLA has requested from your organization in the HQ Exchange (formerly 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 HQ Exchange to request a due date extension. For login assistance, please use the chat function on the Client HQ login page and make sure to update your bookmarks with the new links.

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	Toledo Test	10/07/18	Cash	Ent-01