BETTY T. YEE
California State Controller

July 29, 2022

Re: <u>New Report Submission Platform – Data Exchange Portal</u>

Dear California Children and Families Program participants and CPAs performing program audits:

This advisory affects the California Children and Families (First 5) program. In January 2022, the State Controller's Office (SCO), Division of Audits launched a new report submission platform called Data Exchange Portal (DEP). This advisory provides information about the new platform.

PROGRAM REPORTING REQUIREMENTS

1. Organizations participating in the First 5 program must file audit reports with the SCO and the California Children and Families Commission (First 5 California) by November 1 each year.

2. County commissions may submit digital copies of their audit reports via the SCO's website, or they may submit physical copies via the U.S. Postal Service or a private carrier.

3. Due to security protocols, the SCO **cannot** accept audit report submissions by email. The SCO server may quarantine emailed reports without sending an error notification to the sender or a notice to the SCO.

4. In the past, organizations could use the SCO's file transfer protocol (FTP) portal to upload files. DEP will replace the FTP portal. The SCO will continue to accept report submissions via the FTP portal **until August 31, 2022**; after this date, **FTP will no longer be available**.

DEP BACKGROUND

1. DEP is a secure web-based portal for uploading audit reports and other required documentation to the SCO Division of Audits.

2. Electronic submission of audit reports using DEP provides users with the following benefits:

    - Instant transfer of audit reports;

    - Email verification of reports submitted;

    - Account history and tracking of audit reports submitted;

    - Multiple user profiles available under one organization's account;

    - Detailed user guide to assist with report submission; and

    - Cost savings—no postage or express courier delivery costs.

3. DEP automatically generates a confirmation email for uploaded reports, documents, and letters. Automatic confirmation is not provided for reports or letters submitted via FTP.

California Children and Families Program participants
  and CPAs performing program audits
July 29, 2022
Page 2

ACCESSING DEP

1. DEP is located at http://dep.sco.ca.gov/. To upload files to DEP, your organization must create a user account in DEP using the unique account passcode provided by the SCO.

2. If your organization does not have an account in DEP, please contact the SCO to request an account passcode and instructions. You may contact us by email at first5audits@sco.ca.gov, or by using the "Contact SCO" form on the DEP home page.

3. **Do not** forward your passcode to another organization to allow it to create an account on your behalf. CPA firms can create their own user accounts, and they can use these accounts to submit audit reports for their clients.

TECHNICAL SPECIFICATIONS

1. To use DEP, you must have an internet-connected computer with Google Chrome (recommended), Microsoft Edge, Mozilla Firefox, or Apple Safari. Internet Explorer **does not** work with DEP and should not be used.

2. Electronic reports and documentation must be **unsecured** Adobe PDF files, and every electronic report must include the independent auditor's electronic signature.

This advisory is available at https://sco.ca.gov/aud_counties_audit_guides_first5.html. Additional information about DEP can be found at https://dep.sco.ca.gov

If you have any questions, please contact a member of my staff by email at First5Audits@sco.ca.gov.

Sincerely,

Original signed by

KIMBERLY TARVIN, CPA, Chief
Division of Audits

KT/ls

21159

cc: Marcia Thomas, Director
       Fiscal Services Office, First 5 California
     Joel James, Bureau Chief
       Division of Audits, State Controller's Office
     Iryna Bush, Audit Manager
       Division of Audits, State Controller's Office