# Chapter 10

Administration

This Page Left Blank Intentionally

Administration: Introduction

The Admin section is where you enter your local government's required and optional system information.   When you open CTAS for the first time, all entities should start here. In this section, you can also complete the year-end processing, back up your data, purge old records, create a CTAS error log, and check what version of CTAS you are using.

Accessing the Administration Section

To access the Admin section, click on the Admin tab (circled) in the Task Bar, then click the Admin icon (boxed). The Admin screen will open to the System Information (F3) tab.
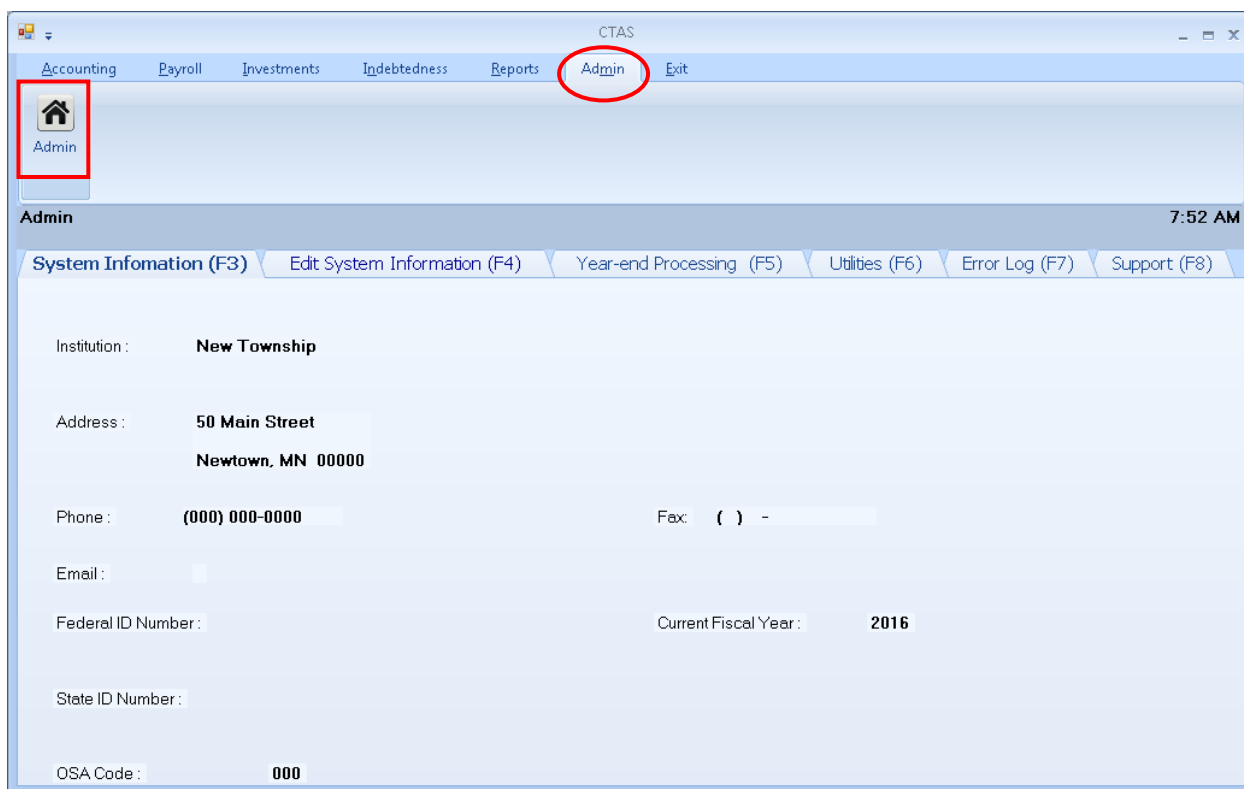

The Admin section contains six tabs which allow you to perform different functions in the section: view and edit the current system information; calculate your year-end information, and generate, submit, and check the status of year-end reports and financial statements; back up or purge (delete) your data; create and export an error log file that can then be e-mailed to the Office of the State Auditor (OSA) for review; or check the current version of the CTAS program.

Administration: Entering the System Information

The CTAS program requires certain information about your entity to operate properly. By entering this information, you enable CTAS to perform certain functions such as printing checks and generating reports without an error message.

To review, enter or update your entity's information in CTAS, open the Admin section (see previous page). The Admin screen will open to the System Information (F3) tab. Review the System Information.
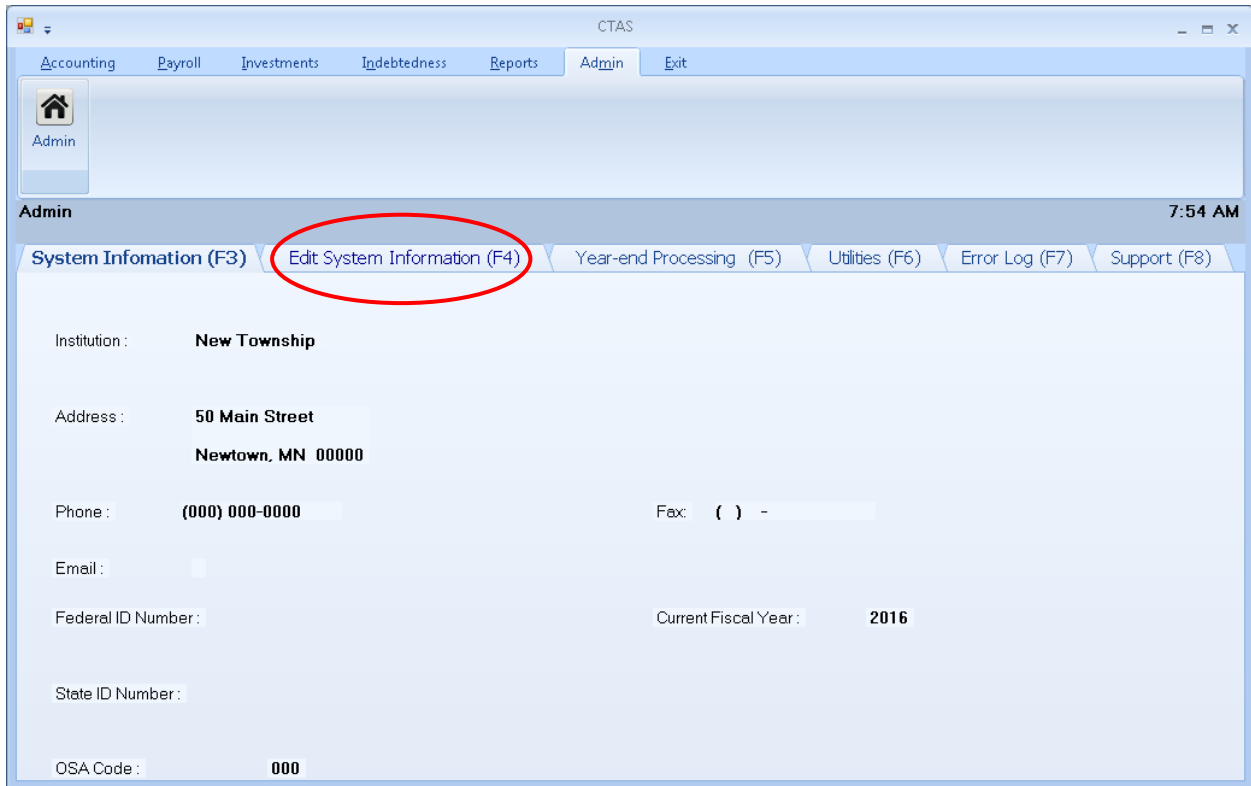
Administration: Entering the System Information (continued)

If you wish to update the information, click on the Edit System Information (F4) tab (circled). The Edit System Information screen will open.

The following steps are required:

- Enter the name of your town or city in the Institution Name field.
- Enter the complete mailing address of the town or city in the Address fields.
- Enter the OSA Code (received from the Office of the State Auditor).

The other information may be entered at any time. For optional information:

- Enter the Federal Employer ID number in the Federal ID field; it begins with 41-.
- Type the State ID number, if you have one, in the State ID field.
- Click on the up or down arrow in the Current Fiscal Year box to change the fiscal year to the current one.

When you have completed entering the information, click on the Save button (circled). You will receive the message "System Information updated successfully." Click OK.

Administration: The Year-end Processing Tab

The year-end processing should be completed after the December/January bank reconciliation is completed, all year-end reports have been printed and the financial records are ready for the Town Board of Audit or City Council.

Transactions for the current year can be entered without the completion of the year-end processing. *You will receive a message stating "the transaction falls outside the current fiscal year do you want to change the date?" Select no and the transaction will be saved with the entered date.*

To begin the year-end processing, open the Admin section (see) and click on the Year-end Processing (F5) tab (circled).
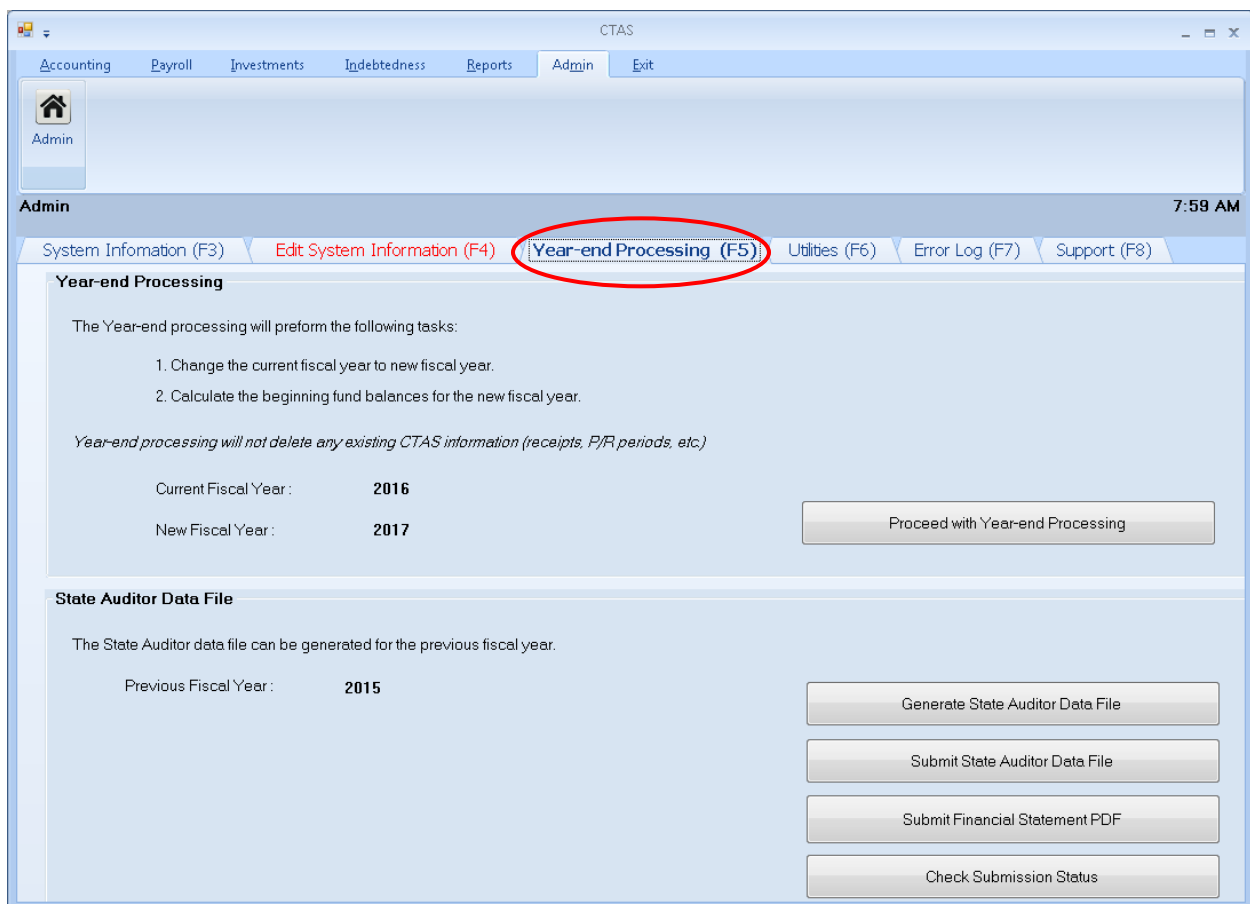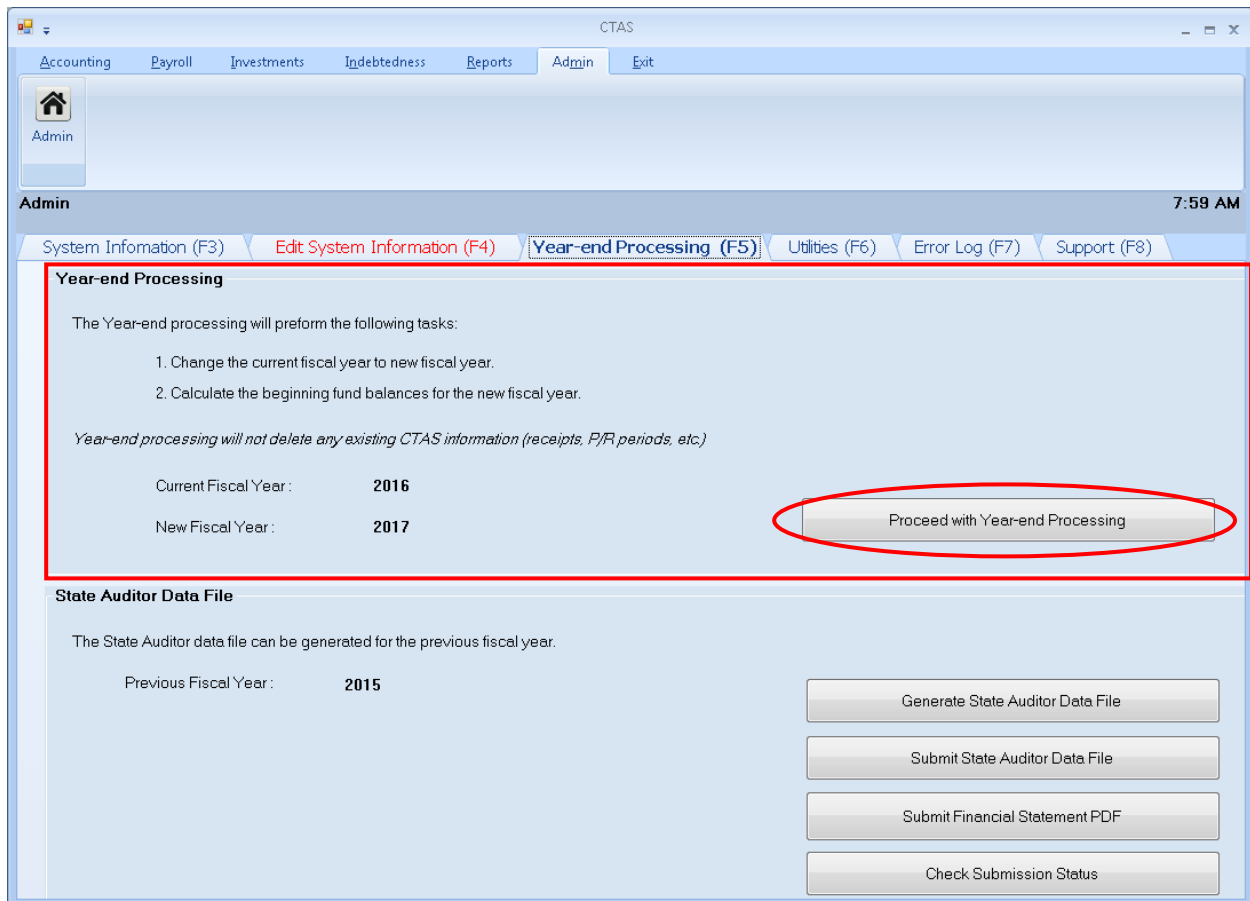

This section offers two functions to choose from: Year-end Processing and State Auditor Data File.

Administration: The Year-end Processing Tab (continued)
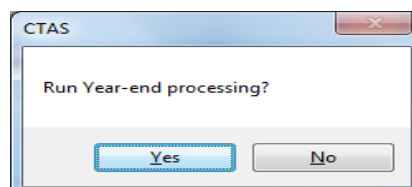
Operating the Year-end Processing

The first function (boxed) on the Year-End Processing tab allows you to change the current fiscal year and calculates the beginning fund balances for the new fiscal year. Once all entries have been made and you are ready to close out the year, click on the Proceed with Year-end Processing button (circled).

A CTAS screen opens, click Yes to run the year-end processing.
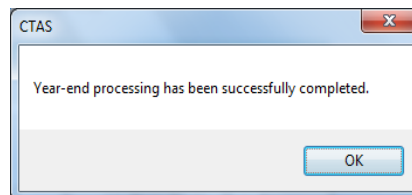
When the processing has been completed, a second CTAS screen opens. Click OK.

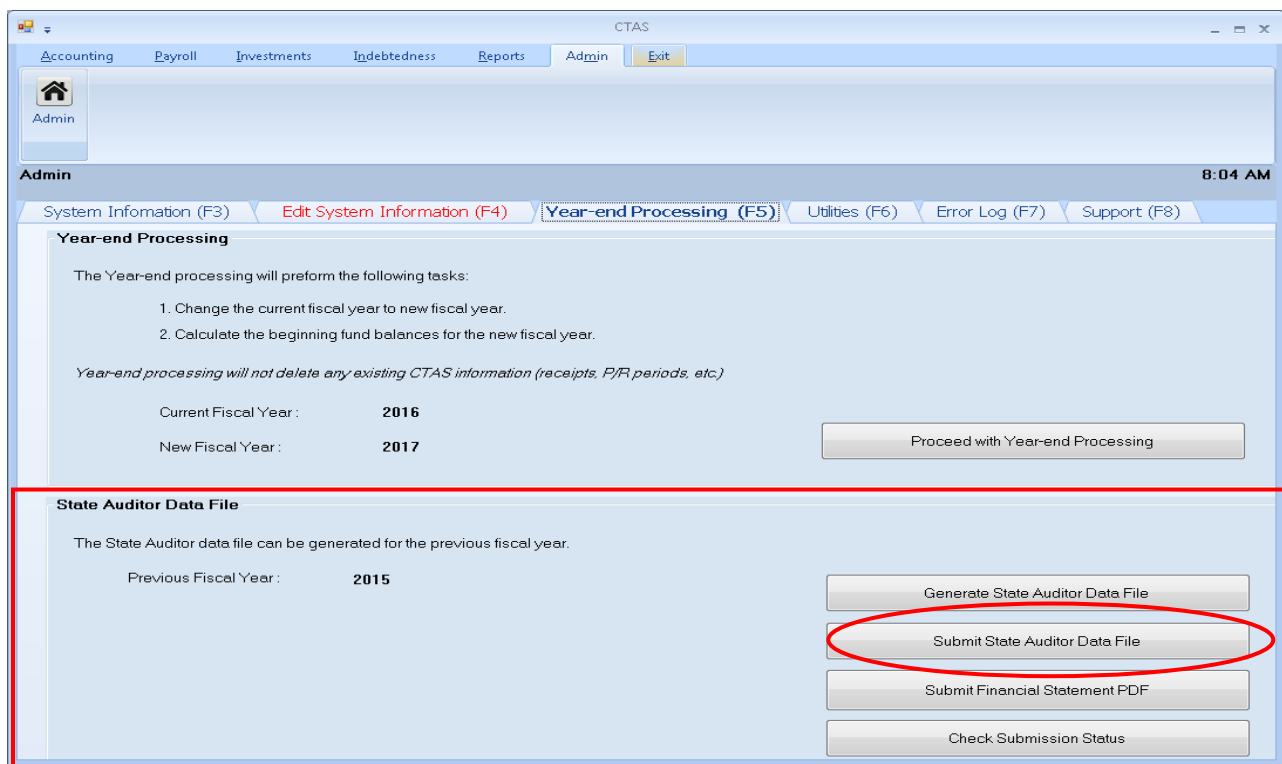## Administration: The Year-end Processing Tab (continued)

Submitting State Auditor Data File

The second function available on the Year-End Processing tab enables CTAS to create and submit a data file that can be used to file the financial reporting form with the OSA.

The data file generated by CTAS meets the filing requirements of the OSA for the completion of the annual financial reporting form for cities and towns which are not required to be audited. Some cities and towns are required to file financial statements with the OSA. Information on audit requirements for cities and towns is available on the Frequently Asked Questions (FAQ) page of the OSA website at http://www.auditor.state.mn.us/default.aspx?page=faq.

CTAS will submit your entity's State Auditor Data File and Financial Statement to the OSA. You will need an Internet connection and also be registered in the State Auditor Form Entry System (SAFES) as a User and a Form Preparer to utilize this feature. More information on SAFES is available on the OSA website at https://www.auditor.state.mn.us/safes/.

To submit the State Auditor Data File, open the Year-end Processing (F5) tab (see page 10-1). Review the State Auditor Data File section (boxed) to verify that the Previous Fiscal Year is the correct year that you are reporting for. Next, click the Submit State Auditor Data File button (circled).
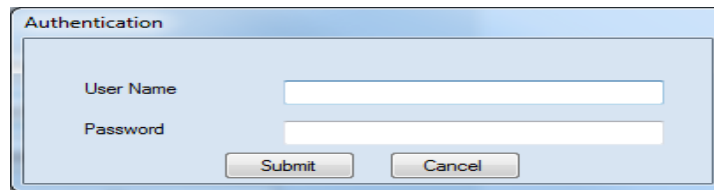

Note: Before you submit the State Auditor Data File, make sure you review the Cash Basis Reporting Form located under Reports (see Chapter 7). By running this report, users are able to review what information is being sent to the OSA.

Office of the State Auditor

Administration: The Year-end Processing Tab (continued)
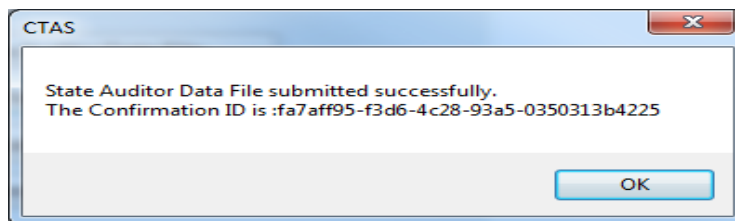
Submitting State Auditor Data File (continued)

An Authentication screen will open. Enter your SAFES User Name and Password in the Authentication box, then click the Submit button. If you do not have a SAFES access, send an email to SAFES@osa.state.mn.us noting that you do not have a User Name and Password along with your name, title, entity you are with, public mailing and email addresses, and entity telephone number.

A CTAS screen with a confirmation ID opens and click OK.

Administration: The Year-end Processing Tab (continued)

Submitting Financial Statements

Some entities are required to file financial statements with the OSA in the Adobe Acrobat PDF format. In the Admin module, CTAS will make a PDF of your entity's Financial Statement and submit it directly to the OSA (see Chapter 7 for printing a financial statement for your records).

To submit the Financial Statement, open the Year-end Processing (F5) tab (see page 10-1). Review the State Auditor Data File section (boxed) to verify that the Previous Fiscal Year is the correct year that you are reporting for. Next, click the Submit Financial Statement PDF button (circled).
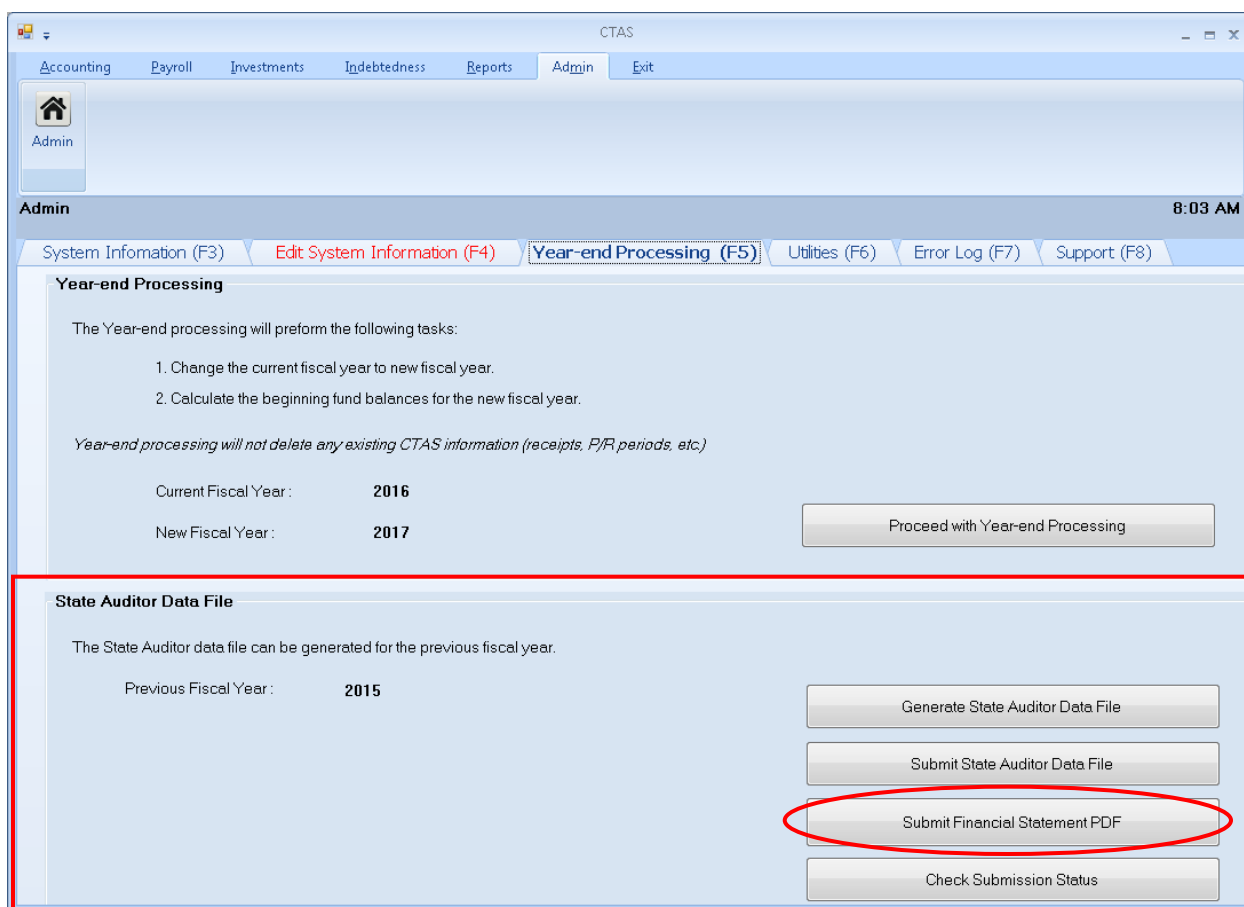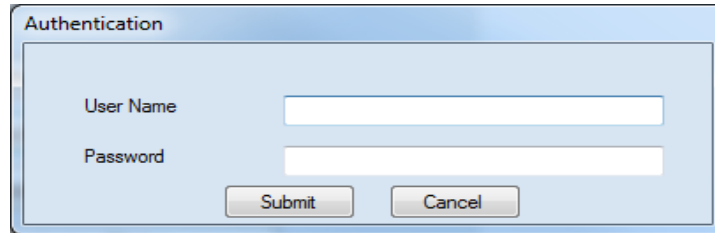

Note: Before you submit the Financial Statements, make sure you review the Financial Statement Report located under Reports (see Chapter 7). By running this report, users are able to review what information is being sent to the OSA.

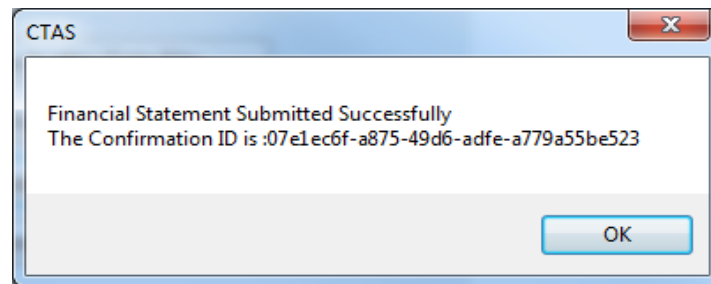## Administration: The Year-end Processing Tab (continued)

Submitting Financial Statements (continued)

When the Authentication screen opens, enter your SAFES User Name and Password in the Authentication box, then click the Submit button. If you do not have a SAFES access, send an email to SAFES@osa.state.mn.us noting that you do not have a User Name and Password along with your name, title, entity you are with, public mailing and email addresses, and entity telephone number.

A CTAS screen with a confirmation ID opens (below) and click OK.

Administration: The Year-end Processing Tab (continued)

Generating the State Auditor Data File

If you need to create and save a State Auditor Data File to send to the OSA, open the Year-end Processing (F5) tab (see). Review the State Auditor Data File section (boxed) to verify that the Previous Fiscal Year is the correct year that you are reporting for. To create the State Auditor Data file, click on the Generate State Auditor Data File button (circled).
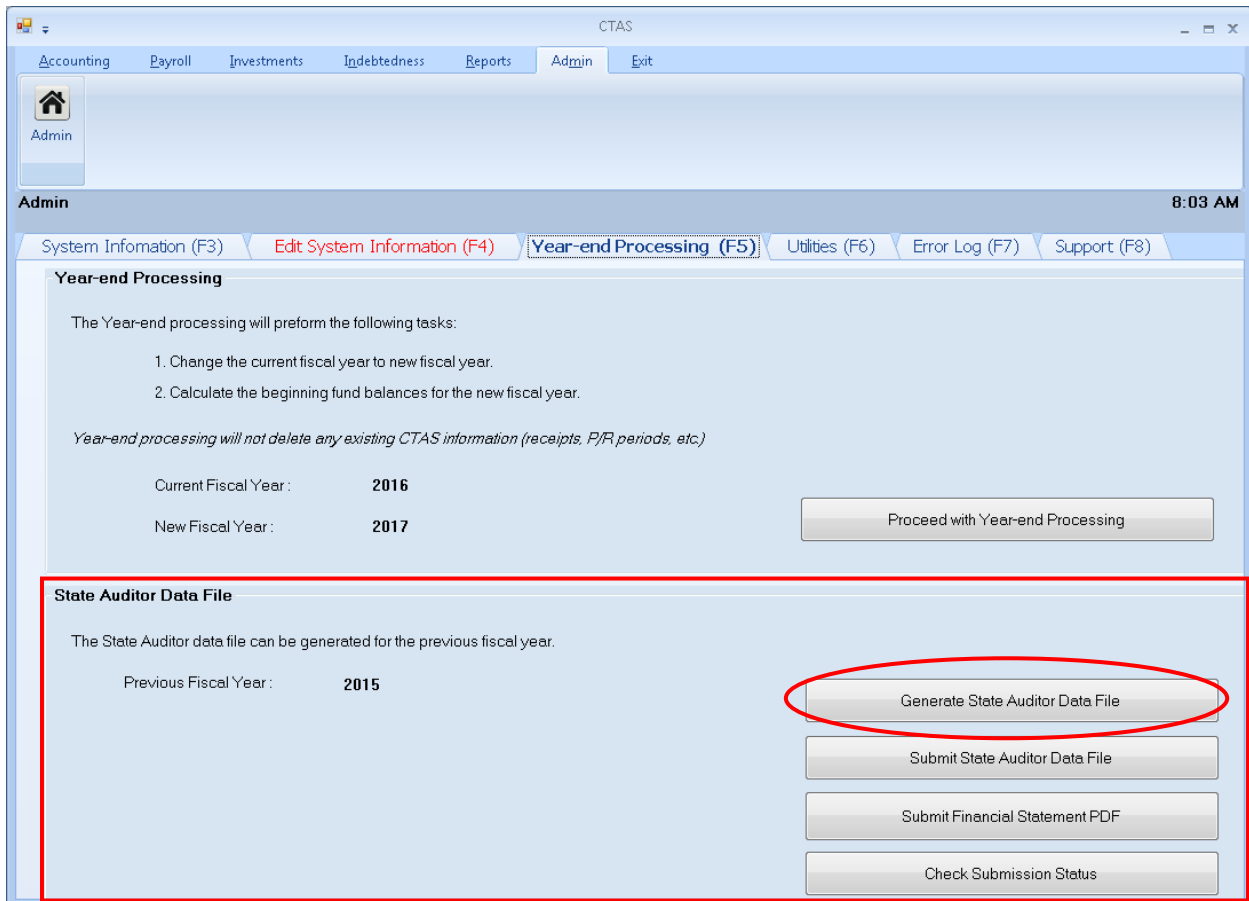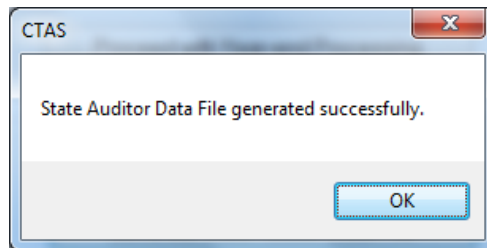
Administration: The Year-end Processing Tab (continued)

Generating the State Auditor Data File (continued)

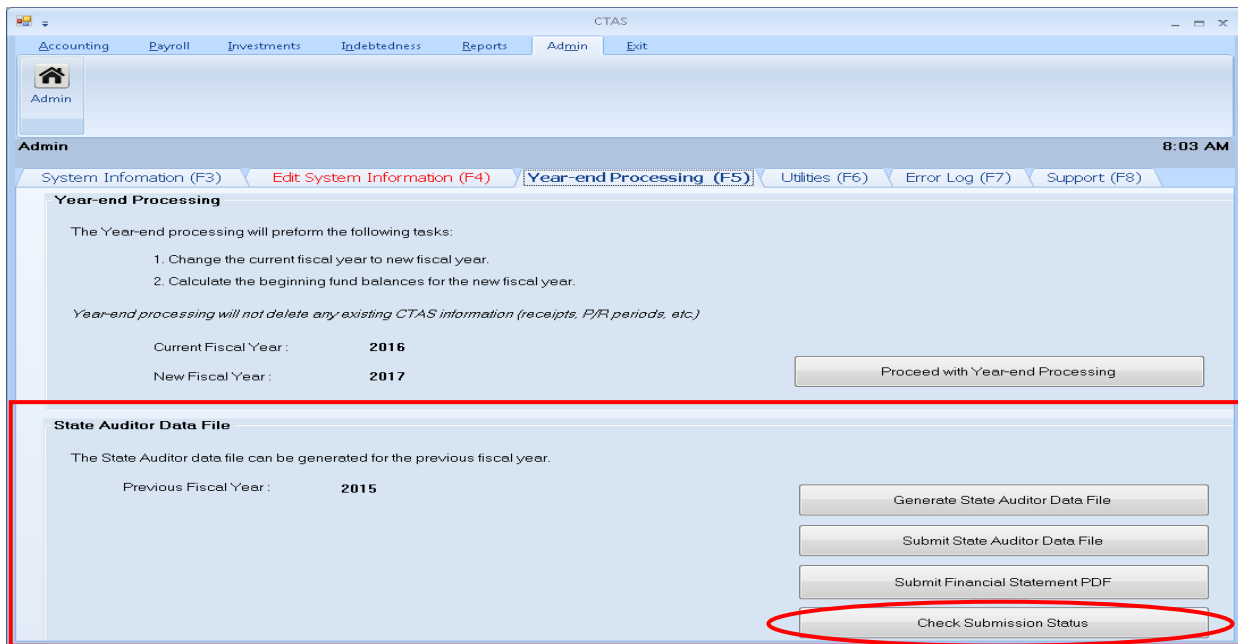The Save State Auditor Data File screen opens.
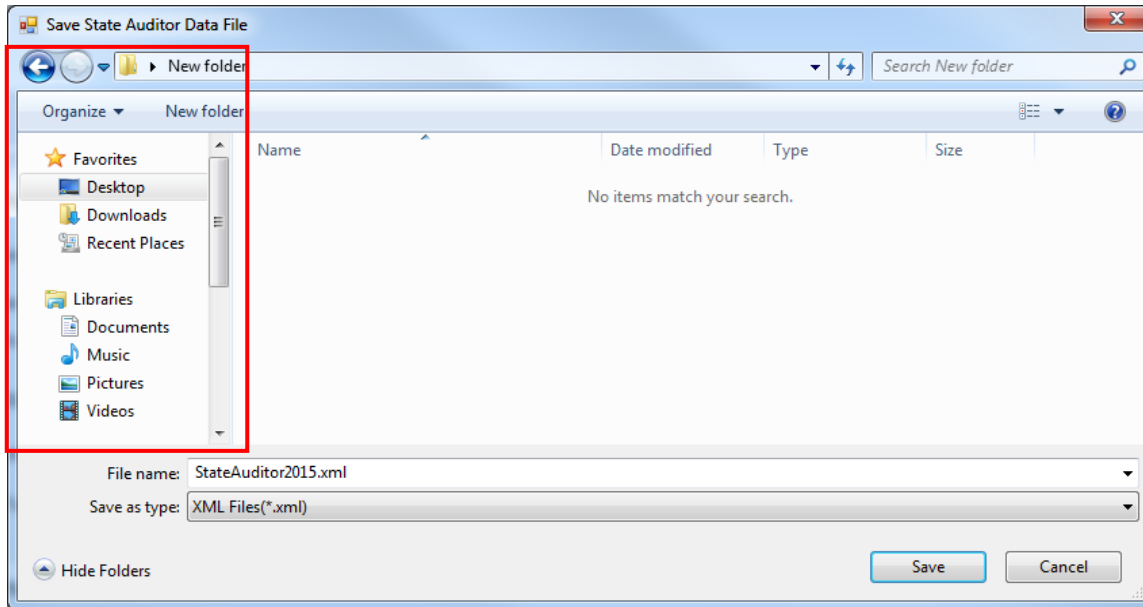
In the Save State Auditor Data File box, select where you would like the file to be saved (boxed). Click Save when finished. A CTAS screen opens. Select OK to finish.

Administration: The Year-end Processing Tab (continued)

Check Submission Status

CTAS will display records of forms you have submitted to the OSA in the Year-end Processing tab. Begin by opening the Year-end Processing (F5) tab (see page 10-1). In the State Auditor Data File section (boxed), click the Check Submission Status button (circled).

CTAS displays the State Auditor Data Files that have been submitted on the same screen (boxed, below).

Office of the State Auditor
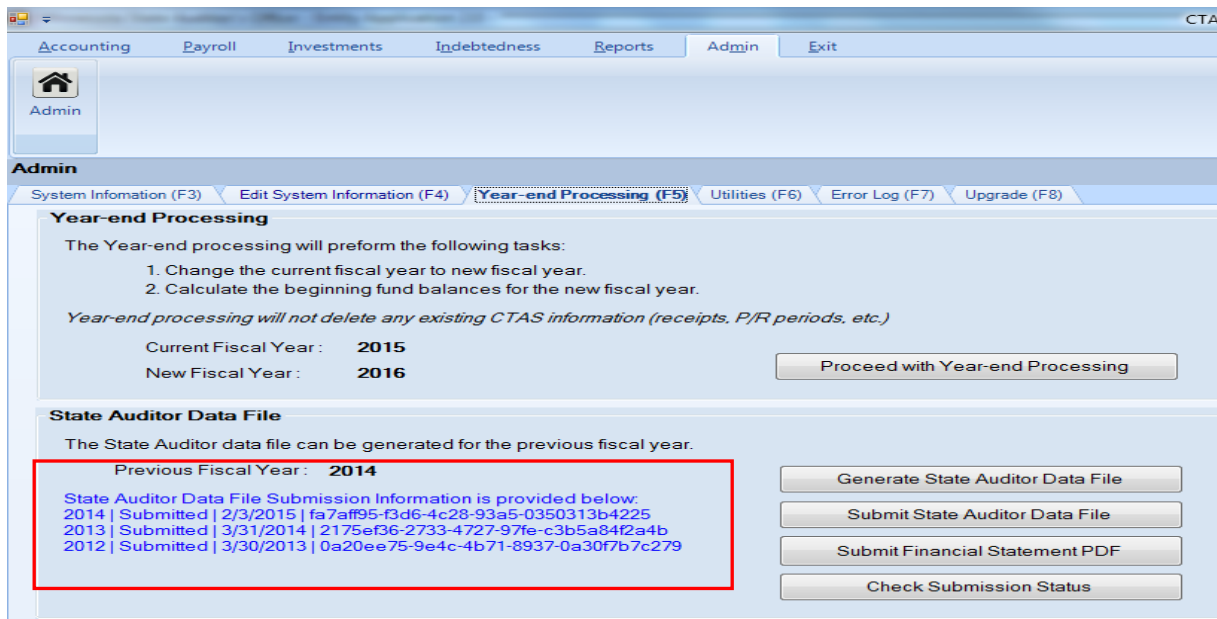
Administration: The Utilities Tab

Introduction

There are two options in the Utilities (F6) tab of the Admin module:

- Purge Old Records – Purging records deletes selected information from your current CTAS database. When you choose this option, CTAS will first take you through the process of backing up your data before you begin the Purge process.

- Backup CTAS Database – Regularly backing up your CTAS data is **strongly recommended**. When you choose the Backup CTAS Database option, CTAS will back up your data onto an external storage device. This is a complete backup which copies all of your CTAS data.

To access these utilities, navigate to the Admin section (see page 10-1 for instructions). The screen will open to the System Information (F3) tab. Click on the Utilities (F6) tab (circled). The Utilities screen opens.
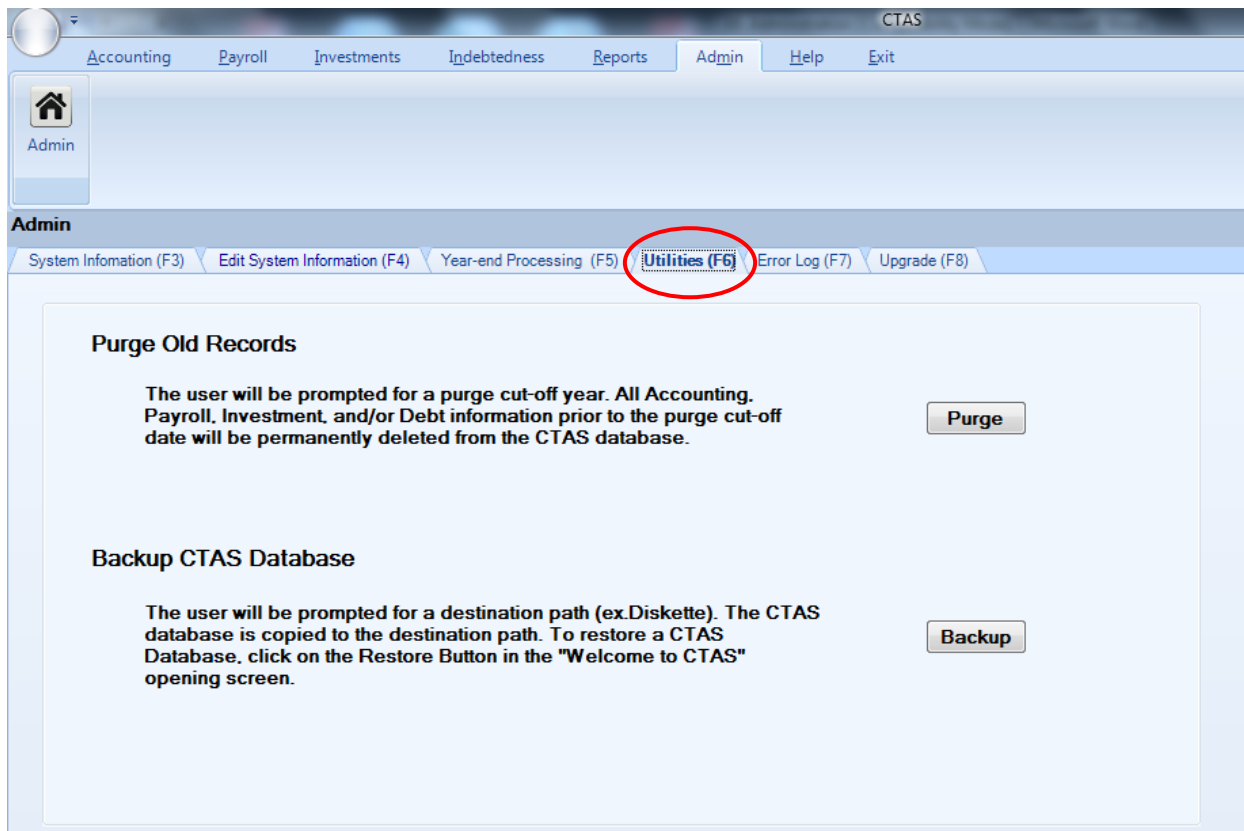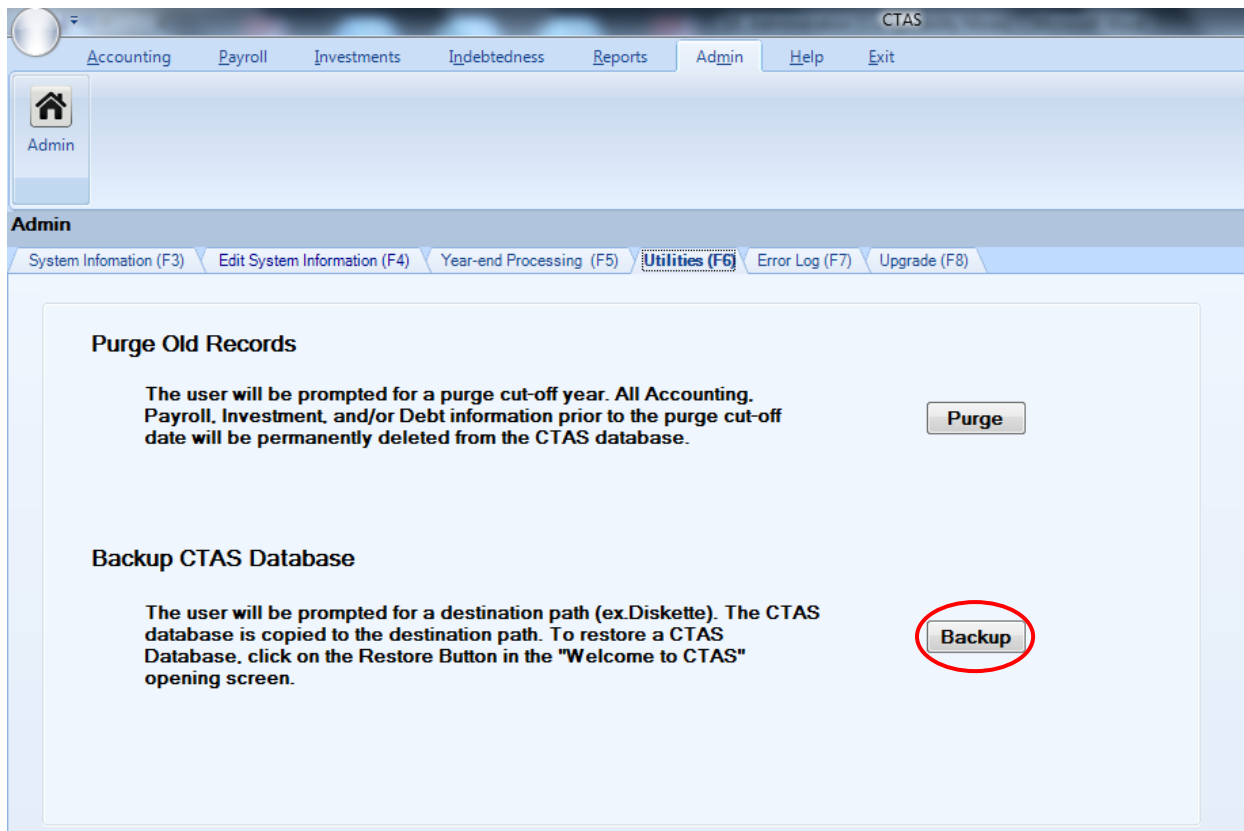
Administration: The Utilities Tab (continued)

Backing Up the CTAS Database

Regularly backing up your CTAS data is **strongly recommended**. When you choose the Backup CTAS Database option, CTAS will back up your data onto an external storage device. This is a complete backup which copies all of your CTAS data.

The following instructions show you how to back up to a USB flash drive, which is the recommended choice for backing up your data because of its ease of use and the amount of storage space available. The recommended procedure is to use a rotation of three backups. The first time you backup, use Backup 1. The second time, use Backup 2. The third time, use Backup 3. Then, the fourth time you can use Backup 1 again.
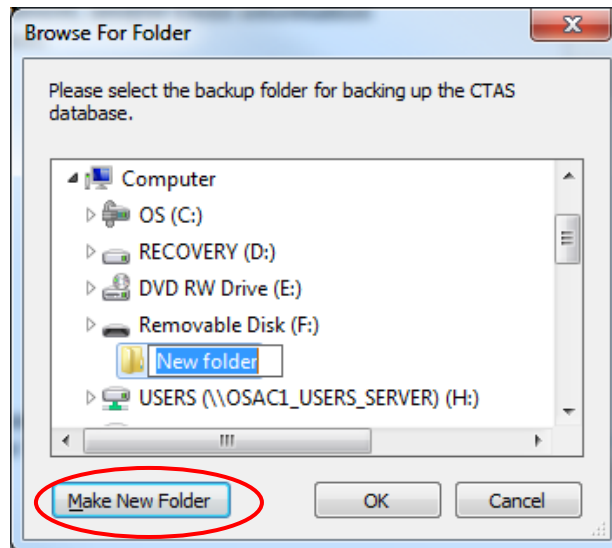
To begin backing up your data, go to the Utilities (F6) tab and click on the Backup button (circled).

Administration: The Utilities Tab (continued)

Backing Up the CTAS Database (continued)

Your selection will bring you to the Browse For Folder screen.

When the Browse For Folder screen opens:

- Select the location where you would like the backup file to be saved. The Make New Folder button (circled) allows you to create a folder for your backup in the location of your choosing.

- Click the OK button.

When you click OK on the Browse For Folder screen, a CTAS window opens.
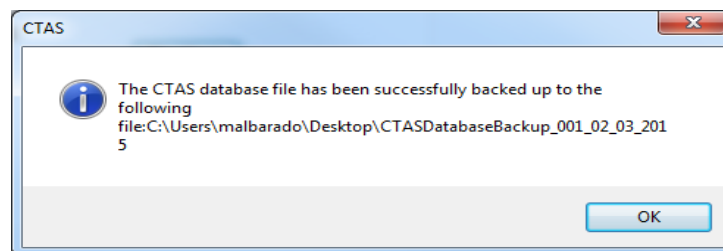
When this screen appears, your database backup is complete.

Administration: The Utilities Tab (continued)

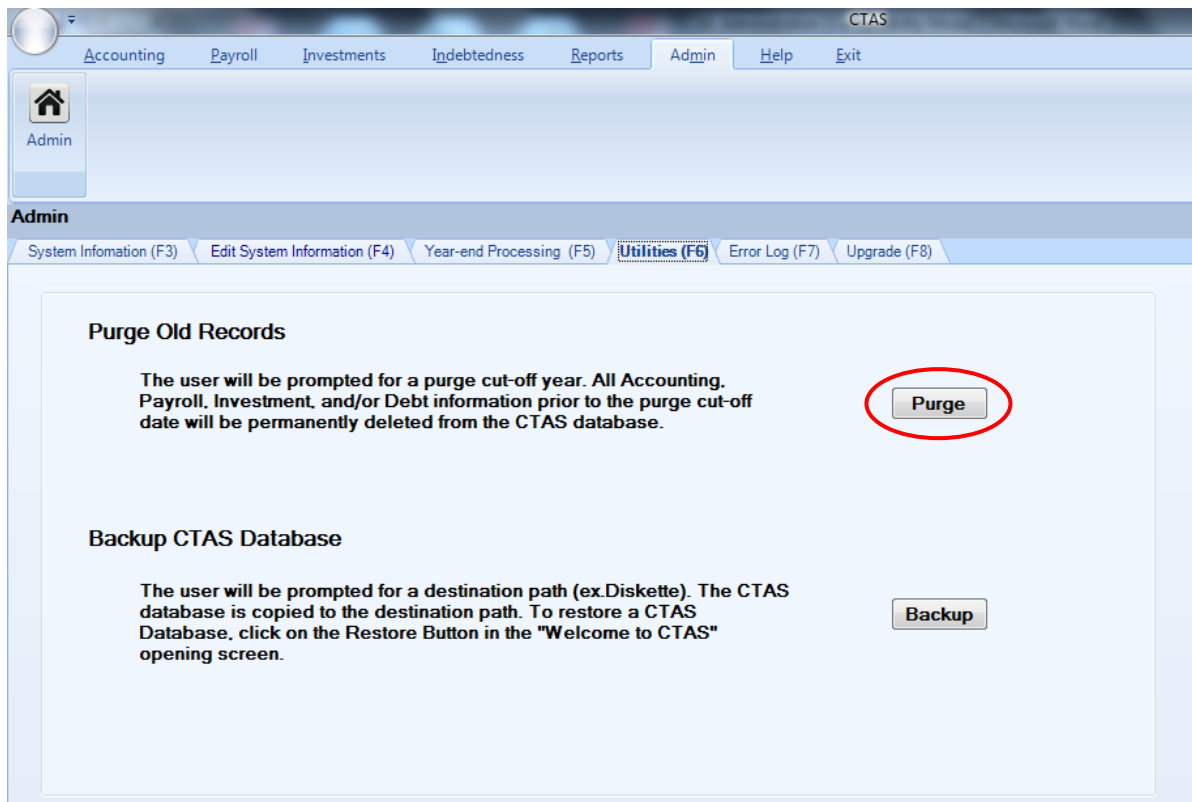### Purging (Deleting) Old Records

Purging records deletes selected information from your current CTAS database. You might choose to purge some data if a backlog of data is making your CTAS system run slow, or if you have more than ten years of data and no need to access the old data.

Note: Make sure to verify data retention laws before purging records.

When you purge data, CTAS asks you which records you wish to purge: Accounting, Payroll, Investment, and/or Debt. Chart of Accounts data will not be purged. You also choose a cut-off year: CTAS will remove all data from years prior to, but not including, the cut-off year from your current CTAS database.

The first step to purging data is to back up all your CTAS data. Once you have completed purging data, you will only be able to access the purged records by restoring the database from a backup.
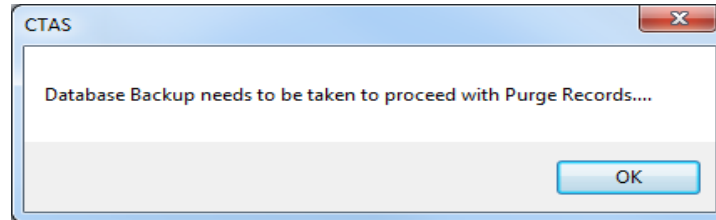
To purge data, open the Utilities (F6) tab (see). To begin purging your data, click on the Purge button (circled).

Administration: The Utilities Tab (continued)

Purging (Deleting) Old Records (continued)

A CTAS screen appears.

Click OK to begin the backup process. (See page 10-15 for instructions on backing up the database)

When you click OK on the backup confirmation screen, the Purge Old CTAS Records screen appears.

Using this screen, you choose which records you wish to purge. (Chart of Accounts data will not be purged)

Administration: The Utilities Tab (continued)

### Purging (Deleting) Old Records (continued)

To purge old records, complete the applicable steps:

- Check the Purge Accounting Records box to delete the records in the Accounting Module.

- Check the Purge Payroll Records box to delete the records in the Payroll Module. *Employee information records will not be purged if this box is selected.*

- Check the Purge Investment Records box to delete the records in the Investment Module.

- Check the Purge Debt Records box to delete the records in the Indebtedness Module.

- Enter a cut-off year in the Purge cut-off Year field. All transactions from years prior to (but not including) that year will be deleted.

Note: Once you click the Run Purge button, you will only have access to these records if you have a backup copy of the data.

- Click the Run Purge button.

When you click Run Purge a CTAS screen appears, asking you to confirm that you wish to purge the selected records. Click Yes to purge the data.
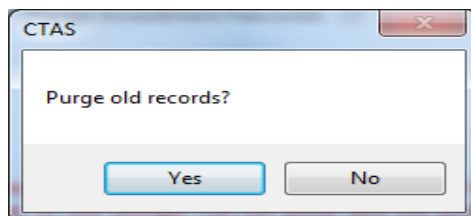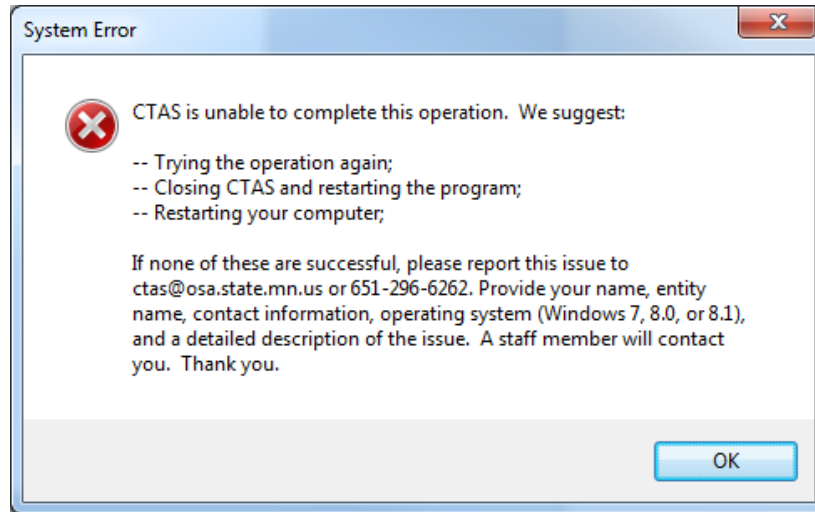
Once Yes is clicked, a CTAS screen appears to confirm that the process is complete. Click OK.
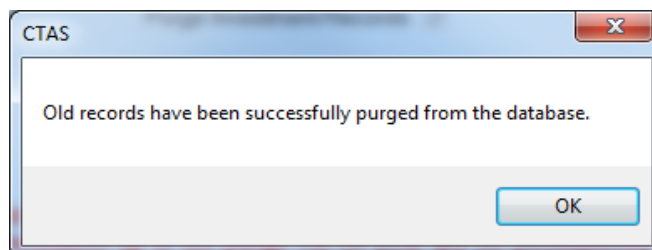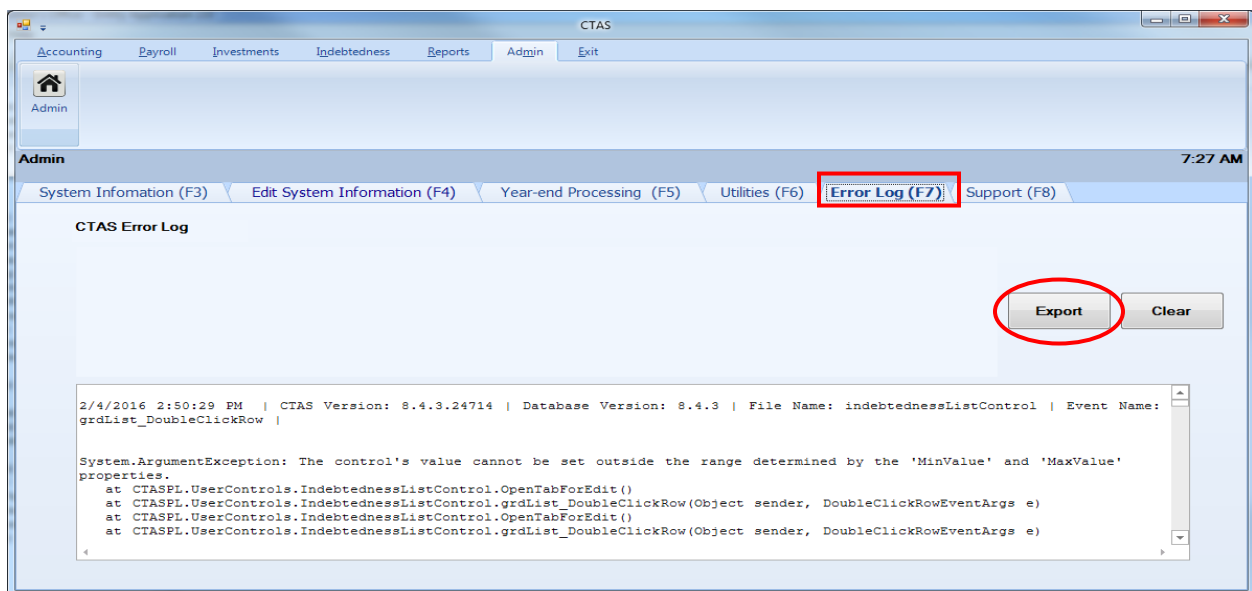
Administration: The Error Log Tab

While you are using CTAS, a "System Error" screen or similar error message (example below) may appear on your screen to indicate that there's a program-related issue that prevents it from completing a task.


If this happens, we encourage you to contact the OSA at ctas@osa.state.mn.us or 651-296-6262. To help us diagnose and attempt to address the problem, you can export the error log that CTAS maintains and submit it to the OSA.

To export the error log, open the Admin section (see page 10-1) and click on the Error Log (F7) tab (boxed). Next click the Export button (circled).
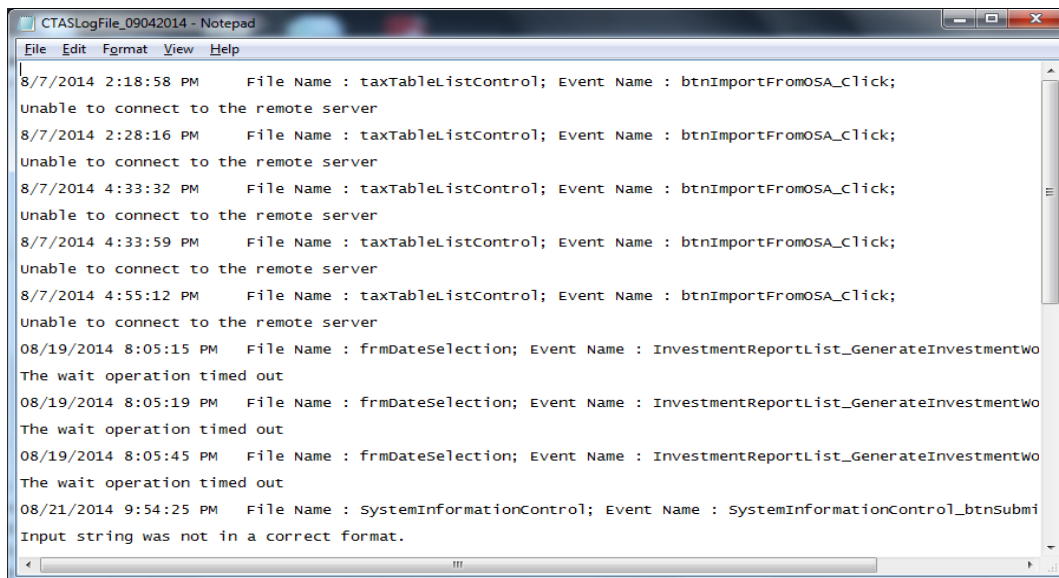
Administration: Error Log (continued)

After clicking the Export button, the Save CTASErrorLog screen appears.
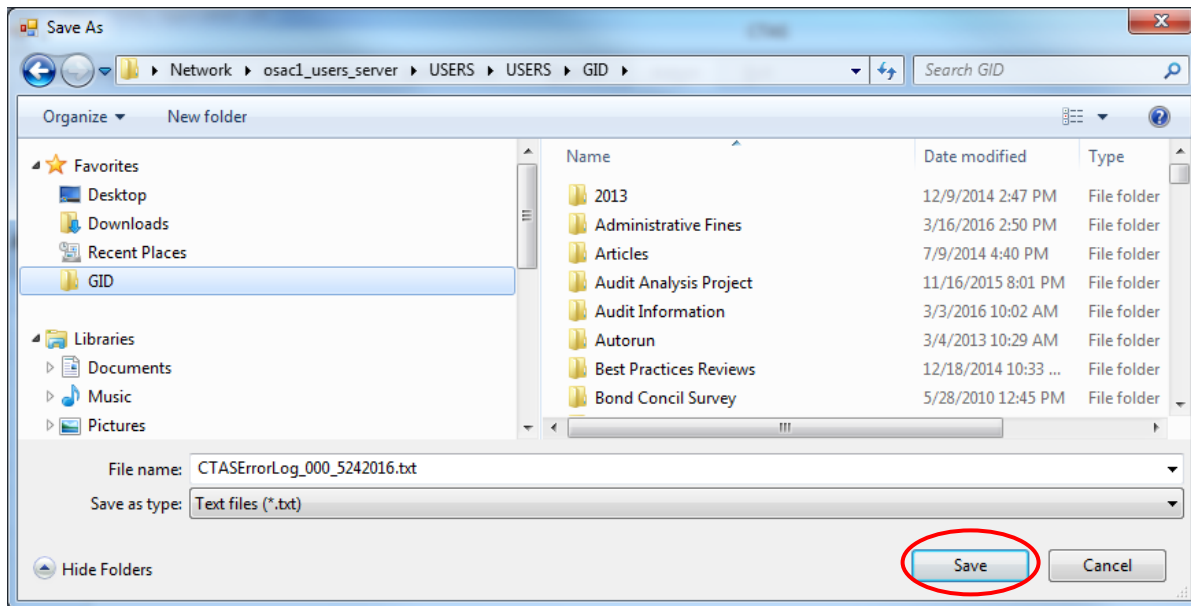
Select the location where you would like the backup file to be saved, then click the Save button (circled). A text (.txt) file has been created with the error information for submission to the OSA. A sample file is below.

Administration: The Support Tab

You will only need to use the Support (F8) tab (circled) when you are working with OSA staff to correct a specific system issue or to verify application/database version (boxed) of your CTAS program.
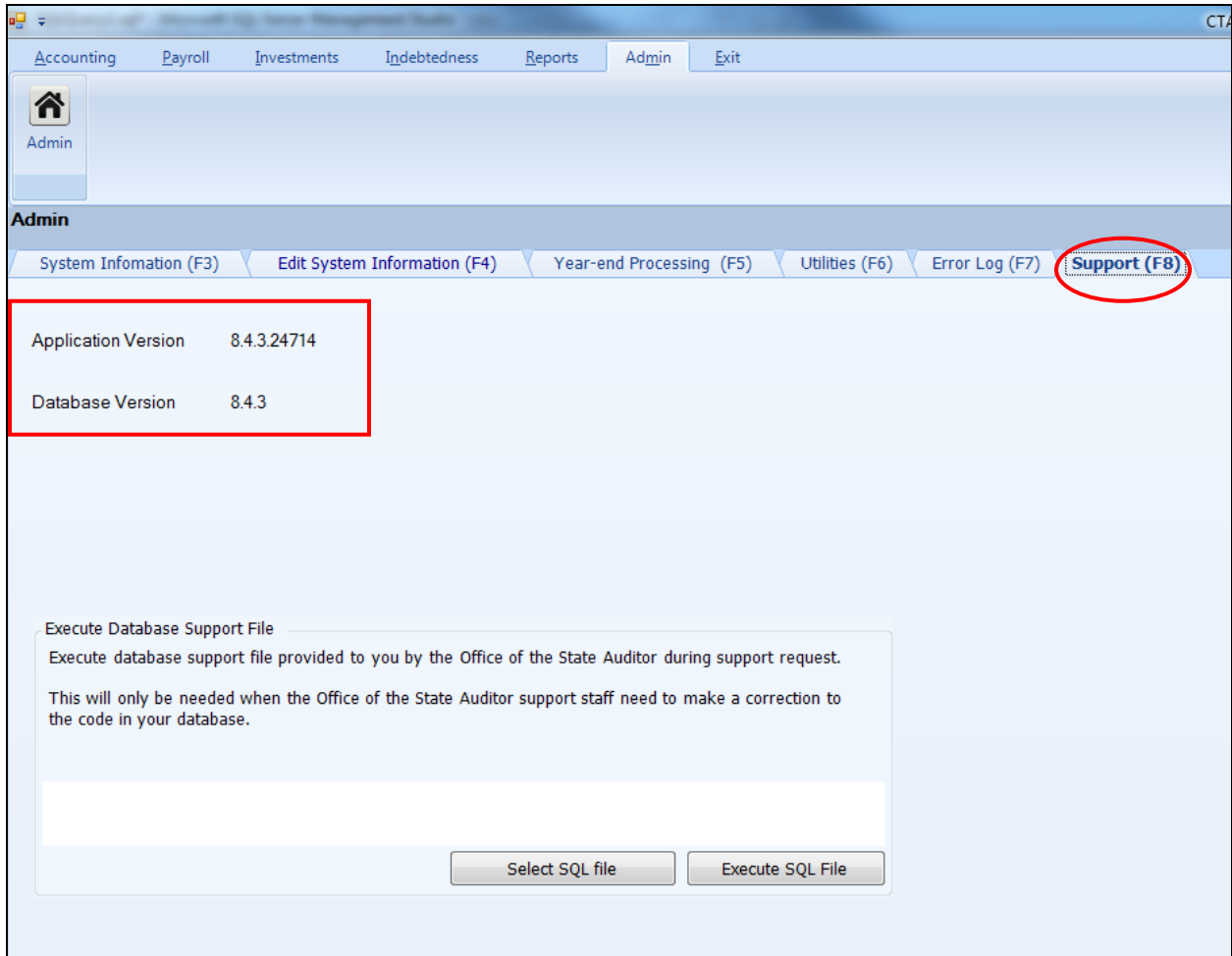
Administration: End of Year Procedures

The CTAS system is a cash basis system and requires no closing journal entries. Thus, closing the books is a simple process. Presented below are some guidelines to help the user in completing the year-end procedures.

In December:

- ❖ Coordinate the approval and payment of all legal claims for the current year.
- ❖ Collect, record, and deposit all monies in the bank.
- ❖ Pay and record all approved claims.
- ❖ If your city or town will be audited, contact your auditor for any special instructions.

At Year-End:

- ❖ Finish entering all transactions for the year.
- ❖ Run receipt and disbursement registers for the final month of the year.
- ❖ Print ledgers of all accounts from the beginning of the year.
- ❖ Analyze each ledger account to detect any information that is not complete, correctly entered, or properly classified.
- ❖ Review registers to detect any receipt or check that has not been recorded.
- ❖ Prepare or print a schedule of investments. Reconcile the schedule with statements from banks or other financial institutions.
- ❖ Print a cash control report. Reconcile the bank statement to the cash control report.
- ❖ Print Schedule 1 - Statement of Receipts, Disbursements and Fund Balances for all funds.
- ❖ Print Schedule 2 - Receipts and Disbursements by Fund for each fund.
- ❖ Balance each report, cross checking to be sure that the total receipts and disbursements are correct.
- ❖ Correct and rerun the registers, ledgers, and financial statements as required.
- ❖ Bind the final and complete set of the following reports for permanent retention: Receipt Ledgers, Receipt Registers, Disbursement Ledgers, Disbursement Registers, and Year-end and Interim Financial Statements.
- ❖ Make final **backup** copies of the data. Document, date, and retain the copies as a permanent record.
- ❖ Remember to store one set of backup copies off-site.

Year-End Processing:

CTAS is designed to account for multiple years in the same database. Therefore, the year-end processing is quite simple.

Office of the State Auditor