



# GATEWAY HOW TO: MONTHLY & ANNUAL UPLOADS

2020 Newly Elected Auditor Training




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**STATE OF INDIANA**  
AN EQUAL OPPORTUNITY EMPLOYER

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**AMENDED STATE EXAMINER DIRECTIVE 2018-1**

Date: November 9, 2020  
 Subject: Monthly and Annual Engagement Uploads  
 Authority: IC 5-11-1-2, -4, -9, -10, -21, -24  
 Application: This Directive applies to all local governmental units  
 From: Paul D. Joyce, CPA, State Examiner

The purpose of this Directive is to provide guidelines for the use of the "Indiana Gateway for Government Units" application entitled "Monthly and Annual Engagement Uploads" (Engagement Uploads). The Engagement Uploads provide a more efficient and cost-effective audit process for governmental units.


This amended directive is effective starting with December 2020 monthly files. The upload of December 2020 monthly files will be due February 15, 2021, and by the 15<sup>th</sup> of each month thereafter unless the State Board of Accounts (SBOA) establishes a different date. This is effective for 2020 annual files which will be due for upload March 1, 2021, for calendar year and units. For schools and extra-curricular accounts, this is effective for year ending June 30, 2021, which will be due August 29, 2021. Thereafter, annual files must be uploaded no later than March 1<sup>st</sup> (August 29<sup>th</sup> for schools and extra-curricular accounts) for the prior year end unless the SBOA establishes a different date.

All counties, cities, towns, townships, libraries, schools and special districts will use the Engagement Uploads to upload files containing financial and governmental unit information on Gateway to allow the SBOA to conduct audit planning and audit processes prior to on-site work at a unit. This remote process will provide for more efficient data processing and save audit costs for our clients.

A user guide for the Engagement Uploads is available and located at: <https://gateway.inhome.org/users/engagementuploads>. It is pertinent that this user guide be used in conjunction with this Directive. If you have any questions or need more information, please contact the SBOA.

# STATE EXAMINER DIRECTIVE 2018-1

## AMENDED



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# GETTING STARTED

## Ω Access:

- Email [Gateway@sboa.in.gov](mailto:Gateway@sboa.in.gov)
  - 1.Name
  - 2.Position Elected & Unit Name
  - 3.1<sup>st</sup> Day of Term
  - 4.Outgoing Officials Name
  - 5.Outgoing Officials Email (If known)
  - 6.Outgoing Officials last Day of Term



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# LOGIN

➤ <https://gateway.ifionline.org/default.aspx>

## An Open Door into Local Government Finance

Gateway collects and provides access to information about how taxes and other public dollars are budgeted and spent by Indiana's local units of government.

 <p>TIF District Viewer</p>	 <p>Search for reports</p>	 <p>Taxpayer Portal</p>
 <p>Public employee compensation</p>	 <p>Access local expenditures</p>	 <p>When is your budget hearing?</p>

[Local Officials: Login Here >](#)  
Committee on Governmental Finance



About Gateway · Contact Us

Indiana Gateway for Government Units is the collection platform for local units of government to submit required data to the State of Indiana, as well as a public access tool for citizens. It represents a unique partnership between the State of Indiana and the Indiana Business Research Center at IU's Kelley School of Business, with initial support from the Lily Endowment and sustainable support from the State of Indiana.

Participating state agencies currently include the Department of Local Government Finance, the State Board of Accounts, the Indiana Education Employment Relations Board, the Indiana Gaming Commission and the State Auditor.

POWERED BY  
**Information**  
*for Indiana*



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# LOGIN *CONTINUED...*

## INDIANA Gateway for government units

Home About User Guides

The Indiana Gateway for Government Units provides a central commons for local units to submit their financial forms to the State of Indiana.

This site works best in Firefox and Chrome. Internet Explorer is not a supported browser.



**Authorized Personnel Login**

User Name:

Password:

Forgot your password?

Please note: Passwords are CASE sensitive.  
After 5 failed attempts to log in, your account will be locked—notify [ibrctech@iu.edu](mailto:ibrctech@iu.edu).

[Request Authorization to Access Gateway](#)

### Announcements

#### Gateway Reporting Access Authorized User Policy

The local official login portion of Gateway is accessible only by officials directly responsible for entering and submitting reports to the State. Usernames are specific to the person who receives authorization. [Read full policy >](#)

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# FORGOT YOUR PASSWORD?



**Authorized Personnel Login**

User Name:

Password:

**Forgot your password?**

Please note: Passwords are CASE sensitive.  
After 5 failed attempts to log in, your account will be locked—notify [ibrctech@iu.edu](mailto:ibrctech@iu.edu).

[Request Authorization to Access Gateway](#)

Ω If you forgot your password, you can use the “Forgot your password?” link. All you will need is your Username (email address) to reset it your self.

Ω Once you reset your password you will receive an email from [ibrctech@iupui.edu](mailto:ibrctech@iupui.edu) with your new password.



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**Indiana Gateway** for government units

Home About Account Settings User Guides Logout

**Welcome to the Indiana Gateway for Government Units**

As an authorized user, you will have at least one application to use. Each of these applications enables a local unit to submit its required forms, reports or files to the appropriate state agency. Agencies currently include Department of Local Government Finance, State Board of Accounts, Indiana Education Employment Relations Board and Indiana Gaming Commission.

Select Application

Department of Local Government Finance (DLGF)	Deadline
New! Additional Appropriations	Details
Abstract	Details
Assessor Reports	Mar 31
Budgets	Details
Data Entry for CNAV and Form 22	Details
Debt Management	Details
Economic Development Reporting	Sep 30
File Transmission	Details
Other Post-Employment Benefits	Mar 1
SB 131 Reporting for SVMs	Mar 1
TIF Management	Apr 15

State Board of Accounts (SBOA)	Deadline
100R	Jan 31
Annual Financial Report	Details
Monthly and Annual Engagement Uploads	Details
Conflict of Interest Disclosure	15 days after final action on the contract or purchase
E-1 Entity Annual Report	60 days after entity's fiscal year ends
ECA Risk Report	Aug 29

Department of Workforce Development (DWD)	Deadline
CTE Appeals	June 25

Indiana Gaming Commission (IGC)	Deadline
Local Development Agreement	Mar 1

Bureau of Motor Vehicles	Deadline
Ordinance Portal	Sep 1

Indiana Education Employment Relations Board (IEERB)	Deadline
Bargaining Status Form I	Nov 15
Collective Bargaining Reporting	Jul 30
Collective Bargaining Contract Upload	Nov 15
Exclusive Representative Organization Membership Verification	Oct 1

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# USER GUIDE

Ω User Guide Link:  
<https://gateway.ifionline.org/userguides/100Rguide>

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# UPLOADING



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## SELECT MONTHLY AND ANNUAL ENGAGEMENT UPLOADS



State Board of Accounts (SBOA)	Deadline
100R	Jan 31
<a href="#">Annual Financial Report</a>	<input type="button" value="Details"/>
<a href="#">Monthly and Annual Engagement Uploads</a>	<input type="button" value="Details"/>
<a href="#">Conflict of Interest Disclosure</a>	15 days after final action on the contract or purchase
<a href="#">E-1 Entity Annual Report</a>	60 days after entity's fiscal year ends
<a href="#">ECA Risk Report</a>	Aug 29



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# SELECT UNIT AND YEAR

Select Unit

Select Unit from List

Click a link below to select your unit.

[Select a Unit](#) > [Select Year](#)

Unit Code	Unit Name Link	Unit Type	Unit County
9998	<a href="#">Sboa County Unit</a>	COUNTY	sboatest

Select a Year

**2020** This report is open for editing and submission.

**2019** This report is not open for editing and submission. It was last submitted on 6/26/2020 1:44:00 PM.



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# REQUIRED MONTHLY UPLOADS

## Ω Approved Board Minutes

- All boards and commissions that could have a financial impact on the county as a whole

## Ω Funds Ledger

- A report that shows the beginning balance, total receipts, total disbursements and ending balance of each fund as of the end of the month.

## Ω Documentation of Reconciliation of Form 61 between Auditor & Treasurer

- Monthly comparison, notation of variances, and reconciliation of each fund between the auditor's ledger and the treasurer's ledger.



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## REQUIRED ANNUAL UPLOADS

- Ω Detail of Receipt Activity
- Ω Detail of Disbursement Activity
- Ω Current Year Salary Ordinance
- Ω Annual Vendor History Report
- Ω Annual Funds Ledger
- Ω Annual Payroll History Report
- Ω **OPTIONAL** - Data Capture of Receipts & Disbursements



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## TO UPLOAD A DOCUMENT

Select Upload Group	Select File Type	Provide File
January ▼	Approved Board Minutes ▼	<input checked="" type="radio"/> File Upload <input type="radio"/> Web Link <input type="radio"/> No Meeting Upload file ( <i>xls, xlsx, doc, docx, jpg, pdf, gif, tif, png</i> ) <input type="button" value="Choose File"/> No file chosen
		<input type="button" value="Submit"/>

- **SELECT UPLOAD GROUP** – MONTH OR ANNUAL
- **SELECT FILE TYPE** – TYPE OF FILE YOU ARE UPLOADING
- **CHOOSE FILE** – FIND FILE YOU WANT TO UPLOAD ON YOUR COMPUTER
- **SUBMIT** – SUBMIT FILE YOU WISH TO UPLOAD



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# UPLOADED FILE STATUS

Status	2019 Required Uploads	Upload Date	Uploaded By	Download	Delete
✓	<b>January</b> Approved Board Minutes	5/23/2019 1:19:08 PM	sdungan@sboa.in.gov		⊗
	No board meeting was held.	3/17/2020 3:30:32 AM	mdhollin@iupui.edu	↓	⊗
X	<b>Funds Ledger</b>				
	<b>February</b> Approved Board Minutes	5/23/2019 1:20:11 PM	sdungan@sboa.in.gov	↓	⊗
X	<b>Funds Ledger</b>	5/23/2019 1:20:54 PM	sdungan@sboa.in.gov	↓	⊗
✓	Directive 2018-1				
	Directive 2018-1				

- Red X if files are not uploaded
- Green check mark if files have been uploaded
  - File Name
  - Date Uploaded
  - Who uploaded the document
- You can download the document or view it from the screen
- You can also delete the file by hitting the circle with a red x, if you have uploaded the incorrect file



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# SUBMISSION DEADLINES

- January monthly files – March 15th
- February monthly files – April 15th
- March monthly files – May 15th
- April monthly files – June 15th
- May monthly files – July 15th
- June monthly files– August 15th
- July monthly files– September 15th
- August monthly files– October 15th
- September monthly files– November 15th
- October monthly files– December 15th
- November monthly files– January 15th
- December monthly files– February 15th
- Annual files - March 1st for all other units



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# DIRECT REQUEST



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## WHAT IS A DIRECT REQUEST



- Ω Any documents that you must upload in addition to the Monthly and Annual Uploads are called Direct Request Uploads.
- Ω You will receive an email requesting the document to upload.
- Ω This would occur during the audit process.



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Year: 2020

## Monthly and Annual Engagement Uploads

Use the form below to find and upload documents required for audit support. Note: This information is for the State Board of Accounts internal use only and will not be made available on the Gateway Public site.

Description of the desired file	Allow a link instead of a file	Detailed Instructions	Save
<input type="text"/>	<input type="checkbox"/>	<div style="border: 1px solid gray; height: 30px;"></div>	<input type="button" value="Add Request"/>
Requested File	Request Detail	Requestor	Link Delete

**File Upload Status:** The current upload status is viewable in the table below. Any objects with a red X need to be uploaded. To view a previous upload, click on the download icon in the table. To delete a previous upload, click on the delete icon for that record in the status table.

**To upload new files:** Select which set of files need to be uploaded using the Select Upload Group dropdown. Next, select the specific file from the Select File Type dropdown on the right. The user will be able to upload files using the Browse and Upload buttons in the Provide File section. In some cases, an option will appear in the Provide File section allowing a user to provide a link instead of uploading a file. To do this, select the Web Link option and paste the link in the textbox labeled Provide Link.

**To complete the entry:** Click on the button marked Submit. The status table will be updated. Multiple files may be uploaded for each Upload Group and File Type. If a file needs to be reloaded, the user should delete that file from the status table first.



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# CONFLICT OF INTEREST DISCLOSURE



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# SELECT CONFLICT OF INTEREST DISCLOSURE

State Board of Accounts (SBOA)	Deadline
100R	Jan 31
Annual Financial Report	<a href="#">Details</a>
Monthly and Annual Engagement Uploads	<a href="#">Details</a>
<b>Conflict of Interest Disclosure</b>	15 days after final action on the contract or purchase
E-1 Entity Annual Report	60 days after entity's fiscal year ends
ECA Risk Report	Aug 29



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# CONFLICT OF INTEREST DISCLOSURE

Anyone with a username and password can upload a Conflict of Interest Disclosure

Uniform Conflict of Interest Disclosure Statement –

Complete the Upload Disclosure Form

- Name of person filing the disclosure
- Email address of person filing the disclosure
- Government Entity
  - County
  - Unit Type
  - Unit Name
- Upload PDF

## Conflict of Interest Disclosure Statement Upload Tool

The legal requirement for filing disclosures of conflict of interest can be found in the Indiana Code in Title 35 Section 44.1-1-4 (IC 35-44.1-1-4) available at [http://iga.in.gov/legislative/laws/2014/c/titles/035/articles/44\\_1/](http://iga.in.gov/legislative/laws/2014/c/titles/035/articles/44_1/). If you have any questions regarding this law or disclosure, you should contact your attorney for legal advice.

Persons required to file this disclosure with the State Board of Accounts (SBOA) can use the form available at <https://forms.in.gov/Download.aspx?id=8264>. Once you have filled out the form, scan it as a pdf and upload using the tool below. If the Conflict of Interest is on multiple pages, all pages must be in one file, in order and in the correct orientation so that it is readable.

NOTE: All conflict of interest disclosure forms are reviewed internally to verify they are in an acceptable file format before being published to Gateway. Please allow one business day for them to appear on the Conflict of Interest Disclosure Uploads Report. Neither IBRC nor SBOA review the documents for content. It is the responsibility of the user to verify that the document that was submitted is correct and complete.

### Upload Disclosure Form

Name of person required to file this disclosure:

Email address of person required to file this disclosure:

Government Entity Name:

Select county:  Select unit type:  Select unit:

Upload PDF:



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