

# WHAT'S NEW

## Checkpoint Engage™ with AdvanceFlow™

This document provides new and updated items that were included in each release of Checkpoint Engage™. (Each product requires a separate license.)

Checkpoint Engage™ product support email: [checkpointengage.support@thomsonreuters.com](mailto:checkpointengage.support@thomsonreuters.com)

Documentation available on our Checkpoint Engage™ Customer Help Center:

<http://support.checkpoint.thomsonreuters.com>

AdvanceFlow™ product support email: [afsupport@tr.com](mailto:afsupport@tr.com)

GoFileRoom product support email: [gfrsupport@tr.com](mailto:gfrsupport@tr.com)

## Table of Contents

2019 Release Information.....	2
2018 Release Information.....	7
2017 Release Information.....	14



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## 2019 Release Information

### September 2019

#### Risk Assessment Module

- **Suggest Limited Approach** – beginning with the 2020 edition of Checkpoint Engage titles you will receive a suggested Audit Approach of 'Limited' whenever an Audit Area is marked as 'Non-Significant'. When you rollforward 2019 and earlier engagements, the application maintains your prior Audit Approach, but we suggest you select 'Limited' approach for the 2020 engagement. Non-significant audit areas where Limited approach has not been used will be included in the diagnostic report.
- **Integration with Thomson Reuter's Audit Intelligence powered by Inflo** – beginning September 30<sup>th</sup> users of Checkpoint Engage and AdvanceFlow will have exclusive integration with Audit Intelligence application. This powerful application provides real-time ingestion of data from 100% of accounting systems and helps to automate the audit process. This initial integration gives you direct access from Checkpoint Engage using "Ai" icons that inform you of procedures that recommend use of Thomson Reuters Audit Intelligence analytics. Audit Program "Ai" icons contain explanations of actions you can perform and navigate you directly to the corresponding section\procedure in the TR Audit Intelligence engagement.
- **TR Audit Intelligence integration** is currently available to licensed users of 2019 Checkpoint Engage for Audits of Nonpublic Companies (OPBSQ). Additional titles will be added soon.

#### Checkpoint Engage PCR

- **Checkpoint Engage PCR** – our Preparation, Compilation, and Review module has been updated for use with the following additional titles:
  - **2018 – Checkpoint Engage for Accounting and Reporting for Estates and Trusts (OPETQ)**
  - **2018 – Checkpoint Engage for Physicians and Other Health Care Professionals (OPPOQ)**
  - **2018 – Checkpoint Engage for Restaurants and Bars (OPSTQ)**
  - **2018 – Checkpoint Engage for SSARS Preparation Engagements (OPSDQ)**
  - **2019 – Checkpoint Engage for Audits of Nonprofit Organizations (OPNPQ)**

(For further details on PCR product please see *What's New Checkpoint Engage PCR*)

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## August 2019

### Checkpoint Engage Internal Control

- **Internal Control Rollforward** – you are now able to rollforward responses for CX-10.1 - Test of Controls form
- **Internal Control Rollforward Diagnostics** – unaffirmed responses on CX-5 will be caught on Diagnostic report to alert user with responses not yet affirmed

### Checkpoint Engage PCR

- **Pre-release PCR** – our Preparation, Compilation, and Review module has been updated for use with the following additional titles:
  - **2018 – Checkpoint Engage for Cash, Tax, and Other Bases of Accounting (OPCTQ)**
  - **2018 – Checkpoint Engage for Audits of Employee Benefit Plans (OPEBQ)**
  - **2019 – Checkpoint Engage for Audits of Employee Benefit Plans (OPEBQ)**
  - **2018 – Checkpoint Engage for Dealerships (OPDLQ)**
  - **2018 – Checkpoint Engage for Homeowner’s Associations (OPHAQ)**

(For further details on PCR product please see *What’s New Checkpoint Engage PCR*)

## July 2019

### Checkpoint Engage Internal Control

- **Internal Control Rollforward** –With this initial release you can now proforma your workpapers with two options: 1) with responses retained, and 2) without retaining your responses. You will be able to bring forward settings and customization from the prior period engagement and have the option to rollforward identified risks associated with (linked to) an audit area and transaction class.
- **Affirming rollforward responses** – After rolling forward you will need to affirm your prior responses. Use the ‘Affirm’ and ‘Affirm All’ buttons to confirm responses and expedite the current engagement.

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- **Diagnostic reports** – Unaffirmed responses within CX-4.1, CX-4.2.1, CX-4.2.2, and CX-10.1.2 are noted on Checkpoint Engage diagnostic reports to alert you to responses that have not yet been affirmed.
  - **Upcoming releases** – we will continue enhancing the Internal Control rollforward functions in subsequent releases. Some of the items planned for next month and beyond are:
    - Option to rollforward workpaper reference and comments on 'CX-10.1 – Test of Controls' form.
    - Diagnostic for unaffirmed responses on CX-5 form.
    - Controls and Test Procedures modified by Thomson Reuters in the newer edition of the title will be available in the rolled forward engagement.

### Checkpoint Engage PCR

- **Pre-release** – our Preparation, Compilation, and Review module is available as initial release for use with titles:
  - **2018 – Checkpoint Engage – Compilation and Review Engagements (OPCRQ)**
  - **2018 – Checkpoint Engage -Audits of Nonpublic Companies (OPBSQ)**
  - **2019 – Checkpoint Engage - Audits of Nonpublic Companies (OPBSQ)**
  - **2018 – Checkpoint Engage for Audits of Nonprofit Organizations (OPNOQ)**
  - **2018 – Checkpoint Engage for Construction Contractors (OPCNQ)**

(For further details on PCR product please see *What's New Checkpoint Engage PCR*)

## May 2019

### Checkpoint Engage

- Chevrons for expand and collapse – The +/- buttons have been replaced with single and double chevrons for expanding and collapsing subtext.
- Enhanced the placeholder workpaper reference link – selecting a workpaper reference link now provides a popup message that includes the text you entered when adding an AdvanceFlow placeholder document.
- Disclosure Affirm All – after rolling forward an engagement you can now use the “Affirm All” feature to affirm all procedures associated with the checklist, including items on other tabs or topics that are not displayed.

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- Added copy/paste for multiple workpaper references – allowing you to select multiple workpaper references from different cells within an audit program and paste them all into a single cell in that audit program.
  - Eliminated the expand/collapse where no sub-procedure exists – for procedures that do not have sub-procedures, or child-procedures, we have removed the expand/collapse chevron.
    - Note: If you move a procedure to the position of sub/child, you must use Expand All to view all procedures.

The following items have been corrected in this release:

- Right Click options are not displaying for the NA/Performed by column in AP Completion
- Rollforward Sync – rollforward settings are not persisting in Workpaper Properties
- Few Filtering questions are not shown in CX-0.2 document (co 03.12)
- Adding comments in pop up is not wrapping text correctly
- Changes to workpaper roll-forward options in Binder Template do not appear in new project
- Affirm is not removed after editing the data in disclosure roll-forward
- We have fixed a bug related to Disclosure roll-forward that incorrectly merged source and template checklist information

## April 2019

### Checkpoint Engage – Risk Assessment Summary Form

- Risk of Material Misstatement (RMM) calculation has been revised to default to *moderate* rather than *low* when Inherent Risk is assessed as *low* and Control Risk is assessed as *high*.
  - The blue link for RMM has been updated to show the formula and the revised warning message text.
  - The change is effective for 2019 title editions or later and only when creating the initial risk assessment or making subsequent adjustments. Risk assessments in your existing engagements remain unchanged.

### Checkpoint Engage – Completion View

- Set default for audit program view – audit program screen has been redesigned to allow you to select your preferred opening default view as either Design or Completion view.
- Multiple workpaper references – audit programs now allow you to add multiple workpaper references within the "Add Workpaper Reference" text box.
- Copy/paste workpaper reference – the audit program completion view now includes options to copy and paste workpaper references in the "Workpaper Index" column and in the dropdown menu in the "Workpaper Index" column header.

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- Enhanced performance of workpaper referencing – the audit program workpaper referencing text box has been modified to load available items on-demand rather than all at once. This allows faster access to the document(s) you wish to reference.
  - Roll-forward "placeholder" reference links – references to AdvanceFlow placeholder documents in the audit program now carry forward when you roll-forward the engagement.

The following items have been corrected in this release:

- Audit Approach is not getting cleared when user selects 'Yes' after performing assertions
- Explain Links are not Working in the Rollforward Wizard for the Disclosure Checklists
- PSD - ICA enabled - not working as expected
- Expand Icon is not coming for SEFA Checklist
- Importing the engagement that has custom control names modified after rollforward is not displaying in the Engagement
- CX-8- Busy loader is spinning in a save scenario
- Disclosure checkbox is not grayed and able to modify in SPD engagements for PIN 2017 to 2018 rollforward
- Unsigned Button is not functioning
- Getting console error after click on "Update Checklist" option
- ICA: - Engagement Delete is failing in DEMO
- Ordering Issue with CX-2.1 form after Save
- Disclosure requirements are not getting under topics on below scenario

## March 2019

### Checkpoint Engage – Disclosure

- Checkpoint Engage Disclosure has been completely redesigned to make completion and review faster.
  - Items in the Topics tab load faster.
  - Subtopics are listed in a new left-hand pane to speed navigation within the checklist, and a visual indicator appears next to completed subtopics.
  - Scrolling has been improved to increase speed and reduce jumpiness.

We resolved an issue where deleted workpaper references in audit programs reappeared in rolled forward engagements in certain circumstances.

We have removed the option to assess risk by audit area in total. We believe it is a best practice to always assess risk at the assertion level, and misuse of the option could potentially result in audits being

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identified as nonconforming during peer review. If you previously assessed risk for an audit area in total, your assessment is now considered the same for all assertions in that audit area.

In Checkpoint Engage – Internal Control, some industry titles always selected “Adjusting Foreign Currencies” as a significant transaction class under Financial Close and Reporting. You may now optionally select that transaction class as significant.

## 2018 Release Information

*We understand that some you have been experiencing issues with Checkpoint Engage, and we want you to know that resolving these issues is a high priority for us. We value you as our customer, and we take very seriously the trust that you place in us. Our development teams are working at a very high priority level to resolve these issues as quickly as possible. Thank you for your patience.*

### June 2018

The following items have been identified and will be corrected in a future release:

- Import – In certain experiences, SMART import into Checkpoint Engage is incomplete. Please contact Customer Support if needed.
- CS-1.2 - In 2018, the editors changed the CX-1.2 document from an optional form to a required form. If a user rolls forward a 2017 (or earlier) title to 2018, the CX-1.2 document is added to the engagement but will appear at the top of the engagement binder.

### May 2018

Checkpoint Tools Online Delivery has been developed to enhance the user experience of our Thomson Reuters Cloud Audit Suite. Users of AdvanceFlow + Checkpoint Engage, who are also licensed for PPC’s Practice Aids in the desktop version of Checkpoint Tools, will have access to Checkpoint Tools Online Delivery via the Cloud. No additional licensing fee is required for use.

- This new functionality is used for PPC’s Practice Aids, 2017 and subsequent editions, and provides access to 2 years of licensed titles.
- Checkpoint Tools desktop framework is still required for PPC Add-in to function with MS Office products.
- Titles will no longer need to be installed locally.

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- Once a Practice Aid document is added to AdvanceFlow, it will function normally and within its native application.

Checkpoint Tools Online Delivery is available from within AdvanceFlow workspace via the “Add Workpaper” function. Simply select the folder to which you want to add Checkpoint Tools Word and Excel documents \ select Workpaper Type Checkpoint Tools \ select PPC’s Practice Aids title \ select PPC’s Practice Aids document to add to the engagement binder.



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## April 2018

### April 19<sup>th</sup>

- Audit Programs:
  - Users will experience faster responses while clicking or scrolling on Audit Programs.
  - Linkage view will not be available on the right side, but instead will open as a separate window.
- CX-8 Enhancements:
  - CX-8 is now formatted with dollar signs and commas.
  - Users can enter negative numbers into the 2 fields on the CX-8 forms –
    - 'Dollar amount of misstatements noted in the sample'
    - 'Dollar amount of misstatements noted in items tested 100% (dollar amount of misstatements found when testing individually significant items)'
- Disclosure Multi-Tabs: The Disclosure workpaper is now divided into multiple checklist tabs, providing improved performance when navigating disclosure checklist requirements.

Please note the following functions are not supported in this release:

- Drag and drop functionality across tabs
- Internal Links are not actionable
- Expand All functionality is disabled on Disclosure Topics tab; however, it is available on Disclosure Checklist tabs.

The following items have been corrected in this release:

- Some disclosure checklist questions are not numbered.
- Some disclosure checklist questions appear twice.
- The workpaper reference link sometimes does not display inside the comment box.

The following items remain open and will be corrected in a future release:

- When the window is small, the tabs move continuously. The suggested workaround is to maximize window or click on right/left navigation option.
- Disclosure
  - On the CX-13 form, the full tab name is not displayed in completion in the last tab.
  - While navigating across tabs with unsaved changes and selecting 'Don't Save' button on multi tabs, changes are retained.
  - Selecting checklists, answering and saving responses on checklist and coming back to topics tab to unselect parent topic is not removing tabs for ALG 17.

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- After adding a custom requirement, the numbering is duplicated in Part 2—Other Disclosures.
  - The non-custom requirements or PPC procedures are missing when a custom requirement is added as a sibling to it.
  - On the audit program the TAB key would not be fully functional and would continue to have the following limitations:
    - In the Categories section: Users cannot use tab key, to move from one field to another, unless they are expanded.
    - In case of Conclusion section: Users cannot use tab key to move from one field to another, unless it is expanded.
    - Users will need to use the mouse to insert sign off and workpaper reference links.
  - CX-7.1 – Risk Assessment Summary Forms
    - RMM values are not disabled.
    - Risk Assessment performed for custom audit area in template engagement is not copied into target engagement when target engagement is created from this template engagement.
    - A client engagement created from template engagement does not carry forward Risk Assessment and Audit Programs for custom audit areas.
  - Create engagement returns an error when engagement type is blank.
  - When a user tries to insert a workpaper reference link in a text box that has been enlarged to full screen:
    - The WP reference dialog is not visible and displays behind the text box screen;
    - The Legend bar displays at the bottom of the screen.
  - Checkpoint Engage documents that are delivered as Excel files (e.g., ASB CX-9.2) cannot be edited unless the corresponding Checkpoint Tools title is installed locally.
  - Quick Start – For ASB and DLR titles CX-4.2.2 Q2a Table data is missing.
  - Adding documents via WP links does not add the workpapers.
  - Workpaper Reference link not deleted after deleting the workpaper.
  - Rollforward Merge generates a 500 error when both source engagement and target engagement have custom audit area(s) with same audit area name. The suggested workaround is to change the audit area name for either the source or target engagement custom audit area.
  - Some AdvanceFlow users receive an error message stating their session may have expired when accessing Checkpoint Engage documents.

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## April 6<sup>th</sup>

### **The following items have been corrected in this release:**

- Disclosure – Some disclosure checklist questions previously appeared twice. Notes on the duplicate procedures will now be linked when the user updates the checklist.

### **The following items remain open and will be corrected in a future release:**

- Disclosure – Intermittently, when users click the Check for Update option, the latest checklist is not being displayed.

## **March 2018**

### **The following items have been corrected in this release:**

- When a user de-selects a procedure from an Audit Program, the sign-off was being retained. As a result, when the procedure was later re-selected, it would show as already signed off in the AP Completion View and in the Guide-Me page.
- To improve user experience, on the Audit Program users can enter comments in plain text which is the default mode. If a user prefers to enter comments with the rich editor, user can click the small icon at the top right corner in the comment field to bring up the rich text editor.
- Users may now manually enter a tolerable misstatement amount when the CX-2 is not part of the engagement.
- Corrected the percentage complete calculation in Guide Me so that it properly handles situations in which a procedure with Practical Considerations is moved from 'Available Procedures' to 'Selected Procedures'.
- When a user creates an engagement with Quick Start, then edits engagement setup and answers Yes when asked if Single Audit requirements apply, the AP-3, AP-18, AP-19 workpapers are now being added as expected.
- When entered text exceeds the size of the input field in CX-4.1, questions 13 or 14, the excess text will now display in the generated PDF. There was an issue when the user selected responses for certain questions in the Audit Programs and then de-selected that category and rolled forward the engagement. The respective category appeared in the Available Pane instead of Selected Pane. This issue has been resolved for roll forward in Audit Programs.
- Corrected an issue when a planning form question/Disclosure Checklist question is marked as N/A and then a PDF is generated out of it, all the sub-items under it are being mentioned in the PDF which is of no use when the answer is marked as N/A. These questions under the topic are now hidden in the both UI and in the generated PDF.
- Disclosure – Interactive Disclosure Requirements – User can see an extra column displaying requirements relative to the example in Interactive Disclosure Requirements example. This change will be effective for new titles released for the year starting in April 2018.

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**The following items remain open and will be corrected in a future release:**

- Some users receive an error message stating their session may have expired when accessing Checkpoint Engage documents.
- Create engagement returns an error when engagement type is blank.
- A client engagement created from template engagement doesn't carry forward Risk Assessment and Audit Programs for custom audit areas.
- Checkpoint Engage documents that are delivered as Excel files (e.g., ASB CX-9.2) cannot be edited unless the corresponding Checkpoint Tools title is installed locally.
- Workpaper References
  - When a user tries to insert a workpaper reference link in a text box that has been enlarged to full screen, the WP reference dialog is not visible (displays behind the text box screen).
  - When a user tries to insert a workpaper reference link in a text box that has been enlarged to full screen, the Legend bar displays at the bottom of the screen.
- Disclosure
  - Some disclosure checklist questions are not numbered.
  - Some disclosure checklist questions appear twice.
  - When a user adds requirements to the disclosure checklist, requirements re-number, which could make them out of sync with requirement numbers referenced in the example disclosures.
  - Disclosure - After adding a custom requirement to a topic the numbering is duplicated in Part 2-Other Disclosures
  - Disclosure - The non-custom requirements or PPC procedures are missing when a custom requirement is added.

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## February 2018

### The following items have been corrected in this release:

- Workpaper References to documents changed after adding them in Audit Programs.
- Workpaper Reference links would not navigate to the correct page when clicked.
- All workpaper reference links in AP Completion View were not appearing in the generated PDF.
- Import from SMART would fail if forms contained special characters.
- Comments entered in audit programs would not save if Expand All was used.
- Signoffs entered in audit programs would not save.
- Data entered in table at the bottom of the CX-4.3.2 planning form is not saving.

### The following items remain open will be corrected in the 3/22/2018 release.

- A client engagement created from template engagement doesn't carry forward Risk Assessment and Audit Programs for custom audit areas.
- User can finalize a workpaper when another user has a lock on it.
- Guide Me percentage complete does not calculate correctly when a procedure with a practical consideration is added to the Selected Procedures pane
- Checkpoint Engage documents that are delivered as Excel files (e.g., ASB CX-9.2) cannot be edited unless the corresponding Checkpoint Tools title is installed locally.
- Error 401 Session may have expired messages.
- Disclosure Checklists: questions not numbered, duplicate questions, topic selection not displaying checkmarks.
- SMART import errors.
- Slowness related to sign-off, scrolling, adding comments.

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## January 2018

- Finalize Engagement and Rollforward Finalized Engagement
  - Once an engagement is finalized 'Guide Me' and 'Diagnostic' pages are locked for editing. The message 'This cannot be modified when engagement is finalized' will be present at the top of the page.
  - A finalized engagement can be rolled forward successfully. Within the rolled forward engagement, workpapers are not locked for edits and user can see rollforward messaging (e.g., 'Affirm').
- Performance Improvement
  - The scrolling performance has improved for Disclosure Checklist as the sections are manually expanded.
- The following items have been corrected in this release:
  - Text within Comment fields on AP forms not saving.
  - SMART Practice Aids not including the rollforward preferences for some documents in the transfer file, causing Import to fail in Checkpoint Engage.
  - Step signoffs on AP forms not saving.
  - Disclosure SEFA Checklist not displayed when user first creates a Risk Assessment only engagement.

## 2017 Release Information

### December 2017

#### December 28<sup>th</sup>

- Guide Me
  - This is a new feature for Checkpoint Engage. The purpose of Guide Me is to provide a visual snapshot of engagement progress in terms of percent complete relative the number of workpaper level or procedure level signoffs. By selecting the Guide Me icon on the AdvanceFlow toolbar, the application will direct the user to the Guide Me screen. On this screen, the user has the ability to access engagement workpapers via a hyperlink link for planning forms and audit programs. The user can also add comments, view static notes and diagnostics for the engagement.

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- Disclosure Deselect Topics
    - The deselect topics feature ensures the answers are removed on the checklist requirements tab as a result of the topic being deselected and triggers a message to notify users that if there are any answers on the requirements tab associated to the topic, they will be removed.
  - The following items have been corrected in this release:
    - "Affirm All" messages eliminated from brand new engagements
    - 500 errors for Import and AP-1 form
  - The following items remain open will be corrected in a future release:
    - 405 error on Guide Me and Rollforward of finalized engagements
    - Disclosure SEFA checklist is not displayed when user first creates a Risk Assessment only engagement

## December 14<sup>th</sup>

- Disclosure
  - Disclosure Rollforward allows the user to roll Audit and Disclosure and/or Disclosure Only engagements.
  - Update Information Link provides a hyperlink on the disclosure checklist that triggers a modal with any updated information relative to the disclosure requirements
  - Visual Flag Indicators
    - *Update Disclosure Checklist (Modified Flag)* presents a visual indicator next to a modified disclosure requirement(s) after the user has chosen to update the disclosure checklist.
    - *Update Disclosure Checklist (New Flag)* presents a visual indicator next to a new disclosure requirement(s) after the user has chosen to update the disclosure checklist.
    - *Update Disclosure Checklist (Significant Change Flag)* presents a visual indicator next to a disclosure requirement(s) after if there is a significant change made to the requirement from the content team.
    - *Rollforward (New Flag)* presents a visual indicator next to a new requirement content that did not exist in the previous year after the user has rolled forward a disclosure checklist.
    - *Diagnostics* presents a diagnostic for the disclosure checklist.
- Folders and Folder Structures will be maintained for Copy Engagement, Copy Template and Rollforward Merge (for template workpapers). Duplicate or empty folders will not be created.
- Rollforward
  - Users have the ability roll forward master engagements and the application will synchronize AdvanceFlow and Checkpoint Engage workpaper roll forward options.

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## October 2017

- Ability to delete CX-2.1 Financial Statement Materiality Worksheet
  - Allows more flexibility between the CX-2.1 and the CX-8, if the CX-2.1 is deleted and not present in the engagement, the tolerable misstatement value can be entered manually on CX-8 Planning Substantive Procedures

## August 2017

- Ability to create Master Engagements.
  - Master engagements allow firms to use template engagements that are created and maintained by the firm. Checkpoint Engage can now be enabled on AdvanceFlow templates. Information the firm enters in Checkpoint Engage master engagements in the AdvanceFlow templates is automatically inserted in new client engagements.
- When rolling forward a prior-period client engagement, you have the option of merging the prior-period client engagement with a selected master engagement. This allows you to effectively use master engagements without losing the documentation you created in the prior-period engagement.
- Includes ability to Include/Exclude Practical Considerations on generated PDFs.
  - The option is selected in Preferences, accessed by clicking on your name in top right corner of AdvanceFlow.

## July 2017

- 2016 Editions of HUD Audits, Audits of Oil and Gas Entities, Audits Under International Standards (separate license for each)
- Quick Start content for small non-complex engagements (formerly known as SMART Start) allows you to create your engagement using a pre-populated set of planning content tailored for a small, non-complex entity, rather than starting with blank forms. It is critical that you revise and tailor the planning information based on your own audit judgment and the client's unique operating environment and risks. Quick Start content is available for Audits of Nonpublic Companies, Nonprofit Organizations, Local Governments, Construction Contractors, Employee Benefit Plans, Dealerships, Homeowners' Associations, and HUD Audits.
- Additional Checkpoint Engage Disclosure functionality to tailor checklists and search hundreds of example disclosures (separate license, please contact your Account Manager for more information)