

NORTH CAROLINA
DEPARTMENT OF STATE TREASURER
STATE AND LOCAL GOVERNMENT FINANCE DIVISION
AUDIT REPORT TRANSMITTAL DOCUMENT

PORTAL ADDRESS: <http://nctreasurer.slgfd.leapfile.net>

This document is designed to track the documents that the auditor has either transmitted, not transmitted at this time but will do so in the future, or does not plan to issue for each audit report submitted for approval.

The Audit Report cannot be processed unless we receive the following: PDF copy of the financial audit report; Unit Data Input File in Excel format (not in PDF); and Audit Report Transmittal Document.

We plan to make the Audit Reports and any communication letters available electronically in the future, so we are requesting that the file name of the audit report and any communications have the following file names.

- PDF file of the Audit Report "Unit Name – Audit"
- PDF file of all communication letters from the auditor to the unit – "Unit Name – comm #1", "Unit Name – comm #2", etc. Communication would include: Management Letters, SAS 115, 114, etc.
- PDF file of Single Audit Report "Unit Name – Saudit"

Please complete the form below for each unit and include it with the transmission of the audit report.

Name of Governmental Unit	
E-mail used to Notify the Unit of Audit Approval	
Name of Audit Firm	
E-mail used to Notify Auditor of Audit Approval	
E-mail Address of Audit Firm where Approved Invoices are to be sent	

Type of Audit Click on or hit enter key on applicable box	Single	Yellow Book	Financial Only
Click on or hit enter key on applicable box			

Documents	Included in Transmission	Transmit at Later Date	Not Issued
	Click on or hit enter key on applicable box below		
PDF File of Final Audited Financial Statements and any Compliance Documents ¹			
Separate PDF File of Final Compliance Reports ¹			
Excel File – Unit Date Input file – (Reports will <u>not</u> be processed without this file)			
Counties Only – CPA representation letters³ (Separate PDF File)			
Counties Only – CPA turnaround document³ (Separate PDF File)			
Management letter			
Other Auditor Communications ²			
If applicable, an amended Contract and letter explaining the reason an audit report is late should be included.			
Invoice			

¹ PDF file should be issued to match how the report is issued and opinions are structured

² The LGC does not require a SAS 115 letter to be issued if a yellow book report is issued

³ District Health Authorities with WIC programs selected as a major program must also submit a CPA representation letter and turnaround Document

Internal Use Only:						Lev 1 Lev 2
Unit Type: _____	Unit #: _____	Date Received in Portal: _____				
Financial Reviewer: _____	Date Approved: _____				Draft UL: Yes No	
Single Audit Reviewer: _____	Date Approved: _____					
Manager Review: _____	Date Approved: _____				UL Issued: Yes No	
WL: Yes/No						Final Invoice in folder: Yes No
Circle if applicable:						
Agenda	911	A&U	ElectriCities	Revenue Bonds	Watch Unit	
Instant UL:	Late Audit	Tax<80%	FBA<8%	IC	FO Bond	QR<1.0