

**Centralized Reporting for Corrective Action  
Plans and SharePoint User Guide  
June 2015**

## Centralized Reporting for Corrective Action Plans and SharePoint User Guide

The Office of Accounts and Control and the Office of Grants Management have developed an internal SharePoint site to collect and store the quarterly updated agencies' and component units' Corrective Action Plans and auditee responses to the annual Single Audit Financial Statement findings, and Federal Award Findings and Questioned Costs. The updated Corrective Action Plans and other responses will be collected on one shared Excel spreadsheet per quarter, for the quarters ending June 30, September 30, and December 31, which are due 45 days after the end of the quarter. This user guide will lead agency and component unit CFOs through the process of updating their Corrective Action Plans or responses to a Single Audit finding using SharePoint.

SharePoint is a web application framework which acts as a virtual library, and allows users to store and edit files online. Files are not downloaded, but "checked out" for viewing or editing. Using SharePoint gives users the convenience of accessing and editing a file without having to download the same file multiple times, or emailing it back and forth.

In SharePoint, the Office of Accounts and Control has placed a copy of the 2014 Single Audit Report, with Corrective Action Plans and responses to Financial Statement Findings and Federal Award Findings and Questioned Costs as of March 31, 2015. This was sent to the Federal Audit Clearinghouse on March 31, 2015. Also in SharePoint are the Excel files we will use to record the updates to the Corrective Action Plans and other responses to Single Audit findings for the quarters ending June 30, September 30, and December 31.

Office of Management and Budget - Accounts & Control: Single Audit Responses

Office of Management and Budget > Accounts & Control: Single Audit Responses

Respond to findings on a quarterly basis.

**Announcements**

There are currently no active announcements. To add a new announcement, click "Add new announcement" below.

[Add new announcement](#)

**Single Audit Responses**

| Type | Name                       | Modified By             |
|------|----------------------------|-------------------------|
|      | Fiscal Year 2014 Responses | Findlay, Jennifer (DOA) |

[Add new document](#)

**Calendar**

| Date                | Event        |
|---------------------|--------------|
| 6/30/2015 12:00 AM  | Updates Due! |
| 9/30/2015 12:00 AM  | Updates Due! |
| 12/31/2015 12:00 AM | Updates Due! |

[Add new event](#)

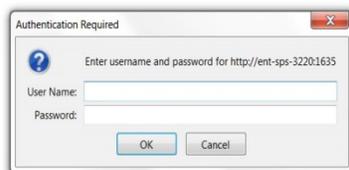
The first Excel file to be updated will be the one for the quarter ending June 30, 2015, which is due on August 15, 2015. Think of SharePoint as a library where documents are checked out and checked in. While a user has a document checked out for viewing or editing, no one else can access it. After editing the file, the user checks it in and another user may now check out and edit the file.

In order to use the SharePoint site, the user must have a SharePoint license and an enterprise account to enter the secure site. If you don't have a license or an enterprise account, or if you are unsure whether or not you have these credentials, please contact the Accounting and Financial Reporting Section of the Office of Accounts and Control.

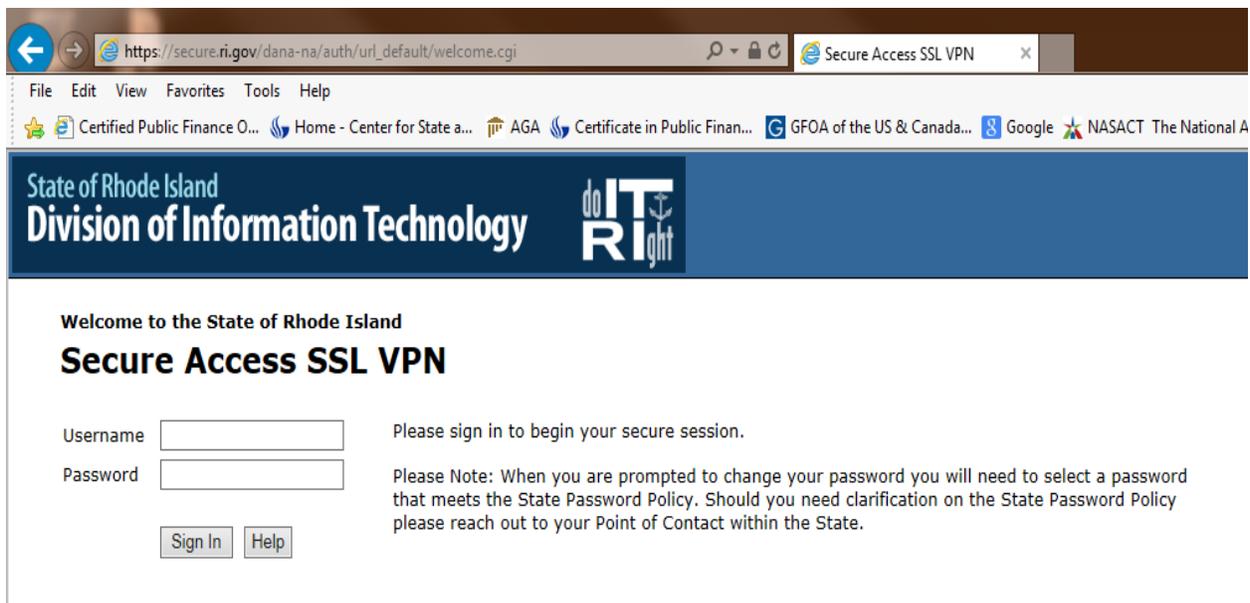
Once you have the required credentials, you can type the SharePoint URL into your Internet Explorer browser to access the site:

**<http://ent-sps-3220:1635/singleaudit/default.aspx>**

The log-in screen will appear, and you will type in your username and password.



If you normally log in to your work computer using an enterprise account, your password will be the same. If you do not normally use an enterprise account, your password will be assigned by DoIT, and you will be prompted to change your password at first log-in. Please note that if you are not normally on the enterprise network, you must log in through the SSL VPN website, "secure.ri.gov."



The screenshot shows a web browser window with the URL [https://secure.ri.gov/dana-na/auth/url\\_default/welcome.cgi](https://secure.ri.gov/dana-na/auth/url_default/welcome.cgi). The browser's address bar shows the page title "Secure Access SSL VPN". The browser's menu bar includes "File", "Edit", "View", "Favorites", "Tools", and "Help". The browser's toolbar shows several icons, including "Certified Public Finance O...", "Home - Center for State a...", "AGA", "Certificate in Public Finan...", "GFOA of the US & Canada...", "Google", and "NASACT The National A". The page header features the "State of Rhode Island Division of Information Technology" logo and the "doIT Right" logo. The main content area has a blue background with the text "Welcome to the State of Rhode Island" and "Secure Access SSL VPN". Below this, there are two input fields for "Username" and "Password". To the right of the "Username" field is the text "Please sign in to begin your secure session." To the right of the "Password" field is the text "Please Note: When you are prompted to change your password you will need to select a password that meets the State Password Policy. Should you need clarification on the State Password Policy please reach out to your Point of Contact within the State." Below the input fields are two buttons: "Sign In" and "Help".

You must always use Internet Explorer as your browser when accessing the site. SharePoint is a Microsoft product and the site has limited functionality with other browsers.

Please watch the tutorial on the Office of Accounts and Control website at the following link: <http://controller.admin.ri.gov/Training/index.php> under the heading Webinars. It will help you visualize the process of checking out the SA Response Excel file, updating comments, and checking it back in.

Open your browser and enter the SharePoint URL. You may be prompted to log in, particularly if this is the first time you have accessed SharePoint. The homepage for the Accounts and Control SharePoint site will open. You are now in the library where all the Single Audit Response files are stored.

Click on the heading labeled Single Audit Responses, then click on the folder icon next to Fiscal Year 2014 Responses. You will see several files, but the one you will be using first is the one labeled SA Finding Responses as of 6.30.15.

Click on the filename and you will see a drop-down menu. In the menu, select Check Out. A warning message will appear, and you will click OK. Your name will now appear in the column labeled "checked out to."

Go back to the filename, click on the down arrow, and scroll to edit in Microsoft Excel. Another warning will appear; click OK.

Look for the Finding Number of the finding you wish to update. In Column B, the Status column, there will appear a drop-down menu with 4 choices:

- Implemented
- Partially implemented
- Not implemented
- No Longer Valid

Pick the appropriate status and move right, to the Comments column. This is where you will give additional details to elaborate on the status of the finding, such as the date the Corrective Action Plan was or will be implemented, additional information which enhances your previous response, or confirmation that previous comments remain unchanged.

A helpful hint: if a response is lengthy, you may want to prepare draft comments in advance of “checking out” the file, then simply cut and paste the responses into the Comments column. During or after editing, simply click on the save icon at the upper left of the file to save your work in SharePoint.

When finished, or simply done with a particular session, save a copy of the updated file to your own computer. Go to File/Save As. Save the document with a slightly different name, in the folder you have prepared for that purpose. You will see a SharePoint message asking if you wish to “Discard your Check Out.” You may “discard the check out” and the document will automatically check back in. Or, you can choose “Keep Checked Out,” and instead close the document, hover over the down arrow next to the filename, scroll down and click on “check in.”

A question will appear on the right...”Keep the document checked out after checking in this version?” Click NO. Typing comments in the comment field should not be necessary, therefore skip this step. Click OK. Now the document is no longer checked out to you, and other agencies can access and edit the file.

### **Points to Remember**

This is a library, or shared set of files, that many users will access. Take care to edit only those findings that belong to you.

Preparing draft responses in advance with Status and Comments will save time while the file is checked out. Be prepared prior to checking out the file, so that comments can easily be typed, or copied and pasted into the file.

Always use Internet Explorer as your browser.

Please do not check out the master Excel file for more than one hour at a time. If you are delayed, just check the document in and check it out again later.

Save a copy of the edited file on your own computer.

Once all responses have been updated (that is, the day after the due date), the file will be “locked down” by Accounts and Control and cannot be edited.

For obvious reasons, please do not wait until the day the responses are due to put in your updates. If you have problems with the site, notify Accounts and Control as soon as possible.