Assurance Information Exchange

Frequently Asked Questions - Clients

Contents

Accessing AIE

Logging into AIE

Question   Why do I have to use multi-factor authentication (MFA) when I log into AIE?

Answer   In some cases the information that you provide to CLA includes personally identifiable information (PII). CLA feels that the extra layer of security that MFA processes provide above and beyond strong passwords is necessary to protect all of the information that you provide to us through AIE.

Question   When I log in the MFA process sends me an email with my verification code. I would prefer to receive a text message with the code instead. How do I change this?
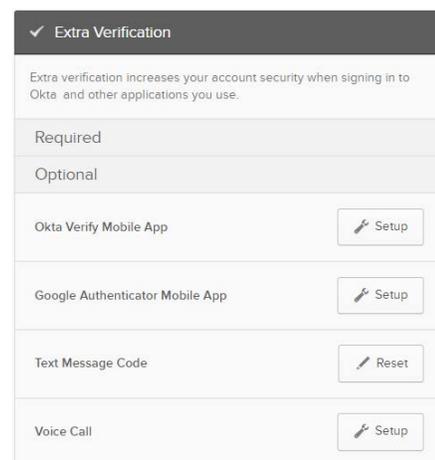
Answer

Any of the MFA options you had set up when you initially logged into your CLA online account will be available to you.

After you have entered your password, click on the dropdown arrow on the authentication screen and select the method you would like to use.
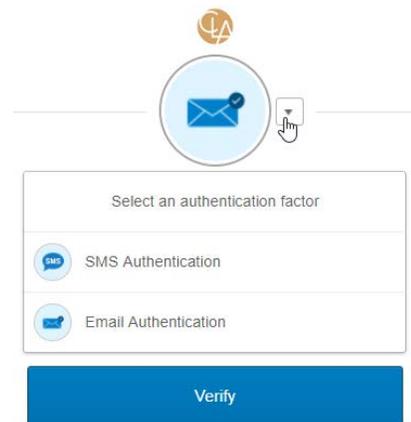
If you don't see the MFA option you would like to use from the dropdown, it is likely that you had not yet configured that option in your CLA online account.

1. Log into your CLA online account using one of the previously configured MFA options.

2. Click on the dropdown by your name in the upper right corner and select **Settings**.

3. Scroll to the **Extra Verification** section and click on the **Setup** button for the method you would like to configure.

Question   I have entered my username and password, and I am being prompted for an authentication code. Why haven't I received the code?

Answer   The first item you should check is whether the authentication screen indicates that the code has been sent.

Code Sent   **Code Not Sent**
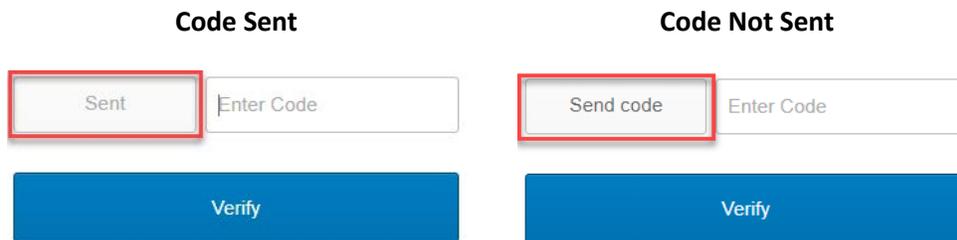
If the code has not been sent click on the **Send code** button noted above. If you still do not receive the authentication code, you may try switching to a different authentication method, or you can contact a member of your CLA engagement team who will work with our support team to troubleshoot this further.

Question   How long will I have to initially login after I receive the introductory email? If I don't initially log into AIE in time, can I use the **Forgot password** link on the **Sign In** screen?

Answer   The link in the introductory email will expire within seven days. If you have not logged in prior to the expiration, the **Forgot password** link will not work. Please contact a member of your CLA engagement team who can request that a new introductory email be sent to you.

Question   Does my password expire?

Answer   Your password will expire every 120 days. After it expires you will be forced to change it upon your next login.

Question   I have forgotten my password, can I reset it on my own?

Answer   Yes, click on the **Need help signing in** link on the **Sign In** screen and then click on the **Forgot password** link.

1. Enter your email address and then click Reset via Email

2. Click on the **Reset Password** button on the email that is sent to you.

3. Provide the answer to your security question.

4. Enter a new password.

5. Complete the MFA process.

Question   I have entered my password incorrectly too many times and my account has been locked. How do I unlock my account?

Answer   Your account will unlock automatically after 30 minutes. If you have forgotten your password, you may use the Forgot password link as noted above, otherwise if you need further assistance, please contact a member of your CLA engagement team.

Question   How many times can I enter my password incorrectly before my account locks?

Answer   Your account will lock after five incorrect attempts.

Working in AIE

Working with the client interface

Question   I accidentally uploaded the incorrect file to a request item. How can I delete the file?

Answer   When viewing the attachments you may click on the delete icon next to the attachment you that should be deleted. You will not have the ability to delete attachments that were uploaded by the CLA engagement team.

Question   We have a new team member who should have access to AIE that wasn't added when we first started. How do we set that individual up with a user account?

Answer   Staff that have been designated as the **Client Lead** on one or more request items have the ability to create new user accounts for others in your organization.

1. Click on the **Menu** button and select **Add User**

2. Complete the **Add User** pop up window

3. Click **Submit**.

Question   We have a team member who is no longer our employee. How do we remove this individual's access from AIE?

Answer   As soon as possible contact a member of your CLA engagement team and request that the individual's user account be disabled. If this individual is designated as responsible for any requests, please also identify which individual those requests should be reassigned to.

Question   There are requests that I am not designated as being responsible for. Can I still view these items and attach files or comments to them?

Answer   Yes, all client staff will by default, see all of the request items on the list whether they are assigned as being responsible or not. Any request items that you can view you can also attach files or add comments to.

Question   There are several request items where the wrong individual is assigned as being responsible. Can I reassign those request items?

Answer   From the list view click on the name of the **Responsible** individual, or from the detail view click on the **Change** link next to the name of the **Responsible** individual. In the popup select the name of the individual who should be responsible and click **Save**.
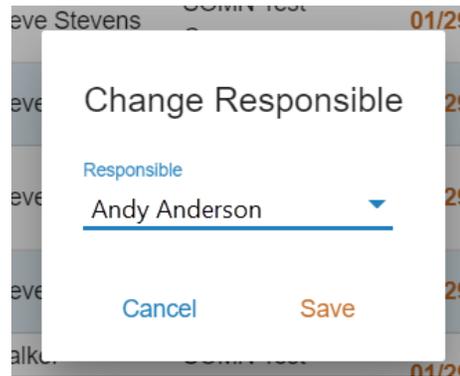
If the **Client Lead** has restricted access to a request item, you cannot reassign the request item to an individual who does not have access to the request.

Question   How do I filter to see just the request items I am responsible for?

Answer   Click on the **Filter** 🔵 button on the upper left side of the screen. Then select your name from the **Responsible Name** filter.

Question   Some of the request items are asking us to provide files that include confidential information that should not be seen by others in our organization. Can we restrict access so only the appropriate individuals in our organization can see them?

Answer   Yes, each request item should have a designated **Client Lead**. The **Client Lead** can identify which client staff will have access to the request item by selecting their names in the Shared with section on the detail view of the individual request items. For additional instructions on this process, please see the **Client User Guide** which can be found by clicking on the **AIE Help Resources** button when you log into your CLA online account.

Caution ⚠ - You should restrict the access to the request item before the confidential information has been attached.

Create Opportunities

Question   How can I identify who is designated as the Client Lead for a request item and can I reassign that role?

Answer   The **Client Lead** will be identified in the detail view of the request. Current functionality does not allow you to reassign this role. You should contact a member of your CLA engagement team to request that this role be reassigned as necessary on individual request items.

Note 🗂 – While in many cases the **Client Lead** role will be designated as the same individual across all request items for your engagement, this role can be designated differently for each request item.

Question   I would like to export or print the request list, is this possible?

Answer   Yes the list may be printed to a PDF file by clicking on the Print button in the upper right corner of the list view. Alternatively, you could contact a member of your CLA engagement team to request that they export the list to an Excel file for you.

Caution ⚠ - As activity by your CLA engagement team and staff from your organization occurs, an exported 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.

Question   After I have submitted a request item to CLA, can I still see that item on my list so I can better keep track of information I have already provided?

Answer   Yes, to see submitted items, click on the **Filter** 🔍 button on the upper left side of the screen. Then select **Submitted** and **Accepted** from the **Status** filter.

Question   CLA has requested an item that is not applicable to us for the current year's engagement. What is the best way for us to respond to that request item.

Answer   The easiest response it to click on the **Not Applicable** 🚫 button under the Actions on the list view. This will submit the request to CLA, as well as automatically add a comment that the request item was not applicable and that CLA should consider whether or not to include this request item for the next year's engagement.

Create Opportunities

Question   We have some information that we want to provide to CLA that was not included in the list of request items. How do we provide that information?

Answer   You should see a request item with a summary description of, "Other Information Not Previously Requested by CLA." You may use this request item to attach files or add comments that are unrelated to any of the other request items on the list. If you do not see this request item on your list, please contact a member of your CLA engagement team to request that they add it.

Note – If the information you are providing could have continued significance in future engagements, you should discuss with a member of your CLA engagement team, as they would likely want to add a new request item specific to the information you are providing.

Question   Is there a size limit for the files we attach to a request item?

Answer   Yes, files attached to a request item cannot exceed 250MB. If you have files that you need to provide to CLA that exceed this limit you should contact a member of your CLA engagement team to discuss alternate methods of providing that information.

Question   How long will the request items and any files attached to those requests be retained?

Answer   The request items, along with attached files and comments added are purged from AIE 18 months after the request was first created.

Note – After the engagement is complete your CLA engagement team will transition the request items to the **Closed** status. Requests in the **Closed** status will not be visible in the client view, even if it is before the requests have been purged from AIE.

Question   Will I be automatically signed out after a period of inactivity?

Answer   Yes, after 30 minutes of inactivity the AIE interface will become non-responsive as you have been automatically be signed out. You will need to close the browser window and log back into your CLA online account.

Question   We will not be able to provide some of the requested information by the due date? Can the due date be extended?

Answer   You may request an extension of the due date on individual request items. Within the detail view of a request item you can click on **Request Extension**, and then enter the desired date and the reason for the request. This will transition the request item to the **Extension Pending** status until a member of your CLA engagement team processes your request. CLA may approve, reject, or provide an alternate due date when processing the request.

For additional instructions on this process, please see the **Client User Guide** which can be found by clicking on the AIE Help Resources button on your CLA online account home page.

Note ⧠ – Request items are not able to be Submitted to CLA while they are in the Extension Pending status.

Question   Is it possible to see the information that I had provided within AIE to CLA for last year's engagement?

Answer   Yes, for recurring request items you may click on the **Next Year** link on the detail view of a request item to view the details for the prior year request. If the request item does not have an associated request from the prior year, the link will not be available.

Question   Why does the sorting and filtering I applied, reset when I go back to the list view from the detail view?

Answer   Ensure you are using either the **Back to Requests** button in the detail view or the overall **Go Back** button on the web browser you are using, to return to the list view. Alternatively, the **Requests** button in the upper right corner of the screen will clear any sorting or filtering that you had applied and return you to the full list of all request items.
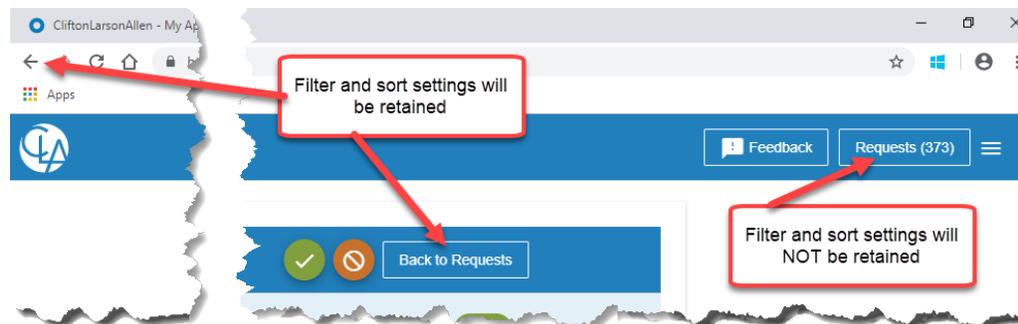
Email notifications

Question   How often are email notifications sent and who receives them?

Answer   There are two types of email notifications that are sent, both of these notifications are sent to the client individuals designated as the Client Lead and the Client Assignee (Resonsible on the client view).

The first type of notice is a daily activity summary that will list all request items in the Client status that have been updated within the past 12 hours. Depending on the timing of updates, these notices may be sent upto 2 times per day. If there were no updates in the last 12 hours, no activity notice will be sent.

The second type of notice occurs once a week starting two weeks before request items are due and will continue to be sent each week until those request items have been submitted to CLA.

Question   What if I do not want to receive these notification emails. Can I turn them off?

Answer   The email notifications cannot be turned off for individual user accounts. However, you may be able to set up an email rule to manage these notices automatically when they are received.

Question   Does my CLA engagement team receive notifications when I make updates to request items.

Answer   The member of your CLA engagement team who has been assigned to the individual request items will receive the daily activity summary and weekly due date notices similar to the notices identified above.

Field Definitions

List View

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.

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. CLA staff are currently responsible for verifying whether the information submitted fulfills the request.
>
> **Accepted** – CLA staff have verified that the information submitted by client staff adequately fulfills the request.

Stage   Stage refers to the 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.

Engagement Name   In some instances CLA 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" |

09/11/18 Orange dates represent request items that are past the due date.

09/18/18 Green dates represent request items that are approaching the due date (within the next two weeks).

10/17/18 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. |

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 added and the status of the request will change to **Submitted**.

Detail View

Many of the fields displayed in the list view are also displayed in the detail view of individual request items. The fields found only on the detail view include:

Start Date The beginning date for information requests that encompass a certain period of time (i.e., all fixed asset additions from **1/1/YY** through 12/31/YY).

End Date The ending date for information requests that encompass a certain period of time (i.e., all fixed asset additions from 1/1/YY through **12/31/YY**). This field may also be used to designate the "as of" date for request items that are needed as of a point in time.

Scope The numeric threshold over which items are being requested.

Preferred Format Identification on what format the requested information should be provided to CLA (i.e., Excel, PDF, etc.).

Engagement In-Charge The CLA staff person with overall responsibility for an engagement associated with individual request items.

Report/File Name Identification of the report or file name associated with the information that should be provided to CLA.

Client Lead The main client contact associated with a request item. This individual may restrict access to the request item to only specific client staff.

Shared with The client staff who have access to view and work with the request item. Access may be restricted by the individual designated as the **Client Lead** for the request item.

Links For recurring request items, links will be available to toggle between the details of the request for the prior period's engagement and the current period's engagement.

Create Opportunities