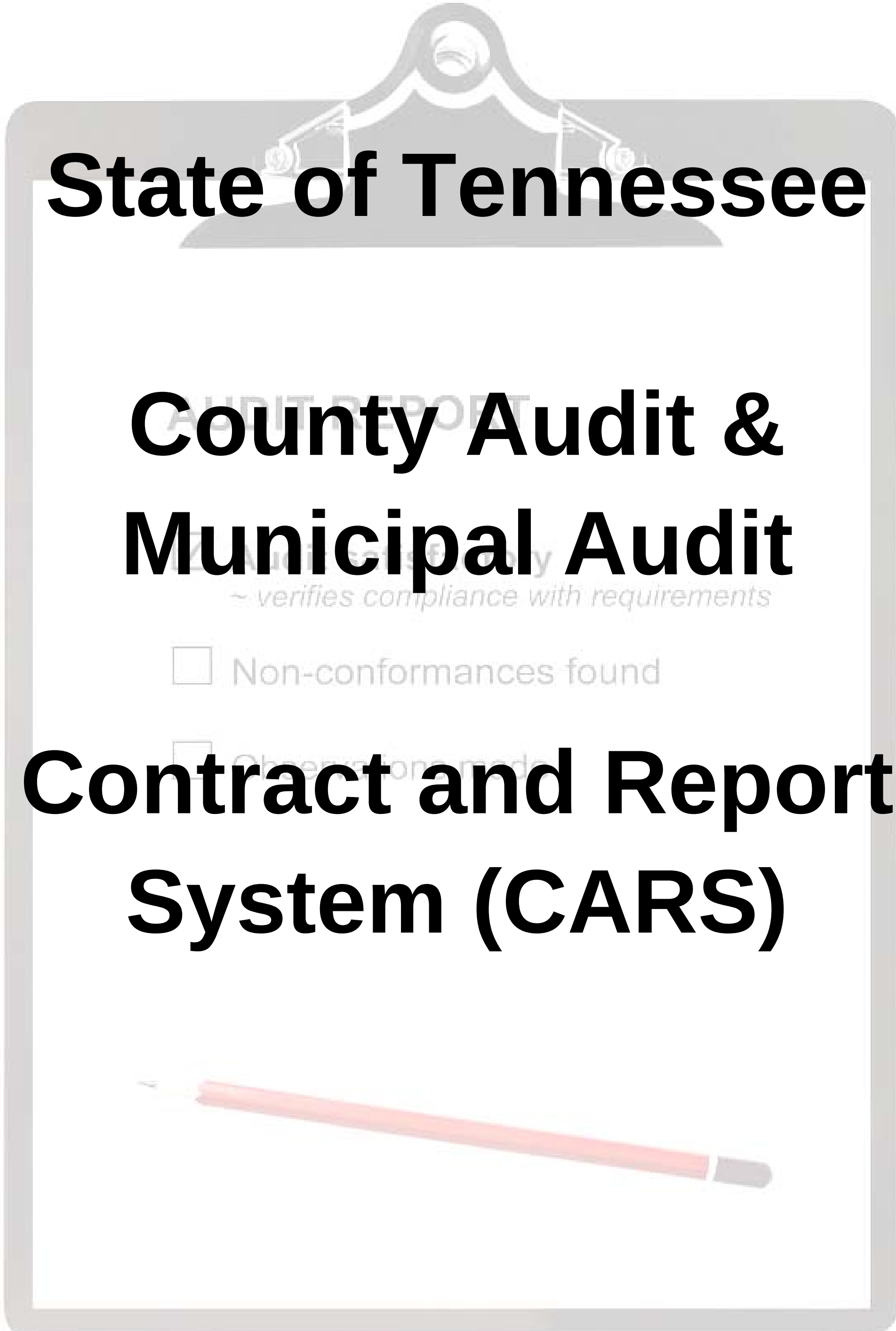
State of Tennessee

County Audit & Municipal Audit

Contract and Report System (CARS)



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Introduction

CARS is a web site made available by the Department of Audit, State of Tennessee. It can be used to create contracts electronically, create amendments to those contracts, and create supplemental contracts. It can also be used to upload audit reports, separate single audits, management letters, cover letters, unaudited financial information, other miscellaneous correspondence or revisions to previously uploaded files.

Everyone who uses the system must set up an account and be approved by the Tennessee Department of Audit. Unauthorized people are not able to view any of the content within the system.

Please note that by submitting any information or files to the Department of Audit, you are certifying that the information is accurate and complete to the extent of your knowledge. In addition, all information because “public” and is subject to the Open Records laws.

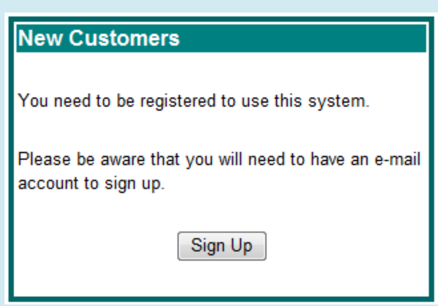
How do I get to the site?

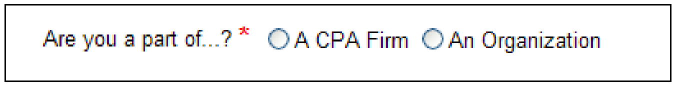
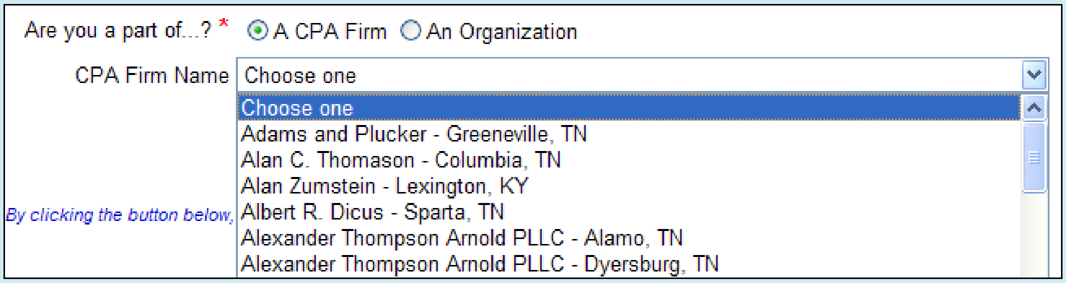
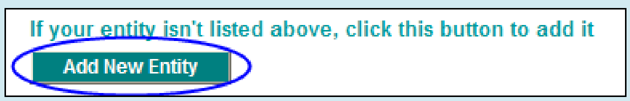
The web site is located at this address: https://www.comptroller1.state.tn.us/RA_Upload

When you go to the site, you will see a welcome page with the options to Log In or Sign Up for a new account.

Request an Account

The first thing you will need to do is request access to the web site by creating an account. Please follow the steps below to do so:

Step	Action
1	To request an account, click the “Sign Up” button from the Welcome page. 

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>2</td><td>Select whether you are a part of a CPA firm or an audited organization.

</td></tr>
<tr><td>3</td><td>A list of entities we have on file will be displayed. Click the list to expand it.

</td></tr>
<tr><td>4a</td><td>If the name of your business is in the list, click it. You'll notice that a form containing the information we have on file for you is displayed.</td></tr>
<tr><td>4b</td><td>If the name of your business is NOT in the list, click the Add New button below the list. You'll notice that a blank form appears.

</td></tr>
<tr><td>5</td><td>When the full form appears, enter or update your information. You can change any of the data. Explanations for each of the fields are in the table below this one.</td></tr>
<tr><td>6</td><td>When you have filled out the form, click the Submit Request button. If there are any required fields missing data, they will be displayed in red.

</td></tr>
<tr><td>7</td><td>If the submission was successful, a confirmation screen will be displayed. A confirmation email will also be sent to the contact email address you provided.</td></tr>
<tr><td>8</td><td>When the Department of Audit reviews your request, an email will be sent to the contact email address you provided.</td></tr>
</table>

Required fields are indicated by a red asterisk (*)

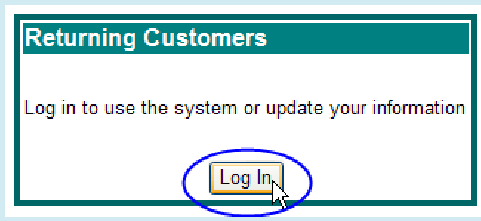
Field	Description
CPA/Organization Name(*)	The name of your business
Your title position(*)	Your title or position within the business
Your name(*)	Your name
Your salutation	Mr., Mrs. Dr., etc.
Your phone number(*)	Your phone number
Your fax number	Your fax number
Your email address(*)	Your email address
Address 1(*)	The address of your business

Field	Description
Address 2	Additional address information for your business
City(*)	The city your business is located in
State(*)	The state your business is located in
Zip(*)	The zip code of your business
Company phone number(*)	The primary contact phone number for your business (can be same as your phone number if there is no company phone number)
Company email (*)	The primary email address for your business (can be the same as your email, if there is no company email)
Company email 2	Note: CPAs only A second email for your business, if applicable
Company email 3	Note: CPAs only A third email for your business, if applicable
Email for Final Contract Alerts	If people within your business want to be notified when contracts have been signed by all parties (CPA, Organization, Dept of Audit), enter those here. Separate email addresses with a semi-colon if entering more than one.
Why are you registering? (*)	Indicate the reason you want to use the CARS system
Peer review date	Note: CPAs only The date of your company's last peer review.
Reason that peer review has not been completed	Note: CPAs only If you haven't entered a peer review date, enter the reason.
Fiscal Year End(*)	Note: Organizations only The month and day of your organization's fiscal year end
User Name(*)	Can be any characters up to 30 in length
Password(*)	Can be any characters, and must be between 8 and 20 in length
Verify Password(*)	Retype the password to verify you entered it correctly

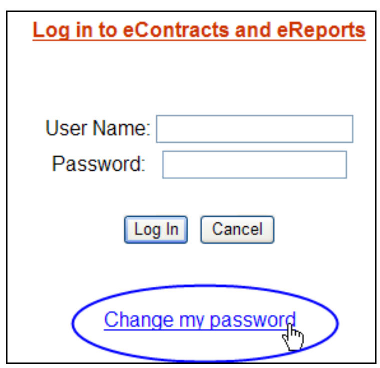
CPA Note! Even if you request an account and it is approved, you will not be able to use the system until you have a peer review on file with our office. You may be granted provisional access if you have a pending peer review, but you will need to coordinate with us in advance.

Log In

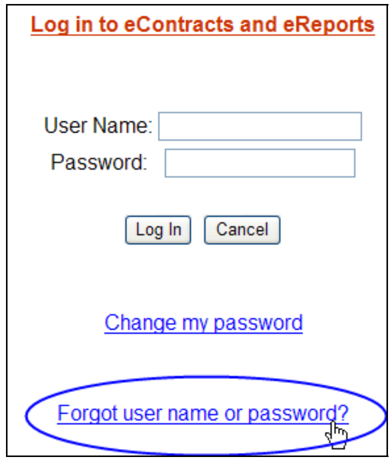
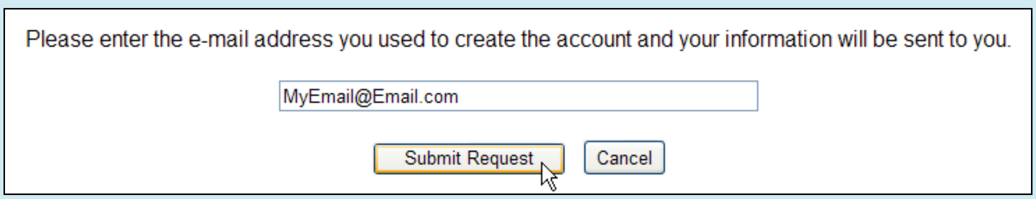
After you receive an email from the Department of Audit that your account has been approved, you are able to log in to the CARS web site.

Step	Action
1	Click the “Log In” button from the Welcome page. 
2	Enter your user name and password
3	Click the Log In button

Change your password

Step	Action
1	Click the “Log In” button from the Welcome page.
2	Click the “Change my password” link on the next page 
3	Enter your user name and new password twice (to verify it was entered correctly)
4	Click the Change Password button

If you forget your user name or password

Step	Action
1	Click the "Log In" button from the Welcome page.
2	Click the "Forgot user name or password?" link on the next page 
3	Enter the primary email address you used to set up the account 
4	Click the Submit Request button
5	An email will be sent to that address with the user name and password a few minutes later

Modify My Account

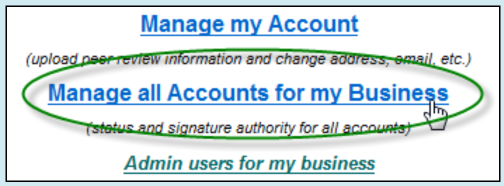
If you need to update any of the information for your account, please follow the steps below.

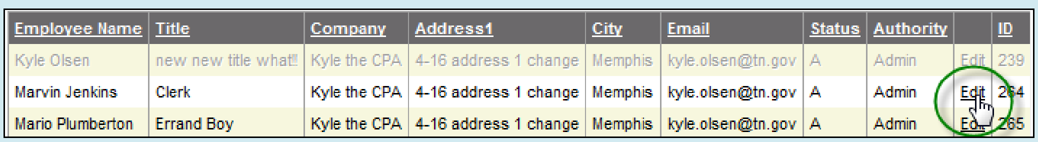
Step	Action
1	Log in to the web site
2	From the Main Menu, click the Manage my Account link 
3	The fields that you can change are displayed on the screen
4	When you have finished your changes, click the Submit Request button. If there are any required fields missing data, they will be displayed in red.
Note!	Refer to the Request an Account section of this document for descriptions of the fields
Note!	When you click the Save Changes button, it may take a day or two for the Department of Audit to reflect the update – it is not instantaneous.
5	You can click the Cancel button to return to the Main Menu without saving your changes
Note!	When you change any information for your business, if there are any other people who also have accounts for that business, the changes you made will also be applied to them. It is assumed that everyone from a company will have the same company information. Your contact information will remain unchanged.

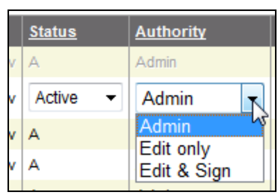
Manage the accounts for my business

If you have the authority to do so (that is, if you are an admin user), you can see all of the people who have accounts for your company, you can change their authority level, or you can change whether they are active or inactive.

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1</td><td>From the Main Menu, click the “Manage all Accounts for my Business” link

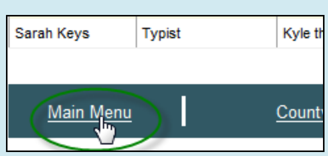

</td></tr>
<tr><td>2</td><td>The list of people from your company who have accounts in CARS is displayed in a list.</td></tr>
<tr><td>3</td><td>To change their authority level or their status, click the Edit link


</td></tr>
<tr><td>4</td><td>Change the authority level or status by selecting the value from the drop down lists that display


</td></tr>
<tr><td>5</td><td>Click the Update button to commit the change.

You can also click the Cancel button to return to the default view without saving any changes.</td></tr>
<tr><td>Note!</td><td>You can click the column headers to sort the table by that value

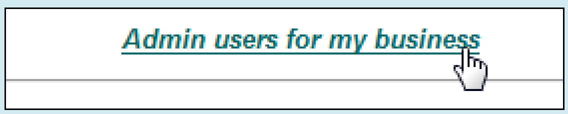

</td></tr>
<tr><td>6</td><td>Click the Main Menu link at the bottom of the page to return


</td></tr>
</table>

Note!	**Authority Level Descriptions** Admin users can create contracts, sign contracts, upload reports and manage users Edit Only users can create contracts and upload reports Edit & Sign users can create contracts, sign contracts, and upload reports **Status Descriptions** Active users can access the system Inactive users cannot access the system
Note!	When a new account is created, it is set up with Administrative authority by default. It can be changed if necessary.

View the admin users for my business

You can see a list of all of the people in your business designated as “Admin” level.

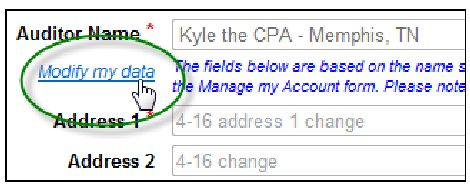
Step	Action
1.	Click the “Admin users for my business” link 
2	The list will pop up as a new window

Admin Name	Business	Address1	City	State	Zip	Email	Phone
Kyle Olsen	Kyle the CPA	4-16 address 1 change	Memphis	TN	37243	kyle.olsen@tn.gov	(615) 234-3432
Marvin Jenkins	Kyle the CPA	4-16 address 1 change	Memphis	TN	37243	kyle.olsen@tn.gov	(615) 234-3432

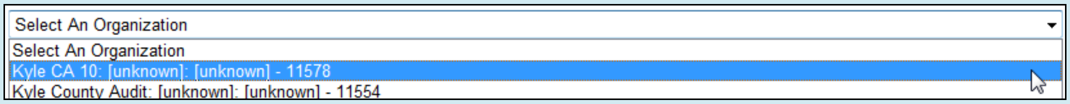
Create a contract

To create an electronic contract, please be aware that your company and the company you wish to create the contract with must have approved accounts for this system.

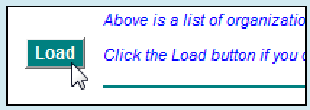
The CARS system works by alerting the parties via email when activities occur. As such, those accounts must have valid email addresses, as well.

Step	Action
1	Click the Create Audit Contract link on the Main Menu 
2	Fill in the contract form. Explanations for each of the fields are in the table below this one.
3	If you are signed in as a CPA, the Auditor data will automatically be filled in based upon your profile. If you are signed in as an Organization, the Organization data will automatically be filled in based upon your profile.
4	If you notice that your information needs to be updated, click the “Modify My Data” link.  Note! If you click this link, you will be taken away from the contract form and you will have to start the contract again.

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>5a</td><td>If you are signed in as a CPA, select the Organization you are contracting with from the drop down list.

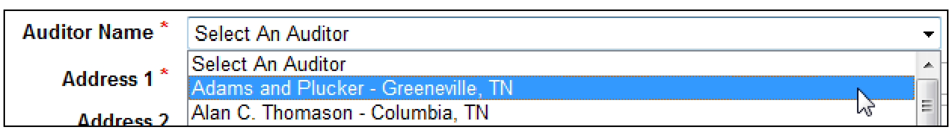


By default, the Organization drop down list is populated with any organizations you have previously audited. If you do not see the organization you want in the default list, click the Load button to view all available organizations.



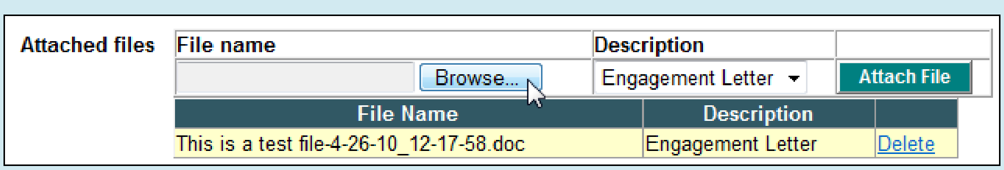
If the organization you are trying to select isn’t displayed in the complete list, they are not in our system. Please have them sign up for an account and they will be added to our system during that process.

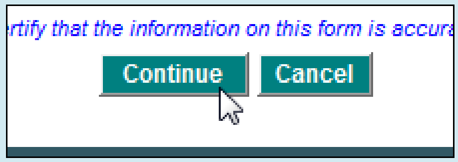
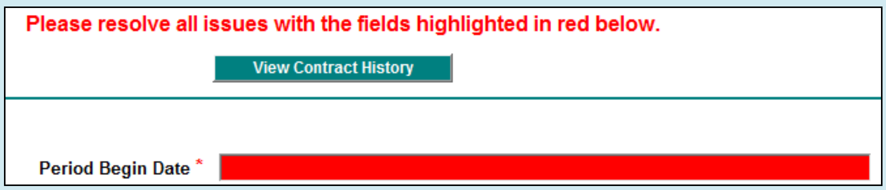
After you select an organization, the fields for that organization will automatically be filled in. You are not able to change the organization’s data. If you notice their information is not correct, please contact them and have them change it.</td></tr>
<tr><td>5b</td><td>If you are signed in as an Organization, select the CPA you are contracting with from the drop down list.



If the CPA you are trying to select isn’t displayed in this list, they are not in our system. Please have them submit a request to add an account and they will be added to our system during that process.

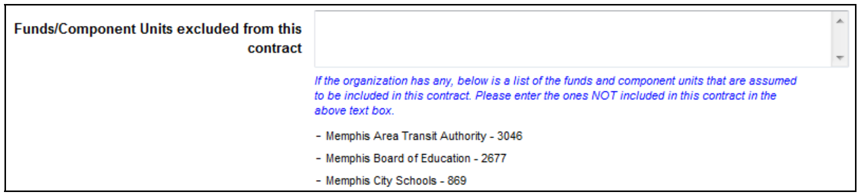
After you select a CPA, the fields for that CPA will automatically be filled in. You are not able to change the CPA’s data. If you notice their information is not correct, please contact them and have them change it.</td></tr>
<tr><td>6</td><td>To attach files, click the Browse… button, navigate through your computer’s folder structure, attach the file, select a Description of the file (either an Engagement Letter or Miscellaneous) and click the Attach File button.


</td></tr>
</table>

Step	Action
6a	After you click the Attach file button, the file will be added to a list, as shown in the example above. If you want to remove the file, click the Delete link next to it. Note! All files you attach will be renamed to include your file's original name and also the date and time it was uploaded. This is done to ensure that all uploaded files have unique names.
7	After you have filled out the contract to the extent you wish, click the Continue button at the bottom of the page to save the contract and display the verification page. 
7a	If there are any data validations errors, the field will be highlighted in red and an error message will be displayed at the top of the page. 

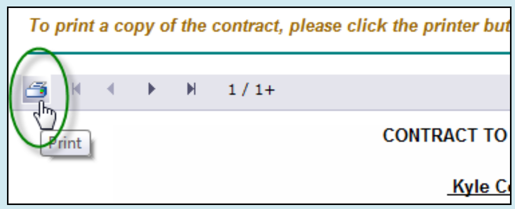
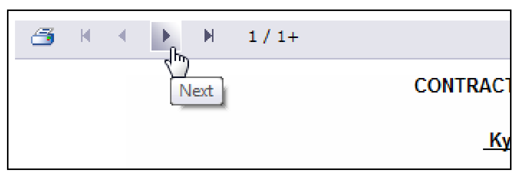
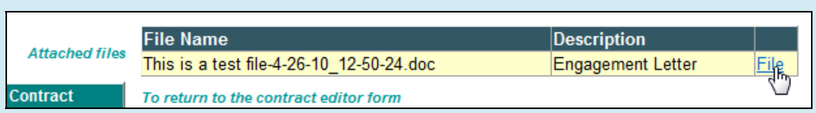
Required fields are indicated by a red asterisk (*)

Field	Description
Period Begin Date(*)	Beginning date of Audit Period
Period End Date(*)	Ending date of Audit Period.
Division Responsible(*)	Whether the contract will be under the purview of County Audit or Municipal Audit
Auditor Name(*)	The name of the CPA firm
Address 1(*)	The address of the CPA firm (read only)
Address 2	A second address of the CPA firm (read only)
City(*)	The CPA firm's city (read only)
State(*)	The CPA firm's state (read only)
Zip(*)	The CPA firm's zip code (read only)
Email(*)	The CPA firm's primary email address (read only) Note! If the CPA firm does not have an email address associated with their account, a contract cannot be created with them.
Organization Name(*)	The name of the organization
Address 1(*)	The address of the organization (read only)
Address 2	A second address of the organization (read only)
City(*)	The organization's city (read only)
State(*)	The organization's state (read only)
Zip(*)	The organization's zip code (read only)

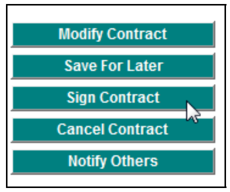
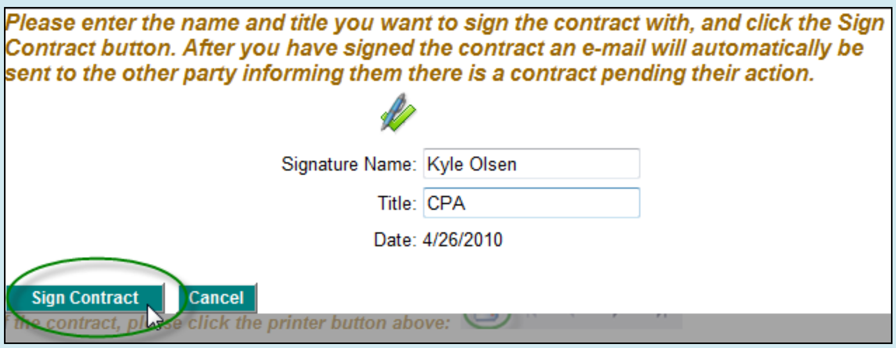
Field	Description
Email(*)	The organization's email address (read only) Note! If the organization does not have an email address associated with their account, a contract cannot be created with them.
Funds Excluded	If the organization has any funds or component units, they will be displayed in a list below this field:  The list is based on the relationships we have on file. Enter the names of the funds/component units to be excluded from this contract. If this field is blank, it is assumed that all funds/component units are a part of this contract.
Date of Agreement(*)	The date the contract was created.
Expected Report Date(*)	The date the audit report is expected to be filed with the Tennessee Department of Audit.
Number of Copies	The number of copies of the report required to be provided.
Copy Requirements	Any additional requirements associated with the copies to be provided.
Special Provisions	Any other provisions to clarify contract parties' responsibilities (please see related flowchart under the Help link)
Fixed Auditor Fee(*)	The amount of the contract if it is a fixed fee. Either Fixed Auditor Fee or Estimated Gross Fee must have a value – not both.
Estimated Gross Fee(*)	The estimated amount of the contract. Either Fixed Auditor Fee or Estimated Gross Fee must have a value – not both.
Per Diem Schedule(*)	This field is only required if Estimated Gross Fee has a value.
Attached Files	Any file uploaded to the contract.
Additional Comments	Any additional comments or explanations relevant to the contract which you would like to provide to the Department of Audit. Please note, these comments are outside of the contract document.

Contract Verification Page

After a contract has been created, you can use the contract verification page to view a draft of the contract, print a copy of the contract, sign the contract, cancel the contract, and other activities.

Feature	Description
Print contract	Clicking this button will actually open the contract as a PDF, which can be printed from that program. 
Navigate contract pages	The contract is two pages long. To go to the second page or return to the first page, use these navigation buttons. 
View attached files	You can also open attached files. Scroll to the bottom of the page and click the File link next to the file you wish to view. 
Modify contract	Click this button to display the contract in the same format as the create contract page.
Save for later	Click this button to save any progress you've made and return to the main menu
Sign contract	Click this button to display the sign contract pop up window
Cancel contract	Click this button to cancel the contract. Note! Contracts that have already been signed by the TN Department of Audit cannot be canceled using this system. Note! If the contract has already been signed, all parties will be sent emails that the contract has been canceled.
Notify others	Click this button to display a pop up form that can be used to email other people to let them know this contract is on-going.

Sign a contract

Step	Action
1	Go to the contract verification page
2	Scroll down to the bottom of the page. Click the Sign Contract button. 
3	Your name, title, and today's date will be displayed on a pop-up window. You can modify your name and title, if you wish. Click Sign Contract when you're ready to add your digital signature to the contract.  Note! Modifying your information here will NOT update your file. This information will only be used for the signature block of this contract.
4	After you have signed the contract, you'll notice that the Sign Contract button is disabled. Once you have signed a contract, you cannot sign it again. After you sign the contract, the other party will be emailed that they have a contact pending their attention.

Manage contracts

After contracts have been created, they can be accessed via links on the main menu, as explained below.

Using the contract filter links

Manage Audit Contracts

(list of all contracts ~ completed and in-progress)

Number of contracts pending my action: 2

Number of contracts pending action from the second party: 3

Number of contracts pending action from Dept of Audit: 1

Click “Manage Audit Contract” to view a list of all contracts associated with your company.

Click the “Number of contracts pending my action” link to view a list of contracts that await your review and signature.

Click the “Number of contracts pending action from the second party” link to view a list of contracts you have signed, but need to be signed by the other party.

Click the “Number of contracts pending action from the Dept of Audit” link to view a list of contracts that you have signed and that the second party has signed, but needs to be signed by the department of audit.

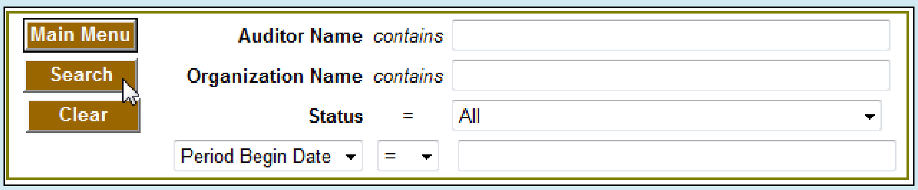
Note! The links above will only be visible if there are any contracts that meet that status.

When any of these links have been clicked, the contract hopper will be displayed, which is explained in the next section.

Using the contract hopper

The contract hopper is a list of contracts that involve your company in some form or fashion. If one of the filter links from the main menu was clicked, that filter will be applied to the hopper results.

The following features are available.

<table>
<tr><th>Feature</th><th>Description</th></tr>
<tr><td>Searching</td><td>You can search within contracts by auditor name, organization name, contract status, or one of the date fields. After you have entered your search criteria, click the Search button to apply it.


Note! Using the search bar will override any link filters applied.

Note! For auditor name or organization name, you can enter only a part of the name and the search will find any matches for it. For example, if you enter “Memphis”, the results will return any contracts that have “Memphis” anywhere in their name.

Note! Click the Clear button to remove any applied search.</td></tr>
<tr><td>Sorting the list</td><td>You can click the column headers to sort the list by that column. Click once to sort in ascending order, click again to sort in descending order.

</td></tr>
<tr><td>Sign Contract</td><td>Click the Sign Contract link to view the contract verification page. From here, you can sign the contract.

Note! If the contract has already been signed by the department of audit, you cannot even view the verification page. The contract is considered locked at that point.</td></tr>
<tr><td>Edit Contract</td><td>Click the Edit link to view the contract details page. From here, you can make changes to the contract.

Note! If the contract has already been signed by the department of audit, you cannot edit the contract. The contract is considered locked at that point.</td></tr>
</table>

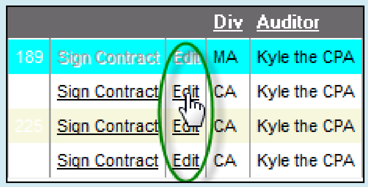
Feature	Description
View Amendments	Click this link to view all amendments associated with the contract. A new window will pop up. Note! This link is only active if the contract has one or more amendments.
Extend the Report Due Date	Click this link to extend the audit report due date. A new window will pop up. Please see that section for details.

Contract hopper column descriptions

Field	Description
Div	The department of audit division responsible for this contract. MA = Municipal Audit. CA = County Audit.
Auditor	The name of the CPA firm.
Org Name	The name of the organization.
Begin Date	The beginning date of the audit period.
End Date	The ending date of the audit period.
CPA Sign Date	The day the CPA firm signed the contract.
Org Sign Date	The day the organization signed the contract.
Audit Sign Date	The day the department of audit signed the contract.
Audit Rpt Rcd	The day the audit report for this contract was received by the department of audit.

Edit a contract

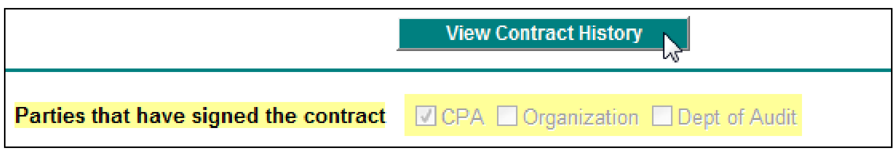
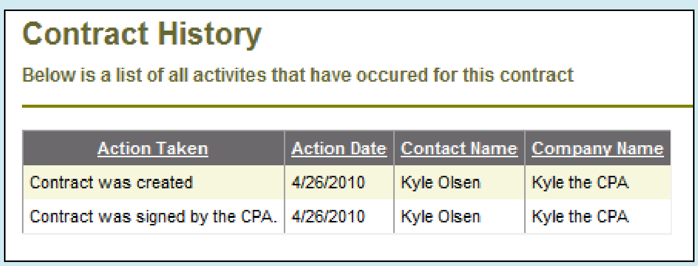
To make changes to a contract, follow these steps.

Step	Action
1	Click the Edit link from the contract hopper 
2	The contract will open in an editable form. Note! If the contract has been signed by at least one party, you will be notified of that fact. Any changes made to a signed contract will result in all signatures being removed and emails being sent to the other party involved.
3	Make whatever changes you wish and click the Continue button at the bottom of the form to continue.
4	The form will validate the data. If there are any errors, the field will be highlighted in red. All errors must be resolved before the changes can be saved.
5	After successful form validation, the contract verification page will be displayed.

View a contract's activity history

An entry will be added to the contract's activity history every time one of these events occurs: Contract created, contract signed, contract canceled, contract rejected (by dept of audit).

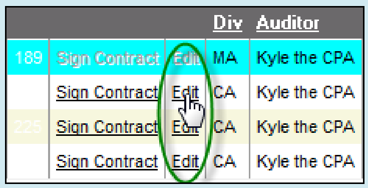
To view the contract's activity history, follow these steps.

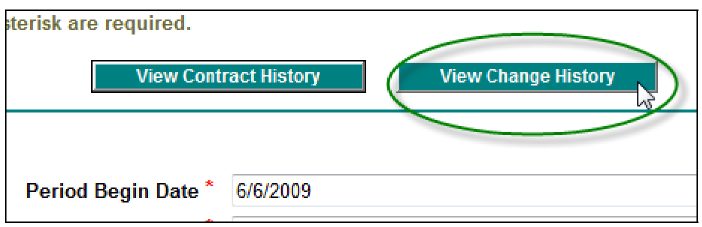
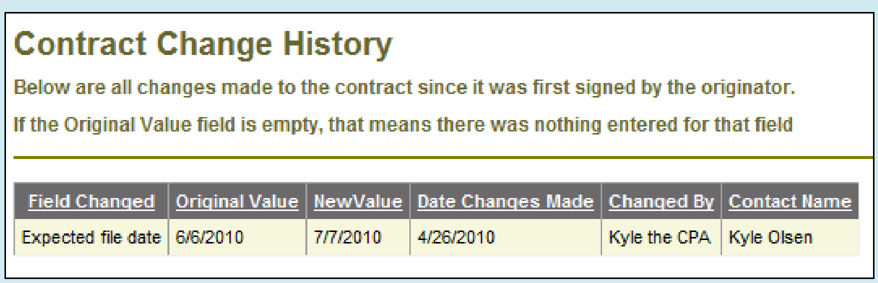
Step	Action
1	Click the Edit link from the contract hopper 
2	The contract will open in an editable form. Click the "View Contract History" button near the top of the form. 
3	A window will pop up displaying each action that has occurred, the date it occurred, the name of the person who performed the action, and the name of that person's company. The results are in the order of the date they happened. 

View a contract's change history

If any changes are made to a signed contract, an entry will be made to the contract's change history. Please note that changes are only tracked for signed contracts.

To view the contract's activity history, follow these steps.

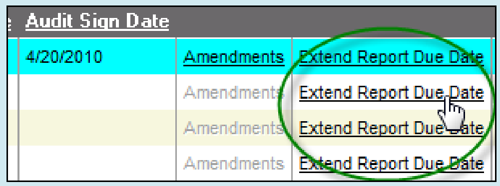
<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1</td><td>Click the Edit link from the contract hopper

</td></tr>
<tr><td>2</td><td>The contract will open in an editable form. Click the "View Change History" button near the top of the form.

Note! This button is only visible if the contract has a change history.

</td></tr>
<tr><td>3</td><td>A window will pop up displaying the field changed, the original value, the new value, the date the change was made, which company made the change, and the name of the person who made the change. The results are in the order of the date they happened.

</td></tr>
</table>

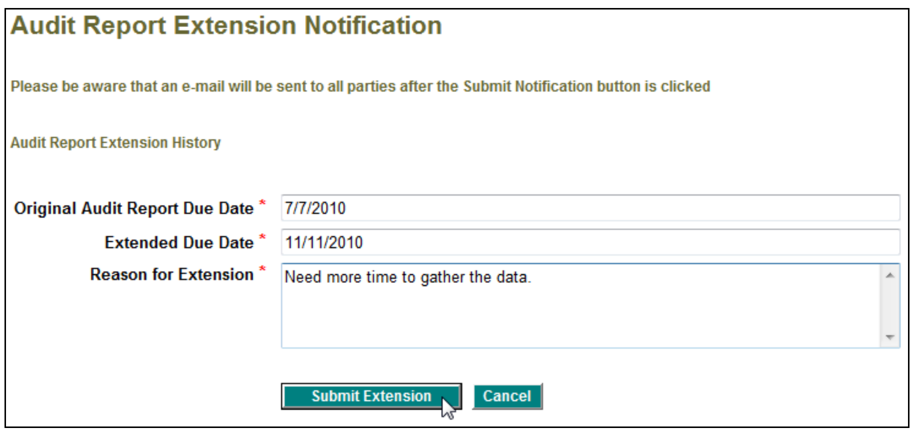
Extending the Audit Report due date

If you need to extend the audit report due date follow these steps.

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1</td><td>Click the Extend Report Due Date link from the contract hopper



</td></tr>
<tr><td>2</td><td>A new window will pop open. Fill out the form and click the Submit Extension button.

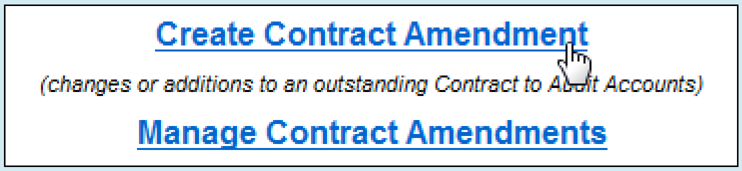
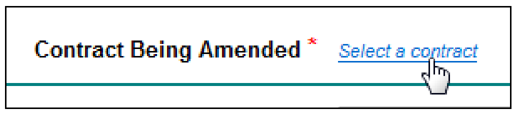
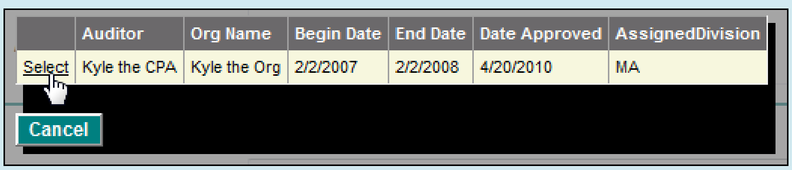
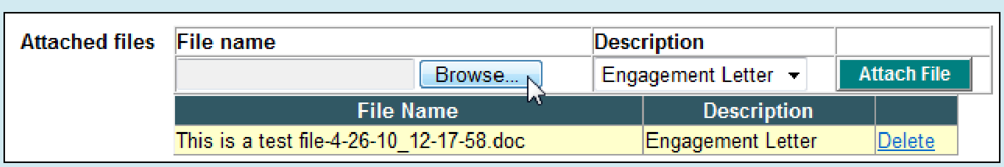


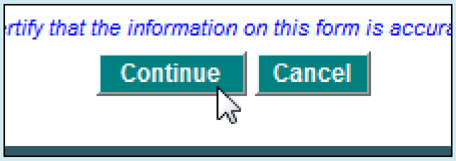
Note! All fields are required. If any fields are missing data when Submit Extension is clicked, they will be highlighted in red.

Note! All parties of the contract will be sent an email that a report due date extension has been submitted.</td></tr>
</table>

Create an amendment to a contract

An amendment can only be created for a contract that has been signed by the originator, second party, and the department of audit. To create an amendment, follow these steps:

Step	Action
1	Click the Create Contract Amendment link on the Main Menu 
2	Click the "Select a Contract" link to display a list of available contracts that can be amended. 
3	A window will pop up with the list of contracts. Click the Select link next to the contract you wish to amend.  Or you can click the Cancel button to return to the amendment form.
4	After you have selected a contract, you'll notice that some fields on the amendment form will be filled in for you from the original contract. Fill in the remainder of the amendment form. Explanations for each of the fields are in the table below this one.
5	To attach files, click the Browse… button, navigate through your computer's folder structure, attach the file, select a Description of the file (either an Engagement Letter or Miscellaneous) and click the Attach File button. 
6	After you click the Attach file button, the file will be added to a list, as shown in the example above. If you want to remove the file, click the Delete link next to it. Note! All files you attach will be renamed to include your file's original name and also the date and time it was uploaded. This is done to ensure that all uploaded files have unique names.

Step	Action
7	After you have filled out the amendment to the extent you wish, click the Continue button at the bottom of the page to save the amendment and display the verification page. 
7a	If there are any data validations errors, the field will be highlighted in red and an error message will be displayed at the top of the page. 

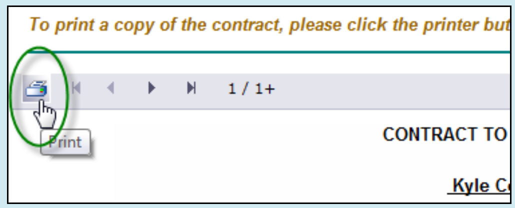
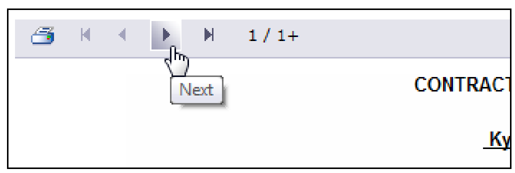
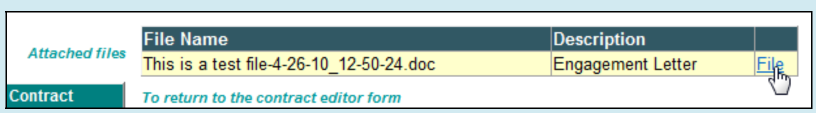
Required fields are indicated by a red asterisk (*)

Field	Description
Contract Being Amended(*)	Displays the contracted CPA, organization, begin date, end date, and the date signed by the department of audit. Read only.
Amendment Number(*)	The number of amendments that have been submitted for the selected contract. This value is automatically generated and is read only.
Amendment Purpose(*)	The reason you are creating an amendment.
Period Begin Date(*)	The beginning date of the amended audit period.
Period End Date(*)	The ending date of the amended audit period.
Division Responsible(*)	Whether the amendment will be under the purview of County Audit or Municipal Audit
Auditor Name(*)	The name of the CPA firm (read only)
Address 1(*)	The address of the CPA firm (read only)
Address 2	A second address of the CPA firm (read only)
City(*)	The CPA firm's city (read only)
State(*)	The CPA firm's state (read only)
Zip(*)	The CPA firm's zip code (read only)
Email(*)	The CPA firm's primary email address (read only)
Organization Name(*)	The name of the organization (read only)
Address 1(*)	The address of the organization (read only)
Address 2	A second address of the organization (read only)
City(*)	The organization's city (read only)
State(*)	The organization's state (read only)
Zip(*)	The organization's zip code (read only)
Email(*)	The organization's email address (read only)
Date of Agreement(*)	The date the amendment was created.
Expected Report Date(*)	The date the audit report is expected to be filed with the Tennessee Department of Audit.
Separate report for findings? (*)	Whether there will be a separate written report for any findings.

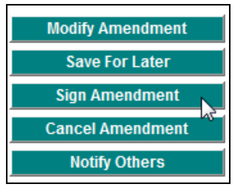
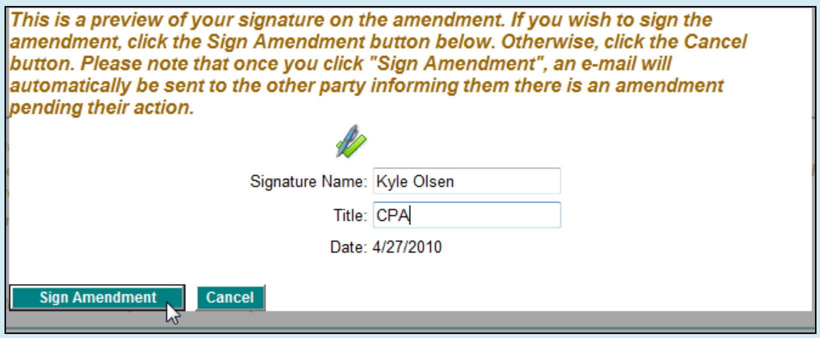
Number of Copies	The number of copies of the report required to be provided.
Copy Requirements	Any additional requirements associated with the copies to be provided.
Fixed Auditor Fee(*)	The amount of the contract if it is a fixed fee. Either Fixed Auditor Fee or Estimated Gross Fee must have a value – not both.
Estimated Gross Fee(*)	The estimated amount of the contract. Either Fixed Auditor Fee or Estimated Gross Fee must have a value – not both.
Per Diem Schedule(*)	This field is only required if Estimated Gross Fee has a value.
Attached Files	Any file uploaded to the contract.
Additional Comments	Any additional comments relevant to the contract.

Amendment Verification Page

After an amendment has been created, you can use the amendment verification page to view a draft of the amendment, print a copy, sign the amendment, cancel the amendment, and other activities.

Feature	Description
Print amendment	Clicking this button will actually open the amendment as a PDF, which can be printed from that program. 
Navigate amendment pages	The amendment is two pages long. To go to the second page or return to the first page, use these navigation buttons. 
View attached files	You can also open attached files. Scroll to the bottom of the page and click the File link next to the file you wish to view. 
Modify amendment	Click this button to display the amendment in the same form as the create contract amendment page.
Save for later	Click this button to save any progress you've made and return to the main menu
Sign amendment	Click this button to display the sign amendment pop up window
Cancel amendment	Click this button to cancel the amendment. Note! Amendments that have already been signed by the TN Department of Audit cannot be canceled using this system. Note! If the amendment has already been signed, all parties will be sent emails that the amendment has been canceled.
Notify others	Click this button to display a pop up form that can be used to email other people to let them know this amendment is on-going.

Sign an amendment

Step	Action
1	Go to the amendment verification page
2	Scroll down to the bottom of the page. Click the Sign Amendment button. 
3	Your name, title, and today's date will be displayed on a pop-up window. You can modify your name and title, if you wish. Click Sign Amendment when you're ready to add your digital signature to the amendment.  Note! Modifying your information here will NOT update your file. This information will only be used for the signature block of this amendment.
4	After you have signed the amendment, you'll notice that the Sign Amendment button is disabled. Once you have signed an amendment, you cannot sign it again. After you sign the amendment, the other party will be emailed that they have an amendment pending their attention.

Manage amendments

After amendments have been created, they can be accessed via links on the main menu, as explained below.

Using the amendment filter links

Manage Contract Amendments

Number of amendments pending my action: 1

Number of amendments pending action from the second party: 1

Number of amendments pending action from Dept of Audit: 1

Click “Manage Contract Amendment” to view a list of all amendments associated with your company.

Click the “Number of amendments pending my action” link to view a list of amendments that await your review and signature.

Click the “Number of amendments pending action from the second party” link to view a list of amendments you have signed, but need to be signed by the other party.

Click the “Number of amendments pending action from the Dept of Audit” link to view a list of amendments that you have signed and that the second party has signed, but needs to be signed by the department of audit.

Note! The links above will only be visible if there are any amendments that meet that status.

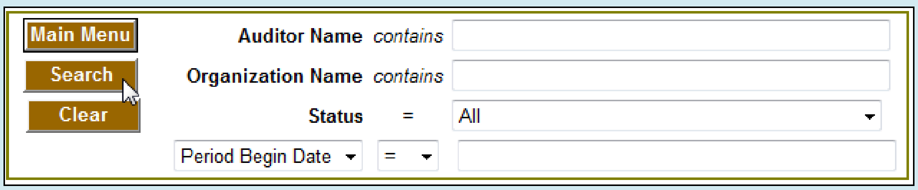
When any of these links have been clicked, the amendment hopper will be displayed, which is explained in the next section.

Using the amendment hopper

The amendment hopper is a list of amendments that involve your company in some form or fashion. If one of the filter links from the main menu was clicked, that filter will be applied to the hopper results.

The following features are available.

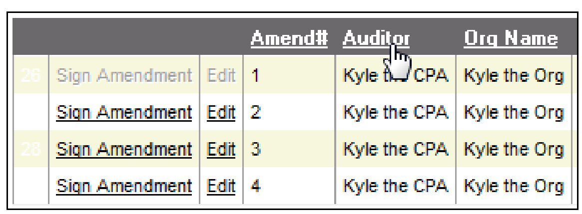
<table>
<tr><th>Feature</th><th>Description</th></tr>
<tr><td>Searching</td><td>You can search within amendments by auditor name, organization name, amendment status, or one of the date fields. After you have entered your search criteria, click the Search button to apply it.



Note! Using the search bar will override any link filters applied.

Note! For auditor name or organization name, you can enter only a part of the name and the search will find any matches for it. For example, if you enter “Memphis”, the results will return any contracts that have “Memphis” anywhere in their name.

Note! Click the Clear button to remove any applied search.</td></tr>
<tr><td>Sorting the list</td><td>You can click the column headers to sort the list by that column. Click once to sort in ascending order, click again to sort in descending order.



</td></tr>
<tr><td>Sign Amendment</td><td>Click the Sign Amendment link to view the amendment verification page. From here, you can sign the amendment.

Note! If the amendment has already been signed by the department of audit, you cannot even view the verification page. The amendment is considered locked at that point.</td></tr>
</table>

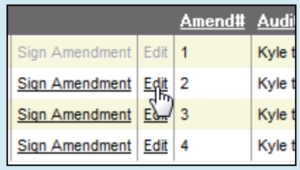
Feature	Description
Edit Amendment	Click the Edit link to view the amendment details page. From here, you can make changes to the amendment. Note! If the amendment has already been signed by the department of audit, you cannot edit the amendment. The amendment is considered locked at that point.
Extend the Report Due Date	Click this link to extend the audit report due date. A new window will pop up. Please see that section for details.

Amendment hopper column descriptions

Field	Description
Amend #	The number of the amendment for a particular contract
Auditor	The name of the CPA firm.
Org Name	The name of the organization.
Begin Date	The beginning date for scope of audit coverage.
End Date	The ending date for scope of audit coverage.
CPA Sign Date	The day the CPA firm signed the contract.
Org Sign Date	The day the organization signed the contract.
Audit Sign Date	The day the department of audit signed the contract.
Audit Rpt Rcd	The day the audit report for this contract was received by the department of audit.

Edit an amendment

To make changes to an amendment, follow these steps.

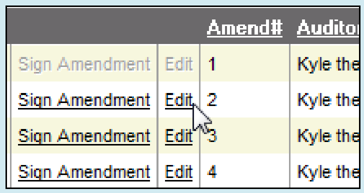
Step	Action
1	Click the Edit link from the amendment hopper 
2	The amendment will open in an editable form. Note! If the amendment has been signed by at least one party, you will be notified of that fact. Any changes made to a signed amendment will result in all signatures being removed and emails being sent to the other party involved.
3	Make whatever changes you wish and click the Continue button at the bottom of the form to continue.
4	The form will validate the data. If there are any errors, the field will be highlighted in red. All errors must be resolved before the changes can be saved.
5	After successful form validation, the amendment verification page will be displayed.

View an amendment’s activity history

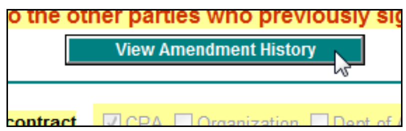
An entry will be added to the amendment’s activity history every time one of these events occurs: Amendment created, amendment signed, amendment canceled, amendment rejected (by dept of audit).

To view the amendment’s activity history, follow these steps.

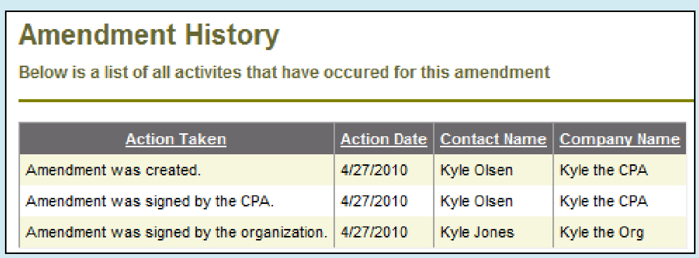
<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1</td><td>Click the Edit link from the amendment hopper



</td></tr>
<tr><td>2</td><td>The amendment will open in an editable form. Click the “View Amendment History” button near the top of the form.



</td></tr>
<tr><td>3</td><td>A window will pop up displaying each action that has occurred, the date it occurred, the name of the person who performed the action, and the name of that person’s company. The results are in the order of the date they happened.



Amendment History

Below is a list of all activites that have occured for this amendment

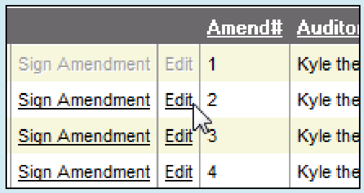
Action Taken	Action Date	Contact Name	Company Name
Amendment was created.	4/27/2010	Kyle Olsen	Kyle the CPA
Amendment was signed by the CPA.	4/27/2010	Kyle Olsen	Kyle the CPA
Amendment was signed by the organization.	4/27/2010	Kyle Jones	Kyle the Org
</td></tr>
</table>

View an amendment's change history

If any changes are made to a signed amendment, an entry will be made to the amendment's change history. Please note that changes are only tracked for signed amendments.

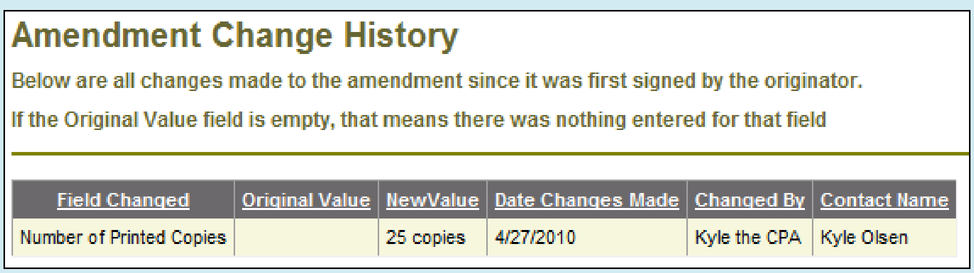
To view the amendment's activity history, follow these steps.

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1</td><td>Click the Edit link from the amendment hopper


</td></tr>
<tr><td>2</td><td>The amendment will open in an editable form. Click the "View Change History" button near the top of the form.

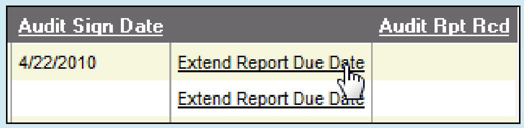
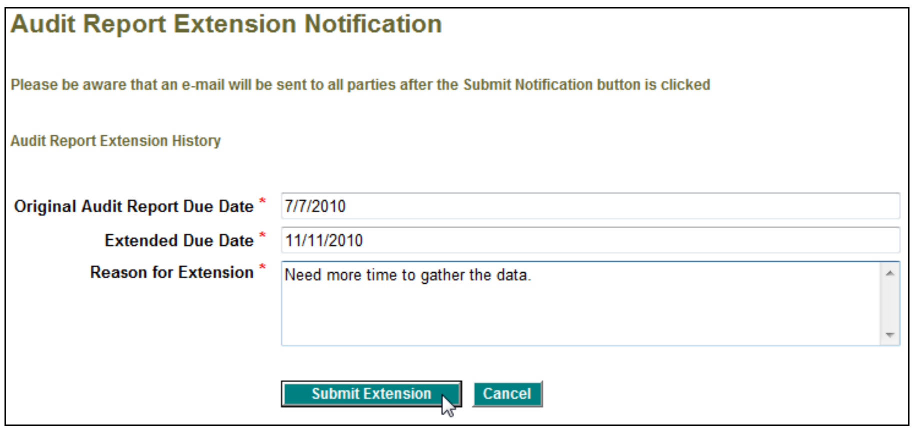
Note! This button is only visible if the amendment has a change history.


</td></tr>
<tr><td>3</td><td>A window will pop up displaying the field changed, the original value, the new value, the date the change was made, which company made the change, and the name of the person who made the change. The results are in the order of the date they happened.


</td></tr>
</table>

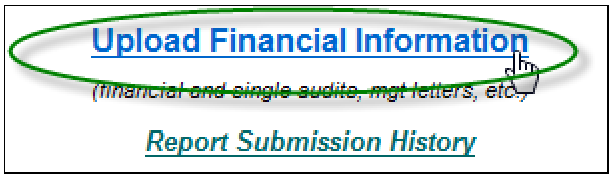
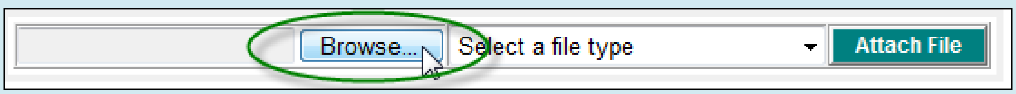
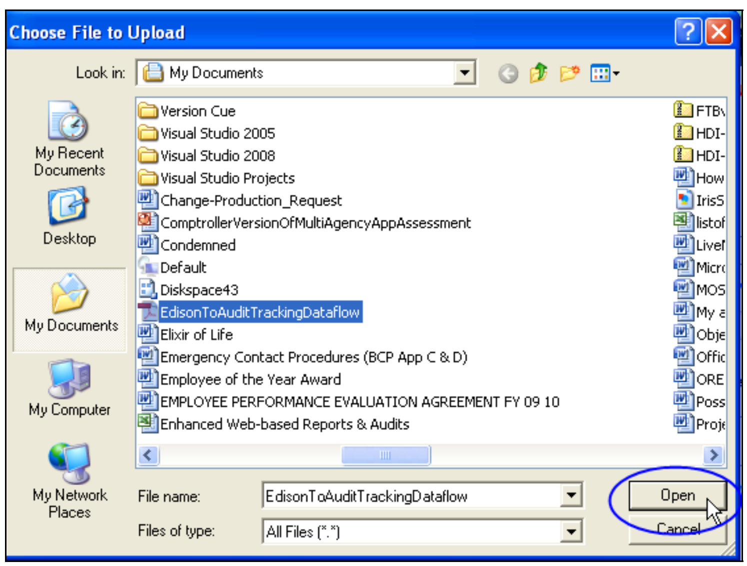
Extending the Audit Report due date

If you need to extend the audit report due date follow these steps.

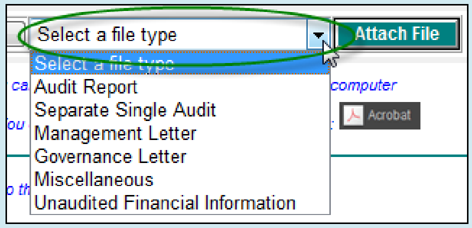
Step	Action
1	Click the Extend Report Due Date link from the amendment hopper 
2	A new window will pop open. Fill out the form and click the Submit Extension button.  Note! All fields are required. If any fields are missing data when Submit Extension is clicked, they will be highlighted in red. Note! All parties of the amendment will be sent an email that a report due date extension has been submitted.

Upload a Report

If you have an audit report you are ready to submit to the Department of Audit, follow these steps. **Please note that only PDF files less than 25MB in size will be accepted.**

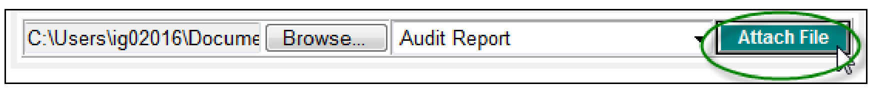
Step	Action
1	Log in to the web site
2	From the Main menu, click the Upload Audit Report link 
3	Fill in the form
4	Upload the files associated with this audit report
4a	Click the Browse button to open a window to your file system 
4b	Select the file from your computer 

Step	Action
4c	Select a file type from the list available



- <u>Audit Report</u> – Annual Financial Report of the activities of an entity.
- <u>Separate Single Audit</u> – A separate report from the Annual Financial Report that addresses the additional requirements of OMB Circular A-133.
- <u>Management Letter</u> – A separate letter to management from the CPA
- <u>Cover Letter</u> – Letter that identifies the report being filed.
- <u>Miscellaneous</u> – any document other than the above 4 items.
- <u>Unaudited Financial Information</u> – Financial information requested by the Department of Audit (Division of Municipal Audit or Division of County Audit) that is not covered by an audit contract monitored by the Department of Audit

Step	Action
4d	Click the Attach File button



Step	Action
4e	You can add as many files as you like
Note!	Only PDF files will be accepted. There is a link to Adobe's web site on the form.

Required fields are indicated by a red asterisk (*)

Field	Description
Is this a revised version? (*)	Mark this as "yes" if you have already submitted a report, but need to submit a revised version of that report
Revision summary(*)	**Note:** Only required for revised reports If you are submitting a revision, enter an explanation of what has been revised
Responsible division(*)	Indicate whether County Audit or Municipal Audit needs to review this report
Report year(*)	Indicate the fiscal year this report covers
Organization type	**Note**: Municipal Audit organizations only This is a list of the different types of organizations audited by Municipal Audit. It can be used to filter the list of organizations, but it is not required.
Report entity(*)	This is a list of the audited organizations. If you cannot find the entity for which you are reporting, please contact our office.
Contract status(*)	Indicate whether you have submitted a contract to audit accounts for the selected year and organization.

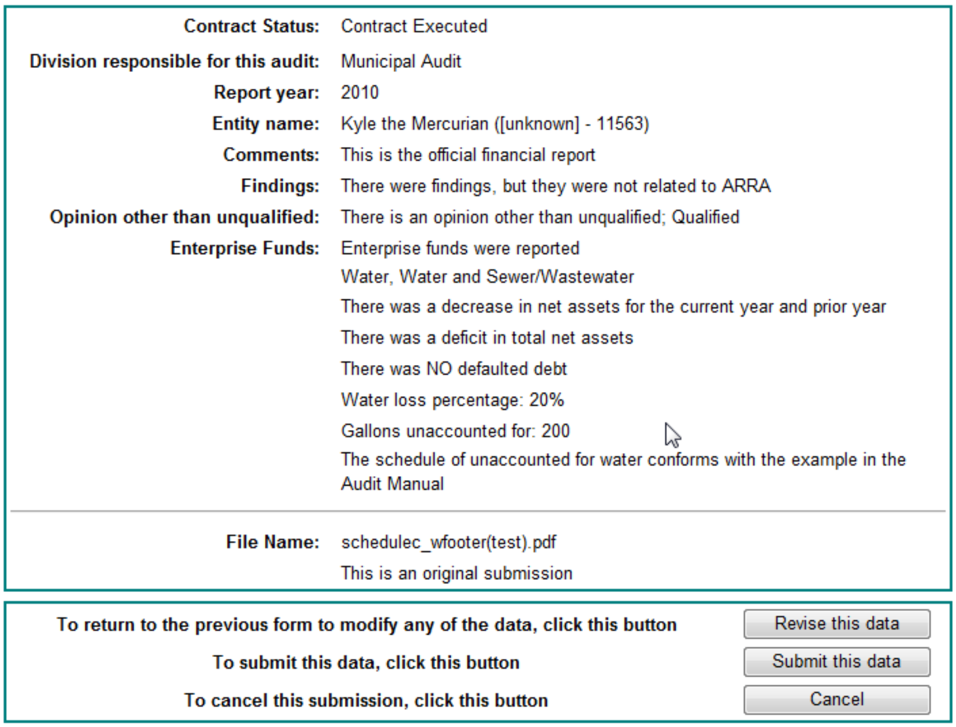
Field	Description
Explain why the contract was not submitted(*)	**Note:** Only required if Contract Status is marked as Not Executed If you have not submitted a contract, enter the reason why.
Findings? (*)	Indicate whether there were any findings.
Findings related to ARRA? (*)	**Note:** Only required if Findings is marked as Yes Indicate whether the findings are related to the American Recovery and Reinvestment Act (ARRA).
Opinion? (*)	Indicate if there was an opinion, other than an unqualified one.
Opinion type(*)	**Note:** Only required if Opinion other than unqualified is marked as Yes Choose the type of opinion it is.
Enterprise funds? (*)	**Note**: Municipal Audit organizations only Indicate whether enterprise funds were reported.
Reported funds(*)	**Note**: Municipal Audit organizations only **Note:** Only required if Enterprise funds reported is marked as Yes If the reported fund or funds are listed in the check boxes, check all that apply.
Other funds(*)	**Note**: Municipal Audit organizations only **Note:** Only required if Enterprise funds reported is marked as Yes and no funds were checked. If the reported fund or funds are not listed in the check boxes, type them here.
Decrease in net assets(*)	**Note**: Municipal Audit organizations only **Note:** Only required if Enterprise funds reported is marked as Yes Indicate whether any system reports a decrease in net assets in the current and prior year.
Deficit in net assets(*)	**Note**: Municipal Audit organizations only **Note:** Only required if Enterprise funds reported is marked as Yes Indicate whether any system reported a total deficit in net assets.
Defaulted debt(*)	**Note**: Municipal Audit organizations only **Note:** Only required if Enterprise funds reported is marked as Yes Indicate whether there was any defaulted debt.
Water loss percentage(*)	**Note**: Municipal Audit organizations only **Note:** Only required if Enterprise funds reported is marked as Yes and Water or Water and Sewer/Wastewater are checked in the reported funds list. Type in the percentage of water loss.

Field	Description
Unaccounted gallons(*)	**Note**: Municipal Audit organizations only **Note:** Only required if Enterprise funds reported is marked as Yes and Water or Water and Sewer/Wastewater are checked in the reported funds list. Type in the number of gallons of unaccounted for water.
Schedule conformation(*)	**Note**: Municipal Audit organizations only **Note:** Only required if Enterprise funds reported is marked as Yes and Water or Water and Sewer/Wastewater are checked in the reported funds list. Indicate whether the schedule of unaccounted for water conforms with the Audit Manual.

Verify and Submit the Report

Verify

After you fill in the report form and click the Continue button, the report verification page will display. It contains a summary of the report you are about to submit. Please look over this form to ensure it is correct.



Contract Status:	Contract Executed
Division responsible for this audit:	Municipal Audit
Report year:	2010
Entity name:	Kyle the Mercurian ([unknown] - 11563)
Comments:	This is the official financial report
Findings:	There were findings, but they were not related to ARRA
Opinion other than unqualified:	There is an opinion other than unqualified; Qualified
Enterprise Funds:	Enterprise funds were reported
	Water, Water and Sewer/Wastewater
	There was a decrease in net assets for the current year and prior year
	There was a deficit in total net assets
	There was NO defaulted debt
	Water loss percentage: 20%
	Gallons unaccounted for: 200
	The schedule of unaccounted for water conforms with the example in the Audit Manual
File Name:	schedulec_wfooter(test).pdf
	This is an original submission

To return to the previous form to modify any of the data, click this button	Revise this data
To submit this data, click this button	Submit this data
To cancel this submission, click this button	Cancel

If you need to change anything, click the Revise this data button. You will be taken back to the report upload form. Make whatever changes you need to make, and then click the Continue button.

Submit

When you are ready to formally submit the report, click the Submit this data button. A confirmation page will display indicating that the submission was a success. You will also receive a verification email at the contact email address you provided.

From this page, you can also choose to add another report, if you wish.

After you have submitted a report, we will be in contact with you via the contact email addresses you provided.

View the report submission history

After you have submitted audit reports, you can view your submission history by clicking the "Report Submission History" link on the main menu.

The report submission hopper will be displayed. An explanation of the columns is below.

Audit report submission hopper column descriptions

Field	Description
Rev#	If revisions have been uploaded, this is the number of the revision.
Sta	The status of the report used by the department of audit. I = Incoming, to be reviewed P = Posted D = Denied R = Removed PC = Posted and Checked In
Div	The department of audit division responsible for reviewing the report. CA = County Audit. MA = Municipal Audit.
Year	The year the report applies to.
Entity Name	The entity the report applied to.
Submitter	The name of the organization who submitted the report.
Contact Name	The name of the person who submitted the report.
Date Received	The date the report was received.
Posted Date	The date the report was posted
Uploaded Files	Links to the files that were uploaded.

Our Contact Numbers and Information

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