

Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)

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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 web form (follow this manual for complete instructions).
2. Your Entity also attaches an electronic copy of your audit report in a non-editable pdf format (using Adobe Acrobat).
3. The eZ-Audit system automatically forwards flagged financials and 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

What role should my auditor play in eZ-Audit? You may choose to ask your auditor to serve in all roles listed above.

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If your auditor is *not* selected as a Data Entry/Submitter; you may request that your auditor electronically send 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 (CAP), 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**. **Is the firewall information accurate/applicable?**

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

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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.

Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)

The screenshot shows the eZ-Audit interface. At the top left is the FSA Federal Student Aid logo. At the top center is 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".

Callout 1 points to the "Rules of Behavior" link in the bottom left corner. Callout 2 points to the "Accept & Continue" button.

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 fazeaudit@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 Entity's must submit a registration request letter to the FSA to gain access to eZ-Audit. Please see the **Registration Instructions on the eZ-Audit Welcome Page** for details.

[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 submitted to FSA.

You will receive two registration confirmation emails. The first email from 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.

[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 browser, and when the eZ- Audit login screen appears, enter the user name and temporary password you received.

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 Institution/Entity Administrator will receive a username and password once processed, usually within 72 hours of receipt.

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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 eZ-Audit login page. On the left, there is a 'Welcome to eZ-Audit' message with instructions for registered and non-registered users, and links for registration instructions, forgot password, and support. Below this are links for eZ-Audit updates, common submission errors, frequently asked questions, step-by-step guides, and PDF creation. A mouse cursor is shown over the page. On the right, the login form is visible with fields for 'username' and 'password', a 'LOGIN' button, and a 'Forgot Password?' link. Three numbered callouts (1, 2, 3) are overlaid on the form: 1 points to the username field, 2 points to the password field, and 3 points to the LOGIN button.

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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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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)(1)(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. 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.**

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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

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

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?
 - What is your father's middle name?
 - In what city was your mother born?
 - Which hospital were 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?

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

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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.

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 fsaezaudit@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?](#)

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

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The screenshot shows the 'eZ-Audit' interface for a 'PASSWORD RESET'. At the top left is the 'FSA FEDERAL STUDENT AID' logo, and at the top right is the 'DEPARTMENT OF EDUCATION' seal. The page title is 'PASSWORD RESET'. Below this is a section titled 'USER INFORMATION' with a blue header. The form contains the following elements:

- 1. A checkbox labeled 'Check here if you are an institution user' with an arrow pointing to it from the number 1.
- 2. A text input field for 'Username:' with an arrow pointing to it from the number 2.
- 3. A text input field for 'OPEID:' with an arrow pointing to it from the number 3.
- 4. A 'SUBMIT' button with an arrow pointing to it from the number 4.
- 5. A 'RESET' button with an arrow pointing to it from the number 5.

At the bottom of the page, it says '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 TPSID 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.

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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?:

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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.

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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 click [Login](#).

The screenshot shows the eZ-Audit system interface. At the top, there is a navigation bar with the following buttons: **AUDIT HOME**, **HELP**, **MANAGE USERS**, and **LOGOUT**. A callout circle with the number '1' points to the **LOGOUT** button. The main content area is titled "Home Page" and displays the following information:

- Entity Name: **University of XYZ**
- TPSID: **771111111**

Below this information, there is a "NOTIFICATIONS" section with the following items:

- 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.

On the left side of the page, there are 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](#)

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 Third Party Servicer (TPS)



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 Third Party Servicer (TPS)

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 shown on the next page.

NOTE

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

Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)



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:	<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"/>

Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)

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 Third Party Servicer (TPS)

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? ▼

SAVE RESET

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.

Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)

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 1-877-263-0780.

Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)

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 twice.
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

U.S. DEPARTMENT OF EDUCATION

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](#)

Home Page

- » Entity Name: **University of XYZ**
- OPEID: 771111111

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 Third Party Servicer (TPS)

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 displays the eZ-Audit web application interface. At the top left is the FSA Federal Student Aid logo. The main header features the eZ-Audit logo and a navigation menu with links for AUDIT HOME, SEARCH, INSTITUTION HOME, REPORTS, and LOGOUT. On the right is the Department of Education seal. A left-hand sidebar contains a menu with the following items: 1 Compliance Audit, 2 Completeness Checklist, 3 Upload Attachments, and 4 Submit. The main content area is titled 'TPS Annual Submission COMPLIANCE AUDIT INFORMATION'. It shows the entity name as 'University of XYZ' and TPS ID as '77111111'. Below this, an 'Error(s):' section lists three red error messages: 'Field: 2. Review Auditor Information - Is this information correct? is required and cannot be left blank.', 'Field: 3. Does this compliance audit contain any findings related to the FSA Title IV programs? is required and cannot be left blank.', and 'Field: 4. Opinion Type is required and cannot be left blank.'

Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)



TPS Annual Submission CHECKLIST

» Entity Name: **University of XYZ**

• TPS ID: 77111111

Error(s):

- Field: President/CEO Contact Name is required and cannot be left blank.
- Field: President/CEO Contact Email is required and cannot be left blank.
- Field: President/CEO Contact Phone is required and cannot be left blank.
- Field: Firm and CPA Firm Name is required and cannot be left blank.
- Field: Firm and CPA Auditor Name is required and cannot be left blank.
- Field: Firm and CPA Contact Email is required and cannot be left blank.
- Field: Firm and CPA Contact Phone is required and cannot be left blank.



TPS Annual Submission SUBMIT

» Entity Name: **University of XYZ**

• TPS ID: 77111111

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.

SUBMIT TO ED

Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)

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 Third Party Servicer (TPS)

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 shows the eZ-Audit Entity Administrator Homepage. At the top, there is a navigation bar with the following links: [AUDIT HOME](#), [HELP](#), [MANAGE USERS](#), and [LOGOUT](#). The main content area is titled "Home Page" and displays the institution name "University of XYZ" and the "TPSID: 77111111". Below this, there is a "NOTIFICATIONS" section with several messages regarding audit submissions. On the left side, there are sections for "CREATE ANNUAL SUBMISSIONS", "OTHER SUBMISSIONS", "ADMINISTRATION", and "OTHER LINKS". Two callout boxes with arrows point to the "MANAGE USERS" button (labeled "1") and the "TPSID" value (labeled "2").

1. The **MANAGE USERS** button should be displayed if you are the Institution/Entity Administrator. Click on it to perform any of the managed 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 TPSID number**. Confirm that this is correct.

Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)

Creating/Deleting Data Entry/Submitter Users

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

The screenshot shows the 'Manage Users' interface. At the top left is the FSA logo. To its right is the 'eZ-AUDIT' header with navigation buttons: 'AUDIT HOME', 'MANAGE USERS', 'HELP', and 'LOGOUT'. On the far right is the Department of Education seal. Below the header, the page title is 'Manage Users'. There are two input fields: 'Entity Name:' and 'TPSID:'. Below these is a table with three columns: 'NAME', 'USERNAME', and 'DELETE'. The table contains one row with the values 'smith01, Jon' and 'jsmith01'. Below the table is an 'ADD USER' button.

NAME	USERNAME	DELETE
smith01, Jon	jsmith01	

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 Third Party Servicer (TPS)



Add User

USER INFORMATION

Fields denoted by an asterisk (*) are required.

First Name: *

Last Name: *

OPEID: 75000100

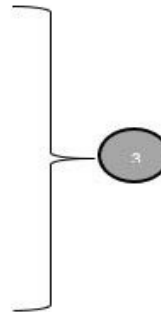
Email Address: *

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.



ROLE * Data Entry Submitter

REPORTS



3. Complete all required fields providing the name and contact information for the “New User”.
4. Do not forget to specify the New User’s role(s) (see [“Manage Users”](#) for role definition).
5. 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

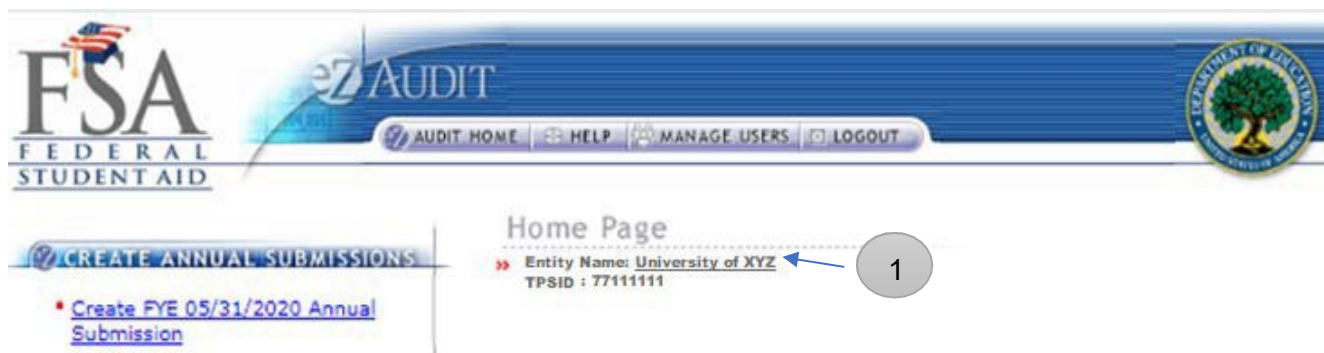
One person can have all three-user roles. When the Institution/Entity Administrator adds a new user, the user will receive an email with their username and an email with a temporary password.

Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)

Entity Profile Page/Status

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 Third Party Servicer (TPS)



[eZAudit Home](#) > Entity Profile

Institution Profile

» **University of XYZ** **TPSID: 77111111**

The information on this page is read-only.

Entity Name:	Transworld System Inc.
Type of Entity:	Third Party Servicer
Address:	150 North Field Drive
Address:	Suite 200
City:	Lake Forest
State:	IL
Zip/Postal Code:	60045
Phone Number:	8479697964
Fax Number:	
TIN:	
DUNS Number:	
Fiscal Year End:	05/31/2019
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** will remain blank. Please contact eZ-Audit Help Desk Assistance at fsezaudit@ed.gov or by calling 1-877-263-0780, Monday – Friday, 9 a.m. – 5 p.m. ET.

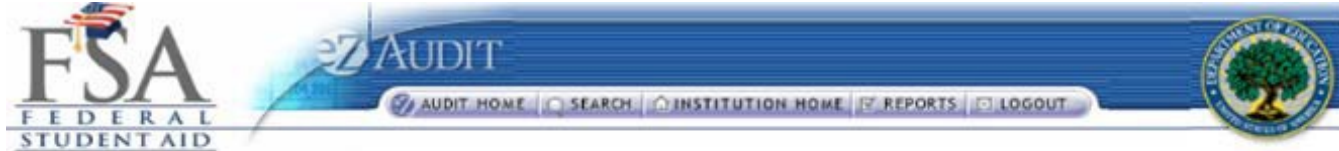
Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)

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.



View Historical Submissions

» University of XYZ TPSID: 77111111

Fiscal Year End	Submission Type	Submission Date	Institution Type
» N/A	Stub Audit	05/13/2020	GA Servicer
» N/A	Change in Fiscal Year End	04/27/2020	GA Servicer
» 05/31/2019	Annual	06/03/2020	GA Servicer

Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)

Notifications

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. At the top, there is a navigation bar with 'AUDIT HOME', 'HELP', 'MANAGE USERS', and 'LOGOUT'. On the left, there are sections for 'CREATE ANNUAL SUBMISSIONS' (with a link for 'Create FYE 05/31/2020 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'). Below these is a 'VIEW HISTORICAL SUBMISSIONS' button. The 'ADMINISTRATION' section includes 'Update My User Profile' and 'View Institution Profile'. The 'OTHER LINKS' section includes 'Dept. of Education' and 'Schools Portal'. The main content area is titled 'Home Page' and shows 'Entity Name: University of XYZ' and 'TPSID : 77111111'. Below this is a 'NOTIFICATIONS' section with three items: 'Your Fiscal Year End 05/31/2020 Annual Submission is due on 11/30/2020.', 'Your FYE 05/31/2019 Annual Submission submitted on 06/03/2020 13:21:38 has been received. Review of your submission has not yet started.', and 'Your Stub Audit Submission submitted on 05/13/2020 09:56:46 has been received. Review of your submission has not yet started.' A fourth item is partially visible: 'Your Change in FY End Submission submitted on 04/27/2020 06:52:16 has been approved.' Two callout boxes with numbers 1 and 2 point to the entity information and the notifications section, respectively.

1. This should read the name of your Entity and TPSID 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

Users should periodically check the Entity Home Page for an up-to-date status of their submissions.

Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)

Annual Submissions

Annual Submissions Compliance Audit

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 "Create Annual Submissions" section. 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 Create FYE XX/XX/XXXX Annual Submission link. You will need to complete the Change Fiscal Year End Date request first. Once Change in Fiscal Year End it is approved you will see the link for the Annual Submission on the Homepage.

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



TPS Annual Submission

» Entity Name: **University of XYZ**
• TPS ID: 77111111

Does the current audit guide
(<http://www2.ed.gov/about/offices/list/oig/nonfed/sfa.html>)
contain procedures for all of the Title IV services or functions
performed by "Pdzmny Peter" Catholic University on behalf of
higher education institutions?

YES NO

3

4

SUBMIT

CANCEL

RESET

2

5

6

1

1. Confirm the correct information is displayed correctly.
2. Select NO, if the entity needs to submit an Exemption request. Entity homepage will be displayed.

Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)

The screenshot shows the eZ-Audit web application interface. At the top left is the FSA Federal Student Aid logo. In the center is the eZ-Audit logo. To the right is the Department of Education logo. Below the logos is a navigation bar with links for AUDIT HOME, SEARCH, INSTITUTION HOME, REPORTS, and LOGOUT. The main content area is titled "TPS Annual Submission". It displays the following information:

- Entity Name: [University of XYZ](#)
- TPS ID: [77111111](#)

Does the current audit guide (<http://www2.ed.gov/about/offices/list/oig/nonfed/sfa.html>) contain procedures for all of the Title IV services or functions performed by "Pdzmny Peter" Catholic University on behalf of higher education institutions?

YES NO

A blue circle with the number "2" and an arrow points to the "NO" radio button.

At the bottom of the form are three buttons: SUBMIT, CANCEL, and RESET.

Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)

FSA
FEDERAL
STUDENT AID

eZ-AUDIT

AUDIT HOME | SEARCH | INSTITUTION HOME | REPORTS | LOGOUT

CREATE ANNUAL SUBMISSIONS

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**
• TPS ID: 77111111

Please submit Exemption Request by selecting the Create Exemption Request link.

NOTIFICATIONS

- Your FYE 06/30/2019 Annual Submission submitted on 06/29/2020 07:34:24 has been received. You are required to submit an Exemption Request.

See the Create Exemption Request section.

3. Select **YES** if the entity has disbursed Title IV funds

Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)

FSA
FEDERAL
STUDENT AID

eZ-AUDIT

AUDIT HOME SEARCH INSTITUTION HOME REPORTS LOGOUT

DEPARTMENT OF EDUCATION
UNITED STATES OF AMERICA

TPS Annual Submission

» Entity Name: [University of XYZ](#)
• TPS ID: 77111111

Does the current audit guide
(<http://www2.ed.gov/about/offices/list/oig/nonfed/sfa.html>)
contain procedures for all of the Title IV services or functions
performed by " [REDACTED] : **University** on behalf of
higher education institutions?

YES NO

SUBMIT CANCEL RESET

4. Select **YES**, and click on the Cancel button, Institution homepage will be displayed.
5. Select **YES**, and click on the Reset button, the selection will reset.
6. Select **YES**, and click on the Submit button, the Compliance Audit Information page will be displayed.

Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)

TPS Annual Submission COMPLIANCE AUDIT INFORMATION

Entity Name: **University of XYZ**
TPS ID: 77111111

All fields are required.

1. Indicate the Period Audited (mm/dd/yyyy):

Begin Date: 7/01/2018
End Date: 06/30/2019

2. Review Auditor Information:

Records Indicate your Current Auditor Is:

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*:

3. Does this compliance audit contain any findings related to the FSA Title IV programs?

YES NO

4. Opinion Type

-- Select an Opinion Type --

CANCEL SAVE SAVE AND PROCEED

Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)

1. Confirm the information displayed is correct.
2. Begin date is the beginning of the audit period.
3. End date is the end of the audit period.
4. This is the auditor on file with the Department of Education Yes or No.
5. 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.
6. Please fill up all the mandatory fields.
7. Does this Compliance audit contain any findings related to the FSA Title IV programs?
8. Opinion Type
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-GA Annual Submission **Completeness Checklist page**. This is the next stage in the submission process.

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---- Annual Submission", and then click on the underlined text "Completeness Checklist". The screen below should appear:

Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)

The screenshot displays the eZ-Audit web application interface. At the top, there is a navigation bar with the FSA logo on the left, the eZ-Audit logo in the center, and the Department of Education logo on the right. The navigation bar includes links for AUDIT HOME, SEARCH, INSTITUTION HOME, REPORTS, and LOGOUT. On the left side, there is a vertical menu with the following items: Compliance Audit, Completeness Checklist, Upload Attachments, and Submit. The main content area is titled "TPS Annual Submission CHECKLIST" and shows the institution name "University of XYZ" and its TPSID: 77111111. A blue arrow points from a circle containing the number "1" to the TPSID. Below this, it states "All fields are required." The checklist question is: "1. Are the following items, if applicable, included in the attachment of your Compliance Audit?" This is followed by a list of items: Servicer Information Sheet, Auditor Information Sheet, Summary Schedule A, Summary Schedule B, Summary Schedule C, Corrective Action Plan, Schedule of Findings & Questioned Costs, Schedule addressing prior year findings, and Explanation of All Current Year Audit Findings. Below this list is another question: "Does the Independent Auditor's Report make reference to the examination of required management assertions? (if applicable)". This is followed by a list of items: Institutional Eligibility & Participation, Reporting, Student Eligibility, Disbursements, Refunds/Return of Title IV, GAPS & Cash Management, Perkins Loan, Administrative Capability, Uploaded document(s) must be in English, and Do not include Personally Identifiable Information (PII). A blue bracket on the right side of the page groups the list of items under the first question and the list of items under the second question. A circle containing the number "2" is positioned to the right of the second list.

TPS Annual Submission CHECKLIST

» [University of XYZ](#)
TPSID: 77111111

All fields are required.

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

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

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
- Perkins Loan
- Administrative Capability
- Uploaded document(s) must be in English
- Do not include *Personally Identifiable Information (PII)*

Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)

The screenshot shows a web form titled "2. Contact Information/Additional Notes" with the instruction: "Please let us know who to contact with questions regarding this submission." The form is divided into two main sections: "Third Party Servicer President/CEO Contact" and "Firm and CPA Contact".

Third Party Servicer President/CEO Contact:

- Name+:
- Email+:
- Phone+:

Firm and CPA Contact:

- Firm Name+:
- Auditor Name+:
- Email+:
- Phone+:

Below these sections is a text area labeled "Enter any additional notes". At the bottom of the form are three buttons: "CANCEL", "SAVE", and "SAVE AND PROCEED".

Numbered callouts in the image:

- 3:** Points to the "Third Party Servicer President/CEO Contact" section.
- 4:** Points to the "CANCEL" button.
- 5:** Points to the "SAVE" button.
- 6:** Points to the "SAVE AND PROCEED" button.

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. 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 Third Party Servicer (TPS)

Annual Submissions Upload Attachments

If you successfully entered or saved the information 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 "Create Annual Submissions" section. Click on the underlined text "Create FYE xx/xx/xxxx Annual Submission", and then click on the underlined text "Upload Attachments".

Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)

TPS Annual Submission UPLOAD ATTACHMENTS

- University of XYZ
 - TPSID: 77111111

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)

File: No file chosen

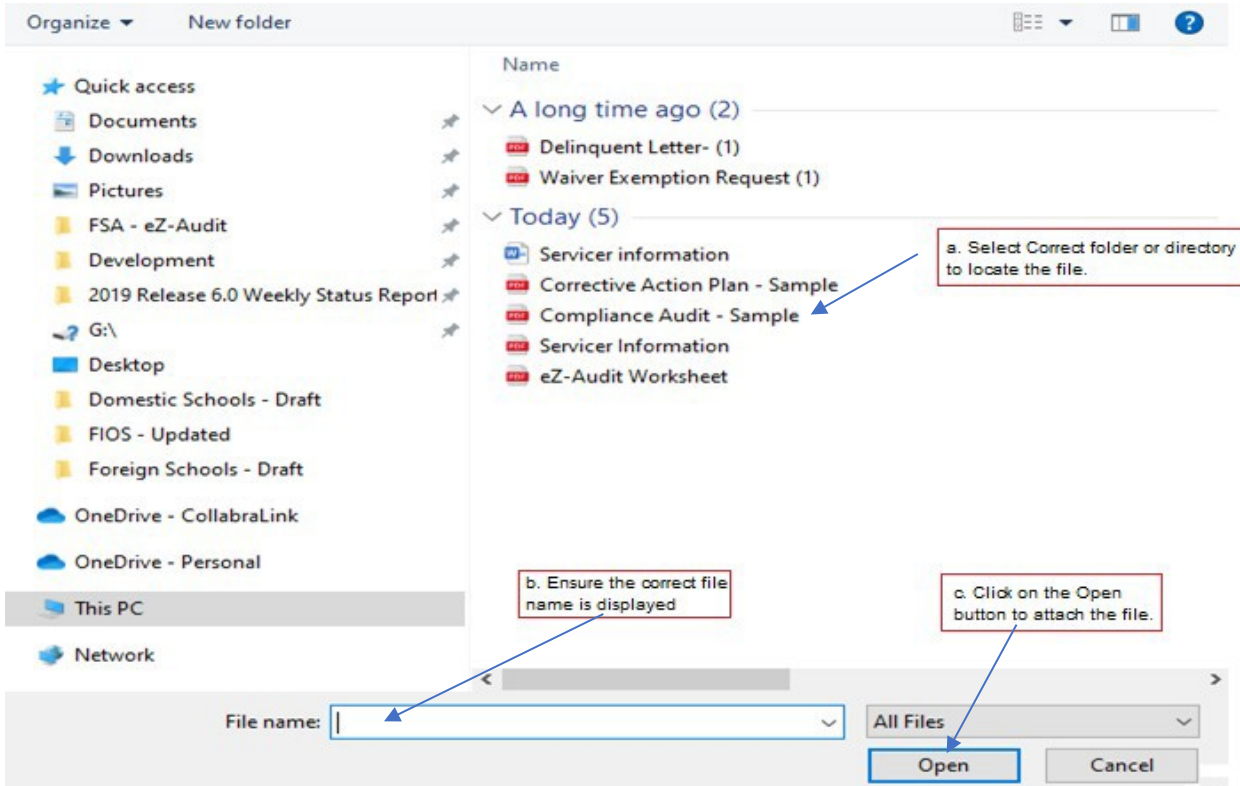
Compliance Audit:

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(s).

Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)



3. Check all appropriate boxes for the documents you attached. (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 [TPS -Annual-Submission-submit](#) page.

Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)

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 "Create Annual Submissions" section. 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.

Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)

NOTE

You will have “read” access once submitted.

Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)

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.

Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)

TPS Closeout Audit Submission COMPLIANCE AUDIT INFORMATION

» Entity Name: **University of XYZ**
• TPS ID: 771111111

All fields are required.

1. Indicate the Period Audited (mm/dd/yyyy):

Begin Date:
End Date:

2. Review Auditor Information:

Records Indicate your Current Auditor Is: Robertson & Robertson 987654321

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*:

3. Does this compliance audit contain any findings related to the FSA Title IV programs?

YES NO

4. Opinion Type

-- Select an Opinion Type --

1. Confirm the information displayed is correct.
2. Begin date is the beginning of the audit period.
3. End date is the end of the audit period.
4. This is the auditor on file with the Department of Education.
5. If the auditor's information is correct, no action is required. If incorrect, or this is a

Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)

- new auditor, please select NO, and update with current information.
6. Please fill up all the mandatory fields. When Country is "United States" then TIN and State are required field.
 7. Does this Compliance audit report contain any findings related to the FSA Title IV programs?
 8. **IMPORTANT WARNING:** Click the **CANCEL** button to erase/delete all entries since the last time you saved your work.
 9. Click the **SAVE** button to ensure all entries are successfully stored by the system for this page.
 10. Click the **SAVE and PROCEED** button to go to the **Third Party Servicer Closeout Audit Checklist** page.

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 "Other Submissions" section. Click on the underlined text "Closeout Audit Submission", and then click on the underlined text "Completeness Checklist". The screen below should appear:

Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)

TPS Closeout Audit Submission CHECKLIST

>> **University of XYZ**
• TPSID: 771111111

All fields are required.

1. 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
- Corrective Action Plan
- Schedule of Findings & Questioned Costs
- Schedule addressing prior year findings
- Explanation of All Current Year Audit Findings

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
- Perkins Loan
- Administrative Capability
- Closeout
- Uploaded document(s) must be in English
- Do not include *Personally Identifiable Information (PII)*

Continuation screen of Closeout Audit Submission CHECKLIST

Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)

3 → **2. Contact Information/Additional Notes**

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

**Third Party Servicer
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**

1. Confirm the information displayed is correct.
2. Ensure all applicable documents are included with your audit report submission.
3. Provide contact information (name, phone, email) for 'Third Party Servicer' and 'Firm and CPA Contact' of whoever should be contacted regarding the submission and additional notes or comments 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 Third Party Servicer (TPS)

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 "Other Submissions" section. 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:

Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)

Closeout Audit Submission [UPLOAD ATTACHMENTS](#)

» Entity Name: **University of XYZ** ← 1
 • TPSID: 77111111

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)* ← 2

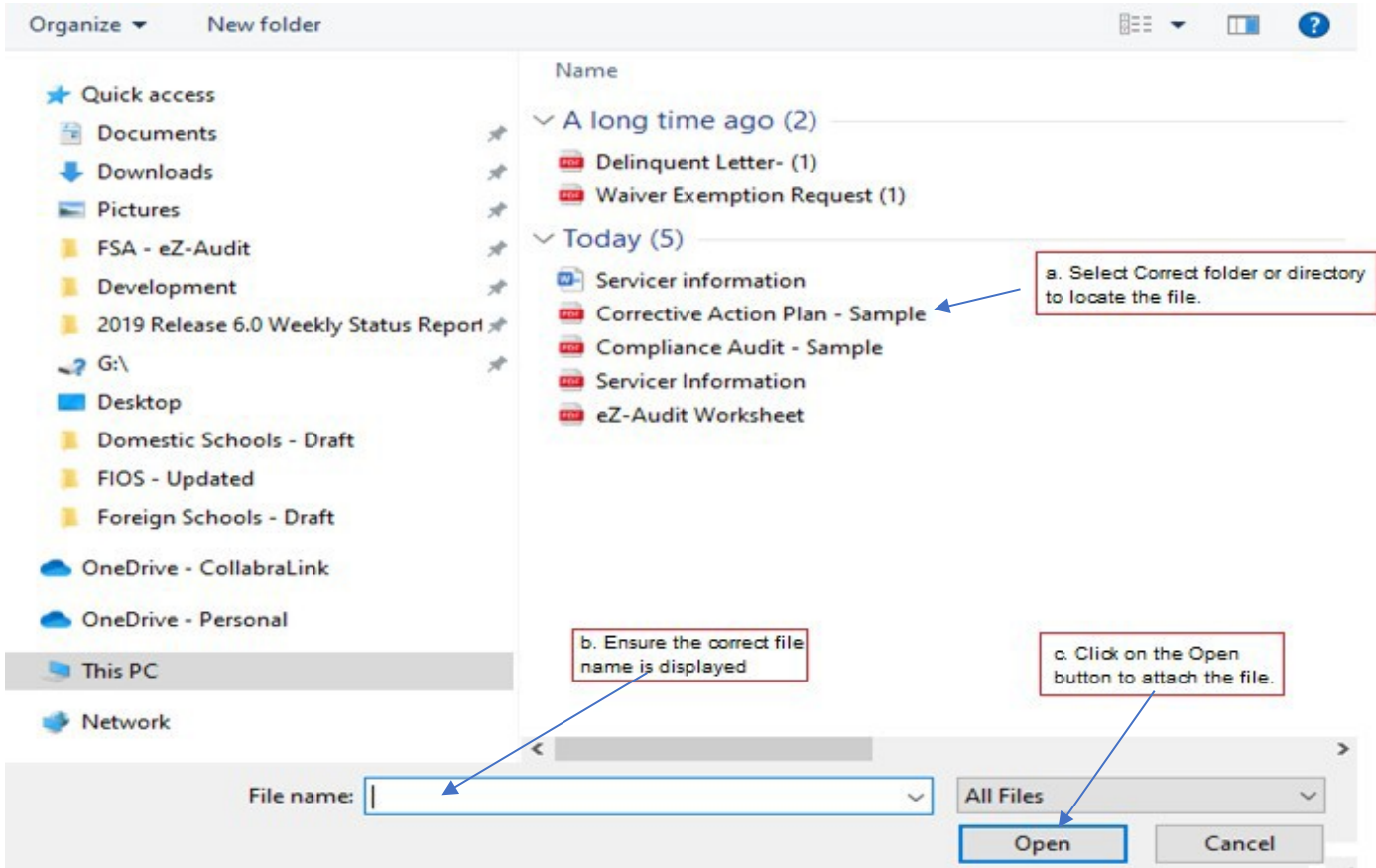
File: No file chosen } ← 3
 Compliance Audit:
 Corrective Action Plan:
 Other:

← 4

← 5 ← 6 ← 7

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 Third Party Servicer (TPS)



3. Check all appropriate documents attached. (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 TPS-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 PDF format and NO personal information such as Social Security Numbers should be contained in attachments.

Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)

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 "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 once submitted.

Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)

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:

Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)

TPS Stub Audit Submission COMPLIANCE AUDIT INFORMATION

» Entity Name: **University of XYZ** (1)
• TPS ID: 7711111

All fields are required.

1. Indicate the Period Audited (mm/dd/yyyy): (2)

Begin Date: (3)
End Date:
Reason for Stub Audit: (4)

2. Review Auditor Information: (5)

Records Indicate your Current Auditor Is: Robertson & Robertson 987654321

Is this information correct? YES NO (6)

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+: (7)

3. Does this compliance audit contain any findings related to the FSA Title IV programs? (8)

YES NO

4. Opinion Type (9)

-- Select an Opinion Type -- (11)

(10) (11) (12)

1. Confirm the information displayed is correct.
2. Begin date is the beginning of the audit period.
3. End date is the end of the audit period.

Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)

4. Provide a reason for Stub Audit.
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 FSA Title IV Programs?
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 **Third Party Servicer Stub Audit Checklist page**.

Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)

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:

Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)

The screenshot shows the 'TPS Stub Audit Submission CHECKLIST' page in the eZ-Audit system. The page includes a navigation menu on the left with options: Compliance Audit, Completeness Checklist, Upload Attachments, and Submit. The main content area is titled 'TPS Stub Audit Submission CHECKLIST' and features a list of required items for submission, a section for contact information, and a section for additional notes. Numbered callouts (1-6) highlight specific elements: 1 points to the institution name, 2 points to the list of required items, 3 points to the '2. Contact Information/Additional Notes' section header, 4 points to the 'CANCEL' button, 5 points to the 'SAVE' button, and 6 points to the 'SAVE AND PROCEED' button.

TPS Stub Audit Submission CHECKLIST

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

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

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
- Perkins Loan
- Administrative Capability
- 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.

Third Party Servicer President/CEO Contact

Name:

Email:

Phone:

Firm and CPA Contact

Firm Name:

Auditor Name:

Email:

Phone:

Enter any additional notes

Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)

1. Confirm the information displayed is correct.
2. Ensure all applicable documents are included with your submission.
3. Provide contact information (name, phone, email) for 'Third Party Servicer' and 'Firm and CPA Contact' of whoever should be contacted regarding the submission and additional notes or comments 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 Third Party Servicer (TPS)

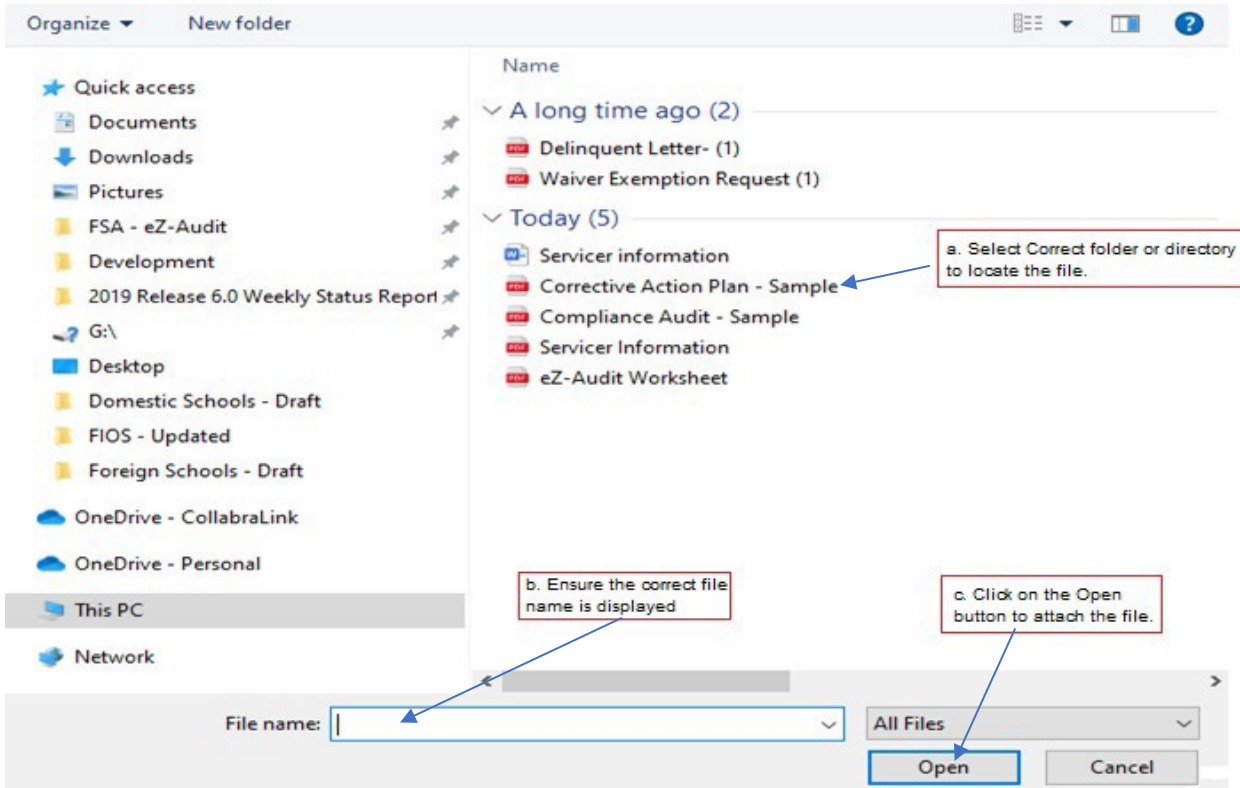
Stub Audit Submission Upload Attachments

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:

The screenshot shows the 'TPS Stub Audit Submission' page. At the top, there is a navigation bar with 'AUDIT HOME', 'SEARCH', 'institution home', 'REPORTS', and 'LOGOUT'. The main content area is titled 'TPS Stub Audit Submission' and 'UPLOAD ATTACHMENTS'. It displays the institution name 'University of XYZ' and 'TPSID: 77111111'. Below this, there is a text block explaining the upload requirements. A form section contains a 'File:' field with a 'Choose File' button and 'No file chosen' text. There are three checkboxes: 'Compliance Audit*', 'Corrective Action Plan', and 'Other'. An 'ADD' button is below the checkboxes. At the bottom, there are three buttons: 'CANCEL', 'SAVE', and 'SAVE AND PROCEED'. Numbered callouts (1-7) are placed over the page to indicate key elements: 1 points to the institution name and TPSID; 2 points to the 'Choose File' button; 3 points to the checkboxes; 4 points to the 'ADD' button; 5 points to the 'CANCEL' button; 6 points to the 'SAVE' button; and 7 points 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.

Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)



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.
7. Click the **SAVE and PROCEED** button to take you to the TPS -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 PDF format and NO personal

Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)

information such as Social Security Numbers should be contained in attachments.

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:

The screenshot shows the 'TPS Stub Audit Submission SUBMIT' page. At the top left is the FSA logo. The page title is 'TPS Stub Audit Submission SUBMIT'. Below the title, it shows 'Entity Name: Transworld System Inc.' and 'OPEID:75000100'. A left sidebar contains links for 'Compliance Audit', 'Completeness Checklist', 'Upload Attachments', and 'Submit'. The main content area includes a warning about submitting to ED, a certification statement, and a 'SUBMIT TO ED' button. Three numbered callouts (1, 2, 3) point to the entity name/OPEID, the certification text, and the submit button respectively.

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 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.

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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

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. You will have read access once submitted.

Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)

Change in Fiscal Year End

Change in FY 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:

The screenshot shows the 'Change in Fiscal Year End Submission' page for Transworld System Inc. (OPEID: 75000100). The page displays the current fiscal year end as 05/31/2019. Below this, there is a form to enter a new fiscal year end, consisting of a dropdown menu for the month and a text box for the year. A 'SUBMIT TO ED' button is located at the bottom of the page. Four numbered callouts (1, 2, 3, 4) point to the entity name, the current fiscal year end information, the new fiscal year end form, and the 'SUBMIT TO ED' button, respectively.

1. Confirm the information displayed is correct.
2. This represents information on file with ED concerning current fiscal year.
3. Click on the dropdown list to change month as desired.
4. Click on the "**SUBMIT TO ED**" button to ensure that date change is captured by the

Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)

eZ-Audit system. 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 Third Party Servicer (TPS)

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 "Other Submissions" section. Click on the underlined text "Create Exemption Request". The screen in the next page should appear:

Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)

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', 'SEARCH', 'INSTITUTION HOME', 'REPORTS', and 'LOGOUT'. The page title is 'Create Exemption Request' for 'University of XYZ' with TPSID: 77111111. A blue callout '1' points to the institution name. A blue callout '2' points to a 'below' link in the instructions. The instructions state that files must be in .pdf format. A blue callout '3' points to the 'Choose File' button. A blue callout '4' points to the 'ADD' button. A blue callout '5' points to the 'Exemption Requested for FYE' dropdown menu. A large paragraph of text contains a certification statement. A blue callout '6' points to the 'CANCEL' button, and a blue callout '7' points to the 'SUBMIT TO ED' button.

1. Confirm the information displayed is correct.
2. Click [below](#) link to view the waiver letter directly. On the bottom of the page the Waiver letter should appear:

Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)

A letter must be included with the waiver that provides management's assertion it complied with all applicable requirements in regard to the services and functions that it performed on behalf of eligible institutions.

In addition, the letter must include the following:

1. Legal Name and d/b/a name of the Servicer

Servicer Address
Telephone Number
Fax Number
Web-site URL

President/CEO Name
Telephone Number
E-mail Address

Other Contact Person, Title
Telephone Number
E-mail Address

2. A detailed description of the functions and services the servicer performs on behalf of the institutions it contracted with. For example,

- a. Deliver Title IV credit balance refund activities such as collecting student disbursement preferences, assisting with the establishment of accounts for the receipt of Title IV credit balance refunds, receiving Title IV funds and payment rosters necessary to deliver Title IV credit balance refunds to students via cash, check, ACH, debit card, or other electronic means, etc.; or,
- b. Perform Default Management/Aversion activities such as obtaining student borrower information contained in Department systems, contacting borrowers regarding loan indebtedness, repayment options or loan obligations, assisting with completion and/or collection of deferments, forbearances, and/or other loan documents, etc.

3. A listing of the Title IV institutions the servicer performed work on behalf of, during the servicer's most recently ended fiscal year. This list must include each institution's name and OPE ID.

4. Assertions that:

- a. The servicer's contract includes all items cited in 34 CFR § 668.25(c);
- b. The servicer has established a system of internal controls to assure compliance with those services or functions for which it provides;
- c. The servicer maintains comprehensive written procedures describing the functions or services it performs on behalf of institutions. These procedures must clearly outline the servicer's responsibilities versus the institutions' responsibilities;
- d. The servicer complies with all requirements of the Family Educational Rights and Privacy Act (FERPA), as well as the information security requirements established by the Federal Trade Commission (FTC) for maintaining appropriate safeguards in respect to the education records and student information it has access; and
- e. The servicer is adhering to all Department requirements for accessing and/or granting access to Department systems.

The audit and/or audit letter must be submitted to the Department no later than six months after the last day of the servicer's fiscal year. 34 C.F.R. 668.23(c)(3). If you have any questions concerning the letter, please contact the Third-Party Servicer Oversight Group at (816) 268-0543.

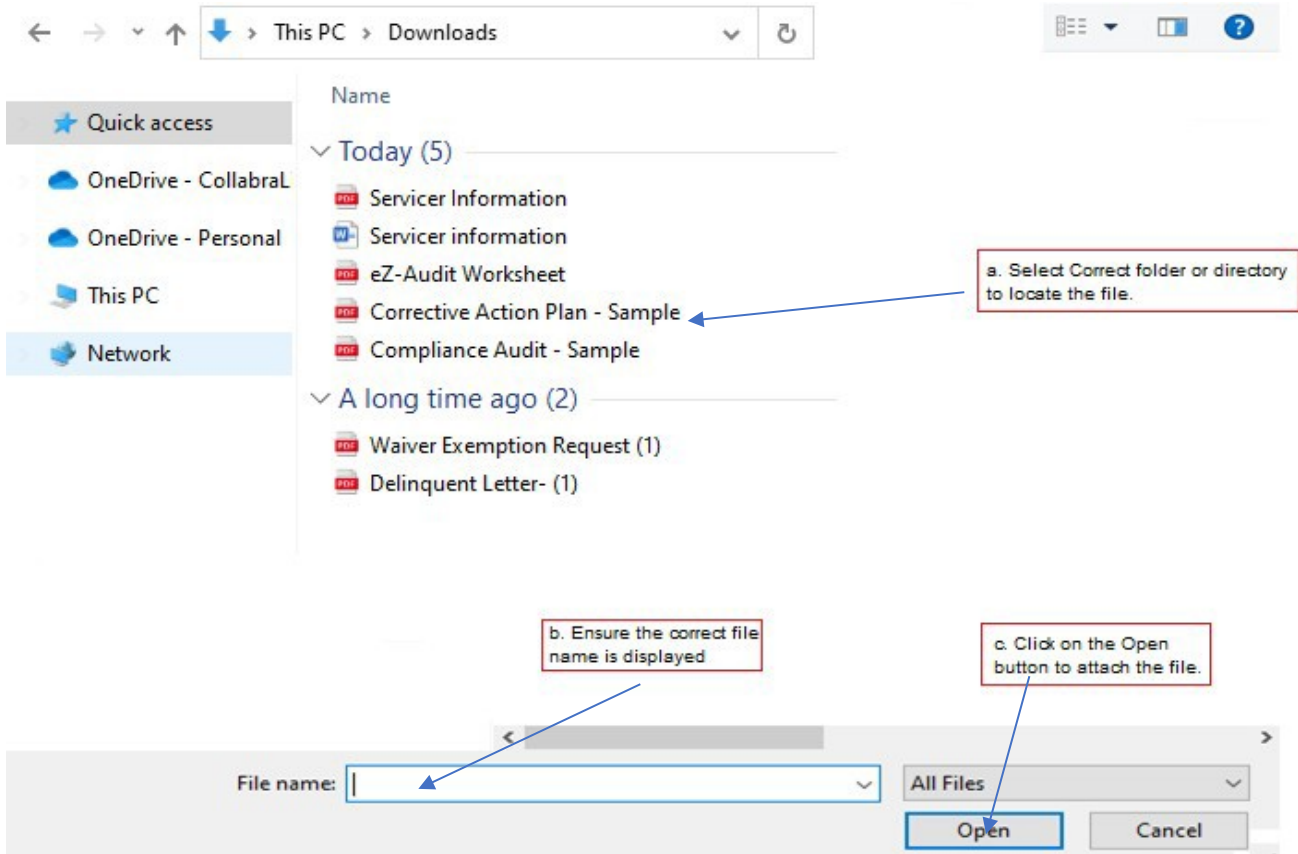
If you have questions regarding the submission of your audits through eZ-Audit, please contact the eZ-Audit Help Desk at (877) 263-0780. If you have submitted audits which were deemed unacceptable and returned to the entity, the submission deadline continues to apply until acceptable audits are resubmitted to the Department.

Sincerely,

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

Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)

- Click on the **Choose File** button to search for document to be attached. The screen below should appear:
(Please note: When uploading another document, please deselect the previous upload type and then reselect the document type.)



- 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.
- Select the Fiscal Year End date from the drop down menu for which you are requesting an exemption.
- IMPORTANT WARNING:** Click the **CANCEL** button to erase all entries.
- Click the **“SUBMIT TO ED”** button to submit your Waiver Exemption Request. This will then take you to your Entity’s homepage with a displayed confirmation of your transaction. 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 Third Party Servicer (TPS)

Additional Information

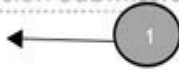
Additional Information Submission

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 "Other Submissions" section. Click on the underlined text, "Submit Additional Information". The screen below should appear:



Additional Information Submission

» University of XYZ
• TPSID: 77111111



To submit additional information, you must select a submission from the drop-down box below to associate it with. Please use the additional fields to upload the files that you wish to submit to the Department of Education. Please note, all files must be in .pdf format.

Submission to Associate With*:

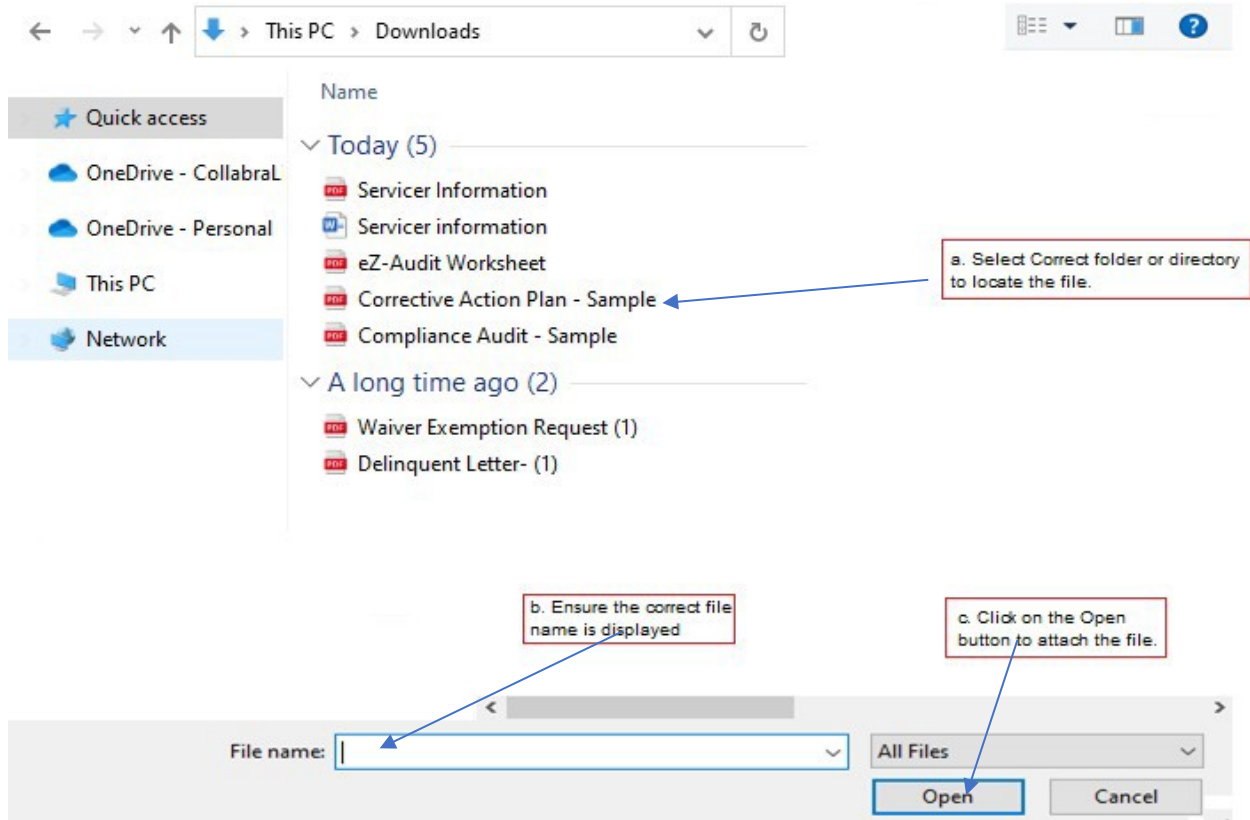


File*: No file chosen



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 Third Party Servicer (TPS)



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 Third Party Servicer (TPS)

Resubmission

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. A copy will also be sent to the Third Party Servicer Oversight Group fsapc3rdpartyserviceroversight@ed.gov. 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 TPS ID.

The screenshot displays the eZ-Audit interface. At the top, there are navigation links: AUDIT HOME, SEARCH, INSTITUTION HOME, REPORTS, and LOGOUT. The main content area is titled 'Home Page' and shows the user's entity as 'University of XYZ' with a TPS ID of '7711111111'. A notification section on the right lists several items, with a red alert for an incomplete submission: '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'. On the left, there are sections for 'CREATE AND VIEW SUBMISSIONS' (including 'Resubmit FYE 05/31/2019 Annual Submission'), 'OTHER SUBMISSIONS', 'ADMINISTRATION' (with 'Update My User Profile' and 'View Institution Profile'), and 'OTHER LINKS' (with '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 Third Party Servicer (TPS)

UNITED STATES DEPARTMENT OF EDUCATION
Federal Student Aid
Program Compliance

06/01/2020 12:19:11
TPSID : 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 ~~ABC University~~ 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 ~~and corrective action plan~~ within 7 calendar days via eZ-Audit at <http://www.ezaudit.ed.gov/>. ~~ABC University~~ 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, ~~ABC University~~ 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

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

Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)

The screenshot displays the eZ-Audit interface. At the top, the FSA logo and 'eZ-AUDIT' are visible. Below the navigation bar, the 'Home Page' section shows the institution name 'University of XYZ' and the TPSID '77111111'. The 'NOTIFICATIONS' section contains several alerts, including one stating 'Your Fiscal Year End 05/31/2019 Annual Submission is overdue' and another regarding an incomplete submission from 06/03/2020. The left navigation area includes links for 'CREATE ANNUAL SUBMISSIONS' (with a callout '4' pointing to 'Resubmit FYE 05/31/2019 Annual Submission'), 'OTHER SUBMISSIONS', 'ADMINISTRATION', and 'OTHER LINKS'.

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

Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)

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 Delinquent letter will disappear once the school completes the submission.

The screenshot shows the eZ-Audit web application 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 navigation menu with links for AUDIT HOME, SEARCH, Institution home, REPORTS, and LOGOUT. On the right side of the navigation bar is the Department of Education logo. Below the navigation bar, the main content area is titled "Home Page". Under "Home Page", there is a section for "Entity Name: University of XYZ" and "TPS ID: 77111111". Below this, there is a "NOTIFICATIONS" section with two entries. The first entry states: "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". A circled number "1" with an arrow points to the link "Click here to view the Delinquent Letter". The second entry states: "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". On the left side of the interface, there are several menu items: "CREATE ANNUAL SUBMISSIONS" (with a sub-item "Create FYE 10/31/2018 Annual Submission"), "OTHER SUBMISSIONS" (with sub-items "Change Fiscal Year End Date", "Create Exemption Request Submission", "Create Closeout Audit Submission", "Create Stub Audit Submission", and "Submit Additional Information"), and "VIEW HISTORICAL SUBMISSIONS". At the bottom left, there are sections for "ADMINISTRATION" (with sub-items "Update My User Profile" and "View Institution Profile") and "OTHER LINKS" (with sub-items "Dept. of Education" and "Schools Portal").

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

Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)

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

Date: 10/31/2004
OPE ID: 77889900
TIN: 00000070

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 by selecting the window where the eZ-Audit application was open.
3. Click on the **Create Annual Submission** link to submit your annual submission.

Step-by-Step Guide to Using eZ-Audit for Third Party Servicer (TPS)

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