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 Foreign Public Schools

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Step-by-Step Guide to Using eZ-Audit for Foreign 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 entity simply signs on to eZ-Audit, enters summary audit and financial data directly from your report into a web form, attaches an electronic version of the report, and hits the submit button. Your submission through eZ-Audit will allow for more rapid and efficient processing by the Department of Education (**ED**) and therefore provide you with immediate feedback.

How does eZ-Audit work?

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

How does eZ-Audit Benefit You?

- You will receive instant acknowledgement of receipt – no more lost reports!
- You will no longer need to make any copies or send reports in the mail to ED.
- Processing times will be greatly reduced, thus allowing for quicker remediation of findings.
- Web forms will contain pre-populated fields.
- There are no new reporting requirements – data entry will be limited to the same data already contained in the reports.
- The time spent submitting these forms should be less than 1 hour.
- Status of your submissions will be accessible to you online at any time.
- 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 entity 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

What role should my auditor play in eZ-Audit?

You may choose to ask your auditor to serve in all roles listed above. It your auditor is not selected as a

Data Entry/Submitter User; you may request that your auditor electronically sends you your financial statements and compliance audits in the non-editable pdf format using Adobe Acrobat. Please note that the pdf files containing your financial statements and compliance audits will be included as attachments to your eZ-Audit submission – all signature pages in the financial statements and compliance audits, as well as the entity's corrective action plan, must be scanned.

eZ-Audit Technical Requirements

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

NOTE

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

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

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

School Group Submissions

ED considers a school group as a collection of schools whereby a single school within the group (what ED calls the submitting institution (Locator) or a designated representative (such as a State Auditor) submits a single consolidated financial statement and compliance audit together to ED.

The submitting institution (Locator) must be located in the same state/region as the Corporate Headquarters. If there are no schools located in the same state/region, the lowest OPEID in the group will continue to be the submitting institution (Locator).

Foreign Schools that submit consolidated (covering more than one OPEID) financial statements and multiple compliance audits will complete the Compliance Audit Information, Checklist and Upload pages for each (OPEID) school in the group. The submitting institution (Locator) can submit for all OPEIDs or the member school can complete and submit their own information. The member school must be registered (See Registration Instructions).

School Group Compliance Audit Information Page:

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» ABC University
- OPEID: 12345678

All fields are required.

Our Records currently indicate that this group contains the following OPEIDs:

***If this information is not correct please contact the EZAudit Help Desk at fsaezaudit@ed.gov**

SCHOOL GROUP DATA:

OPEID	SCHOOL NAME	CITY	STATE	LOCATOR
23456789	The School	Merrillville	IN	Y
34567891	The School	Kentwood	MI	

NOTE

When more than one OPEID is covered ED considers this to be a school group. 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 you have additional questions regarding school groups, please send an email to fsaezaudit@ed.gov or contact the eZ-Audit Help Desk at 1-877-263-0780.

Step-by-Step Guide to Using eZ-Audit for Foreign 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.

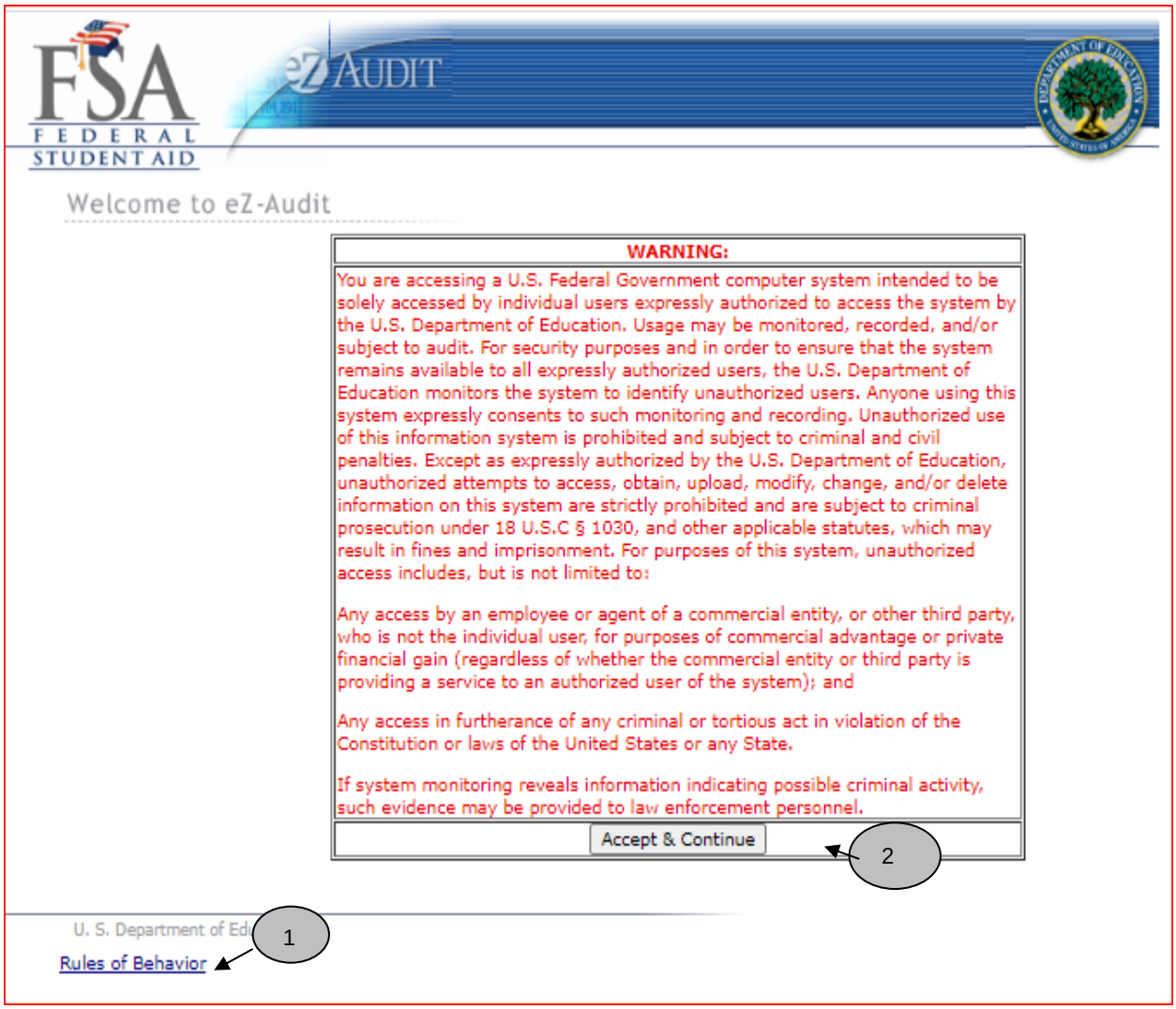
- **If you wish to be reinstated to participate in Title IV program(s).**
  - Please note that an Application for Approval to Participate in Federal Student Aid Programs (https://eligcert.ed.gov) should be filed at the time of your submission.

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 Foreign Public Schools



Step-by-Step Guide to Using eZ-Audit for Foreign 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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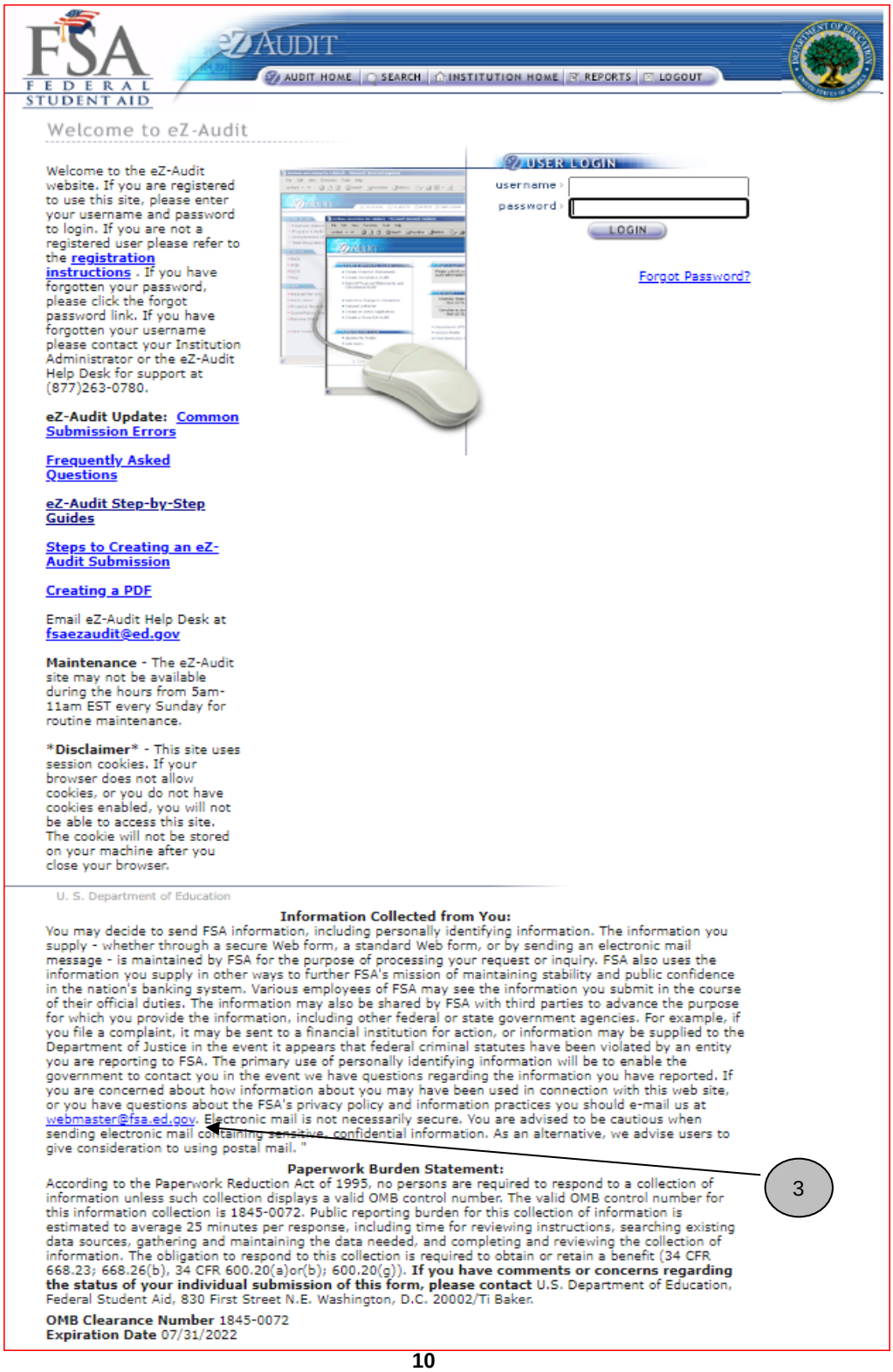


FSA FEDERAL STUDENT AID

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. "

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

3

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

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.

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?

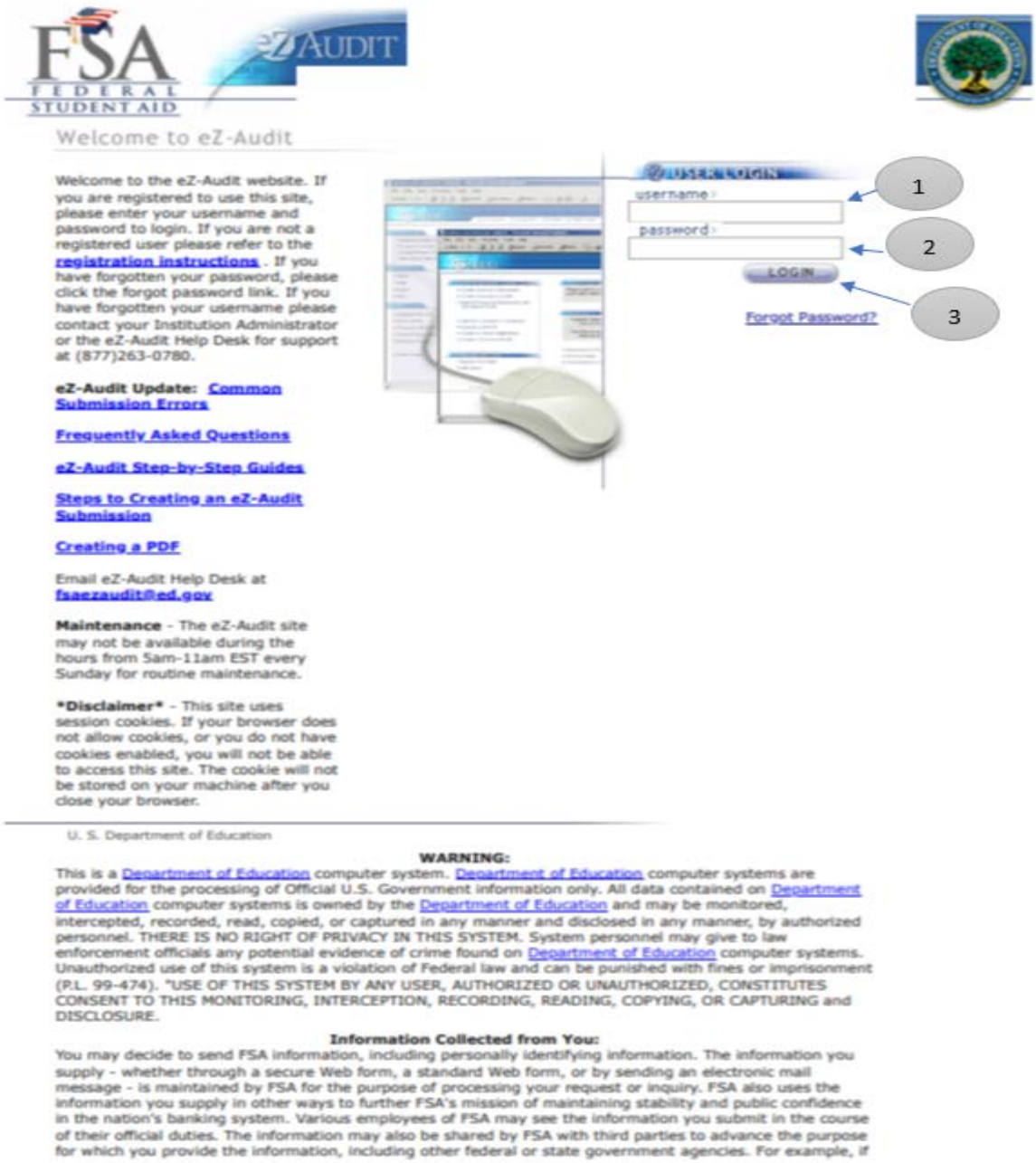
To change your Institution Administrator a new registration letter, following registration instructions, must be submitted. The new Institution Administrator will receive a username and password within 48 hours of receipt.

Step-by-Step Guide to Using eZ-Audit for Foreign 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 Foreign 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 have an existing user logging in for the first time, you will be presented with the challenge questions and answers page where you will select the questions and answer them accordingly.**

New User Login

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

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?

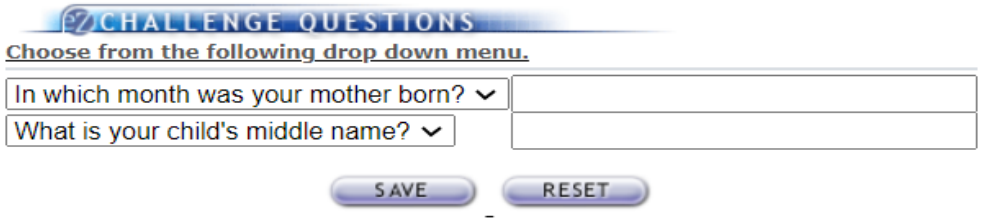
2. Type your answer to the question you have selected.

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.



1. 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.
2. Click the **RESET** button to cancel entries and begin again.

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:

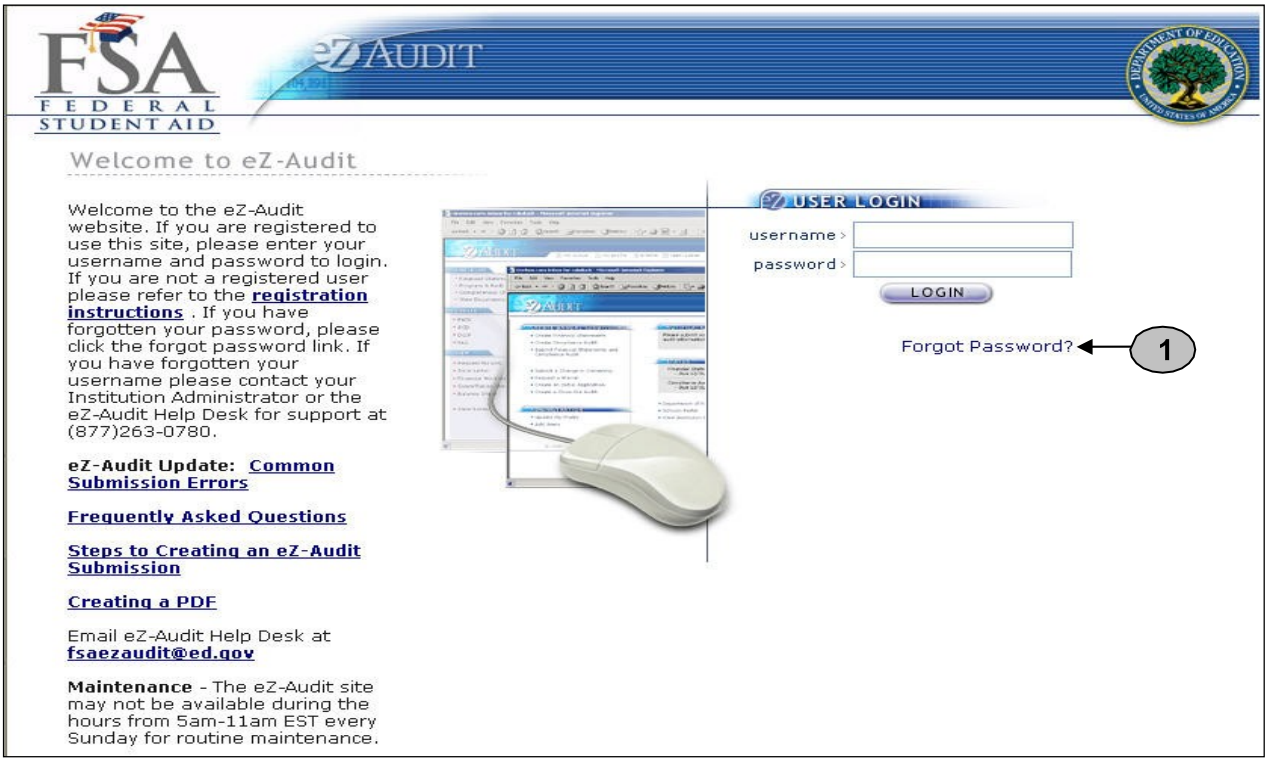
1. Type in your new password.
2. Re-type in your new password.

NOTE

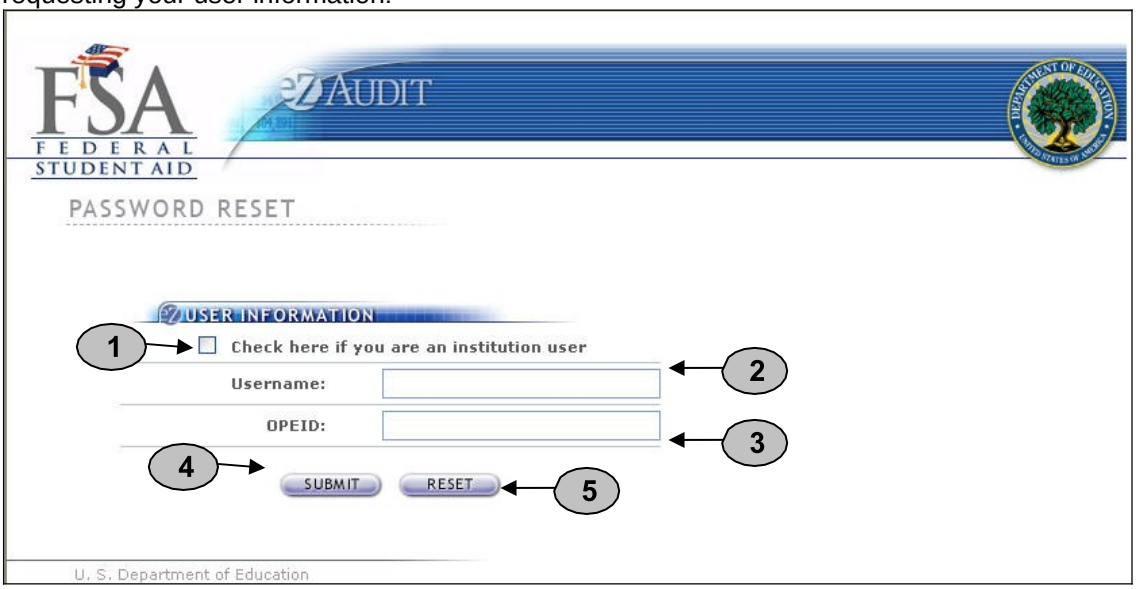
The password must be 12-40 characters in length and must include uppercase, lowercase letters and numeric values. Each password shall contain each of the following four types of characters: English uppercase letters (A-Z). English lowercase letters (a-z). Westernized Arabic numerals (0-9). Non-alphanumeric 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.

Forgot Password

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



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.

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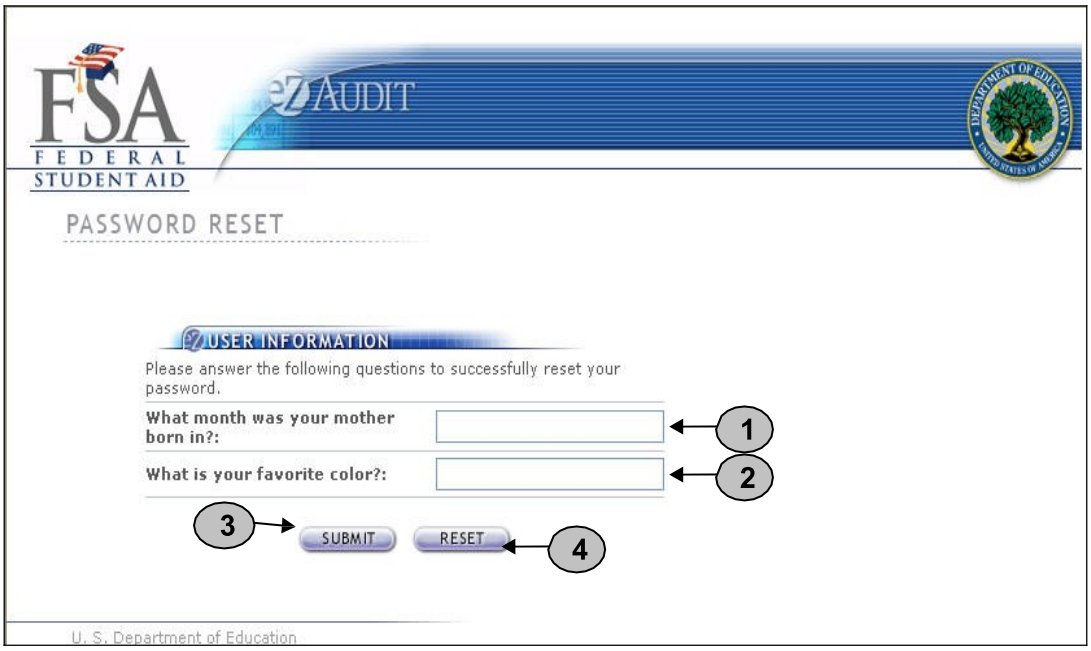
Challenge Questions

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



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.

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:

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.

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 Foreign 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:

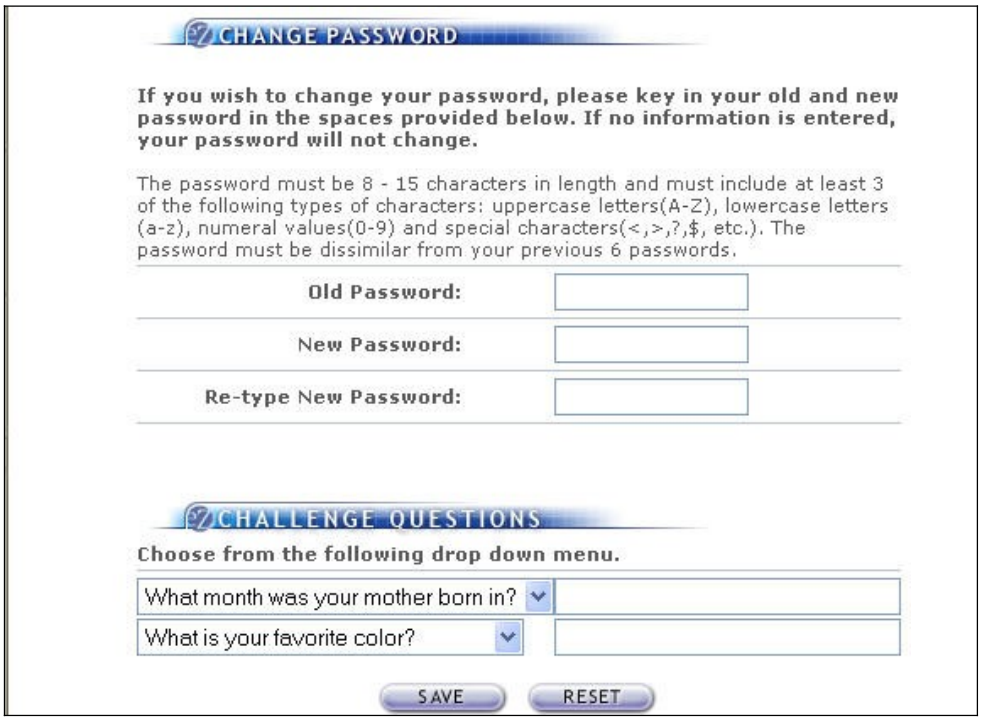
1. Click on the underlined text **"<u>Update My User profile</u>"** located on the lower left-hand side of the screen. This will take you to the Update My Profile page shown on the next page.

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 Foreign Public Schools

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



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:

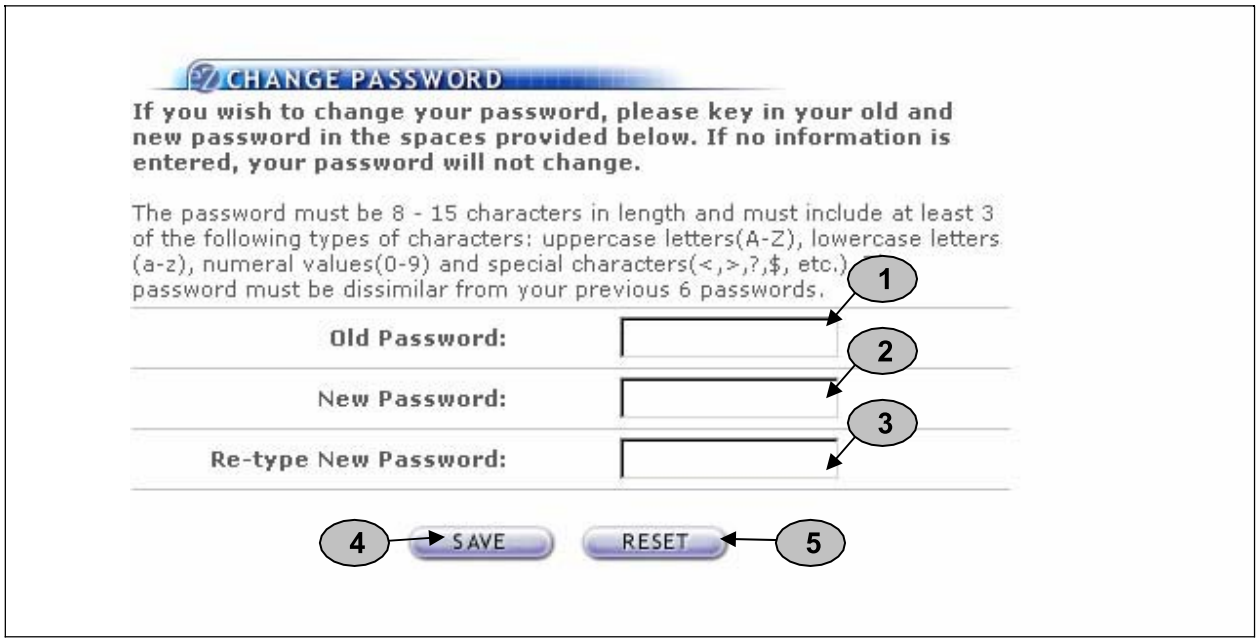
1. Select a question from the first drop down list.
2. Select a question from the second drop down list.
3. Enter your answer to the first question you have selected.
4. Enter your answer to the second question you have selected.
5. Click the **SAVE** button to ensure all changes are successfully captured 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.

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 8-15 characters in length and must include uppercase, lowercase letters and numeric 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 Help desk at 1-877-263-0780.

Step-by-Step Guide to Using eZ-Audit for Foreign Public Schools

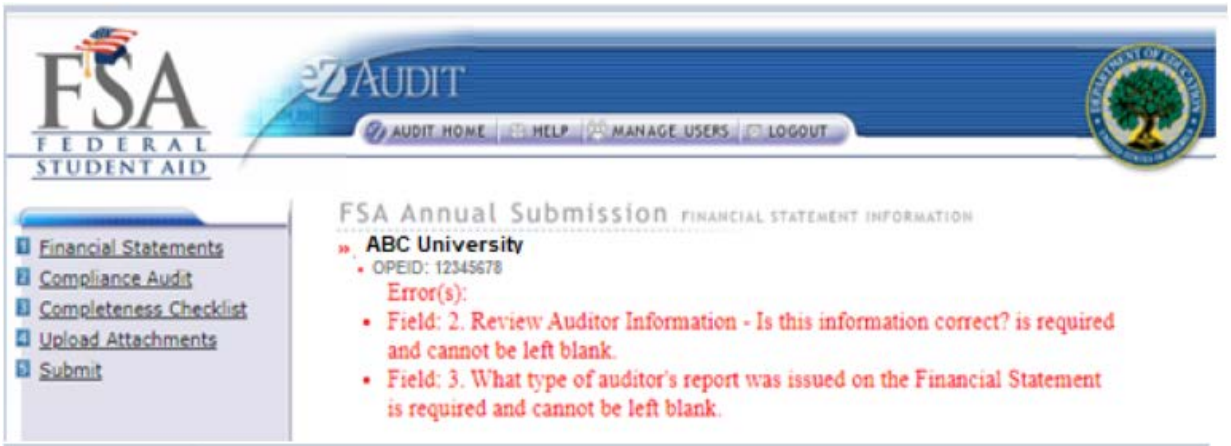
Navigation

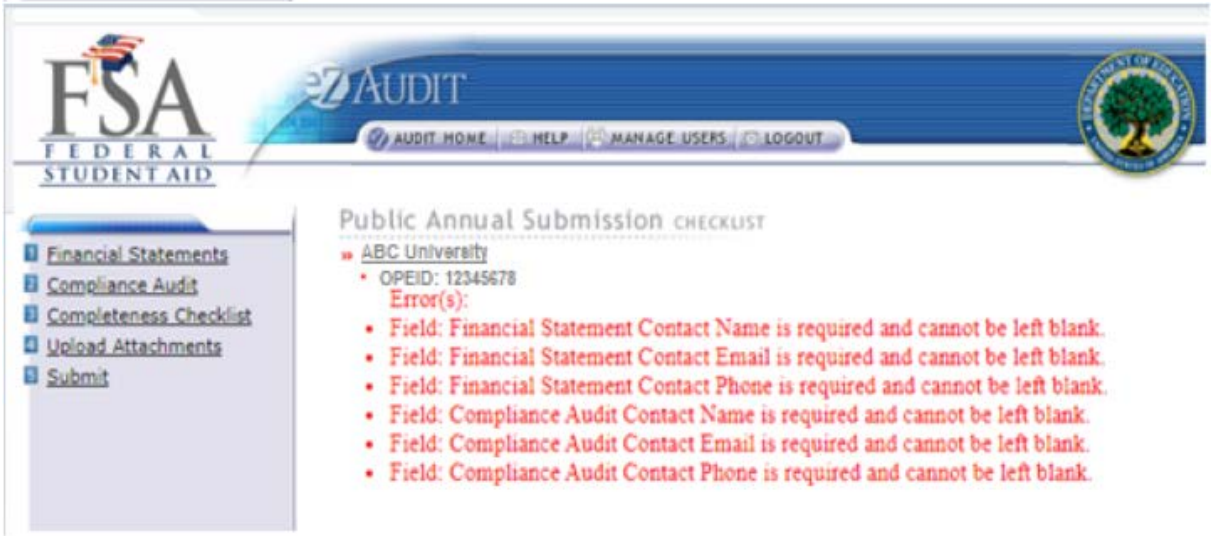
To move from field to field in the eZ-Audit system, simply press the **Tab** button on your computer. This takes you from one field to the next.

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.

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.

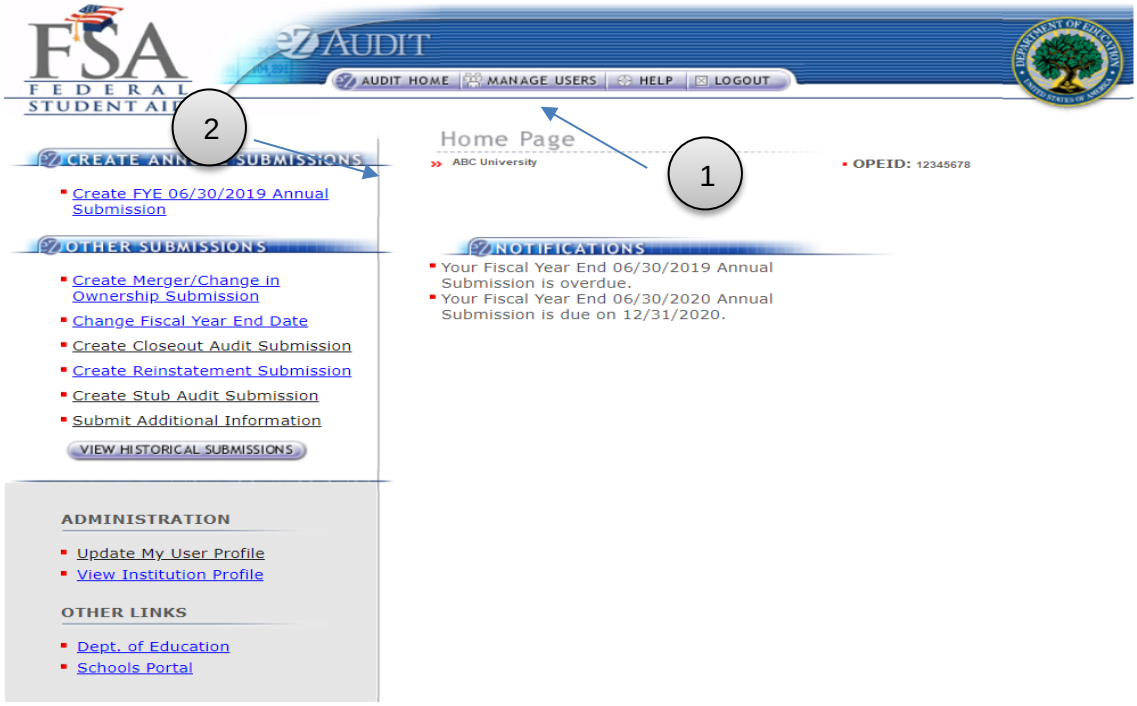
Manage Users

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:



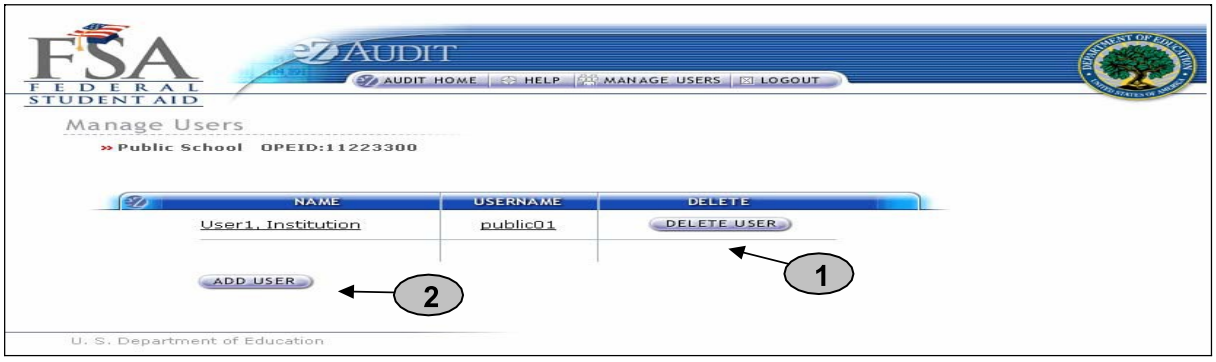
1. The **MANAGE USERS** button should be displayed if you have administrator's rights to this system. Click on it to perform any of the manage users' tasks

such as adding or deleting a user. The screen on the next page should appear.

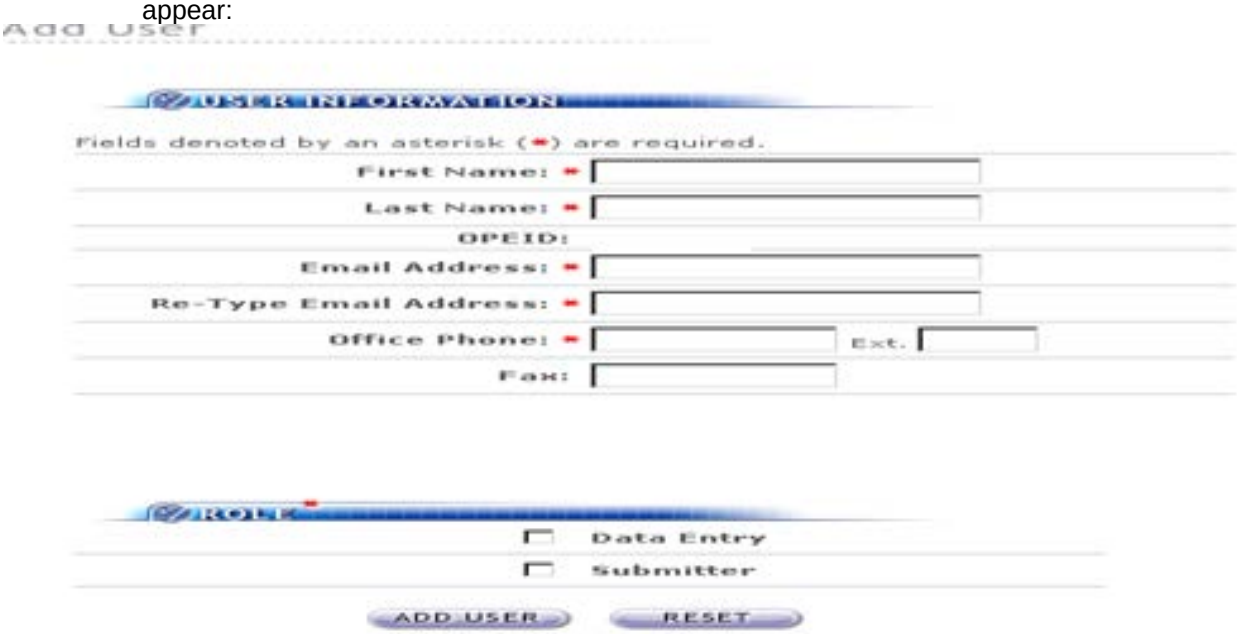
2. This should read your institution's **name and OPEID number**. Confirm that this is correct.

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.

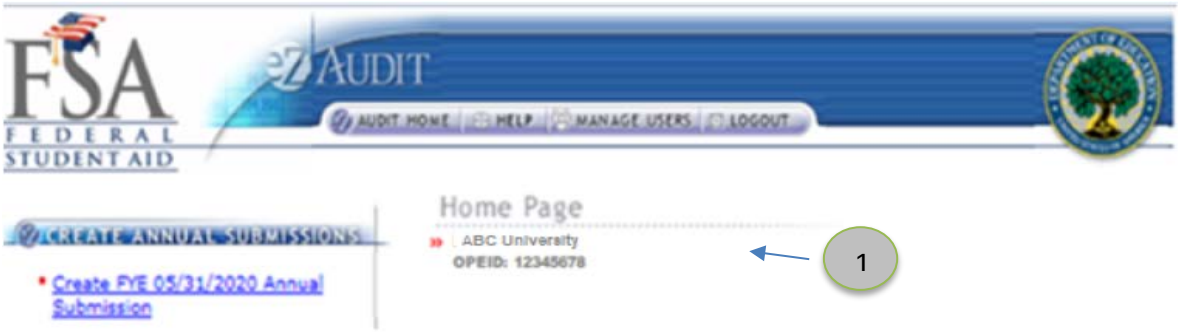
NOTE

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.

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.



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

NOTE

Each Institution Profile can be viewed from Home page and any submission Page when clicked on the Institution Name.
Changes to the Institution's Profile can only be made via the eAPP. 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 at1-877-263-0780.

Step-by-Step Guide to Using eZ-Audit for Foreign Public Schools

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.

1. To view a historical submission, click on the type of submission link.

Annual Submission

Funding Gateway Question

The user will be asked about the type of funding before proceeding to the corresponding submission**.**

Based on DL Student Account Statement (SAS) Disbursement Detail on Demand Report from COD web, identify your funding total for the fiscal year.

a. <u>Foreign Public Funding Received $0 (No Funding)</u>

- When the user hovers on **$0 (No Funding radio button)** to the initial gateway question, the system will display the following as a **hover** message before the user selects the radio button.

  "You are required to submit No Title IV Financial Statements (home country) for FYE mm/dd/yyyy and Compliance Audit Report is not required"

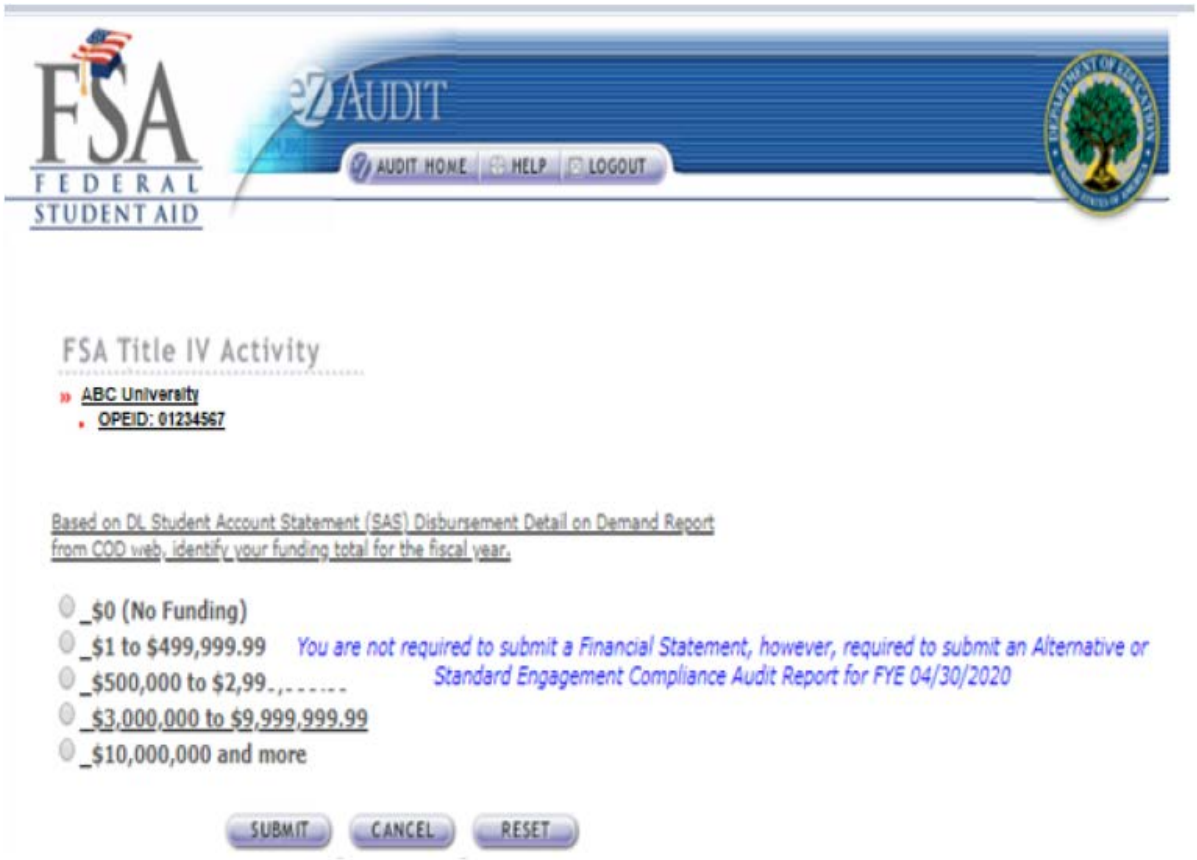
- When the user selects the radio button and hits submit button, the system should navigate the user to the ***No*** **Title IV submission page. (Please see reference to Non-Title IV Submission)**

b. <u>Foreign Public Funding Received<500,000($1-$499,999.99)</u>

<u>- Financial Statements (Non-Exception)</u>
<u>- Compliance Audit (Alternative or Standard Engagement CA Report)</u>

- When the user hovers over $1-$499,999.99 to the initial gateway question, and if their previous (most recent) submission was **NOT** a ***New Institution submission***, then the system will display the following as a hover message before the user selects the radio button.

*"You are **Not** required to submit a financial statement, however, required to submit an Alternative or Standard Engagement Compliance Audit Report for FYE mm/dd/yyyy"*



- When the user selects the radio button and hits submit button, the system will navigate the user to submit Annual Compliance Audit Report and upon submission, system will display the following message on school's homepage.

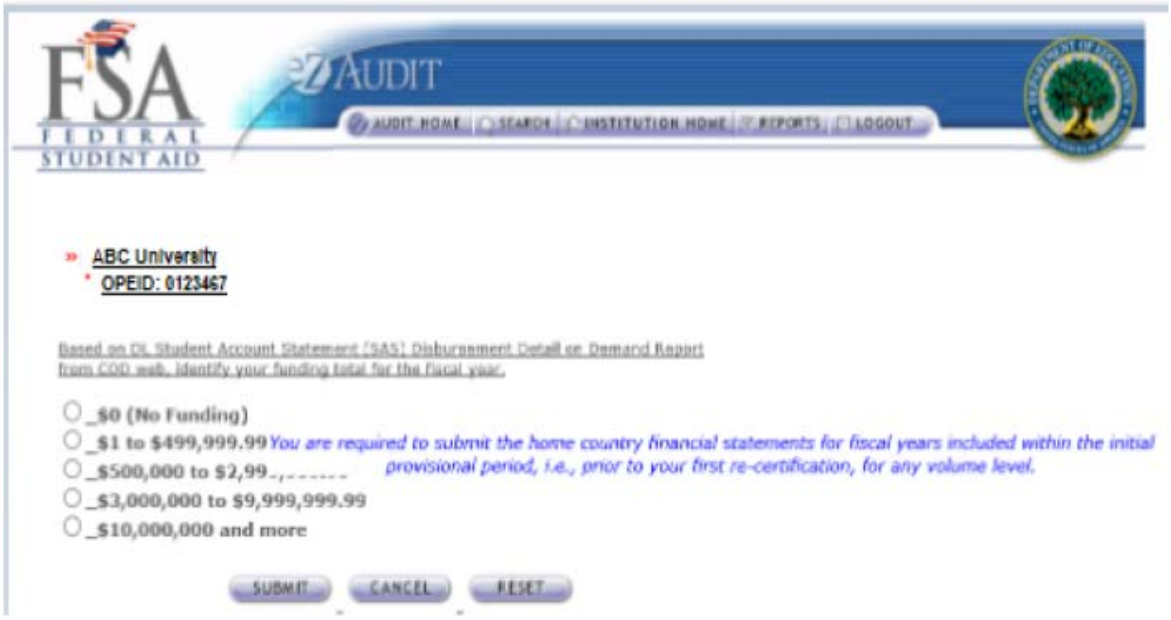
  "Your Compliance Audit Report has been received by the Department of Education for FYE mm/dd/yyyy and No submission of Financial Statement is required"

c. Foreign Public - Funding Received<500,000 ($1 to $499,999.99)

- Financial Statements (Exception)
- Compliance Audit (Alternative or Standard Engagement CA Report)

- When the user hovers over the funding level <500,000 ($1 to $499,999.99) to the initial gateway question, and if their previous (most recent) submission submitted was a completed ***New Institution submission***, then the system will display the following as a hover message before the user selects the radio button.

  "You are required to submit the home country financial statements for fiscal years included within the initial provisional period, i.e., prior to your first re-certification, for any volume level and an Alternative or Standard Engagement Compliance Audit Report for FYE mm/dd/yyyy."



- When the user selects the radio button and hits submit button, the system should navigate the user to the annual submission page. **(Please see reference to Financial and Compliance Submission)**

d. <u>Foreign Public - Funding Received between 500K<3M (2.999,999)</u>

- When the user hovers over the funding level 500K<3M (2.999,999) to the initial gateway question, then the system should display the following as a hover message before the user selects the radio button.

  "You are required to submit the home country financial statement and a Standard Engagement Compliance Audit Report"

- When the user selects the radio button and hits submit button, the system will navigate to the applicable Financial Statements and Compliance Audit Report submission page. (Please see reference to Financial and Compliance Submission)

e. Foreign Public - Funding Received between 3M<10M (9,999,999)

When the user selects the funding level 3M to<10M to the initial gateway question, the system will display the following questions for FINANCIAL STATEMENTS:

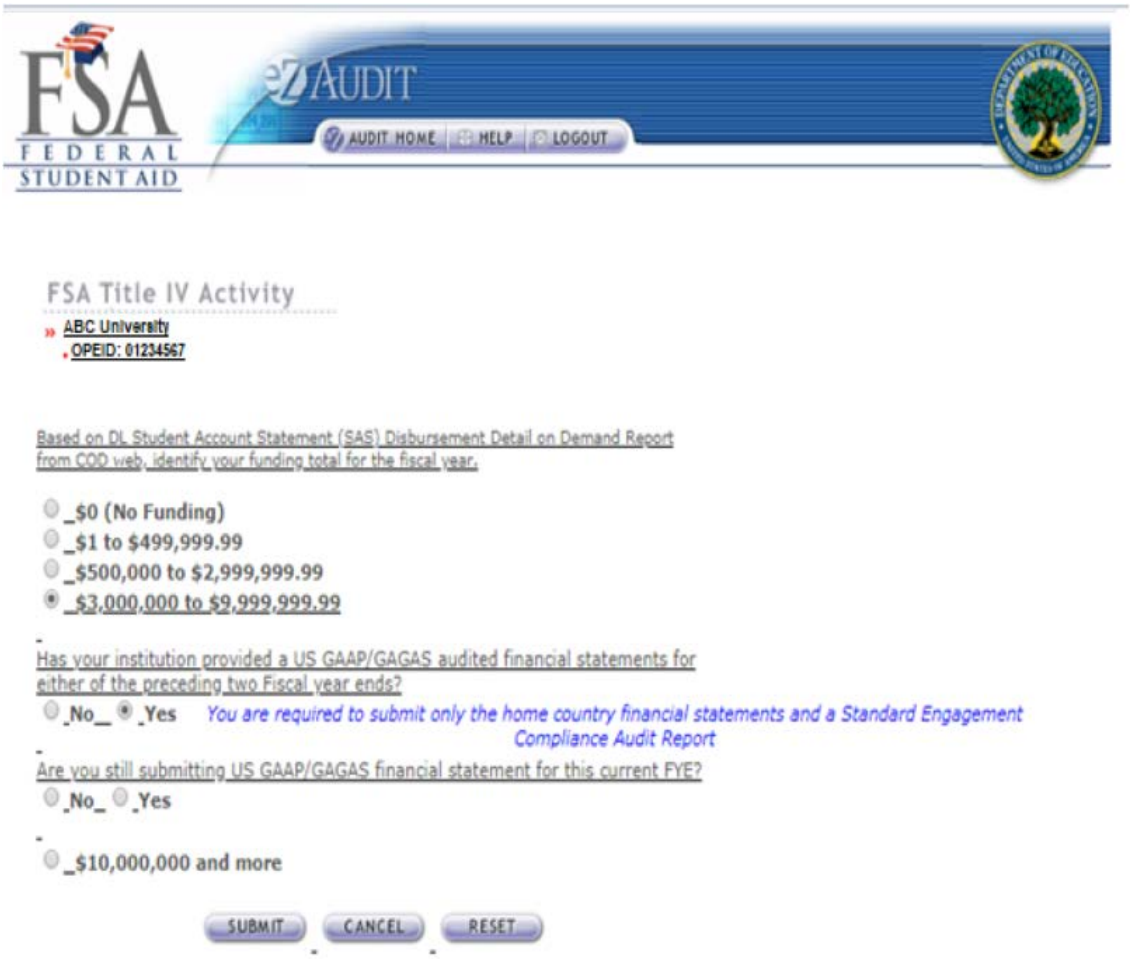
- "Has your institution provided a US GAAP/GAGAS audited financial statements for either of the preceding two Fiscal year ends?" **Yes/** No (radio buttons)

- If the user hovers over **No**, the system will display the following as a hover message before the user selects the radio button.

  "You are required to submit financial statements (US GAAP/GAGAS and home country) and a Standard Engagement Compliance Audit Report"

- When the user selects the radio button and hits submit button, the system will navigate to the applicable Financial Statements and Compliance Audit submission page. **(Please see reference to Financial and Compliance Submission)**

- If the user hovers over **Yes**, the system will display the following as a hover message before the user selects the radio button.
  "You are required to submit only the home country financial statements and a Standard Engagement Compliance Audit Report.
- If the user selects the radio button **Yes**, the system should display the following question: *"Are you still submitting US GAAP/GAGAS financial statement for this current FYE?"* **Yes/ No** (radio buttons)



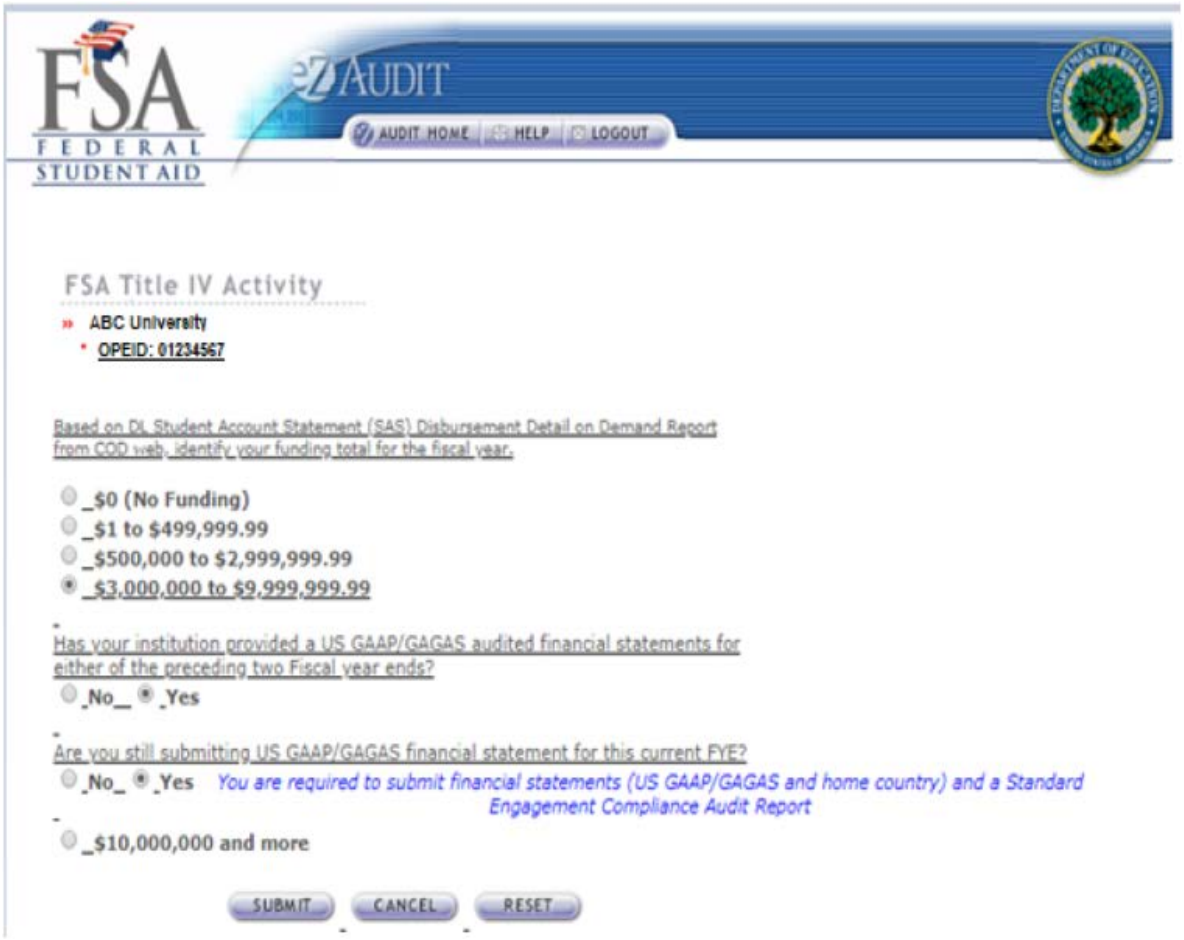
- If the user hovers over No, the system will hover over the following message before the user selects the radio button

  "You are required to submit only the home country financial statement and a Standard Engagement Compliance Audit Report"

- When the user selects the radio button and hits submit button, the system will navigate to the applicable Financial Statements and Compliance Audit submission page. **(Please see reference to Financial and Compliance Submission)**

  - If the user hovers over **Yes**, the system will hover over the following message before the user selects the submit button

    "You are required to submit financial statements (US GAAP/GAGAS and home country) and a Standard Engagement Compliance Audit Report."



- When the user selects Yes and hits the submit button, the system should navigate to the applicable Financial Statements and Compliance Audit submission page. **(Please see reference to Financial and Compliance Submission)**

f. <u>Foreign Public - Funding Received >10M</u>

- When the user hovers over the funding level >10M to the initial gateway question, the system should display the following as a hover message before the user selects the radio button.

"You are required to submit the home country financial statement, US GAAP/GAGAS and a Standard Engagement Compliance Audit Report"

- When the user selects the radio button and hits submit button, the system should navigate to the applicable Financial Statements and Compliance Audit submission page. **(Please see reference to Financial and Compliance Submission)**

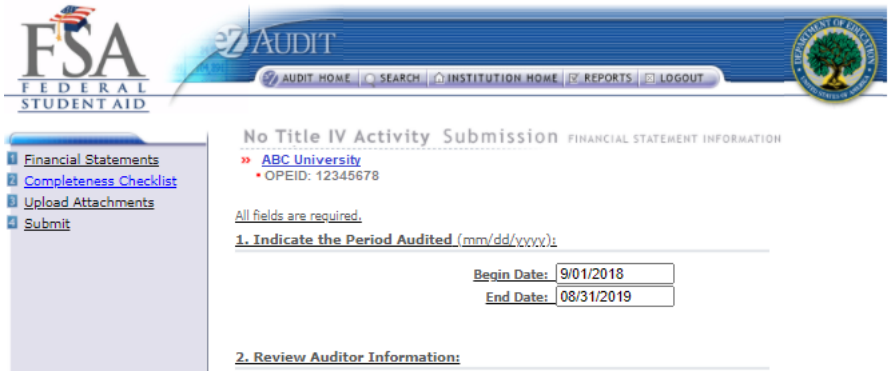
FSA Annual Submission Financial Statements

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". Please check to see that the FYE on the link matches the FYE of the submission that you wish to create. If it does not, please contact the help desk at 1-877-263-0780 so that this problem can be rectified. Please note that submissions created on the incorrect link cannot be accepted. If the link for the correct FYE appears, click on the underlined text "Create FYE Annual Submission" and then the screen below should appear with your institution's name:

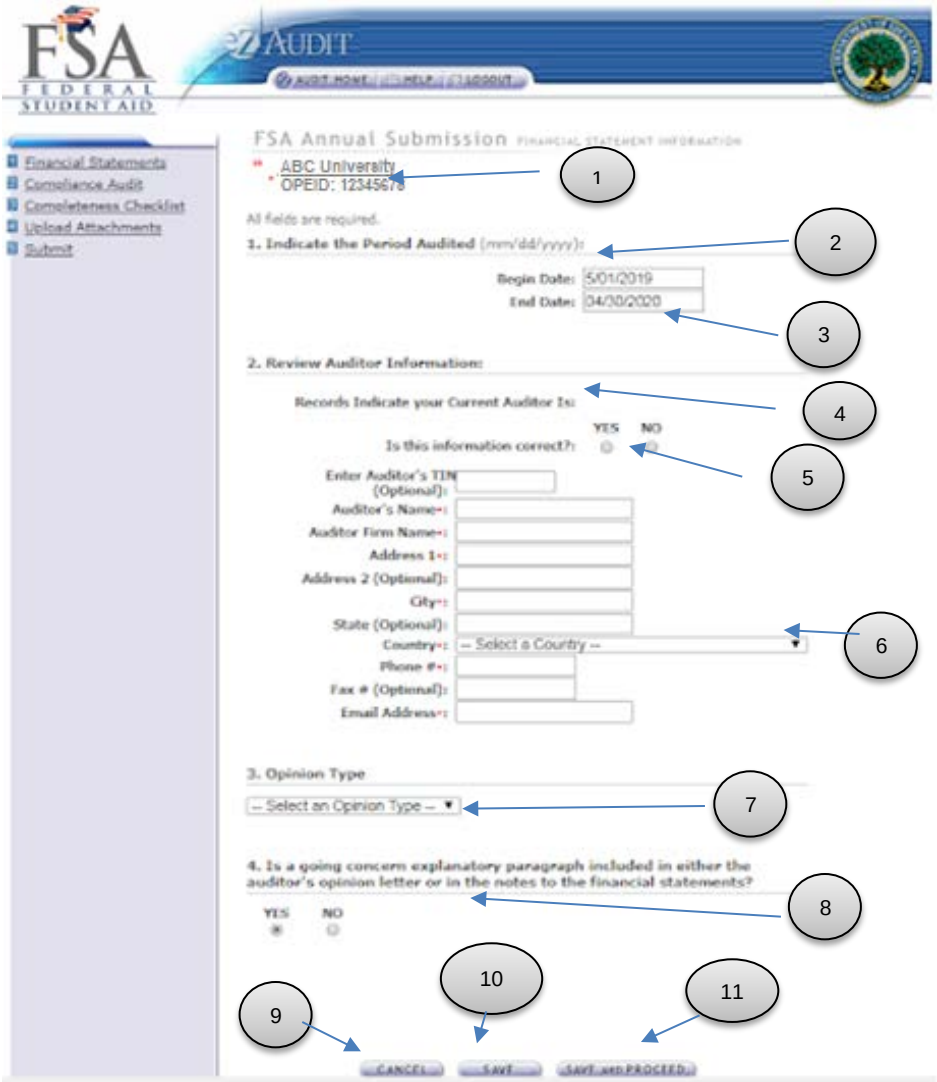
NOTE

If you are submitting for a school group (your financial statements covers more than one OPEID) only one institution (OPEID) in the group should be used to satisfy the reporting requirement for all institutions that are part of the school group. Remember, do not use commas or other punctuation and place a "0" in any fields with a null value.

a. When the user selects Funding Received $0 (No Funding) the system will display the No Title IV Activity Submission page.



b. When you user selects the funding level other than $0 or $1- $499,999.99, then the Financial Statement Information page will be displayed.



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. This is the auditor on file with the Department of Education.
5. If the auditor's information is correct, select Yes. If incorrect or new, please select **NO** and update auditor information.
6. Auditor's TIN is optional unless the country is United States. Please enter the state's Tax Identification Number (TIN) if this information is incorrect or missing. **DO NOT USE HYPHENS.**
7. Refer to Part II, Question 2 of the Federal Audit Clearinghouse Data Collection Form SF-FAC (3-20-2001).
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. **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 on this page.
11. 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.

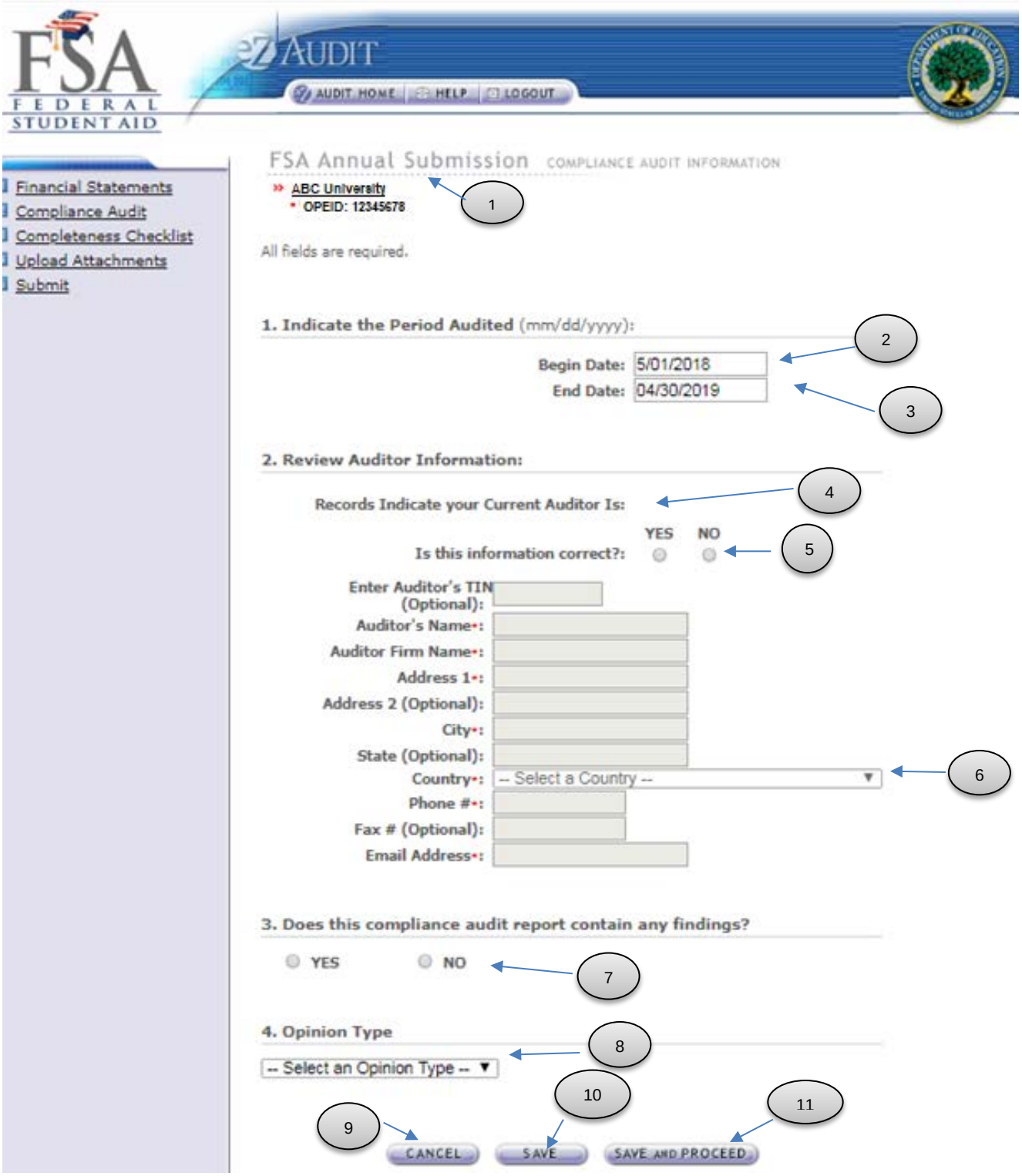
FSA Annual Submission Compliance Audit Information

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 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 Annual Submission", and then click on the underlined text "Compliance Audit Info". The screen below should appear:

NOTE

If you are submitting for a school group (i.e. you are the submitting institution for multiple schools), please complete a Compliance Audit Information page for each school in the group. Click on the name of the school to access the appropriate Compliance Audit Information Page.

Step-by-Step Guide to Using eZ-Audit for Foreign Public Schools



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, select Yes. If incorrect or new, please select NO and update auditor information.
6. Auditor's TIN is optional unless the country is United States. Please enter the state's Tax Identification Number (TIN) if this information is incorrect or missing. **DO NOT USE HYPHENS.**
7. 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.

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

8. 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.
9. **MPORTANT WARNING**: Click **CANCEL** button to erase/delete all entries sine 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 **Public Annual Submission-Completeness Checklist page.** This is the next stage in the submission process.

School Group Submissions:

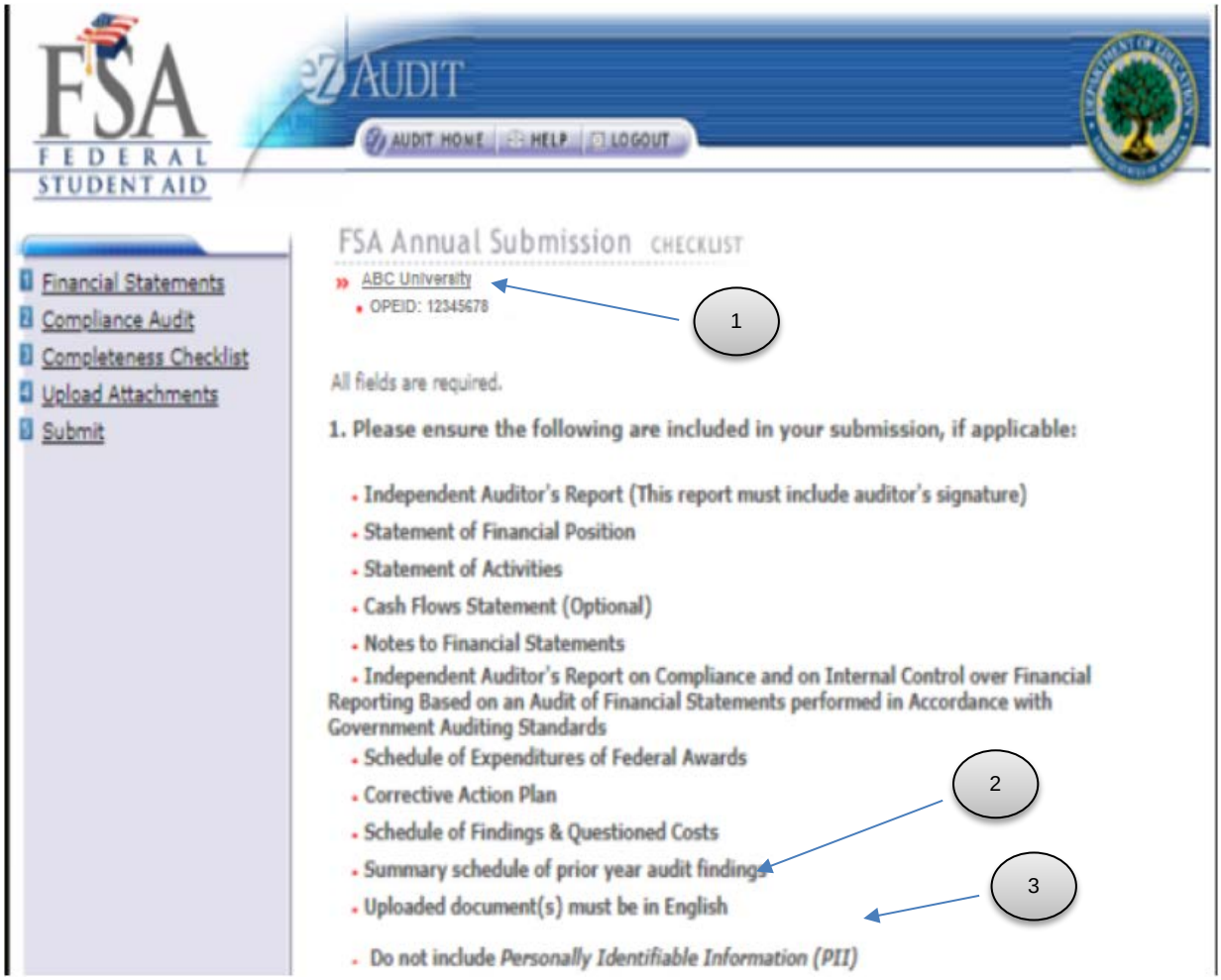
- ✓ **To complete the Compliance Audit Information page for member school(s), click on the name of the school.**
- ✓ **Complete the Compliance Audit Information page following the steps above.**

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:

NOTE

If you are submitting for a school group (i.e. you are the submitting institution for multiple schools), please complete Checklist page for each school in the group. Click on the name of the school to access the appropriate Checklist page.

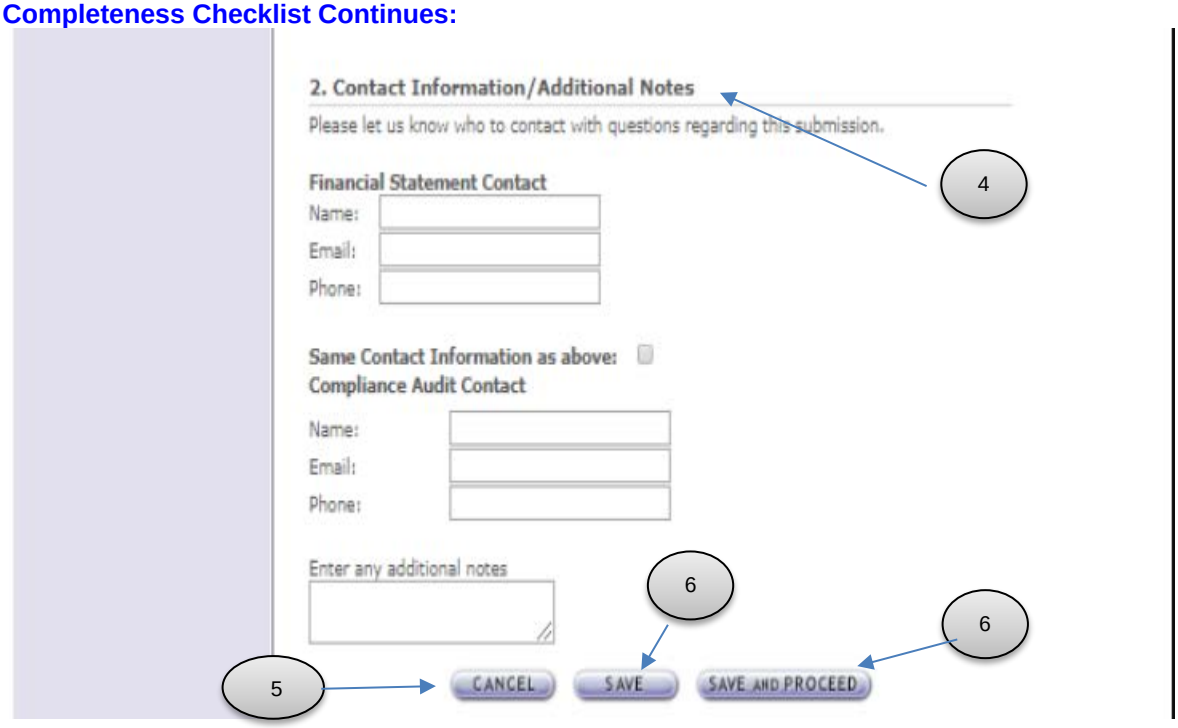


1. Ensure all applicable documents are included with your Uniform Guidance audit report

submission.

2. Ensure that all the documents uploaded are in English
3. Ensure that the document do not have any Personally Identifiable Information (PII)

Completeness Checklist Continues:



4. 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.
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 screen.
7. 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.

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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 must be prepared and presented on auditor letterhead. Signatures created using a word processing application are not acceptable.

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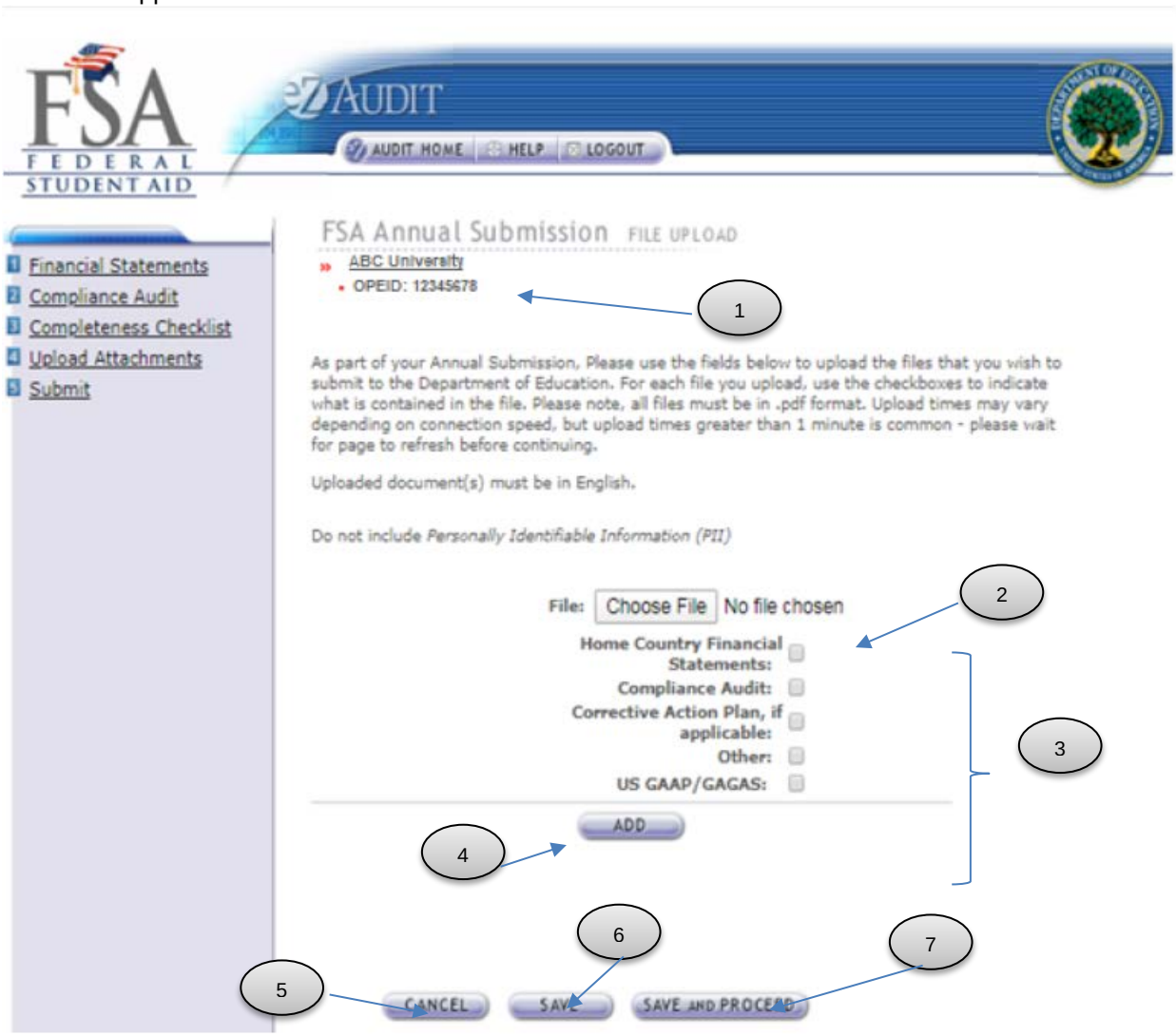
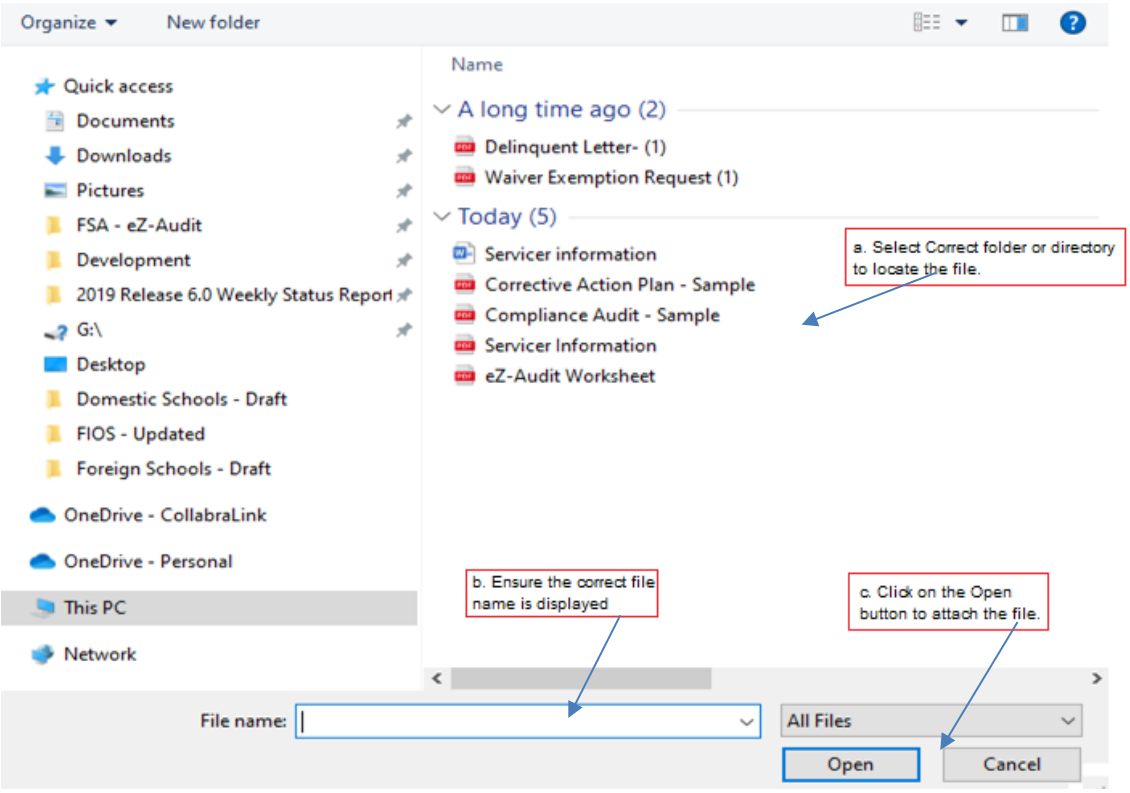
FSA Annual Submission Upload Attachments

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. This should read the name of your institution and OPE ID 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(s).

Step-by-Step Guide to Using eZ-Audit for Foreign Public Schools



1. 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.)
2. 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.
3. Click the **CANCEL** button to erase all entries.
4. Click the **SAVE** button to save all entries currently on screen. **To Upload the Compliance Audit and/or Corrective Action Plan for member school(s), click on the name of the school. Follow steps above.**
5. Click the **SAVE and PROCEED** button to take you to the Foreign Private Annual Submission-submit page.

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.**

Step-by-Step Guide to Using eZ-Audit for Foreign Public Schools

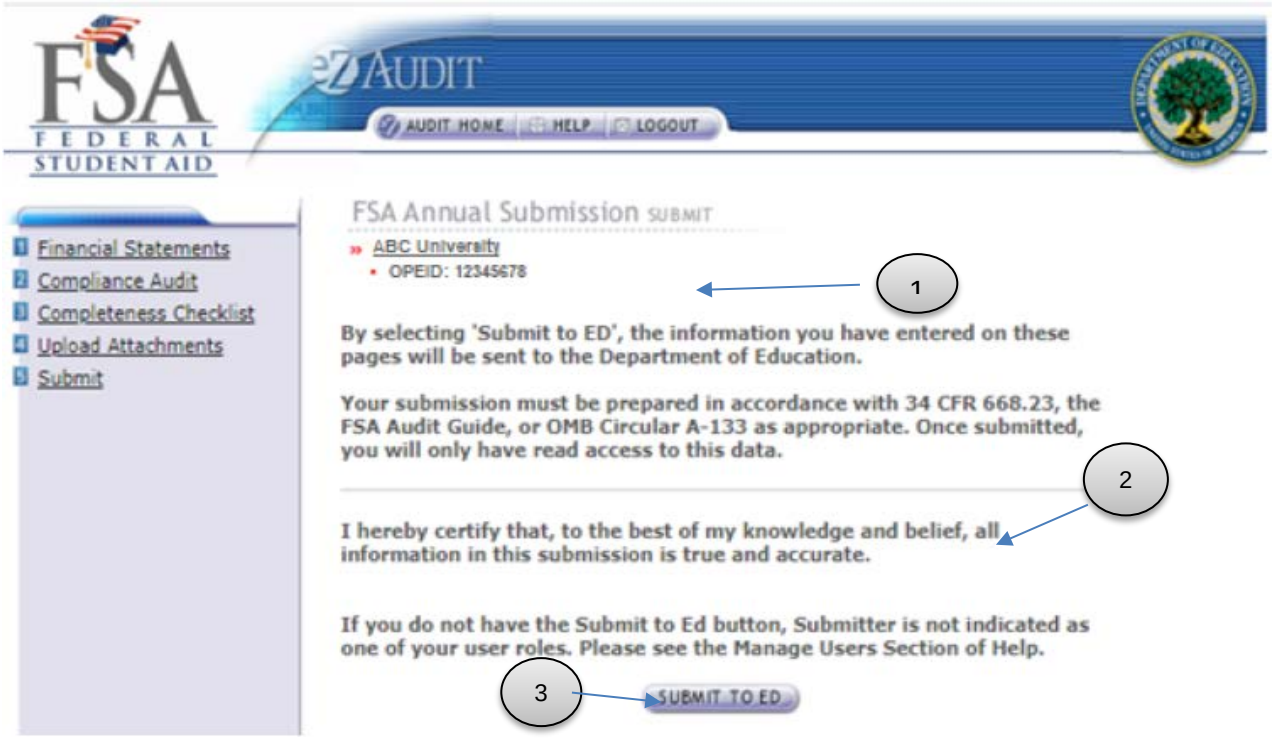
NOTE

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 Foreign 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. This should read the name of your institution and OPE ID number. Confirm that this 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.

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 must be attached.

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.**

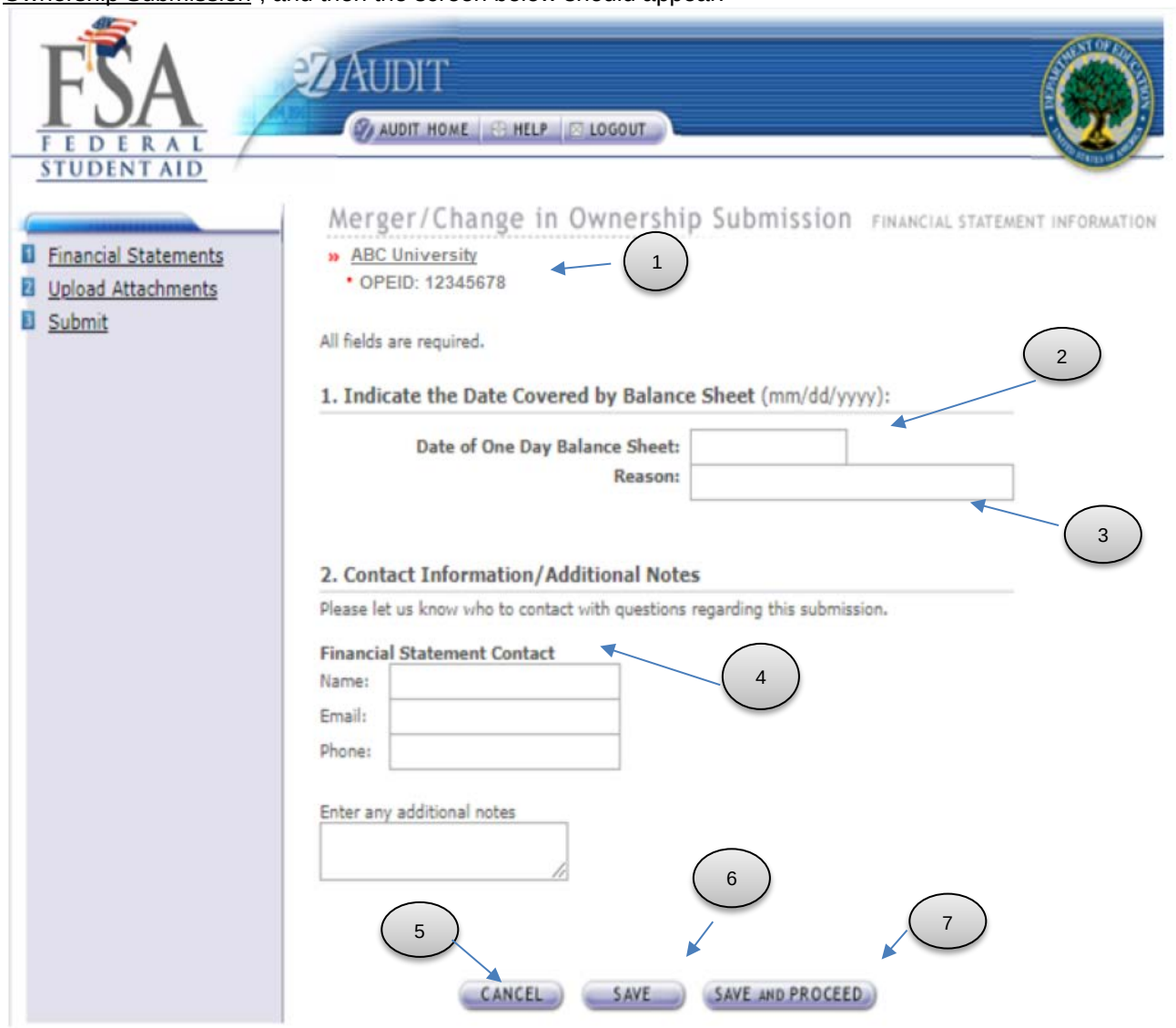
NOTE

You will have "read" access only once submitted.

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. Enter Financial Statement Contact
5. IMPORTANT WARNING: Click the **CANCEL** button to make changes/delete all

entries since the last time you saved your work.

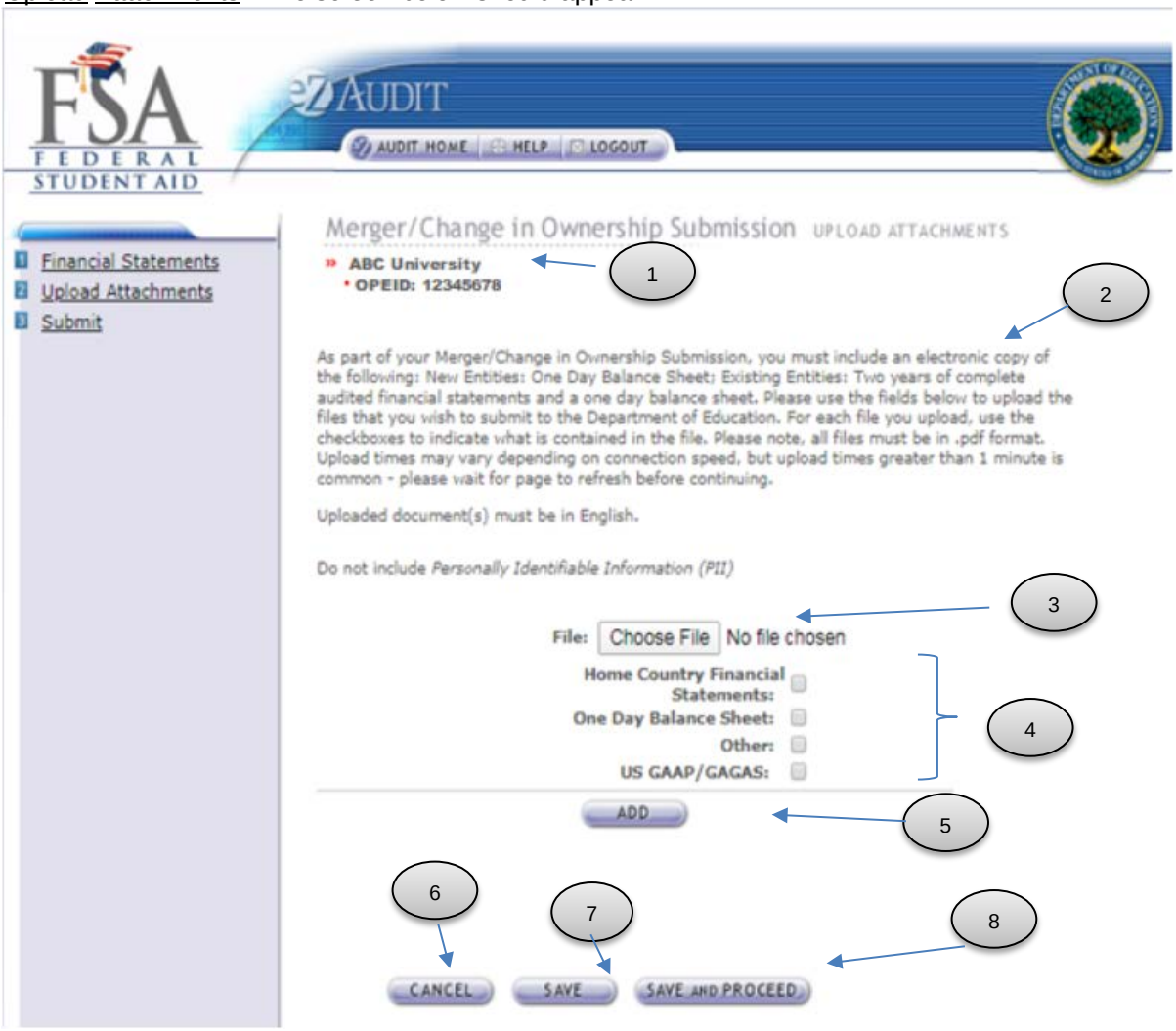
6. Click the **SAVE** button to ensure all entries currently on the screen are successfully stored by the system.
7. Click the **SAVE and PROCEED** button to go to the Upload Attachments page. This is the next stage in the submission process.

NOTE

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

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

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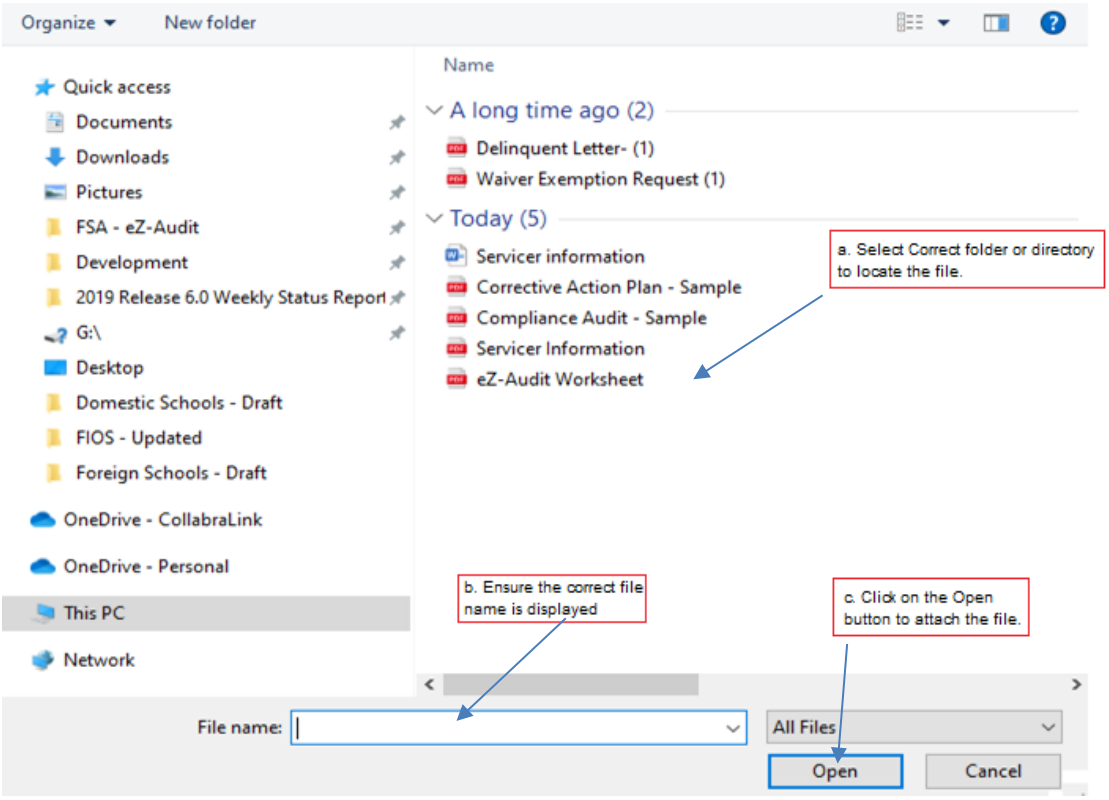


4 Check all appropriate documents attached are in English and do not contain any Personally Identified Information (PII). To view what is included in PII please hover the mouse over the word PII. (Please note: When uploading another document, please deselect the previous upload type and then reselect the document type.)

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 submission.

6 Click the **CANCEL** button to erase all entries.

7 Click the **SAVE** button to ensure all entries are successfully stored by the system on this page.

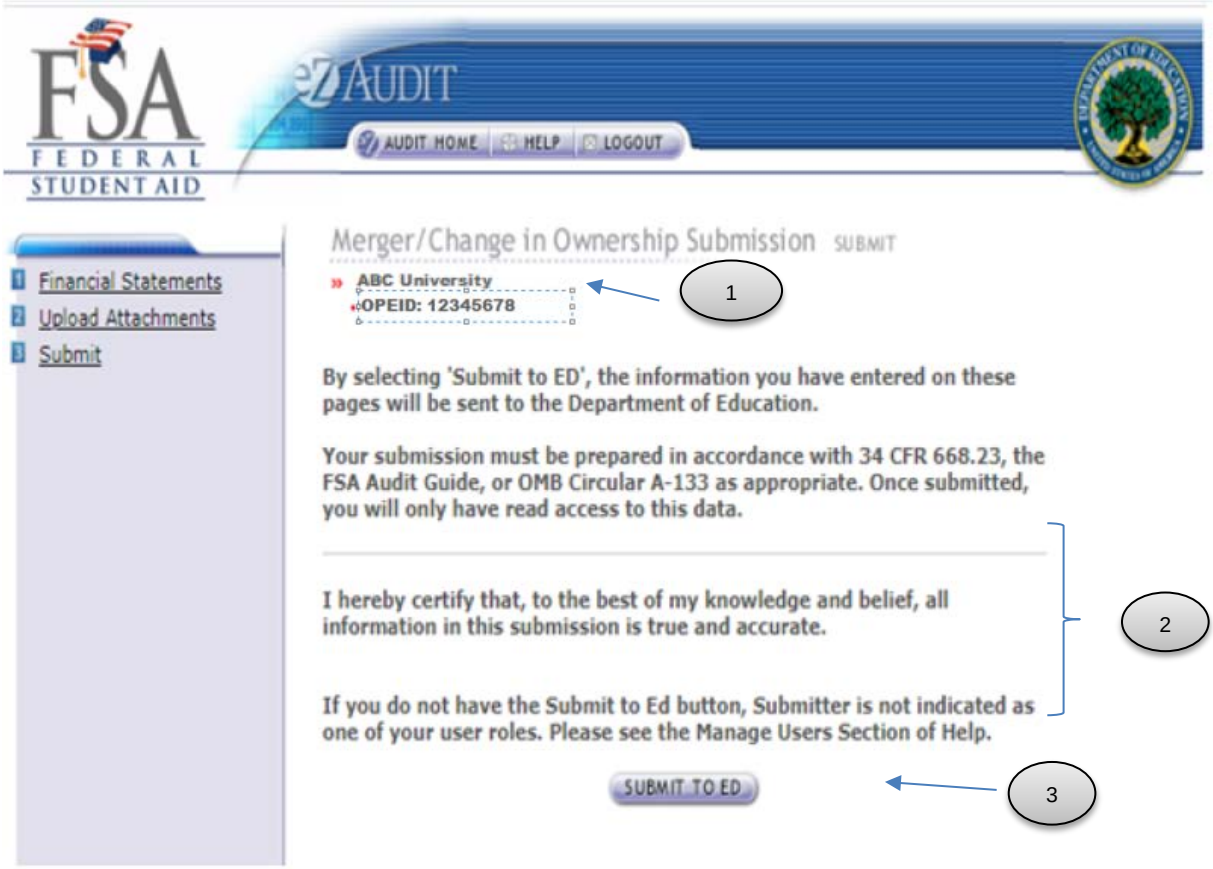
8 Click the **SAVE and PROCEED** button to save all entries and to take you to the Merger/Change in Ownership Submission page. This is the next stage in the submission process.

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 and no personal information such as Social Security Numbers should be contained in attachments.

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. This should read the name of your institution and OPE ID number. Confirm that this 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.

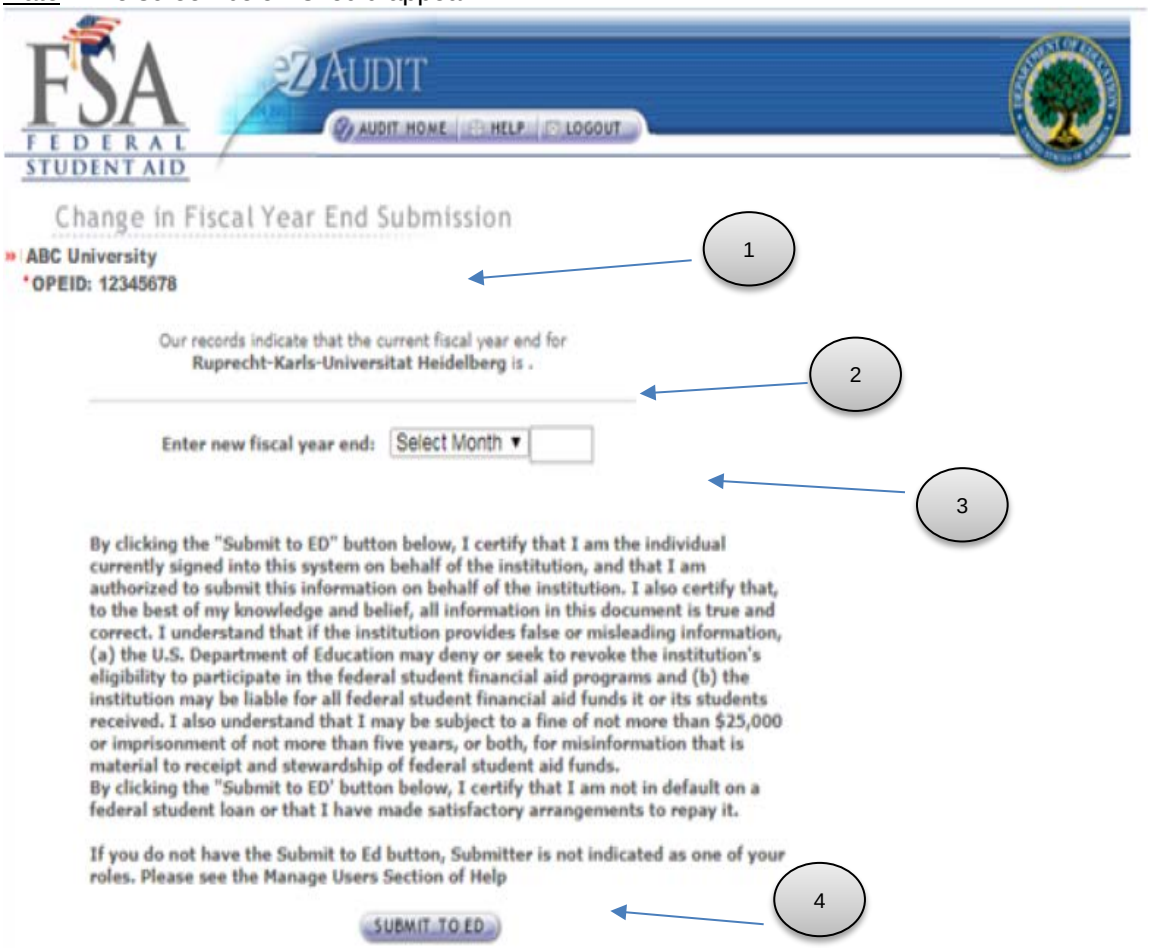
NOTE

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 must be attached.

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.

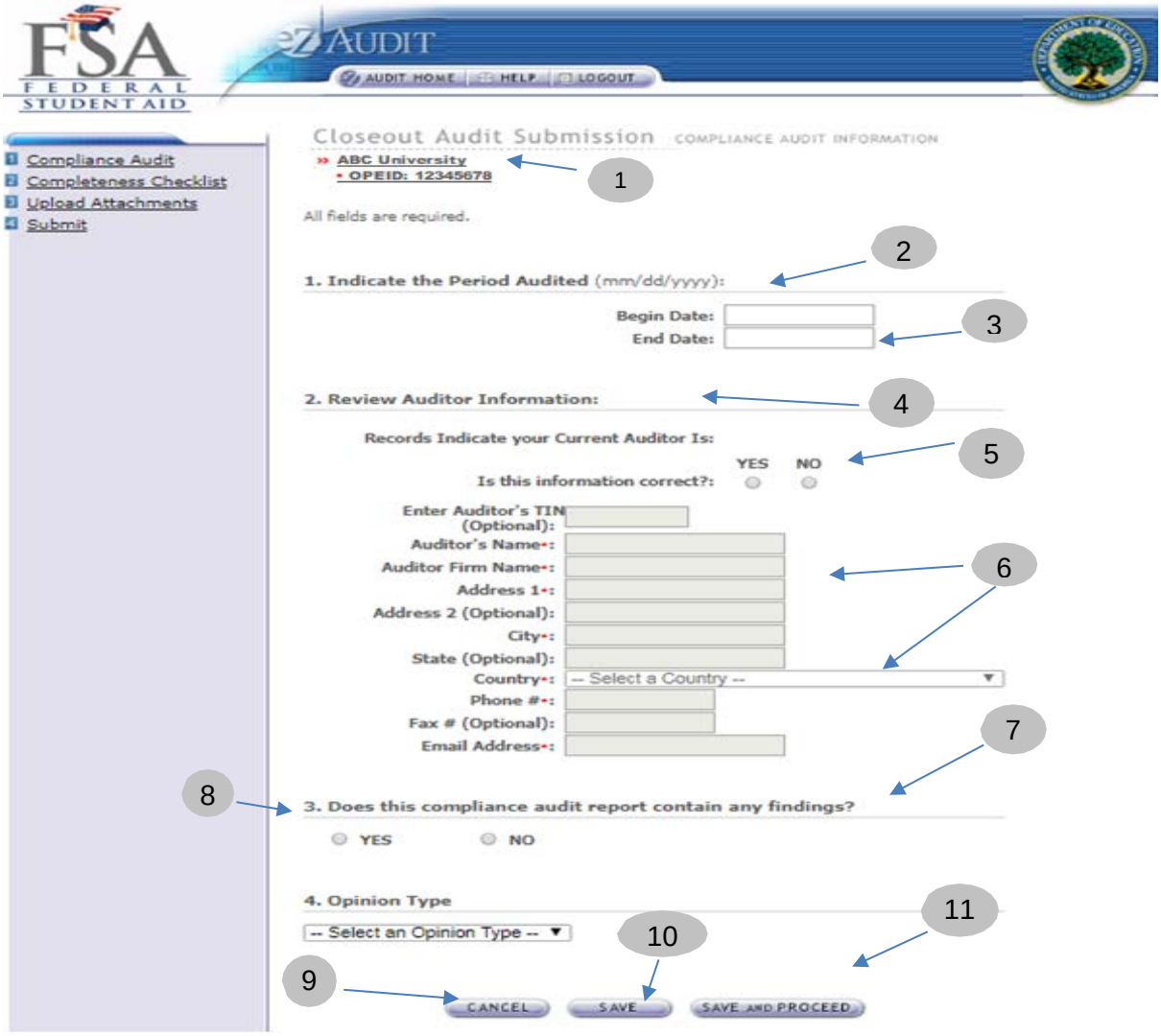
NOTE

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.

Closeout Audit Submission

Closeout Audit Compliance Audit Information

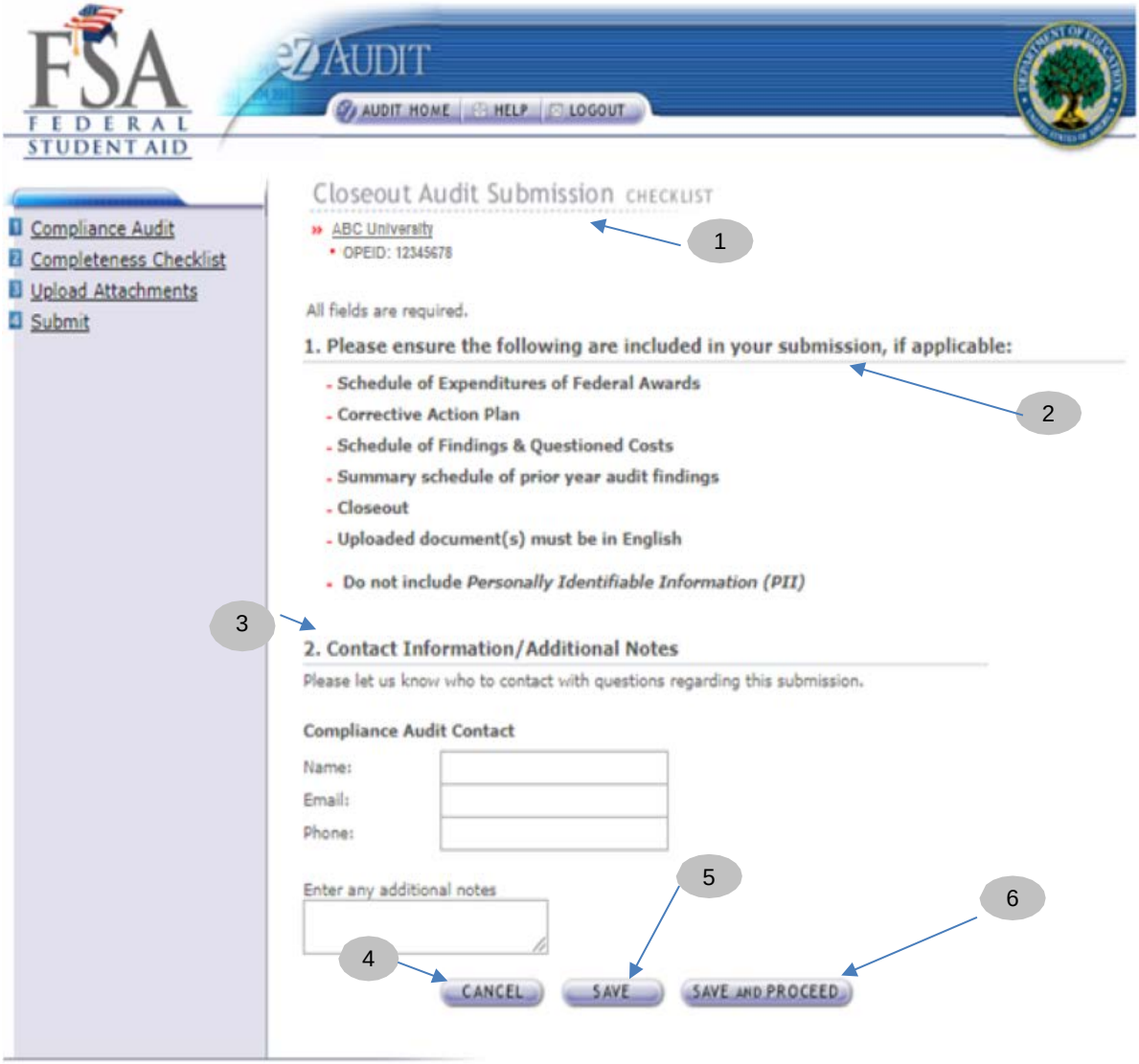
This page can also be reached by repeating the **LOGIN** step. This will take you to your institution's eZ-Audit homepage. On the upper left hand side of the page, you will see a section "Other Submission". Click on the underlined text "Closeout Audit Submission" and then click on the underlined text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



1. This should read your institution's name and OPE ID number. Confirm that this is correct.
2. Please indicate period audited in specified format.
3. Begin date is the beginning of the audit period.
4. End date is the end of the audit period.
5. If the auditor's information is correct, select Yes. If incorrect or new, please select NO and update auditor information Enter audit firm's TIN (Tax Identification Number). DO NOT USE HYPHENS.
1. Auditor's TIN is optional unless the country is United States. Please enter the state's Tax Identification Number (TIN) if this information is incorrect or missing. **DO NOT USE HYPHENS**
2. Indicate whether your audit contains any findings.
3. Select appropriate opinion from the drop-down list based on your auditor's opinion. This information is contained within the Report on Compliancewith Specified Requirements Applicable to SFA Programs.
4. Click the **CANCEL** button to make changes to all entries.
5. Click the **SAVE** button to ensure all entries are successfully stored by the system for this page. **To complete Compliance Audit Information page for member school(s), click on the name of the school. Complete the Compliance Audit Information page following the steps above.**
6. Click the **SAVE and PROCEED** button to go to the FSA Annual Submission-Completeness Checklist page. This is the next stage in the submission process. **If you are a school group this will take you to the Checklist page for the school you have selected**

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



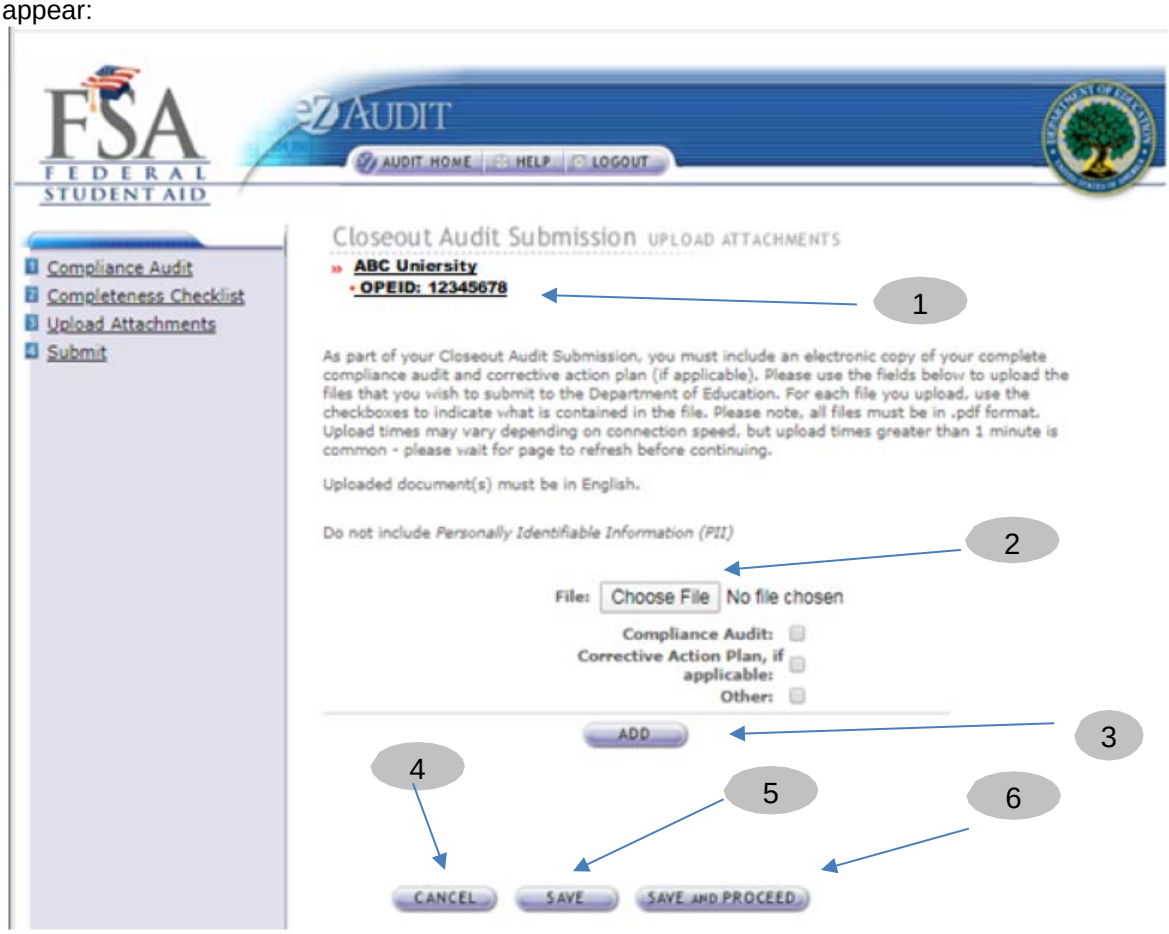
1. Please confirm that the information displayed is correct.
2. Ensure all applicable documents are included with your audit report submission.
3. Provide contact information (name, phone, email) of who should be contacted regarding submission and additional notes as necessary. Please feel free to attach 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

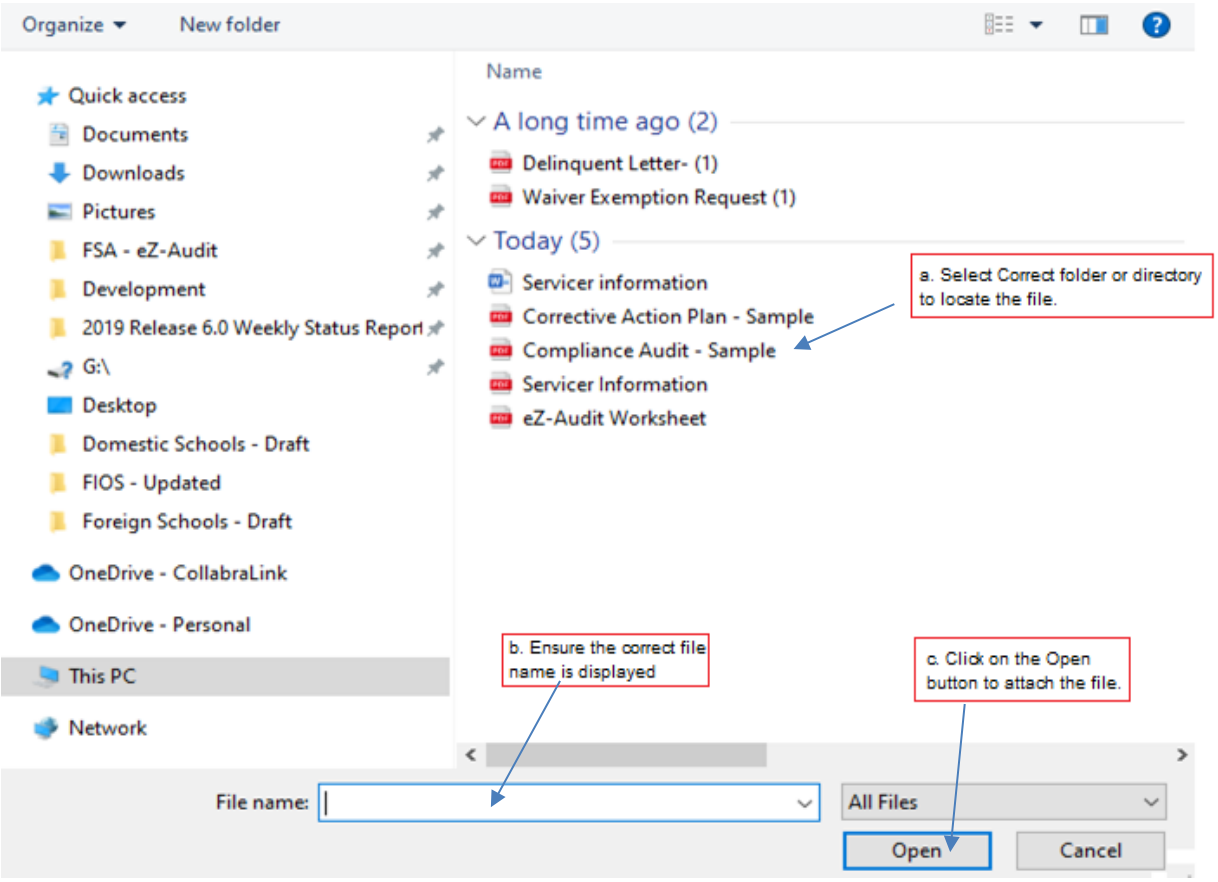
Closeout Audit Submission Upload Attachments

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 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 "Closeout 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 Foreign Private Schools



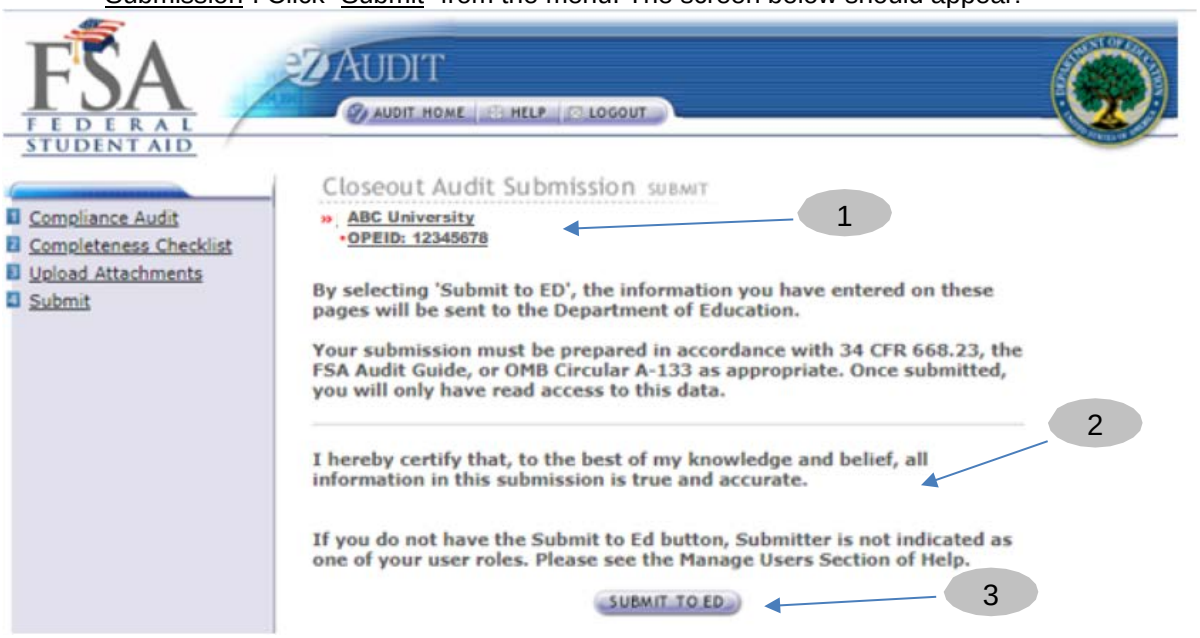
3. Check all appropriate documents attached are in English and do not contain any Personally Identified Information (PII). To view what is included in PII please hover the mouse over the word PII.
   (Please note: When uploading another document, please deselect the previous upload type and then reselect 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 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.

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 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.
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

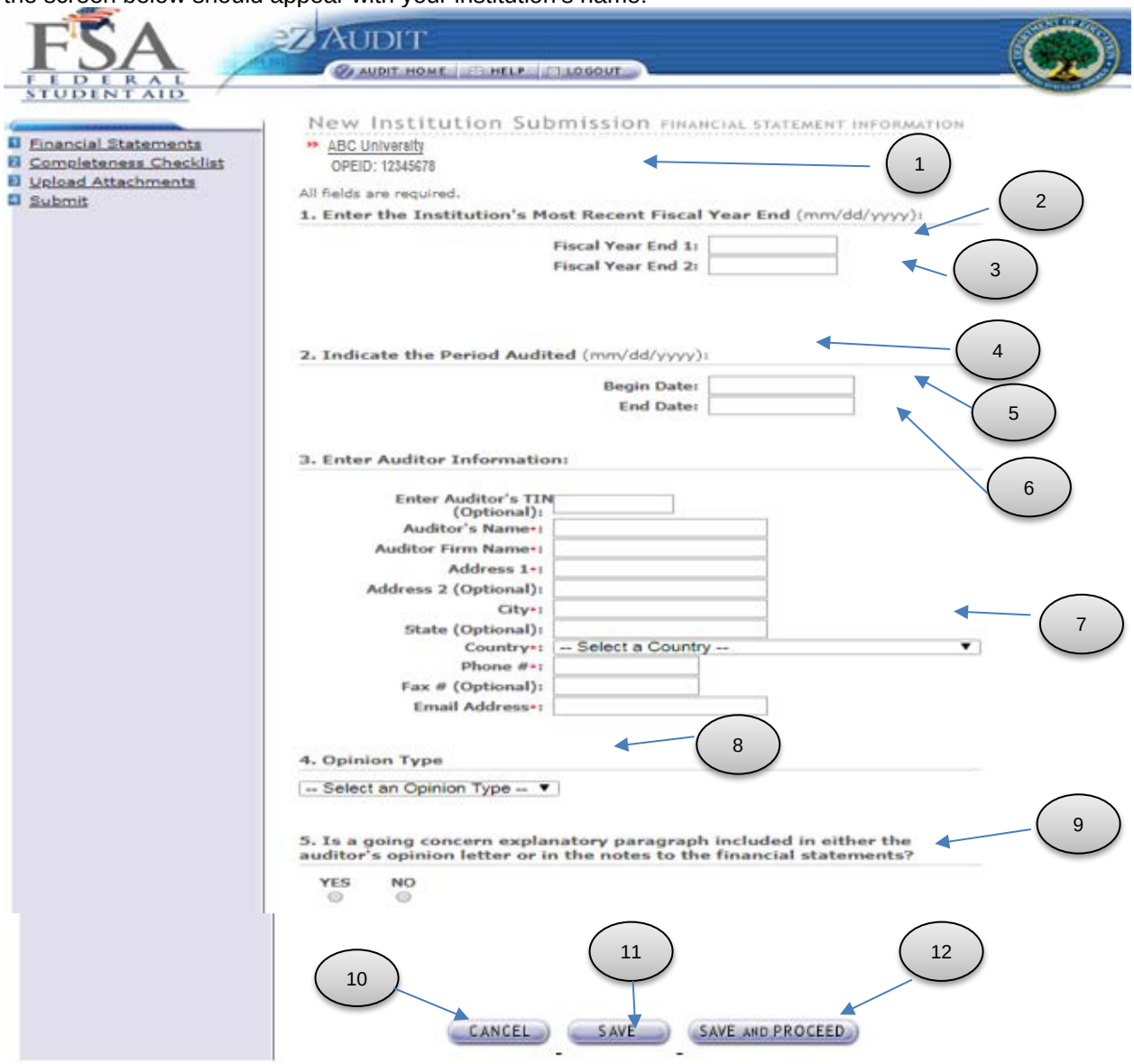
You will have read access only once submitted. Please note that only the financial statements and audit sections for the period audited should be completed and the Stub Audit must be attached

Step-by-Step Guide to Using eZ-Audit for Foreign 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:



Step-by-Step Guide to Using eZ-Audit for Foreign Public Schools

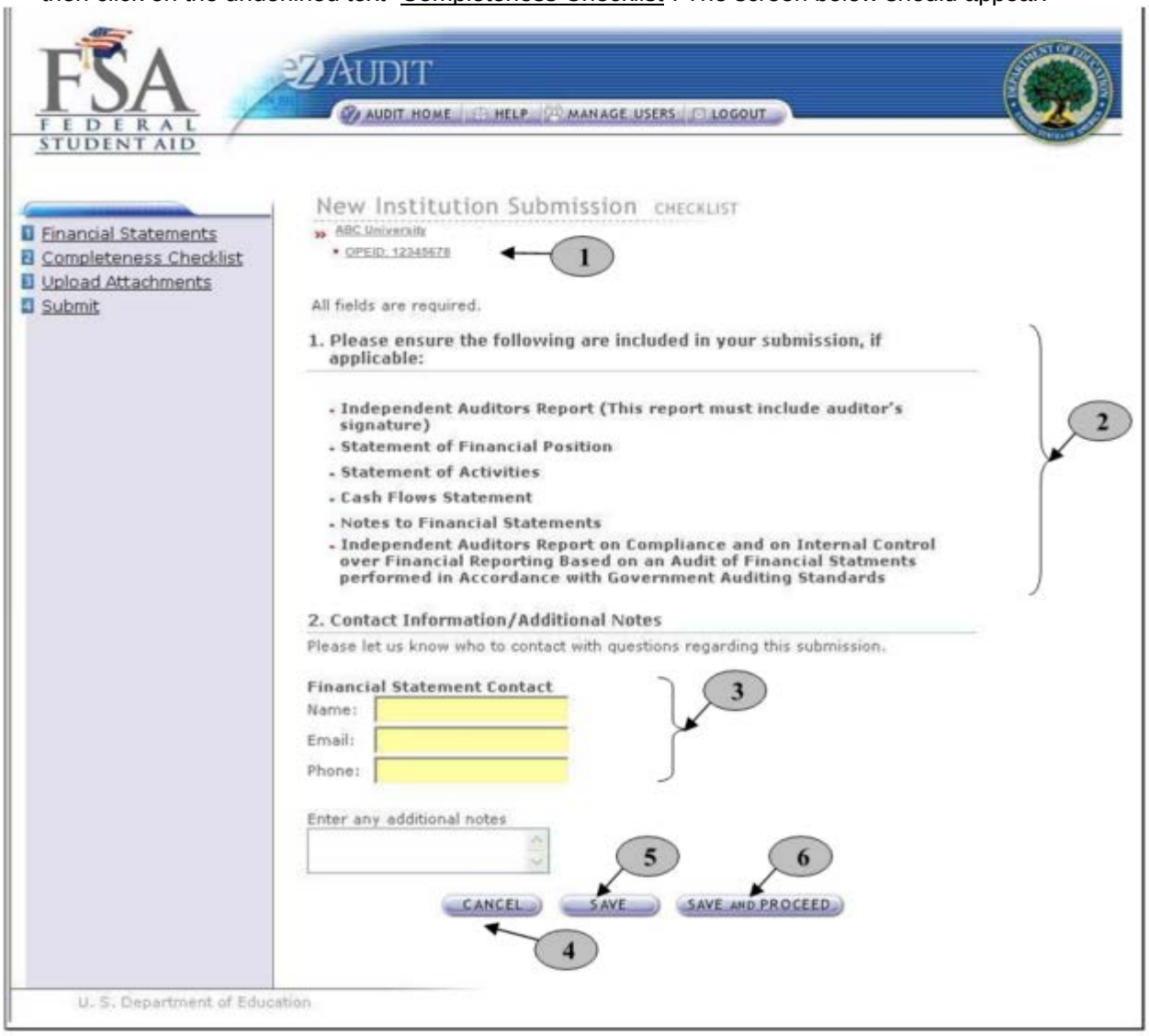
Create New Institution/Reinstatement Submission – Financial Statement

1. Please confirm that the information displayed is correct.
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. Enter the auditor firm's Tax Identification Number (TIN) if the country is United States.
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 make changes/delete all entries since the last time 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 Completeness Checklist. This is the next stage in the submission process.

Step-by-Step Guide to Using eZ-Audit for Foreign Public Schools

New Institution/Reinstatement Submission Completeness Checklist

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



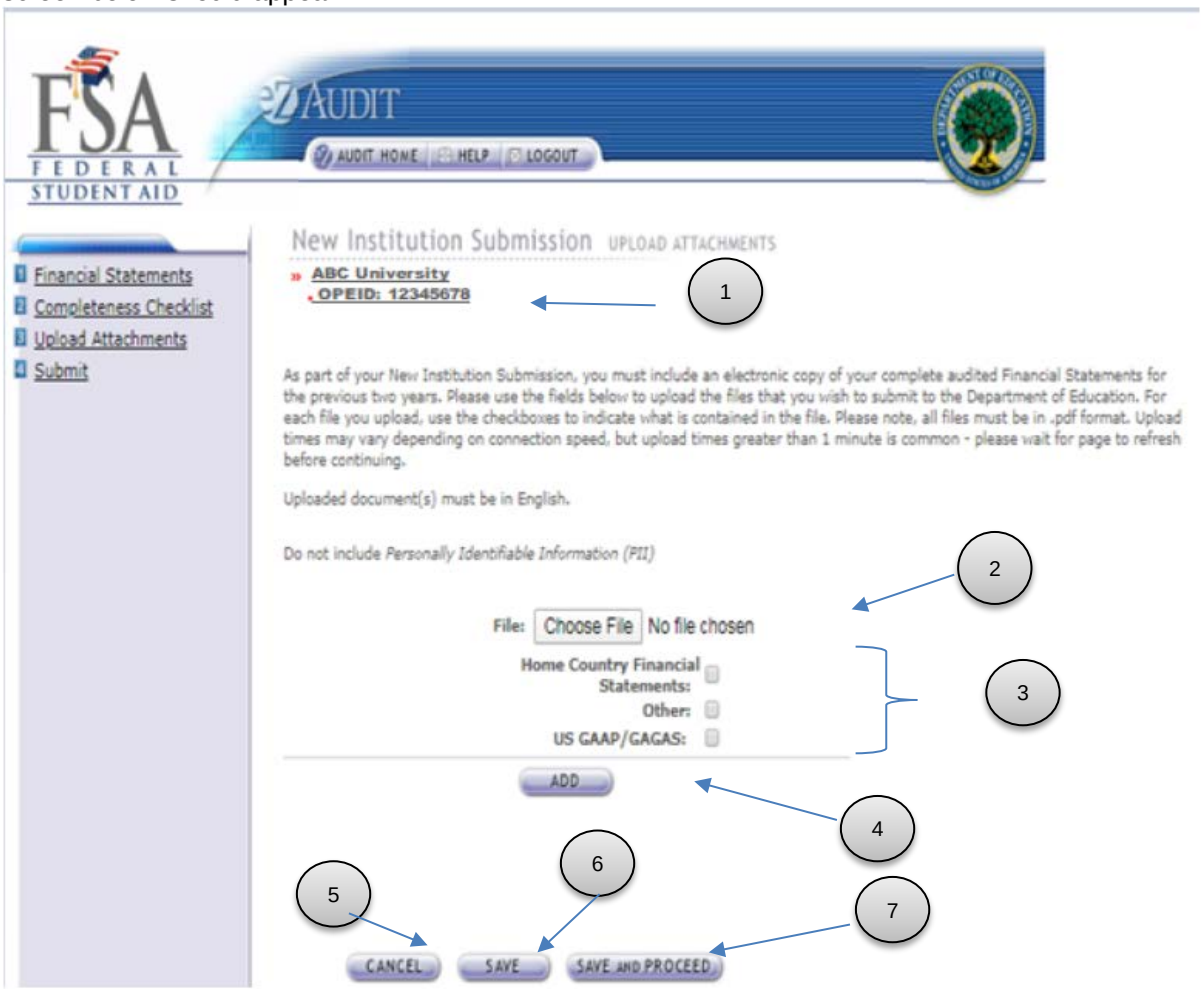
Step-by-Step Guide to Using eZ-Audit for Foreign Public Schools

1. Confirm the information displayed is correct.
2. Please confirm that the information displayed is correct.
3. Ensure all applicable documents are included with your report submission
4. 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.
5. Click the **CANCEL** button to erase all entries.
6. Click the **SAVE** button to save all entries currently on screen.
7. Click the **SAVE and PROCEED** button to take you to the Upload Attachment page.

Step-by-Step Guide to Using eZ-Audit for Foreign 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" or "Reinstatement Submission" and then click on the underlined text "Upload Attachments". The screen below should appear:

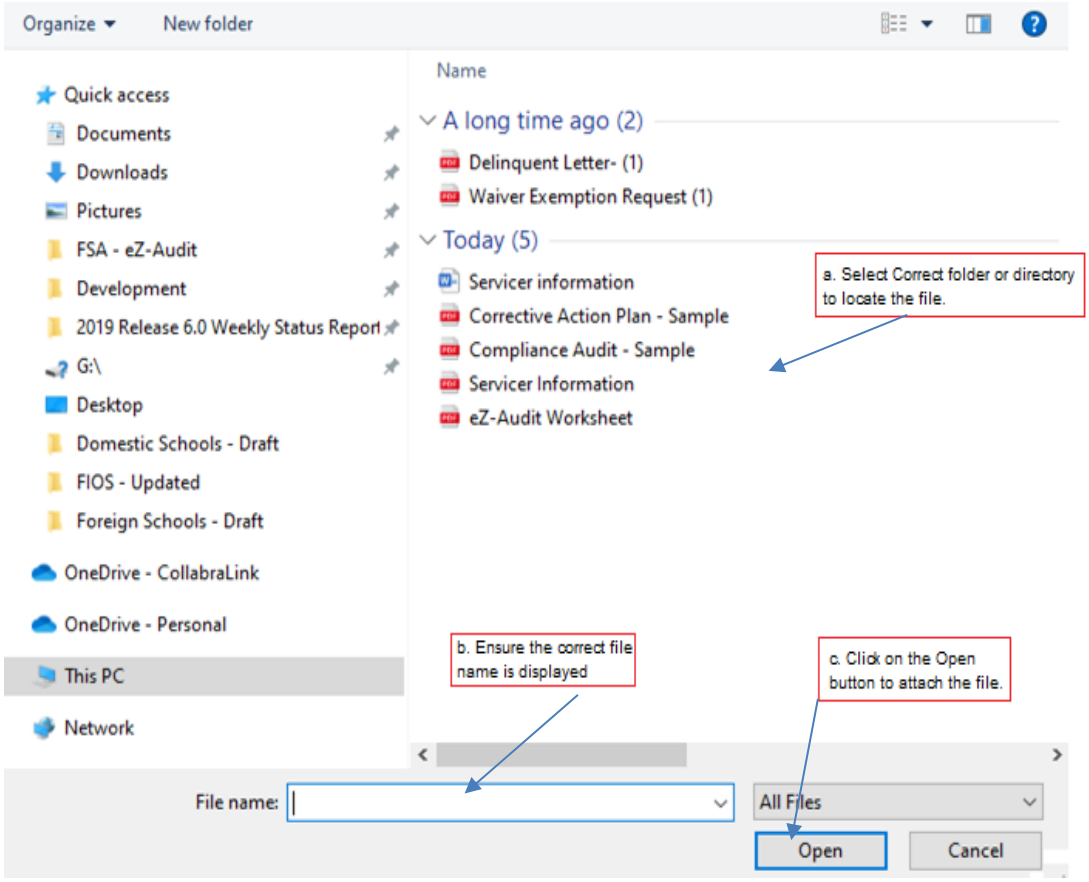


1. This should read the name of your institution and OPE ID number. Confirm that this is correct.
2. Click on the **Choose File** button to search for document(s) to be attached. Then follow instructions on the next page on searching and attaching document(s).

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

NOTE

Audited Financial statements for the previous two fiscal years should be submitted.



3. Check all appropriate documents attached are in English and do not contain any Personally Identified Information (PII). To view what is included in PII please hover the mouse over the word PII. (Please note: When uploading another document, please deselect the previous upload type and then reselect the document type.)
4. After the document has been selected and the file type identified by checking the box, click the "**ADD"** button to ensure that the document has been successfully attached to your submission.
5. Click the **CANCEL** button to erase all entries.
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 New Institution Submission-submit page.

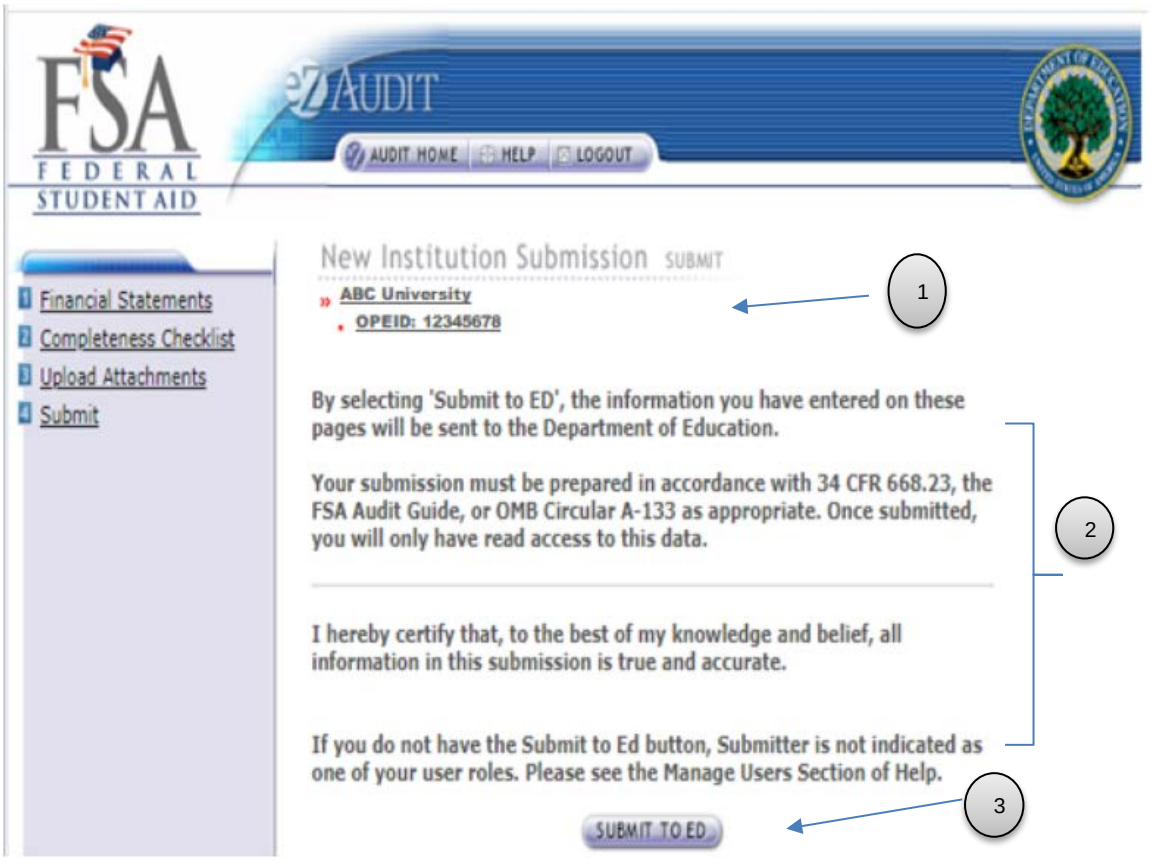
NOTE

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. This should read the name of your institution and OPE ID number. Confirm that this 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 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.
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

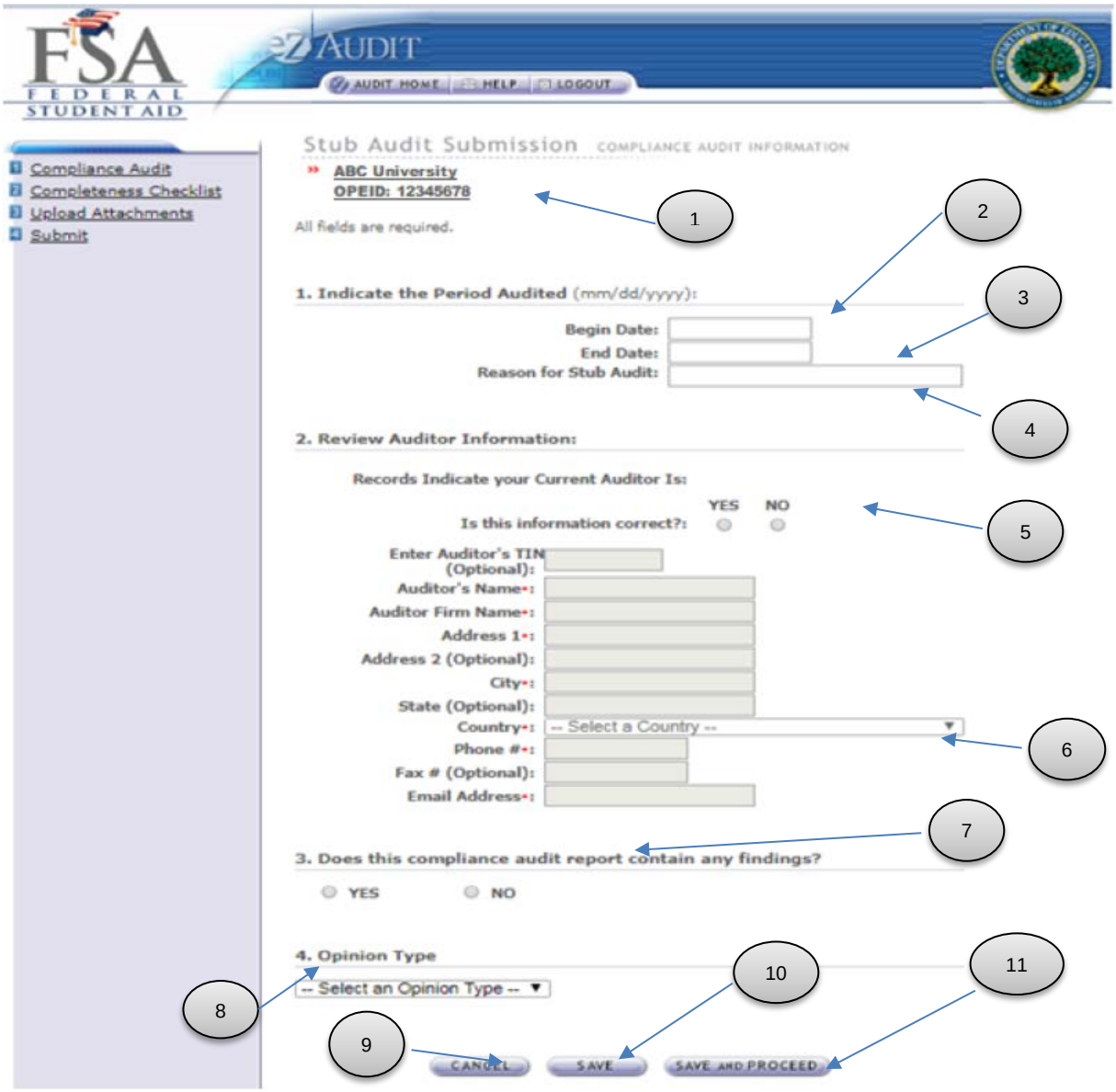
You will have "read" access only once submitted. Please note that only the financial statements and audit sections for the period audited should be completed and the Audit must be attached.

Step-by-Step Guide to Using eZ-Audit for Foreign Public Schools

Stub Audit Submission

Stub Audit 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 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 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 Foreign Public Schools

1. This should read your institution's name and OPE ID number. Confirm that this is correct.
2. Begin date is the beginning of the audit period.
3. End date is the end of the audit period.
4. Enter Reason for Stub Audit.
5. If the auditor's information is correct, select Yes. If incorrect or new, please select NO and update auditor information.
   Auditor's TIN is optional unless the country is United States. Please enter the state's Tax Identification Number (TIN) if this information is incorrect or missing. DO NOT USE HYPHENS.
   If the auditor's information is correct, no action is required. If incorrect or new, select NO and update with current auditor information.
6. 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.**
7. If your Uniform Guidance audit submission contains any findings related to the FSA Title IV programs (If the UNIFOR 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.
   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.
8. Select appropriate opinion from the drop-down list based on your auditor's opinion. This information is contained within the Report on Compliance with Specified Requirements Applicable to SFA Programs.
9. **IMPORTANT WARNING**: Click the **CANCEL** button to make changes/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 on this page.
11. Click the **SAVE and PROCEED** button to go to the Completeness Checklist. This is the next stage in the submission process.

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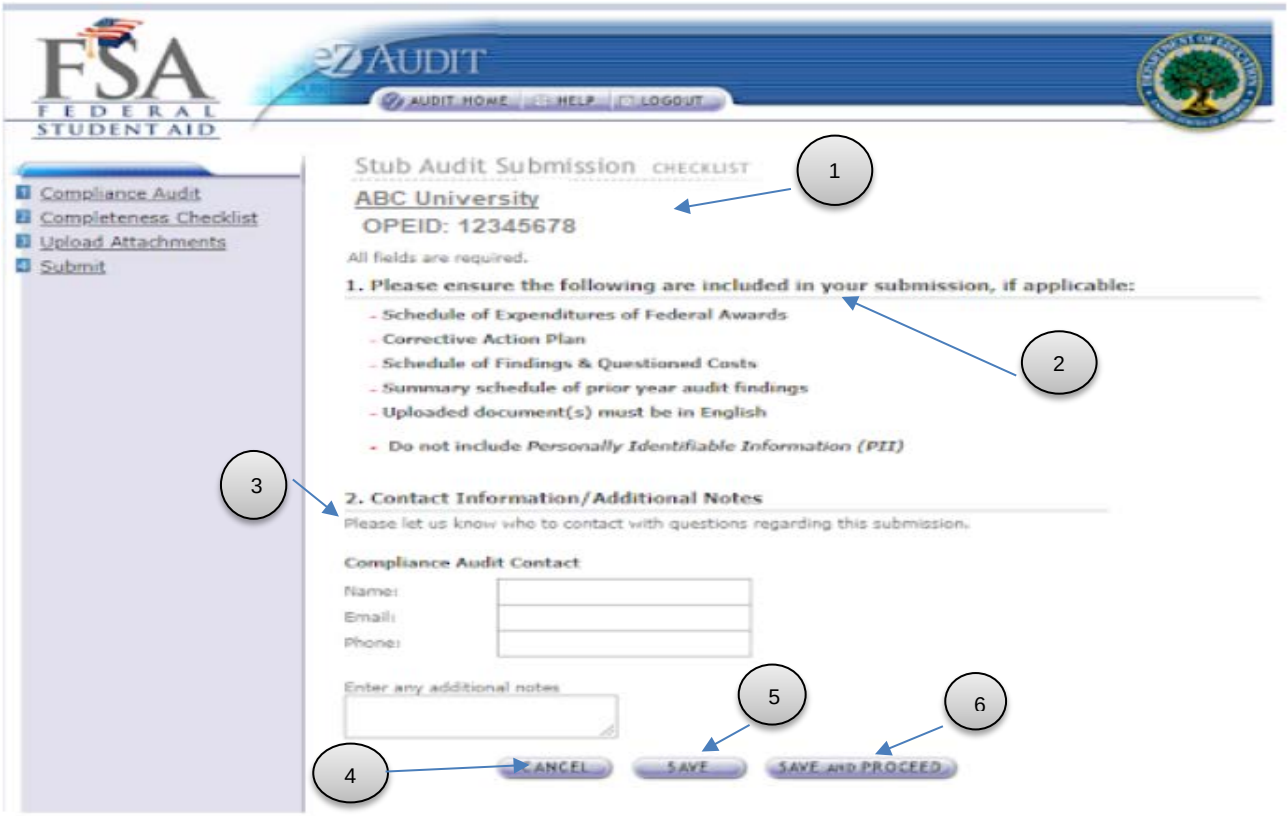
Stub Audit Submissions Completeness Checklist

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:



Step-by-Step Guide to Using eZ-Audit for Foreign Public Schools

1. This should read your institution's name and OPEID number. Confirm that this is correct.
2. Ensure all applicable documents are included with your audit report submission. Check all appropriate documents attached are in English and do not contain any Personally Identified Information (PII). To view what is included in PII please hover the mouse over the work PII.
3. Enter contact information. Provide 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.

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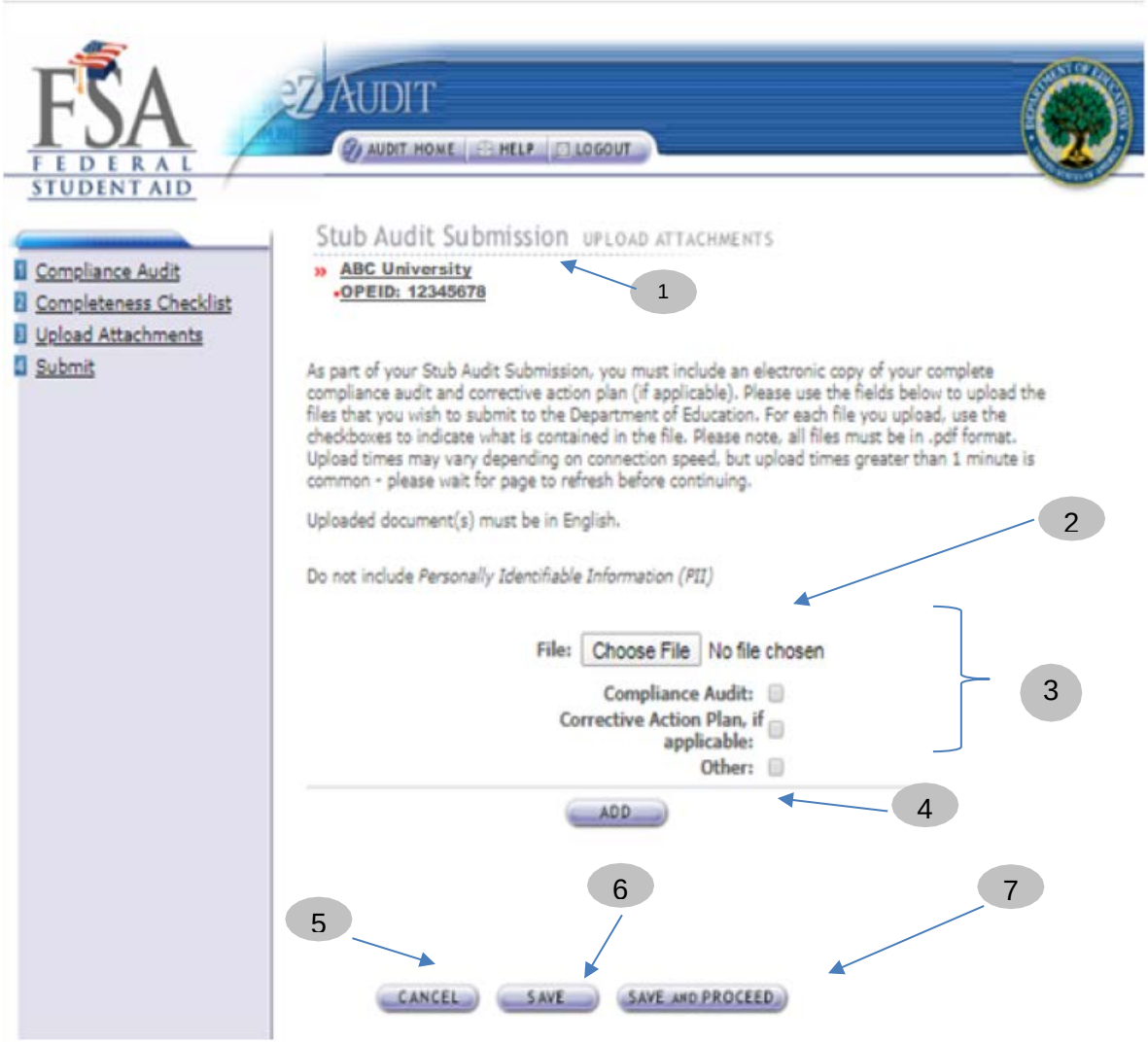
Stub Audit Submissions Upload Attachments

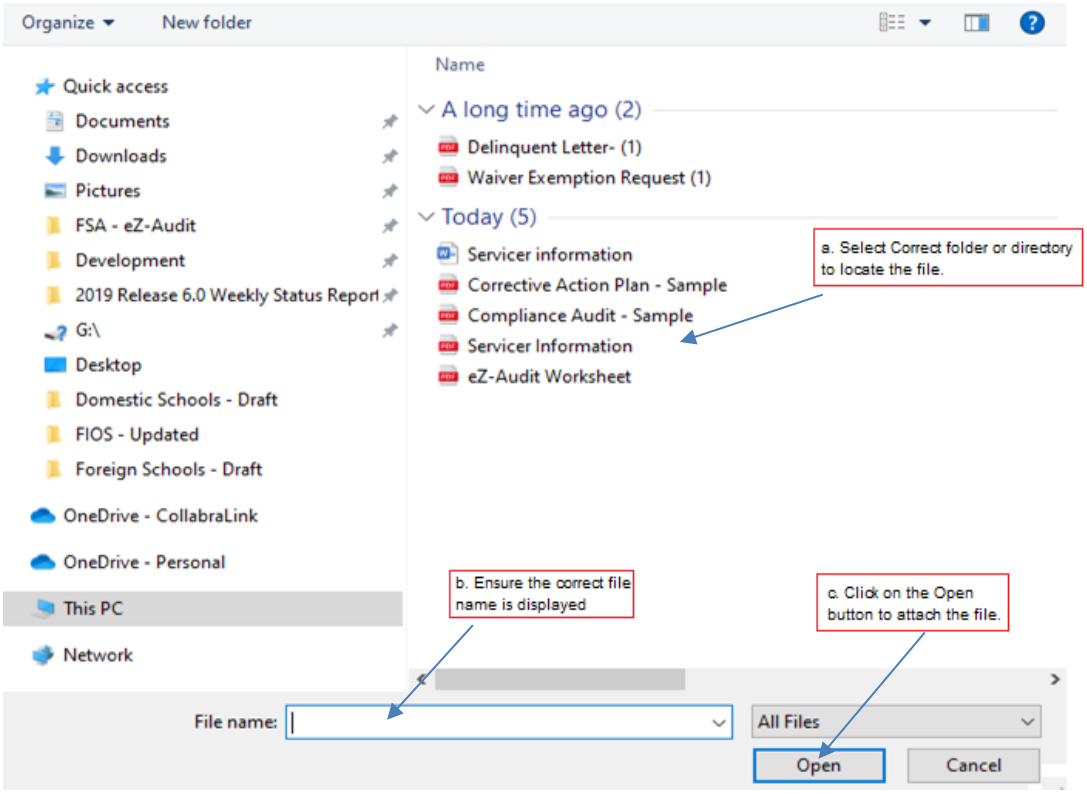
If you successfully entered or saved the information inputted on the Completeness Checklist page by clicking on the **SAVE and PROCEED** button, the screen below should appear. This page can also be reached by repeating the **LOGIN** step. This will take you to your institution's eZ-Audit homepage. On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

1. instructions on the next page on searching and attaching document.



1. Check all appropriate documents attached are in English and do not contain any Personally Identified Information (PII). To view what is included in PII please hover the mouse over the work PII.
   (Please note: When uploading another document, please deselect the previous upload type and then reselect the document type.)
2. 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.
3. **IMPORTANT WARNING**: Click the **CANCEL** button to erase/delete all entries since the last time you saved your work.
4. Click the **SAVE** button to save all entries currently on the screen.
5. Click the **SAVE and PROCEED** button to take you to the Lender-Stub Audit Submission-submit page.

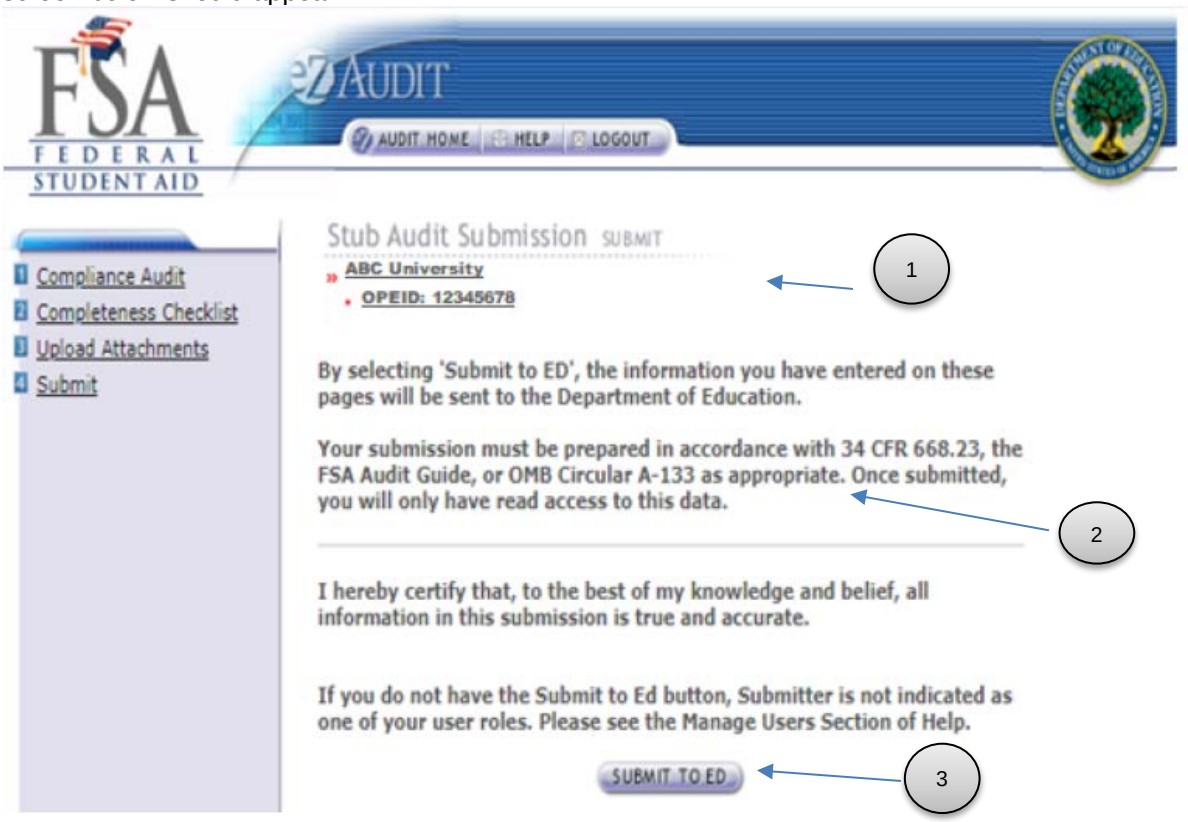
NOTE

As part of your stub audit submission, you must include an electronic copy of your 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 Foreign 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", and then click on the underlined text "Submit". The screen below should appear:



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

Step-by-Step Guide to Using eZ-Audit for Foreign Public Schools

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.

Waiver/Exemption Request

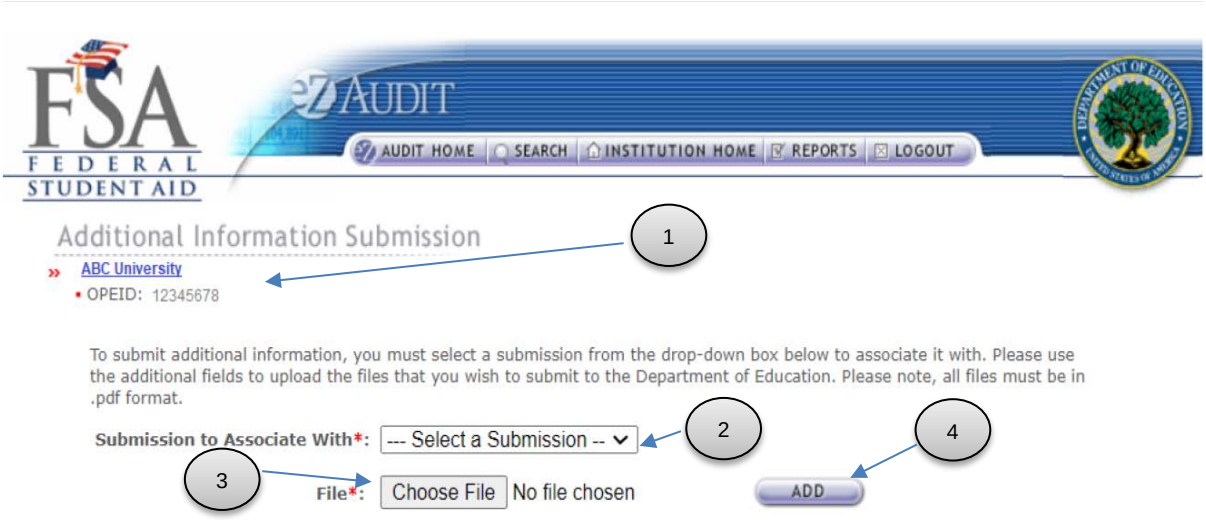
(Placeholder for future release)

Step-by-Step Guide to Using eZ-Audit for Foreign Public Schools

Additional Information

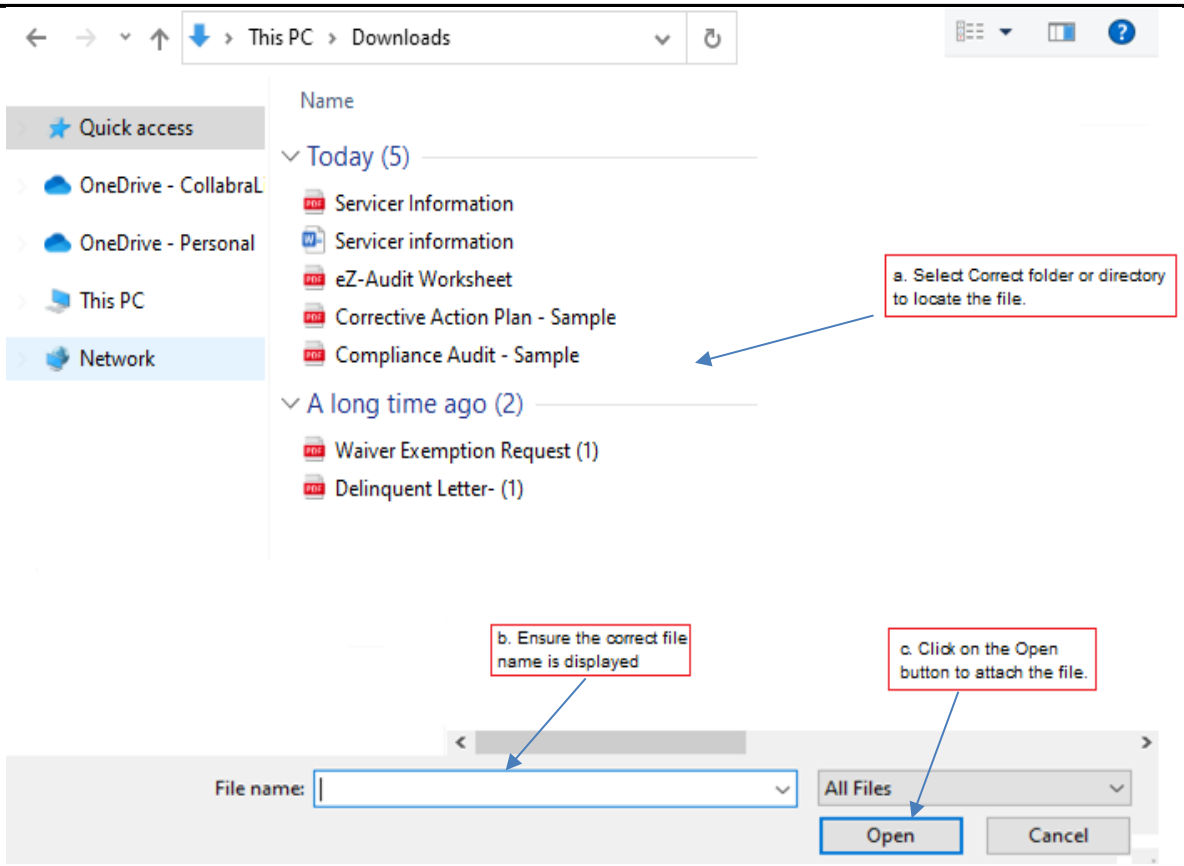
Additional Information Submission

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. This should read the name of your institution and OPE ID number. Confirm that this 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 Institution 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 Foreign Public Schools



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 submission.

NOTE

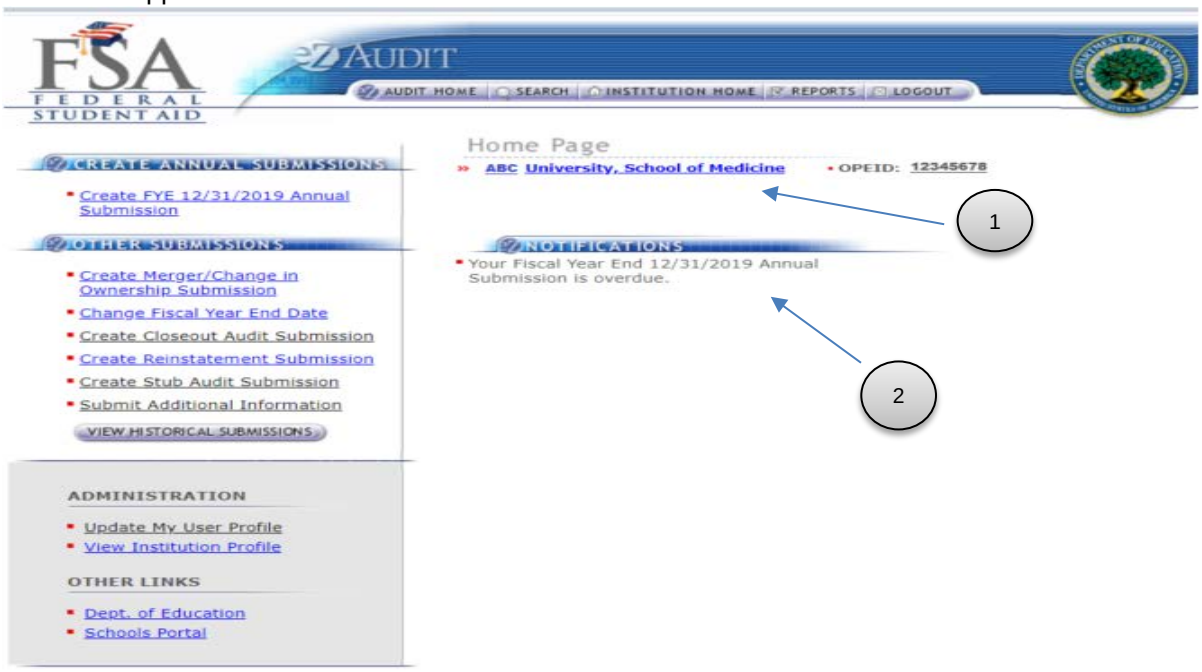
To submit additional information the submission must still be under FSA review.

Step-by-Step Guide to Using eZ-Audit for Foreign Public Schools

Letters/ Notifications

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. (**Examples: Your Fiscal Year End 10/31/2002 Annual Submission was received on 4/30/2003, FAD sent 5/30/2003, Request for Letter of Credit sent 5/15/2003**)

NOTE

Users should periodically check the Institution Home Page for an up to date status of their submissions. If ED has deemed a submission incomplete, the Incomplete Letter will be posted to Notifications. The incomplete letter needs to be opened before there-submission link will appear.

Step-by-Step Guide to Using eZ-Audit for Foreign Public Schools

Resubmission/ Incomplete Letter

If your submission has been deemed incomplete you will be required to Resubmit. An email will be sent to the person(s) as listed on the Checklists page in Contacts informing them that the submission has been deemed incomplete. A copy will also be sent to the Institution's President and Financial Aid Administrator.

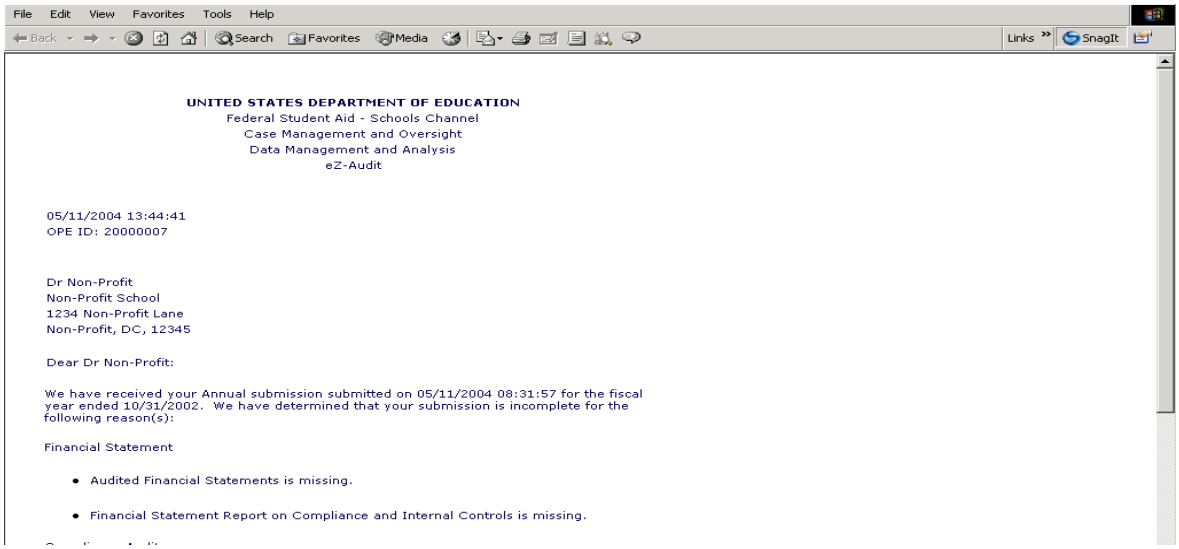
Resubmissions should be submitted 7 calendar days from receipt of email/letter.

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 wind.**

Step-by-Step Guide to Using eZ-Audit for Foreign Public Schools



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

05/11/2004 13:44:41
OPE ID: 20000007

Dr Non-Profit
Non-Profit School
1234 Non-Profit Lane
Non-Profit, DC, 12345

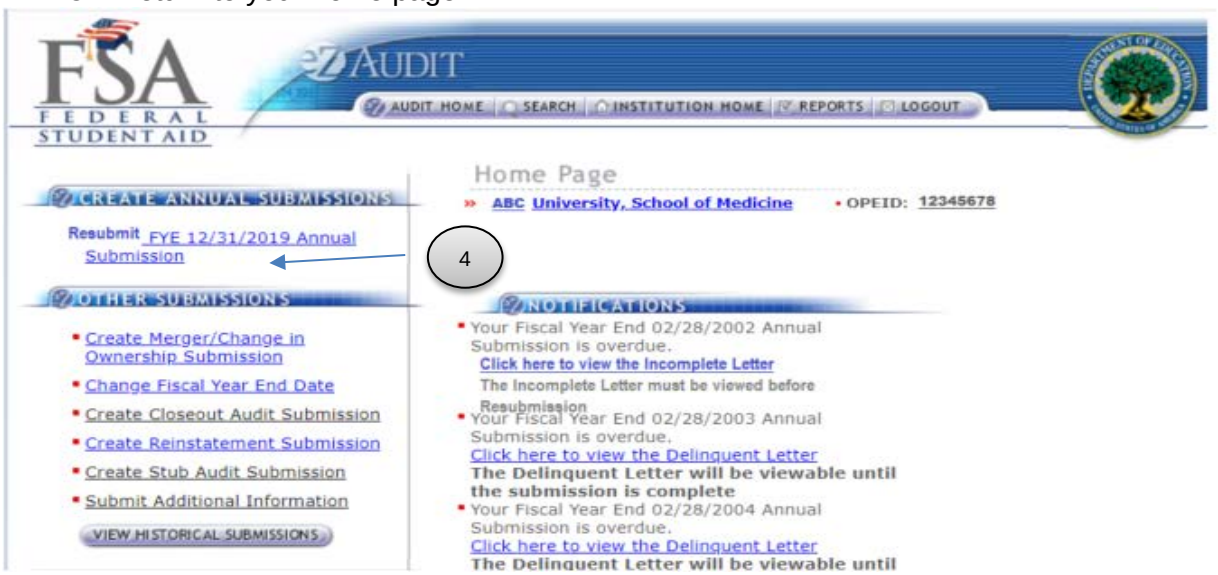
Dear Dr Non-Profit:

We have received your Annual submission submitted on 05/11/2004 08:31:57 for the fiscal year ended 10/31/2002. We have determined that your submission is incomplete for the following reason(s):

Financial Statement

- Audited Financial Statements is missing.
- Financial Statement Report on Compliance and Internal Controls is missing.

3. Return to your home page.

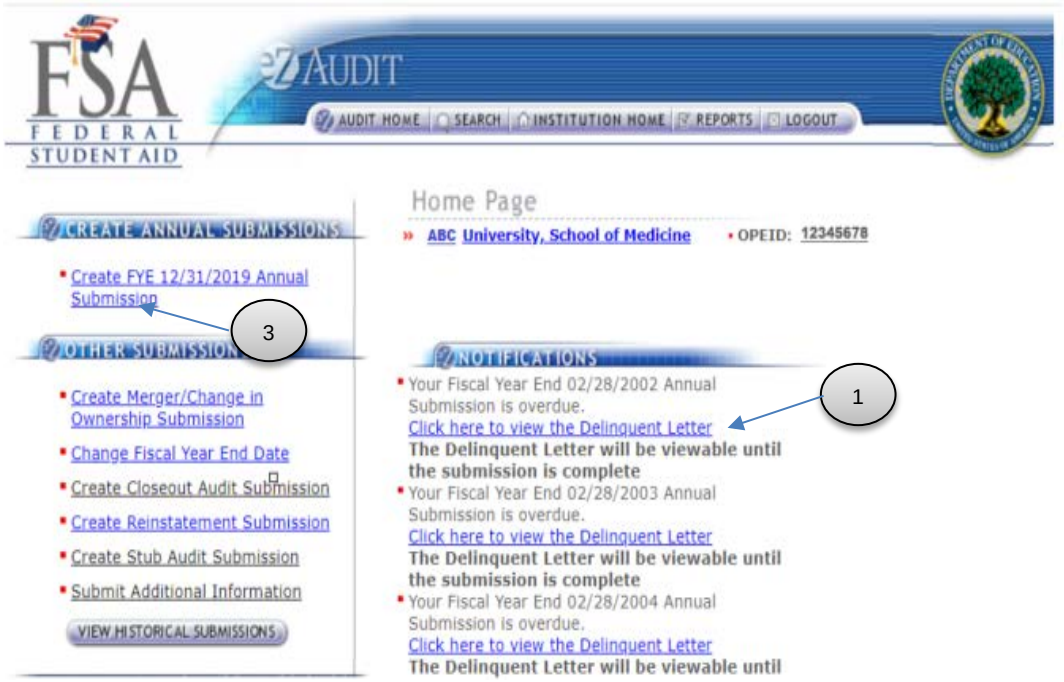


4. Click the **Resubmit** link from left navigation area.
5. Correct submission as directed in Incomplete Letter. Portions of submission deemed complete will be read-only.

Step-by-Step Guide to Using eZ-Audit for Foreign Public Schools

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 which annual submission is overdue. Letter will open in separate window.
2. Close or minimize the browser to return to your home page.

Step-by-Step Guide to Using eZ-Audit for Foreign 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

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.