

Office of the State Auditor

INSTRUCTIONS FOR YEAR-END REPORTING USING CTAS

For the Year Ended December 31, 2016

Submissions from CTAS Version 7 will not be accepted.

STEP I. PREPARE YOUR DATA

Verify OSA Code

1. You must have an OSA code entered before submitting your report. The OSA code is the same as last year. Verify that your OSA Code is entered and correct in the System Information Tab of the Admin Module. If you do not know your OSA code, please contact us at GID@osa.state.mn.us.

Run Financial Reports

1. Review ledger reports for proper amounts and classification:
 - a) Run a Receipts Ledger for the year (if one has not been run).
 - b) Run a Disbursement Ledger for the year (if one has not been run).
 - c) Make any required corrections and re-run the reports.
2. Run the Financial Statement Report (found in the Reports Tab). This report combines Schedules 1, 2, 4, 5, 6 and the Investment Activity Report (Schedule 8) into one report.

Run the Year-End Process

1. Click on the Admin Icon.
2. Click on the Year-end Processing Tab.
3. Click the Proceed with Year-end Processing Button.
4. Run the Year-end Processing.

The instructions that follow are for submitting your Year-End Reporting to the OSA over the Internet. If you are using CTAS and do not have an Internet connection, please print and submit your form(s) by U.S. Mail to: Government Information Division/Office of the State Auditor, 525 Park Street, Suite 500, St. Paul, MN 55103.

STEP II. SUBMIT FINANCIAL REPORTING FORM (also called “State Auditor File”)

Users have two options: to generate and submit their file(s) directly from CTAS, or to generate the file(s) in CTAS and submit through SAFES. CTAS users whose computer is not connected to the Internet can use Option 2 to save their file on a removable drive and upload it from an Internet-enabled computer.

OPTION 1: Submit Directly from CTAS (computer must be connected to internet)

NOTE: *You must be using CTAS Version 8.4.3 or CTAS 2017 to submit the State Auditor File using CTAS to upload your information. If your entity has purchased CTAS Version 8 or CTAS 2017 but is running an earlier version, you can update at no additional charge by logging into the State Auditor's Form Entry System (SAFES) at <https://www.auditor.state.mn.us/safes/>*

1. In the Admin Module, click on the Year-end Processing (F5) tab. Make sure that in the State Auditor Data File section the Previous Fiscal Year is 2016.
2. Click on “Submit State Auditor Data File”.
3. In the Authentication box, enter your SAFES username and password.
4. Click on Submit.
5. Once file is received, a CTAS box will appear stating the “State Auditor Data File submitted successfully” with a confirmation ID number.
6. Click the “OK” button to finish.

OPTION 2: Generate File from CTAS and Submit through SAFES

1. Generate State Auditor File:
 - a) Click on the Generate State Auditor File (stateauditor2016.xml).
 - b) Save the file to your desktop, external drive or other folder you created.
 - c) Note where the file will be saved.
2. Submit File to the Office of the State Auditor via SAFES:
 - a) Go to the State Auditor’s Form Entry System (SAFES) on the OSA website at:
<https://www.auditor.state.mn.us/safes/>.
 - b) Enter your username and password.
 - c) Verify your contact information and then click the Save/Verify button.
 - d) Click the Submit Forms/Documents tab.
 - e) Click the Browse button and locate the stateauditor2015.xml file stored on your computer.
 - f) Highlight the file and click the Open button.
 - g) Click the Next button. You will receive a confirmation number when the file has been accepted.
 - h) Click Log Out to finish.

III. SUBMIT FINANCIAL STATEMENTS (Required for Cash Cities)

As in the previous step, users have two options: to generate and submit their file(s) directly from CTAS, or to generate the file(s) in CTAS and submit through SAFES.

OPTION 1: Submit Electronically from CTAS (computer must be connected to the internet)

1. In the Admin Module, Year-end Processing tab, make sure that in the State Auditor Data File section the Previous Fiscal Year is 2016.
2. Click on Submit Financial Statement PDF.
3. In the Authentication box, enter your SAFES username and password.
4. Click on Submit.
5. Once file is received, a CTAS box will appear stating the “Financial Statement submitted successfully” with a confirmation ID number.
6. Click the “OK” button to finish.

OPTION 2: Generate Financial Statements from CTAS and Submit through SAFES

1. Generate Financial Statements:
 - a) In the Admin Module, click on the Year-end Processing (F5) tab. Make sure that in the State Auditor Data File section the Previous Fiscal Year is 2016.
 - b) Click on the Generate Only – Financial Statement PDF.
 - c) Save the file to your desktop, external drive or other folder you created.
 - d) Note where the file will be saved.
2. Submit File to the Office of the State Auditor:
 - a) Go to the State Auditor’s Form Entry System (SAFES) on the OSA website at <https://www.auditor.state.mn.us/safes/>.
 - b) Enter your username and password.
 - c) Verify your contact information and then click the Save/Verify button.
 - d) Click the Submit Forms/Documents tab.
 - e) Click the Browse button and locate the PDF stored on your computer.
 - f) Highlight the file and click the Open button.
 - g) Click the Next button. You will receive a confirmation number when the file has been accepted.