

Single Audits FTP Instructions

The State Controller's Office offers two options for submitting audit reports. The audit report may either be mailed to the address provided in the letter enclosed or may be submitted via a File Transfer Protocol (FTP). Please choose only one method of submission.

IMPORTANT NOTICE

There is a known issue with the time stamp of files uploaded via FTP for individuals using Windows Explorer on Windows 7 computers. Windows 7 users in the Pacific Time zone will see the time stamp for their submitted files appears as 8 hours ahead during Pacific Standard Time and 7 hours ahead during Pacific Daylight Time. The reason for this is because Windows 7 uses Greenwich Mean Time. There is no known fix for this issue. Screen shots taken of uploaded files may still be used for confirmation and are valid for any submission disputes. The SCO is aware of this issue and will recognize the time difference for windows 7 users.

BEFORE BEGINNING

Please use the report file naming convention listed on page 10 when submitting your reports. **Do not combine reports into one PDF file.** You must submit each report with its correct naming convention separately. Reports combined into one file can be missed and may cause a delay in processing.

FTP

Using an FTP program of your choosing, the file can be transmitted to the California State Controller's Office at **ftp://username:password@ftp.sco.ca.gov**. Please be sure to use an FTP client application that is approved by your organization. A user name and password will be required to access this FTP site. Username and Password information is provided at the end of these instructions.

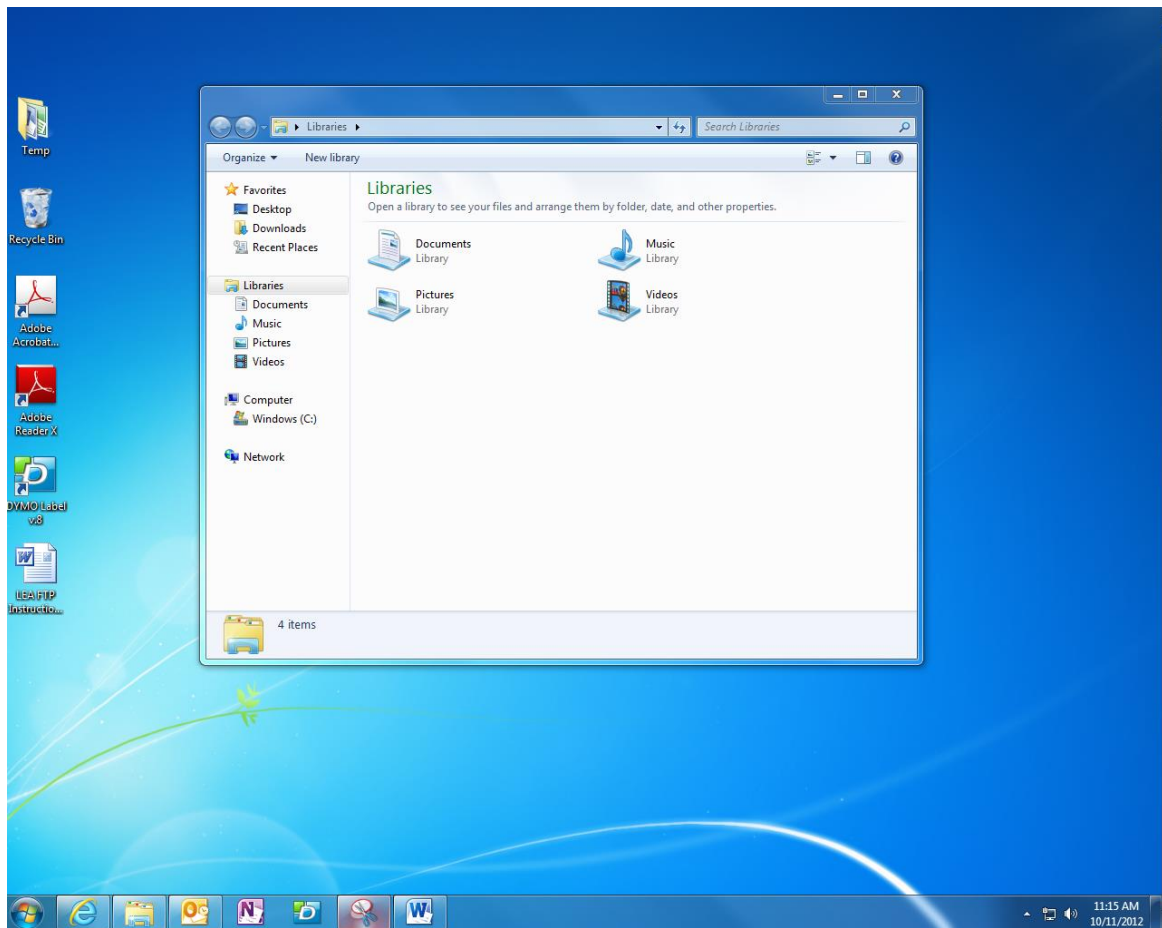
The files can also be sent via FTP using an Internet Browser or Windows Explorer. The following example below uses Windows Explorer (not Internet Explorer); however, the behavior may vary depending on how your network is configured within your organization.

If you experience difficulty connecting to the FTP site, wait 15 minutes before attempting to log on again. If you are still unable to log on or are unable to upload files, please consult with your organization's administrator or IT department. It is possible that the issue may be caused by your organization's firewall or security settings.

Single Audits FTP Instructions (continued)

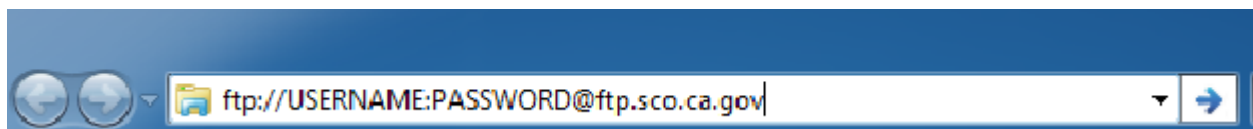
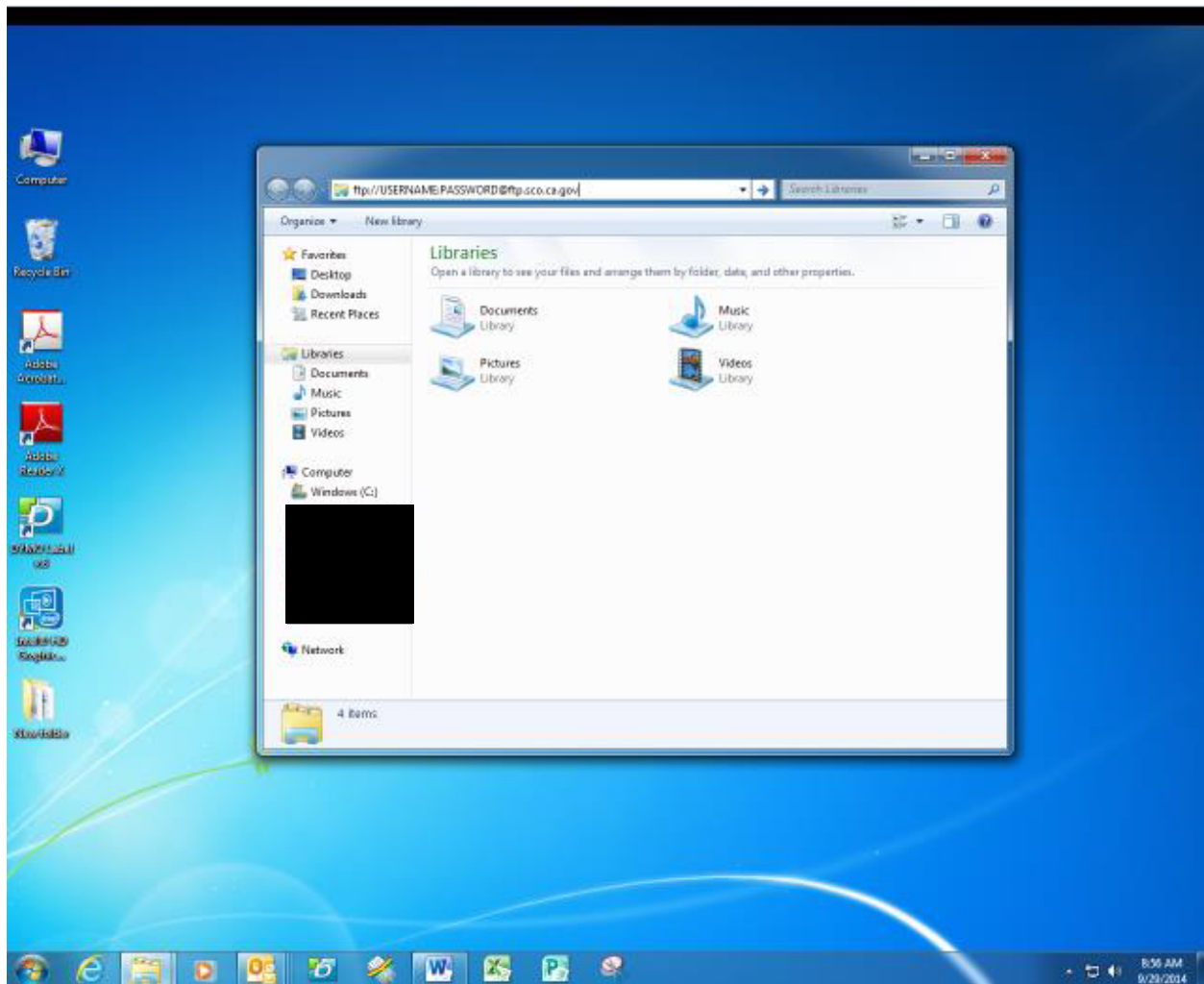
Using Windows Explorer, follow these easy steps:

Step 1. Right click on your Start button and choose Explore. Windows Explorer will open and appear like the example below.



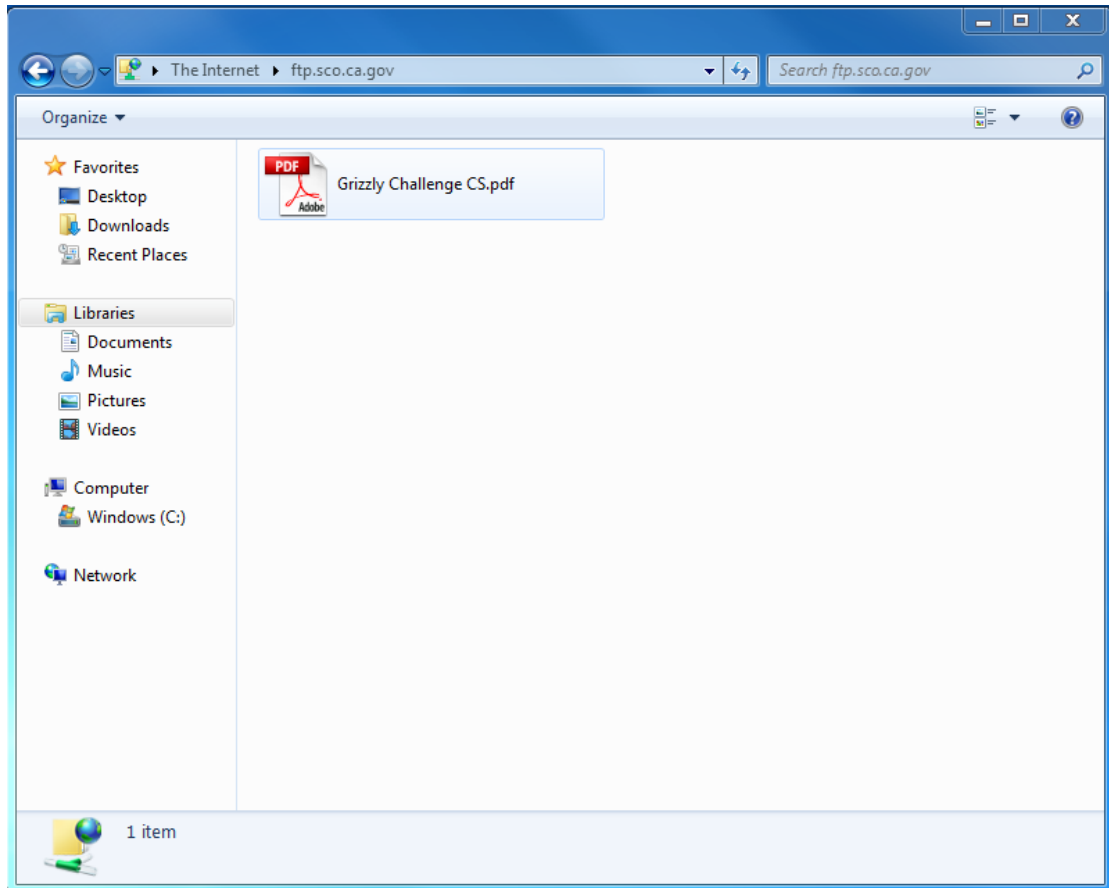
Single Audits FTP Instructions (continued)

Step 2. Type in the URL address **ftp://username:password@ftp.sco.ca.gov** on the address line. Replace the word **username** and the word **password** in the example above with the actual username and actual password.



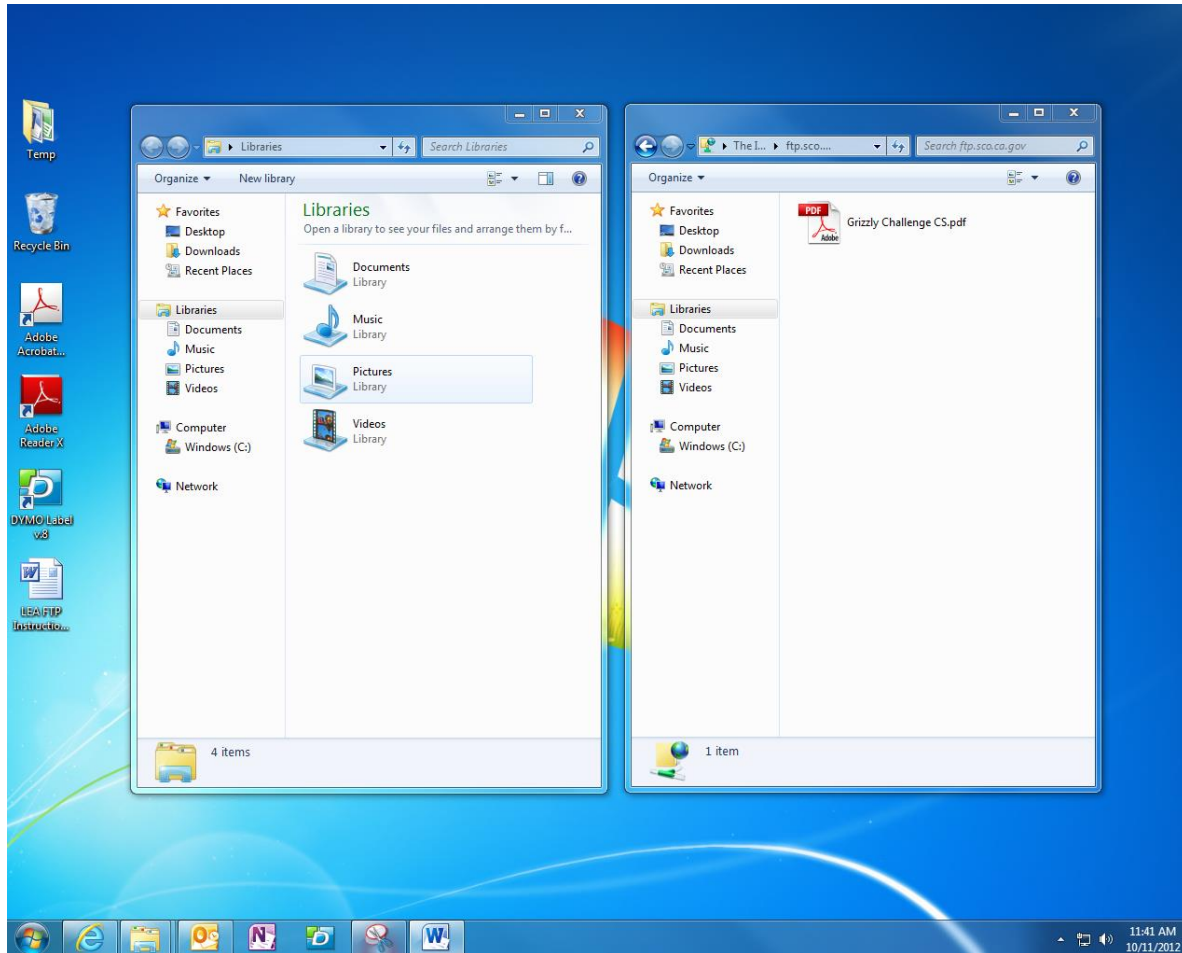
Single Audits FTP Instructions (continued)

Once logged on, your browser will look like the example below. If existing files are present they will appear in the screen, otherwise the screen will be blank.



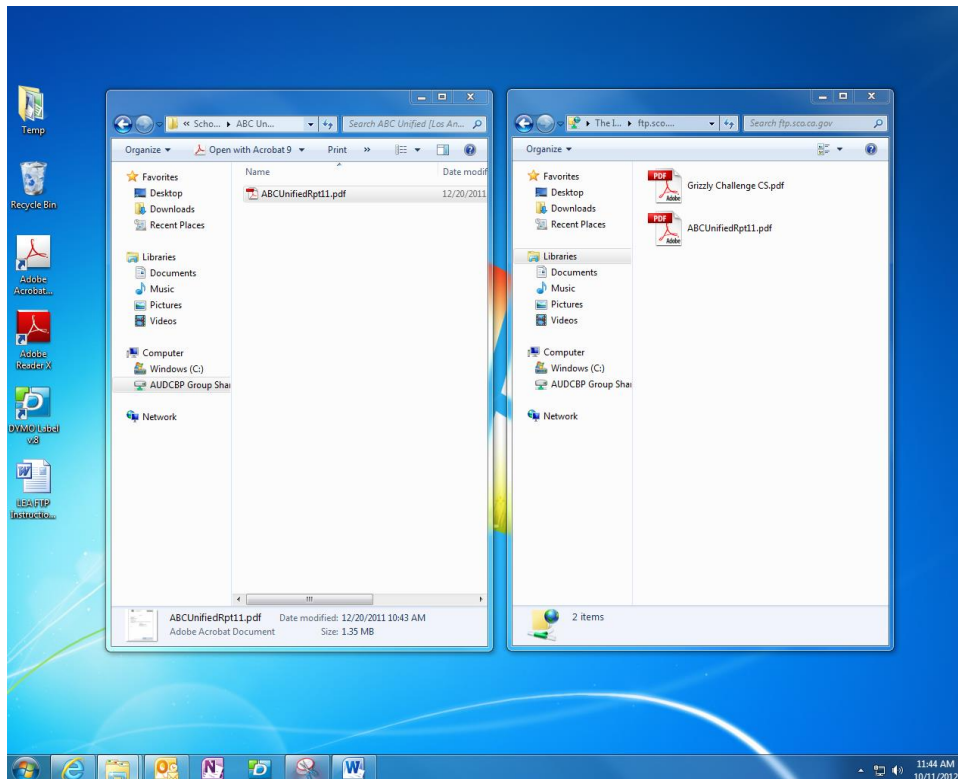
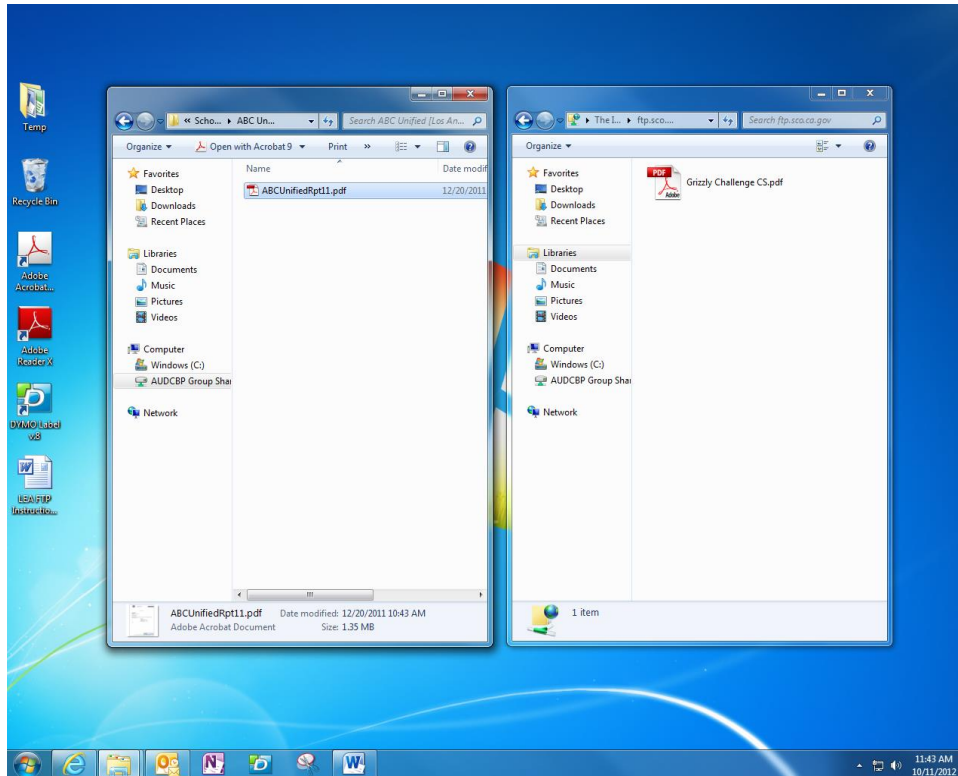
Single Audits FTP Instructions (continued)

Step 3. Once you have accessed the FTP site, locate the file that you want to transfer by opening a second Windows Explorer window.



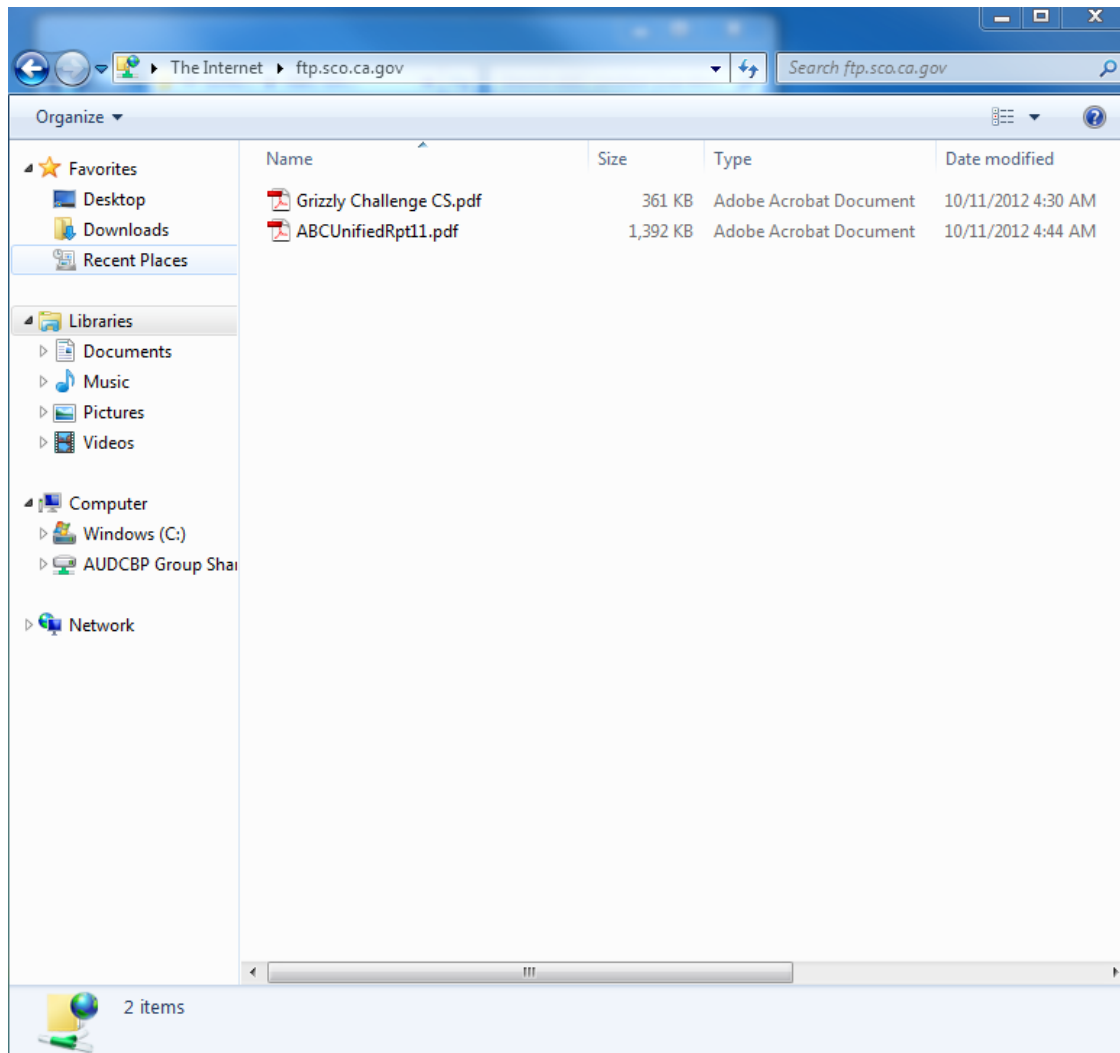
Single Audits FTP Instructions (continued)

Right mouse click on the file, and select "Copy". Click on the FTP page as opened in Step 2, right mouse click on the page, and select "Paste". Your file will be copied to the FTP site. Alternatively, you may "drag-and-drop" the file(s) from Windows Explorer to the FTP page.



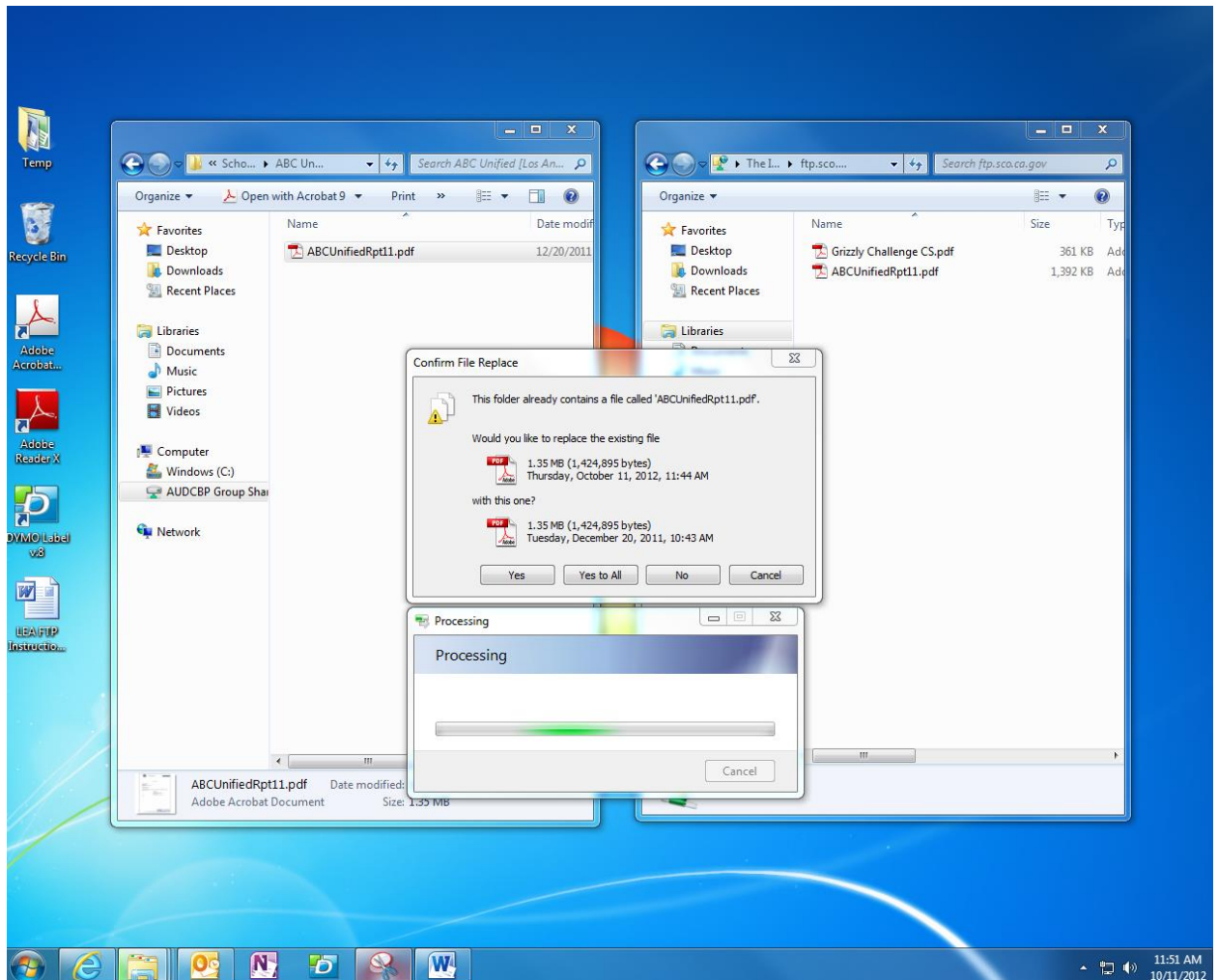
Single Audits FTP Instructions (continued)

Once transferred, you will be able to see that the file exists on the site. This is your confirmation that the file was transferred successfully. Take a screen shot for your records. Be sure to include the URL, date and time in your screen shot. **Please do not contact SCO for confirmation of receipt.** Do not attempt to delete, move or open any of these files. Access to this area is restricted to viewing the list of files, and adding a new file.



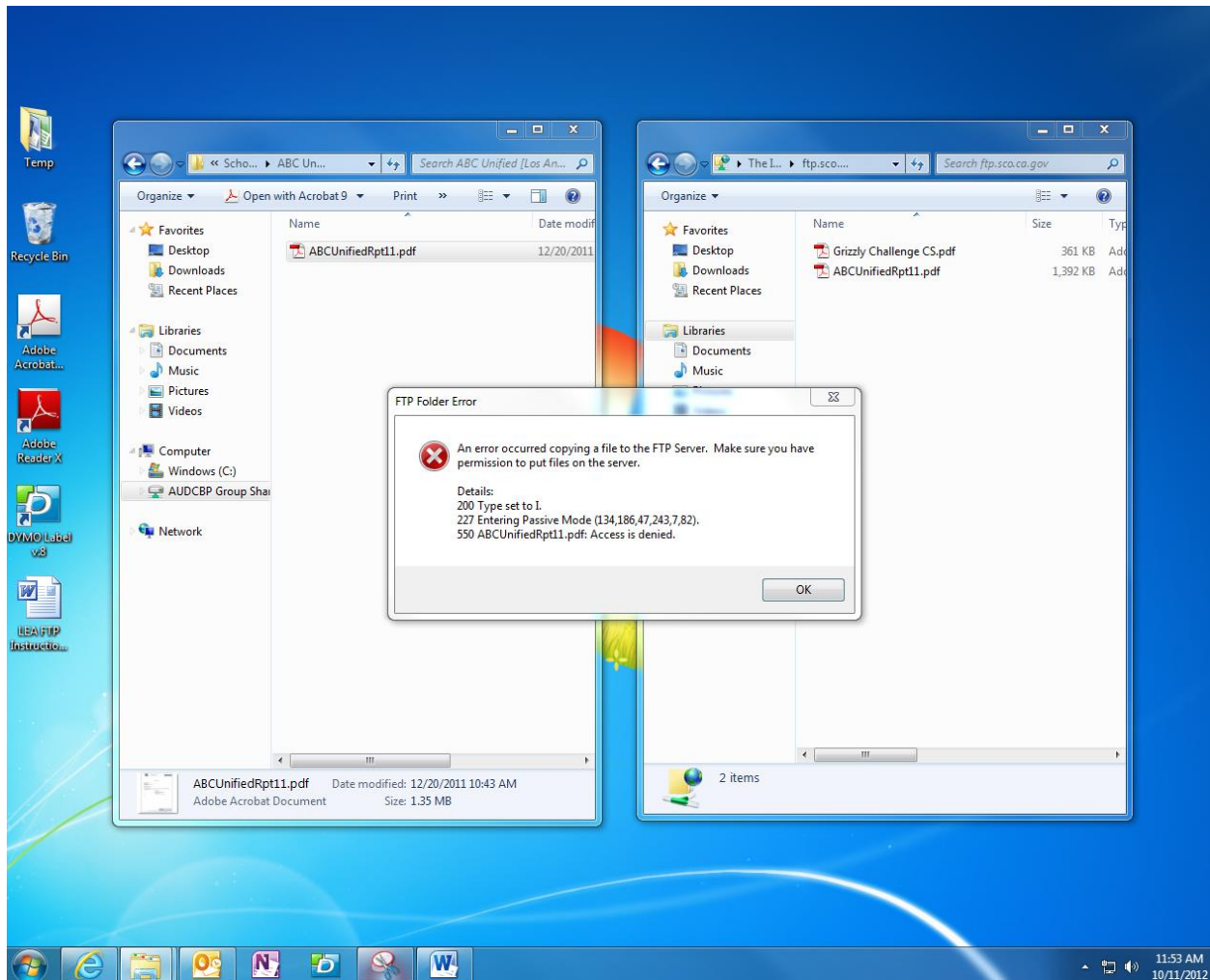
Single Audits FTP Instructions (continued)

Duplicate files cannot be placed on the FTP site. If you attempt to transfer a duplicate file, you will receive a message asking if you would like to replace the existing file as shown in the example below.



Single Audits FTP Instructions (continued)

If you select yes or yes to all you will receive an error message.



If you need to resubmit a report, the FTP site is "swept clean" twice daily—once in the morning and once in the afternoon. After the site is swept, you may resubmit a revised report, if necessary.

AOL users must utilize the FTP program within AOL, as AOL will not allow the drag-and-drop steps outlined above.

Single Audits FTP Instructions (continued)

REQUIREMENTS

- The file you submit should be submitted as an **UNSECURED PDF**.
- If submitting a transmittal letter with your report, please do not submit the transmittal letter as a separate file. Include the transmittal letter as the first page of your audit report and submit it as one file.
- *Please upload each report separately. Do not combine the reports together as one PDF and submit as one file. This may cause your submission to appear incomplete and cause delays.*
- The file name must follow the naming convention as outlined below.

Cities

Entity Name + Report Type + Fiscal Year End (last two numbers only) + Extension type.

For example: City of Los Angeles should read: **LosAngelesSAR16.pdf**

Counties

Entity Name + the word "County" + Report Type + Fiscal Year End (last two numbers only) + Extension type.

For example: County of Alameda should read: **AlamedaCountySAR16.pdf**

Special Districts

Entity Name (can abbreviate if long) + Report Type + Fiscal Year End (last two numbers only) + Extension type.

For example: San Bernardino Associated Governments should read:
SanBernardinoAssociatedGovernmentsSAR16.pdf OR
SanBernAssocGovSAR16.pdf

Use the list below for the correct Report Type abbreviation:

Comprehensive Annual Financial Report w/ no SAR included = **FSR**
Comprehensive Annual Financial Report w/ SAR included = **CombRpt**
Audited Financial Statements = **FSR**
Audited Financial Statement and SAR combined as one report = **CombRpt**
Single Audit Report = **SAR**
Management Letter = **MgtLtr**
Notification of Exempt Status Letter = **ExLtr**
Corrective Action Plan = **CAP**
Prior Year Audit Findings = **PYAF**

Single Audits FTP Instructions (continued)

The username and password to access the SA FTP account is provided in the Single Audit Advisory Notification Letter and the Single Audit Reminder Letters. The notification letter is mailed out annually in September-October to CPA firms that are active to conduct single audits and to local government entities. The reminder letters are mailed out annually at the end of December and February to local government entities.

You may contact SCO's Single Audits Oversight Unit via email to request the username and password if needed. The Username and password can either be sent via encrypted email or by mail to the address on file. For security reasons, the SCO is unable to provide the Username and Password to you via phone.

It is important that you keep your contact information updated with SCO. You may update your address at any time by emailing SCO's Single Audits Oversight Unit with your information.

Please email all questions and requests to the Single Audits Oversight Unit at:
singleaudits@sco.ca.gov