Federal Student Aid
An OFFICE of the U.S. DEPARTMENT of EDUCATION

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Step-by-Step Guide to Using eZ-Audit For Public Schools

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Step-by-Step Guide to Using eZ-Audit For Public Schools

eZ-Audit Overview

Frequently Asked Questions…

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 school 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 school submits its compliance audit data and summary financial data via an Internet web form (follow this manual for complete instructions).
2. Your school also attaches an electronic copy of your financial statement and compliance audit in a non- editable PDF format (using Adobe Acrobat).
3. The eZ-Audit system automatically forwards flagged financials and deficient audits to FSA's School Participation Management Team for resolution.
4. School Participation Teams communicate 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.
- A Help Desk is available for assistance Monday – Friday, 9:00 a.m. – 5:00 p.m. EST. Call 1-877-263-0780 or email fsaezaudit@ed.gov

Who at my school will use eZ-Audit?

- *eZ-Audit Institution/School Administrator*, selected by your school, is responsible for:
    - Registering your school with eZ-Audit
    - Providing/managing access to data entry and submission approval personnel, as identified by your school
    - Maintaining security information regarding schools' users as required
- *eZ-Audit Data Entry Users*, selected by your school, 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 school, are responsible for:
    - Reviewing the submission prior to "submit"
    - Approving the submission via the "submit" action

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What role should my auditor play in eZ-Audit?
You may choose to ask your auditor to serve as a *Data Entry User* of eZ-Audit. This means that your auditor would complete the fields in the system, and attach the audited documents in the non-editable. PDF format.
It your auditor is *not* selected as a Data Entry User; you may request that your auditor electronically sends you your financial statements and compliance audits in the non-editable PDF format using Adobe Acrobat.

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

eZ-Audit Technical Requirements

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

NOTE

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

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

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

School Group Submissions

ED considers a school group as one Uniform Guidance report submission for multiple OPEIDs. For example, the State of Louisiana submits one statewide financial report and Uniform Guidance audit for all the state schools in Louisiana. Another example would be a nursing program with a separate OPEID included in Uniform Guidance of a university.

NOTE

When more than one OPEID is covered in a UNIFORM GUIDANCE audit, ED considers this to be a school group, e.g., if a State submits a state-wide UNIFORM GUIDANCE audit covering all of the state universities, each with a different OPEID.

The school group should designate one of the OPEIDs as the submitting institution. The submitting institution registers with the eZ-Audit and does the submission for all of the schools in the school group. As part of the eZ-Audit submission, the submitting institution has to complete the Compliance Audit Information page. This should be done only once,

covering all of the schools in the school group. In answering the questions on the page, the submitting institution should answer 'Yes" if the condition applies to any of the schools.
For example, if any of the schools participates in FFEL programs, the answer for the school group would be 'Yes'. If the information populated in the application is incorrect or should you require additional assistance, please contact eZ-Audit at 1-877-263-0780 or by email at fsaeezaudit@ed.gov

Step-by-Step Guide to Using eZ-Audit For Public Schools

eZ-Audit Submission Requirements

Effective June 16, 2003, all Title IV participating schools are required to submit audited financial statements and compliance audits electronically, via eZ-Audit, to the Department of Education. (Please see May 16, 2003 Federal Register)

When must an institution submit financial statements and/or compliance audit?

- **All participating institutions must submit financial statements and compliance audits annually. (34 CFR 668.23)**
  - Public institutions' financial statements and compliance audits are due nine months after the end of the fiscal year

  **If your institution expends less than $300,000 in Federal funds (less than $500,000 for fiscal years ending after December 31, 2003), you are not required to submit a compliance audit. You must submit an Exemption/ Request to the Department for the compliance portion of the UNIFORM GUIDANCE report. (See Waiver and Exemption Request).

- **If you are seeking initial participation in the Title IV Program.**
  - Please note that an Application for Approval to Participate in Federal Student Aid Programs (https://eligcert.ed.gov) should be filed at the time of your submission.

- **If you undergo a change in ownership, merger or change in structure.**
  - Please note that an Application for Approval to Participate in Federal Student Aid Programs (https://eligcert.ed.gov) should be filed at the time of your submission.

- **If you wish to be reinstated to participate in Title IV program(s).**
  - Please note that an Application for Approval to Participate in Federal Student Aid Programs (https://eligcert.ed.gov) should be filed at the time of your submission.

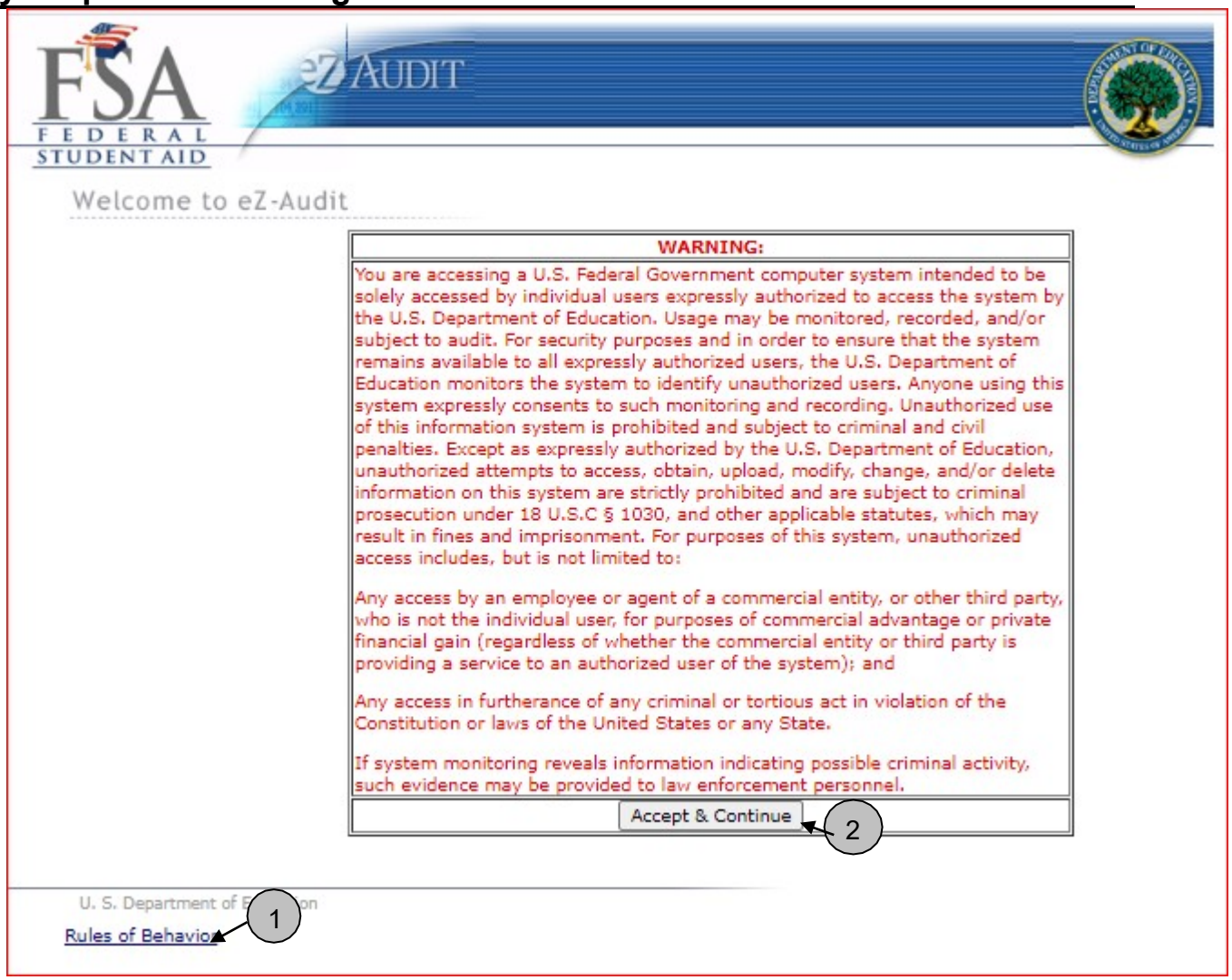
Step-by-Step Guide to Using eZ-Audit For Public Schools

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 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 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 Public Schools



Step-by-Step Guide to Using eZ-Audit For Public Schools

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.

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Step-by-Step Guide to Using eZ-Audit For Public Schools

FSA FEDERAL STUDENT AID

eZ AUDIT

AUDIT HOME | SEARCH | INSTITUTION HOME | REPORTS | LOGOUT

Welcome to eZ-Audit

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

eZ-Audit Update: Common Submission Errors

Frequently Asked Questions

eZ-Audit Step-by-Step Guides

Steps to Creating an eZ-Audit Submission

Creating a PDF

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

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

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

USER LOGIN

username ›

password ›

LOGIN

Forgot Password?

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. "

3

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

Step-by-Step Guide to Using eZ-Audit For Public Schools

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/home/.*
- Contact the eZ-Audit help desk at *fsaezaudit@ed.gov* or by calling 1-877-263-0780.

Step-by-Step Guide to Using eZ-Audit For Public Schools

eZ-Audit Registration

All institutions must submit a registration request letter to the Department of Education in order to gain access to eZ-Audit. Also refer to the eZ-Audit Welcome page and click on Registration Instructions.

To register, please mail a letter on your school's letterhead that includes the following:

1. First and Last Name of appropriate person in authority (e.g. President/CEO/Chancellor)
2. Signature of person named in #1 above
3. First and Last Name of eZ-Audit Institution Administrator
4. Signature of designated eZ-Audit Institution Administrator
5. e-mail address of eZ-Audit Institution Administrator
6. Phone number and extension (if necessary) of eZ-Audit Institution Administrator
7. Fax Number
8. OPE ID
9. Fiscal Year End Date

If you are a State Auditor, please mail a letter on your state's letterhead that includes the following:

1. First and Last Name of appropriate person in authority
2. Signature of person named in #1 above
3. First and Last Name of eZ-Audit Institution Administrator
4. Signature of designated eZ-Audit Institution Administrator
5. e-mail address of eZ-Audit Institution Administrator
6. Phone number and extension (if necessary) of eZ-Audit Institution Administrator
7. Fax Number
8. Fiscal Year End Date
9. Attach list of all schools covered in the Statewide Audit. The list should include the name of school and OPE ID.

Note: This data is requested for information purposes only, and will help eZ-Audit provide better Customer Service.

How will I receive my registration confirmation and eZ-Audit Institution Administrator user ID and password? Your registration confirmation and eZ-Audit Institution Administrator user ID and temporary password will be sent to the email address provided in the registration request letter that you mailed to the Department of Education.

Step-by-Step Guide to Using eZ-Audit For Public Schools

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

Once I have sent in my Registration Request letter and have received my registration confirmation emails, when and how do I begin using eZ-Audit?
To access eZ-Audit simply type in the URL, www.ezaudit.ed.gov in your internet browser, and when the eZ-Audit login screen appears, type in the user name and temporary password you received through email from eZ-Audit.

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

What if I need to change my Institution Administrator?
To change your Institution Administrator a new registration letter, following registration instructions, must be submitted. The new Institution Administrator will receive a username and password within 48 hours of receipt.

NOTE

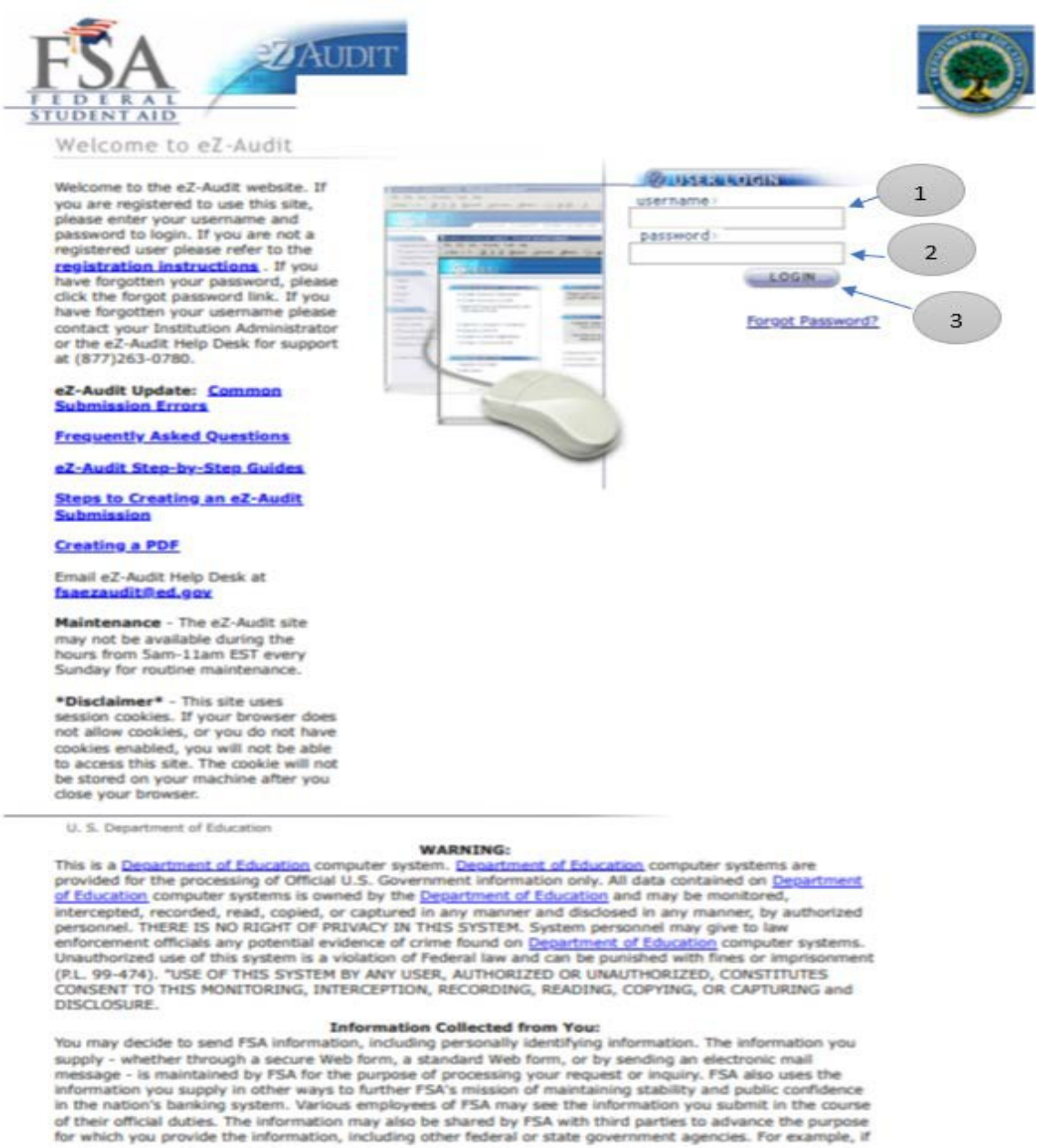
If you submit a UNIFORM GUIDANCE report covering multiple schools, only the submitting institution needs to register with eZ-Audit. The UNIFORM GUIDANCE report submission made by the “submitting institution” will fulfill the requirements for all schools in the school group.

Step-by-Step Guide to Using eZ-Audit For Public Schools

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:



Step-by-Step Guide to Using eZ-Audit For Public Schools

1. Enter the username provided to you during the registration process by email.
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 institution's homepage.

NOTE

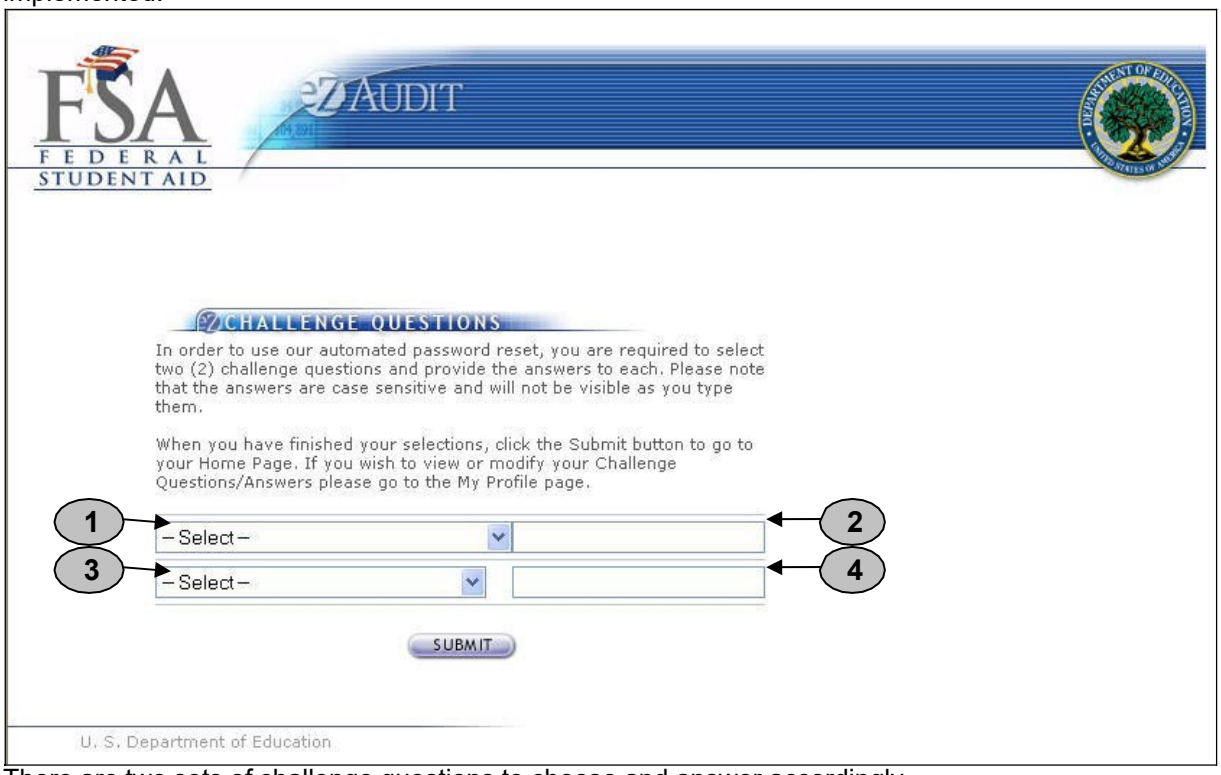
Your user name will be the first letter of your first name, the first five letters of your last name and 2 numeric characters. Your username and password are case sensitive. If you are locked out after 3 unsuccessful attempts at login you must wait 30 minutes then try again.

****If you are 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.**

Step-by-Step Guide to Using eZ-Audit For Public Schools

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:



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

1. Select a challenge question from the first drop down list. You will have the following selection: Challenge Question List 1:
   - What month is your mother born?
   - What is your father's middle name?
   - In what city was your mother born?
   - Which hospital where you born in?
   - Who is your favorite author?

2. Type your answer to the question you have selected.

3. Select a challenge question from the first drop down list. You will have the following selection: Challenge Question List 2:
   - What is your favorite color?
   - What is your favorite flower?
   - What is your child's middle name?
   - Who is your favorite athlete?
   - What is your favorite movie?

4. Type your answer to the question you have selected.
5. Click on the **SUBMIT** button. This will take you to the Update My Profile page where you will type in your new password.

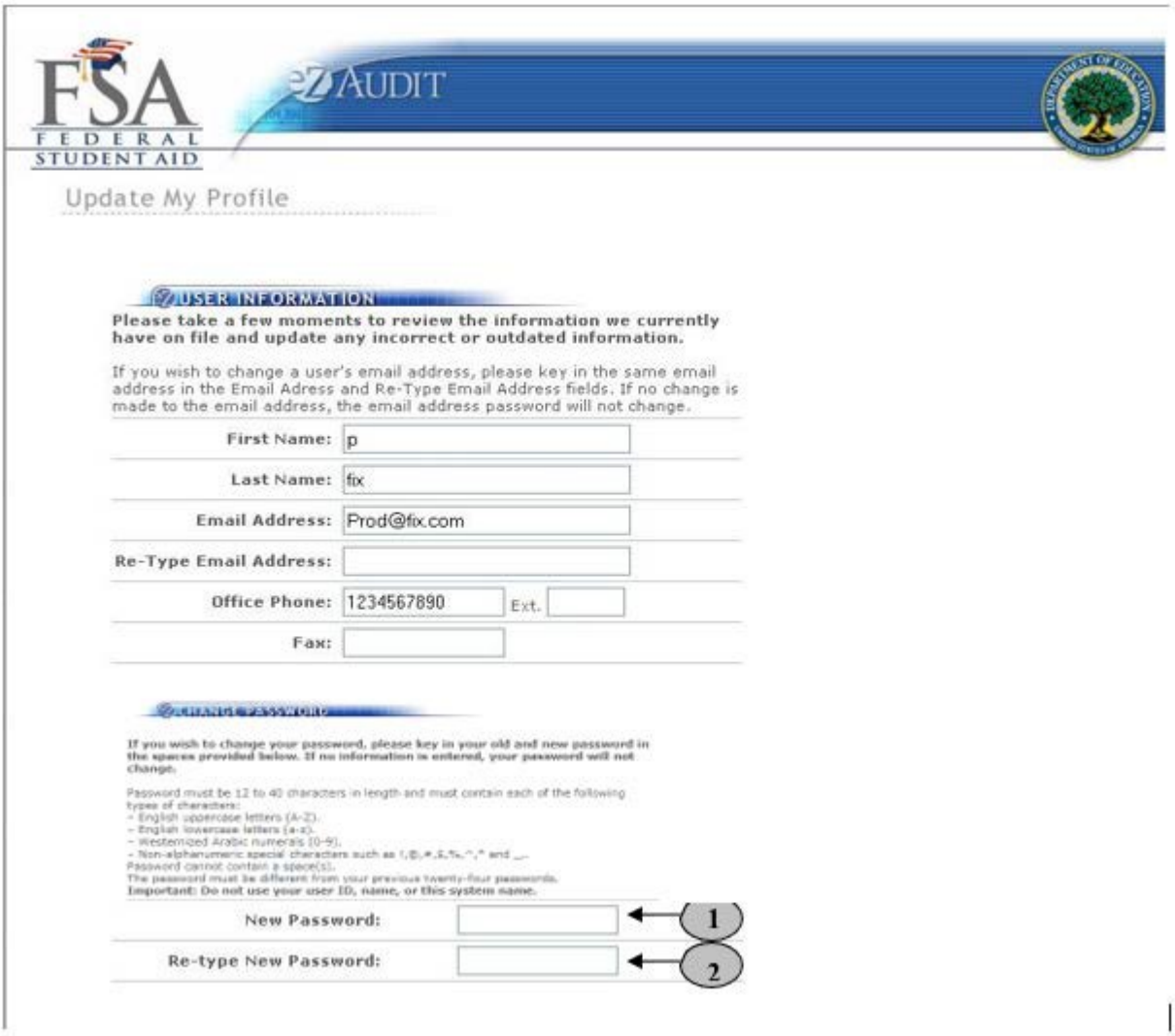
NOTE

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

Step-by-Step Guide to Using eZ-Audit For Public Schools

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:



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

NOTE

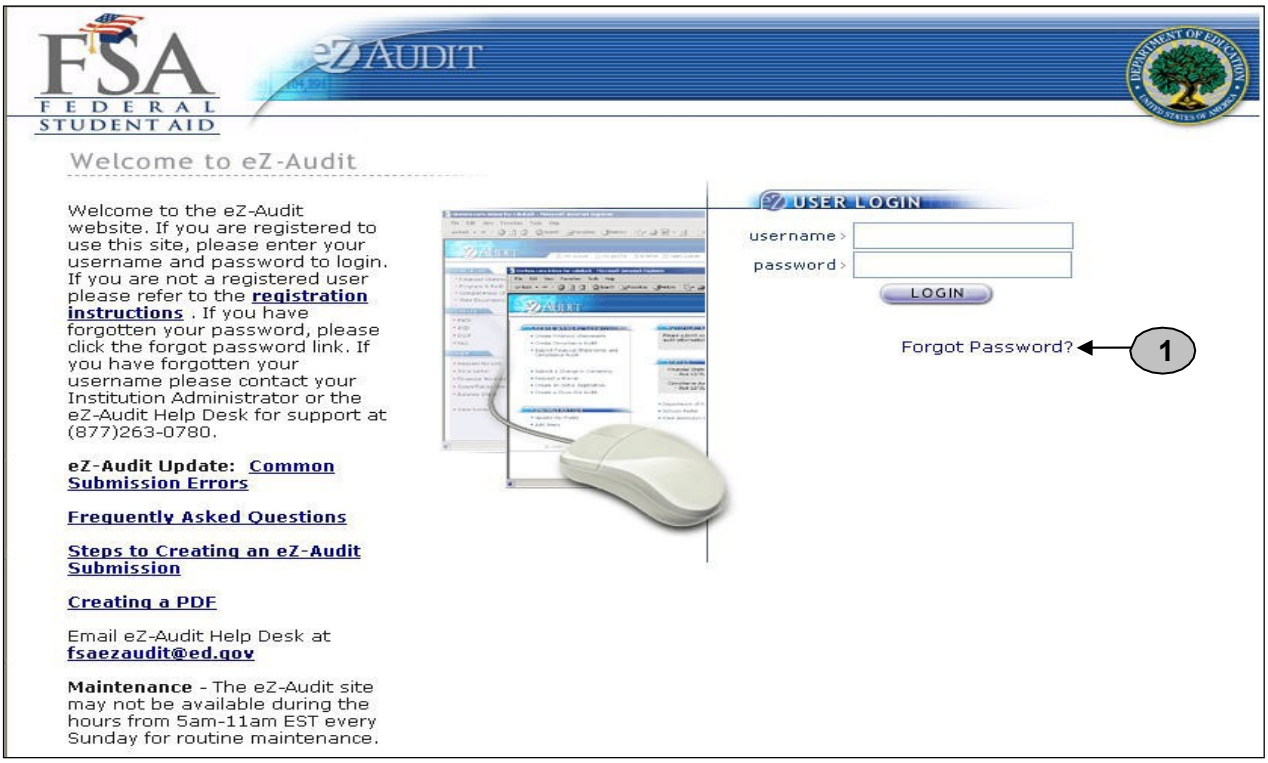
The password must be 12-40 characters in length and must include uppercase, lowercase letters and numeric values. Each password shall contain each of the following four types of characters: English uppercase letters (A-Z). English lowercase letters (a-z). Westernized Arabic numerals (0-9). Non-alphanumeric special characters (such as !,@,#,$,&,*). 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 Help Desk at 1-877-263- 0780.

Step-by-Step Guide to Using eZ-Audit For Public Schools

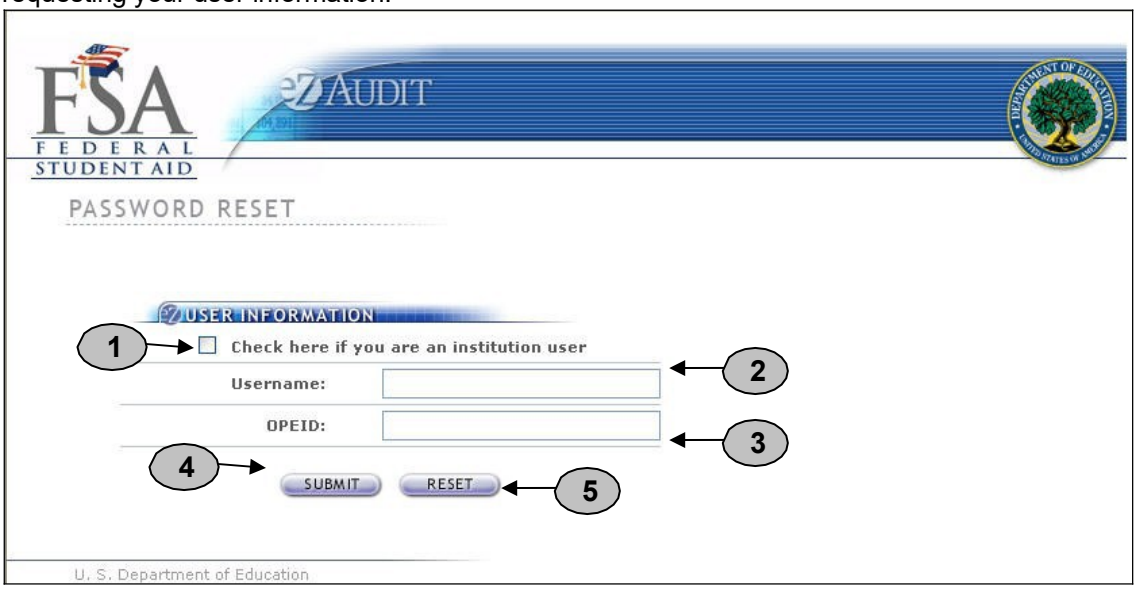
Forgot Password

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



Step-by-Step Guide to Using eZ-Audit For Public Schools

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

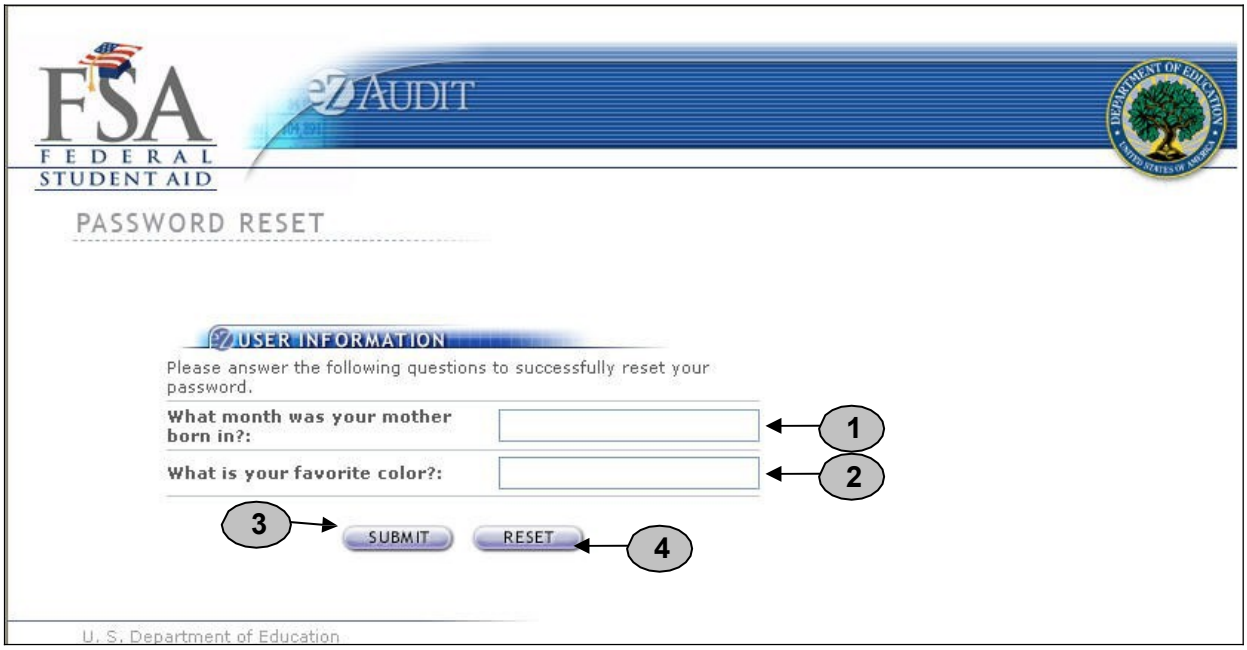


1. Click on the check box to indicate that you are an institution user.
2. Enter your username.
3. Enter the OPEID of your institution.
4. Click the **SUBMIT** button. This will take to the Password Reset page with the challenge questions.
5. Click the **RESET** button to cancel current entries and begin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

Challenge Questions

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

Step-by-Step Guide to Using eZ-Audit For Public Schools



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 from the page above, this will bring you to your institution's homepage. The screen below should appear with your institution's name:

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 thesystem.

Step-by-Step Guide to Using eZ-Audit For Public Schools

2. 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 Public Schools

My Profile

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

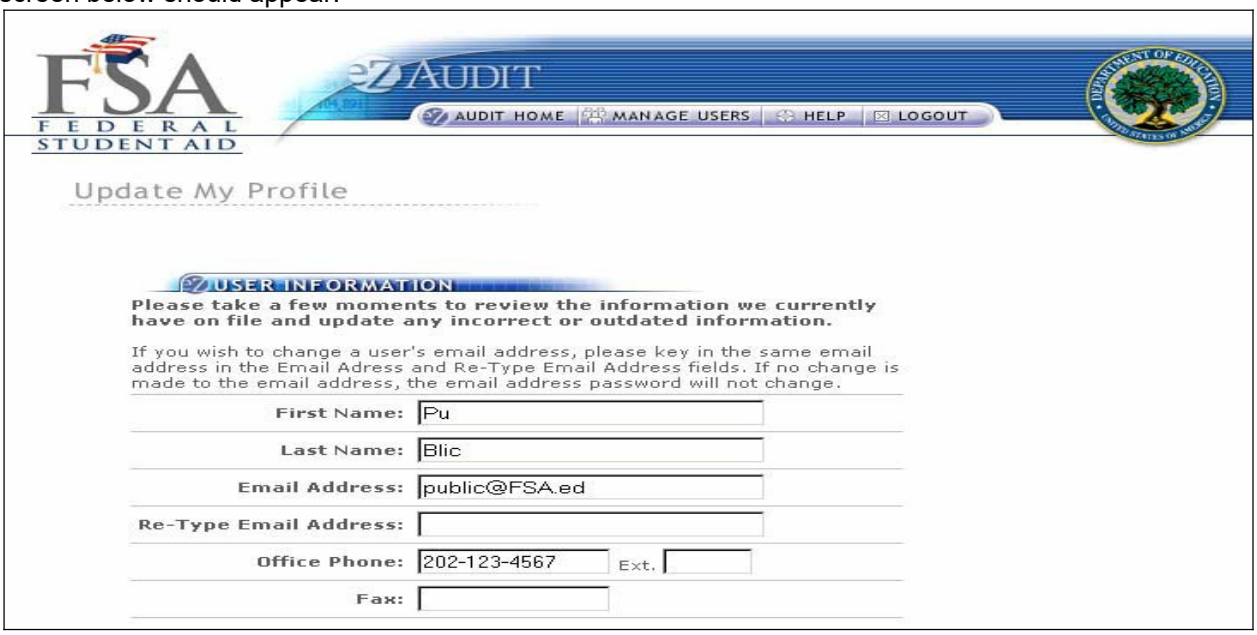
1. Click on the underlined text "Update My User profile" located on the lower left hand side of the screen. This will take you to the Update My Profile page shown on the next page.

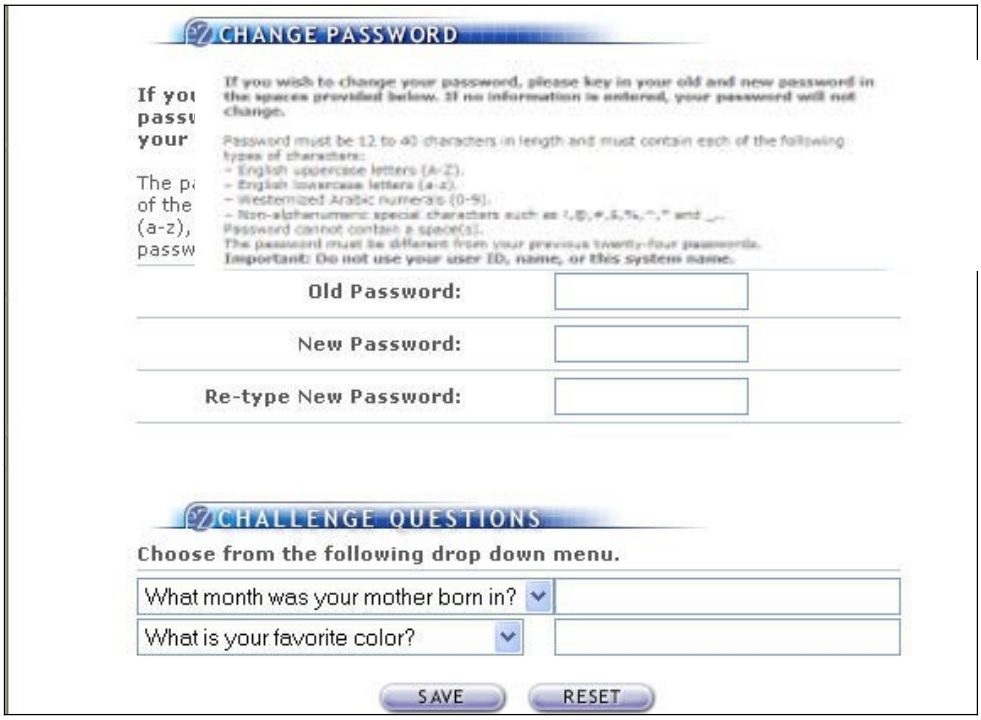
NOTE

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

Step-by-Step Guide to Using eZ-Audit For Public Schools

If you clicked on the underlined text "Update My User profile" on your institution's homepage, the screen below should appear:





Step-by-Step Guide to Using eZ-Audit For Public Schools

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:

1. Select a question from the first drop down 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.

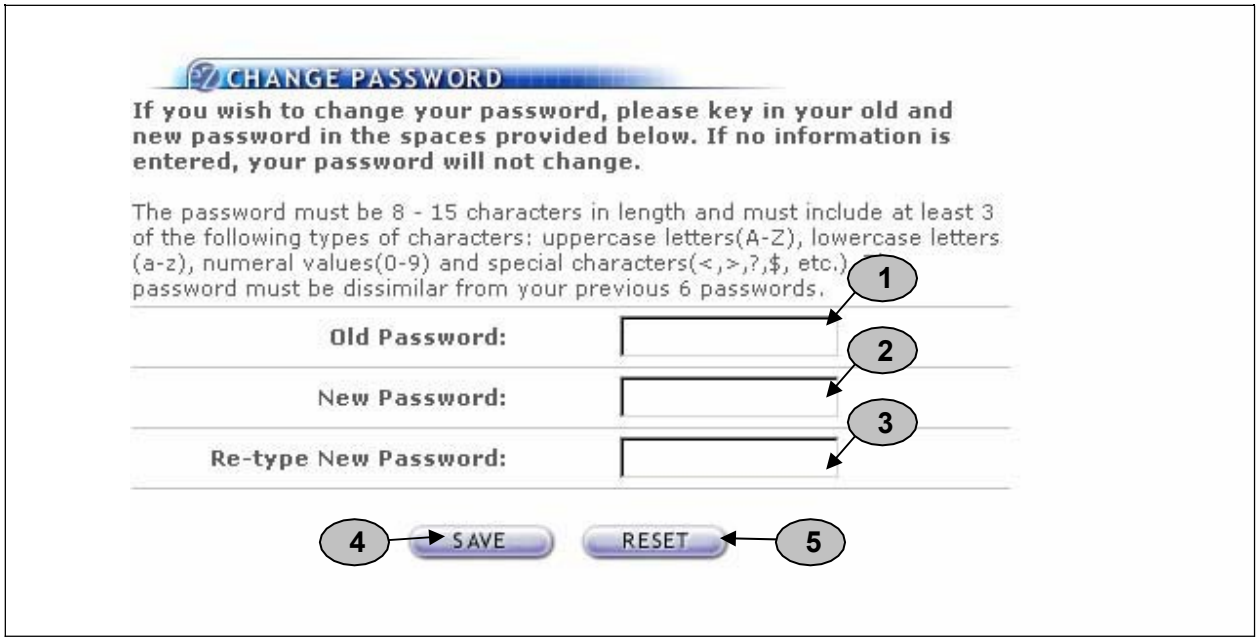
NOTE

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 Public Schools

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:



7. Type your old or temporary password.
8. Type your new password.
9. Retype your new password.
10. Click the **SAVE** button to ensure all changes are successfully captured by the system.
11. Click the **RESET** button to cancel current entries and begin again.

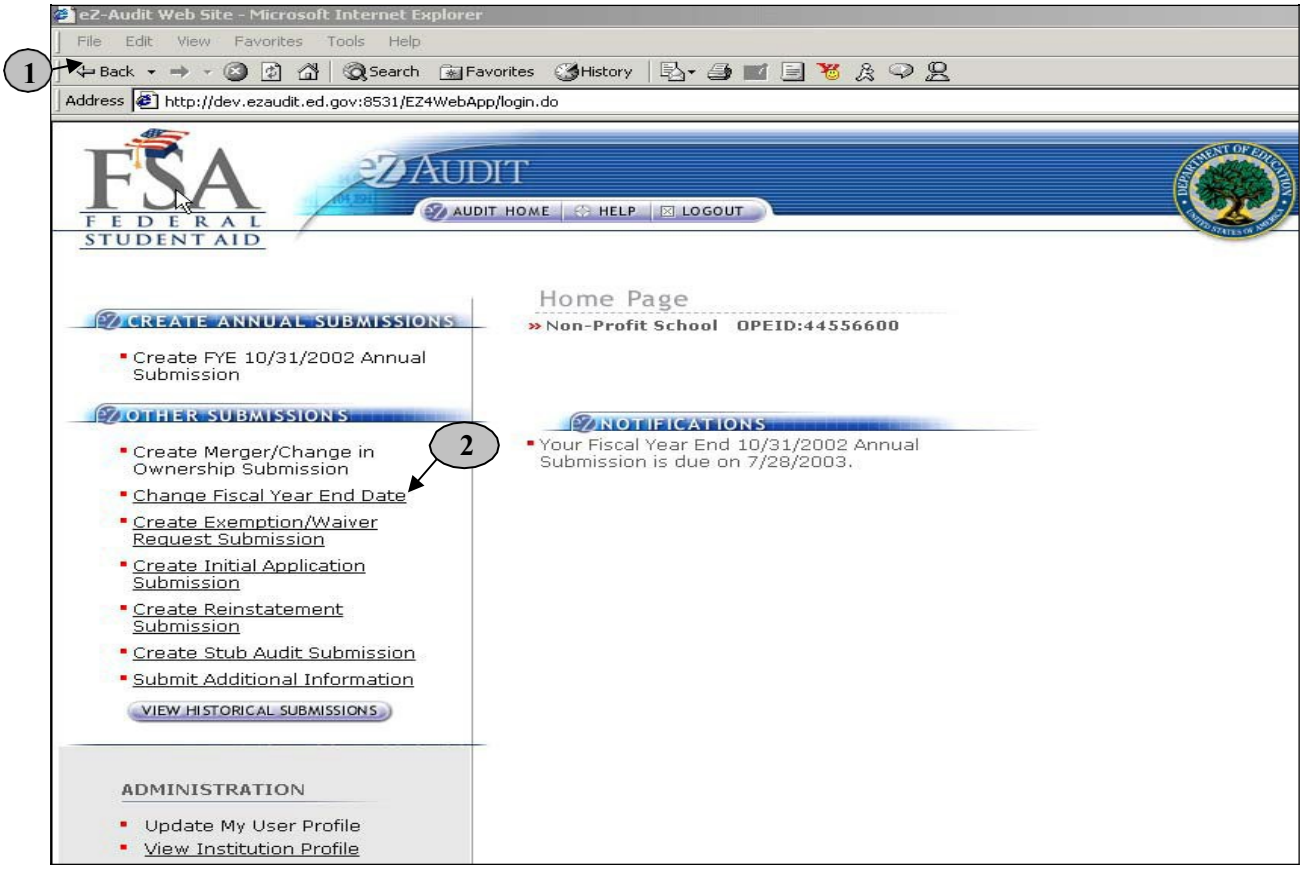
NOTE

The password must be 12-40 characters in length and must include uppercase, lowercase letters and numeric values. Each password shall contain each of the following four types of characters: English uppercase letters (A-Z). English lowercase letters (a-z). Westernized Arabic numerals (0-9). Non-alphanumeric special characters (such as !,@,#,$,&,*). 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 Help Desk at 1-877-263-0780

Step-by-Step Guide to Using eZ-Audit For Public Schools

Navigation

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

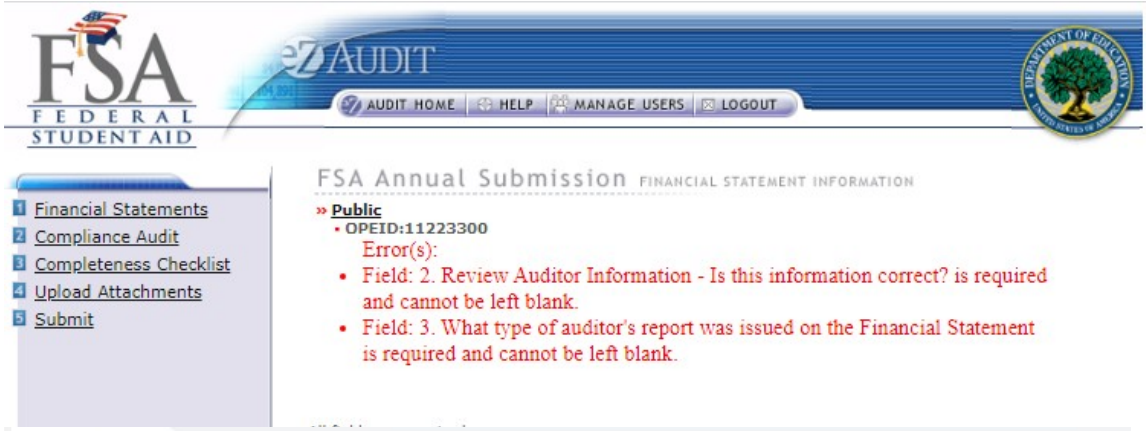


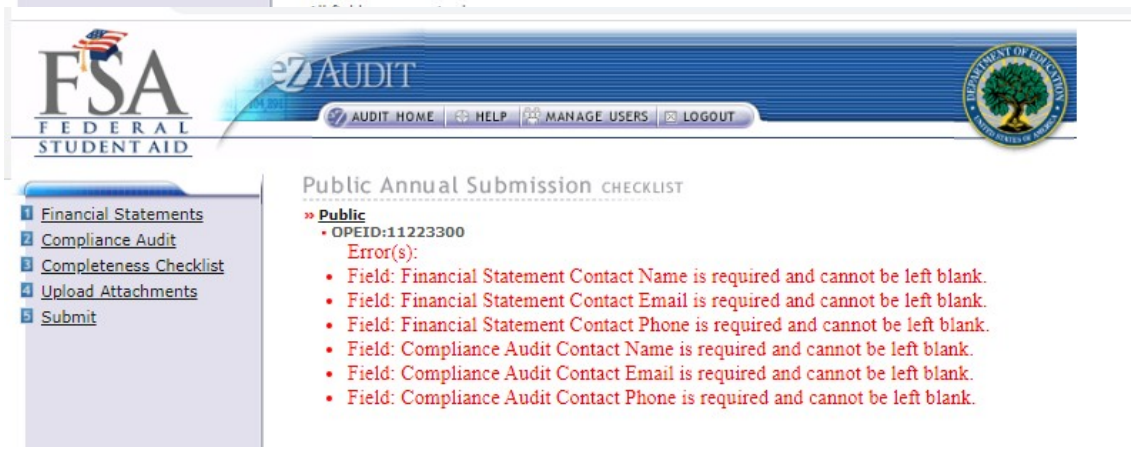
1. To go back to a previous screen or action, simply click on the **back or forward** button.
2. To move across forms or sections in the system, click the underlined text of interest.

Step-by-Step Guide to Using eZ-Audit For Public Schools

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:





NOTE

The eZ-Audit system does not allow punctuation marks in the fields. For example, "$" dollar, ":"colon and "," comma signs input into the system will result in an error message. Also, please note that all fields must be completed. Enter "0" for any null response.

Step-by-Step Guide to Using eZ-Audit For Public Schools

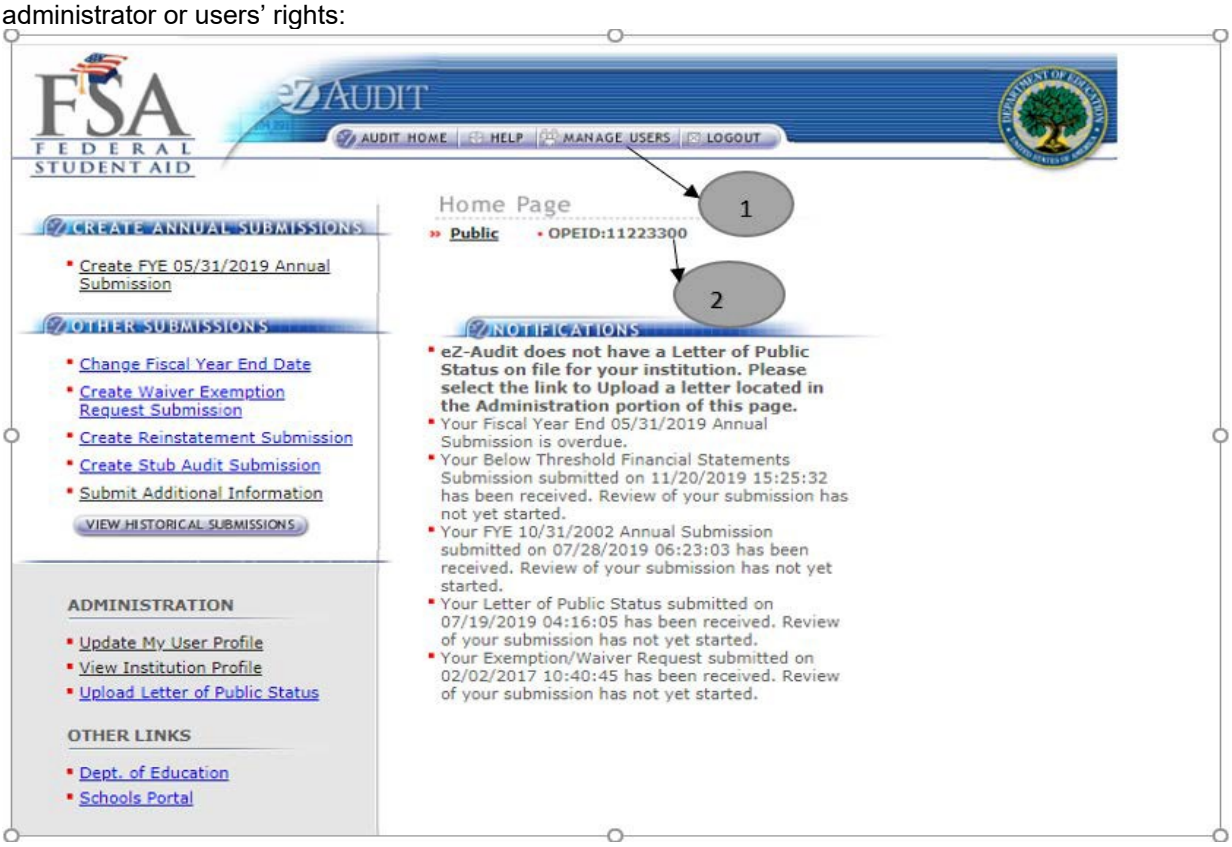
Manage Users

Types of Users and Responsibilities

1. The **eZ-Audit Institution/School Administrator**, selected by your school, is responsible for:
   - Registering your school with eZ-Audit
   - Providing/managing access to data entry and submission approval personnel, as identified by your school
   - Maintaining security information regarding schools' users as required
2. The ***eZ-Audit Data Entry Users***, selected by your school 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 school, are responsible for:
   - Reviewing the submission prior to "submit"
   - Approving the submission via the "submit" action

Institution Administrator Homepage

To log into the eZ-Audit system as your institution'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 users' rights:

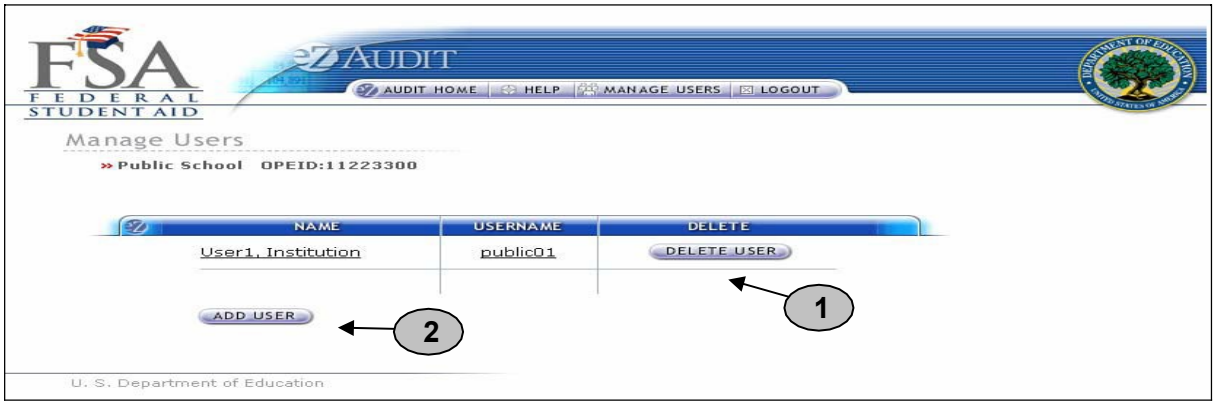


Step-by-Step Guide to Using eZ-Audit For Public Schools

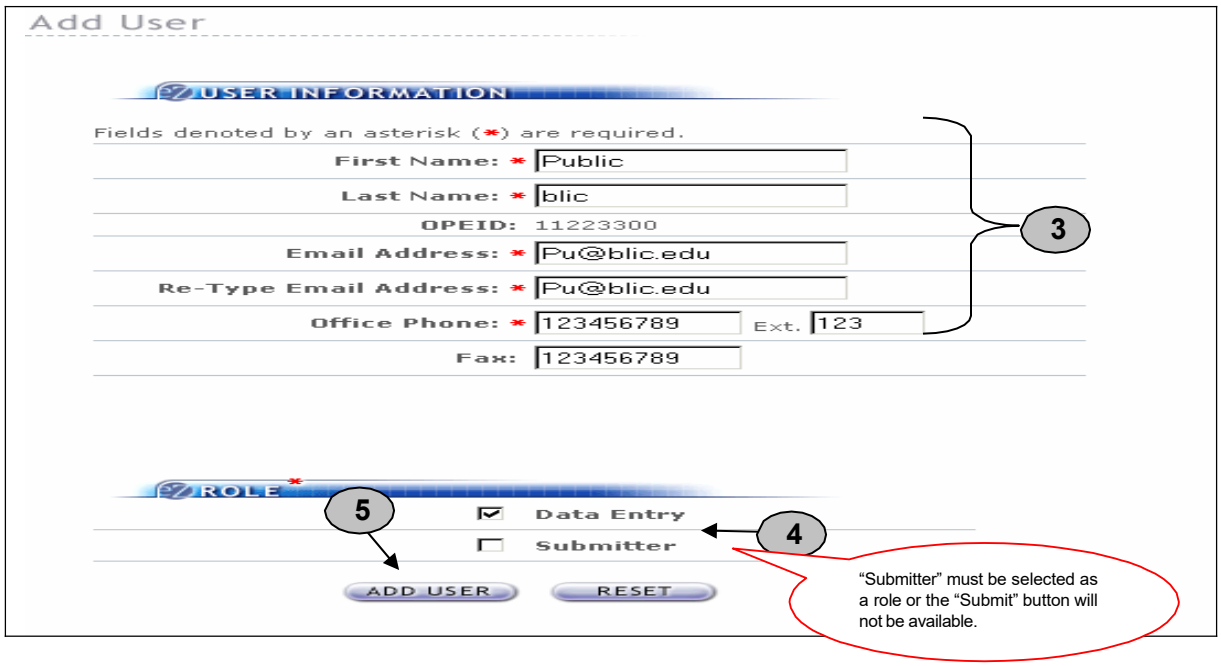
1. The "**MANAGE USERS"** button should be displayed if you have administrator's rights to this system. Click on it to perform any of the manage users' tasks such as adding or deleting a user. The screen on the next page should appear:
2. This should read your institution's **name and OPEID number**.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

Creating/Deleting Data Entry and Submitter Users

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



1. Click on the "**DELETE USER**" button to delete a user from the system.
2. Click on the "**ADD USER**" button to add a user to the system. The screen below should then appear:



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 (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 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 Public Schools

Institution Home Page/Status

Institution Profile

This is a sample of what an institution's profile page should look like. Institutions should confirm that the information is correct.

FSA FEDERAL STUDENT AID

eZAUDIT

AUDIT HOME | HELP | MANAGE USERS | LOGOUT

eZAudit Home › Institution Profile

Institution Profile

» Public OPEID:11223300

The information on this page is read-only. If any information below is incorrect, please go to the Department of Education's Application to Participate in Federal Student Aid Programs (eApp) Website to update.

Institution Name:	Public
Type of Institution:	Public
Address:	1234 Proprietary Lane
Address:	
City:	Proprietary
State:	DC
Zip/Postal Code:	12345
Phone Number:	1234567890
Fax Number:	1234567890
TIN:	000000070
DUNS Number:	
Title IV Eligibility Status:	Y
Title IV Eligibility Date:	05/15/2019
Fiscal Year End:	05/31/2017
President:	Marilyn Griffin
President Email:	ezauditttest@collabralink.com
Financial Aid Admin:	Ms Proprietary
FAA Email:	ezauditttest@collabralink.com
Primary Accreditation Org.:	
Other Accreditation Org.:	

NOTE

Changes to the Institution's Profile can only be made via the eAPP. This can be accessed at www.eligcert.ed.gov. School group listings are also listed on this

page. If there is a discrepancy with the school group listing please contact the eZ-Audit Help Desk at 1-877-263-0780.

Historical Submissions

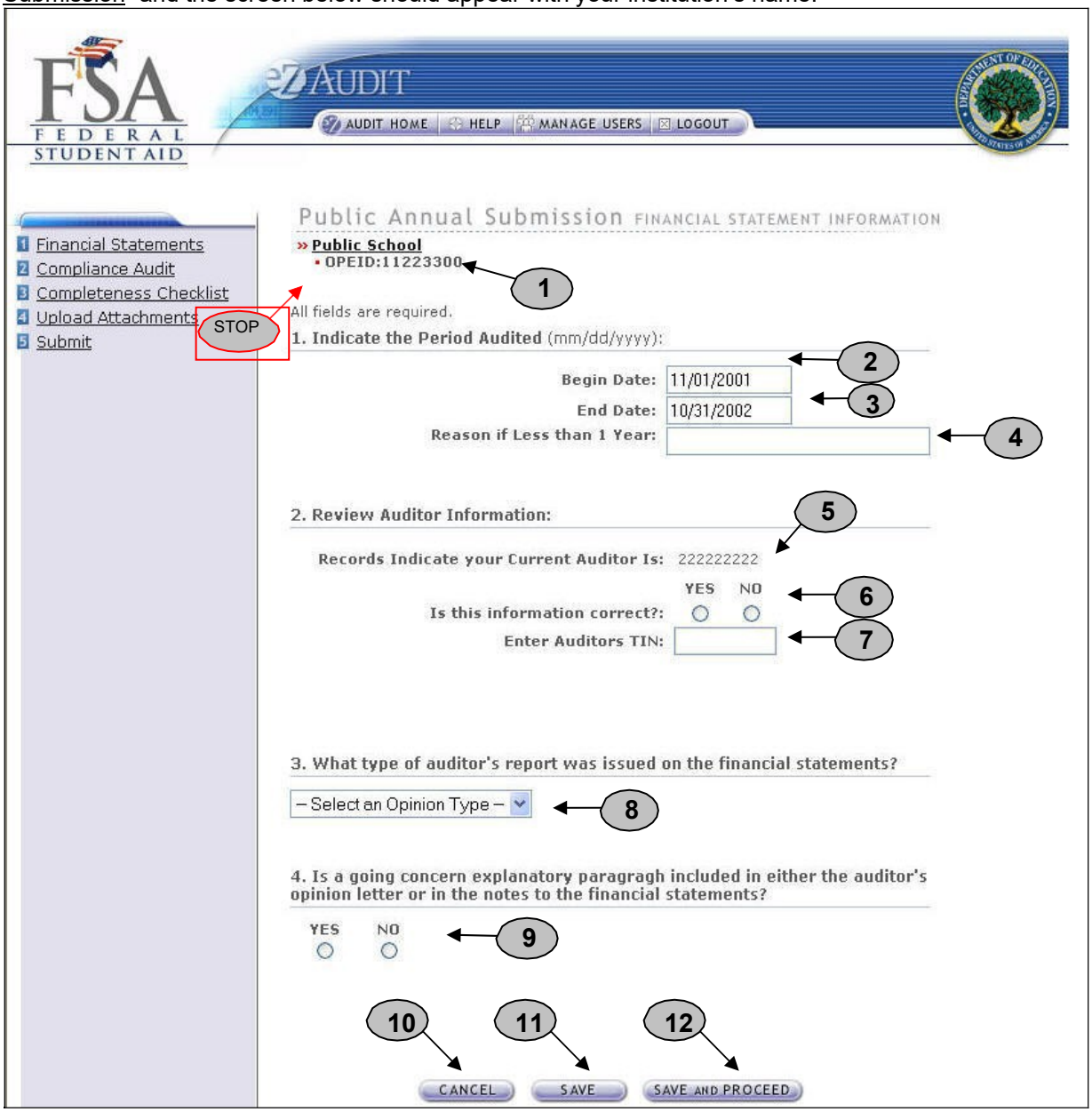
This page provides a history of the institution's past transactions as available in the eZ-Audit system. You may view prior submissions at any time. Please note that you will have "read only" access to these historical submissions.

Step-by-Step Guide to Using eZ-Audit For Public Schools

Annual Submissions

FSA Annual Submission Financial Statements

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



Step-by-Step Guide to Using eZ-Audit For Public Schools

Public Annual Submission– Financial Statements page continues:

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. Provide a reason if your audit period is less than a year.
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 new, please select **NO** and update auditor information.
7. This field should be pre-populated. Please enter the state's Tax Identification Number (TIN) if this information is incorrect or missing. **DO NOT USE HYPHENS.**
8. Refer to Section I – Summary of Auditor's Results in the Schedule of Findings and Questioned Costs of the annual UNIFORM GUIDANCE report.
9. Refer to Part II, Question 2 of the Federal Audit Clearinghouse Data Collection Form SF-FAC (3-20-2001).
10. **IMPORTANT WARNING**: Click the **CANCEL** button to erase/delete all entries since the last time you saved your work.
11. Click the **SAVE** button to ensure all entries are successfully stored by the system on this page.
12. Click the **SAVE and PROCEED** button to go to the Compliance Audit Information page. This is the next stage in the submission process.

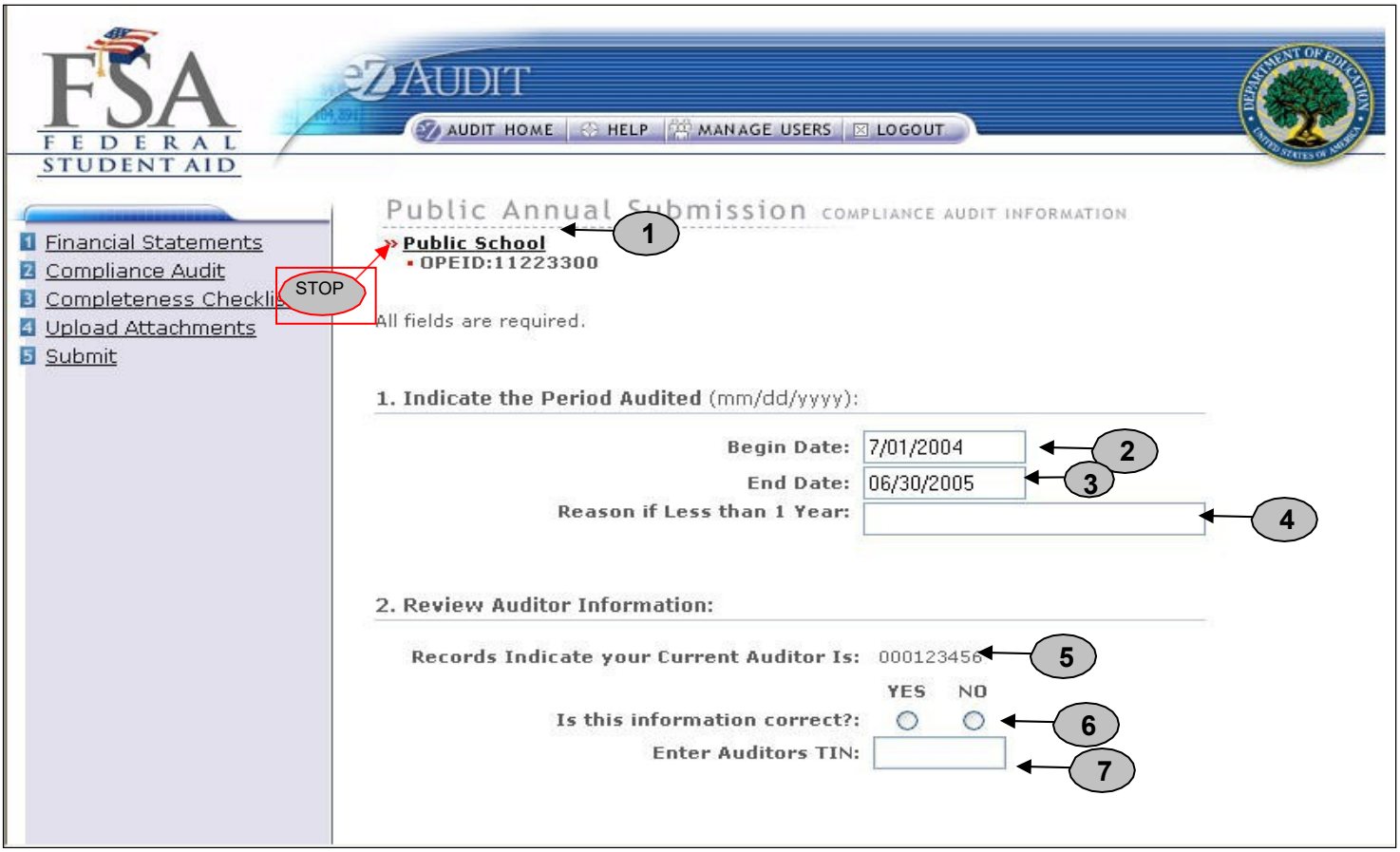
NOTE

Do not leave any field blank.

Step-by-Step Guide to Using eZ-Audit For Public Schools

FSA Annual Submission Compliance Audit Information

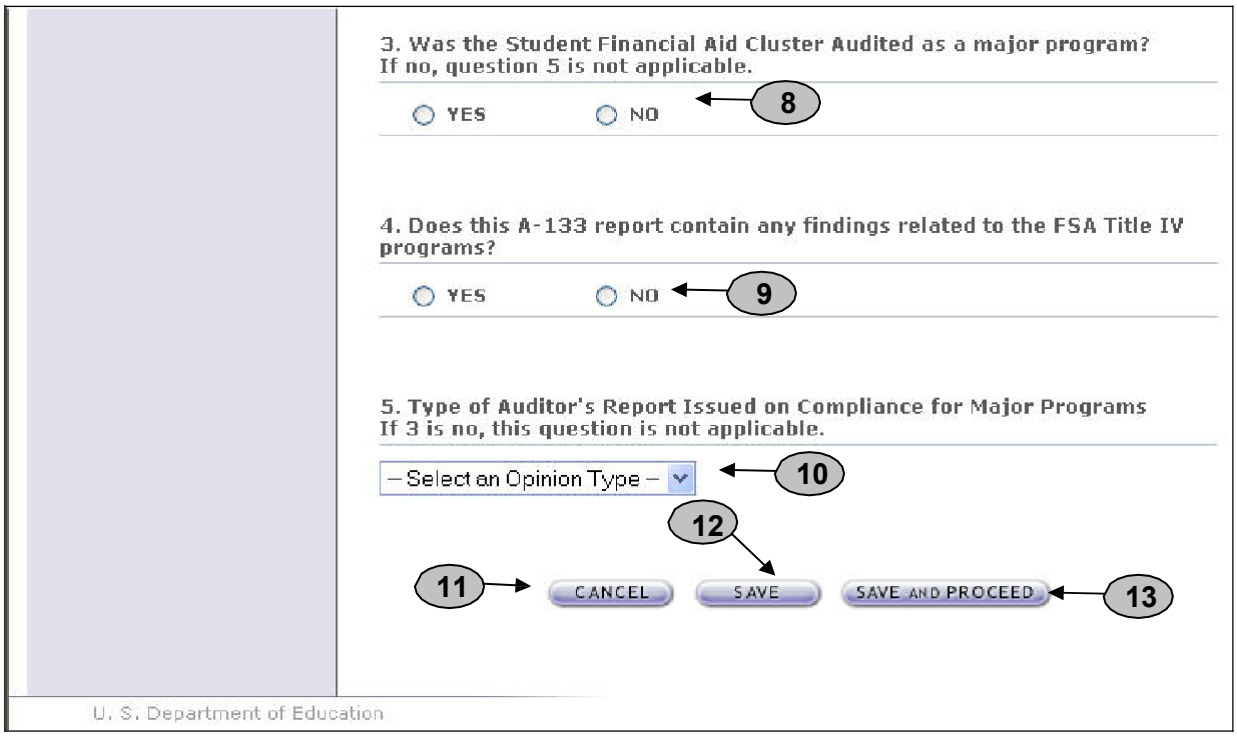
If you successfully entered or saved the information inputted on the Financial Statements page by clicking on the **SAVE and PROCEED** button, the screen below should appear. This page can also be reached by repeatingthe **LOGIN** step. This will take you to your institution's eZ-Audit homepage. On the 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 "Compliance Audit Information". The screen below should appear:



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. Provide a reason if your audit period is less than a year.
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 new, select **NO**, and update with current auditor's information.
7. This field should be pre-populated. Please enter the state's Tax Identification Number (TIN) if this information is incorrect or missing. **DO NOT USE HYPHENS.**

Step-by-Step Guide to Using eZ-Audit For Public Schools

Compliance Audit Information Continues:

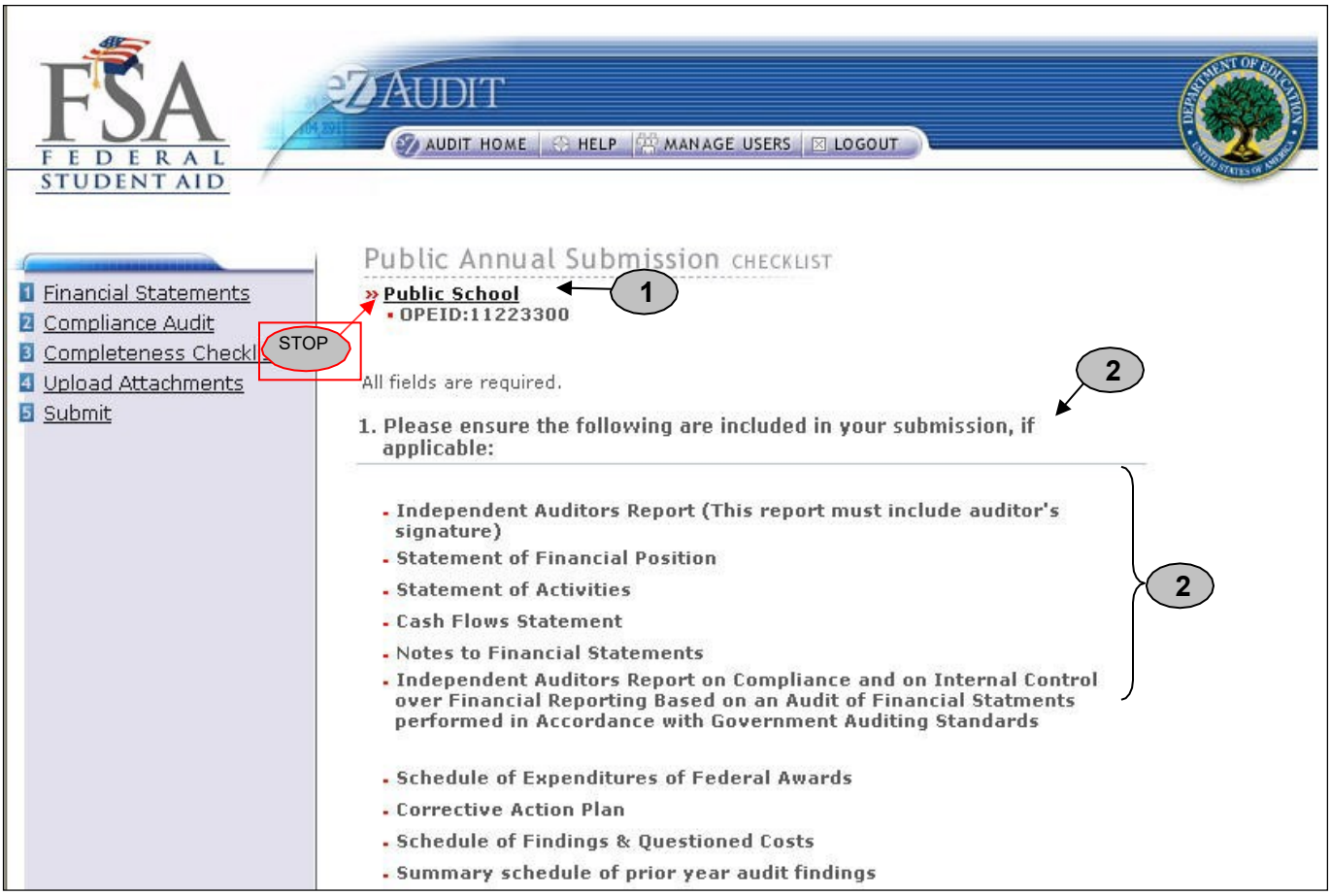


8. Indicate whether the Student Financial Aid Cluster was audited as a major program in the UNIFORM GUIDANCE audit. Refer to Section I – Summary of Auditor's Results in the Schedule of Findings and Questioned Costs of the annual UNIFORM GUIDANCE report. **Note**: If the answer to this question is **YES**, skip question 5. If the answer to this question is **NO**, answer questions 5.
9. If your UNIFORM GUIDANCE audit submission contains any findings related to the FSA Title IV programs (If the UNIFORM GUIDANCE report covers multiple institutions, this applies to all institutions covered) click **Yes.** Refer to the Scheduled of Findings and Questioned Costs included in the annual UNIFORM GUIDANCE submission; Section II – financial Statement Findings and Section III – Schedule of Federal Award Findings and Questioned Costs
10. Refer to Section I - Summary of Auditor's Results in the Schedule of Findings and Questioned Costs of the annual UNIFORM GUIDANCE report. **Note:** Only indicate the opinion type for Title IV programs if the SFA cluster was audited as a **major** program.
11. **MPORTANT WARNING**: Click **CANCEL** button to erase/delete all entries sine the last time you saved your work.
12. Click the **SAVE** button to ensure all entries are successfully stored by the system for this page.
13. Click the **SAVE and PROCEED** button to go to the **Public Annual Submission-Completeness Checklist page.** This is the next stage in the submission process.

Step-by-Step Guide to Using eZ-Audit For Public Schools

FSA Annual Submission Completeness Checklist

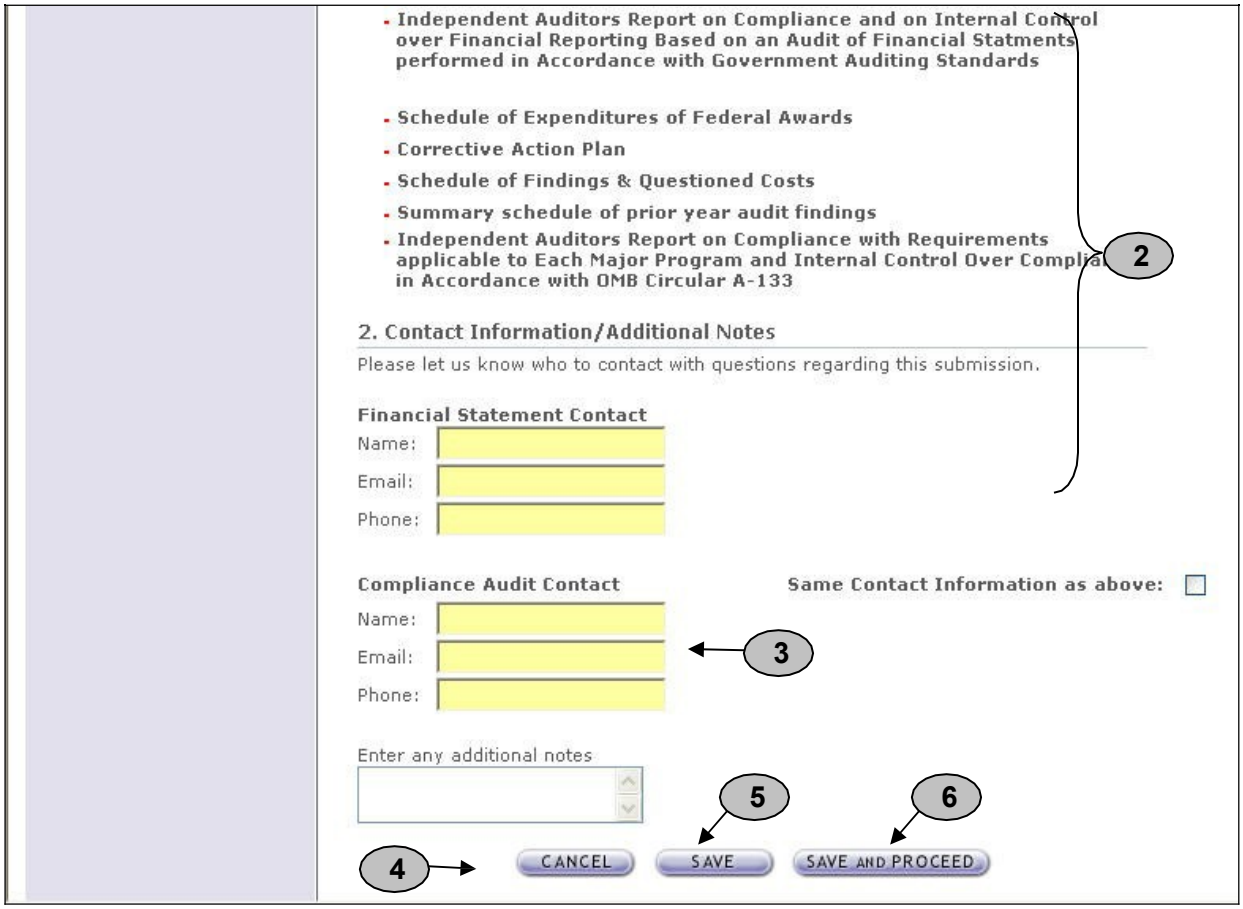
If you successfully entered or saved the information inputted on the Compliance Audit Information page by clicking on the **SAVE AND PROCEED** button, the screen below should appear. This page can also be reached by repeating the **LOGIN** step. This will take you to your institution's eZ-Audit homepage.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



1. Confirm that the information displayed is correct.
2. Ensure all applicable documents are included with your UNIFORM GUIDANCE audit report submission.

Step-by-Step Guide to Using eZ-Audit For Public Schools

Completeness Checklist Continues:



3. Provide contact information (name, phone, email) for who should be contacted regarding the submission and/or additional notes as necessary. Please feel free to attach any additional document(s). If you do attach these additional documents, please write a note in this field advising that you have attached additional information not required in this process.
4. **IMPORTANT WARNING**: Click the **CANCEL** button to erase/delete all entries since the last time you saved your work.
5. Click the **SAVE** button to save all entries currently on screen.
6. Click the **SAVE and PROCEED** button to save all entries and to take you to the **Upload Attachment** page.

NOTE

Change in Equity documentation may be included as part of the Income Statement, or may be included as a separate document. Consolidated Statements will only be included with the submission if the financial statements reflect totals.

Step-by-Step Guide to Using eZ-Audit For Public Schools

School Group Submissions:

- ✓ **To complete the Checklist page for member school(s), click on the name of the school.**
- ✓ **Complete the Checklist page following the steps above.**

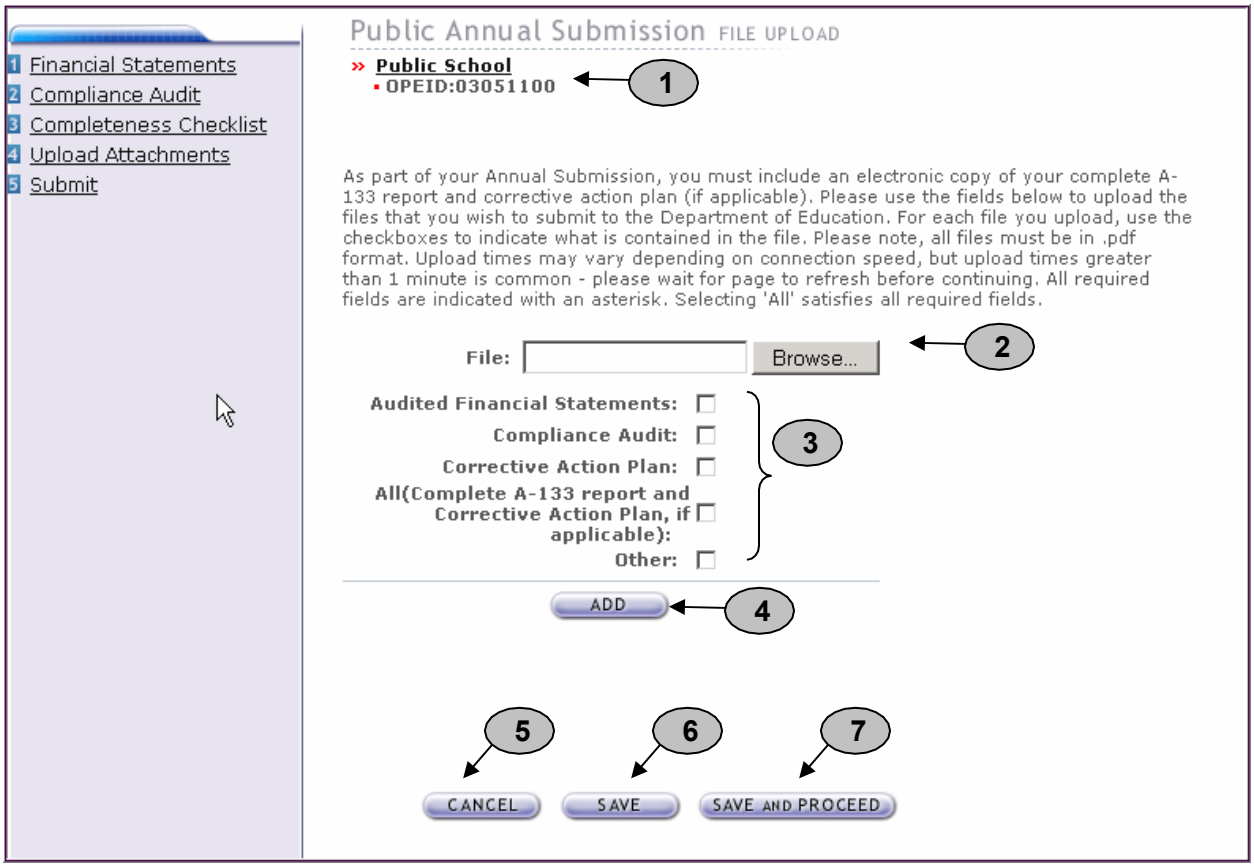
NOTE

Independent Auditors Report on Financial Statements, Report on Compliance and Internal Controls Over Financial Reporting Based on an Audit of Financial Statements Performed in Accordance with Government Auditing Standards, Report on Internal Control Over Compliance, Report on Compliance with Specified Requirements Applicable to the SFA Programs. Signatures created using a word processing application are not acceptable.

Step-by-Step Guide to Using eZ-Audit For Public Schools

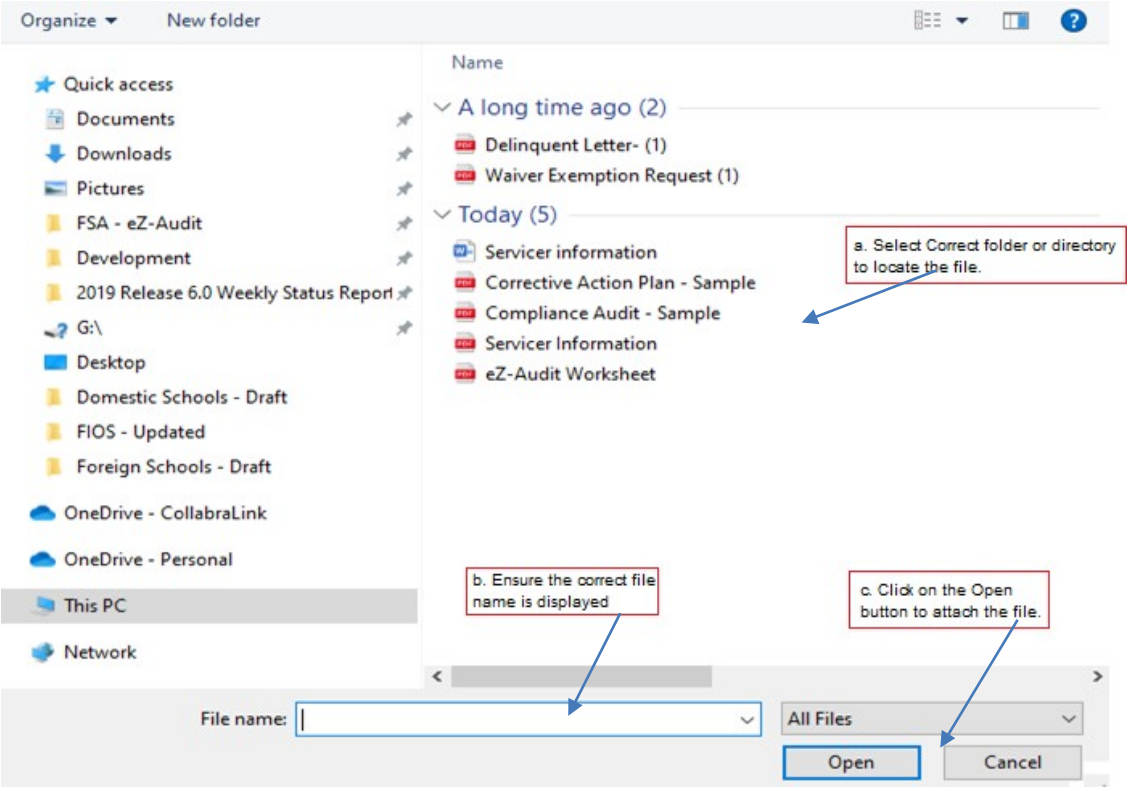
FSA Annual Submission Upload Attachments

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



1. Confirm that the information displayed is correct.
2. Click on the **Browse** 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 Public Schools



3. Check all appropriate documents attached
4. After the document has been attached and the file type identified by checking the box, click the "**ADD"** button to ensure that the document has been successfully attached to your compliance audit submission.
5. Click the **CANCEL** button to erase all entries.
6. Click the **SAVE** button to save all entries currently on screen.

School Group Submissions:

- ✓ **To Upload the Compliance Audit and/or Corrective Action Plan for member school(s), click on the name of the school.**
- ✓ **Follow the steps above.**

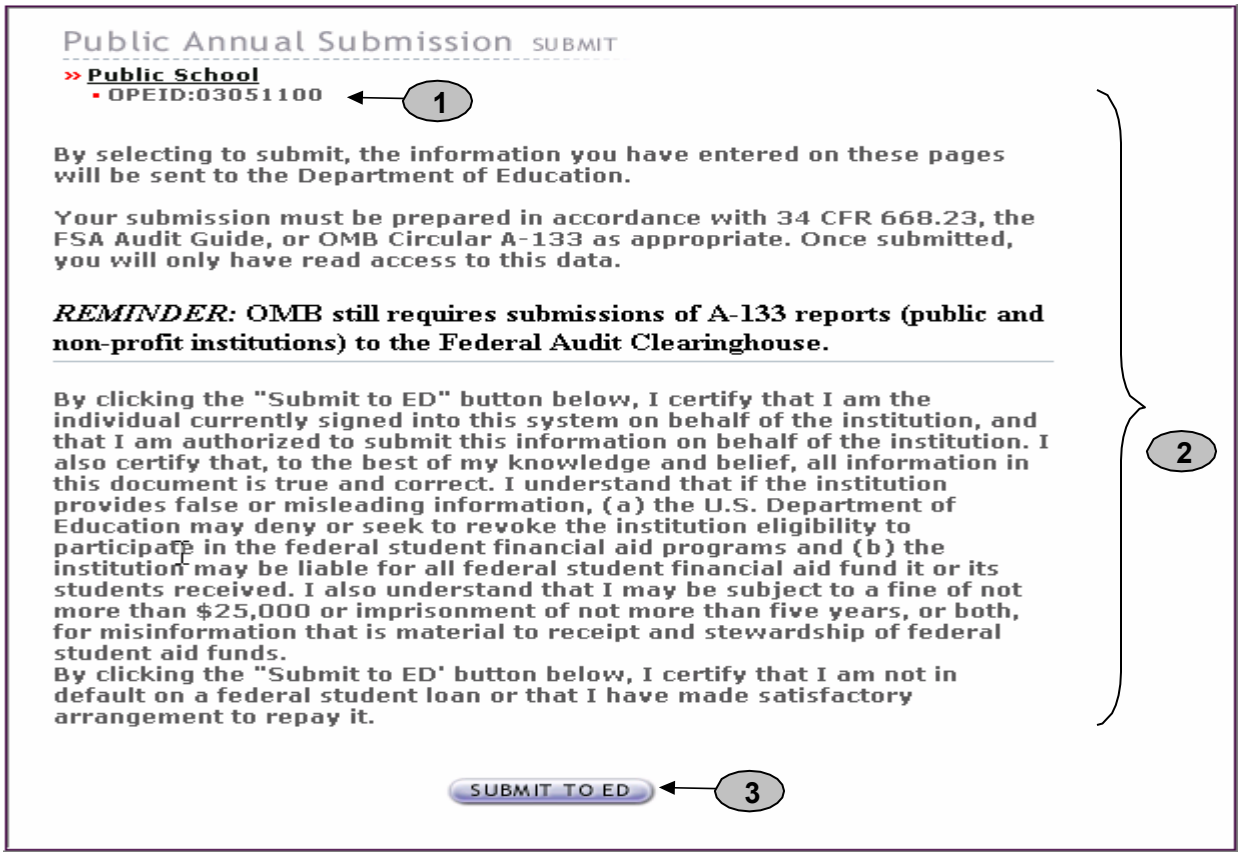
NOTE

As part of your annual submission, you must include an electronic copy of your complete UNIFORM GUIDANCE report. Please note that all files must be in a non editable PDF format and NO personal information such as Social Security Numbers should be contained in attachments. Remember, you can attach additional information not required during this process. If you do attach additional information, please make a note in the "Contact Information/Notes" field on the Completeness Checklist page.

Step-by-Step Guide to Using eZ-Audit For Public Schools

FSA 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 institution's eZ-Audit homepage. On the upper left hand side of the page, you will see a section "Create Annual Submissions". click on the underlined text "Create FYE xx/xx/xxxx Annual Submission", and then click on the underlined text "Submit". The screen below should appear:



1. Confirm that 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 Public Annual Submission process. This will then take you to your institution'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 Public Schools

NOTE You will have "read" access only once submitted.

If you are submitting for a school group the following screen on the next page will appear.

FSA Annual Submission-Submit continued:

1. To submit for **all schools in the group click Select All**.
2. Click the Submit indicator to submit for **individual schools**.
3. Click on the "**SUBMIT TO ED"** button to complete your FSA Annual Submission process. This will then take you to your institution's homepage with a displayed confirmation of your audit submission(s). If you do not see the "Submit To ED" button, please verify that submitter is selected as a user role.

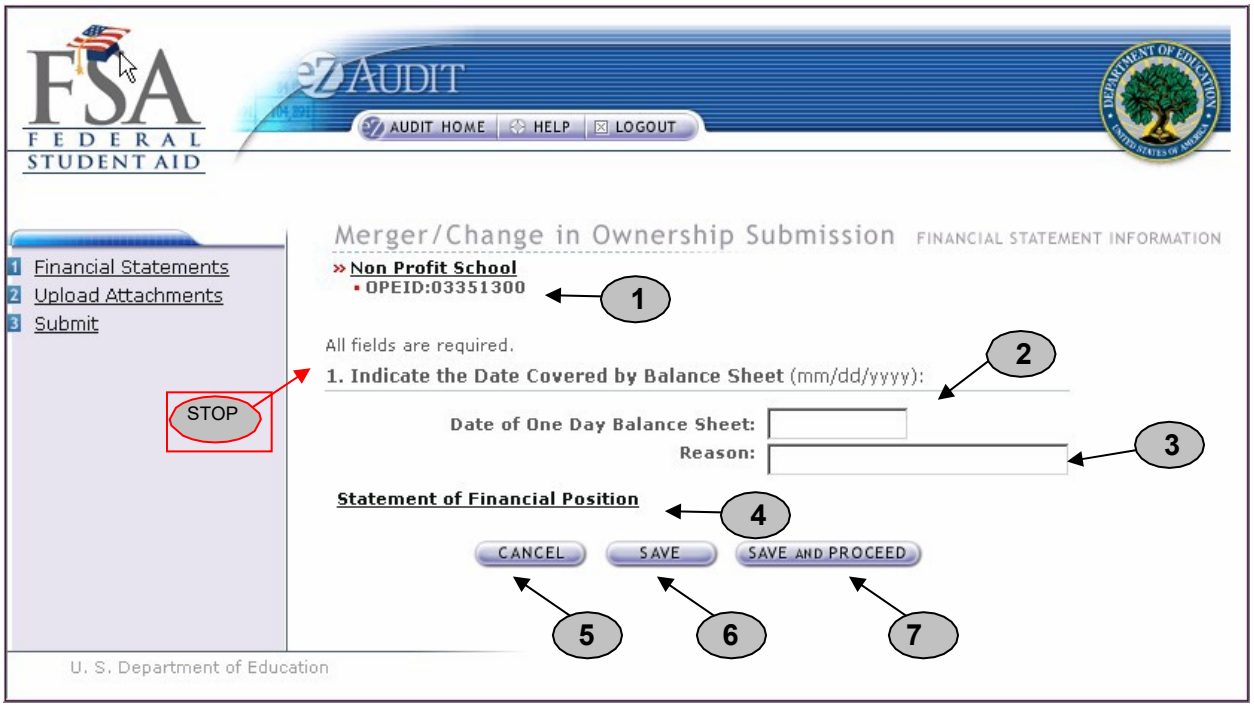
NOTE You will have "read" access only once submitted.

Step-by-Step Guide to Using eZ-Audit For Public Schools

Merger/Change in Ownership

Merger/Change in Ownership Submission Financial Statement

To complete a Change in Ownership Submission, complete the **LOGIN** step. This will take you to your institution'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 "Create Merger/Change in Ownership Submission", and then the screen below should appear:



1. Confirm the information displayed is correct.
2. Enter date of one day balance sheet.
3. Provide a reason.
4. Click on Statement of Position - (see section on completing the Statement of Position).
5. IMPORTANT WARNING: Click the **CANCEL** button to make changes/delete all entries since the lasttime you saved your work.
6. Click the **SAVE** button to ensure all entries currently on the screen are successfully stored by the system.
7. Click the **SAVE and PROCEED** button to go to the Upload Attachments page. This is the next stage in the submission process.

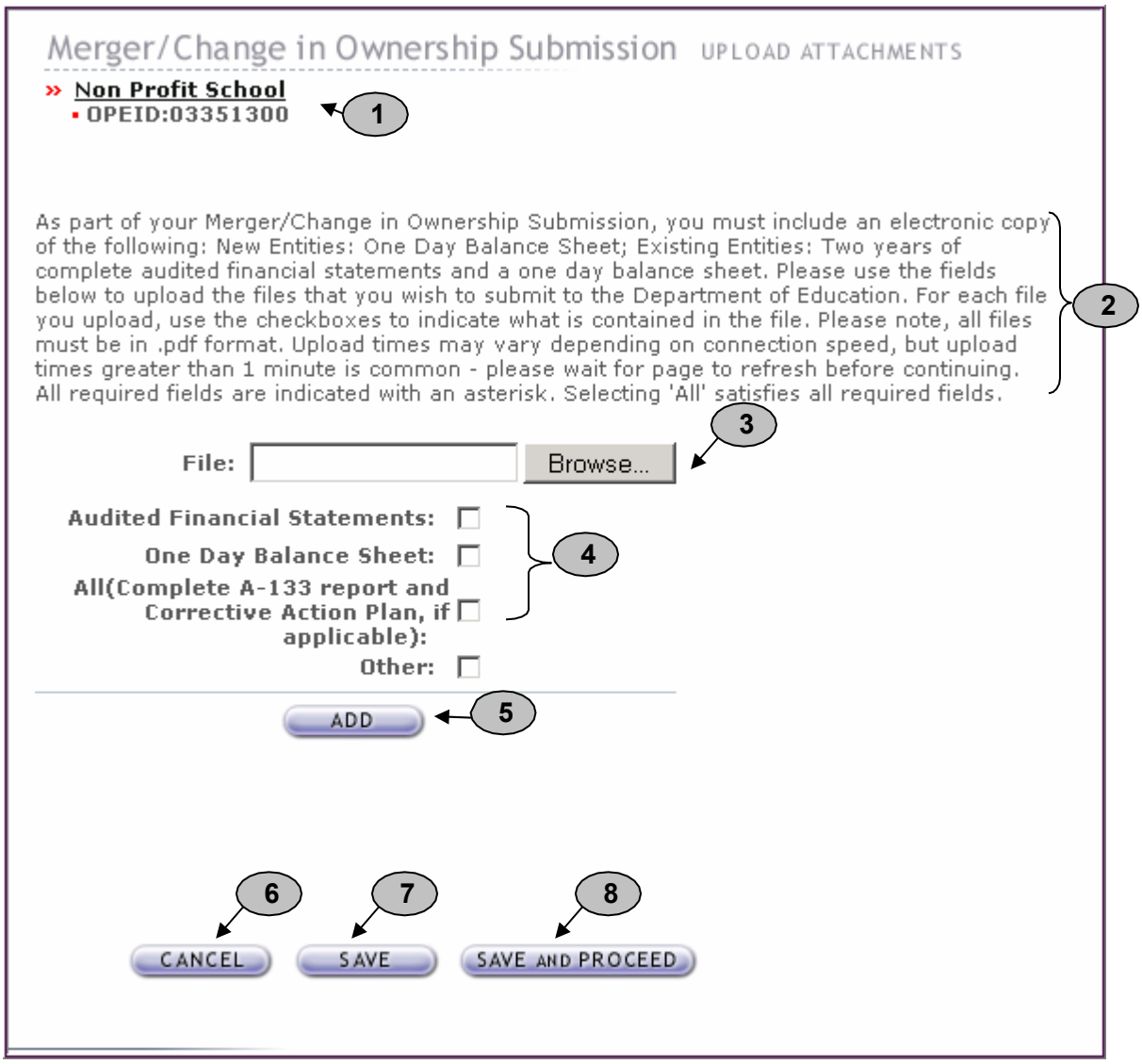
NOTE

With a Merger/Change in Ownership, Not-for-Profit schools are required only to complete the Statement of Position.

Step-by-Step Guide to Using eZ-Audit For Public Schools

Merger/Change in Ownership Submission Upload Attachments

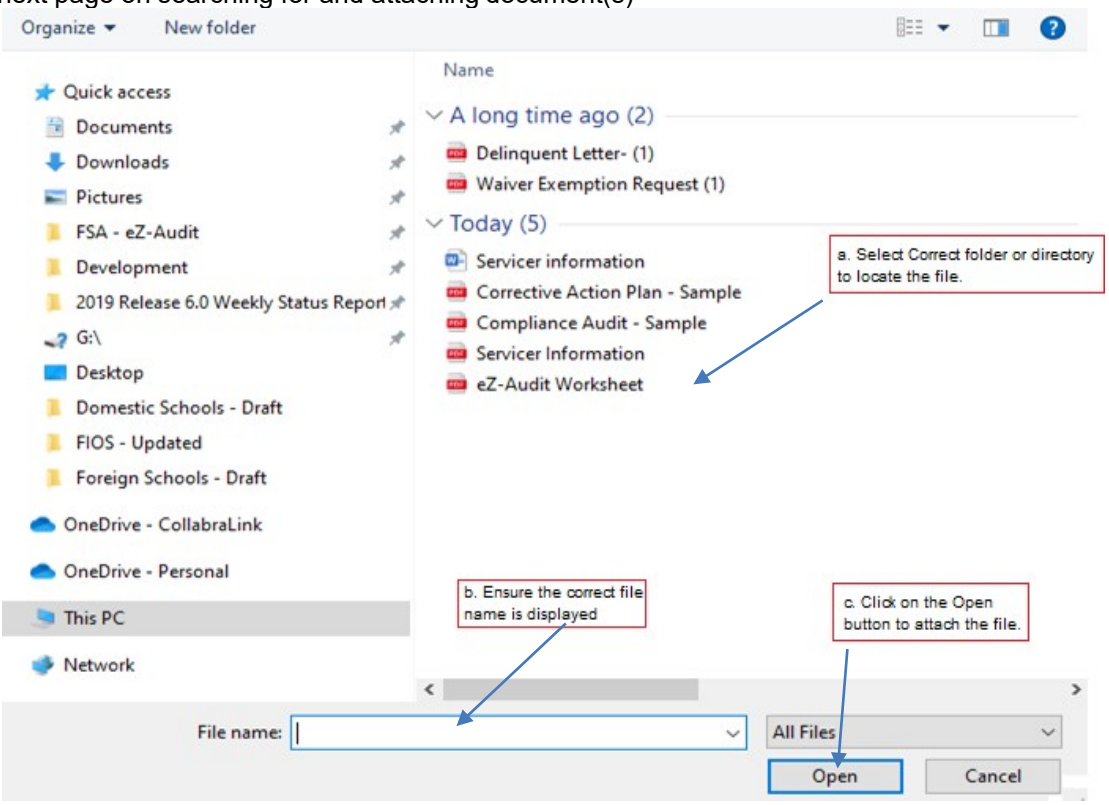
If you successfully entered or saved the information inputted on the Create Merger/Change in Ownership Submission-Financial Statements page by clicking on the **SAVE and PROCEED** button, the screen below should appear. This page can also be reached by repeating the **LOGIN** step. This will take you to your institution'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 "Create Merger/Change in Ownership Submission" and then click on the underlined text "Upload Attachments". The screen below should appear:



1. Please confirm that the information displayed is correct.
2. Read and follow instructions accordingly.

Step-by-Step Guide to Using eZ-Audit For Public Schools

3. Click on the **Browse** button to search for document(s) to be attached. Then follow instructions on the next page on searching for and attaching document(s)



4. Check all appropriate documents attached.
5. 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 compliance audit submission.
6. Click the **CANCEL** button to make changes to all entries.
7. Click the **SAVE** button to ensure all entries are successfully stored by the system on this page.
8. Click the **SAVE and PROCEED** button to save all entries and to take you to the **Merger/Change in Ownership Submission page**. This is the next stage in the submission process.

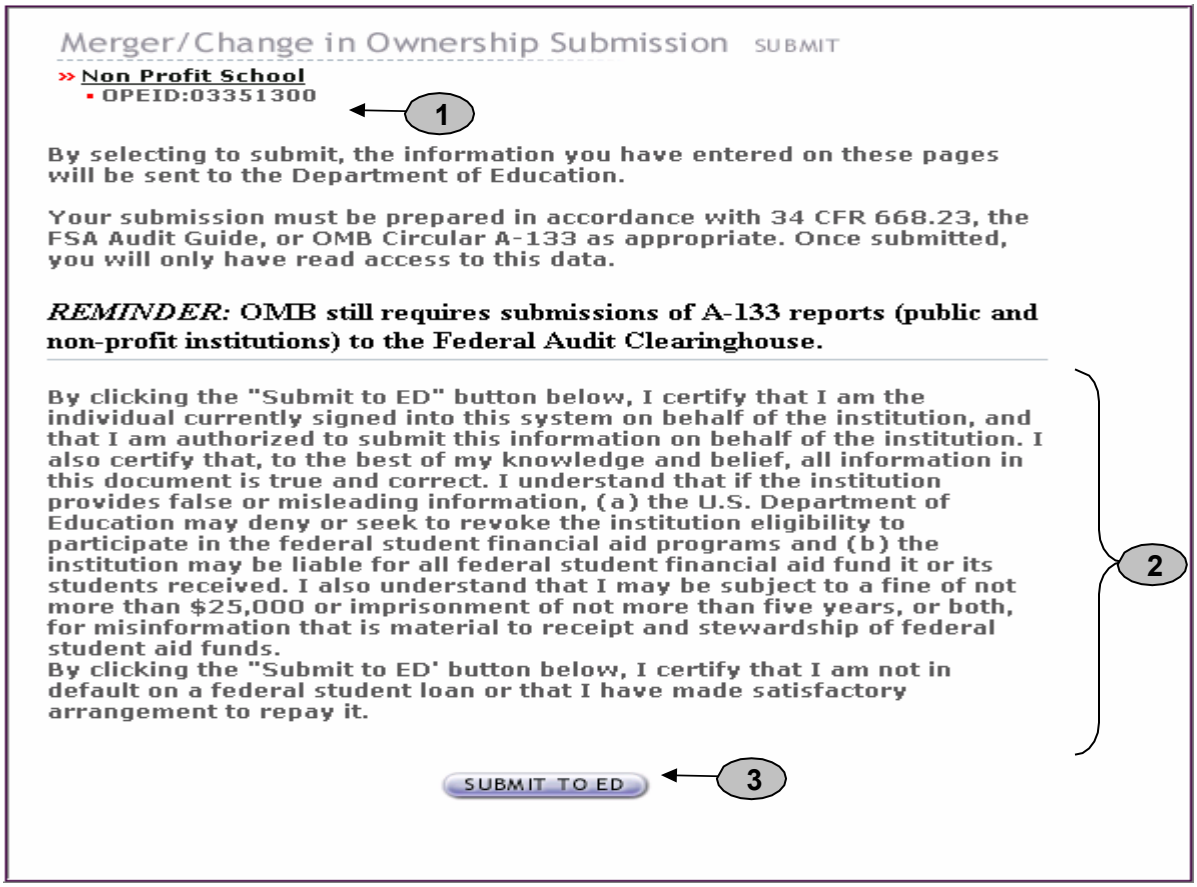
NOTE

As part of your Merger/Change in ownership submission, you must include an electronic copy of your one-day balance sheet and/or complete audited financial statements.
Please note that all files must be in a non-editable PDF format.

Step-by-Step Guide to Using eZ-Audit For Public Schools

Merger/Change in Ownership Submission-Submit

If you successfully entered, saved and attached an electronic copy of your complete audited financial statements 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 institution'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 "Merger/Change in Ownership" and then click on the underlined text "Submit". The screen below should appear:



1. Please confirm that 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 submission process. This will then take you to your institution's homepage with a displayed confirmation of your audit 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 Public Schools

NOTE

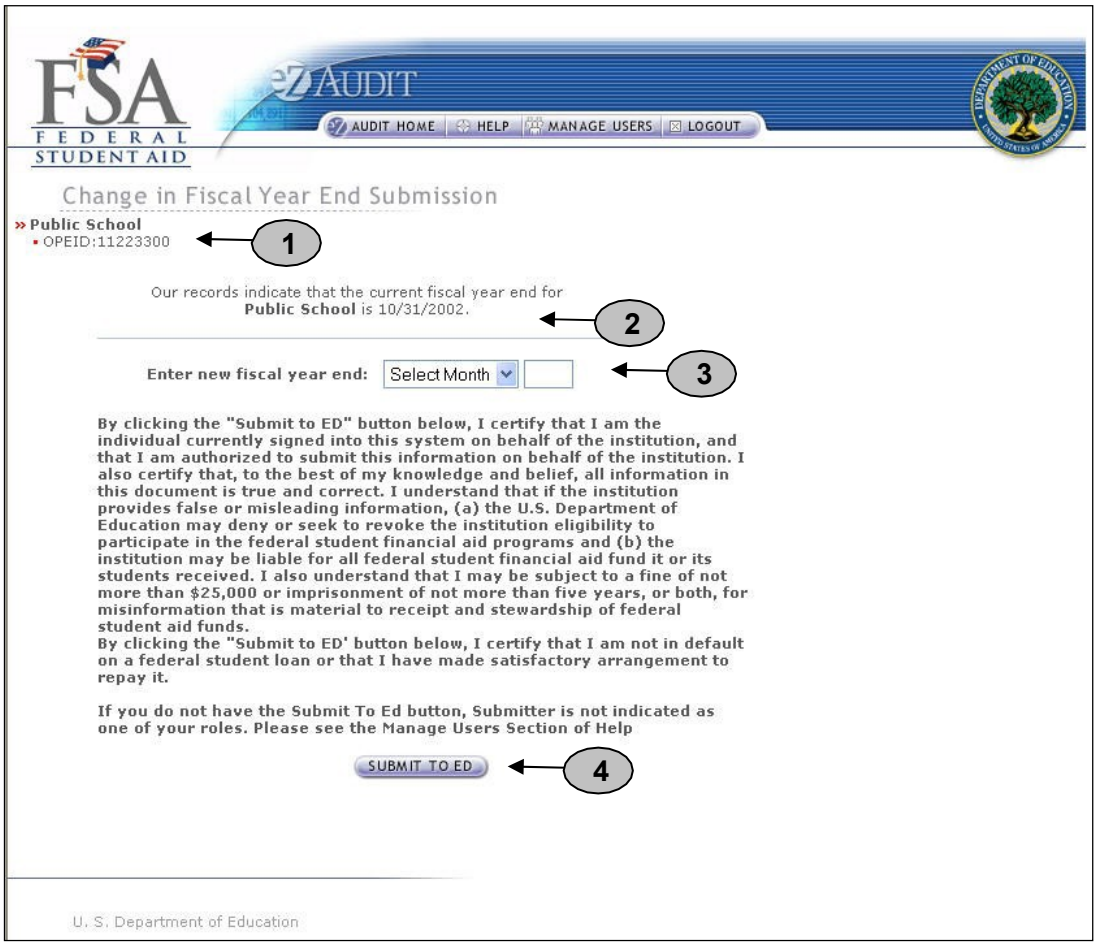
You will have "read" access only once submitted.

Step-by-Step Guide to Using eZ-Audit For Public Schools

Change in FY End

Change in FY END Submission

This page can be reached by repeating the **LOGIN** step. This will take you to your institutions 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". The screen below should appear:



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

NOTE

When notifying ED of a change in fiscal year end, please submit change 90 days prior to your current fiscal year end date. Contact your School Participation Team Representative for information regarding additional submission requirements.

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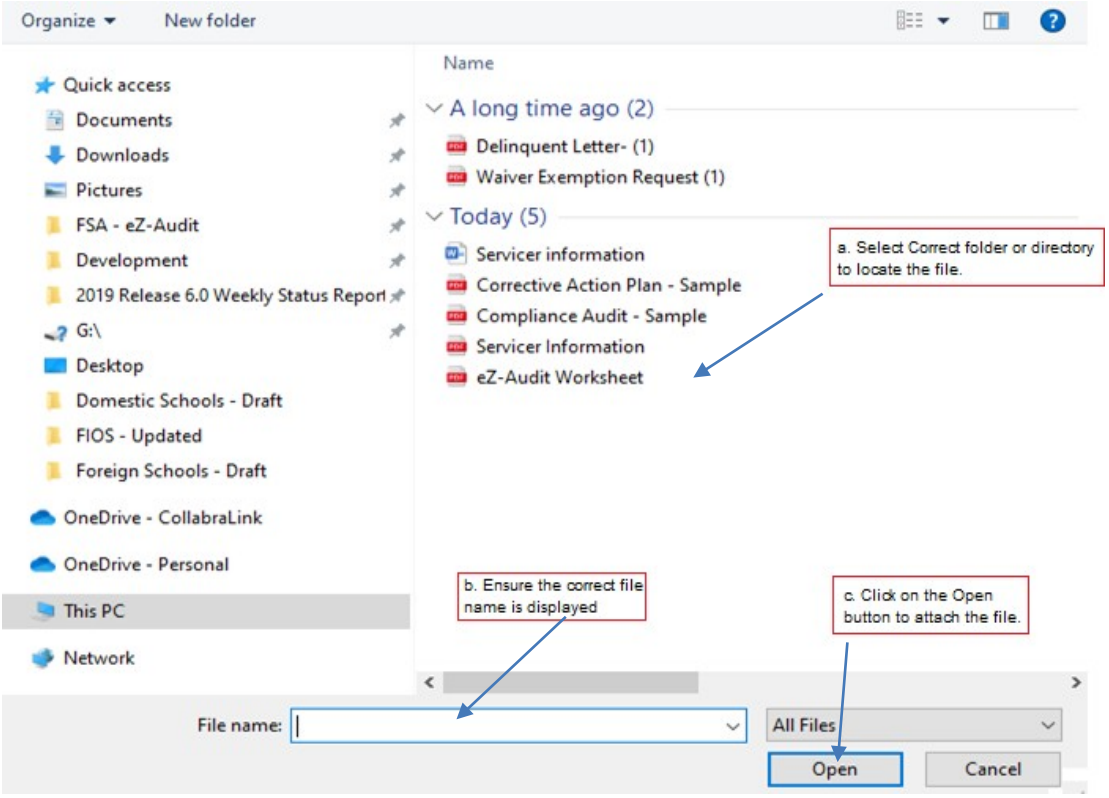
Waiver/Exemption Request

Create Waiver/Exemption Request

This page can be reached by repeating the **LOGIN** step. This will take you to your institution'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 "Create Waiver/Exemption Request". The screen below should appear:

1. Confirm the information displayed is correct.
2. Click on the **Browse** button to search for document to be attached. The screen below shouldappear:

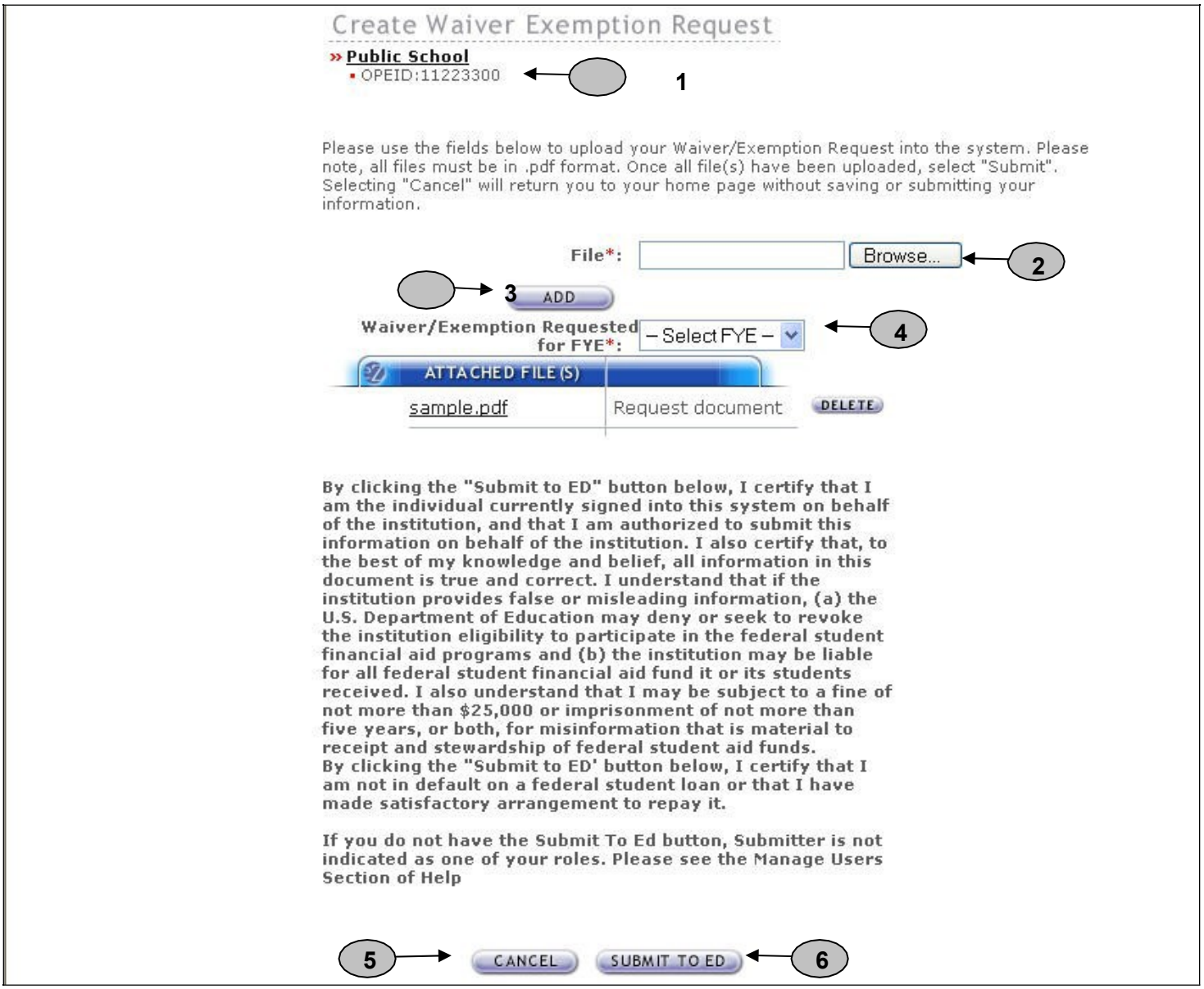
Step-by-Step Guide to Using eZ-Audit For Public Schools



3. Check all appropriate documents attached

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. The screen will then change to the screen below:

Step-by-Step Guide to Using eZ-Audit For Public Schools



5. Select the Fiscal Year End date from the drop down menu for which you are requesting an exemption.
6. Click the **CANCEL** button to erase all entries.
7. Click the "**SUBMIT TO ED"** button to submit your Exemption Request. This will then take you to your institution'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.

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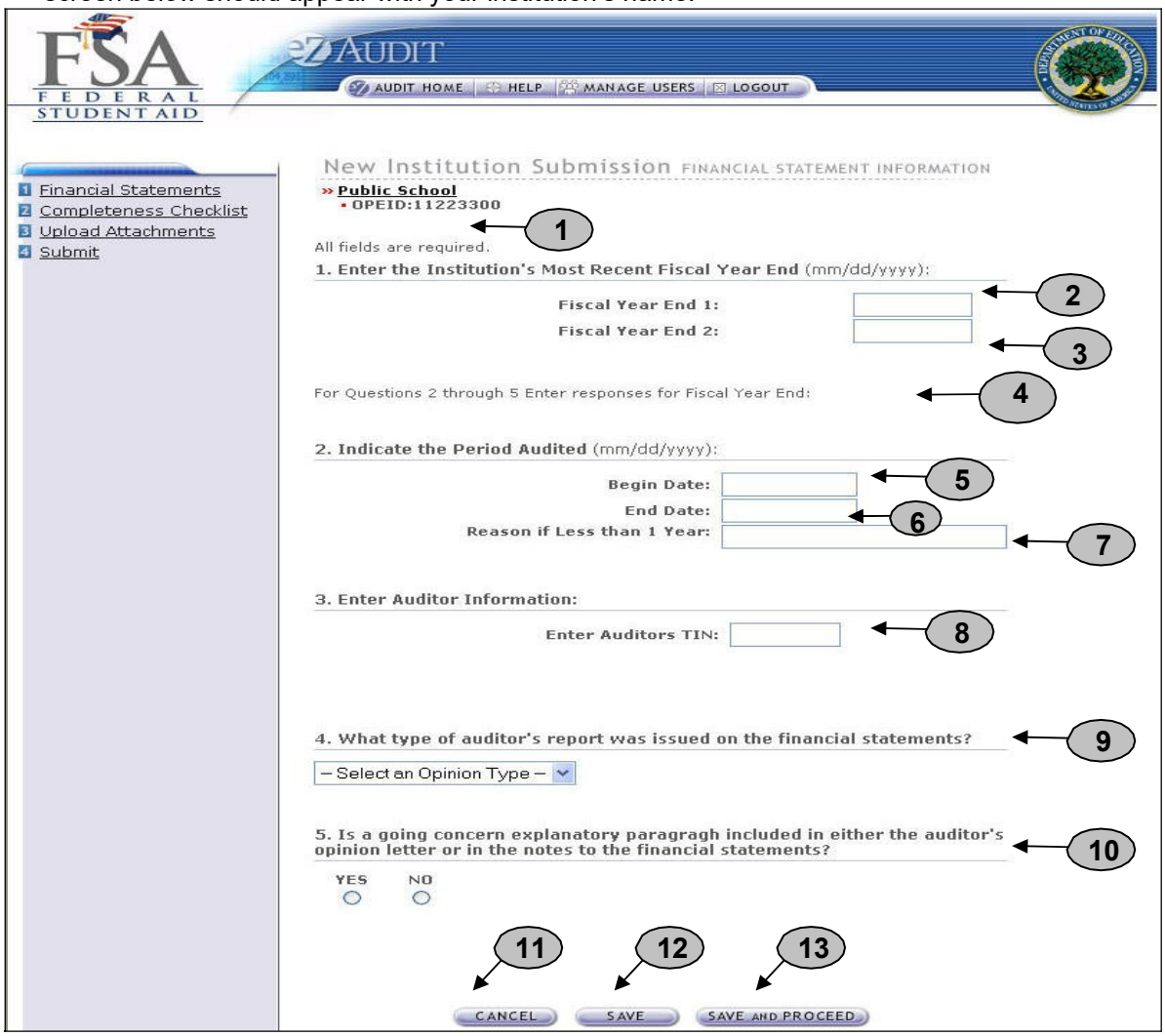
Step-by-Step Guide to Using eZ-Audit For Public Schools

New Institution/Reinstatement Submission

New Institution/Reinstatement Submission Financial Statement

To submit your institution's New Institution/Reinstatement Submission audit, complete the **LOGIN** step. This will take you to your institution'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 "Create New Institution Submission" or "Create Reinstatement Submission" and then the screen below should appear with your institution's name:



Create New Institution/Reinstatement Submission – Financial Statement Continues:

1. Please confirm that the information displayed is correct.

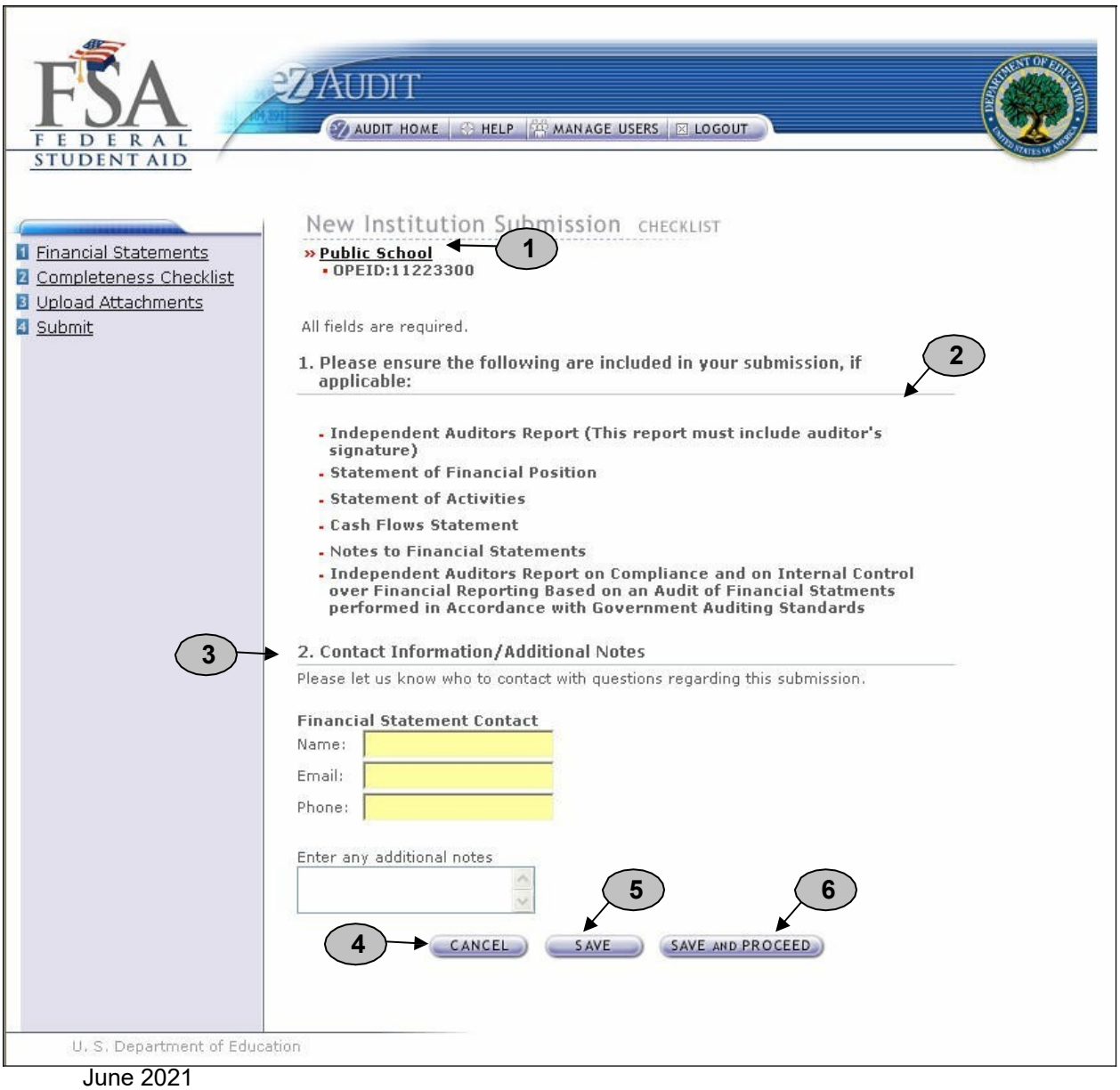
Step-by-Step Guide to Using eZ-Audit For Public Schools

2. Enter fiscal year end date (most recent FYE) (MM/DD/YYYY).
3. Auto populated to exactly one year from the entered Fiscal Year End 1 (MM/DD/YYYY)
4. Text Indicating to provide responses for most current Fiscal Year End (Fiscal Year End 1)
5. Begin date is the beginning of the audit period.
6. End date is the end of the audit period.
7. Provide a reason if your audit period is less than a year.
8. Enter the auditor firm's Tax Identification Number (TIN).
9. Refer to Section I – Summary of Auditor's Results in the Schedule of Findings and Questioned Costs of the annual UNIFORM GUIDANCE report.
10. Refer to Part II, Question 2 of the Federal Audit Clearinghouse Data Collection Form SF-FAC (3-20- 2001).
11. **IMPORTANT WARNING**: Click the **CANCEL** button to make changes/delete all entries since the last time saved your work.
12. Click the **SAVE** button to ensure all entries are successfully stored by the system on this page.
13. Click the **SAVE and PROCEED** button to go to the Completeness Checklist. This is the next stage in the submission process.

Step-by-Step Guide to Using eZ-Audit For Public Schools

New Institution/Reinstatement Submission Completeness Checklist

If you successfully entered or saved the information inputted on the Financial Statement 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 institution'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 New Institution Submission" and then click on the underlined text "Completeness Checklist". The screen below should appear:



Step-by-Step Guide to Using eZ-Audit For Public Schools

Completeness Checklist continues:

1. Please confirm that the information displayed is correct.
2. Ensure all applicable documents are included with your report submission
3. Provide contact information (name, phone, email) of who should be contacted in regard to the submission and additional notes as necessary. Please feel free to attach any additional document(s). If you do attach these additional documents, please write a note in this field advising that you have attached additional information not required in this process.
4. Click the **CANCEL** button to erase all entries.
5. Click the **SAVE** button to save all entries currently on screen.
6. Click the **SAVE and PROCEED** button to take you to the Upload Attachment page.

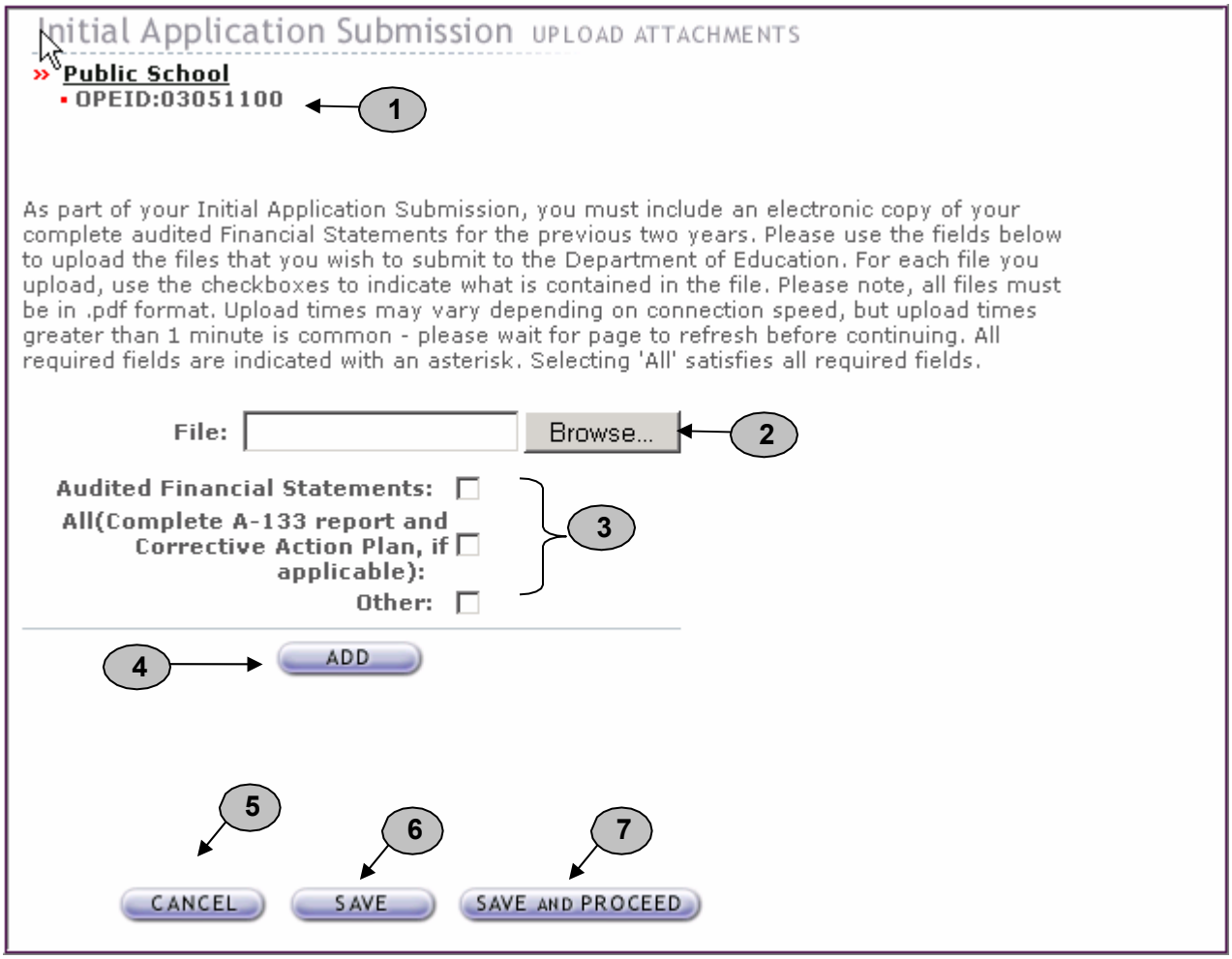
NOTE

Signatures (scanned) are required on Independent Auditors Report, Independent Auditors Report on Compliance and on Internal Control Over Financial Reporting Based on an Audit of Financial Statements Performed in Accordance with Government Auditing Standards, Independent Auditors Report on Compliance with Requirements Applicable to Each Major Program and Internal Control Over Compliance in Accordance with UNIFORM GUIDANCE . Font altered signatures are not acceptable.

Step-by-Step Guide to Using eZ-Audit For Public Schools

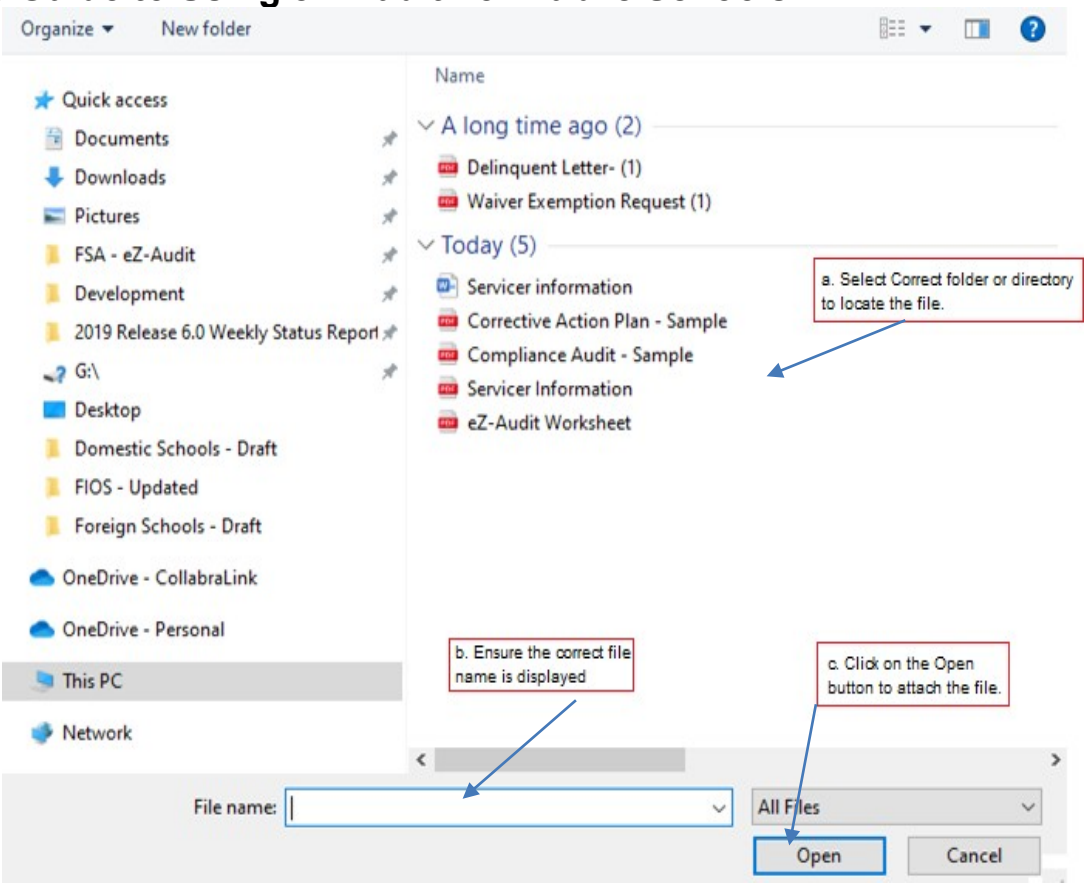
New Institution/Reinstatement Submission Upload Attachments

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 institution'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 "Create New Institution Submission", and then click on the underlined text "Upload Attachments". The screen below should appear:



1. Please confirm that the information displayed is correct.
2. Click on the **Browse** 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 Public Schools



3. Check all appropriate documents attached 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 compliance audit submission.
4. Click the **CANCEL** button to erase all entries.
5. Click the **SAVE** button to save all entries currently on the screen.
6. Click the **SAVE and PROCEED** button to take you to the New Institution Submission-submit page.

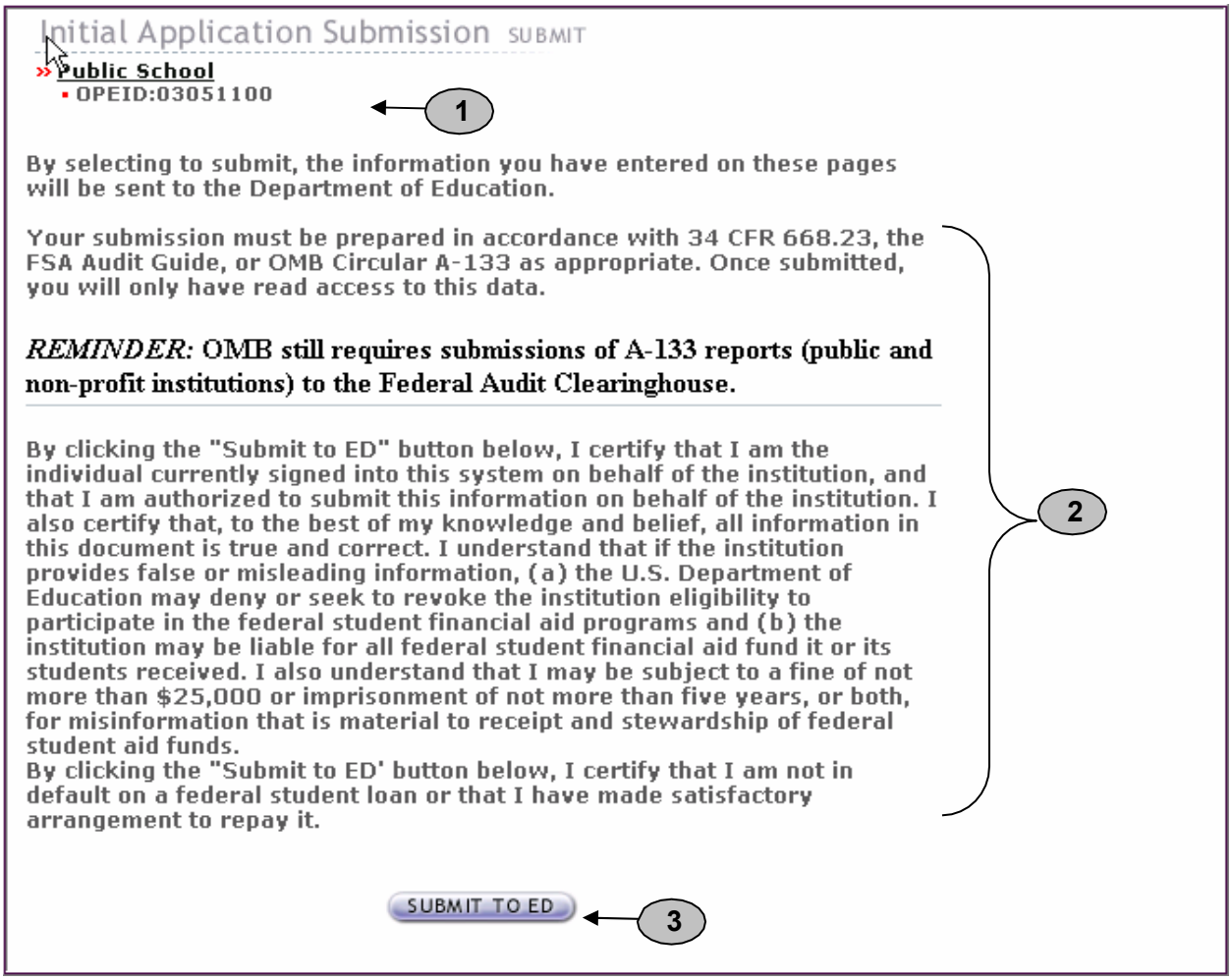
NOTE

As part of your initial/reinstatement submission, you must include an electronic copy of your complete audited financial statements. Please note that all files must be in a non editable. PDF format and no personal information such as Social Security Numbers should be contained in attachments. Remember, you can attach additional information not required during this process. If you do attach additional information, please make a note in the "Notes" field on the Completeness Checklist page.

Step-by-Step Guide to Using eZ-Audit For Public Schools

New Institution/Reinstatement 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 institutions eZ-Audit homepage. On the upper left hand side of the page, you will see a section "Other Submissions". Click on the underlined text "New Institution/Reinstatement Application Submission" and then click on the underlined text "Submit". The screen below should appear:



1. Please confirm that the information displayed in 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 New Institution 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.

Step-by-Step Guide to Using eZ-Audit For Public Schools

4. The following confirmation of receipt will be displayed on your home page.

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

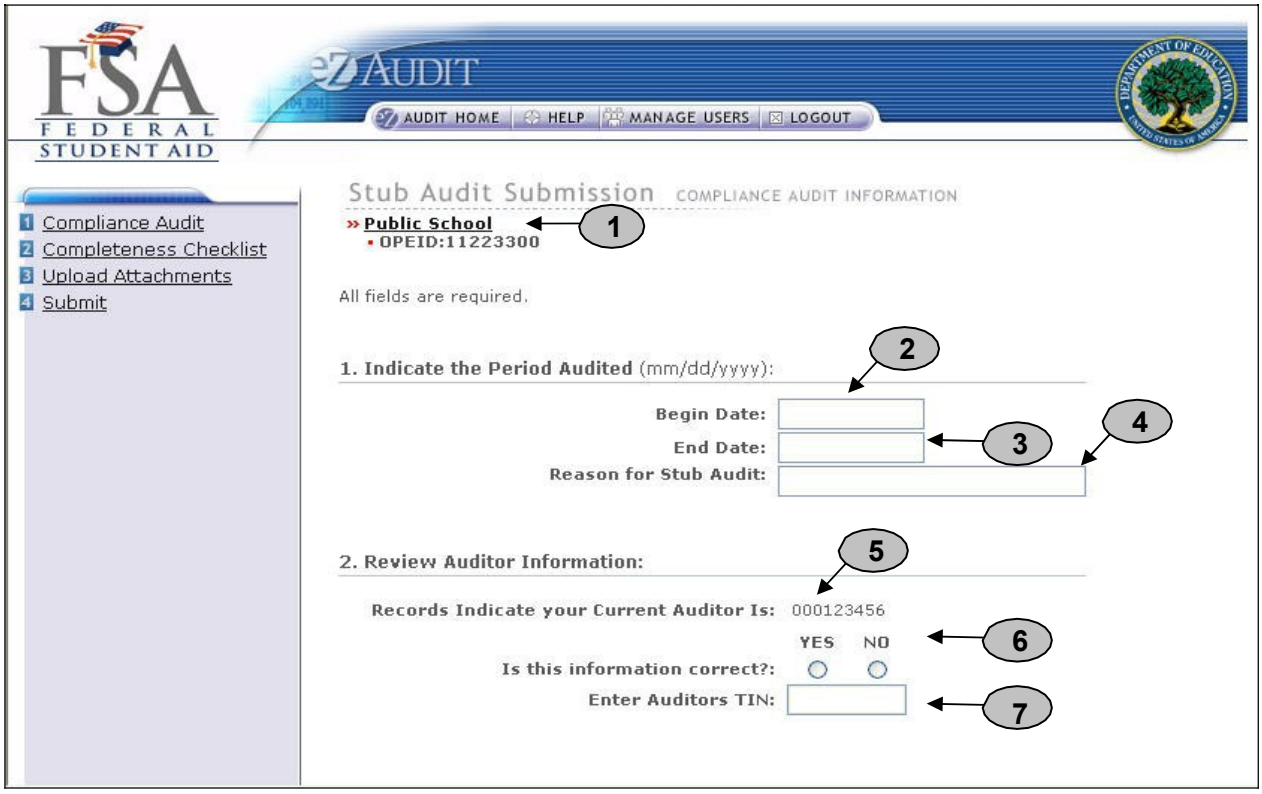
NOTE You will have "read" access only once submitted.

Step-by-Step Guide to Using eZ-Audit For Public Schools

Stub Audit Submission

Stub Audit Submission Compliance Audit Information

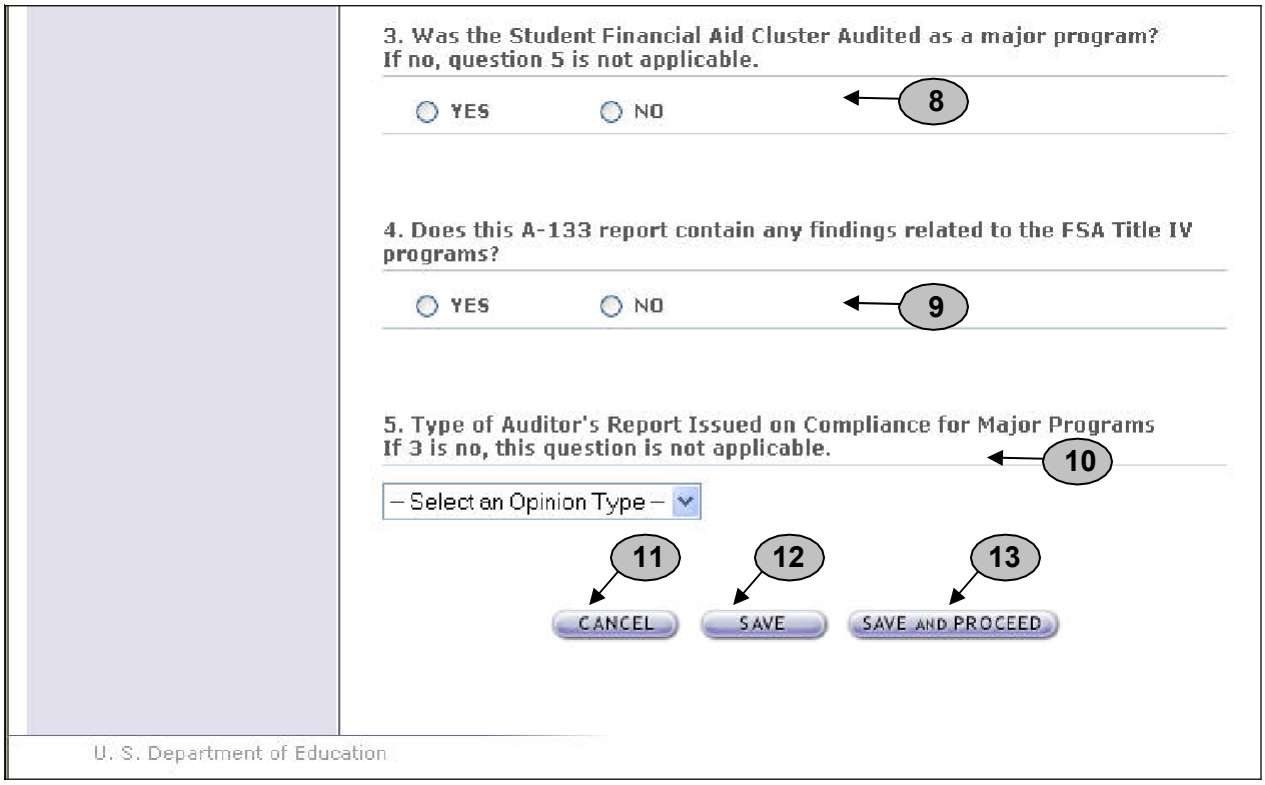
To complete your institution's Stub Audit Submission, complete the **LOGIN** step. This will take you to your institution's eZ-Audit homepage. On the upper left hand side of the page, you will see a section "Other Submissions". Click on the underlined text "Create Stub Audit Submission" and the screen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



1. Please confirm that the information listed is correct.
2. Begin date is the beginning of the audit period.
3. End date is the end of the audit period.
4. Provide a reason if your audit period is less than a year.
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 new, select NO and update with current auditor information.
7. This field should be pre-populated. Please enter the state's Tax Identification Number (TIN) if this information is incorrect or missing. **DO NOT USE HYPHENS.**

Step-by-Step Guide to Using eZ-Audit For Public Schools

Stub Audit Submission Continues:



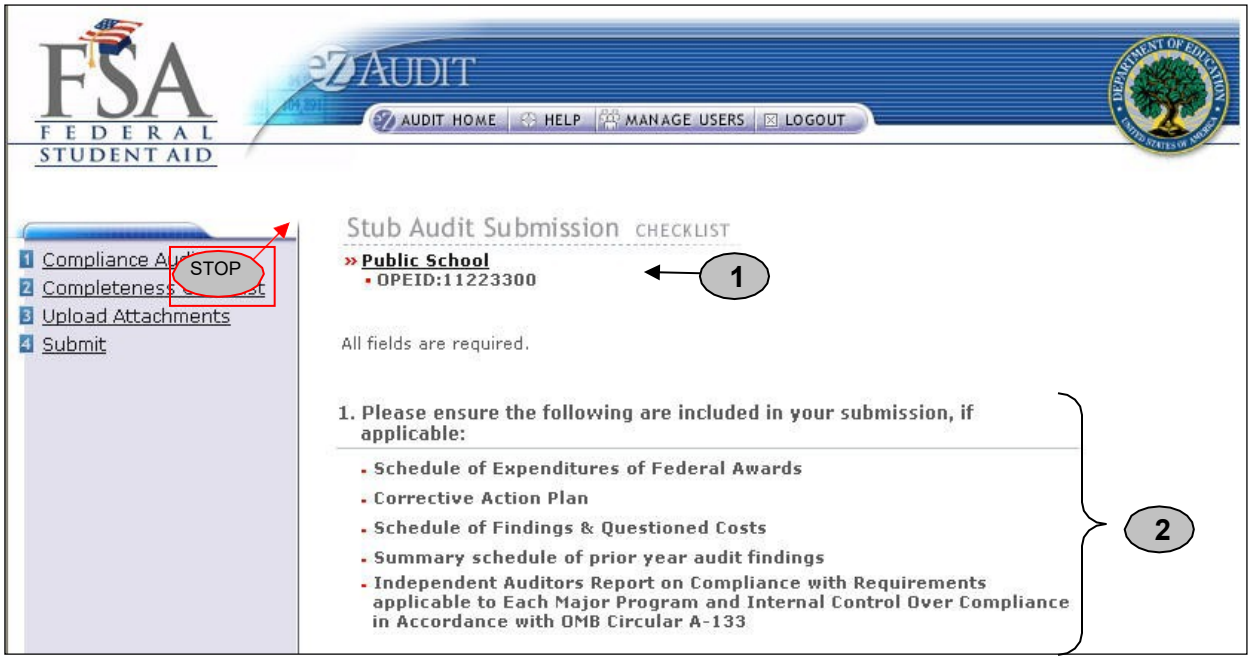
8. Indicate whether the Student Financial Aid Cluster was audited as a major program in the UNIFORM GUIDANCE audit. Refer to Section I – Summary of Auditor's Results in the Schedule of Findings and Questioned Costs of the annual UNIFORM GUIDANCE report. **Note**: If the answer to this question is **YES**, skip question 5. If the answer to this question is **NO**, answer question 5 and skip question 5.
9. If your UNIFORM GUIDANCE audit submission contains any findings related to the FSA Title IV programs (If the UNIFORM GUIDANCE report covers multiple institutions, this applies to all institutions covered) click **Yes.** Refer to the Scheduled of Findings and Questioned Costs included in the annual UNIFORM GUIDANCE submission; Section II – financial Statement Findings and Section III – Schedule of Federal Award Findings and QuestionedCosts.
10. Refer to Section I - Summary of Auditor's Results in the Schedule of Findings and Questioned Costs of the annual UNIFORM GUIDANCE report. **Note:** Only indicate the opinion type for Title IV programs if the SFA cluster was audited as a **major** program.
11. **IMPORTANT WARNING**: Click the **CANCEL** button to make changes/delete all entries since the last time you saved your work.

12. Click the **SAVE** button to ensure all entries are successfully stored by the system on this page.
13. Click the **SAVE and PROCEED** button to go to the Completeness Checklist. This is the next stage in the submission process.

Step-by-Step Guide to Using eZ-Audit For Public Schools

Stub Audit Submissions Completeness Checklist

If you successfully entered or saved the information inputted on the Financial Statements 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 institution'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:



1. Please confirm that the information displayed is correct.
2. Ensure all applicable documents are included with your audit report submission.

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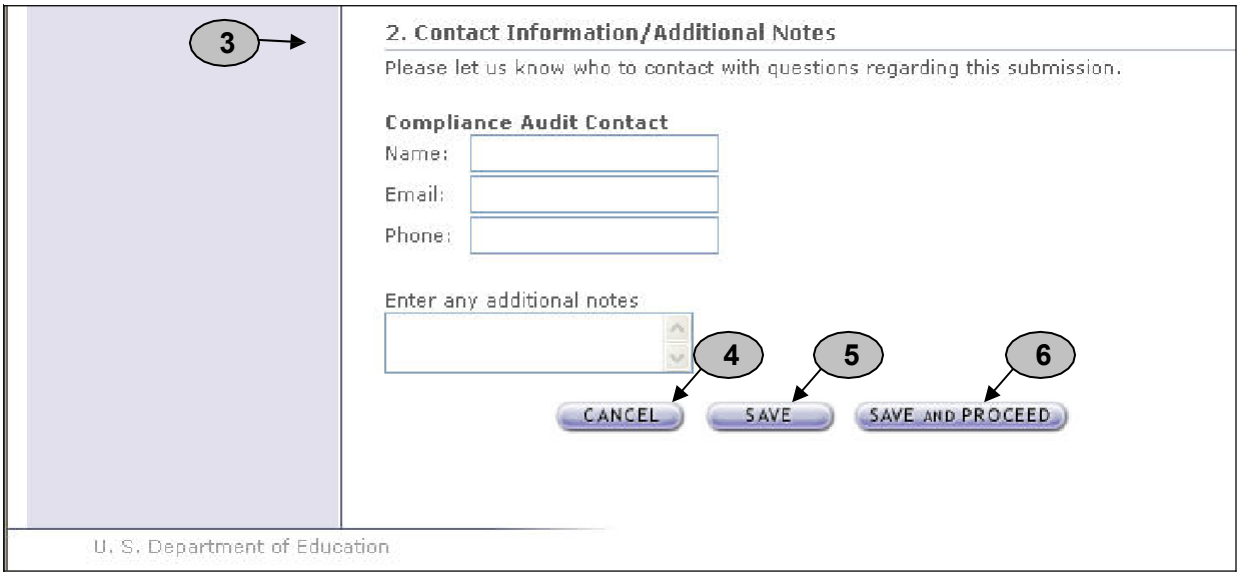
Completeness Checklist Continues:



3. Provide contact information (name, phone, email) of who should be contacted regarding submission and 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 take you to the Upload Attachment page.

NOTE

Signatures (scanned) are required on Independent Auditors Report, Independent Auditors Report on Compliance and on Internal Control Over Financial Reporting Based on an Audit of Financial Statements Performed in Accordance with Government Auditing Standards, Independent Auditors Report on Compliance with Requirements Applicable to Each Major Program and Internal Control Over Compliance in Accordance with UNIFORM GUIDANCE . Signatures created using a word processing application are not acceptable.

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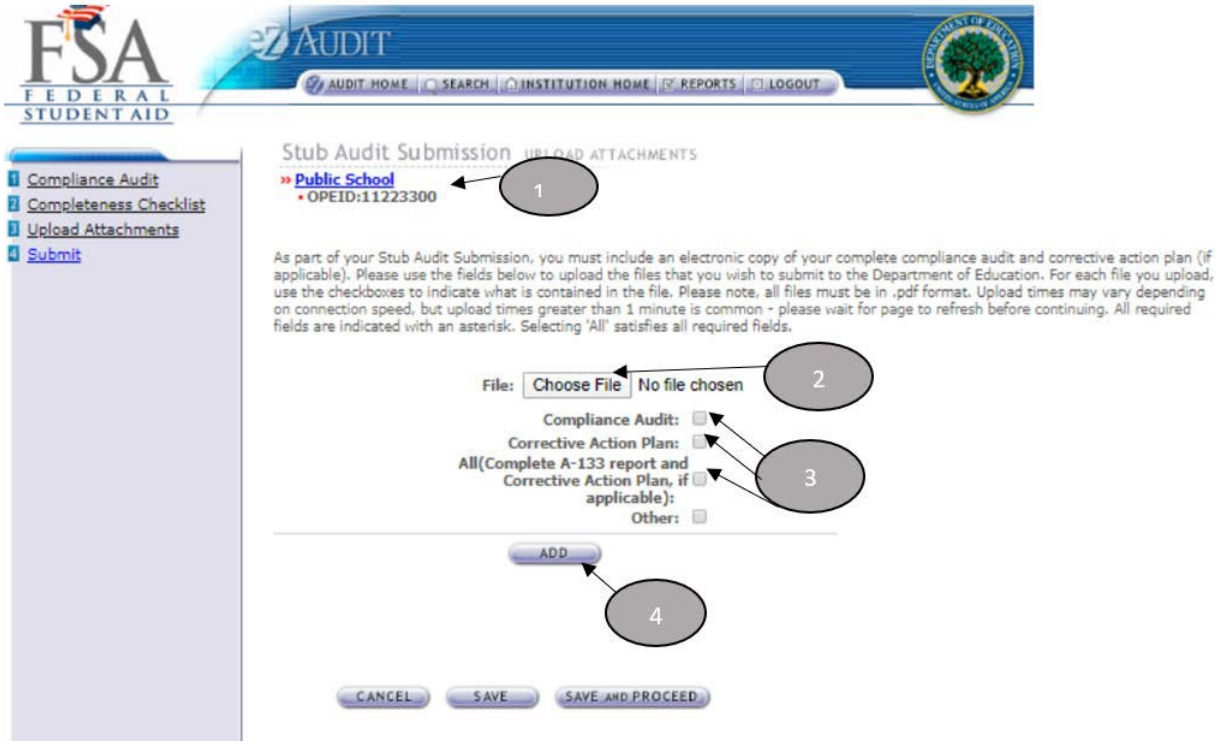
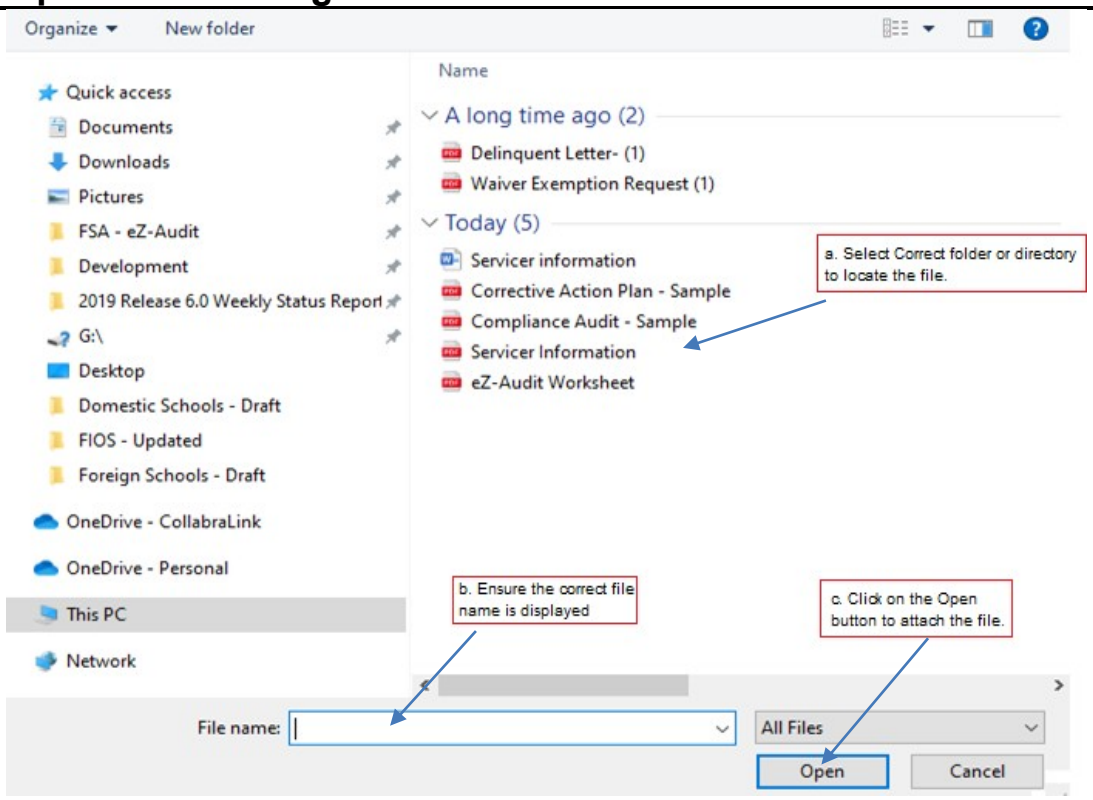
Stub Audit Submissions Upload Attachments

If you successfully entered or saved the information inputted on the Completeness Checklist page by clicking on the **SAVE and PROCEED** button, the screen below should appear. This page can also be reached by repeating the **LOGIN** step. This will take you to your institution'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 below should appear:



1. This should read the name of your institution and OPEID number. Confirm that this 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 Public Schools



3. Check all appropriate documents attached.
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 compliance audit submission.
5. Click the **CANCEL** button to erase 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 Stub Audit Submission-submit page.

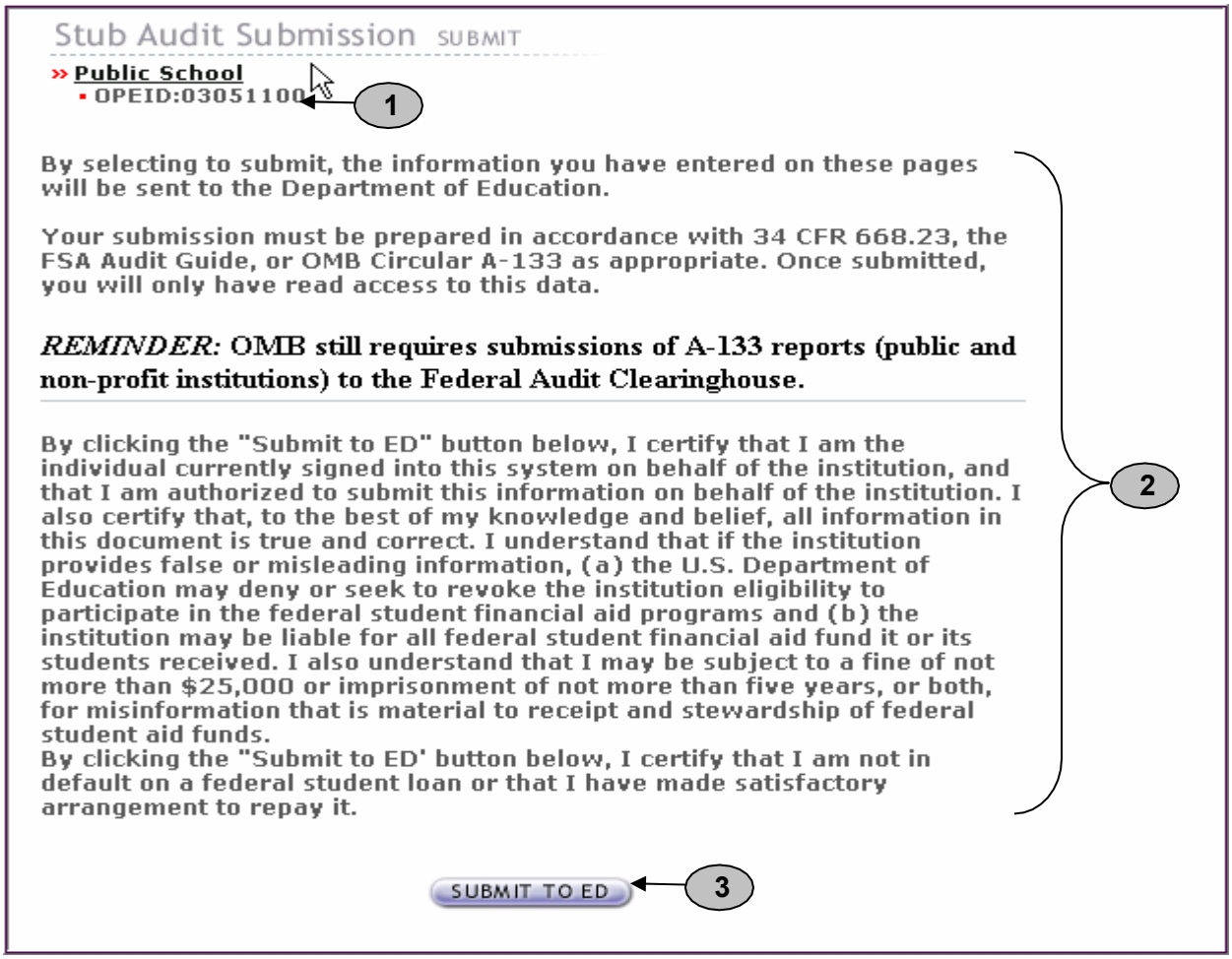
NOTE

As part of your stub audit submission, you must include an electronic copy of your audit and/or complete audited financial statements. Please note that all files must be in a non editable. PDF format and no personal information such as Social Security Numbers should be contained in attachments. Remember, you can attach additional information not required during this process. If you do attach additional information, please make a note in the "Notes" field on the Completeness Checklist page.

Step-by-Step Guide to Using eZ-Audit For Public Schools

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 institution'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". Click "Submit" from the menu. 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.

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4. The following confirmation of receipt will be displayed on your home page.

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

NOTE

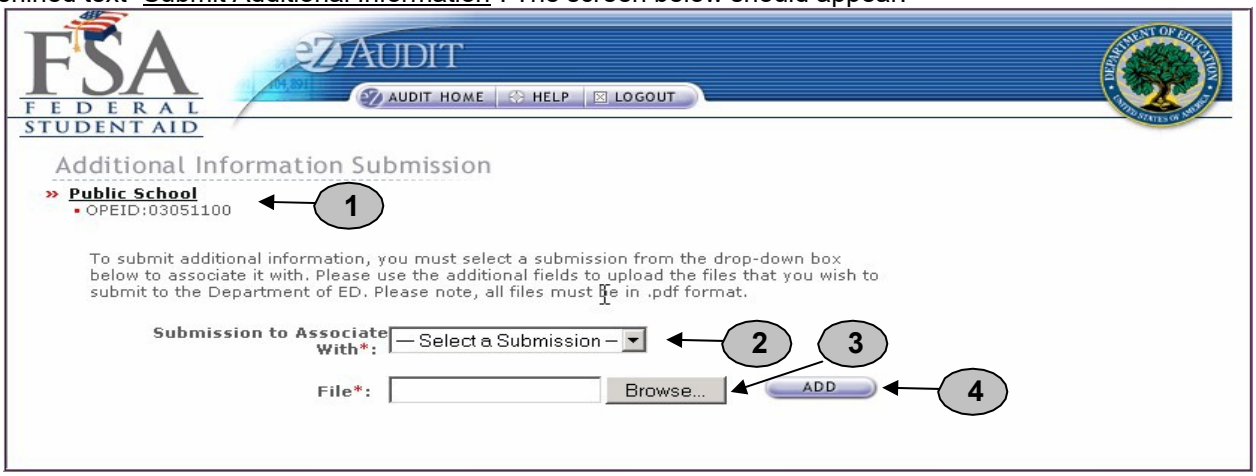
You will have read access only once submitted. Please note that only the financial statements and audit sections for the period audited should be completed and the Stub Audit must be attached.

Step-by-Step Guide to Using eZ-Audit For Public Schools

Additional Information

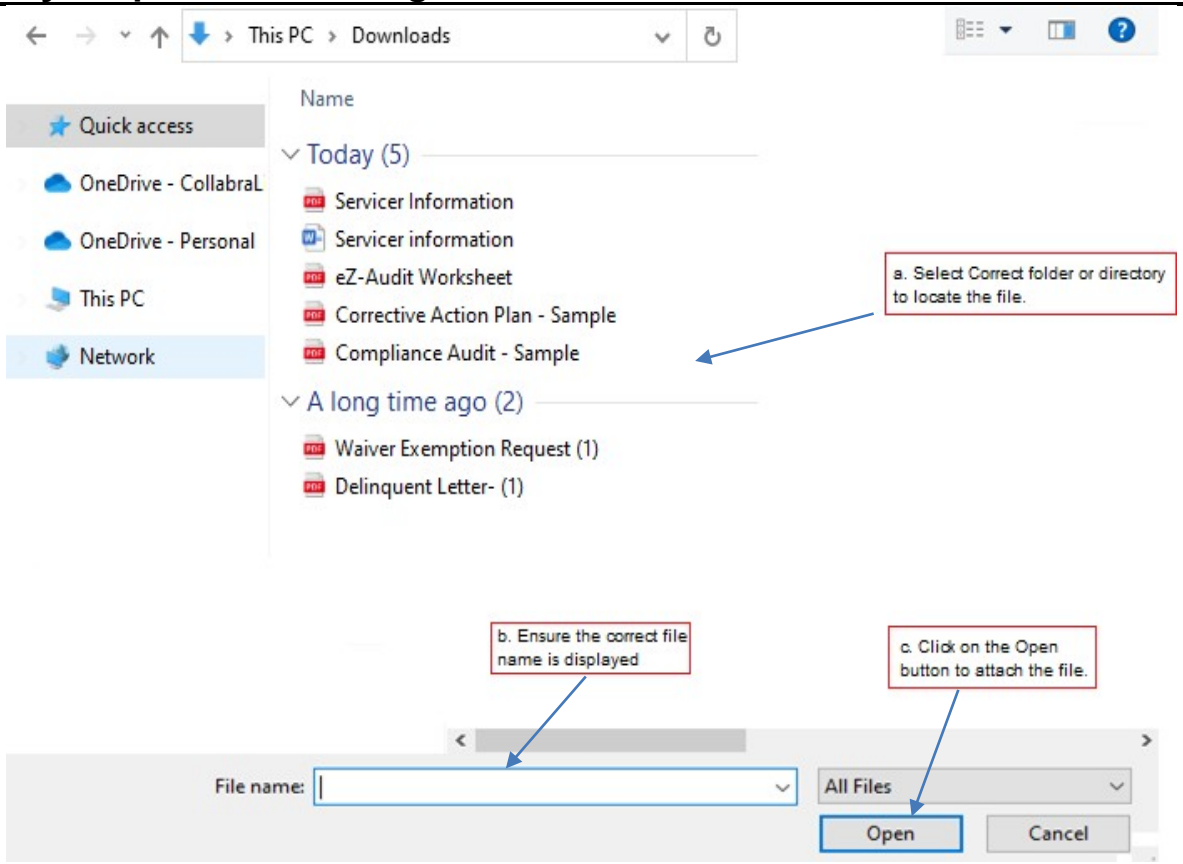
Additional Information Submission

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



1. Confirm the information displayed is correct.
2. Select submission to associate the additional information with. If the review is completed you cannot submit additional information.
3. Click on the **Browse** button to search for document to be attached. The screen below shouldappear:

Step-by-Step Guide to Using eZ-Audit For Public Schools



1. 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.

NOTE

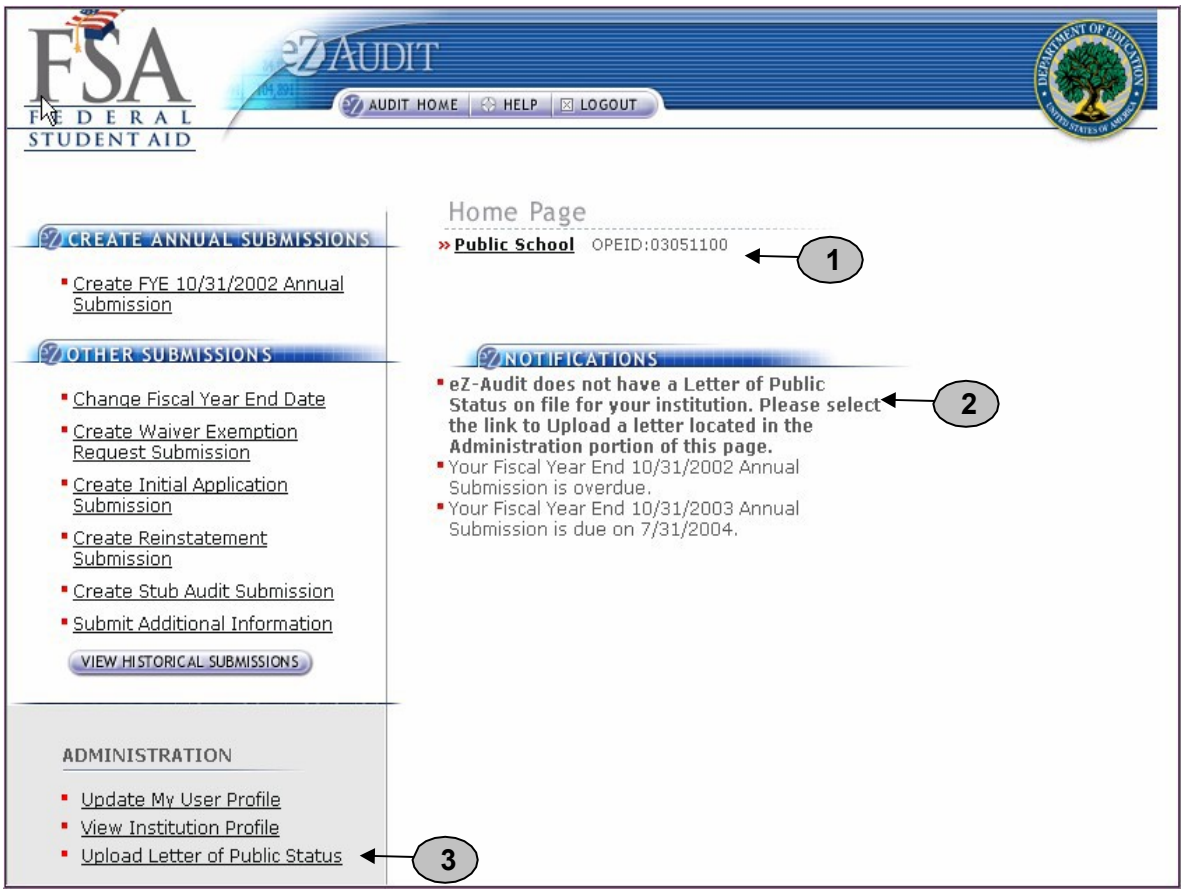
To submit additional information the submission must still be under FSA review.

Step-by-Step Guide to Using eZ-Audit For Public Schools

Letter of Public Status

Notifications

Letter of Public Status
This page can be reached by repeating the **LOGIN** step. This will take you to your institution's eZ-Audit homepage. On the bottom left hand side of the page, you will see a section "Administration". Click on the underlined text "Upload Letter of Public Status". The screen below should appear. A Letter of Public Status is a letter from an officer of a state or other government entity confirming that the institution is a Public Institution.

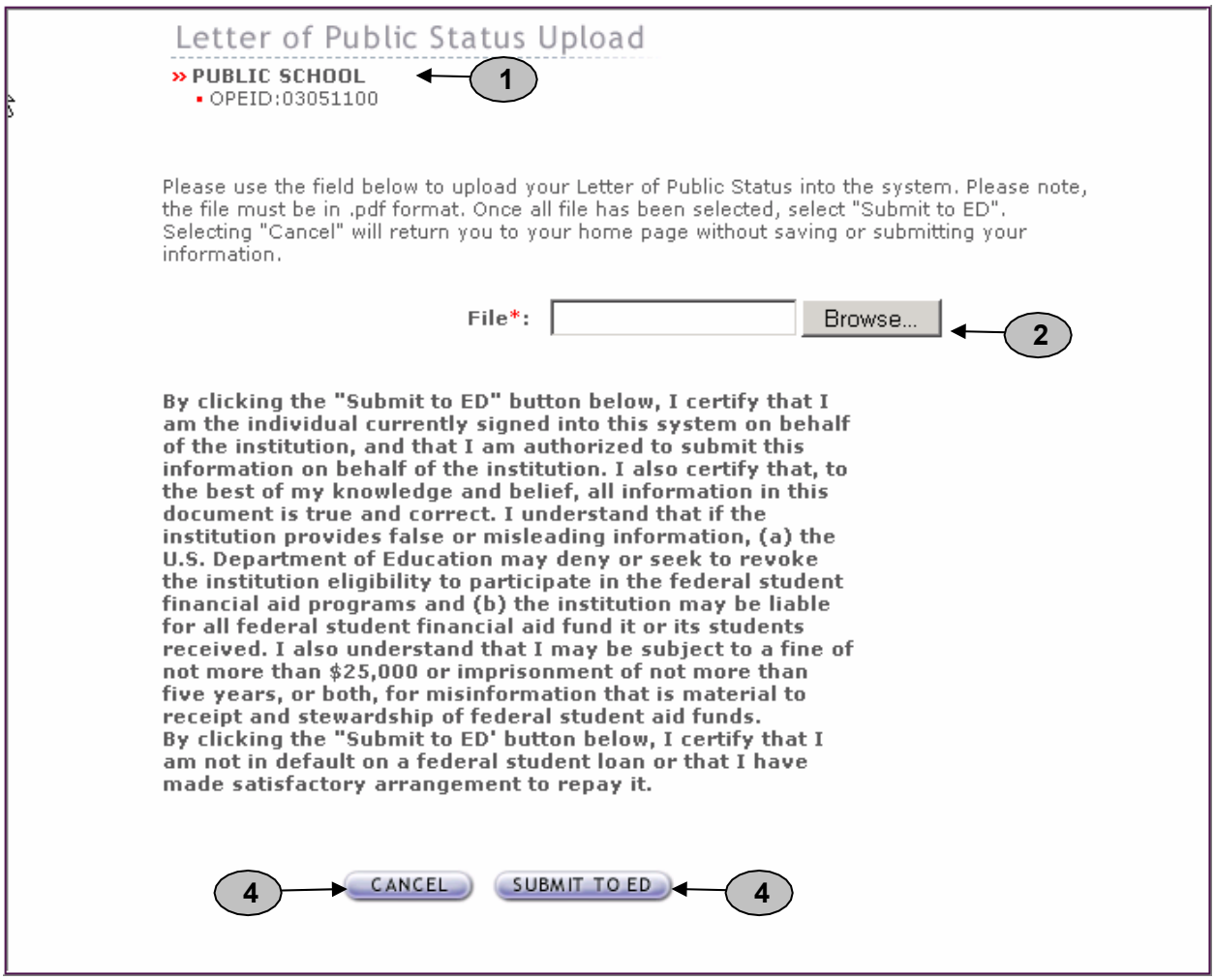


1. Please confirm that the information displayed is correct.
2. If the Department does not have a Letter of Public Status on file for your institution you will receive this notification on your Home Page.
3. Please click the Upload Letter of Public Status link. The screen on the next page should appear.

Step-by-Step Guide to Using eZ-Audit For Public Schools

NOTE

Please note that this notification will remain on your Home Page until a Letter of Public Status is submitted to the Department. For more information regarding the Letter of Public Status please refer to 34 CFR 668.171 (c). Please note this is a one-time submission only.
Letter of Public Status continued:



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

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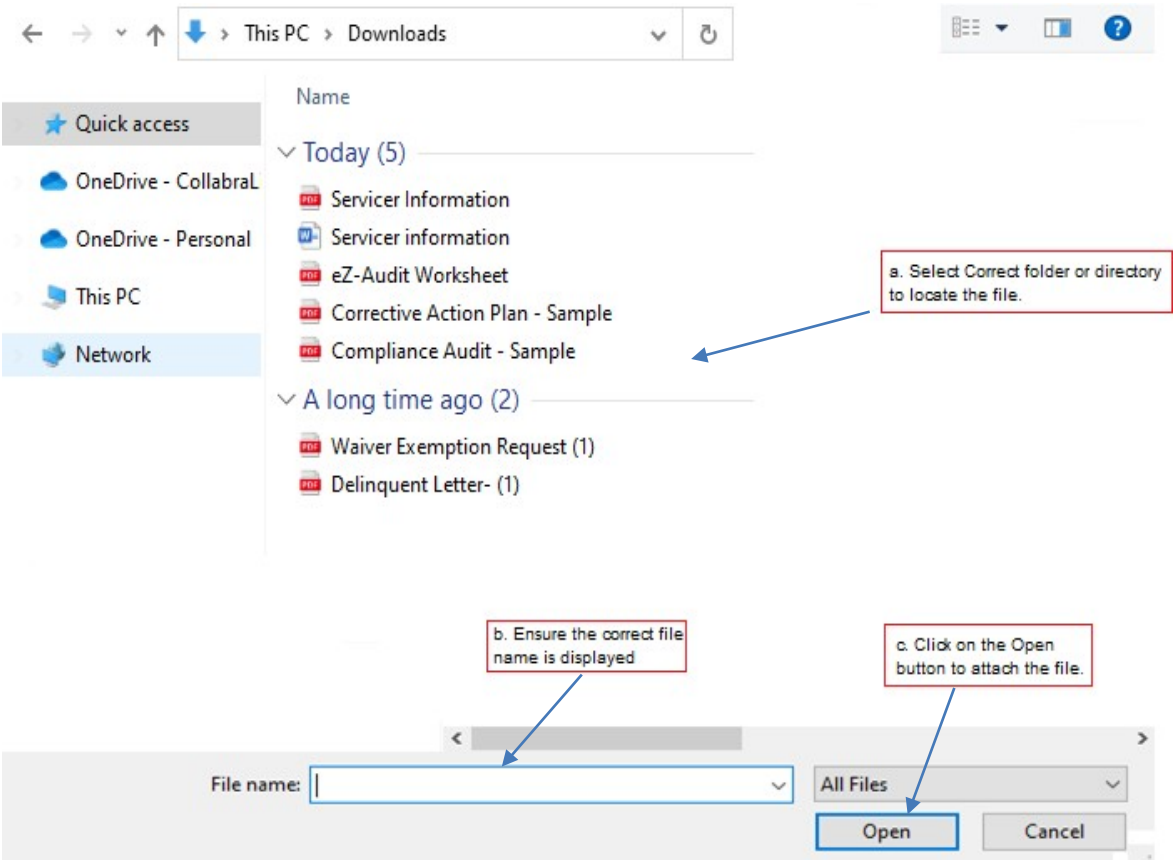

3. After the document(s) has been attached and the file type identified by checking the box, click the "**ADD"** button to ensure that the document(s) has been successfully attached.
4. Click the cancel button to delete entry.
5. Click the "Submit To ED" button to submit your Letter of Public Status to the Department. This will then take you to your institution'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.

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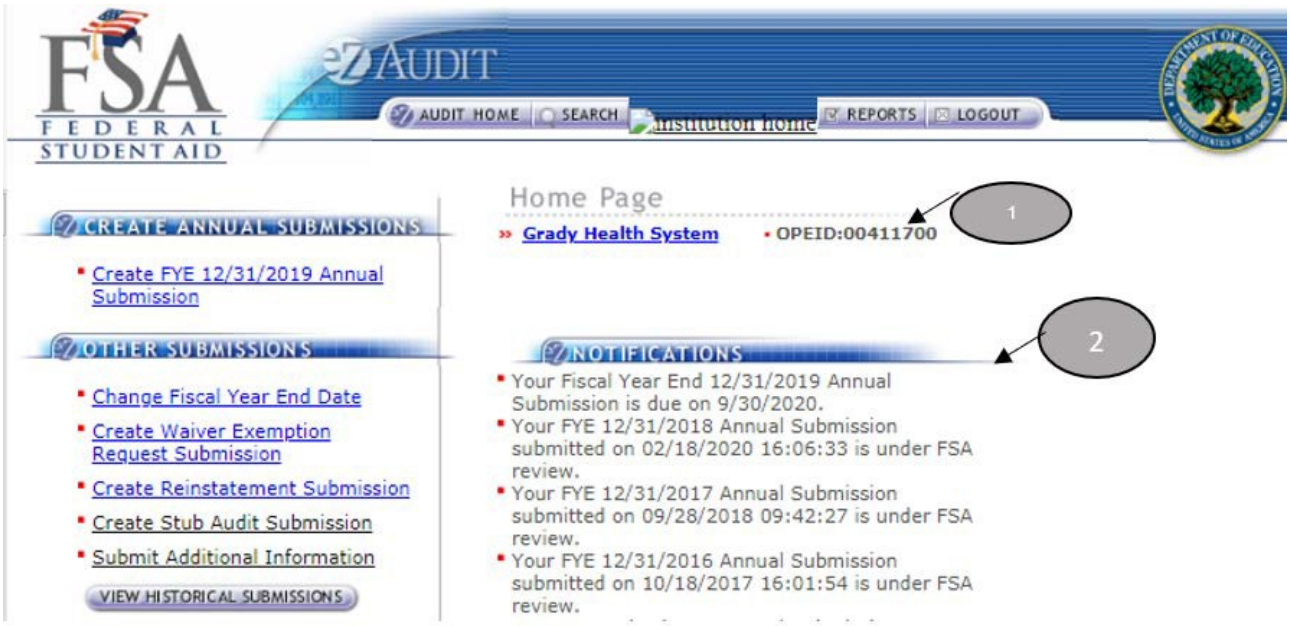
Notifications

At any time, you will be able to view your institution'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 institution's eZ-Audit homepage and the screen below should appear:



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

NOTE

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

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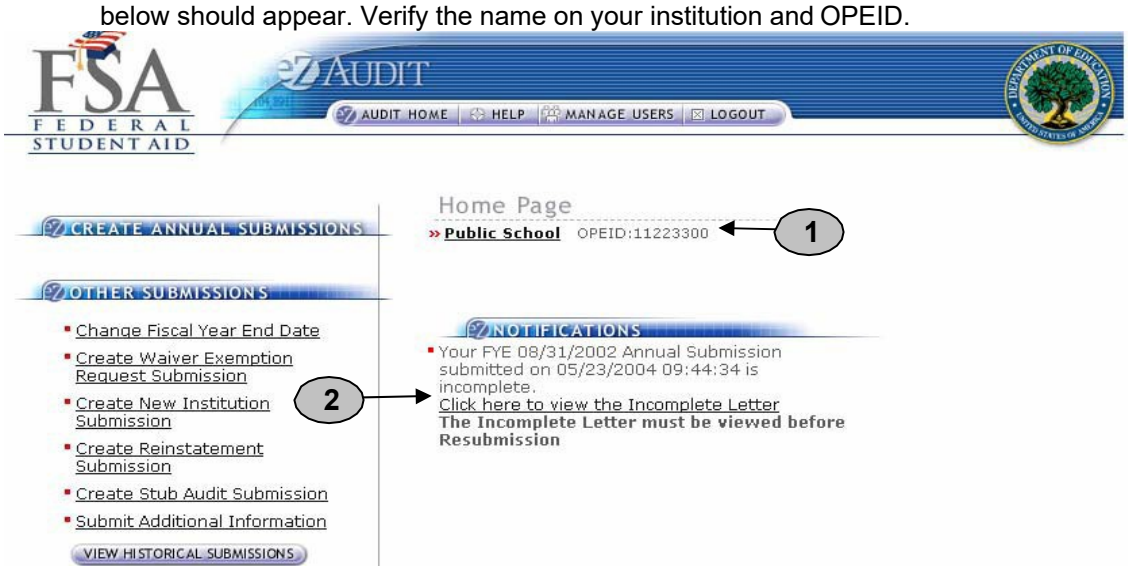
Resubmission

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 Institution's President and Financial Aid Administrator.

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

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

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



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**.

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UNITED STATES DEPARTMENT OF EDUCATION
Federal Student Aid - Schools Channel
Case Management and Oversight
Data Management and Analysis
eZ-Audit

05/23/2004 09:47:06
OPE ID: 11223300

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

Dear Dr Proprietary:

We have received your Annual submission submitted on 05/23/2004 09:44:34 for the fiscal year ended 08/31/2002. We have determined that your submission is incomplete for the following reason(s):

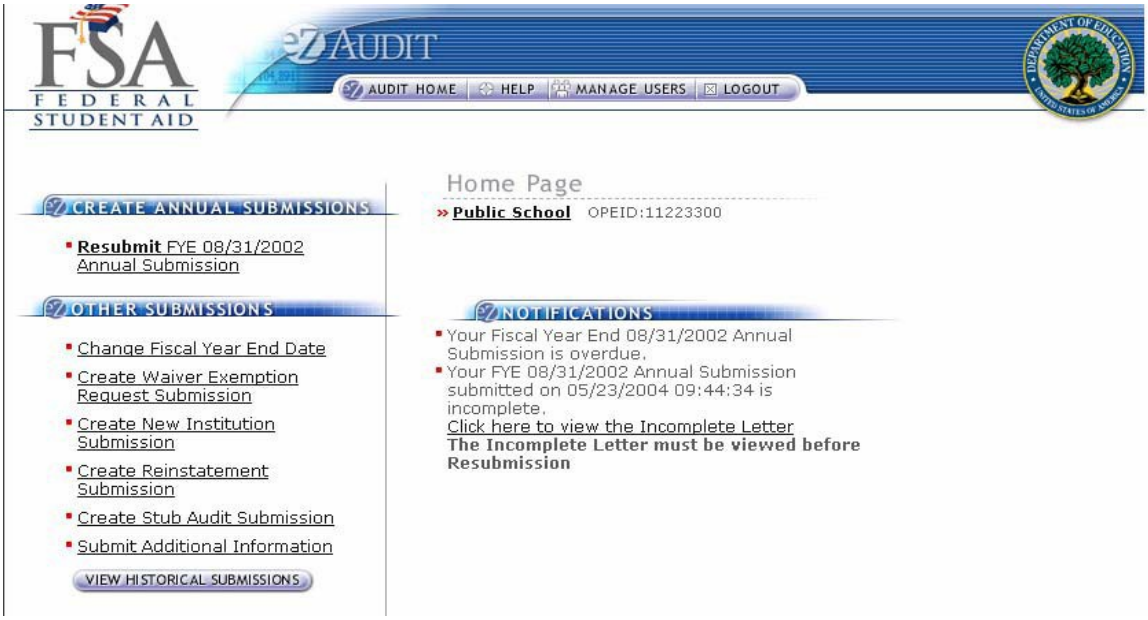
Compliance Audit

- - Compliance Audit is not viewable.

Please make the necessary revisions to your Annual submission and resubmit within 15 calendar days via eZ-Audit at www.ezaudit.ed.gov. If you have any questions, please contact the eZ-Audit Help Desk at 877-263-0780.

The Institution should note that until an acceptable submission is received it is not in compliance with Section 668.23 of the Student Assistance General Provision regulations. Failure to comply with Section 668.23 could result in penalties noted in Subpart G - Fine, Limitation, Suspension, and Termination Proceedings of the regulations. Your immediate attention to this matter is greatly appreciated.

3. **Return to your home page**.



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.

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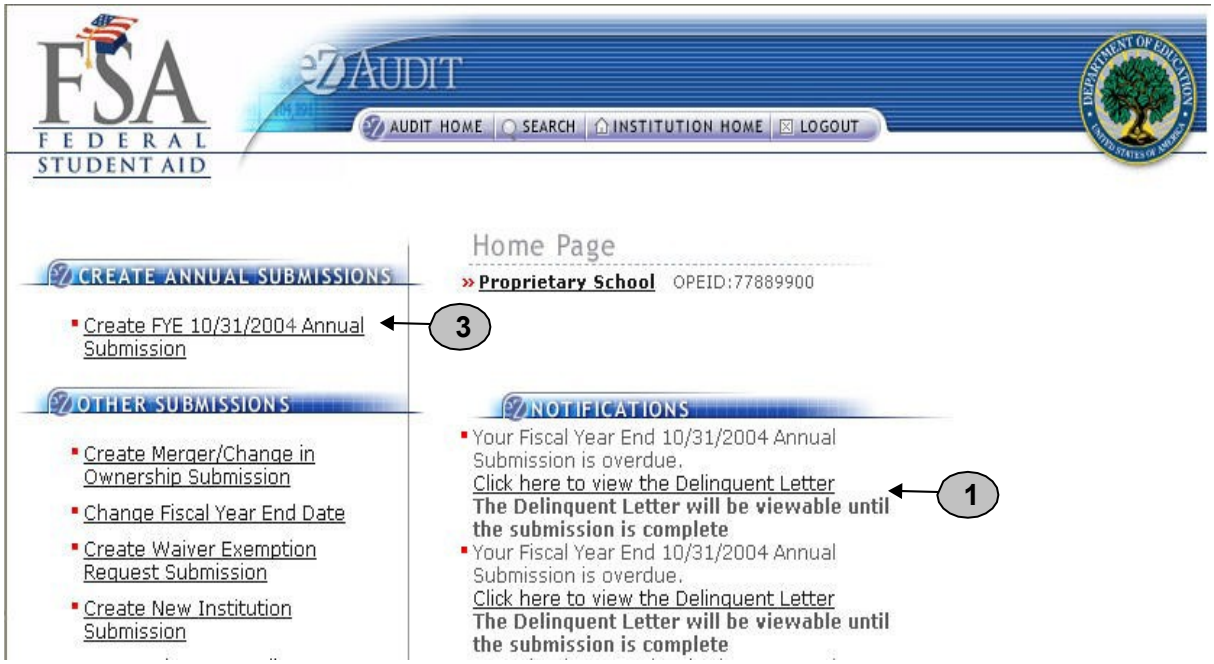
Delinquent Letter

If your submission is not received by its due date, a Delinquent Email will be sent to the Institution's President, CFO, and Institution's Financial Aid Administrator. The email will indicate that a Delinquent Letter has been posted to the Notifications section of your Institution'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 you have submitted the submission.



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

Step-by-Step Guide to Using eZ-Audit For Public Schools

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

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

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

Dear President:

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

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

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

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

Thank you in advance for your cooperation.

Sincerely

Ti Baker
eZ-Audit Operations Manager
Integrated Partner Management Division

2. Close or minimize the browser to return to your home page.

3. Click on the **Create Annual Submission** link to submit your annual submission.

Reminder Email

A Reminder email will be sent 60 and/or 30 days prior the submission due date. The Reminder Email will be sent to the Institution's President, CFO, Financial Aid Administrator and eZ-Audit Institution Administrator to remind them that the Compliance Audit and/or Financial Statement due date is approaching.