

USER GUIDE FOR MONTHLY AND ANNUAL ENGAGEMENT UPLOADS

The User Guide for the Monthly and Annual Engagement Uploads is available at www.gateway.ifionline.org. It contains information on accessing the monthly and annual engagement upload application, the upload requirements, how to upload documents, and other information related to the new process required by State Examiner Directive 2018-1.

If you need assistance, please contact one of the following email addresses, as applicable:

For technical problems (e.g. server error messages) contact Indiana Business Research Center (IBRC) at ibrctech@iupui.edu.

For other questions concerning the Monthly and Annual Engagement Uploads, contact gateway@sboa.in.gov.

Below is a list of frequently asked questions from the User Guide for your reference. New questions will be added to the User Guide as necessary.

Frequently Asked Questions

GENERAL

1. **Why must documents be uploaded to Gateway?**

This will allow us to do as much of the audit work as possible remotely which will result in efficiencies and reduced audit costs for you. It is our intent to use the monthly information to more effectively plan our engagements. Additionally, we are required to conduct a risk assessment to plan the priorities of our engagements and the information requested will allow us to more efficiently conduct that risk assessment to better prioritize our engagements. Finally, with monitoring information monthly, we plan to provide better service to you, in which we can identify more quickly when you might need our assistance and we can provide that assistance more timely.

2. **What units are required to upload documents monthly and annually?**

Beginning with the July monthly uploads due September 15, 2018, all cities, towns, libraries, townships and special districts must upload documents on Gateway. Other unit types may be required to do so in the future.

3. **What if I do not upload the documents timely?**

Failure to upload the documents when they are due or in a timely manner may cause delays in completing your audit engagement.

4. **Who is responsible for uploading the documents?**

The users that have edit and submit rights for the Annual Financial Report will be given access to upload the documents. To request or change user access, the official must complete the [Delegation Form](#) and email it to the help desk at gateway@sboa.in.gov. Please note that adding or deleting a user's access to the Monthly and Annual Engagement Uploads will not affect their access to other Gateway applications such as the Annual Financial Report or Budget.

5. **What documents must be uploaded each month and when are they due?**

Each month you must upload the bank reconciliation, board minutes and funds ledger. The dates these files are due each month are below:

- 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

6. **I have hand posted or manual records. Am I still required to upload the monthly documents?**

Yes. The monthly documents are still required to be uploaded even if you have manual or hand posted records.

7. **Should the board minutes that are uploaded be approved board minutes?**

Yes. Since you have two months to upload the board minutes, you should be able to upload the approved minutes.

8. **If the board does not meet monthly and the board minutes will not be approved by the due date, should I upload the minutes that haven't been signed by the Board President and Secretary?**

Yes, you can upload minutes that have not been signed. But once you have the signed version, you should upload the signed minutes.

9. **The April board minutes were approved at the June board meeting. Under which month should they be uploaded?**

The board minutes should be uploaded under the month the meeting took place, not when they were approved. So they would be uploaded with the April monthly uploads.

10. **What documents must be uploaded once a year and when are they due?**

The documents that must be uploaded annually are the year-end bank statement, year-end outstanding check list, year end investment statements, detail of receipt activity, detail of disbursement activity, current year salary ordinance and annual vendor history report. They must be uploaded by March 1.

11. **I am a city or town that uses manual ledgers. What do I need to copy and upload monthly for the Funds Ledger?**

The City and Town Form No. 206- Clerk-Treasurer's, City Controller's and City Treasurer's Monthly Financial Statement is the prescribed form to use for manually posted records that would be the equivalent of the Funds Ledger. It shows each fund, the beginning of month balance, receipts for the month, disbursements for the month and the end of the month cash balance. A copy of this form can be found in the [City and Town Manual](#) page 6-41. You can scan or take a photo of this page to upload to Gateway.

12. I am a township that uses manual ledgers. What do I need to copy and upload monthly for the Funds Ledger?

The Township Form No. 1C Financial and Appropriation Record is the prescribed form to use for manually posted records that would be the equivalent of the Funds Ledger. It shows a record of receipts, disbursements and balances by fund. Information on this form can be found in the [Township Manual](#) page 3-2. You can scan or take a photo of this page to upload to Gateway.

13. Can only one file be uploaded for each type of document?

No. You can upload as many files as you need to in each category (bank reconciliation, board minutes, etc.)

14. For the annual uploads, what must be uploaded for the bank reconciliation?

The bank reconciliation is **NOT** uploaded as a part of the annual uploads. The bank reconciliation is uploaded with the monthly uploads. The bank statement and outstanding checks are uploaded as a part of the annual uploads. Copies of checks and other information are not required to be uploaded. For more information, see the [Annual Uploads](#) section.

15. Are the documents uploaded through this Gateway application available to the public?

No. The documents uploaded in this application are for the State Board of Accounts use only and are not available to the public on the Gateway public website.

16. If our financial statements are audited by a firm other than the State Board of Accounts, do the same upload requirements apply?

At this time, there are no blanket exceptions for units audited by a private CPA firm; however, exceptions may be granted on a case by case basis. If you have an exception you wish to have considered, please email procuredaudits@sboa.in.gov. SBOA will continue to evaluate this process and may add blanket exceptions as appropriate.

17. If I have problems or questions, who should I contact?

For technical problems (e.g. server error messages or problems saving data), contact Indiana Business Research Center (IBRC) at ibrctech@iupui.edu. For all other questions, contact gateway@sboa.in.gov.

COMPUTER ACCESS

18. Will I need to purchase or install any computer software?

No, the Gateway application is accessed through the internet. All you will need to access the application is an internet browser such as Google Chrome, or Mozilla Firefox. A web browser is already installed on most computers. You should be able to use the same web browser that you used to enter your Annual Financial Report or Budget for DLGF. Microsoft Internet Explorer and Edge are not supported or recommended to use on Gateway.

19. Do I need to have internet access?

Yes, you must have internet access to use the Gateway. A high speed internet connection will be faster than a dial-up connection.

20. What if I don't have a computer or internet access?

Government entities without computers or internet access can find free internet service at any campus of Indiana University or Ivy Tech, which are partnering with the State to provide temporary access to government officials without computers. In addition, most libraries will have public access computer terminals.

21. How do I access Gateway?

The web address is <https://gateway.ifionline.org/login.aspx>.
User Name and Password

22. How do I obtain a User Name and password to login?

You will use the same User Name and password that you used for submitting your Budget and/or Annual Financial Report. If there has been a change in the responsible official since the Budget or Annual Financial Report was submitted, request a User Name and password by sending your name, title, e-mail address, local unit name, and county to gateway@sboa.in.gov.

23. Can my User Name and password be shared with others in my office? If not, what do I need to do to obtain access for them?

Each person that needs access to Gateway should have their own User Name and password. For additional information, see the [User Policy](#). If you want to add a new user or delete a user's access, fill out the [Limited Delegation of Authority Form](#). Please note that deleting a user's access to the Monthly and Annual Engagement Uploads will not affect their access to other Gateway applications such as the Annual Financial Report or Budget. Contact DLGF at gateway@dlgf.in.gov to delete a user's access to their applications.

24. What is my password?

Your password is the same one you use when accessing Gateway to submit your Annual Financial Report, Budgets, etc. If you recently requested access, your new User Name and password should have been emailed to you.

25. My password will not work and the "forgot password" function will not recognize my User Name. How can I get my password reset?

Any user that incorrectly enters a password 5 times will be locked out of the Gateway system and will need to contact SBOA at gateway@sboa.in.gov to have their User Name unlocked and/or their password reset. Be sure to include the local unit name and county of the unit in your e-mail.

26. How do I change my password?

To change your password, you must first login in with your current User Name and password. Click on "Account Settings" which is located under the Gateway heading. Scroll to the bottom of the Account Settings screen and click on the Change Password link.

27. What are the password requirements?

Passwords must be at least seven characters long.

28. How long can I be inactive before being timed out of the Gateway system?

For security purposes and to limit resource usage, after 20 minutes of inactivity the Gateway system will time out. To resume work, you will need to re-enter your User Name and password.

CREATING DOCUMENTS**29. What file formats are acceptable to upload?**

You can upload Excel files (.xls or .xlsx), Word files (.doc or .docx), Adobe Acrobat files (.pdf) and picture files (.jpg, .png, .tif or .gif). If your document is not in one of these file formats, you will need to convert it to an acceptable format. If you are downloading the document from a computerized accounting system, Excel (.xls or .xlsx) is the preferred file type.

30. If I only have a hard copy, can I mail the documents?

No, we can't accept hard copies of these documents. If you do not have a scanner, there are many businesses that will provide this service for a small fee such as Staples, Office Depot, Kinko's, etc. You can also ask your local library or County Auditor for assistance.

31. Is there a limit on the size of the files?

We prefer that the files are not larger than 20 MB. If you have a file that is larger than 20 MB, please email the help desk at gateway@sboa.in.gov for assistance.



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STATE EXAMINER DIRECTIVE 2018-1

Date: July 30, 2018

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 establish procedures and a timeline for the use of the "Indiana Gateway for Government Units" application entitled "Monthly and Annual Engagement Uploads" (the Upload App). The Upload App will provide a more efficient and cost-effective audit process for governmental units.

Beginning with July 2018 files, which will be due September 15, 2018, **all** cities, towns, townships, libraries, and special districts will use the Upload App to upload files containing financial and governmental unit information on Gateway to allow the State Board of Accounts (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. Counties and school corporations will upload January 2019 files beginning in March 2019.

The following files and governmental unit information are required to be uploaded monthly:

- Bank reconcilements
- Approved board minutes
- Funds ledger, summarizing total receipts, disbursements, and balances by fund

In order to improve planning for the next engagement, a unit is encouraged to upload prior months' files beginning with the January 2018 files. Thereafter, monthly files must be uploaded no later than the 15th day of the second succeeding month, i.e., August monthly files are due on October 15.

The following files and governmental unit information are required to be uploaded annually:

- Year-end bank statement
- Year-end outstanding check list
- Year-end investment statements
- Detail of receipts for the year
- Detail of disbursements for the year
- Current year salary ordinance
- Annual employee earnings record
- Annual vendor history report

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Annual files are due to be uploaded on Gateway no later than March 1, 2019. Thereafter, annual files must be uploaded no later than March 1 for the prior year end unless the SBOA establishes a different date.

In addition to the monthly and annual files, additional records, known as "Direct Request Uploads," must be uploaded when required by the SBOA. This process is discussed in the user guide described below.

SBOA personnel have developed a user guide for the Upload App located at:

<https://gateway.ifionline.org/userguides/engagementguide>. If, after consulting the user guide, you still have questions, please contact the helpdesk at gateway@sboa.in.gov.

Exceptions to certain requirements set forth in this Directive, such as for **manual records**, units audited by private CPA firms, and other exceptions, are discussed in the [user guide](#). Contact information for questions and other help, including a "Frequently Asked Questions" section, is also available on the [user guide](#).

More information is available on the SBOA website by clicking the Political Subdivisions link on the left hand menu and then by selecting the appropriate unit type. Then scroll down and select the Gateway section and the Gateway Upload Application link.

This Directive may be amended from time to time and may be rescinded at any time in writing by the State Examiner or a Deputy State Examiner.


Paul D. Joyce, CPA
State Examiner