

12 Tips to Pass the CPE Audit

1. **READ THE INSTRUCTIONS!!** Seriously, reading the instructions is very helpful and won't take very long, so please, read the instructions!
2. **RESPOND! RESPOND! RESPOND!** Always respond timely to Board communication, failure to do so could result in a \$500.00 penalty. See Rule 409 in the Code of Professional Conduct for more information.
3. **IF YOU CHOSE THE 40-HOUR RULE** – Send ALL 2018 – 2019 Ethics certificates in addition to your 2020 certificates. Failure to do so will result in a failed audit.
4. **IF YOU CHOSE THE 120-HOUR RULE** – Send ALL certificates from 2018 – 2020. Failure to do so will result in a failed audit.
5. **SEND REAL CERTIFICATES** – No brainer right? You would be surprised! Receipts, “Circle-the-Minutes” forms, “Check-the-Classes-Attended” forms, and CPE listings from the Board’s website do NOT count as CPE certificates.
6. **NO HANDWRITTEN INFORMATION** – Handwritten information on certificates is unacceptable, unless it is the sponsor’s signature. Your name, the title of the course, the date, the number of CPE hours, field of study, type of study (group or self-study), NASBA number, and sponsor must all be **printed** on the certificate by the Sponsor.
7. **ARKANSAS SOCIETY OF CPA’S DOCUMENTATION** - Please contact the Society for a transcript of your courses. You are not allowed to print off the tracker yourself, it must be an official transcript from the Society.
8. **IN-FIRM DOCUMENTATION FOR FIRMS REGISTERED WITH NASBA** – If you work for a firm that is registered with NASBA, all in-house CPE can be verified by sending a transcript of your CPE. This transcript must be given to you and signed by your firm’s CPE Administrator or your firm’s director. This transcript must have all required CPE certificate information. If you do not have a transcript, you may also send acceptable CPE certificates instead of normal infirm documentation. Please note, all CPE not taken through your firm must be verified via a CPE certificate not the CPE transcript.
9. **IN-FIRM DOCUMENTATION FOR FIRMS NOT REGISTERED WITH NASBA** – If you work for a firm NOT registered with NASBA and you are reporting in-house CPE, please send a sign-in sheet, an agenda, and a biography of the instructor(s). Please note the sign-in sheet should have the following printed on it: title of the course, the number of CPE hours, the field of study, and the date the course was taken.
10. **UNIVERSITY COURSES: PROFESSORS** – If you taught a university course, please have the Dean above you send a letter, via email or fax, on university letterhead stating which courses you taught (with course numbers), what semester it was taught, and the number of credit hours it was worth. Please note, you may only count a taught course once every three years. For more information please see Rule 13.3(c)(b).
11. **UNIVERSITY COURSES: STUDENTS** – If you are a student claiming CPE credit for a university course, please send an official transcript to the Board.
12. **IF YOU HAVE QUESTIONS, PLEASE CONTACT THE BOARD** – We want to help you pass your CPE audit.

GOOD LUCK!!

- Board CPE Auditors