



## District Business & Advisory Services

Nimrat Johal: Director- DBAS: 408-453-6599

Cathy McKim, Manager-DBAS: 408-453-6588

Bulletin: 13-028

Date: September 21, 2012

To: District Fiscal Directors  
Charter School Administrators

From: Cathy McKim

Re: Electronic Format Submission Required for Annual Audit Reports - Fiscal Year 12-13

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The purpose of this bulletin is to advise you that beginning with fiscal year 12-13, all Annual Independent Audit Reports must be submitted in electronic format to the CDE.

### Acceptable Audit Report Formats

Beginning in 2012–13, audit reports must be submitted in an electronic format to the California Department of Education (CDE). Electronic audit report files must be in **unsecured** PDF file format (preferred) or Word document and include the independent auditor's electronic signature. Electronic audit reports may be submitted on a CD by mail or transferred electronically via exFiles File Transfer System.

### Where to Submit Audit Reports

Per Education Code (EC) 41020(h) Audit reports must be filed with the CDE, the State Controller's Office (SCO), the local County Superintendent of Schools, and, if applicable, the chartering entity, by December 15 of each year. Beginning in 2012–13, audit reports must be submitted to the CDE electronically by CD or via exFiles File Transfer System. Please choose only one method of submission. If submitting electronic audit report files by CD, please mail to:

California Department of Education  
School Fiscal Services Division  
Audit Resolution Staff  
1430 N Street, Suite 3800 Sacramento, CA 95814

For information on submitting audit reports to the State Controller's Office, please visit the [State Controller's Office Web site](#).

### exFiles File Transfer System

The instruction packet containing the CDE's exFiles address, project code, and password will be mailed out to CPA firms that are active on the Certified Public Accountants Directory Service to conduct LEA audits. Due to security protocol the CDE cannot provide instructions containing the project code and password by phone. If you plan to use the exFiles option and do not have the instructions packet, please contact the CDE to request the exFiles instructions at [leaaudits@cde.ca.gov](mailto:leaaudits@cde.ca.gov) or leave a voicemail message at 916-323-8068.

When requesting instructions, please include the Firm Name, Attention to, Mailing Address and Phone Number.

*Please distribute this memo within your District as deemed appropriate.*

County Board of Education: Leon F. Beauchman, Michael Chang, Joseph Di Salvo, Julia Hover-Smoot, Grace H. Mah, Craig Mann, Anna Song  
1290 Ridder Park Drive. San Jose, CA 95131-2304 (408) 453-6500 [www.sccoe.org](http://www.sccoe.org)

## exFiles File Transfer System Upload Procedures

The California Department of Education's exFiles File Transfer System is a Web-based file transfer system that makes it easy to transfer files. The file you submit must be an **unsecured** PDF or Word document.

The Upload user can perform the following functions:

- Upload files
- View project log

Please name the file by the Local Education Agency (LEA) name including the document type and year end (LEA Name + Document Type + Year End). For example, Alameda Unified School District's FY 2011-12 audit report file would be named:

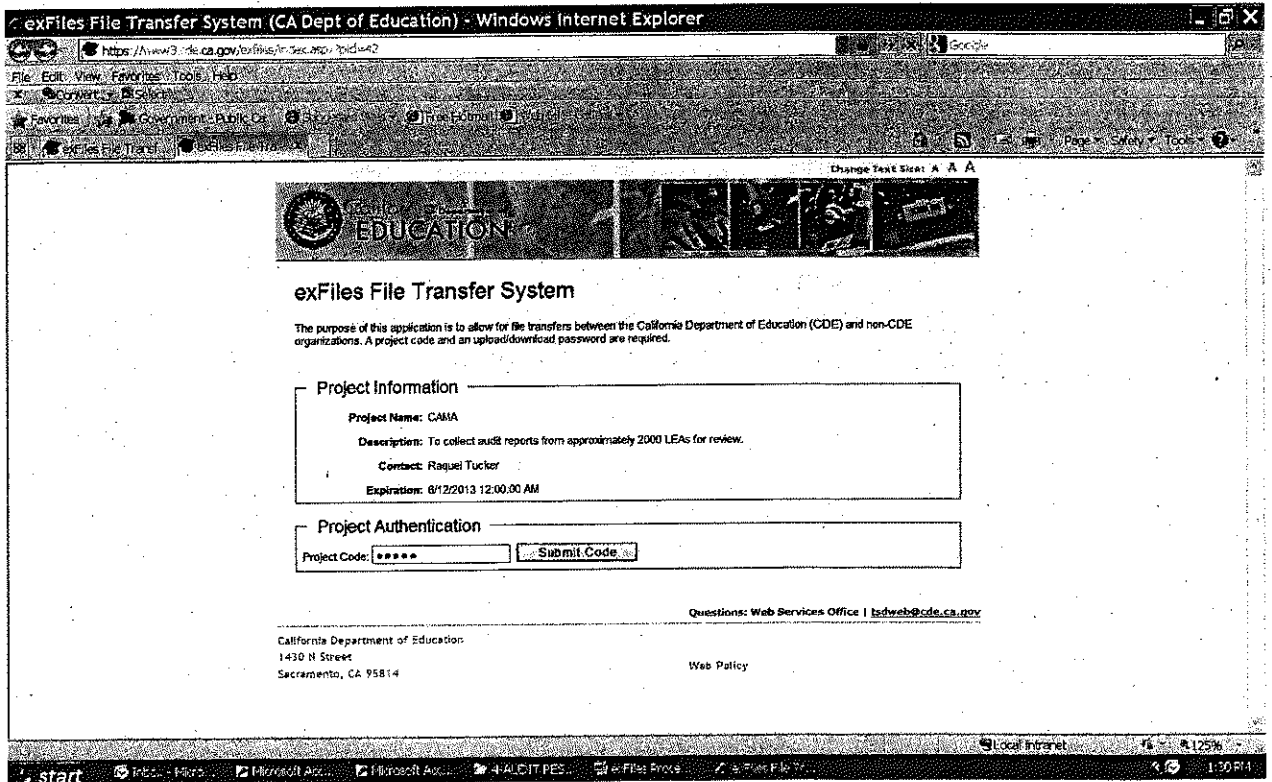
- **Reports = AlamedaUnifiedRpt12.pdf**
- **Revised Pages = AlamedaUnifiedRevision12.pdf**
- **Revised Report = AlamedaUnifiedRevisedRpt12.pdf**

Please follow the instructions in the following pages to successfully transfer your audit file. Once a file is transferred, you will be able to see that the file exists on the exFiles File Transfer site under the "File Listing" and "Operations Log". This is your confirmation that the file was transferred successfully.

To upload files:

1. Browse to the exFiles project URL.

exFiles project URL: <https://www3.cde.ca.gov/exfiles/index.aspx?pid=42>



2. Enter the project code and select "Submit Code". Please note the project code and password is case sensitive.

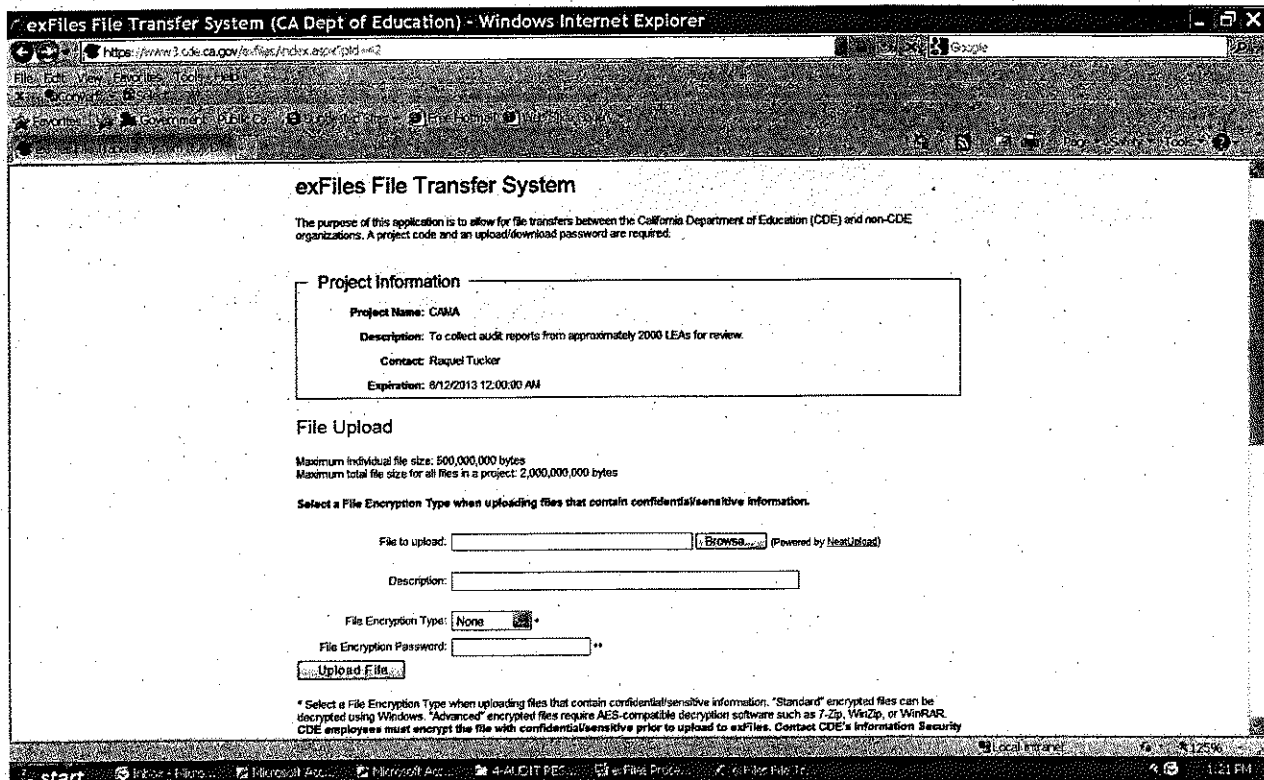
Project code: cama1

3. Enter the upload password and select "Submit Password".

**Upload Password: bR4brex3**

The screenshot shows a web browser window titled "exFiles File Transfer System (CA Dept of Education) - Windows Internet Explorer". The address bar shows the URL "https://www3.cde.ca.gov/exfiles/index.aspx?cid=42". The page content includes the California Department of Education logo and the title "exFiles File Transfer System". Below the title, a paragraph states: "The purpose of this application is to allow for file transfers between the California Department of Education (CDE) and non-CDE organizations. A project code and an upload/download password are required." The "Project Information" section lists: Project Name: CANIA, Description: To collect audit reports from approximately 2000 LEAs for review, Contact: Raquel Tucker, and Expiration: 8/12/2013 12:00:00 AM. The "User Authentication" section contains the text "Project code entered correctly. Enter the upload or download password in the box below." and a form with an "Upload/Download Password:" field containing seven asterisks and a "Submit Password" button. At the bottom, there is contact information for the California Department of Education and a "Web Policy" link.

4. Select the Browse button, then navigate to the file you want to upload. Only one file can be uploaded at a time.



5. You may enter a brief description of the file in the description text box, however it is not required since the name of the file should already identify the LEA name, document type, and year end.
6. Select the Upload File button. Once the file is transferred, you will be able to see that the file exists under the "File Listing" and "Operations Log". This is your confirmation that the file was transferred successfully.