

Step-by-Step Guide to Using eZ-Audit for Lender OIG and Lender UG Audit Guide

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eZ-Audit Overview

What is eZ-Audit?

eZ-Audit is a web based paperless single point of submission for financial statements and compliance audits. A designee from your entity simply signs on to eZ-Audit, enters summary audit and financial data directly from your report into a web form, attaches an electronic version of the report, and hits the submit button. Your submission through eZ-Audit will allow for more rapid and efficient processing by the Department of Education (ED) and therefore provide you with immediate feedback.

How does eZ-Audit work?

1. Your entity submits its compliance audit data and summary financial data, as applicable via a web form (follow this manual for complete instructions).
2. Your entity also attaches an electronic copy of audit report in a non- editable pdf format (using Adobe Acrobat).
3. The eZ-Audit system automatically forwards flagged financials and/or deficient audits to FSA for resolution.
4. FSA communicates with you to reach resolution.
5. As desired, you can periodically check eZ-Audit for the status of your report.

How does eZ-Audit Benefit You?

- You will receive instant acknowledgement of receipt – no more lost reports!
- You will no longer need to make any copies or send reports in the mail to ED.
- Processing times will be greatly reduced, thus allowing for quicker remediation of findings.
- Web forms will contain pre-populated fields.
- There are no new reporting requirements – data entry will be limited to the same data already contained in the reports.
- The time spent submitting these forms should be less than 1 hour.
- Status of your submissions will be accessible to you online at any time.
- eZ-Audit Help Desk assistance is available at fsaezaudit@ed.gov or by calling 1-877-263-0780, Monday – Friday, 9 a.m. – 5 p.m. ET.

Who at my entity will use eZ-Audit?

- *eZ-Audit Institution/Entity Administrator, selected by your entity, is responsible for:*
 - Registering your entity with eZ-Audit
 - Providing/managing access to data entry and submission approval personnel, as identified by your entity
 - Maintaining security information regarding entity's users as required
- *eZ-Audit Data Entry Users, selected by your entity, are responsible for:*
 - Entering data into the eZ-Audit system
 - Attaching non-editable, pdf files of financial statements and compliance audits
- *eZ-Audit Submission Approvers, selected by your entity, are responsible for:*
 - Reviewing the submission prior to "submit"
 - Approving the submission via the "submit" action

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What role should my auditor play in eZ-Audit?

You may choose to ask your auditor to serve in all roles listed above.

If your auditor is not selected as a Data Entry/Submitter User; you may request that your auditor electronically sends you your financial statements and compliance audits in the non-editable pdf format using Adobe Acrobat.

Please note that the pdf files containing your financial statements and compliance audits will be included as attachments to your eZ-Audit submission – all signature pages in the financial statements and compliance audits, as well as the entity's corrective action plan, must be scanned.

eZ-Audit Technical Requirements

eZ-Audit is a **web-based application**. This means you will not need to load a new application on your computer. You will simply need to ensure that you have an **Internet browser – Internet Explorer 11.0 or higher**.

NOTE

If you receive an error that does not allow you to access eZ-Audit when you type in the URL from your Internet browser, please contact your network administrator and request that he/she do one of the following:

- Open your firewall to allow all 165.224.xxx.xxx addresses through, which would allow your entity access to all ed.gov sites
- Conduct a lookup on ezaudit.ed.gov which will allow your entity access to eZ-Audit

eZ-Audit requires you to attach a non-editable pdf version of your annual submissions. **Adobe Acrobat** must be used to create this attachment.

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eZ-Audit Rules of Behavior

eZ-Audit is a Department of Education system. Department of Education computer systems are provided for the processing of Official U.S. Government information only. All data contained on Department of Education computer systems is owned by the Department of Education and may be monitored, intercepted, recorded, read, copied or captured in any manner and disclosed in any manner, by authorized personnel. THERE IS NO RIGHT OF PRIVACY IN THIS SYSTEM.

System personnel may give to law enforcement officials any potential evidence of crime found on Department of Education computer systems. Unauthorized use of this system is a violation of Federal law and can be punished with fines or imprisonment (P.L. 99-474). "Use of this system by any user, authorized or unauthorized, constitutes consent to this monitoring, interception, recording, reading, copying, and disclosure.

You may decide to send FSA information, including personally identifying information. The information you supply

– whether through a secure Web form, a standard Web form, or by sending an electronic mail message – is maintained by FSA for the purpose of processing your request or inquiry. Various employees of FSA may see the information you submit in the course of their official duties. The information may also be shared by FSA with third parties to advance the purpose for which you provide the information, including other federal or state government agencies. For example, if you file a complaint, it may be sent to a financial entity for action, or information may be supplied to the Department of Justice in the event it appears that federal criminal statutes have been violated by an entity you are reporting to FSA.

The primary use of personally identifying information will be to enable the government to contact you in the event we have questions regarding the information you have reported. If you are concerned about how information about you may have been used in connection with the eZ-Audit web site, or you have questions about FSA's privacy policy and information practices, you should e-mail us at webmaster@fsa.ed.gov. Electronic mail is not necessarily secure. You are advised to be cautious when sending electronic mail containing sensitive, confidential information. As an alternative, we advise users to give consideration to using postal mail.

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The screenshot shows the eZ-Audit interface. At the top left is the FSA logo (Federal Student Aid) and the eZ-Audit logo. At the top right is the U.S. Department of Education seal. Below the logos is the text "Welcome to eZ-Audit". A large warning box is centered on the page, containing the following text:

WARNING:
You are accessing a U.S. Federal Government computer system intended to be solely accessed by individual users expressly authorized to access the system by the U.S. Department of Education. Usage may be monitored, recorded, and/or subject to audit. For security purposes and in order to ensure that the system remains available to all expressly authorized users, the U.S. Department of Education monitors the system to identify unauthorized users. Anyone using this system expressly consents to such monitoring and recording. Unauthorized use of this information system is prohibited and subject to criminal and civil penalties. Except as expressly authorized by the U.S. Department of Education, unauthorized attempts to access, obtain, upload, modify, change, and/or delete information on this system are strictly prohibited and are subject to criminal prosecution under 18 U.S.C § 1030, and other applicable statutes, which may result in fines and imprisonment. For purposes of this system, unauthorized access includes, but is not limited to:

- Any access by an employee or agent of a commercial entity, or other third party, who is not the individual user, for purposes of commercial advantage or private financial gain (regardless of whether the commercial entity or third party is providing a service to an authorized user of the system); and
- Any access in furtherance of any criminal or tortious act in violation of the Constitution or laws of the United States or any State.

If system monitoring reveals information indicating possible criminal activity, such evidence may be provided to law enforcement personnel.

At the bottom of the warning box is a button labeled "Accept & Continue". A blue arrow points from a circle containing the number "1" to this button.

Below the warning box, the text "U. S. Department of Education" is displayed above a link labeled "Rules of Behavior". A blue arrow points from a circle containing the number "2" to this link.

The following Rules of Behavior will be displayed when you click on the link

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For Official, Approved Use only - The eZ-Audit system is funded by the Government to support various programmatic efforts needed to accomplish the FSA mission. As such, these resources are to be used only for official Government business. Users should remember that when they use the eZ-Audit system, they are acting in their employment capacity on behalf of ED. Unless approved in writing by management, any activity outside that employment capacity, or which could bring harm or embarrassment to ED/FSA must be avoided.

Privacy Expectations - All users are cautioned that, in general computers, networks, and information systems are not 'private.' Users should have no expectation of privacy when using computing resources. E-mail sent via the eZ-Audit system may bear site-specific identifiers in the address (name@ed.gov). As such, regardless of disclaimers, users employing ED/FSA e-mail are representing the site and ED/FSA and must act accordingly.

Monitoring of Computing Resources - Activities on ED/FSA systems and networks are subject to monitoring, recording, and periodic audits to ensure that the resources are functioning properly and to protect against unauthorized use. The System Administrator may access any user's computer system or data communications and disclose information obtained through such auditing to appropriate third parties, e.g., law enforcement personnel. Use of ED/FSA computing resources implies consent by the user to such monitoring, recording, and auditing.

Violations - It is critical that all users adhere to ED/FSA computer policies and accepted user principles regarding appropriate use. Violations of these principles or policies may lead to disciplinary action, possibly including termination of funding and/or employment. Designated administrators or other authorized personnel will evaluate and determine the degree of violation and appropriate disciplinary action.

Manager/Administrator Responsibilities - Management personnel will lead in applying these user principles. Managers are responsible for implementing these accepted user principles in their organization and will be accountable for ensuring that users are aware of and acknowledge their responsibilities.

Accepted User Principles - Users' access to computing resources indicates a level of trust bestowed upon them by their management and ultimately by ED. Users are responsible for their actions and must be aware of and acknowledge their responsibilities.

At a minimum, all users are responsible for these principles:

- Ensuring that the eZ-Audit system is used only for official Government business.
- Knowing who their site computer security personnel are and how they can be contacted.
- Ensuring that the eZ-Audit system is used in compliance with Title IV program participation agreements and other applicable regulatory requirements to ensure program integrity.
- Protecting the information users are processing from access by, or disclosure to, unauthorized personnel.
- Immediately reporting all security incidents and potential threats and vulnerabilities involving computing resources to designated computer security personnel.
- Protecting authenticators, such as passwords.
- Reporting any compromise or suspected compromise of a password to designated computer security personnel.
- Accessing only systems, networks, data, control information, and software for which they are authorized.
- Ensuring that system media and system outputs are marked according to their sensitivity and are properly controlled and stored.
- Knowing required storage sanitizing procedures (e.g., overwriting disks that contain sensitive data prior to reuse).
- Avoiding the introduction of malicious code into any computing resource.
- Preventing physical damage to the system.
- Notifying management before relocating computing resources.
- Ensuring that the work area is secured at all times and not duplicated.
- Following procedures for signing out sensitive application documentation when removing these documents from the library and ensuring that sensitive information is not removed from the work area.
- Not removing equipment or storage media from the work area without prior written authorization from the designated systems administrators, security officer or other authorized personnel.

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Welcome to eZ-Audit

Welcome to the eZ-Audit website. If you are registered to use this site, please enter your username and password to login. If you are not a registered user please refer to the [registration instructions](#) . If you have forgotten your password, please click the forgot password link. If you have forgotten your username please contact your Institution Administrator or the eZ-Audit Help Desk for support at (877)263-0780.

eZ-Audit Update: [Common Submission Errors](#)

[Frequently Asked Questions](#)

[eZ-Audit Step-by-Step Guides](#)

[Steps to Creating an eZ-Audit Submission](#)

[Creating a PDF](#)

Email eZ-Audit Help Desk at fsaezaudit@ed.gov

Maintenance - The eZ-Audit site may not be available during the hours from 5am-11am EST every Sunday for routine maintenance.

Disclaimer - This site uses session cookies. If your browser does not allow cookies, or you do not have cookies enabled, you will not be able to access this site. The cookie will not be stored on your machine after you close your browser.

U. S. Department of Education

Information Collected from You:
You may decide to send FSA information, including personally identifying information. The information you supply - whether through a secure Web form, a standard Web form, or by sending an electronic mail message - is maintained by FSA for the purpose of processing your request or inquiry. FSA also uses the information you supply in other ways to further FSA's mission of maintaining stability and public confidence in the nation's banking system. Various employees of FSA may see the information you submit in the course of their official duties. The information may also be shared by FSA with third parties to advance the purpose for which you provide the information, including other federal or state government agencies. For example, if you file a complaint, it may be sent to a financial institution for action, or information may be supplied to the Department of Justice in the event it appears that federal criminal statutes have been violated by an entity you are reporting to FSA. The primary use of personally identifying information will be to enable the government to contact you in the event we have questions regarding the information you have reported. If you are concerned about how information about you may have been used in connection with this web site, or you have questions about the FSA's privacy policy and information practices you should e-mail us at webmaster@fsa.ed.gov. Electronic mail is not necessarily secure. You are advised to be cautious when sending electronic mail containing sensitive, confidential information. As an alternative, we advise users to give consideration to using postal mail. "

Paperwork Burden Statement:
According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1845-0072. Public reporting burden for this collection of information is estimated to average 25 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain a benefit (34 CFR 668.23; 668.26(b), 34 CFR 600.20(a)or(b); 600.20(g)). **If you have comments or concerns regarding the status of your individual submission of this form, please contact U.S. Department of Education, Federal Student Aid, 830 First Street N.E. Washington, D.C. 20002/Ti Baker.**

OMB Clearance Number 1845-0072
Expiration Date 07/31/2022

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1. Rules of Behavior to view the detail rules
2. Accept & Continue
3. webmaster@fsa.ed.gov

NOTE

All eZ-Audit users are required to carefully read the *eZ-Audit Rules of Behavior* document that can be accessed via the web at <https://ezaudit.ed.gov>.

Questions/Concerns

- eZ-Audit will continue to post updates and critical information to the eZ-Audit website and the Knowledge Center at <https://fsapartners.ed.gov>.
- Contact the eZ-Audit help desk at fsaezaudit@ed.gov or by calling 1-877-263-0780.

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eZ-Audit Registration

All entities must submit a registration request letter to the Department of Education to gain access to eZ-Audit. Please see the Registration Instructions on eZ-Audit Welcome Page.

[How will I receive my registration confirmation and eZ-Audit Entity Administrator user ID and password?](#) Your registration confirmation, user ID and temporary password will be sent to the email address provided in the registration request letter submitted to FSA.

You will receive two registration confirmation emails. The first email from eZ-Audit will include your user name and instructions for accessing the eZ-Audit website. For security purposes, your temporary password will be delivered in a second email from eZ-Audit.

[Once I have sent in my Registration Request letter and have received my registration confirmation emails, when and how do I begin using eZ-Audit?](#)

To access eZ-Audit simply type in the URL, www.ezaudit.ed.gov in your internet browser, and when the eZ- Audit login screen appears, enter the user name and temporary password you received through email from eZ- Audit.

Please be sure to log on to the eZ-Audit system immediately, in order to change your temporary password and ensure your access to the site is secure.

[What if I need to change my Institution/Entity Administrator?](#)

To change your Institution/Entity Administrator a new registration letter, following registration instructions, must be submitted. The new Entity Administrator will receive a username and password once processed, usually within 72 hours of receipt.

Step-by-Step Guide to Using eZ-Audit for Lender OIG and Lender UG Audit Guide

Administrative Tasks/Security

Login

After typing in the URL <https://ezaudit.ed.gov> in your Internet browser, the “Welcome to eZ-Audit” screen below should appear:

The screenshot shows the 'Welcome to eZ-Audit' page. On the right side, there is a 'USER LOGIN' section with a 'username' field, a 'password' field, a 'LOGIN' button, and a 'Forgot Password?' link. Three numbered callouts are present: '1' points to the username field, '2' points to the password field, and '3' points to the LOGIN button. The page also contains a welcome message, navigation links, a disclaimer, and a paperwork burden statement.

Welcome to eZ-Audit

Welcome to the eZ-Audit website. If you are registered to use this site, please enter your username and password to login. If you are not a registered user please refer to the [registration instructions](#). If you have forgotten your password, please click the [forgot password](#) link. If you have forgotten your username please contact your Institution Administrator or the eZ-Audit Help Desk for support at (877)263-0790.

eZ-Audit Update: [Common Submission Errors](#)

[Frequently Asked Questions](#)

[eZ-Audit Step-by-Step Guides](#)

[Steps to Creating an eZ-Audit Submission](#)

[Creating a PDF](#)

Email eZ-Audit Help Desk at fsaezaudit@ed.gov

Maintenance - The eZ-Audit site may not be available during the hours from 8am-11am EST every Sunday for routine maintenance.

Disclaimer - This site uses session cookies. If your browser does not allow cookies, or you do not have cookies enabled, you will not be able to access this site. The cookie will not be stored on your machine after you close your browser.

U. S. Department of Education

Information Collected from You:

You may decide to send FSA information, including personally identifying information. The information you supply - whether through a secure Web form, a standard Web form, or by sending an electronic mail message - is maintained by FSA for the purpose of processing your request or inquiry. FSA also uses the information you supply in other ways to further FSA's mission of maintaining stability and public confidence in the nation's banking system. Various employees of FSA may see the information you submit in the course of their official duties. The information may also be shared by FSA with third parties to advance the purpose for which you provide the information, including other federal or state government agencies. For example, if you file a complaint, it may be sent to a financial institution for action, or information may be supplied to the Department of Justice in the event it appears that federal criminal statutes have been violated by an entity you are reporting to FSA. The primary use of personally identifying information will be to enable the government to contact you in the event we have questions regarding the information you have reported. If you are concerned about how information about you may have been used in connection with this web site, or you have questions about the FSA's privacy policy and information practices you should e-mail us at webmaster@fsa.ed.gov. Electronic mail is not necessarily secure. You are advised to be cautious when sending electronic mail containing sensitive, confidential information. As an alternative, we advise users to give consideration to using postal mail.

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1. Enter the username provided to you by email during the registration process.
2. Enter in your password or your temporary password if this is your first time using this site.
3. Single click the **LOGIN** button-this will take you to your entity's homepage.

NOTE

Your user name will be the first letter of your first name, the first five letters of your last name and 2 numeric characters. Your username and password are case sensitive. If you are locked out after 3 unsuccessful attempts at login you must wait 30 minutes then try again.

****If you have an existing user logging in for the first time, you will be presented with the challenge questions and answers page where you will select the questions and answer them accordingly.**

New User Login

If you are a new eZ-Audit user and have successfully logged into eZ-Audit for the first time, you will be presented with the following screen after the Password Reset Functionality has been implemented:

CHALLENGE QUESTIONS

In order to use our automated password reset, you are required to select two (2) challenge questions and provide the answers to each. Please note that the answers are case sensitive and will not be visible as you type them.

When you have finished your selections, click the Submit button to go to your Home Page. If you wish to view or modify your Challenge Questions/Answers please go to the My Profile page.

1 → - Select - ↓ ← 2

3 → - Select - ↓ ← 4

SUBMIT

U. S. Department of Education

There are two sets of challenge questions to choose and answer accordingly.

1. Select a challenge question from the first drop down list. You will have the following selection: Challenge Question List 1:
 - What month is your mother born?

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- What is your father's middle name?
 - In what city was your mother born?
 - Which hospital where you born in?
 - Who is your favorite author?
2. Type your answer to the question you have selected.
 3. Select a challenge question from the first drop down list. You will have the following selection: Challenge Question List 2:
 - What is your favorite color?
 - What is your favorite flower?
 - What is your child's middle name?
 - Who is your favorite athlete?
 - What is your favorite movie?
 4. Type your answer to the question you have selected.
 5. Click on the **SUBMIT** button. This will take you to the Update My Profile page where you will type in your new password.

NOTE

All answers are case sensitive. You will not be able to view the answers as you type them in.

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Update My Profile Page

After you successfully login by clicking on the Submit button from the Challenge Questions page the following screen will appear on the screen. Enter your new password:

FSA
FEDERAL
STUDENT AID

eZ-AUDIT

DEPARTMENT OF EDUCATION
UNITED STATES OF AMERICA

Update My Profile

USER INFORMATION

Please take a few moments to review the information we currently have on file and update any incorrect or outdated information.

If you wish to change a user's email address, please key in the same email address in the Email Address and Re-Type Email Address fields. If no change is made to the email address, the email address password will not change.

First Name:

Last Name:

Email Address:

Re-Type Email Address:

Office Phone: Ext.

Fax:

CHANGE PASSWORD

You will need to change your password from the temporary password that was assigned to you. The password must be dissimilar from the temporary password.

The password must be 8 - 15 characters in length and must include at least 3 of the following types of characters: uppercase letters(A-Z), lowercase letters (a-z), numeral values(0-9) and special characters(<, >, ?, \$, etc.).

New Password:

Re-type New Password:

1

2

1. Type in your new password.
2. Re-type in your new password.

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CHALLENGE QUESTIONS

Choose from the following drop down menu.

In which month was your mother born? ▼	
What is your child's middle name? ▼	

3. Click the **SAVE** button to ensure all changes are successfully captured by the system. Please note by selecting the save button you are also accepting the Rules of Behavior.
4. Click the **RESET** button to cancel entries and begin again.

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Forgot Password

If you forget your password, click on the “Forgot Password?” link from the login page.

Welcome to eZ-Audit

Welcome to the eZ-Audit website. If you are registered to use this site, please enter your username and password to login. If you are not a registered user please refer to the [registration instructions](#). If you have forgotten your password, please click the forgot password link. If you have forgotten your username please contact your Institution Administrator or the eZ-Audit Help Desk for support at (877)263-0780.

eZ-Audit Update: [Common Submission Errors](#)

[Frequently Asked Questions](#)

[Steps to Creating an eZ-Audit Submission](#)

[Creating a PDF](#)

Email eZ-Audit Help Desk at fsezaudit@ed.gov

Maintenance - The eZ-Audit site may not be available during the hours from 5am-11am EST every Sunday for routine maintenance.

USER LOGIN

username >

password >

[Forgot Password?](#) ← 1

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By clicking on “Forgot Password?” link, the Password Reset page should appear requesting your user information:

The screenshot shows the 'PASSWORD RESET' page on the FSA eZ-Audit system. At the top left is the FSA logo, and at the top right is the Department of Education logo. The page title is 'PASSWORD RESET'. Below the title is a section titled 'eZ-AUDIT USER INFORMATION'. This section contains a checkbox labeled 'Check here if you are an institution user' with a callout '1' pointing to it. Below the checkbox are two text input fields: 'Username:' with callout '2' and 'OPEID:' with callout '3'. At the bottom of the form are two buttons: 'SUBMIT' with callout '4' and 'RESET' with callout '5'. The footer of the page reads 'U. S. Department of Education'.

1. Click on the check box to indicate that you are an entity user.
2. Enter your username.
3. Enter the OPEID of your entity.
4. Click the **SUBMIT** button. This will take to the Password Reset page with the challenge questions.
5. Click the **RESET** button to cancel current entries and begin again.

Step-by-Step Guide to Using eZ-Audit for Lender OIG and Lender UG Audit Guide

Challenge Questions:

After eZ-Audit validates your username, the questions you initially chose will appear:

FSA
FEDERAL
STUDENT AID

eZ-AUDIT

DEPARTMENT OF EDUCATION
UNITED STATES OF AMERICA

PASSWORD RESET

USER INFORMATION

Please answer the following questions to successfully reset your password.

What month was your mother born in?:

What is your favorite color?:

3 → **SUBMIT** **RESET** ← **4**

U. S. Department of Education

1. Please type your answer to the first question.
2. Please type your answer to the second question.
3. Click the **SUBMIT** button. This will take you to a page that informs you a temporary password has been sent to your email.
4. Click the **RESET** button to cancel current entries and begin again.

NOTE

The answers are case sensitive.

Step-by-Step Guide to Using eZ-Audit for Lender OIG and Lender UG Audit Guide

Logout

If you clicked on the **LOGIN** button, this will bring you to your Entity's homepage. The screen below should appear with your entity's name: For [Login](#) information [L](#)

The screenshot shows the eZ-Audit system interface. At the top, there is a navigation bar with the following elements: the FSA logo, the eZ-Audit logo, and a menu containing 'AUDIT HOME', 'HELP', 'MANAGE USERS', and 'LOGOUT'. A callout circle with the number '1' points to the 'LOGOUT' button. Below the navigation bar, the page is titled 'Home Page' and displays the following information:

- Entity Name: **University of XYZ**
- OPEID: 80000001

The page is divided into several sections:

- CREATE ANNUAL SUBMISSIONS:**
 - Create FYE 04/30/2020 Annual Submission
- OTHER SUBMISSIONS:**
 - Change Fiscal Year End Date
 - Create Exemption Request Submission
 - Create Closeout Audit Submission
 - Create Stub Audit Submission
 - Submit Additional Information
 - VIEW HISTORICAL SUBMISSIONS
- ADMINISTRATION:**
 - Update My User Profile
 - View Institution Profile
- OTHER LINKS:**
 - Dept. of Education
 - Schools Portal
- NOTIFICATIONS:**
 - Your Fiscal Year End 04/30/2020 Annual Submission is due on 1/31/2021.
 - Your FYE 02/28/2019 Annual Submission submitted on 04/10/2020 16:44:48 has been reviewed and is complete. Compliance Audit: The compliance audit contains findings. [Click here to view the Final Audit Determination Letter.](#)
 - Your Change in FY End Submission submitted on 04/08/2020 09:34:16 has been approved.
 - Your Change in FY End Submission submitted on 04/04/2020 06:49:09 has been approved.

1. To logout of the eZ-Audit system, click on the **LOGOUT** button at the top of this page. The screen shown on the next page should appear if you have successfully logged out of the system.

Step-by-Step Guide to Using eZ-Audit for Lender OIG and Lender UG Audit Guide



1. To log back into the eZ-Audit system click on the underlined link above and repeat the **LOGIN** step.

NOTE

Your eZ-Audit session will automatically expire after 30 minutes of inactivity. If you have not saved your work when the session expires data will be lost.

Step-by-Step Guide to Using eZ-Audit for Lender OIG and Lender UG Audit Guide

My Profile

To update your profile (i.e. username, email address, phone number, password, etc.), repeat the **LOGIN** step. This will take you to your entity's eZ-Audit homepage. The screen below should appear with your entity's name:

1. Click on the underlined text "[Update My User profile](#)" located on the lower left hand side of the screen. This will take you to the Update My Profile page.

NOTE

This page is used to update your user profile information such as name, email address, phone, password, etc.

The screenshot shows the eZ-Audit homepage for ABC University. The page has a blue header with the FSA logo on the left and the eZ-Audit logo in the center. Below the header is a navigation bar with links for 'AUDIT HOME', 'HELP', 'MANAGE USERS', and 'LOGOUT'. The main content area is divided into several sections:

- CREATE ANNUAL SUBMISSIONS:**
 - Create [FYE 04/30/2020 Annual Submission](#)
- OTHER SUBMISSIONS:**
 - [Change Fiscal Year End Date](#)
 - [Create Exemption Request Submission](#)
 - [Create Closeout Audit Submission](#)
 - [Create Stub Audit Submission](#)
 - [Submit Additional Information](#)
 - [VIEW HISTORICAL SUBMISSIONS](#)
- ADMINISTRATION:**
 - [Update My User Profile](#) (highlighted with a red circle and the number 1)
 - [View Institution Profile](#)
- OTHER LINKS:**
 - [Dept. of Education](#)
 - [Schools Portal](#)
- Home Page:**
 - Entity Name: [ABC University](#)
 - OPEID: 12345678
- NOTIFICATIONS:**
 - Your Fiscal Year End 04/30/2020 Annual Submission is due on 1/31/2021.
 - Your FYE 02/28/2019 Annual Submission submitted on 04/10/2020 16:44:48 has been reviewed and is complete. Compliance Audit: The compliance audit contains findings. [Click here to view the Final Audit Determination Letter.](#)
 - Your Change in FY End Submission submitted on 04/08/2020 09:34:16 has been approved.
 - Your Change in FY End Submission submitted on 04/04/2020 06:49:09 has been approved.

Step-by-Step Guide to Using eZ-Audit for Lender OIG and Lender UG Audit Guide

If you clicked on the underlined text “[Update My User profile](#)” on your entity’s homepage, the screen below should appear:



USER INFORMATION

Please take a few moments to review the information we currently have on file and update any incorrect or outdated information.

If you wish to change a user's email address, please key in the same email address in the Email Address and Re-Type Email Address fields. If no change is made to the email address, the email address password will not change.

First Name:	<input type="text" value="Institution"/>	
Last Name:	<input type="text" value="User1"/>	
Email Address:	<input type="text" value="user1@nonpro.edu"/>	
Re-Type Email Address:	<input type="text"/>	
Office Phone:	<input type="text" value="202-123-4567"/>	Ext. <input type="text"/>
Fax:	<input type="text"/>	

CHANGE PASSWORD

If you wish to change your password, please key in your old and new password in the spaces provided below. If no information is entered, your password will not change.

Password must be 12 to 40 characters in length and must contain each of the following types of characters:

- English uppercase letters (A-Z).
- English lowercase letters (a-z).
- Westernized Arabic numerals (0-9).
- Non-alphanumeric special characters such as !, @, #, \$, %, ^, * and _.

Password cannot contain a space(s).

The password must be different from your previous twenty-four passwords.

Important: Do not use your user ID, name, or this system name.

Old Password:	<input type="text"/>
New Password:	<input type="text"/>
Re-type New Password:	<input type="text"/>

CHALLENGE QUESTIONS

Choose from the following drop down menu.

In which month was your mother born? ▾	<input type="text"/>
What is your favorite color? ▾	<input type="text"/>

Step-by-Step Guide to Using eZ-Audit for Lender OIG and Lender UG Audit Guide

NOTE

Take a moment to review the information on this screen for accuracy. If changes need to be made, update the information as necessary and enter any missing information. Remember to [SAVE](#) your changes.

Change Challenge Questions

To change your challenge questions, repeat the My Profile step, taking you to the Update My Profile page. The screen shown below appears at the bottom of that page:

CHALLENGE QUESTIONS

Choose from the following drop down menu.

1 What month was your mother born in? 3

2 What is your favorite color? 4

SAVE RESET

U. S. Department of Education

1. Select a question from the first dropdown list.
2. Select a question from the second drop down list.
3. Enter your answer to the first question you have selected.
4. Enter your answer to the second question you have selected.
5. Click the **SAVE** button to ensure all changes are successfully captured by the system.
6. Click the **RESET** button to cancel current entries and begin again.

NOTE

All answers are case sensitive. You will not be able to view the answers as you type them in.

Step-by-Step Guide to Using eZ-Audit for Lender OIG and Lender UG Audit Guide

Change Password

To change your password, repeat the **My Profile** step. This will take you to the Update My Profile page. The

screen shown below should appear at the midsection of that page:

CHANGE PASSWORD

If you wish to change your password, please key in your old and new password in the spaces provided below. If no information is entered, your password will not change.

Password must be 12 to 40 characters in length and must contain each of the following types of characters:

- English uppercase letters (A-Z).
- English lowercase letters (a-z).
- Westernized Arabic numerals (0-9).
- Non-alphanumeric special characters such as !, @, #, \$, %, ^, * and ..

Password cannot contain a space(s).
The password must be different from your previous twenty-four passwords.
Important: Do not use your user ID, name, or this system name.

Old Password:

New Password:

Re-type New Password:

CHALLENGE QUESTIONS

Choose from the following drop down menu.

In which month was your mother born? ▾

What is your favorite color? ▾

1. Type your old or temporary password.
2. Type your new password.
3. Retype your new password.
4. Click the **SAVE** button to ensure all changes are successfully captured by the system.
5. Click the **RESET** button to cancel current entries and begin again.

NOTE

The password must be 12-40 characters in length and must contain each of the following: Uppercase, lowercase letters, numeric values and special Characters (such as !, @, #, \$, &, *, ^) values. Clicking the **SAVE** button ensures all information has been saved by the system. Please note that the system will automatically prompt you to change your password every 90 days. Follow the same process described above to make this change. If you require additional help, contact the eZ-Audit Help desk at fzaezaudit@ed.gov or by calling 1-877-263-0780.

Step-by-Step Guide to Using eZ-Audit for Lender OIG and Lender UG Audit Guide

Navigation

To move from field to field in the eZ-Audit system, simply press the **Tab** button on your computer. This takes you from one field to the next.

1. To go back to a previous screen or action, simply click on the back or forward button.
2. To move across forms or sections in the system, click the underlined text of interest.

test.ezaudit.ed.gov/EZWebApp/institutionHome.do

FSA
FEDERAL
STUDENT AID

eZ-AUDIT

AUDIT HOME | HELP | MANAGE USERS | LOGOUT

Home Page

» Entity Name: University of XYZ
• OPEID: 80000001

CREATE ANNUAL SUBMISSIONS

- Create FYE 04/30/2020 Annual Submission

OTHER SUBMISSIONS

- Change Fiscal Year End Date
- Create Exemption Request Submission
- Create Closeout Audit Submission
- Create Stub Audit Submission
- Submit Additional Information

VIEW HISTORICAL SUBMISSIONS

ADMINISTRATION

- Update My User Profile
- View Institution Profile

OTHER LINKS

- Dept. of Education
- Schools Portal

NOTIFICATIONS

- Your Fiscal Year End 04/30/2020 Annual Submission is due on 1/31/2021.
- Your FYE 02/28/2019 Annual Submission submitted on 04/10/2020 16:44:48 has been reviewed and is complete. Compliance Audit: The compliance audit contains findings. Click here to view the Final Audit Determination Letter.
- Your Change in FY End Submission submitted on 04/08/2020 09:34:16 has been approved.
- Your Change in FY End Submission submitted on 04/04/2020 06:49:09 has been approved.

Step-by-Step Guide to Using eZ-Audit for Lender OIG and Lender UG Audit Guide

Data Edits

Edit checks will be automatically performed on each page when you click on any of the transaction buttons such as the “**SAVE or SAVE and PROCEED**” buttons. If any invalid data entries are detected, the page will redisplay with error message(s) at the top indicating the field that needs to be corrected and the correction to be made. To continue, make the changes indicated by the message(s) displayed and click the “**SAVE or SAVE and PROCEED**” buttons. This will allow for the submission process to continue. The system will not allow you to submit to the Department of Education without correcting the errors. See sample screens below:

The screenshot shows the eZ-Audit interface for a Lender OIG Annual Submission. The header includes the FSA logo, the eZ-Audit title, and navigation links: AUDIT HOME, HELP, MANAGE USERS, and LOGOUT. A sidebar on the left contains links for Compliance Audit, Completeness Checklist, Upload Attachments, and Submit. The main content area displays the following error messages:

- Entity Name: OIG University
- OPEID: 80000001
- Error(s):
 - Field: 1. Is this submission covering multiple Lenders? is required and cannot be left blank.
 - Field: 3. Review Auditor Information - Is this information correct? is required and cannot be left blank.
 - Field: 4. Was the Student Federal Family Education Loan Program? is required and cannot be left blank.
 - Field: 5. Does this A-133 report contain any findings related to the Federal Family Education Loan Program (FFELP)? is required and cannot be left blank.

The screenshot shows the eZ-Audit interface for a Lender OIG Annual Submission, displaying a summary error message. The header and sidebar are identical to the previous screenshot. The main content area displays the following error message:

- Entity Name: OIG University
- OPEID: 80000001
- Error(s):
 - You have not corrected errors on the [Compliance Audit Information](#), [Checklist](#), [Upload Attachments](#) page(s). Please go back and correct all errors prior to submitting to the Department of Education.

Step-by-Step Guide to Using eZ-Audit for Lender OIG and Lender UG Audit Guide

Manage Users

Types of Users and Responsibilities

1. The **eZ-Audit Entity Administrator**, selected by your entity, is responsible for:
 - Registering your entity with eZ-Audit
 - Providing/managing access to data entry and submission approval personnel, as identified by your entity
 - Maintaining security information regarding entity's users as required
2. The **eZ-Audit Data Entry Users**, selected by your entity at registration are responsible for:
 - Entering data into the eZ-Audit system
 - Attaching non-editable, pdf files of audited financial statements and compliance audits
3. The **eZ-Audit Submission Approvers**, selected by your entity, are responsible for:
 - Reviewing the submission prior to "submit"
 - Approving the submission via the "submit" action

Step-by-Step Guide to Using eZ-Audit for Lender OIG and Lender UG Audit Guide

Entity Administrator Homepage

To log into the eZ-Audit system as your entity's administrator, repeat the **LOGIN** step. The screen below should appear once your administrator's username and password has been entered and verified by the system. This screen below is different between persons having administrator or user's rights:

The screenshot displays the eZ-Audit Entity Administrator Homepage. At the top, there is a navigation bar with buttons for 'AUDIT HOME', 'HELP', 'MANAGE USERS', and 'LOGOUT'. The 'MANAGE USERS' button is highlighted with a callout box labeled '1'. Below the navigation bar, the 'Home Page' section displays the following information:

- Entity Name: OIG University
- OPEID: 80123456

This information is highlighted with a callout box labeled '2'. The page also features several sections for submissions and notifications:

- CREATE ANNUAL SUBMISSIONS:**
 - Create FYE 04/30/2020 Annual Submission
- OTHER SUBMISSIONS:**
 - Change Fiscal Year End Date
 - Create Exemption Request Submission
 - Create Closeout Audit Submission
 - Create Stub Audit Submission
 - Submit Additional Information
 - VIEW HISTORICAL SUBMISSIONS
- NOTIFICATIONS:**
 - Your Fiscal Year End 04/30/2020 Annual Submission is due on 1/31/2021.
 - Your FYE 02/28/2019 Annual Submission submitted on 04/10/2020 16:44:48 has been reviewed and is complete. Compliance Audit: The compliance audit contains findings. [Click here to view the Final Audit Determination Letter.](#)
 - Your Change in FY End Submission submitted on 04/08/2020 09:34:16 has been approved.
 - Your Change in FY End Submission submitted on 04/04/2020 06:49:09 has been approved.

The sidebar on the left contains the following sections:

- ADMINISTRATION:**
 - Update My User Profile
 - View Institution Profile
- OTHER LINKS:**
 - Dept. of Education
 - Schools Portal

1. The **MANAGE USERS** button should be displayed if you have administrator's rights to this system. Click on it to perform any of the manage users' tasks such as adding or deleting a user. The screen on the next page should appear.
2. This should read **the name of your entity and OPEID number**. Confirm that this is correct.

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Creating/Deleting Data Entry/Submitter Users

If you clicked on the “Manage Users” button, the screen below should appear:



1. Click on the **DELETE USER** button to delete a user from the system.
2. Click on the “**ADD USER**” button to add a user to the system.

Step-by-Step Guide to Using eZ-Audit for Lender OIG and Lender UG Audit Guide



Add User

USER INFORMATION

Fields denoted by an asterisk (*) are required.

First Name: *

Last Name: *

OPEID: 80000300

Email Address: *

Re-Type Email Address: *

Office Phone: * Ext.

Fax:

Note: OPEID required for Institutional Users. Case Team required for Audit Specialist, Case Approval, Case Assignment, Case Team Administrator, and Financial Analyst

3

ROLE * **REPORTS**

Data Entry

Submitter

4

5

ADD USER RESET FORM

- Complete all required fields providing the name and contact information for the “New User”.
- Do not forget to specify the New User’s role(s) (see “[Manage Users](#)” for role definition).
- Remember to click on the “**ADD USER**” button to save all entries. **NOTE:** If you are adding “submitter” or “data entry” as a user role and the user is currently logged in, they must logout and login again for the roles to take effect.

NOTE

One person can have all three-user roles. When the Institution/Entity Administrator adds a new user, the user will receive an email with their username and an email with a temporary password.

Step-by-Step Guide to Using eZ-Audit for Lender OIG and Lender UG Audit Guide

Entity Profile Page

Entity Profile

Entity's should confirm that the information is correct.



1. To view the Entity Profile, click on the **Entity Name:**

NOTE

The Entity Profile can be viewed from Home page and any submission page when clicked on Entity Name.

See below the sample of what an Entity's profile page should look like.

Step-by-Step Guide to Using eZ-Audit for Lender OIG and Lender UG Audit Guide

The screenshot shows the eZ-Audit system interface. At the top, there is a navigation bar with the FSA logo on the left, the eZ-AUDIT logo in the center, and a menu with options: AUDIT HOME, HELP, MANAGE USERS, and LOGOUT. On the right side of the navigation bar is the Department of Education seal. Below the navigation bar, there are links for eZAudit Home and Entity Profile. The main content area is titled "Institution Profile" and shows the name "ABC University" and its OPEID: 80123456. A message states "The information on this page is read-only." Below this, a table displays the following information:

Entity Name:	ABC University
Type of Entity:	Lender
Address:	P O BOX 1860
Address:	
City:	GADSDEN
State:	AL
Zip/Postal Code:	359990000
Phone Number:	2055438220
Fax Number:	
TIN:	630012520
DUNS Number:	
Fiscal Year End:	04/30/2019
President:	
President Email:	
Financial Aid Admin:	
FAA Email:	
Primary Accreditation Org.:	
Other Accreditation Org.:	

NOTE

The following fields President, President Email, Financial Aid Admin, FAA Email, Primary Accreditation Org, Other Accreditation Org are listed in error and will remain blank until removed from the page. Please contact eZ-Audit Help Desk Assistance at faezaudit@ed.gov or by calling 1-877-263-0780, Monday – Friday, 9 a.m. – 5 p.m. ET.

Step-by-Step Guide to Using eZ-Audit for Lender OIG and Lender UG Audit Guide

Historical Submissions

This page provides a history of the entity's past transactions as available in the eZ-Audit system. You may view prior submissions at any time. Please note that you will have "read" only access to these historical submissions.

NOTE

A Change in FYE submission listed was created by FSA to ensure the appropriate FYE Annual Link was provided upon login.

The screenshot shows the eZ-Audit interface for ABC University. At the top, there is a navigation bar with links for AUDIT HOME, SEARCH, INSTITUTION HOME, REPORTS, and LOGOUT. Below the navigation bar, the page title is "View Historical Submissions". The institution name "ABC University" and OPEID "12345678" are displayed. A table lists the submission history:

Fiscal Year End	Submission Type	Submission Date	Institution Type
N/A	Change in Fiscal Year End	05/08/2020	Lender
04/30/2019	Annual	05/21/2020	Lender

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

Section 1: LENDER OIG AUDIT GUIDE

Lender OIG - Annual Submission

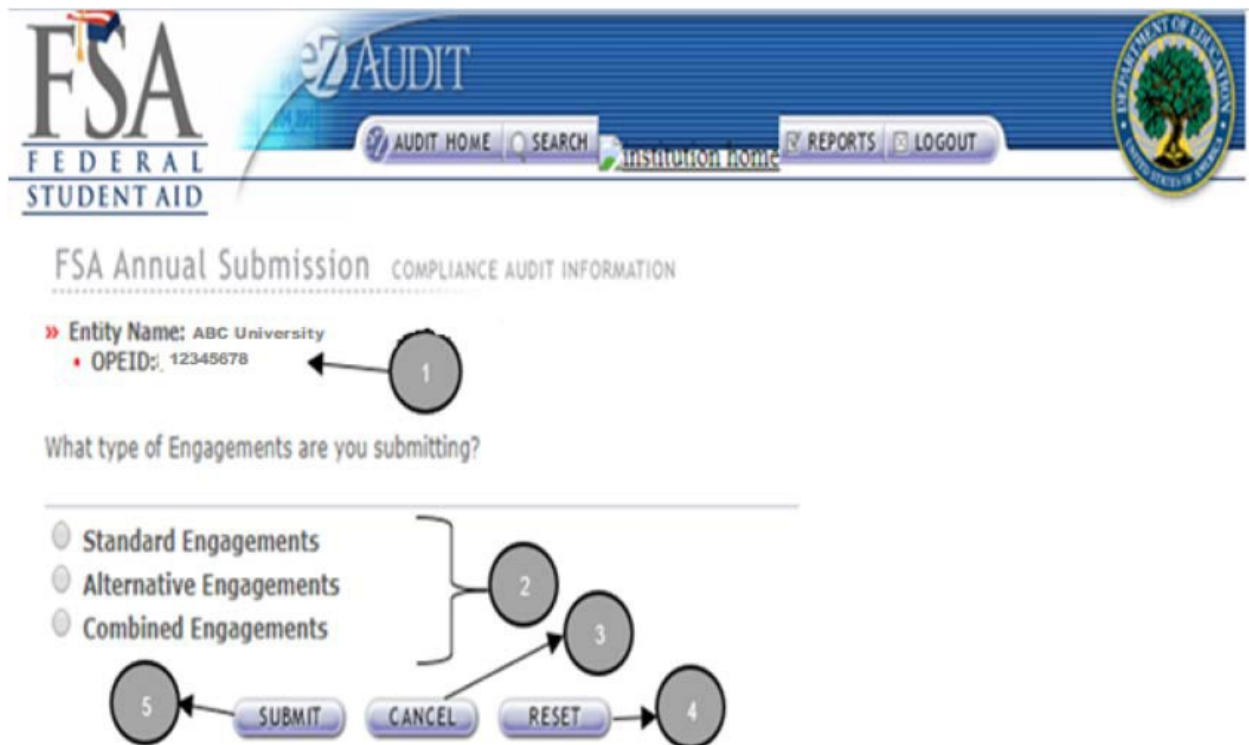
Annual Submission Compliance Audit Information

To complete your entity's annual submission, complete the **LOGIN** step. This will take you to your entity's eZ-Audit homepage. On the upper left hand side of the page, you will see a section "Create Annual Submissions". Click on the underlined text "Create FYE Annual Submission", and the screen in the next page should appear with your entity's name:

NOTE

If you are login in for the first time you will not see the see the Create FYE XX/XX/XXXX Annual Submission, you need to complete the Change Fiscal Year End Date request first. Once it is approved you will see the link for the Annual Submission.

The user will be asked about the type of Gateway question before proceeding to the Annual submission.



1. Confirm the correct information is displayed correctly.

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

2. Select the any Engagement from the gateway question.
3. Select any Engagement and click on the Cancel button, Entity homepage will be displayed.
4. Select any Engagement gateway question option and click on the Reset button, the selection will reset.
5. Select gateway question option and click on the Submit button the Compliance Audit screen below will be displayed.

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

The screenshot shows the 'Lender OIG AG Annual Submission' form in the eZ-Audit system. The form is titled 'COMPLIANCE AUDIT INFORMATION' and includes a navigation menu on the left with options: Compliance Audit, Completeness Checklist, Upload Attachments, and Submit. The main form area contains the following sections and callouts:

- Entity Information:** Entity Name: ABC University (1), OPEID: 12345678 (1).
- Submission Scope:** 1. Is this submission covering multiple Lenders?: YES (2), NO (2).
- Audit Period:** 2. Indicate the Period Audited (mm/dd/yyyy): Begin Date: 4/01/2019 (3), End Date: 03/31/2020 (4).
- Auditor Information:** 3. Review Auditor Information: Records Indicate your Current Auditor Is: test 435345435 (5). Is this information correct?: YES (6), NO (6). Fields for Auditor's TIN (Optional), Auditor's Name, Auditor Firm Name, Address 1, Address 2 (Optional), City, State (Optional), Country (dropdown), Phone #, Fax # (Optional), and Email Address are grouped by callout 7.
- Findings:** 4. Does this Compliance audit contain any findings related to the Federal Family Education Loan Program (FFELP)? YES (8), NO (8).
- Buttons:** CANCEL (9), SAVE (10), SAVE AND PROCEED (11).

1. Confirm the information displayed is correct.

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

2. Is this submission covering multiple Lenders? YES/ NO

Note: If you select '**No**' to Question 1 then user will not have ability to add more entity in the Lender table.
If '**Yes**', follow the steps in section '

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

Adding Entities to the Lender table on how to add Lenders.

3. Begin date is the beginning of the audit period.
4. End date is the end of the audit period.
5. This is the auditor on file with the Department of Education.
6. If the auditor's information is correct, no action is required. If incorrect or this is a new auditor, please select **NO**, and update with current information.
7. Please fill up all the mandatory fields. When Country is "United States" then TIN and State are required fields.
8. Does this Compliance Audit contain any findings related to the Federal Family Education Loan Program (FEELP)?
9. **IMPORTANT WARNING:** Click the **CANCEL** button to erase/delete all entries since the last time you saved your work.
10. Click the SAVE button to ensure all entries are successfully stored by the system for this page.
11. Click the SAVE and PROCEED button to go to the Annual Submission-Lender Annual Submission **Completeness Checklist page**. This is the next stage in the submission process.

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

Adding Entities to the Lender table

Lender OIG AG Annual Submission COMPLIANCE AUDIT INFORMATION

» Entity Name: ABC University
• OPEID: 12345678

1. Is this submission covering multiple Lenders?:
 YES NO

OPEID	NAME	PARENT ID	CITY	STATE	DELETE
80000000	FIRST OF AMERICA BANK-WHITESIDE COU		MORRISON	IL	

Add Lender OPEID: 80001600

To add the Lender OPEID to the table click on Save button below.

3. Add Lender OPEID. Note: Please enter the 8 digit OPEID to the table.
4. To Save the OPEID to the table Click on Save button below of the Compliance Audit page.

NOTE

If the system do not recognize the OPEID you are trying to add please to contact eZ-Audit Help Desk Assistance at fsaezaudit@ed.gov or by calling 1-877-263-0780, Monday – Friday, 9 a.m. – 5 p.m. ET.

Deleting Entities from the Lender table

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

Lender OIG AG Annual Submission COMPLIANCE AUDIT INFORMATION

» Entity Name: **ABC University**
• OPEID: [REDACTED]

1. Is this submission covering multiple Lenders?:

YES NO

OPEID	NAME	PARENT ID	CITY	STATE	DELETE
80000000	FIRST OF AMERICA BANK-WHITESIDE COU	<input type="radio"/>	MORRISON	IL	<input type="checkbox"/>
80001500	BANK OF YORK	<input type="radio"/>	YORK	AL	<input checked="" type="checkbox"/>
80002500	BIRMINGHAM TRUST NATIONAL BANK	<input type="radio"/>	MOUNTAIN BRK	AL	<input type="checkbox"/>

Add Lender OPEID:

To add the Lender OPEID to the table click on Save button below.

3. In Delete column, Check the box to delete any Entity from the Lender table.

Note: Click the Save button at the bottom of the Compliance Audit page to delete the Entity from the table.

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

Annual Submission Completeness Checklist

If you successfully entered or saved the information inputted on the Compliance Audit Information page by clicking on the **SAVE AND PROCEED** button, the screen below should appear. This page can also be reached by repeating the **LOGIN** step. This will take you to your entity's eZ-Audit homepage. On the upper left hand side of the page, you will see a section "Create Annual Submissions". Click on the underlined text "Create FYE xx/xx/xxxx Annual Submission", and then click on the underlined text "Completeness Checklist". The screen below should appear:

Note: Lenders-OIG Completeness checklist varies based on the answer selected for the gateway question.

Standard Engagements Compliance Checklist

If selected Standard Engagement option in the gateway question, below screen will display for Completeness Checklist.

FSA FEDERAL STUDENT AID | **eZ-AUDIT** | AUDIT HOME | SEARCH | INSTITUTIONS | REPORTS | LOGOUT

Lender OIG AG Annual Submission CHECKLIST

Entity Name: **ABC University**
OPEID: 12345678

All fields are required.

1. Are the following items, if applicable, included in the attachment of your Compliance Audit?
The report package for Standard Engagements must include:

- Examination-Level Report On Compliance With Specified Requirements (Attachment 1);
- Schedule of Findings;
- Summary Schedule on the Resolution of Prior Engagement Findings;
- Lender and Auditor Information Sheet (Attachment 4);
- Management Representations and Management Assertions (Attachment 5);
- Corrective Action Plan;

2.10:

- Any Separate report on fraud, illegal acts, or abuse submitted under the procedures in 2.10;
- Any Management letters issued to the lender concerning the engagement
- Uploaded document(s) must be in English
- Do not include *Personally Identifiable Information (PII)*

2. Contact Information/Additional Notes
Please let us know who to contact with questions regarding this submission.

President/CEO Contact

Name:
Email:
Phone:

Firm and CPA Contact

Firm Name:
Auditor Name:
Email:
Phone:

Enter any additional notes:

4 CANCEL **5** SAVE **6** SAVE AND PROCEED

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

1. Confirm that the information displayed is correct.
2. Ensure all applicable documents are included with your audit report submission
3. Provide contact information (name, email, phone) President/CEO Contact and Firm & CPA Contact (FIRM Name, Auditor Name, Email, Phone) for who should be contacted regarding the submission and/or additional notes as necessary.
 - Please feel free to attach any additional document(s). If you do attach these additional documents, please write a note in this field advising that you have attached additional information not required in this process.
4. **IMPORTANT WARNING:** Click the **CANCEL** button to erase/delete all entries since the last time you saved your work.
5. Click the **SAVE** button to save all entries currently on screen.
6. Click the **SAVE and PROCEED** button to save all entries and to take you to the **Upload Attachment** page.

Alternative Engagements Compliance Checklist

If user selected Alternative Engagement option in the gateway question, below screen will display for Completeness Checklist.

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

1. Confirm that the information displayed is correct.
2. Ensure all **applicable documents are included with your audit report submission.**
3. Provide contact information (name, email, phone) President/CEO Contact and Firm & CPA Contact (FIRM Name, Auditor Name, Email, Phone) for who should be contacted regarding the submission and/or additional notes as necessary.
 - Please feel free to attach any additional document(s). If you do attach these additional documents, please write a note in this field advising that you have attached additional information not required in this process.
4. **IMPORTANT WARNING:** Click the **CANCEL** button to erase/delete all entries since the last time you saved your work.
5. Click the **SAVE** button to save all entries currently on screen.
6. Click the **SAVE and PROCEED** button to save all entries and to take you to the **Upload Attachment page.**

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

Combined Engagement Compliance Checklist

If user selected Combined Engagement option in the gateway question, below screen will display for Completeness Checklist.

1. Confirm that the information displayed is correct.
2. Ensure all **applicable documents are included with your audit report submission.**
3. Provide contact information (name, email, phone) President/CEO Contact and Firm & CPA Contact (FIRM Name, Auditor Name, Email, Phone) for who should be contacted regarding the submission and/or additional notes as necessary.
 - Please feel free to attach any additional document(s). If you do attach these additional documents, please write a note in this field advising that you have attached additional information not required in this process.

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

4. **IMPORTANT WARNING:** Click the **CANCEL** button to erase/delete all entries since the last time you saved your work.
5. Click the **SAVE** button to save all entries currently on screen.
6. Click the **SAVE and PROCEED** button to save all entries and to take you to the **Upload Attachment page**. If you are an entity group this will take you to the Upload page for the entity you have selected

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

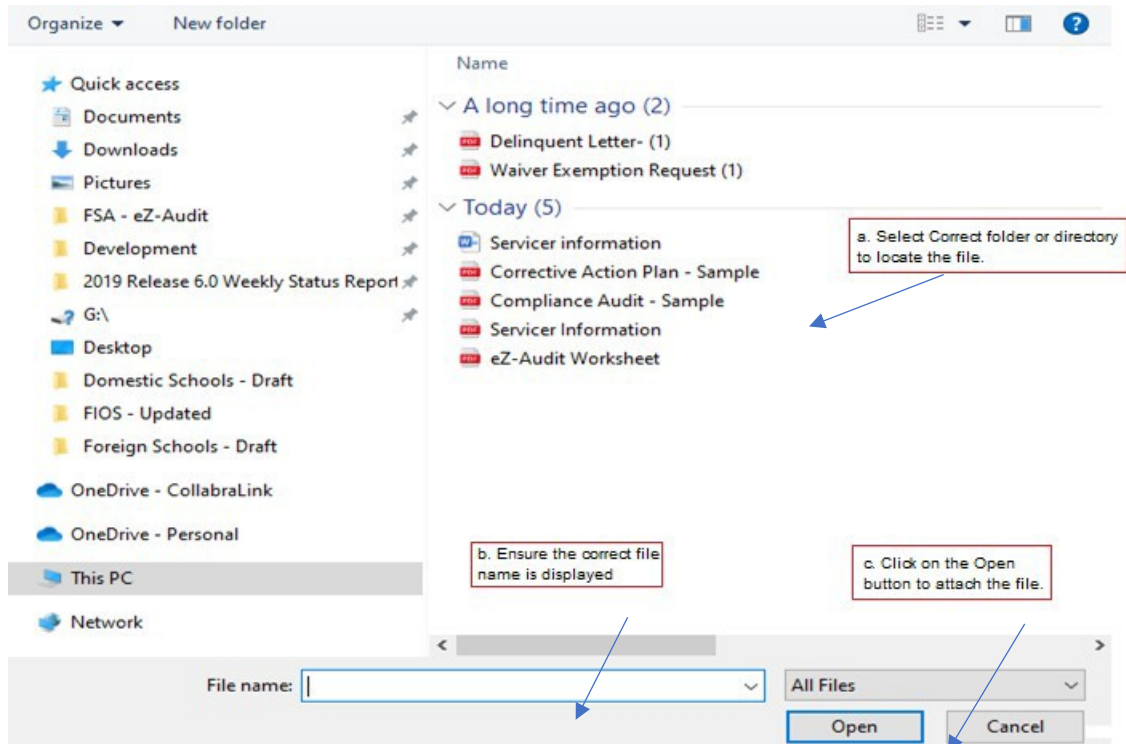
Annual Submission Upload Attachments

If you successfully entered or saved the information inputted on the Completeness Checklist page by clicking on the **SAVE and PROCEED** button, the screen below should appear. This page can also be reached by repeating the **LOGIN** step. This will take you to your entity's eZ-Audit homepage. On the upper left hand side of the page, you will see a section "Create Annual Submissions". Click on the underlined text "Create FYE xx/xx/xxxx Annual Submission", and then click on the underlined text "Upload Attachments". The screen below should appear:

The screenshot shows the 'Lender OIG AG Annual Submission FILE UPLOAD' page. At the top, there is a navigation bar with 'FSA FEDERAL STUDENT AID' on the left, 'eZ-AUDIT' in the center, and 'AUDIT HOME', 'SEARCH', 'INSTITUTIONS TOOLS', 'REPORTS', and 'LOGOUT' on the right. A sidebar on the left contains links for 'Compliance Audit', 'Completeness Checklist', 'Upload Attachments', and 'Submit'. The main content area displays the entity name 'ABC University' and OPEID '12345678' (callout 1). Below this is a paragraph of instructions: 'As part of your Annual Submission, you must include an electronic copy of your complete audited compliance audit and corrective action plan (if applicable). Please use the fields below to upload the files that you wish to submit to the Department of Education. For each file you upload, use the checkboxes to indicate what is contained in the file. Please note, all files must be in .pdf format. Upload times may vary depending on connection speed, but upload times greater than 1 minute is common - please wait for page to refresh before continuing. Uploaded document(s) must be in English. Do not include Personally Identifiable Information (PII)'. The upload section includes a 'File:' field with a 'Choose File' button and 'No file chosen' text (callout 2). Below the file field are four checkboxes: 'Compliance Audit', 'Corrective Action Plan', 'Other', and 'Lender Servicer Attestation Engagements Report' (callout 3). An 'ADD' button is located below the checkboxes (callout 4). At the bottom of the page are three buttons: 'CANCEL' (callout 5), 'SAVE' (callout 6), and 'SAVE AND PROCEED' (callout 7).

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

1. Confirm the information displayed is correct.
2. Click on the **Choose File** button to search for document(s) to be attached. Then follow instructions on the next page on searching and attaching document(s).



3. Check all appropriate documents attached are in English and do not contain any Personally Identified Information (PII). To view what is included in PII please hover the mouse over the word PII.
(Please note: When uploading another document, please deselect the previous upload type and then reselect the document type.)
4. After the document has been attached and the file type identified by checking the box, click the **“ADD”** button to ensure that the document has been successfully attached to your compliance audit submission.
5. **IMPORTANT WARNING:** Click the **CANCEL** button to erase all entries.
6. Click the **SAVE** button to save all entries currently on screen.
7. Click the **SAVE and PROCEED** button to take you to the Lender-Annual-Submission-submit page.

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

Annual Submission-Submit

If you successfully entered, saved and attached an electronic copy of your submissions by clicking on the **SAVE and PROCEED** button, the screen below should appear. This page can also be reached by repeating the **LOGIN** step. This will take you to your entity's eZ-Audit homepage. On the upper left hand side of the page, you will see a section "Create Annual Submissions". Click on the underlined text "Create FYE xx/xx/xxxx Annual Submission", and then click on the underlined text "Submit". The screen below should appear:

1. Confirm the information displayed is correct.
2. Read to understand and attest that you have met all requirements.
3. Click on the **SUBMIT TO ED** button to complete your Annual Submission process.
This will then take you to your entity's homepage with a displayed confirmation of your submission. If you do not have the **SUBMIT TO ED** button please verify that "submitter" is selected as a user role. See Manage Users for details.
4. The following confirmation of receipt will be displayed on your home page.

Your Submission has been received by the Department of Education. You will be contacted if additional information is needed after the submission has passed the edit/completeness check.

NOTE

You will have "read" access only once submitted.

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

Lender OIG - Change in Fiscal Year End

Change in Fiscal Year End Submission

This page can be reached by repeating the **LOGIN** step. This will take you to your entity's eZ-Audit homepage. On the upper left-hand side of the page, you will see a section "Other Submissions". Click on the underlined text "Change Fiscal Year End Date", and then click on the underlined text "Change in Fiscal Year End". The screen below should appear:

Change in Fiscal Year End Submission

ABC University
OPEID: 12345678

Our records indicate that the current fiscal year end for
FIRST ALABAMA BANK OF TROY N.A. is .

Enter new fiscal year end: Select Month

Are you submitting the Audit under?:
 Uniform Guidance
 OIG Audit Guide

By clicking the "Submit to ED" button below, I certify that I am the individual currently signed into this system on behalf of the entity, and that I am authorized to submit this information on behalf of the entity. I also certify that, to the best of my knowledge and belief, all information in this document is true and correct. I understand that if the entity provides false or misleading information, the U.S. Department of Education may terminate the entity's eligibility to contract with any institution to administer any aspect of an institution's participation in any Title IV, HEA program. I also understand that I may be subject to a fine or not more than \$25,000 or imprisonment of not more than five years, or both, for misinformation that is material to receipt and stewardship of federal student aid funds.

If you do not have the Submit to ED button below, the Submitter is not indicated as one of your roles. Please see the Manage Users Section of Help.

SUBMIT TO ED

1. Confirm the information displayed is correct.
2. Click on the dropdown list to change month as desired.
3. Are you submitting the Audit under? **Note:** Select the OIG Audit Guide Radio button option for Lender-OIG Guide.
4. Click on the "**SUBMIT TO ED**" this will then take you to your entity's homepage with a displayed confirmation of your submission. If you do not have the "**SUBMIT TO ED**" button please verify that "submitter" is selected as a user role. See Manage Users for details.

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

Lender OIG - Closeout Audit Submission

Closeout Audit Submission - Compliance Audit Information

To complete your Entity's Closeout Audit submission, complete the **LOGIN** steps this will take you to your Entity's eZ-Audit home page. On the upper left-hand side of the page, you will see a "Other Submissions" section. Click on the underlined text Create Closeout Audit Submission link and then click on the underlined text 'Compliance Audit'. The screen in the next page should appear.

The screenshot shows the 'Closeout Audit Submission' page for 'COMPLIANCE AUDIT INFORMATION'. The page includes a navigation menu on the left with links for Compliance Audit, Completeness Checklist, Upload Attachments, and Submit. The main form area contains the following sections:

- Entity Information:** Entity Name: ABC University, OPEID: 12345678 (Callout 1).
- 1. Is this submission covering multiple Lenders?:** Radio buttons for YES and NO (Callout 2).
- 2. Indicate the Period Audited (mm/dd/yyyy):** Begin Date and End Date input fields (Callouts 3 and 4).
- 3. Review Auditor Information:**
 - Records Indicate your Current Auditor Is: test: 435345435
 - Is this information correct?: Radio buttons for YES and NO (Callout 6).
 - Enter Auditor's TIN (Optional):
 - Auditor's Name*:
 - Auditor Firm Name*:
 - Address 1*:
 - Address 2 (Optional):
 - City*:
 - State (Optional):
 - Country*: -- Select a Country -- (Callout 7)
 - Phone #*:
 - Fax # (Optional):
 - Email Address*:
- 4. Does this Compliance audit contain any findings related to the Federal Family Education Loan Program (FFELP)?** Radio buttons for YES and NO (Callout 8).
- Buttons:** CANCEL (Callout 9), SAVE (Callout 10), and SAVE AND PROCEED (Callout 11).

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

1. Confirm the information displayed is correct.
2. Is this submission covering multiple Lenders? YES/ NO

Note: If you select '**No**' to Question 1 then user will not have ability to add more entity in the Lender table.
If '**Yes**', follow the steps '

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

Adding Entities to the Lender table on how to add Lenders.

3. Begin date is the beginning of the audit period.
4. End date is the end of the audit period.
5. This is the auditor on file with the Department of Education.
6. If the auditor's information is correct, no action is required. If incorrect or this is a new auditor, please select **NO**, and update with current information.
7. Please fill up all the mandatory fields. When Country is "United States" then TIN and State are required fields.
8. Does this Compliance audit contain any findings related to the Federal Family Education Loan Program (FEELP)?
9. **IMPORTANT WARNING:** Click the **CANCEL** button to erase/delete all entries since the last time you saved your work.
10. Click the SAVE button to ensure all entries are successfully stored by the system for this page.
11. Click the SAVE and PROCEED button to go to the Annual Submission-Lender Annual Submission **Completeness Checklist page**. This is the next stage in the submission process.

Closeout Audit Submission Completeness Checklist

If you successfully entered or saved the information inputted on the Compliance Audit page by clicking on the **SAVE AND PROCEED** button, the screen below should appear. This page can also be reached by repeating the **LOGIN** step. This will take you to your entity's eZ-Audit homepage. On the upper left-hand side of the page, you will see a section "Other Submissions." Click on the underline text "Closeout Audit Submission," and then click on the

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

underlined text "Completeness Checklist". The screen below should appear:

FSA FEDERAL STUDENT AID | **eZ-AUDIT** | [AUDIT HOME](#) | [HELP](#) | [MANAGE USERS](#) | [LOGOUT](#)

Closeout Audit Submission CHECKLIST

Entity Name: ABC University ← 1
 GPEID: 12345678

All fields are required.

1. Please ensure the following are included in your submission, if applicable:
Are the following items, if applicable, included in the attachment of your Closeout Audit Submission?

- Servicer Information Sheet
- Auditor Information Sheet
- Summary Schedule A
- Summary Schedule B
- Summary Schedule C
- Schedule addressing prior year findings
- Explanation of All Current Year Audit Findings
- Corrective Action Plan
- Schedule of Findings & Questioned Costs

2

2. Does the Independent Auditor's Report make reference to the examination of required management assertions? (if applicable)

- Institutional Eligibility & Participation Reporting
- Student Eligibility
- Disbursements
- Refunds/Return of Title IV
- GAPS & Cash Management
- Administrative Capability
- Closeout
- Uploaded document(s) must be in English
- Do not include *Personally Identifiable Information (PII)*

3. Contact Information/Additional Notes
 Please let us know who to contact with questions regarding this submission.

President/CEO Contact

Name*
 Email*
 Phone*

Firm and CPA Contact

Firm Name*
 Auditor Name*
 Email*
 Phone*

Enter any additional notes ← 4

5 6

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

1. Confirm the information displayed is correct.
2. Ensure all applicable documents are included with your audit report submission.
3. Provide contact information (name, email, phone) President/CEO Contact and Firm & CPA Contact (FIRM Name, Auditor Name, Email, Phone) for who should be contacted regarding the submission and/or additional notes as necessary.
 - Please feel free to attach any additional document(s). If you do attach these additional documents, please write a note in this field advising that you have attached additional information not required in this process.
4. **IMPORTANT WARNING:** Click the **CANCEL** button to erase all entries.
5. Click the **SAVE** button to save all entries currently on screen.
6. Click the **SAVE and PROCEED** button to take you to the Upload Attachment page.

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

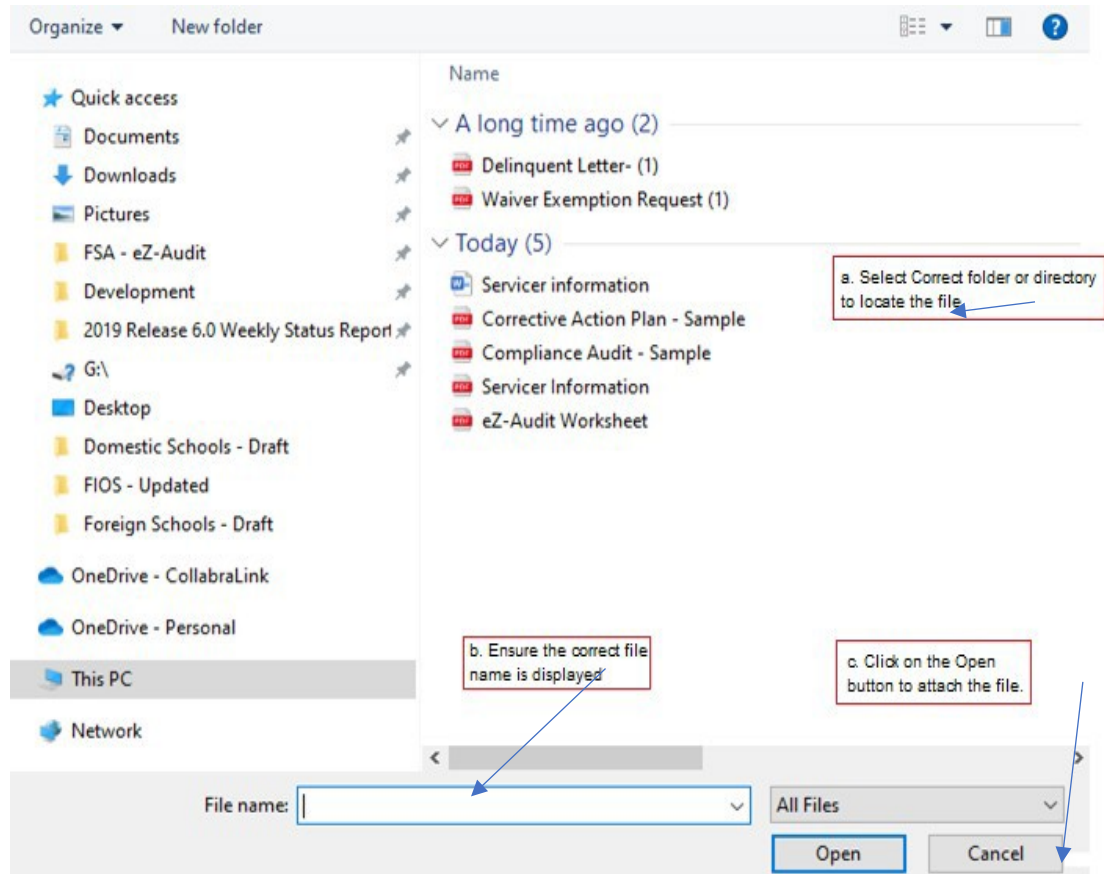
Closeout Audit Submission Upload Attachments

If you successfully entered or saved the information inputted on the Completeness Checklist page by clicking on the **SAVE and PROCEED** button, the screen below should appear. This page can also be reached by repeating the **LOGIN** step. This will take you to your entity's eZ-Audit homepage. On the upper left hand side of the page, you will see a section "Other Submissions". Click on the underlined text "Closeout Audit Submission", and then click on the underlined text "Upload Attachments". The screen in the next page should appear:

The screenshot shows the 'Closeout Audit Submission UPLOAD ATTACHMENTS' page. At the top left is the FSA Federal Student Aid logo. The navigation bar includes 'AUDIT HOME', 'HELP', 'MANAGE USERS', and 'LOGOUT'. A sidebar on the left lists: 1 Compliance Audit, 2 Completeness Checklist, 3 Upload Attachments, and 4 Submit. The main content area displays the entity name 'ABC University' and OPEID '12345678' (callout 1). Below this is a paragraph of instructions: 'As part of your Closeout Audit Submission, you must include an electronic copy of your complete compliance audit and corrective action plan (if applicable). Please use the fields below to upload the files that you wish to submit to the Department of Education. For each file you upload, use the checkboxes to indicate what is contained in the file. Please note, all files must be in .pdf format. Upload times may vary depending on connection speed, but upload times greater than 1 minute is common - please wait for page to refresh before continuing. Uploaded document(s) must be in English. Do not include Personally Identifiable Information (PII)' (callout 2). The file upload section shows a 'Files:' label, a 'Choose File' button, and 'No file chosen' text (callout 3). Below are three checkboxes: 'Compliance Audit:', 'Corrective Action Plan:', and 'Other:'. An 'ADD' button is located below the checkboxes (callout 4). At the bottom are three buttons: 'CANCEL', 'SAVE', and 'SAVE AND PROCEED' (callout 5). Callouts 6 and 7 point to the 'CANCEL' and 'SAVE AND PROCEED' buttons respectively.

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

1. Confirm the information displayed is correct.
2. Click on the **Choose File** button to search for document(s) to be attached. Then follow instructions on the next page on searching and attaching document.



3. Check all appropriate documents attached are in English and do not contain any Personally Identified Information (PII). To view what is included in PII please hover the mouse over the word PII.

(Please note: When uploading another document, please deselect the previous upload type and then reselect the document type.)

4. After the document has been selected and the file type identified by checking the box, click the **“ADD”** button to ensure that the document has been successfully attached to your submission.
5. **IMPORTANT WARNING:** Click the **CANCEL** button to erase/delete all entries since the last time you saved your work.
6. Click the **SAVE** button to save all entries currently on the screen.

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

7. Click the **SAVE and PROCEED** button to take you to the Lender-Closeout Audit Submission-submit page.

NOTE

As part of your stub audit submission, you must include an electronic copy of your complete audited compliance audit. Please note that all files must be in a non-editable .pdf format and NO personal information should be contained in attachments such as Social Security Numbers.

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

Closeout Audit Submission-Submit

If you successfully entered, saved and attached an electronic copy of your submission by clicking on the **SAVE and PROCEED** button, the screen below should appear. This page can also be reached by repeating the **LOGIN** step. This will take you to your entity's eZ-Audit homepage. On the upper left hand side of the page, you will see a section "Other Submissions". Click on the underlined text "Closeout Audit Submission", and then click on the underlined text "Submit". The screen below should appear:

1. Confirm the information displayed is correct.
2. Please read to understand and attest that you have met all requirements.
3. Click on the "**SUBMIT TO ED**" button to complete your Closeout Audit Submission process. If you do not have the "**SUBMIT TO ED**" button please verify that "submitter" is selected as a user role. See Manage Users for details.
4. The following confirmation of receipt will be displayed on your home page.

Your Submission has been received by the Department of Education. You will be contacted if additional information is needed after the submission has passed the edit/completeness check.

NOTE

You will have read access only once submitted

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

Lender OIG - Stub Audit Submission

Stub Audit Submissions Compliance Audit Information

To complete your Entity's Stub Audit submission, complete the **LOGIN** steps this will take you to your Entity's eZ-Audit homepage. On the upper left-hand side of the page, you will see a section "Other Submission". Click on the link Create_Stub Audit Submission, and then click on the underlined text "Compliance Audit". The screen in the next page should appear:

Stub Audit Submission COMPLIANCE AUDIT INFORMATION

Entity Name: ABC University
OPEID: 12345678

1. Is this submission covering multiple Lenders?:
 YES NO

2. Indicate the Period Audited (mm/dd/yyyy):
 Begin Date:
 End Date:
 Reason for Stub Audit:

3. Review Auditor Information:
 Records Indicate your Current Auditor Is: test 435345435
 Is this information correct?: YES NO
 Enter Auditor's TIN (Optional):
 Auditor's Name*:
 Auditor Firm Name*:
 Address 1*:
 Address 2 (Optional):
 City*:
 State (Optional):
 Country*: -- Select a Country --
 Phone #:
 Fax # (Optional):
 Email Address*:

4. Does this Compliance audit contain any findings related to the Federal Family Education Loan Program (FFELP)?
 YES NO

CANCEL SAVE SAVE AND PROCEED

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

1. Confirm the information displayed is correct.
2. Is this submission covering multiple Lenders? YES/ NO

Note: If you select '**No**' to Question 1 then user will not have ability to add more entity in the Lender table.
If '**Yes**', follow the steps in section '

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

Adding Entities to the Lender table on how to add Lenders.

3. Begin date is the beginning of the audit period.
4. End date is the end of the audit period.
5. Provide a reason if your audit period is less than a year.
6. This is the auditor on file with the Department of Education.
7. If the auditor's information is correct, no action is required. If incorrect or this is a new auditor, please select **NO**, and update with current information.
8. Please fill up all the mandatory fields. When Country is "United States" then TIN and State are required fields.
9. Does this Compliance audit report contain any findings related to the Federal Family Education Loan Program (FEELP)?
10. **IMPORTANT WARNING:** Click the **CANCEL** button to erase/delete all entries since the last time you saved your work.
11. Click the SAVE button to ensure all entries are successfully stored by the system for this page.
12. Click the SAVE and PROCEED button to go to the Annual Submission-Lender Annual Submission **Completeness Checklist page**. This is the next stage in the submission process.

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

Stub Audit Submissions Completeness Checklist

If you successfully entered or saved the information inputted on the Compliance Audit page by clicking on the **SAVE AND PROCEED** button, the screen below should appear. This page can also be reached by repeating the **LOGIN** step. This will take you to your entity's eZ-Audit homepage. On the upper left hand side of the page, you will see a section "Other Submissions". Click on the underlined text "Stub Audit Submission", and then click on the underlined text "Completeness Checklist". The screen below should appear:

FSA FEDERAL STUDENT AID | **eZ-AUDIT** | AUDIT HOME | HELP | MANAGE USERS | LOGOUT

Stub Audit Submission CHECKLIST
 Entity Name: ABC University
 OPEID: 12345678

All fields are required.

1. Please ensure the following are included in your submission, if applicable:
 Are the following items, if applicable, included in the attachment of your Stub Audit Submission?

- Service Information Sheet
- Auditor Information Sheet
- Summary Schedule A
- Summary Schedule B
- Summary Schedule C
- Schedule addressing prior year findings
- Explanation of All Current Year Audit Findings
- Corrective Action Plan
- Schedule of Findings & Questioned Costs

2. Does the Independent Auditor's Report make reference to the examination of required management assertions? (if applicable)

- Institutional Eligibility & Participation
- Reporting
- Student Eligibility
- Disbursements
- Refunds/Return of Title IV
- GAPS & Cash Management
- Administrative Capability
- Uploaded document(s) must be in English
- Do not include *Personally Identifiable Information (PII)*

3. Contact Information/Additional Notes
 Please let us know who to contact with questions regarding this submission.

President/CEO Contact
 Name:
 Email:
 Phone:

Firm and CPA Contact
 Firm Name:
 Auditor Name:
 Email:
 Phone:

Enter any additional notes:

4 CANCEL **5** SAVE **6** SAVE AND PROCEED

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

1. Confirm the information displayed is correct.
2. Ensure all applicable documents are included with your audit report submission. Check all appropriate documents attached are in English and do not contain any Personally Identified Information (PII). To view what is included in PII please hover the mouse over the work PII.
3. Provide contact information (name, email, phone) President/CEO Contact and Firm & CPA Contact (FIRM Name, Auditor Name, Email, Phone) for who should be contacted regarding the submission and/or additional notes as necessary.
 - Please feel free to attach any additional document(s). If you do attach these additional documents, please write a note in this field advising that you have attached additional information not required in this process.
4. **IMPORTANT WARNING:** Click the **CANCEL** button to erase all entries.
5. Click the **SAVE** button to save all entries currently on screen.
6. Click the **SAVE and PROCEED** button to take you to the Upload Attachment page.

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

Stub Audit Submissions Upload Attachments

If you successfully entered or saved the information inputted on the Completeness Checklist page by clicking on the **SAVE and PROCEED** button, the screen below should appear. This page can also be reached by repeating the **LOGIN** step. This will take you to your entity's eZ-Audit homepage. On the upper left hand side of the page, you will see a section "Other Submissions". Click on the underlined text "Stub Audit Submission", and then click on the underlined text "Upload Attachments". The screen in the next page should appear:

The screenshot shows the 'Stub Audit Submission UPLOAD ATTACHMENTS' page. The page header includes the FSA logo and navigation links: AUDIT HOME, HELP, MANAGE USERS, and LOGOUT. The left sidebar contains a menu with 'Upload Attachments' selected. The main content area displays the following information:

- Entity Name: ABC University
- OPEID: 12345678

Instructions: As part of your Stub Audit Submission, you must include an electronic copy of your complete compliance audit and corrective action plan (if applicable). Please use the fields below to upload the files that you wish to submit to the Department of Education. For each file you upload, use the checkboxes to indicate what is contained in the file. Please note, all files must be in .pdf format. Upload times may vary depending on connection speed, but upload times greater than 1 minute is common - please wait for page to refresh before continuing.

Uploaded document(s) must be in English.

Do not include Personally Identifiable Information (PII)

File: Choose File No file chosen

Compliance Audit:

Corrective Action Plan:

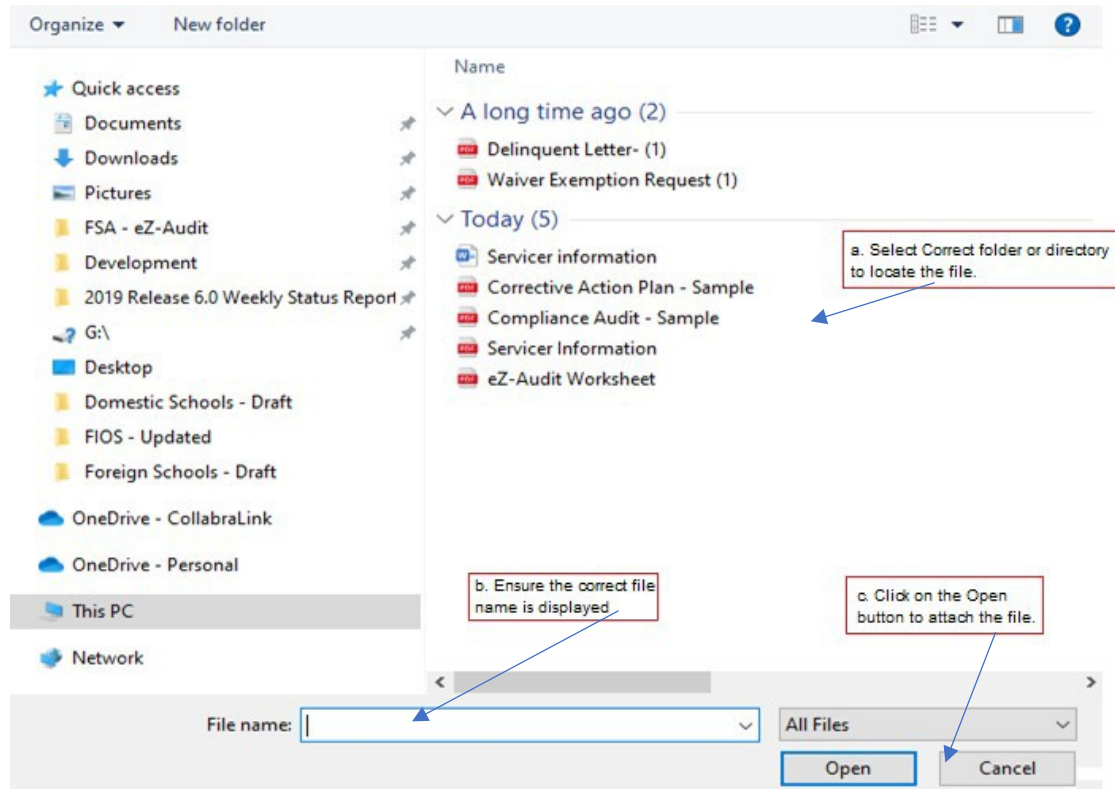
Other:

ADD

CANCEL SAVE SAVE AND PROCEED

1. Confirm the information displayed is correct.
2. Click on the **Choose File** button to search for document(s) to be attached. Then follow instructions on the next page on searching and attaching document.

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide



3. Check all appropriate documents attached are in English and do not contain any Personally Identified Information (PII). To view what is included in PII please hover the mouse over the work PII.

(Please note: When uploading another document, please deselect the previous upload type and then reselect the document type.)
4. After the document has been selected and the file type identified by checking the box, click the “**ADD**” button to ensure that the document has been successfully attached to your submission.
5. **IMPORTANT WARNING:** Click the **CANCEL** button to erase/delete all entries since the last time you saved your work.
6. Click the **SAVE** button to save all entries currently on the screen.
7. Click the **SAVE and PROCEED** button to take you to the Lender-Stub Audit Submission-submit page.

NOTE

As part of your stub audit submission, you must include an electronic copy of your complete audited compliance audit. Please note that all files must be in a non-editable .pdf format and NO personal information should be contained in attachments such as Social Security Numbers.

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

Stub Audit Submission-Submit

If you successfully entered, saved and attached an electronic copy of your submission by clicking on the **SAVE and PROCEED** button, the screen below should appear. This page can also be reached by repeating the **LOGIN** step. This will take you to your entity's eZ-Audit homepage. On the upper left-hand side of the page, you will see a section "Other Submissions". Click on the underlined text "Stub Audit Submission", and then click on the underlined text "Submit". The screen below should appear:

1. Confirm the information displayed is correct.
2. Please read to understand and attest that you have met all requirements.
3. Click on the **"SUBMIT TO ED"** button to complete your Stub Audit Submission process. If you do not have the **"SUBMIT TO ED"** button please verify that "submitter" is selected as a user role. See Manage Users for details.
4. The following confirmation of receipt will be displayed on your home page.

Your Submission has been received by the Department of Education. You will be contacted if additional information is needed after the submission has passed the edit/completeness check.

NOTE

You will have read access only once submitted.

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

Lender OIG - Exemption Request

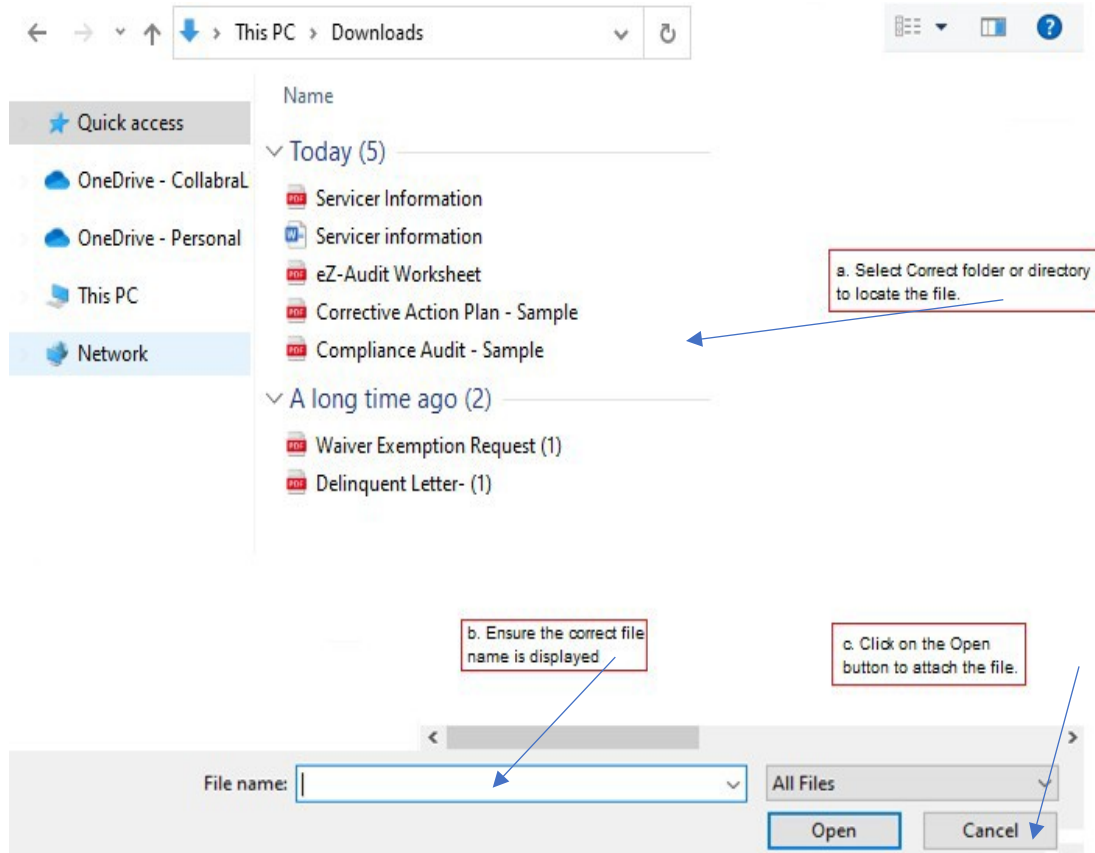
Create Exemption Request

This page can be reached by repeating the **LOGIN** step. This will take you to your entity's eZ-Audit homepage. On the upper left hand side of the page, you will see a section "Other Submissions". Click on the underlined text "Other Submissions", and then click on the underlined text "Create Exemption Request". The screen in the next page should appear:

The screenshot shows the 'Create Exemption Request' page in the eZ-Audit system. At the top, there are logos for FSA (Federal Student Aid) and the U.S. Department of Education, along with navigation links for 'AUDIT HOME', 'HELP', 'MANAGE USERS', and 'LOGOUT'. The main heading is 'Create Exemption Request'. Below this, the system displays the user's entity information: 'ABC University' and 'OPEID: 12345678', with a callout '1' pointing to this information. A paragraph of instructions follows, stating that files must be in .pdf format and that 'Submit' saves information while 'Cancel' returns to the home page. The form includes a 'File*' field with a 'Choose File' button and 'No file chosen' text, with callout '2' pointing to the 'Choose File' button. Below the file field is an 'ADD' button, with callout '3' pointing to it. Underneath is a dropdown menu for 'Waiver/Exemption Requested for FYE*' with the text '-- Select FYE --', with callout '4' pointing to it. A large block of text contains a certification statement: 'By clicking the "Submit to ED" button below, I certify that I am the individual currently signed into this system on behalf of the entity, and that I am authorized to submit this information on behalf of the entity. I also certify that, to the best of my knowledge and belief, all information in this document is true and correct. I understand that if the entity provides false or misleading information, the U.S. Department of Education may terminate the entity's eligibility to contract with any institution to administer any aspect of an institution's participation in any Title IV, HEA program. I also understand that I may be subject to a fine or not more than \$25,000 or imprisonment of not more than five years, or both, for misinformation that is material to receipt and stewardship of federal student aid funds. By clicking the "Submit to ED" button below, I certify that I am not in default on a federal student loan or that I have made satisfactory arrangement to repay it.' At the bottom, there are two buttons: 'CANCEL' and 'SUBMIT TO ED'. Callout '5' points to the 'CANCEL' button, and callout '6' points to the 'SUBMIT TO ED' button. A note at the bottom left states: 'If you do not have the "Submit To ED" button below, the Submitter is not indicated as one of your roles. Please see the Manage Section of Help'.

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

1. Confirm the information displayed is correct.
2. Click on the **Choose File** button to search for document to be attached. The screen below should appear:



3. After the document has been attached and the file type identified by checking the box, click the **ADD** button to ensure that the document has been successfully attached to your submission. The screen will then change to the screen in the next page:

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

The screenshot shows the 'Create Exemption Request' page in the eZ-Audit system. At the top left is the FSA Federal Student Aid logo. The page title is 'eZ-AUDIT'. Navigation links include 'AUDIT HOME', 'HELP', 'MANAGE USERS', and 'LOGOUT'. A circular logo for the U.S. Department of Education is on the top right. The user information shows 'ABC University' and 'OPEID: 12345678'. A text block explains that files must be in .pdf format and that clicking 'Submit' will save information while 'Cancel' will return to the home page. The form includes a 'File' field with a 'Choose File' button (callout 1) and 'No file chosen' text (callout 2). Below is an 'ADD' button (callout 3) and a 'Waiver/Exemption Requested for FYE' dropdown menu (callout 4) currently set to '-- Select FYE --'. An 'ATTACHED FILE(S)' table shows a file named 'sample.pdf' with a 'Request document' label and a 'DELETE' button. A large text block contains a certification statement about the accuracy of the information and the consequences of providing false information. At the bottom, there are 'CANCEL' (callout 5) and 'SUBMIT TO ED' (callout 6) buttons.

4. Select the Fiscal Year End date from the drop down menu for which you are requesting an exemption.
5. **IMPORTANT WARNING:** Click the **CANCEL** button to erase all entries.
6. Click the **"SUBMIT TO ED"** button to submit your Exemption Request. If you do not have the **"SUBMIT TO ED"** button please verify that "submitter" is selected as a user role. See Manage Users for details. This will then take you to your entity's homepage with a displayed confirmation of your transaction.

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

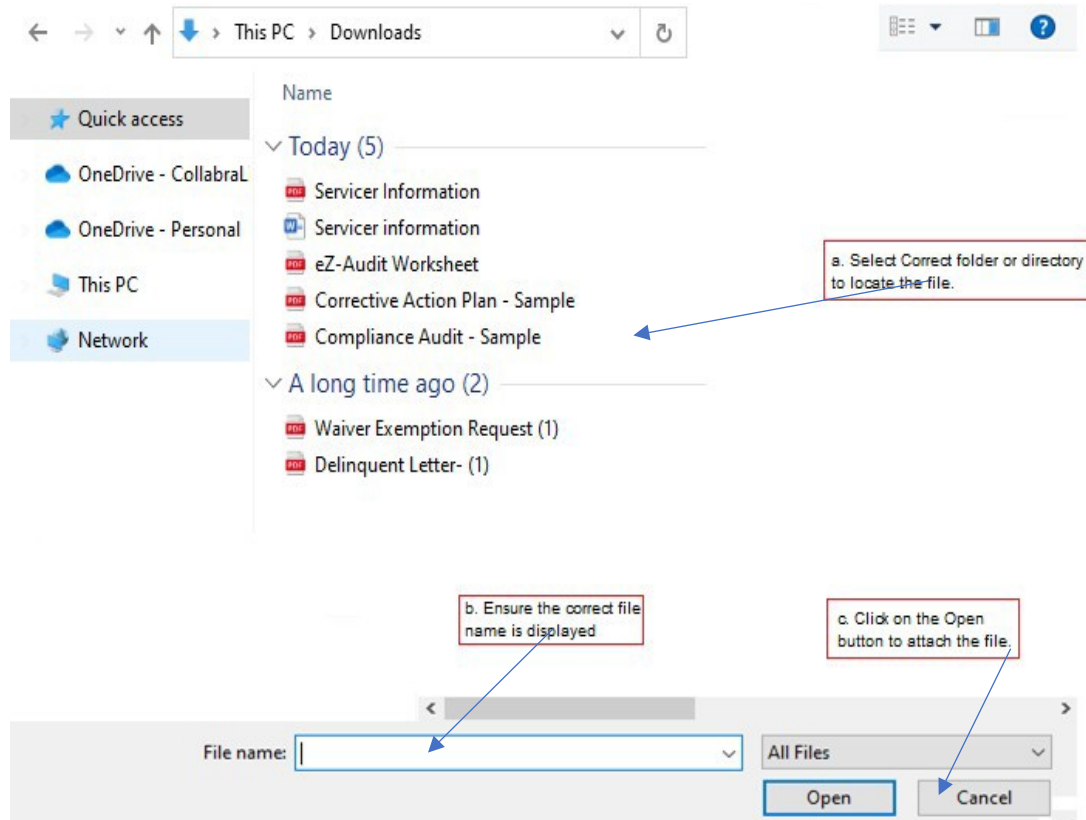
Lender OIG - Additional Information

Additional Information Submission

This page can be reached by repeating the **LOGIN** step. This will take you to your entity's eZ-Audit homepage. On the upper left hand side of the page, you will see a section "Other Submissions". Click on the underlined text "Other Submissions", and then click on the underlined text "Submit Additional Information". The screen below should appear:

1. Confirm the information displayed is correct.
2. Select submission to associate the additional information with. If the submission was not submitted via eZ-Audit it will not be listed. If the review is completed you cannot submit additional information. **Please check your Entity Homepage Notification section the status of your submission.**
3. Click on the **Choose File** button to search for document to be attached. The screen below should appear:

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide



4. After the document has been attached and the file type identified by checking the box, click the **ADD** button to ensure that the document has been successfully attached to your compliance audit submission.

NOTE
review

To submit additional information the submission must still be under FSA

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

Section 2: LENDER UNIFORM GUIDANCE (UG)

Lender UG - Annual Submissions

Annual Submission Compliance Audit Information

To complete your entity's annual submission, complete the **LOGIN** step. This will take you to your entity's eZ-Audit homepage. On the upper left hand side of the page, you will see a section "Create Annual Submissions". Click on the underlined text "Create FYE Annual Submission", and the screen in the next page should appear with your entity's name:

NOTE

If you are login in for the first time you will not see the see the Create FYE XX/XX/XXXX Annual Submission, you need to complete the **Change Fiscal Year End** Date request first. Once it is approved you will see the link for the Annual Submission

The screenshot shows the 'Lender UG Annual Submission' form with the following sections and callouts:

- 1:** Entity Name: ABC University, OPEID: 12345678
- 2:** 1. Is this submission covering multiple Lenders? (YES/NO radio buttons)
- 3:** 2. Indicate the Period Audited (mm/DD/yyyy): Begin Date: 5/01/2019, End Date: 04/30/2020
- 4:** 3. Review Auditor Information: Records Indicate your Current Auditor Is: name: FC80002300
- 5:** Is this information correct? (YES/NO radio buttons)
- 6:** Enter Auditor's TIN (Optional): Auditor's Name: Auditor Firm Name: Address 1: Address 2 (Optional): City: State (Optional): Country: (dropdown menu) Phone #: Fax # (Optional): Email Address:
- 7:** (Grouped callout for Auditor Information fields)
- 8:** 4. Was the Student Federal Family Education Loan Program (PFELP) audited as the major program? If no, question 6 is not applicable. (YES/NO radio buttons)
- 9:** 5. Does this A-133 report contain any findings related to the Federal Family Education Loan Program (PFELP)? (YES/NO radio buttons)
- 10:** 6. Opinion Type (dropdown menu)
- 11:** CANCEL button
- 12:** SAVE button
- 13:** SAVE AND PROCEED button

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

1. Confirm the information displayed is correct.
2. Is this submission covering multiple Lenders? YES/ NO
Note: If you select 'No' to Question 1 then user will not have ability to add more entity in the Lender table.
If 'Yes', follow the steps in section 'Adding Entity to the Lender table'
3. Begin date is the beginning of the audit period.
4. End date is the end of the audit period.
5. This is the auditor on file with the Department of Education.
6. If the auditor's information is correct, no action is required. If incorrect or this is a new auditor, please select **NO**, and update with current information.
7. Please fill up all the mandatory fields. When Country is "United States" then TIN and State are required fields.
8. Was the student Federal Family Education Loan Program (FFELP) audited as the major program? **Note:** If the answer to this question is **NO**, do not answer question 6.
9. Does this A-133 report contain any findings related to the Federal Family Education Loan Program (FEELP)?
10. Opinion type **Note:** If Yes to Question 4, Select the option from Opinion type drop-down.
11. **IMPORTANT WARNING:** Click the **CANCEL** button to erase/delete all entries since the last time you saved your work.
12. Click the SAVE button to ensure all entries are successfully stored by the system for this page.
13. Click the SAVE and PROCEED button to go to the Annual Submission-Lender Annual Submission **Completeness Checklist page**. This is the next stage in the submission process.

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

Adding Entity to the Lender table

Lender UG Annual Submission COMPLIANCE AUDIT INFORMATION

Entity Name: ABC University
 • OPEID: 12345678

1. Is this submission covering multiple Lenders?:
 YES NO

OPEID	NAME	PARENT ID	CITY	STATE	DELETE
80002500	BIRMINGHAM TRUST NATIONAL BANK	<input type="radio"/>	MOUNTAIN BRK	AL	

Add Lender OPEID: 80001600

To add the Lender OPEID to the table click on Save button below.

3 Add Lender OPEID. Note: Please enter the 8 digit OPEID to the table.

4 To Save the OPEID to the table Click on Save button below of the Compliance Audit page.

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

Deleting Entity from the Lender table

Lender UG Annual Submission COMPLIANCE AUDIT INFORMATION

Entity Name: ABC University
 • OPEID: 12345678

1. Is this submission covering multiple Lenders?:

YES NO

OPEID	NAME	PARENT ID	CITY	STATE	DELETE
80001600	FIRST EDUCATORS CREDIT UNION	<input type="radio"/>	HOOVER	AL	<input type="checkbox"/>
80002500	BIRMINGHAM TRUST NATIONAL BANK	<input type="radio"/>	MOUNTAIN BRK	AL	<input checked="" type="checkbox"/>

Add Lender OPEID:

To add the Lender OPEID to the table click on Save button below.

- In Delete column, Check the box to delete any Entity from the Lender table.

Note: Click the Save button at the bottom of the Compliance Audit page to delete the Entity from the table.

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

Annual Submission Completeness Checklist

If you successfully entered or saved the information inputted on the Compliance Audit Information page by clicking on the **SAVE AND PROCEED** button, the screen below should appear. This page can also be reached by repeating the **LOGIN** step. This will take you to your entity's eZ-Audit homepage. On the upper left hand side of the page, you will see a section "Create Annual Submissions". Click on the underlined text "Create FYE xx/xx/xxxx Annual Submission", and then click on the underlined text "Completeness Checklist". The screen below should appear:

FSA FEDERAL STUDENT AID | **eZ-AUDIT** | **DEPARTMENT OF EDUCATION**

AUDIT HOME | HELP | MANAGE USERS | LOGOUT

Lender UG Annual Submission CHECKLIST

» Entity Name: ABC University
• OPEID: 12345678

All fields are required.

1. Are the following items, if applicable, included in the attachment of your Compliance Audit?

- Schedule of Expenditures of Federal Awards
- Schedule of Findings & Questioned Costs
- Corrective Action Plan
- Summary schedule of prior year audit findings
- Independent Auditor's Report on Compliance with Requirements applicable to Each Major Program and Internal Control Over Compliance in Accordance with OMB Circular A-133
- Uploaded document(s) must be in English
- Do not include *Personally Identifiable Information (PII)*

2. Contact Information/Additional Notes

Please let us know who to contact with questions regarding this submission.

President/CEO Contact

Name:
Email:
Phone:

Firm and CPA Contact

Firm Name:
Auditor Name:
Email:
Phone:

Enter any additional notes

4 CANCEL **5** SAVE **6** SAVE AND PROCEED

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

1. Confirm that the information displayed is correct.
2. Ensure all applicable documents are included with your A-133 audit report submission and also Hover to PII.
3. Provide contact information (name, email, phone) President/CEO Contact and Firm & CPA Contact (FIRM Name, Auditor Name, Email, Phone) for who should be contacted regarding the submission and/or additional notes as necessary.
 - Please feel free to attach any additional document(s). If you do attach these additional documents, please write a note in this field advising that you have attached additional information not required in this process.
4. **IMPORTANT WARNING:** Click the **CANCEL** button to erase/delete all entries since the last time you saved your work.
5. Click the **SAVE** button to save all entries currently on screen.
6. Click the **SAVE and PROCEED** button to save all entries and to take you to the **Upload Attachment** page. If you are an entity group this will take you to the Upload page for the entity you have selected.

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

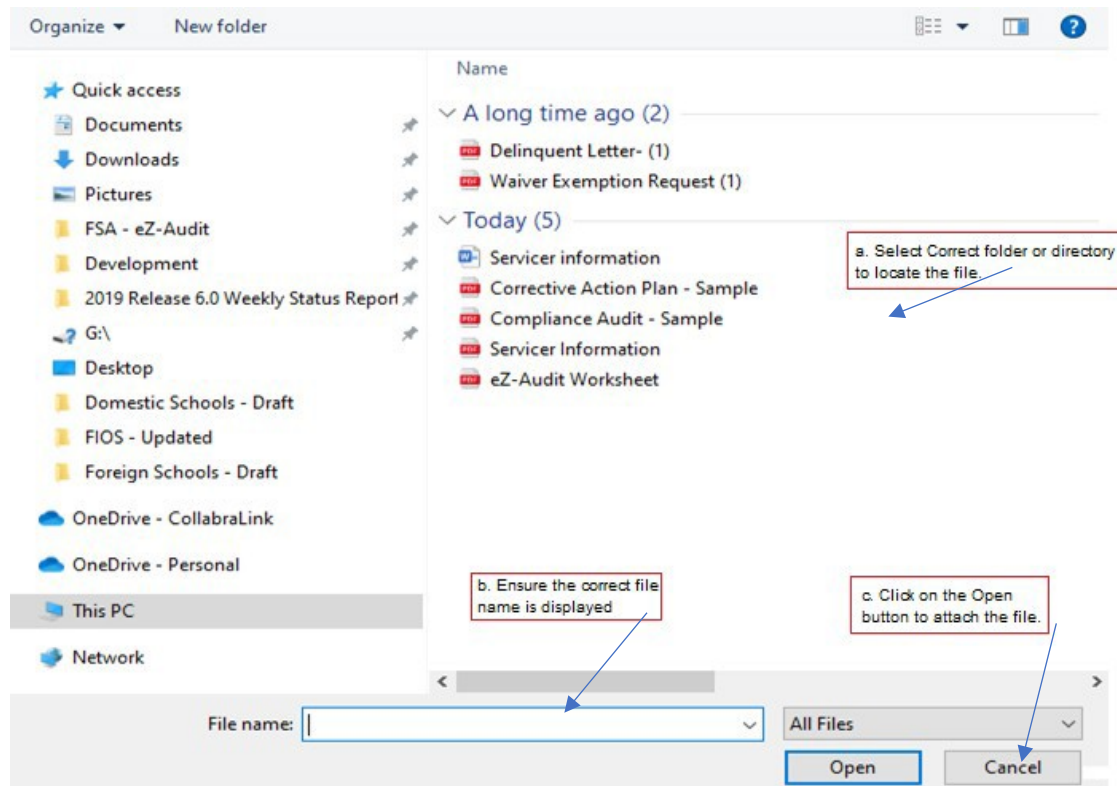
Annual Submission Upload Attachments

If you successfully entered or saved the information inputted on the Completeness Checklist page by clicking on the **SAVE and PROCEED** button, the screen below should appear. This page can also be reached by repeating the **LOGIN** step. This will take you to your entity's eZ-Audit homepage. On the upper left hand side of the page, you will see a section "Create Annual Submissions". Click on the underlined text "Create FYE xx/xx/xxxx Annual Submission", and then click on the underlined text "Upload Attachments". The screen below should appear:

The screenshot shows the 'Lender UG Annual Submission FILE UPLOAD' interface. On the left is a navigation menu with 'Upload Attachments' selected. The main area displays the entity name 'ABC University' and OPEID '12345678'. Below this, instructions state that users must upload a complete audited compliance audit and corrective action plan (if applicable) in PDF format. A 'Choose File' button is present, along with checkboxes for 'Compliance Audit', 'Corrective Action Plan', and 'Other'. An 'ADD' button is located below the checkboxes. At the bottom, there are 'CANCEL', 'SAVE', and 'SAVE AND PROCEED' buttons. Numbered callouts (1-7) indicate key elements: 1 points to the entity name, 2 to the 'Choose File' button, 3 to the checkboxes, 4 to the 'ADD' button, 5 to the 'CANCEL' button, 6 to the 'SAVE' button, and 7 to the 'SAVE AND PROCEED' button.

1. Confirm the information displayed is correct.
2. Click on the **Choose File** button to search for document(s) to be attached. Then follow instructions on the next page on searching and attaching document(s).

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide



3. Check all appropriate documents attached are in English and do not contain any Personally Identified Information (PII). To view what is included in PII please hover the mouse over the word PII.
(Please note: When uploading another document, please deselect the previous upload type and then reselect the document type.)
4. After the document has been attached and the file type identified by checking the box, click the **“ADD”** button to ensure that the document has been successfully attached to your compliance audit submission.
5. Click the **CANCEL** button to erase all entries.
6. Click the **SAVE** button to save all entries currently on screen.
7. Click the **SAVE and PROCEED** button to take you to the Lender-Annual-Submission-submit page.

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

Annual Submission-Submit

If you successfully entered, saved and attached an electronic copy of your submissions by clicking on the **SAVE and PROCEED** button, the screen below should appear. This page can also be reached by repeating the **LOGIN** step. This will take you to your entity's eZ-Audit homepage. On the upper left hand side of the page, you will see a section "Create Annual Submissions". Click on the underlined text "Create FYE xx/xx/xxxx Annual Submission", and then click on the underlined text "Submit". The screen below should appear:

1. Confirm the information displayed is correct.
2. Read to understand and attest that you have met all requirements.
3. Click on the **SUBMIT TO ED** button to complete your Annual Submission process.
This will then take you to your entity's homepage with a displayed confirmation of your submission. If you do not have the **SUBMIT TO ED** button please verify that "submitter" is selected as a user role. See Manage Users for details.
4. The following confirmation of receipt will be displayed on your home page.

Your Submission has been received by the Department of Education. You will be contacted if additional information is needed after the submission has passed the edit/completeness check.

NOTE

You will have "read" access only once submitted.

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

Lender UG - Change in Fiscal Year End

Change in Fiscal Year End Submission

This page can be reached by repeating the **LOGIN** step. This will take you to your entity's eZ-Audit homepage. On the upper left-hand side of the page, you will see a section "Other Submissions". Click on the underlined text "Change Fiscal Year End Date", and then click on the underlined text "Change in Fiscal Year End". The screen below should appear:

Change in Fiscal Year End Submission

ABC University
OPEID: 12349678

Our records indicate that the current fiscal year end for
FIRST ALABAMA BANK OF TROY N.A. is .

Enter new fiscal year end: Select Month

Are you submitting the Audit under?:
 Uniform Guidance
 OIG Audit Guide

By clicking the "Submit to ED" button below, I certify that I am the individual currently signed into this system on behalf of the entity, and that I am authorized to submit this information on behalf of the entity. I also certify that, to the best of my knowledge and belief, all information in this document is true and correct. I understand that if the entity provides false or misleading information, the U.S. Department of Education may terminate the entity's eligibility to contract with any institution to administer any aspect of an institution's participation in any Title IV, HEA program. I also understand that I may be subject to a fine or not more than \$25,000 or imprisonment of not more than five years, or both, for misinformation that is material to receipt and stewardship of federal student aid funds.

If you do not have the Submit to ED button below, the Submitter is not indicated as one of your roles. Please see the Manage Users Section of Help.

SUBMIT TO ED

1. Confirm the information displayed is correct.
2. Click on the dropdown list to change month as desired.
3. Are you submitting the Audit under? **Note:** Select the Uniform Guidance Radio button option for Lender-Uniform Guidance.
4. Click on the "**SUBMIT TO ED**" this will then take you to your entity's homepage with a displayed confirmation of your submission. If you do not have the "**SUBMIT TO ED**" button please verify that "submitter" is selected as a user role. See Manage Users for details.

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

Lender UG - Closeout Audit Submission

Closeout Audit Compliance Audit Information

To complete your Entity's Closeout Audit submission, complete the **LOGIN** steps this will take you to your entity's eZ-Audit homepage. On the upper left hand side of the page, you will see a section "Other Submission". Click on the link Create Closeout Audit Submission, and then click on the underlined text "Compliance Audit". The screen in the next page should appear:

The screenshot shows the 'Closeout Audit Submission' form with the following fields and callouts:

- 1:** Entity Name: ABC University
- 2:** OPEID: 12345678
- 3:** Question 1: Is this submission covering multiple Lenders? (Radio buttons YES/NO)
- 4:** Question 2: Indicate the Period Audited (mm/dd/yyyy). Includes Begin Date and End Date input fields.
- 5:** Question 3: Review Auditor Information. Records Indicate your Current Auditor Is: name 557672764.
- 6:** Question 3: Is this information correct? (Radio buttons YES/NO)
- 7:** Auditor Information fields: Enter Auditor's TIN (Optional), Auditor's Name, Auditor Firm Name, Address 1, Address 2 (Optional), City, State (Optional), Country (dropdown), Phone #, Fax # (Optional), Email Address.
- 8:** Question 4: Was the Student Federal Family Education Loan Program (FFELP) audited as the major program? (Radio buttons YES/NO)
- 9:** Question 5: Does this A-133 report contain any findings related to the Federal Family Education Loan Program (FFELP)? (Radio buttons YES/NO)
- 10:** Question 6: Opinion Type. If 4 is no, this question is not applicable. (Dropdown menu: -- Select an Opinion Type --)
- 11:** CANCEL button
- 12:** SAVE button
- 13:** SAVE AND PROCEED button

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

1. Confirm the information displayed is correct.
2. Is this submission covering multiple Lenders? YES/ NO

Note: If you select '**No**' to Question 1 then user will not have ability to add more entity in the Lender table.
If '**Yes**', follow the steps in section

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

Adding Entities to the Lender table on how to add Lenders.

3. Enter Begin date of the audit period.
4. Enter End date of the audit period.
5. This is the auditor on file with the Department of Education.
6. If the auditor's information is correct, no action is required. If blank, incorrect or this is a new auditor, please select **NO**, and update with current information.
7. Please complete mandatory fields as applicable. When Country is "United States" TIN and State are required fields.
8. Was the student Federal Family Education Loan Program (FFELP) audited as the major program? **Note:** If the answer to this question is **NO**, do not answer question 6.
9. Does this A-133 report contain any findings related to the Federal Family Education Loan Program (FEELP)?
10. Opinion type **Note:** If Yes to Question 4, Select the option from Opinion type drop-down.
11. **IMPORTANT WARNING:** Click the **CANCEL** button to erase/delete all entries since the last time you saved your work.
12. Click the SAVE button to ensure all entries are successfully stored by the system for this page.
13. Click the SAVE and PROCEED button to go to the Annual Submission-Lender Annual Submission **Completeness Checklist page**. This is the next stage in the submission process.

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

Closeout Audit Submission Completeness Checklist

If you successfully entered or saved the information inputted on the Compliance Audit page by clicking on the **SAVE AND PROCEED** button, the screen below should appear. This page can also be reached by repeating the **LOGIN** step. This will take you to your entity's eZ-Audit homepage. On the upper left-hand side of the page, you will see a section "Other Submissions". Click on the underlined text "Closeout Audit Submission", and then click on the underlined text "Completeness Checklist". The screen below should appear:

FSA FEDERAL STUDENT AID | **eZ-AUDIT** | **AUDIT HOME** | **SEARCH** | **INSTITUTION HOME** | **REPORTS** | **LOGOUT**

Closeout Audit Submission CHECKLIST

Entity Name: ABC University
OPEID: 12345678

All fields are required.

1. Please ensure the following are included in your submission, if applicable:

Are the following items, if applicable, included in the attachment of your Closeout Audit Submission?

- Schedule of Expenditures of Federal Awards
- Corrective Action Plan
- Schedule of Findings & Questioned Costs
- Summary schedule of prior year audit findings
- Independent Auditor's Report on Compliance with Requirements applicable to Each Major Program and Internal Control Over Compliance in Accordance with OMB Circular A-133
- Closeout
- Uploaded document(s) must be in English
- Do not include Personally Identifiable Information (PII)

2. Contact Information/Additional Notes

Please let us know who to contact with questions regarding this submission.

President/CEO Contact

Name:
Email:
Phone:

Firm and CPA Contact

Firm Name:
Auditor Name:
Email:
Phone:

Enter any additional notes

CANCEL **SAVE** **SAVE AND PROCEED**

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

1. Confirm the information displayed is correct.
2. Ensure all applicable documents are included with your A-133 audit report submission.
3. Provide contact information (name, email, phone) President/CEO Contact and Firm & CPA Contact (FIRM Name, Auditor Name, Email, Phone) for who should be contacted regarding the submission and/or additional notes as necessary.
 - Please feel free to attach any additional document(s). If you do attach these additional documents, please write a note in this field advising that you have attached additional information not required in this process.
4. Click the **CANCEL** button to erase all entries.
5. Click the **SAVE** button to save all entries currently on screen.
6. Click the **SAVE and PROCEED** button to take you to the Upload Attachment page.

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

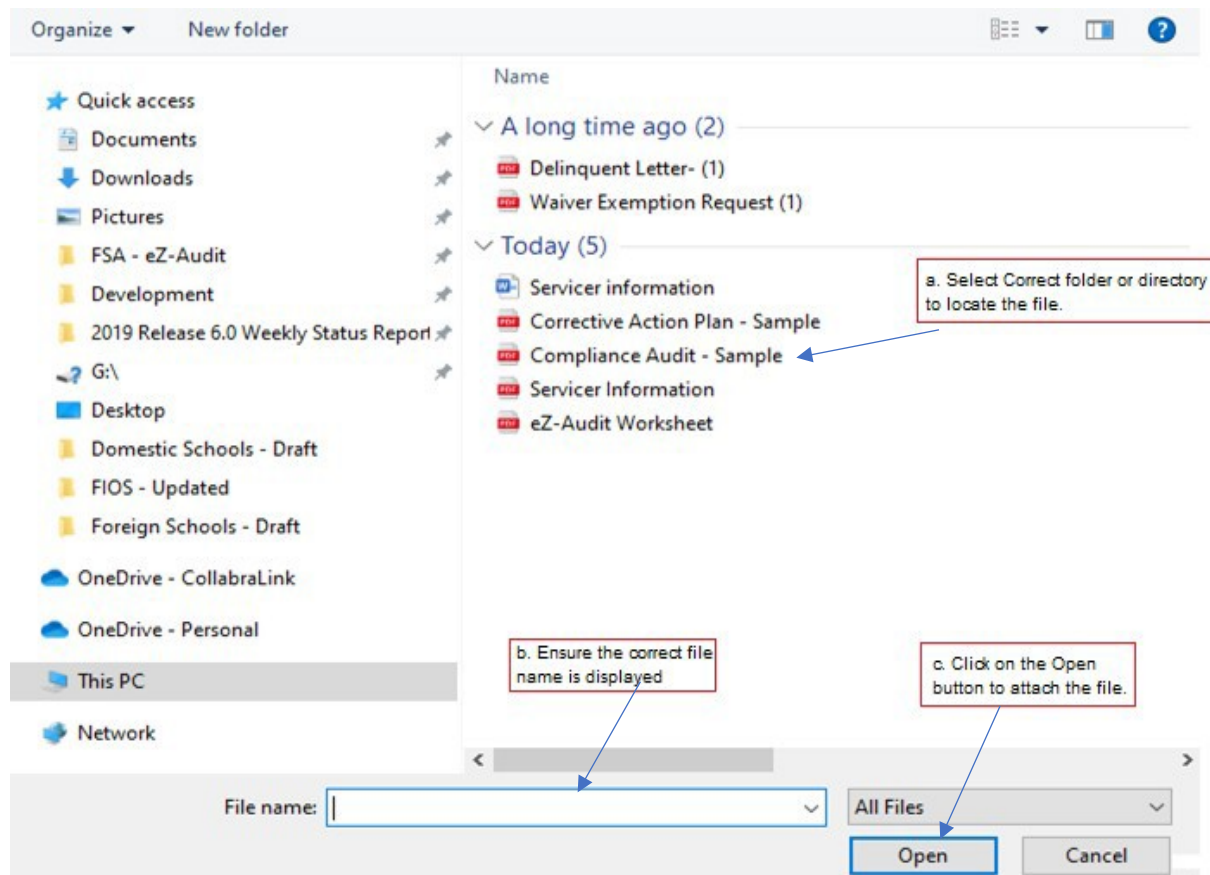
Closeout Audit Submission Upload Attachments

If you successfully entered or saved the information inputted on the Completeness Checklist page by clicking on the **SAVE and PROCEED** button, the screen below should appear. This page can also be reached by repeating the **LOGIN** step. This will take you to your entity's eZ-Audit homepage. On the upper left hand side of the page, you will see a section "Other Submissions". Click on the underlined text "Closeout Audit Submission", and then click on the underlined text "Upload Attachments". The screen in the next page should appear:

The screenshot shows the 'Closeout Audit Submission UPLOAD ATTACHMENTS' page. At the top left is the FSA Federal Student Aid logo. The top navigation bar includes 'AUDIT HOME', 'HELP', 'MANAGE USERS', and 'LOGOUT'. A sidebar on the left contains a menu with 'Compliance Audit', 'Completeness Checklist', 'Upload Attachments', and 'Submit'. The main content area displays the entity name 'ABC University' and OPEID '12345678'. Below this is a paragraph of instructions: 'As part of your Closeout Audit Submission, you must include an electronic copy of your complete compliance audit and corrective action plan (if applicable). Please use the fields below to upload the files that you wish to submit to the Department of Education. For each file you upload, use the checkboxes to indicate what is contained in the file. Please note, all files must be in .pdf format. Upload times may vary depending on connection speed, but upload times greater than 1 minute is common - please wait for page to refresh before continuing. Uploaded document(s) must be in English. Do not include Personally Identifiable Information (PII)'. The form includes a 'Files' section with a 'Choose File' button and 'No file chosen' text. Below this are three checkboxes: 'Compliance Audit', 'Corrective Action Plan', and 'Other'. An 'ADD' button is positioned below the checkboxes. At the bottom of the form are three buttons: 'CANCEL', 'SAVE', and 'SAVE AND PROCEED'. Numbered callouts (1-7) point to the entity name, the file upload area, the checkboxes, the ADD button, and the CANCEL, SAVE, and SAVE AND PROCEED buttons respectively.

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

1. Confirm the information displayed is correct.
2. Click on the **Choose File** button to search for document(s) to be attached. Then follow instructions on the next page on searching and attaching document.



3. Check all appropriate documents attached are in English and do not contain any Personally Identified Information (PII). To view what is included in PII please hover the mouse over the word PII.

(Please note: When uploading another document, please deselect the previous upload type and then reselect the document type.)

4. After the document has been selected and the file type identified by checking the box, click the **“ADD”** button to ensure that the document has been successfully attached to your submission.
5. Click the **CANCEL** button to erase/delete all entries since the last time you saved your work.
6. Click the **SAVE** button to save all entries currently on the screen.
7. Click the **SAVE and PROCEED** button to take you to the Lender-Closeout Audit Submission-submit page.

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

NOTE

As part of your stub audit submission, you must include an electronic copy of your complete audited compliance audit. Please note that all files must be in a non-editable .pdf format and NO personal information should be contained in attachments such as Social Security Numbers.

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

Closeout Audit Submission-Submit

If you successfully entered, saved and attached an electronic copy of your submission by clicking on the **SAVE and PROCEED** button, the screen below should appear. This page can also be reached by repeating the **LOGIN** step. This will take you to your entity's eZ-Audit homepage. On the upper left hand side of the page, you will see a section "Other Submissions". Click on the underlined text "Closeout Audit Submission", and then click on the underlined text "Submit". The screen below should appear:

1. Confirm the information displayed is correct.
2. Please read to understand and attest that you have met all requirements.
3. Click on the "**SUBMIT TO ED**" button to complete your Stub Audit Submission process. If you do not have the "**SUBMIT TO ED**" button please verify that "submitter" is selected as a user role. See Manage Users for details.
4. The following confirmation of receipt will be displayed on your home page.

Your Submission has been received by the Department of Education. You will be contacted if additional information is needed after the submission has passed the edit/completeness check.

NOTE

You will have read access only once submitted.

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

Lender UG - Stub Audit Submission

Stub Audit Submission Compliance Audit Information

To complete your Entity's Stub Audit submission, complete the **LOGIN** steps this will take you to your Entity's eZ-Audit homepage. On the upper left hand side of the page, you will see a section "Other Submission". Click on the link Create Stub Audit Submission, and then click on the underlined text "Compliance Audit". The screen in the next page should appear:

The screenshot shows the 'Stub Audit Submission' form in the eZ-Audit system. The form is titled 'Stub Audit Submission' and 'COMPLIANCE AUDIT INFORMATION'. It contains the following sections and callouts:

- 1:** Entity Name: ABC University; OPEID: 12345678
- 2:** Question: "1. Is this submission covering multiple Lenders?" with radio buttons for YES and NO.
- 3:** Question: "2. Indicate the Period Audited (mm/dd/yyyy):"
- 4:** Begin Date: [text box]
- 5:** End Date: [text box]
- 6:** Reason for Stub Audit: [text box]
- 7:** Question: "3. Review Auditor Information:"
- 8:** Records Indicate your Current Auditor Is: name: PC80002500
- 9:** Is this information correct?: YES NO
- 10:** Enter Auditor's TIN (Optional): [text box]
- 11:** Auditor's Name: [text box]
- 12:** Auditor Firm Name: [text box]
- 13:** Address 1: [text box]
- 14:** Address 2 (Optional): [text box]
- 15:** City: [text box]
- 16:** State (Optional): [text box]
- 17:** Country: -- Select a Country --
- 18:** Phone #: [text box]
- 19:** Fax #: [text box]
- 20:** Email Address: [text box]
- 21:** Question: "4. Was the Student Federal Family Education Loan Program (FFELP) audited as the major program? If no, question 6 is not applicable." with radio buttons for YES and NO.
- 22:** Question: "5. Does this A-133 report contain any findings related to the Federal Family Education Loan Program (FFELP)?" with radio buttons for YES and NO.
- 23:** Question: "6. Opinion Type" with dropdown: -- Select an Opinion Type --
- 24:** CANCEL button
- 25:** SAVE button
- 26:** SAVE AND PROCEED button

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

1. Confirm the information displayed is correct.
2. Is this submission covering multiple Lenders? YES/ NO

Note: If you select '**No**' to Question 1 then user will not have ability to add more entity in the Lender table.
If '**Yes**', follow the steps in section

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

Adding Entity to the Lender table on how to add Lenders

3. Enter Begin date of the audit period.
4. Enter End date of the audit period.
5. Provide a reason if your audit period is less than a year.
6. This is the auditor on file with the Department of Education.
7. If the auditor's information is correct, no action is required. If blank, incorrect or this is a new auditor, please select **NO**, and update with current information.
8. Please fill up all the mandatory fields. When Country is "United States" then TIN and State are required fields.
9. Was the student Federal Family Education Loan Program (FFELP) audited as the major program? **Note:** If the answer to this question is **NO**, do not answer question 6.
10. Does this A-133 report contain any findings related to the Federal Family Education Loan Program (FEELP)?
11. Opinion type **Note:** If Yes to Question 4, Select the option from Opinion type drop-down.
12. **IMPORTANT WARNING:** Click the **CANCEL** button to erase/delete all entries since the last time you saved your work.
13. Click the SAVE button to ensure all entries are successfully stored by the system for this page.
14. Click the SAVE and PROCEED button to go to the Annual Submission-Lender Annual Submission **Completeness Checklist page**. This is the next stage in the submission process.

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

Stub Audit Submission Completeness Checklist

If you successfully entered or saved the information inputted on the Compliance Audit page by clicking on the **SAVE AND PROCEED** button, the screen below should appear. This page can also be reached by repeating the **LOGIN** step. This will take you to your entity's eZ-Audit homepage. On the upper left-hand side of the page, you will see a section "Other Submissions". Click on the underlined text "Stub Audit Submission", and then click on the underlined text "Completeness Checklist". The screen below should appear:

FSA FEDERAL STUDENT AID | **eZ-AUDIT** | AUDIT HOME | HELP | MANAGE USERS | LOGOUT

Stub Audit Submission CHECKLIST

» Entity Name: ABC University
• OPEID: 12345678

All fields are required.

1. Please ensure the following are included in your submission, if applicable:

Are the following items, if applicable, included in the attachment of your Stub Audit Submission?

- Schedule of Expenditures of Federal Awards
- Corrective Action Plan
- Schedule of Findings & Questioned Costs
- Summary schedule of prior year audit findings
- Independent Auditor's Report on Compliance with Requirements applicable to Each Major Program and Internal Control Over Compliance in Accordance with OMB Circular A-133
- Uploaded document(s) must be in English
- Do not include *Personally Identifiable Information (PII)*

2. Contact Information/Additional Notes

Please let us know who to contact with questions regarding this submission.

President/CEO Contact

Name:
Email:
Phone:

Firm and CPA Contact

Firm Name:
Auditor Name:
Email:
Phone:

Enter any additional notes

4 CANCEL **5** SAVE **6** SAVE AND PROCEED

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

1. Confirm the information displayed is correct.
2. Ensure all applicable documents are included with your submission. Check all appropriate documents attached are in English and do not contain any Personally Identified Information (PII). To view what is included in PII please hover the mouse over the work PII.
3. Provide contact information (name, email, phone) President/CEO Contact and Firm & CPA Contact (FIRM Name, Auditor Name, Email, Phone) for who should be contacted regarding the submission and/or additional notes as necessary.
 - Please feel free to attach any additional document(s). If you do attach these additional documents, please write a note in this field advising that you have attached additional information not required in this process.
4. **IMPORTANT WARNING:** Click the **CANCEL** button to erase all entries.
5. Click the **SAVE** button to save all entries currently on screen.
6. Click the **SAVE and PROCEED** button to take you to the Upload Attachment page.

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

Stub Audit Submission Upload Attachments

If you successfully entered or saved the information inputted on the Completeness Checklist page by clicking on the **SAVE and PROCEED** button, the screen below should appear. This page can also be reached by repeating the **LOGIN** step. This will take you to your entity's eZ-Audit homepage. On the upper left hand side of the page, you will see a section "Other Submissions". Click on the underlined text "Stub Audit Submission", and then click on the underlined text "Upload Attachments". The screen in the next page should appear:

FSA FEDERAL STUDENT AID | **eZ-AUDIT** | **DEPARTMENT OF EDUCATION**

AUDIT HOME | HELP | MANAGE USERS | LOGOUT

Stub Audit Submission UPLOAD ATTACHMENTS

Entity Name: ABC University
OPEID: 12345678

As part of your Stub Audit Submission, you must include an electronic copy of your complete compliance audit and corrective action plan (if applicable). Please use the fields below to upload the files that you wish to submit to the Department of Education. For each file you upload, use the checkboxes to indicate what is contained in the file. Please note, all files must be in .pdf format. Upload times may vary depending on connection speed, but upload times greater than 1 minute is common - please wait for page to refresh before continuing.

Uploaded document(s) must be in English.

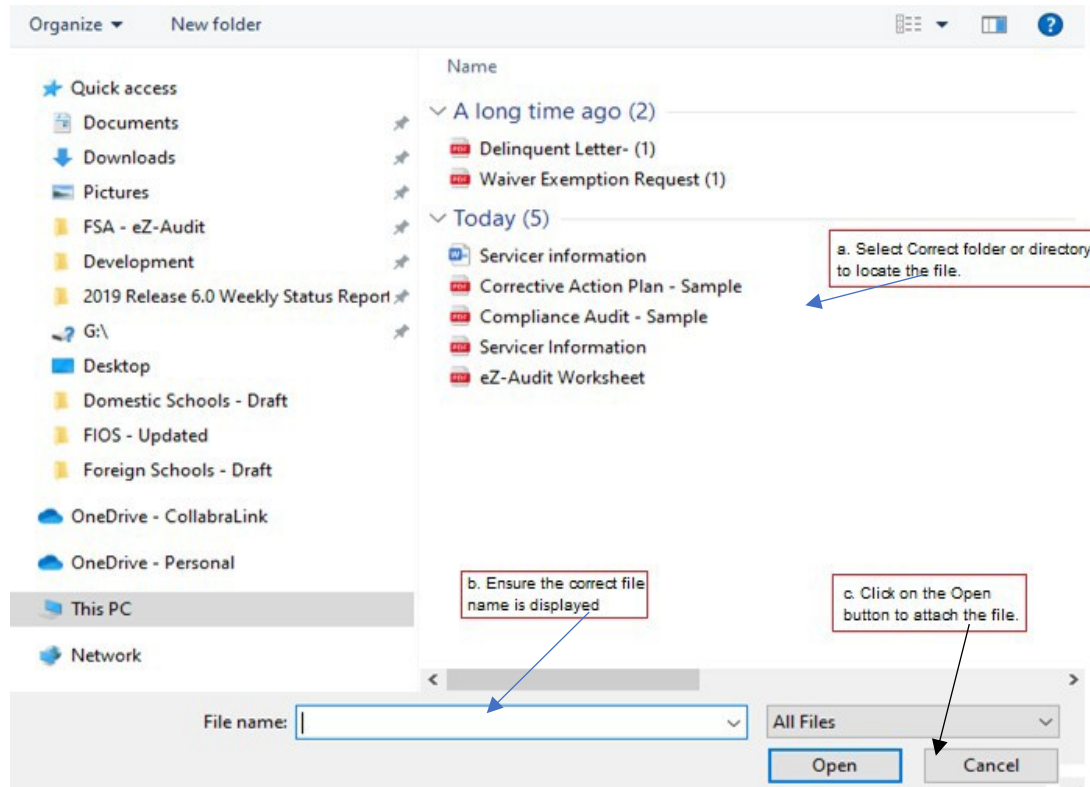
Do not include Personally Identifiable Information (PII)

Files: No file chosen

Compliance Audit:
Corrective Action Plan:
Other:

1. Confirm the information displayed is correct.
2. Click on the **Choose File** button to search for document(s) to be attached. Then follow instructions on the next page on searching and attaching document.

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide



3. Check all appropriate documents attached are in English and do not contain any Personally Identified Information (PII). To view what is included in PII please hover the mouse over the work PII.

(Please note: When uploading another document, please deselect the previous upload type and then reselect the document type.)
4. After the document has been selected and the file type identified by checking the box, click the “**ADD**” button to ensure that the document has been successfully attached to your submission.
5. **IMPORTANT WARNING:** Click the **CANCEL** button to erase/delete all entries since the last time you saved your work.
6. Click the **SAVE** button to save all entries currently on the screen.
7. Click the **SAVE and PROCEED** button to take you to the Lender-Stub Audit Submission-submit page.

NOTE

As part of your stub audit submission, you must include an electronic copy of your complete audited compliance audit. Please note that all files

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

must be in a non-editable .pdf format and NO personal information should be contained in attachments such as Social Security Numbers.

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

Stub Audit Submission-Submit

If you successfully entered, saved and attached an electronic copy of your submission by clicking on the **SAVE and PROCEED** button, the screen below should appear. This page can also be reached by repeating the **LOGIN** step. This will take you to your entity's eZ-Audit homepage. On the upper left-hand side of the page, you will see a section "Other Submissions". Click on the underlined text "Stub Audit Submission", and then click on the underlined text "Submit". The screen below should appear:

1. Confirm the information displayed is correct.
2. Please read to understand and attest that you have met all requirements.
3. Click on the "**SUBMIT TO ED**" button to complete your Stub Audit Submission process. If you do not have the "**SUBMIT TO ED**" button please verify that "submitter" is selected as a user role. See Manage Users for details. This will then take you to your entity's homepage with a displayed confirmation of your submission
4. The following confirmation of receipt will be displayed on your home page.

Your Submission has been received by the Department of Education. You will be contacted if additional information is needed after the submission has passed the edit/completeness check.

NOTE

You will have read access only once submitted.

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

Lender UG - Exemption Request

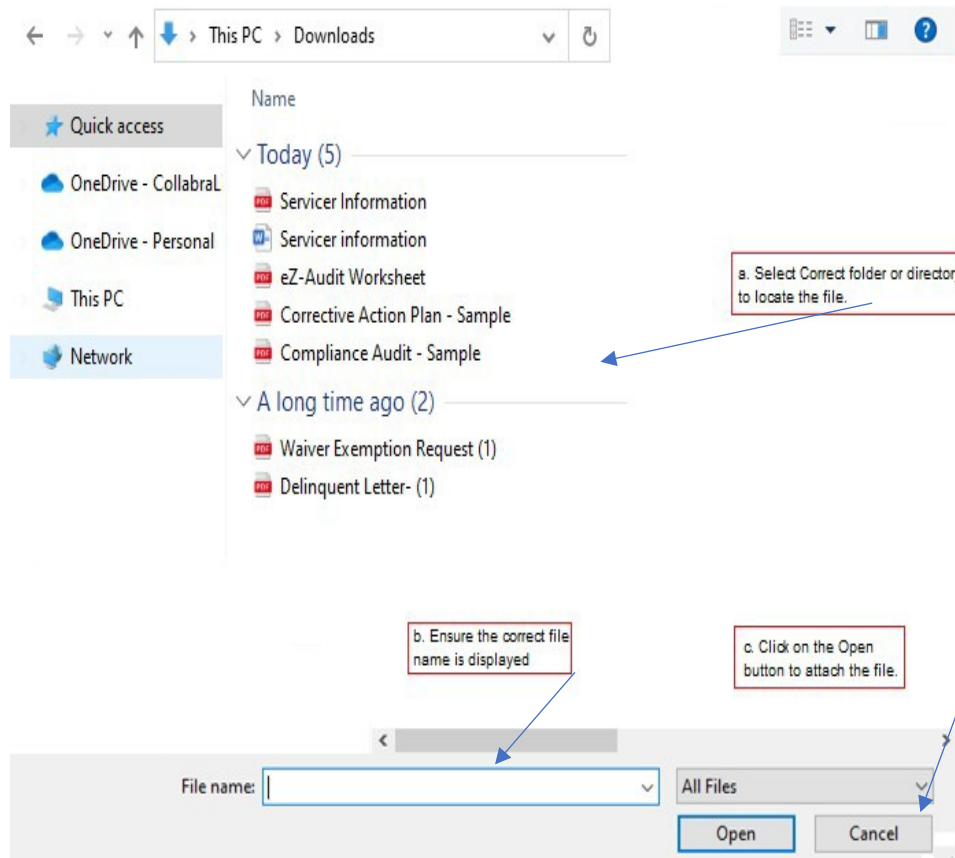
Create Exemption Request

This page can be reached by repeating the **LOGIN** step. This will take you to your entity's eZ-Audit homepage. On the upper left-hand side of the page, you will see a section "Other Submissions". Click on the underlined text "Other Submissions", and then click on the underlined text "Create Exemption Request". The screen in the next page should appear:

The screenshot shows the 'Create Exemption Request' page in the eZ-Audit system. At the top left is the FSA Federal Student Aid logo. The navigation bar includes 'AUDIT HOME', 'HELP', 'MANAGE USERS', and 'LOGOUT'. The page title is 'Create Exemption Request'. Below the title, the user's entity information is displayed: 'ABC University' and 'OPEID: 12345678', with a callout '1' pointing to the OPEID. A paragraph of instructions follows, stating that files must be in .pdf format and that 'Submit' will save the information while 'Cancel' will return to the home page. Below this is a file upload section with a 'File*' label, a 'Choose File' button, and a 'No file chosen' message, with callout '2' pointing to the 'Choose File' button. An 'ADD' button is located below the file upload area, with callout '3' pointing to it. Below the 'ADD' button is a dropdown menu for 'Waiver/Exemption Requested for FYE*' with the text '-- Select FYE --', with callout '4' pointing to the dropdown. A large block of text contains a certification statement: 'By clicking the "Submit to ED" button below, I certify that I am the individual currently signed into this system on behalf of the entity, and that I am authorized to submit this information on behalf of the entity. I also certify that, to the best of my knowledge and belief, all information in this document is true and correct. I understand that if the entity provides false or misleading information, the U.S. Department of Education may terminate the entity's eligibility to contract with any institution to administer any aspect of an institution's participation in any Title IV, HEA program. I also understand that I may be subject to a fine or not more than \$25,000 or imprisonment of not more than five years, or both, for misinformation that is material to receipt and stewardship of federal student aid funds. By clicking the "Submit to ED" button below, I certify that I am not in default on a federal student loan or that I have made satisfactory arrangement to repay it.' Below the certification is another instruction: 'If you do not have the "Submit To ED" button below, the Submitter is not indicated as one of your roles. Please see the Manage Section of Help'. At the bottom of the page are two buttons: 'CANCEL' and 'SUBMIT TO ED'. Callout '5' points to the 'CANCEL' button and callout '6' points to the 'SUBMIT TO ED' button.

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

1. Confirm the information displayed is correct.
2. Click on the **Choose File** button to search for document to be attached. The screen below should appear:



3. After the document has been attached and the file type identified by checking the box, click the **ADD** button to ensure that the document has been successfully attached to your submission. The screen will then change to the screen in the next page:

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FSA FEDERAL STUDENT AID | **eZ-AUDIT** | **DEPARTMENT OF EDUCATION**

AUDIT HOME | HELP | MANAGE USERS | LOGOUT

Create Exemption Request

ABC University
OPEID: 12345678

Please use the fields below to upload your Waiver/Exemption Request into the system. Please note, all files must be in .pdf format. Once all file(s) have been uploaded, select "Submit". Selecting "Cancel" will return you to your home page without saving any information.

File*: No file chosen

Waiver/Exemption Requested for FYE*: -- Select FYE --

ATTACHED FILE(S)	
sample.pdf	Request document <input type="button" value="DELETE"/>

By clicking the "Submit to ED" button below, I certify that I am the individual currently signed into this system on behalf of the entity, and that I am authorized to submit this information on behalf of the entity. I also certify that, to the best of my knowledge and belief, all information in this document is true and correct. I understand that if the entity provides false or misleading information, the U.S. Department of Education may terminate the entity's eligibility to contract with any institution to administer any aspect of an institution's participation in any Title IV, HEA program. I also understand that I may be subject to a fine or not more than \$25,000 or imprisonment of not more than five years, or both, for misinformation that is material to receipt and stewardship of federal student aid funds.

By clicking the "Submit to ED" button below, I certify that I am not in default on a federal student loan or that I have made satisfactory arrangement to repay it.

If you do not have the "Submit To ED" button below, the Submitter is not indicated as one of your roles. Please see the Manage Users Section of Help

4. Select the Fiscal Year End date from the drop-down for which you are requesting an exemption.
5. Click the **CANCEL** button to erase all entries.
6. Click the **"SUBMIT TO ED"** button to submit your Waiver Exemption Request. If you do not have the **"SUBMIT TO ED"** button please verify that "submitter" is selected as a user role. See Manage Users for details. This will then take you to your entity's homepage with a displayed confirmation of your transaction.

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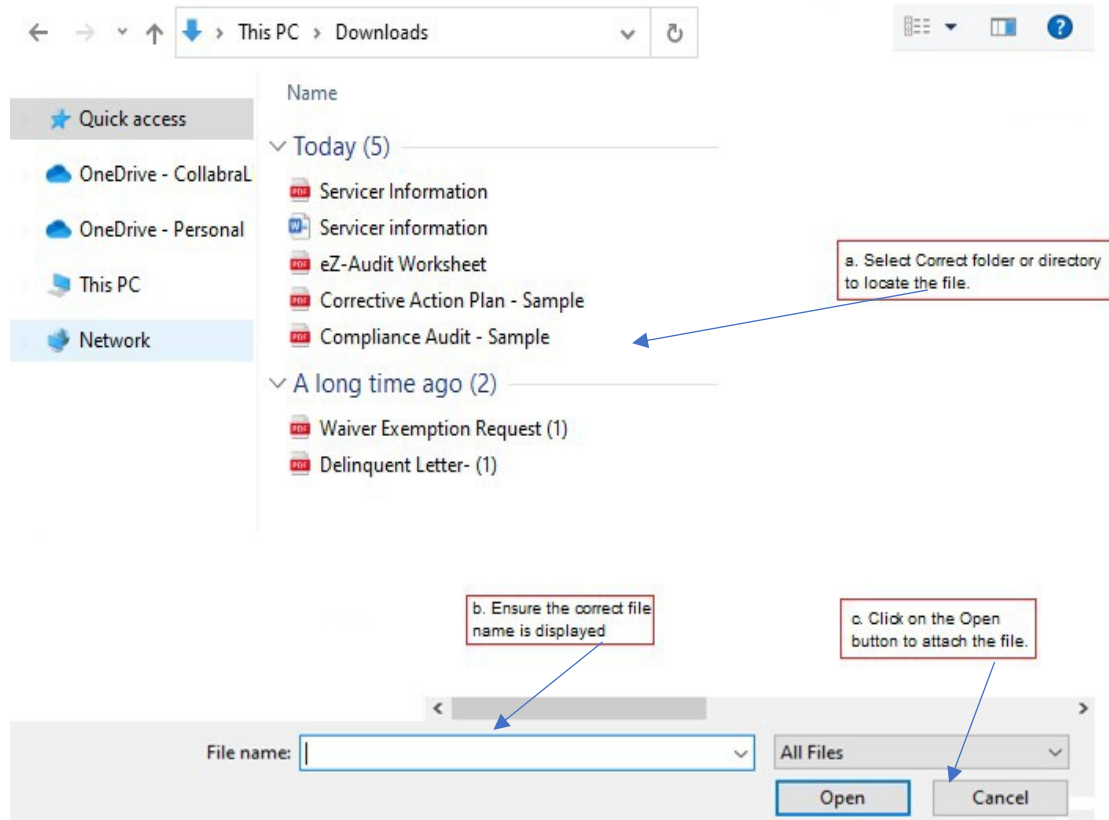
Lender UG - Additional Information

Additional Information Submission

This page can be reached by repeating the **LOGIN** step. This will take you to your entity's eZ-Audit homepage. On the upper left-hand side of the page, you will see a section "Other Submissions". Click on the underlined text "Other Submissions", and then click on the underlined text "Submit Additional Information". The screen below should appear:

1. Confirm the information displayed is correct.
2. Select submission to associate the additional information with. If the submission was not submitted via eZ-Audit it will not be listed. If the review is completed, you cannot submit additional information. **Please check your Entity Homepage Notification section the status of your submission.**
3. Click on the **Choose File** button to search for document to be attached. The screen below should appear:

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4. After the document has been attached and the file type identified by checking the box, click the **ADD** button to ensure that the document has been successfully attached to your compliance audit submission.

NOTE

To submit additional information the submission must still be under FSA review.

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

Section 3: Letters/ Notifications

Notifications Section

At any time, you will be able to view your entity's review status by viewing the notification section of your homepage. This can be reached by repeating the step **LOGIN**. This will bring you to your entity's eZ-Audit homepage and the screen below should appear:

The screenshot shows the eZ-Audit homepage for ABC University. The top navigation bar includes links for 'AUDIT HOME', 'SEARCH', 'INSTITUTION HOME', 'REPORTS', and 'LOGOUT'. The left sidebar contains sections for 'CREATE ANNUAL SUBMISSIONS' (with links like 'Create FYE 04/30/2020 Annual Submission') and 'OTHER SUBMISSIONS' (with links like 'Change Fiscal Year End Date', 'Create Exemption Request Submission', 'Create Closeout Audit Submission', 'Create Stub Audit Submission', 'Submit Additional Information', and 'VIEW HISTORICAL SUBMISSIONS'). Below the sidebar is an 'ADMINISTRATION' section with links for 'Update My User Profile' and 'View Institution Profile', and an 'OTHER LINKS' section with links for 'Dept. of Education' and 'Schools Portal'. The main content area is titled 'Home Page' and displays the following information:

- Entity Name: ABC University
- OPEID: 12345678

Below the entity information is a 'NOTIFICATIONS' section with the following updates:

- Your Fiscal Year End 04/30/2020 Annual Submission is due on 1/31/2021.
- Your FYE 02/28/2019 Annual Submission submitted on 04/10/2020 16:44:48 has been reviewed and is complete. Compliance Audit: The compliance audit contains findings. [Click here to view the Final Audit Determination Letter.](#)
- Your Change in FY End Submission submitted on 04/08/2020 09:34:16 has been approved.
- Your Change in FY End Submission submitted on 04/04/2020 06:49:09 has been approved.

Two callout boxes with arrows point to the entity name/OPEID and the 'NOTIFICATIONS' section.

1. This should read the name of your entity and OPEID number. Confirm that this is correct.
2. This is the Notification section. Most recent entity's submission status and other notifications will be displayed.

NOTE

their submission.

Users should periodically check the Entity Home Page for an up to date status of

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

Resubmission/ Incomplete Letter

If your submission has been deemed incomplete you will be required to Resubmit. An email will be sent to the person(s) as listed on the Checklists page in Contacts informing them that the submission has been deemed incomplete.

Resubmissions should be submitted 7 calendar days from receipt of email.

To resubmit you must **first view your incomplete letter posted to the Notifications section of your Entity Home Page**. To begin your resubmission, follow steps below.

1. Login to eZ-Audit. This will take you to your Entity's Home Page. The screen below should appear. Verify the name on your entity and OPEID.

The screenshot displays the eZ-Audit interface. At the top, there are logos for FSA (Federal Student Aid) and eZ-Audit, along with navigation links: HOME, SEARCH, INSTITUTION HOME, REPORTS, and LOGOUT. The main content area is titled 'Home Page' and shows the institution name 'ABC University' and OPEID '12345678'. Below this is a 'NOTIFICATIONS' section with several messages. One message states: 'Your FYE 05/31/2019 Annual Submission submitted on 06/03/2020 13:21:38 is incomplete. Click here to view the Incomplete Letter. The Incomplete Letter must be viewed before Resubmission'. A red circle with the number '1' points to the institution name and OPEID, and another red circle with the number '2' points to the 'Click here to view the Incomplete Letter' link. On the left side, there are sections for 'CREATE ANNUAL SUBMISSIONS' (with a link to 'Resubmit FYE 05/31/2019 Annual Submission') and 'OTHER SUBMISSIONS' (with links for 'Change Fiscal Year End Date', 'Create Exemption Request Submission', 'Create Closeout Audit Submission', 'Create Stub Audit Submission', and 'Submit Additional Information'). At the bottom left, there are sections for 'ADMINISTRATION' (with links for 'Update My User Profile' and 'View Institution Profile') and 'OTHER LINKS' (with links for 'Dept. of Education' and 'Schools Portal').

2. Click link to **view Incomplete Letter**. Incomplete letter will provide information regarding the reason(s) your submission was deemed incomplete. **Letter will open in separate window.**

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

UNITED STATES DEPARTMENT OF EDUCATION
Federal Student Aid
Program Compliance

06/01/2020 12:19:11
OPE ID: 12345678

ABC University
Egyetem ul
Piliscsaba, ,

Dear ,

The Department of Education (Department) received your Annual Submission for the fiscal year ended 06/30/2019 on 06/01/2020 12:08:56. The Department determined that ~~XXXXXXXXXXXXXXXXXXXX~~ University's submission is incomplete or in error for the following reason(s):

Compliance Audit

- - Compliance Audit is not viewable.
- - Corrective Action Plan is not viewable.

Please resubmit the compliance audit ~~XXXXXXXXXXXXXXXXXXXX~~ within 7 calendar days via eZ-Audit at <http://www.ezaudit.ed.gov/>. ~~XXXXXXXXXXXXXXXXXXXX~~ University is advised that until an acceptable compliance audit is received, the institution is not in compliance with the audit submission requirements set forth at 34 C.F.R. § 668.23. If the Department does not receive an acceptable compliance audit, ~~XXXXXXXXXXXXXXXXXXXX~~ University will be liable for all unaudited funds for the audit period. In addition, failure to submit an acceptable compliance audit may result in the Department initiating adverse action against the institution, including terminating or revoking the institution's program participation agreement, or, if the institution has an application pending for renewal of its certification, denial of that application. Further, failure to timely submit an acceptable compliance audit may cause the Department to determine that the institution is in violation of past performance provisions set forth at 34 C.F.R. § 668.174(a)(3), resulting in, among other things, provisional certification, the posting of a letter of credit (not applicable to public institutions), and placement on a heightened cash monitoring payment method.

If you have any questions regarding the compliance issue(s) addressed in this letter or the resubmission of your Annual, please contact the eZ-Audit Help Desk at (877) 263-0780 between the hours of 9am and 5pm EST. When prompted, choose option 2 for incomplete letter.

Your immediate attention to this matter is greatly appreciated.

Sincerely,

U.S. Department of Education
Federal Student Aid
Program Compliance

Step-by-Step Guide to Using eZ-Audit For Lender OIG and Lender UG Audit Guide

- Return to your home page by clicking back to the eZ-Audit Web site.

The screenshot shows the eZ-Audit web application interface. At the top, there is a navigation bar with the FSA logo on the left and the eZ-Audit logo in the center. Below the navigation bar, there are several menu items: 'CREATE ANNUAL SUBMISSIONS', 'OTHER SUBMISSIONS', and 'NOTIFICATIONS'. The 'CREATE ANNUAL SUBMISSIONS' menu is expanded, showing a list of options: 'Resubmit FYE 04/30/2020 Annual Submission', 'Change Fiscal Year End Date', 'Create Exemption Request Submission', 'Create Closeout Audit Submission', 'Create Stub Audit Submission', and 'Submit Additional Information'. A red circle with the number '4' is drawn around the 'Resubmit FYE 04/30/2020 Annual Submission' link, with an arrow pointing to it. The 'NOTIFICATIONS' section contains three items: 'Your Fiscal Year End 04/30/2020 Annual Submission is due on 1/31/2021.', 'Your FYE 04/30/2020 Annual Submission submitted on 06/05/2020 09:20:37 is incomplete. Click here to view the Incomplete Letter. The Incomplete Letter must be viewed before Resubmission', and 'Your FYE 04/30/2019 Annual Submission submitted on 05/21/2020 11:59:09 has been received. Review of your submission has not yet started.'

- Click the **Resubmit** link from left navigation area.
- Correct submission as directed in Incomplete Letter. Portions of submission deemed complete will be read-only.

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Delinquent Letter

If your submission is not received by its due date, a system generated Delinquent Email will be sent. The email will indicate that a Delinquent Letter has been posted to the Notifications section of your Entity's Home Page. Once the Delinquent Email is received, you will be directed to logon onto eZ-Audit to view the Delinquent Letter.

The screenshot displays the eZ-Audit Home Page. At the top, there are navigation links: AUDIT HOME, SEARCH, INSTITUTION PROFILE, REPORTS, and LOGOUT. The main content area is divided into several sections:

- CREATE ANNUAL SUBMISSIONS**
 - Create FYE 10/31/2018 Annual Submission
- OTHER SUBMISSIONS**
 - Change Fiscal Year End Date
 - Create Exemption Request Submission
 - Create Closeout Audit Submission
 - Create Stub Audit Submission
 - Submit Additional Information
 - VIEW HISTORICAL SUBMISSIONS
- ADMINISTRATION**
 - Update My User Profile
 - View Institution Profile
- OTHER LINKS**
 - Dept. of Education
 - Schools Portal
- Home Page**
 - Entity Name: **University of XYZ**
 - OPEID: 12345678
- NOTIFICATIONS**
 - Your Fiscal Year End 10/31/2018 Annual Submission is overdue. [Click here to view the Delinquent Letter](#). The Delinquent Letter will be viewable until the submission is complete. (Circled 1)
 - Your Fiscal Year End 10/31/2004 Annual Submission is overdue. [Click here to view the Delinquent Letter](#). The Delinquent Letter will be viewable until the submission is complete.

1. Click link to **view Delinquent Letter**. Delinquent letter will provide information regarding which annual submission is overdue. Letter will open in separate window.

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UNITED STATES DEPARTMENT OF EDUCATION
Federal Student Aid - School Channel
School Eligibility Channel
eZ-Audit

Date: 10/31/2004
OPE ID: 77889900
TIN: 000000070

Dr Proprietary
Proprietary School
1234 Proprietary Lane
Proprietary, DC, 12345

Dear President:

Pursuant to 34 CFR 668.23 of the Student Assistance General Provisions regulations, an institution participating in any Title IV, HEA program must submit annually to the Secretary, its compliance audit and audited financial statements no later than six months after the last day of the institution's fiscal year.

Your institution's materially complete and acceptable audit and/or financial statements for the fiscal year ended 10/31/2004 have not been received by the submission deadline date of 10/31/2004.

If you have submitted compliance audit and financial statements which were deemed unacceptable and returned to the institution, the submission deadline continues to apply until acceptable audit reports are resubmitted to the Department. Please resubmit the audit/financial statements for the fiscal year ended 10/31/2004 within 10 days of the receipt of this letter via eZ-Audit at www.ezaudit.ed.gov.

If we do not receive the required submission within 10 days of your receipt of this letter, your institution may be subject to assessment of liabilities for all unaudited funds for the audit period and other appropriate action noted under 34 CFR 668, Subpart G. If you have already submitted your compliance audit and financial statements for the fiscal year ending 10/31/2004, please contact the eZ-Audit Help Desk at 1-877-263-0780.

Thank you in advance for your cooperation.

Sincerely

Ti Baker
eZ-Audit Operations Manager
Integrated Partner Management Division

2. Close or minimize the browser to return to your home page.
3. Click on the **Create Annual Submission** link to submit your annual submission.

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Reminder Email Notifications

A Reminder email will be sent 60 and/or 30 days prior the submission due date. The Reminder Email will be sent to the eZ-Audit Entity Administrator to remind them that the Compliance Audit due date is approaching.