SCO DATA EXCHANGE PORTAL (DEP) USER GUIDE

Version 1.0

November 2021

Contents

1. INTRODUCTION

OVERVIEW

The State Controller's Office (SCO) Data Exchange Portal (DEP) is available for Entities and CPAs users to upload Audit Report files for the following programs: Local Education Agencies (LEAs); Single Audits (SAs); Transportation Development Act (TDA); First 5; the Special Supplemental Nutrition Program for Women, Infants, and Children (WIC); and School Facility Program Bonds (SFP).

You may submit your audit reports online using DEP. (https://dep.sco.ca.gov/)

This document provides instructions for registering for DEP and submitting Audit Report files via DEP.

PREREQUISITES FOR USING DEP

SYSTEM REQUIREMENTS

To use DEP, you must have an internet-connected computer with Google Chrome (recommended), Microsoft Edge, Firefox, or Safari.

Note: Internet Explorer does not work with DEP's functionality and should not be used.

ENTITY/CPA/TDA ADMIN AND USER ACCOUNTS

To upload files to DEP, your organization (a Government Entity or CPA firm) must have an Account Passcode that SCO provided to them. The Account Passcode is a unique code that enables individuals from an Entity/CPA/TDA Admin to set up User Accounts for DEP.

Note: If you are working for an organization that submits Transportation Development Act reports for multiple Entities (for example, a regional transit agency submitting reports for the cities under its jurisdiction), you should be using a "TDA Admin" Account.

You will not be able to create a User Account without the Entity/CPA/TDA Admin Account Passcode, and you will not be able to upload files without a User Account.

If your organization did not receive an Account Passcode, they may request one using the Contact SCO Form available on the home page of DEP.

CONVENTIONS IN THE DEP SYSTEM

<u>HOVER HELP TEXT</u>

A "**?**" icon indicates hover help text is available for the field. Place your cursor over the icon to reveal the help text:

An asterisk (*) next to a field's caption indicates you must make an entry or selection in a field:

<u>ERROR MESSAGES</u>

Throughout the DEP system, there are mandatory fields that need to be completed or have required values. The example below shows how DEP alerts you of these errors and how you can correct them:

2.   CREATING A USER ACCOUNT

This section explains how you create a User Account for your Entity/CPA.

1.   Use your browser to navigate to the DEP Home Page.

2. The DEP Login Page will be displayed:

*Note: If you already have a User Account, enter the Email Address you used to set up the account and your Password and click **Sign in**. You will be sent to your DEP Account Dashboard page. (Section 3)*

3. After you click **Sign up now**, you will be sent to the DEP Email Verification Code page:
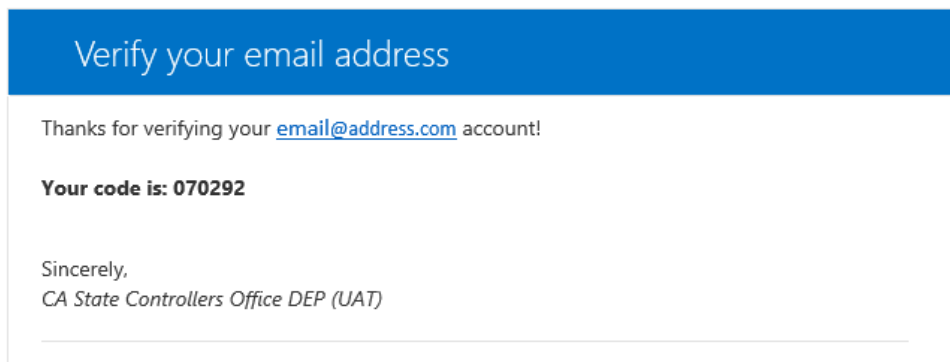
Note: The email address you enter here will become your User Account ID and will be used for any emails sent to you by DEP. Once you set up an account, you will not be able to change the email.

You will be returned to the **DEP Email Verification** page (Step 5), where you will need to enter the Verification Code sent to your email.

4. DEP sends you this this email:

5. Return to the **DEP Email Verification** page and enter the Verification Code within five minutes of receiving the code.

6. The **DEP Password** page will be shown:
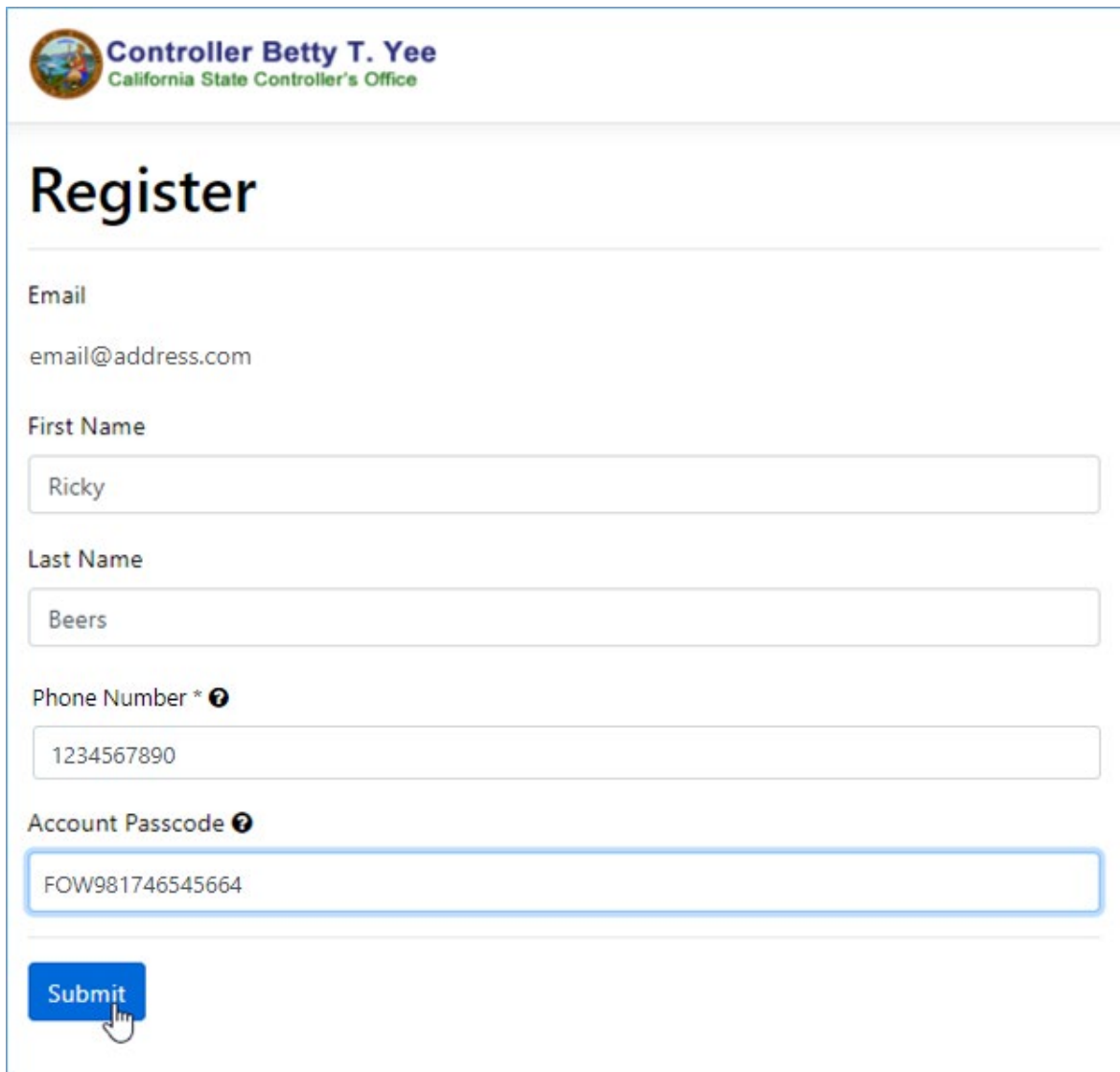
7. The **DEP Register** page will be shown:

- The **First Name**, **Last Name**, and **Phone Number** fields are all text fields. Enter a ten-digit phone number that includes the area code.
- In the **Account Passcode** field, enter the Account Passcode provided to your organization by SCO.

After completing the fields, click **Submit**. You will be sent to the **DEP Account Dashboard**.

3.   DEP USER DASHBOARDS

This section explains the Account Dashboard, which will vary depending on whether your organization is an Entity, CPA, TDA Admin, or CDPH.

ENTITY ACCOUNT DASHBOARD

If you are working for an Entity, you will see this Dashboard:

You can filter the list by selecting values in the following fields and clicking the **Search** button:

- Program
- Document Type
- Fiscal Year (FY) End
- Submitter

You can reset the Search fields by clicking the **Reset** button.

You can sort the list by clicking the header of the following columns (Use the scroll bar to view additional columns):

- Submitter
- Program
- Document Type
- FY End
- Submission Date

You can download the list to a .csv file by clicking the **Export to CSV** button. The file will contain all of the entries as filtered and sorted in the list.

CPA ACCOUNT DASHBOARD

If you are working for a CPA, you will see this Dashboard:

You can filter the list by selecting values in the following fields and clicking the **Search** button:

- Program

- Document Type

- Fiscal Year (FY) End

- Submitter

- Entity

You can reset the Search fields by clicking the **Reset** button.

You can sort the list by clicking the header of the following columns (Use the scroll bar to view additional columns):

- Submitter

- On Behalf Of

- Program

- Document Type

- FY End

- Submission Date

You can download the list to a .csv file by clicking the **Export to CSV** button. The file will contain all of the entries as filtered and sorted in the list.

TDA ADMIN ACCOUNT DASHBOARD

If you are working for an organization that submits Transportation Development Act reports for multiple Entities (for example, a regional transit agency submitting reports for the cities under its jurisdiction), you should be using a "TDA Admin" Account. In this case, you will see this Dashboard:

You can filter the list by selecting values in the following fields and clicking the **Search** button:

- Document Type
- Fiscal Year (FY) End
- Submitter
- Entity

You can reset the Search fields by clicking the **Reset** button.

You can sort the list by clicking the header of the following columns (Use the scroll bar to view additional columns):

- Submitter
- On Behalf Of

- Document Type
- FY End
- Submission Date

You can download the list to a .csv file by clicking the **Export to CSV** button. The file will contain all of the entries as filtered and sorted in the list.

CDPH ACCOUNT DASHBOARD

A user with a CDPH account will see this Dashboard:

You can filter the list by selecting values in the following fields and clicking the **Search** button:

- Entity
- Document Type
- Fiscal Year (FY) End
- Submitter

You can reset the Search fields by clicking the **Reset** button.

You can sort by clicking the header of the following columns:
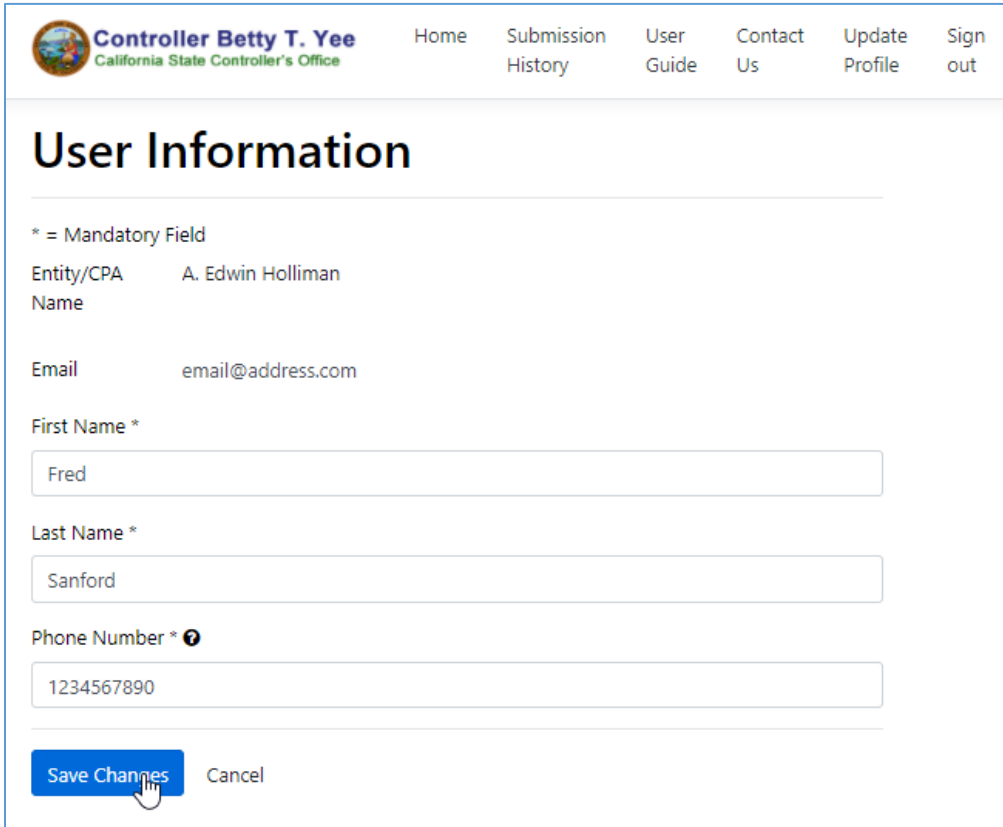
- Submitter

- On Behalf Of

- Document Type

- FY End

- Submission Date

You can download the list to a .csv file by clicking the **Export to .csv** button. The file will contain all of the entries as filtered and sorted in the list.

4.   MAINTAINING YOUR ACCOUNT INFORMATION

This section explains how you can modify the First Name, Last Name, and Phone Number for your User Account.

1.   Click the **Update Profile** link in the upper right-hand corner of the Dashboard. The **User Information** page will be shown:

- The **Entity/CPA Name** and **Email** fields are read-only.

- You may modify the **First Name**, **Last Name**, and **Phone Number** fields. The phone number must contain an area code and phone number (ten digits).

When you have made your updates, click the **Save Changes** button. To close the window without making any changes, click the **Cancel** button.

5.   UPLOADING FILES: ENTITY USERS

This section explains how Entity users upload files. The data you need to enter will vary depending on the type of Entity you work for and the Programs for which your Entity has audit requirements.

UPLOADING LEA, SA, AND FIRST 5 FILES

1.   To upload files for your Entity, click the **New Submission** link in the upper-left of your Dashboard. The **New File Submission** form will be shown:

- The **Program** field contains all of the Programs for which you can submit documents. The Programs available in this list will vary depending on the Entity for which you work.

If you select Local Education Agencies (LEA), Single Audits (SA), or First 5:

- Select the fiscal year end for the report in the **Fiscal Year End** field.

- The **Document Type** field displays document types allowed for the selected Program.

- The **Other Title** field is text field that is disabled unless you select Other from the Document Type field. If the field is active, you must provide a title for the document.

- The **Choose File** button allows you to search your computer to select a file for upload.

Click the **Submit** button when you are ready to upload the file. To cancel upload, click **Cancel**.

2. The **Upload Successful** pop-up informs you that the upload was successful:
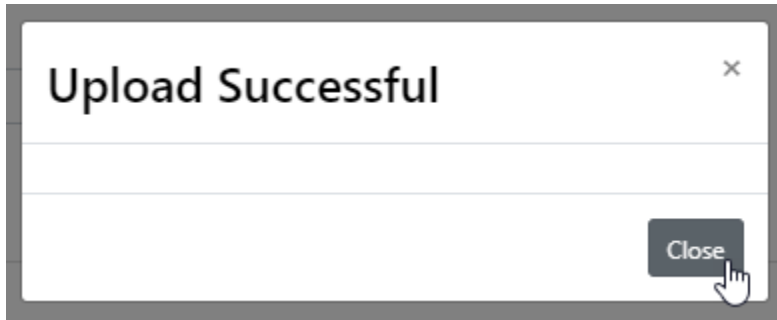
UPLOADING TDA FILES

1. If you select TDA in the **Program** field, the **Fund** and **Articles** sections will be shown:

New File Submission

Fresno Council of Governments

* = Mandatory Field

Program * ❓

> TDA   ⌄

Entity *

> Clovis (City)   ⌄

Fiscal Year End * ❓

> 2022   ⌄

Fund *

- ☐ Local Transportation Fund
- ☐ State Transit Assistance Fund
- ☑ Transit Fund
- ☑ Non Transit Fund
- ☐ Public Transportation Modernization Improvement and Service Enhancement Account
- ☐ Other Fund

Other Fund

>

Articles

☐ 3 ☑ 4 ☑ 4.5 ☐ 5 ☐ 5.5 ☐ 6.5 ☐ 8.a ☐ 8.c

Other Articles

>

Document Type *

> Report   ⌄

Other Title *

>

File *

Choose File | DEP Admin Users Guide.pdf

[Submit] Cancel

- In the **Fund** section, select from Local Transportation Fund, State Transit Assistance Fund, Transit Fund, Non Transit Fund, Public Transportation Modernization Improvement and Service Enhancement Account, or Other Fund. You must select at least one fund.

- The **Other Fund** field is a text field that is disabled unless you select Other Fund. If the field is active, you must provide the name of the fund and a title for the document.

- In the **Articles** section, select one or more of the following values: 3, 4, 4.5, 5, 5.5, 6.5, 8a, or 8c. The **Other Articles** field allows text entry of other articles.

Click the **Submit** button when you are ready to upload the file. To cancel upload, click **Cancel**.

2. The **Upload Successful** pop-up informs you that the upload was successful:

UPLOADING WIC FILES

1. If you select WIC in the **Program** field, the **Private/Non-Profit Name** field will be shown:

- In the **Private/Non-Profit Name** field, select the name of the organization associated with the submission.

Click the **Submit** button when you are ready to upload the file. To cancel the upload, click **Cancel**.

2. The **Upload Successful** pop-up informs you that the upload was successful:

UPLOADING SFP FILES

1. If you select SFP in the Program field, the **Project Number** field will be shown:

New File Submission

Academia Avance Charter

Program * ❓

| SFP | ⌄ |

Fiscal Year End *

| 2020 | ⌄ |

Project Number *

| 13143534 |

Document Type * ❓

| Other | ⌄ |

Other Title *

| Supplemental Document |

File *

| Choose File | 02242021SABMeetingNotice ADA.pdf

Submit   Cancel

- **Project Number** – Enter the Project Number associated with the uploaded file. This field is mandatory.

Click the **Submit** button when you are ready to upload the file. To cancel the upload, click **Cancel**.

2. The **Upload Successful** pop-up informs you that the upload was successful:

Upload Successful   ×

Close

CONFIRMATION EMAIL

DEP will send you an email to verify a successful upload:

From: DoNotReply@sco.ca.gov <DoNotReply@sco.ca.gov>
Sent: Tuesday, October 19, 2021 11:08 AM
To: Jones, Karl <email@address.com>
Subject: Successful File Upload to the SCO Data Exchange Portal

CAUTION:
This email originated from outside of the organization.
Do not click links or open attachments unless you recognize the sender's email address and know the content is safe.

The 2021 Report for the First 5 program for First 5 Alameda County was successfully uploaded by Fred Sanford on 10/19/2021 11:07:30 AM

Do not reply to this email. If you have any questions, please contact the SCO at auddephelp@sco.ca.gov

6.   UPLOADING FILES: CPA USERS

This section explains how CPA users upload files. The data you need to enter will vary depending on the type of Entity you are working with and the Programs for which the Entity has audit requirements.

UPLOADING SA AND FIRST 5 FILES

1. To upload files for your CPA firm's client, click the **New Submission** link in the upper-left of your Dashboard. The **New File Submission** form is shown:

- The **County** field lists all 58 counties. Selection of a county will enable the **Entity** field.
- The **Entity** field is disabled until you select a County and will display only Entities in the County you select.
- Select the fiscal year end for the report in the **Fiscal Year End** field.
- The **Document Type** field displays document types allowed for the selected Program.

- The **Other Title** field is a text field that is disabled unless you select Other from the **Document Type** field. If the field is active, you must provide a title for the document.

- The **Choose File** button allows you to search your computer to select a file for upload.
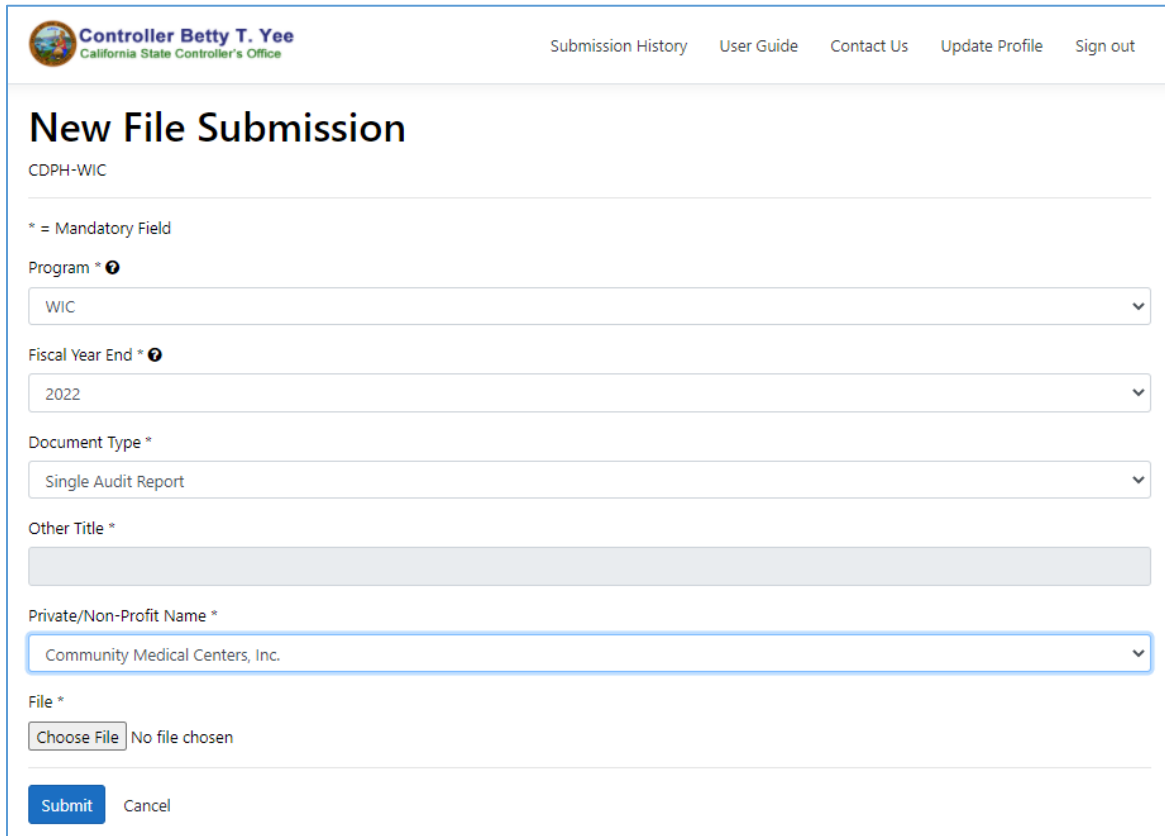
Click the **Submit** button when you are ready to upload the file. To cancel upload, click the **Cancel**.

2. The **Upload Successful** pop-up informs you that the upload was successful:
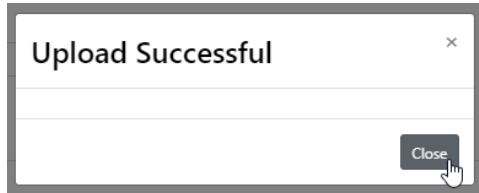
UPLOADING LEA FILES

1. To upload files, click the **New Submission** link in the upper-left of your Dashboard. If you select LEA in the **Program** field, the **Charter Schools Management Organization** field will be shown:

*   **Charter Schools Management Organization** – Select Yes if you are submitting a file for a Management Organization. The County and Entity fields are disabled until a selection is made in this field. This field is mandatory.

Click the **Submit** button when you are ready to upload the file. To cancel upload, click the **Cancel** button.

2. The **Upload Successful** pop-up informs you that the upload was successful:

UPLOADING WIC FILES

1. If you select WIC in the Program field, the **Private/Non-Profit Name** field will be shown:
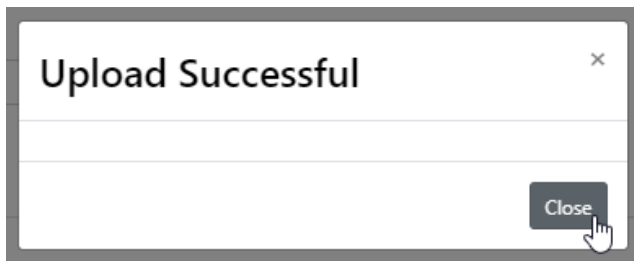

*   In the **Private/Non-Profit Name** field, select the name of the organization associated with the submission.
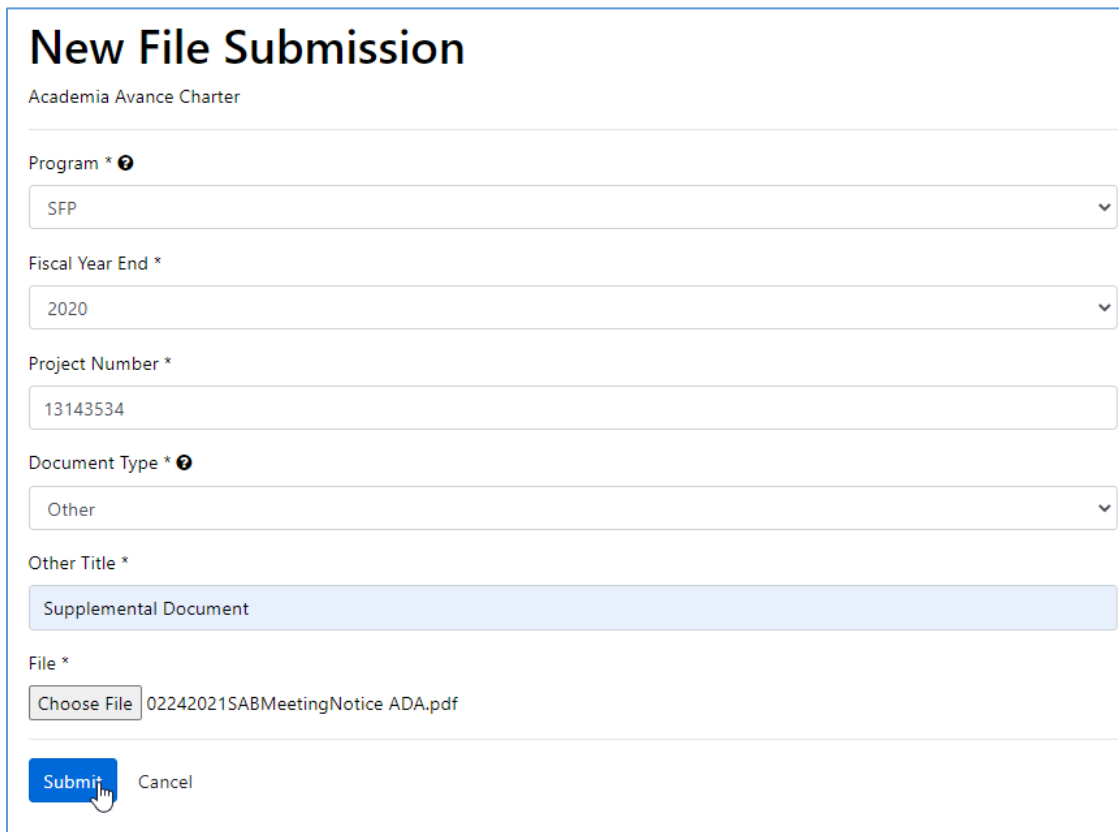
Click the **Submit** button when you are ready to upload the file. To cancel the upload, click **Cancel**.

2. The **Upload Successful** pop-up informs you that the upload was successful:

UPLOADING TDA FILES

1. To upload files, click the **New Submission** link in the upper-left of your Dashboard. If the you select TDA in the **Program** field, the **Fund** and **Article** sections will be shown:

New File Submission

Jensen Smith, CPAs

* = Mandatory Field

Program * ❓

| TDA | ⌄ |

Entity *

| Amador City | ⌄ |

Fiscal Year End * ❓

| --Select-- | ⌄ |

Fund *

- ☑ Local Transportation Fund
- ☐ State Transit Assistance Fund
- ☐ Transit Fund
- ☐ Non Transit Fund
- ☐ Public Transportation Modernization Improvement and Service Enhancement Account
- ☐ Other Fund

Other Fund

| |

Articles

☑ 3 ☑ 4 ☐ 4.5 ☐ 5 ☐ 5.5 ☐ 6.5 ☐ 8.a ☐ 8.c

Other Articles

| |

Document Type *

| Report | ⌄ |

Other Title *

| |

File *

| Choose File | DEP User Guide.pdf

[Submit]   Cancel

- The **Entity** field lists all TDA entities and is mandatory.

- In the **Fund** section, select from Local Transportation Fund, State Transit Assistance Fund, Transit Fund, Non Transit Fund, Public Transportation Modernization Improvement and Service Enhancement Account, or Other Fund. You must select at least one fund.

- The **Other Fund** field is a text field that is disabled unless you select Other Fund. If enabled, it is mandatory.

- In the Article section, you may select one or more of the following values: 3, 4, 4.5, 5, 5.5, 6.5, 8a, or 8c. The Other Articles field allows text entry of other articles.

Click the **Submit** button when you are ready to upload the file. To cancel upload, click **Cancel**.

2. The **Upload Successful** pop-up informs you that the upload was successful:

UPLOADING SFP FILES

1. To upload files, click the **New Submission** link in the upper-left of your Dashboard. If you select SFP in the **Program** field, the **Project Number** field will be shown:

- **Project Number** – Enter the Project Number associated with the uploaded file. This field is mandatory.

Click the **Submit** button when you are ready to upload the file. To cancel the upload, click **Cancel**.

2.   The **Upload Successful** pop-up informs you that the upload was successful:

CONFIRMATION EMAIL

DEP will send you an email to verify a successful upload:

7.   UPLOADING FILES: TDA ADMIN USERS

This section explains how TDA Admin users upload files. If you are working for an organization that submits Transportation Development Act reports for multiple Entities (for example, a regional transit agency submitting reports for the cities under its jurisdiction), you should use this process.
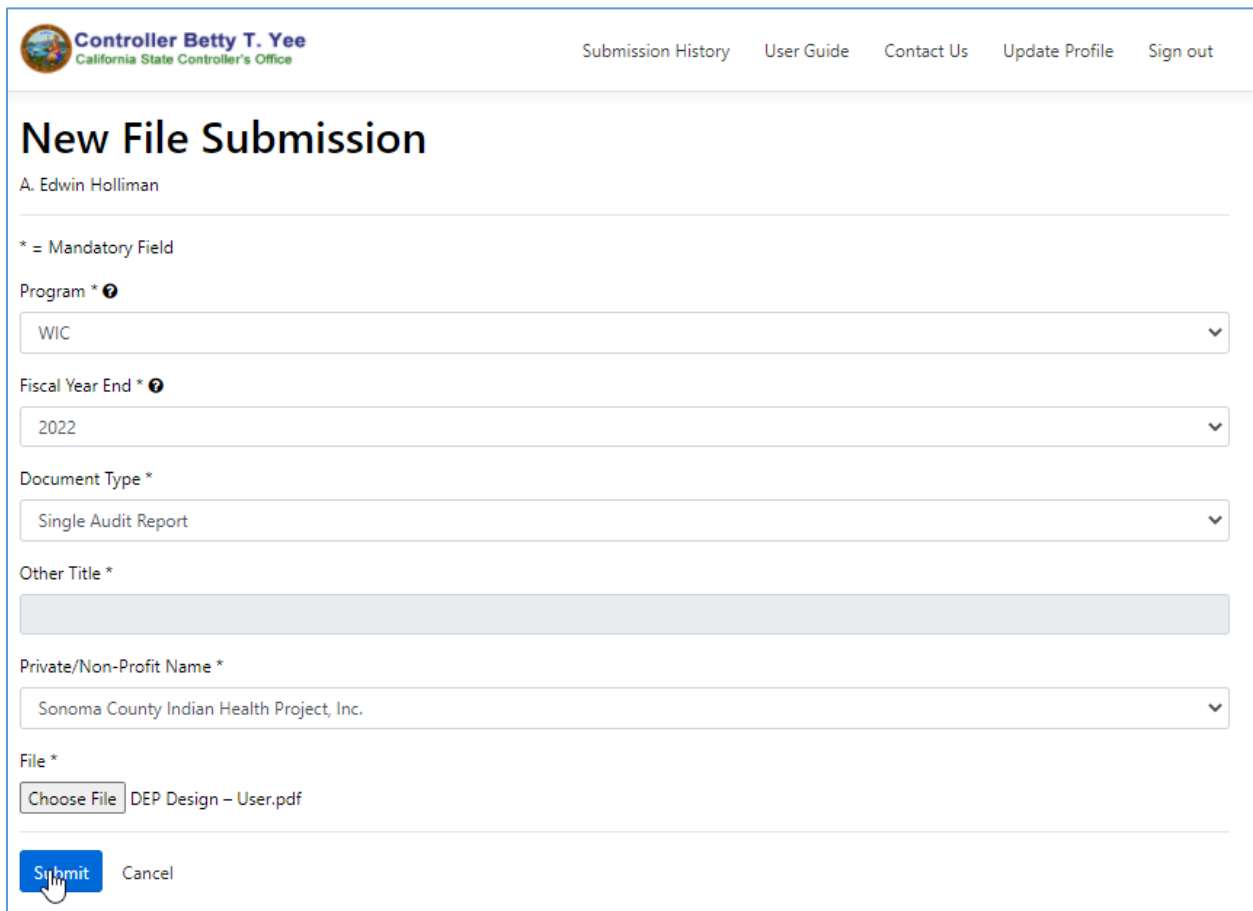
UPLOADING TDA FILES

1. To upload files, click the **New Submission** link in the upper-left of your Dashboard. The **New File Submission** form is shown:

New File Submission

Butte County Association of Governments

* = Mandatory Field

Program * ❓

| TDA | ⌄ |

Entity *

| Gridley (City) | ⌄ |

Fiscal Year End * ❓

| 2021 | ⌄ |

Fund *

☐ Local Transportation Fund
☐ State Transit Assistance Fund
☐ Transit Fund
☑ Non Transit Fund
☐ Public Transportation Modernization Improvement and Service Enhancement Account
☑ Other Fund

Other Fund

| |

Articles

☐ 3   ☐ 4   ☐ 4.5   ☐ 5   ☐ 5.5   ☐ 6.5   ☐ 8.a   ☐ 8.c

Other Articles

| |

Document Type *

| Report | ⌄ |

Other Title *

| |

File *

| Choose File | No file chosen

[Submit]   Cancel

- The **Entity** field lists all TDA entities for whom you can submit and is mandatory.
- Select the fiscal year end for the report in the **Fiscal Year End** field.

- In the **Fund** section, select from Local Transportation Fund, State Transit Assistance Fund, Transit Fund, Non Transit Fund, Public Transportation Modernization Improvement and Service Enhancement Account, or Other Fund. You must select at least one fund.

- The **Other Fund** field is a text field that is disabled unless you select Other Fund. If enabled, it is mandatory.

- In the Article section, you may select one or more of the following values: 3, 4, 4.5, 5, 5.5, 6.5, 8a, or 8c. The Other Articles field allows text entry of other articles.

- The **Document Type** field displays document types allowed for the selected Program.

- The **Other Title** field is a text field that is disabled unless you select Other from the **Document Type** field. If the field is active, you must provide a title for the document.

- The **Choose File** button allows you to search your computer to select a file for upload.

- Click the **Submit** button when you are ready to upload the file. To cancel the upload, click **Cancel**.

Click the **Submit** button when you are ready to upload the file. To cancel upload, click the **Cancel**.

2. The **Upload Successful** pop-up informs you that the upload was successful:

CONFIRMATION EMAIL

DEP will send you an email to verify a successful upload:

From: DoNotReply@sco.ca.gov <DoNotReply@sco.ca.gov>
Sent: Tuesday, October 19, 2021 11:08 AM
To: Jones, Karl <email@address.com>
Subject: Successful File Upload to the SCO Data Exchange Portal

CAUTION:
This email originated from outside of the organization.
Do not click links or open attachments unless you recognize the sender's email address and know the content is safe.

The 2021 Report for the First 5 program for First 5 Alameda County was successfully uploaded by Fred Sanford on 10/19/2021 11:07:30 AM

Do not reply to this email. If you have any questions, please contact the SCO at auddephelp@sco.ca.gov
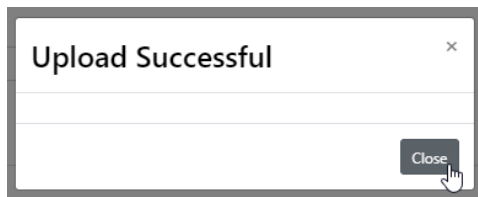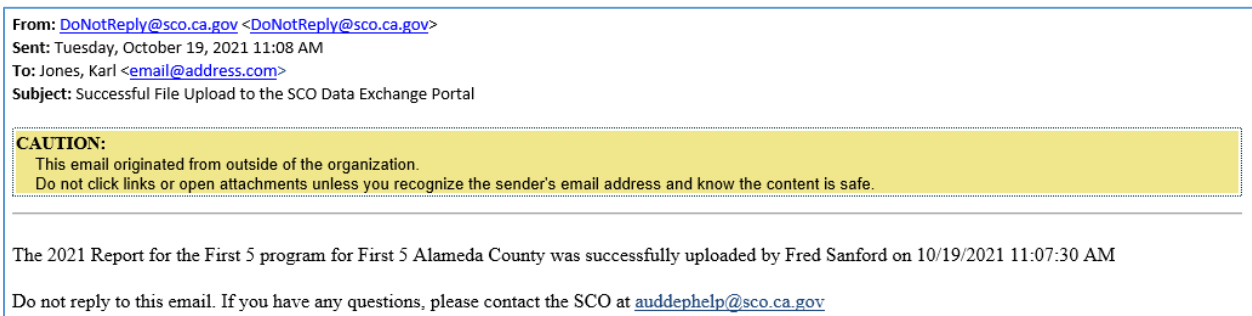
8.   VIEWING UPLOAD DETAILS

This section explains how you can view the details of file uploads displayed on your Dashboard. Clicking the **View Details** link in any row in the list will open a window displaying the details of that submission.

Details	Submitter ⇕	Program ⇕	Document Type ⇕
View Details	Alfaro, Richard	LEA	Other
View Details Submission Details rd	LEA	Report
View Details	Alfaro, Richard	LEA	Report

LOCAL EDUCATION AGENCIES (LEA), SINGLE AUDITS (SA), OR FIRST 5 DETAILS

Selecting a Local Education Agencies (LEA), Single Audits (SA), or First 5 row in the list takes you to this read-only **Submission Details** page:

Submission Details   ✕

Document Name	AlbanyUnifiedOther21_20210902_1223.pdf
Entity/CPA/TDA Admin	Jensen Smith, CPAs
On Behalf Of	Albany Unified
Submitter	Richard Alfaro
Program	LEA
Fiscal Year End	2021
Document Type	Other
Other Title	Supplemental Document
Submission Date	9/2/2021 12:23:48 PM

Close

- **Entity/CPA/TDA Admin Account** – Shows the name of the Entity or CPA account used to submit the file.
- **On Behalf Of** – Shows the name of the Entity on whose behalf the file was uploaded when a file was submitted by a CPA user.
- **Submitter** – Shows the name of the user who uploaded the file.
- **Program** – Shows the Program for which the file was uploaded.

- **Fiscal Year End** – Shows the Fiscal Year End to which the file pertains.

- **Document Type** – Shows the Document Type of the uploaded file.

- **Other Title** – Shows the Other Title entered when the user selects Other from the Type of Document field.

- **Submission Date**– Shows the date and time the file was uploaded.

TRANSPORTATION DEVELOPMENT ACT (TDA) DETAILS

Clicking the **View Details** link in a Transportation Development Act (TDA) row takes you to this read-only Submission Details screen:

Submission Details ×

Document Name	ParadiseOtherPTMISEA,other4.5&5&otherFY21_20210903_1423.pdf
Entity/CPA/TDA Admin	Butte County Association of Governments
On Behalf Of	Paradise
Submitter	Richard Alfaro
Program	TDA
Fiscal Year End	2021
Document Type	Other
Other Title	Supplemental Document
Submission Date	9/3/2021 2:23:34 PM
Fund	PTMISEA, other
Other Fund	Special District
Articles	4.5, 5, other
Other Article	2.7

Close

- **On Behalf Of** – Shows the name of the Entity on whose behalf the file was uploaded when a file was submitted by a CPA or TDA Admin user.

- **Fund** – Shows the Transportation Fund of the uploaded file.

- **Other Fund** – Shows the Other Fund information entered when the user selects Other from the Fund field.

- **Articles** – Shows the Articles contained in the uploaded file.

- **Other Article** – Shows the Other Article information entered when the user selects Other Articles from the Article section.

SPECIAL SUPPLEMENTAL NUTRITION PROGRAM FOR WOMEN, INFANTS, AND CHILDREN (WIC) DETAILS

Clicking the **View Details** link in a Special Supplemental Nutrition Program for Women, Infants, and Children (WIC) row takes you to this read-only Submission Details screen:

Submission Details   ×

Document Name	TheHumanFundSAR21_20210902_1238.pdf
Entity/CPA/TDA Admin	CDPH-WIC
Submitter	Richard Alfaro
Program	WIC
Fiscal Year End	2021
Document Type	Single Audit Report
Submission Date	9/2/2021 12:38:02 PM
Private/Non-Profit	The Human Fund

Close

- **Private/Non-Profit** – Shows the Private/Non-Profit organization associated with the uploaded file.

SCHOOL FACILITY PROGRAM BONDS (SFP) DETAILS

Clicking the **View Details** link in a School Facility Program Bonds (SFP) row takes you to this read-only Submission Details screen:

Submission Details	✕
Document Name	WilliamS.HartUnionHighRPTPrjNo13143534FY21_20210831_1315.pdf
Entity/CPA/TDA Admin	William S. Hart Union High
Submitter	Richard Alfaro
Program	SFP
Fiscal Year End	2021
Document Type	Report
Submission Date	8/31/2021 1:15:26 PM
Project Number	13143534

Close

- **Project Number** – Shows the Project Number associated with the uploaded file.