

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

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

### eZ-Audit Overview

#### What is eZ-Audit?

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

#### How does eZ-Audit work?

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

#### How does eZ-Audit Benefit You?

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

#### Who at my entity will use eZ-Audit?

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

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What role should my auditor play in eZ-Audit?

You may choose to ask your auditor to serve as a *Data Entry User* of eZ-Audit. This means that your auditor would complete the fields in the system, and attach the audited documents in the non-editable PDF format.

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

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

### eZ-Audit Technical Requirements

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

**NOTE**

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

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

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

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### eZ-Audit Security/Rules of Behavior

eZ-Audit is a Department of Education system. Department of Education computer systems are provided for the processing of Official U.S. Government information only. All data contained on Department of Education computer systems is owned by the Department of Education and may be monitored, intercepted, recorded, read, copied or captured in any manner and disclosed in any manner, by authorized personnel. THERE IS NO RIGHT OF PRIVACY IN THIS SYSTEM. System personnel may give to law enforcement officials any potential evidence of crime found on Department of Education computer systems. Unauthorized use of this system is a violation of Federal law and can be punished with fines or imprisonment (P.L. 99-474). "Use of this system by any user,

authorized or unauthorized, constitutes consent to this monitoring, interception, recording, reading, copying, and disclosure."

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

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

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

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Welcome to eZ-Audit

**WARNING:**

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

Any access by an employee or agent of a commercial entity, or other third party, who is not the individual user, for purposes of commercial advantage or private financial gain (regardless of whether the commercial entity or third party is providing a service to an authorized user of the system); and

Any access in furtherance of any criminal or tortious act in violation of the Constitution or laws of the United States or any State.

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

1

U. S. Department of Education  
[Rules of Behavior](#) 2

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

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

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

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

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

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

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

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

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

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1. Rules of Behavior to view the detail rules
2. Accept & Continue

**NOTE**

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

### **Questions/Concerns**

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

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### eZ-Audit Registration

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

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

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

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

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

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

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

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

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

### Administrative Tasks/Security

#### Login

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



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

**NOTE**

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

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**\*\*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:

The screenshot shows a web-based application interface. At the top left is the "FEDERAL STUDENT AID" logo with an American flag graphic. To its right is the "eZ AUDIT" logo. On the far right is the "DEPARTMENT OF EDUCATION" seal. Below these, a blue horizontal bar spans the width of the page. The main content area is titled "CHALLENGE QUESTIONS". It contains the following text:  
In order to use our automated password reset, you are required to select two (2) challenge questions and provide the answers to each. Please note that the answers are case sensitive and will not be visible as you type them.  
When you have finished your selections, click the Submit button to go to your Home Page. If you wish to view or modify your Challenge Questions/Answers please go to the My Profile page.  
Below this text are two sets of challenge question selection fields. Each field consists of a dropdown menu with the placeholder "- Select -" and a small arrow icon, followed by a numbered circle (1, 2, 3, or 4) and an arrow pointing to the dropdown. At the bottom of the form is a blue "SUBMIT" button. At the very bottom of the page, there is a small footer line that reads "U. S. Department of Education".

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

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

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

**NOTE**

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

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

The screenshot shows a web-based application for updating a user's profile. At the top, there are three logos: the Federal Student Aid (FSA) logo on the left, the eZ-Audit logo in the center, and the United States Department of Education seal on the right. Below these, a blue header bar contains the text "Update My Profile".

**USER INFORMATION**

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

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

Fields for User Information:

- First Name: p
- Last Name: fix
- Email Address: Prod@fix.com
- Re-Type Email Address: [empty]
- Office Phone: 1234567890 Ext. [empty]
- Fax: [empty]

**CHANGE PASSWORD**

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

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

Fields for Password Change:

- New Password: [empty] ← 1
- Re-type New Password: [empty] ← 2

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

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**CHALLENGE QUESTIONS**

Choose from the following drop down menu.

|   |                      |
|---|----------------------|
| In which month was your mother born? <input type="button" value="▼"/> | <input type="text"/> |
| What is your child's middle name? <input type="button" value="▼"/>    | <input type="text"/> |

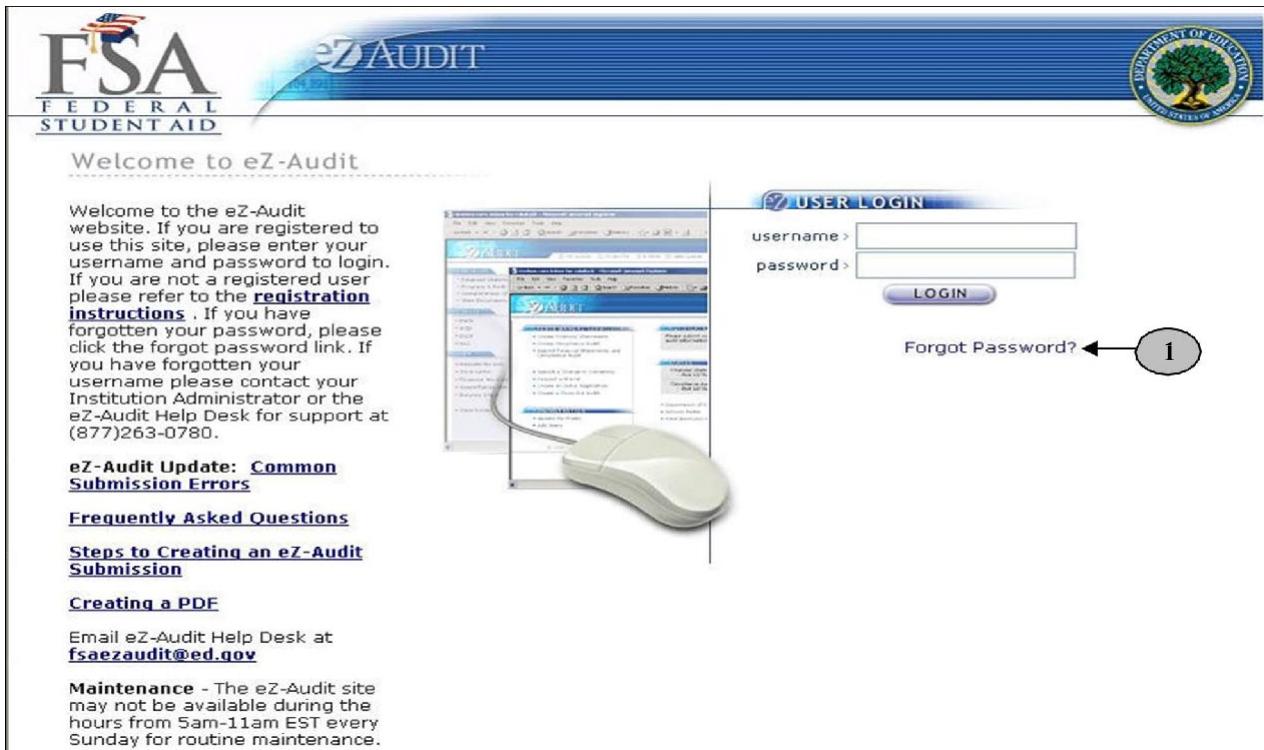
**SAVE**      **RESET**

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

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### ***Forgot Password***

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



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

The screenshot shows the "eZ-AUDIT" interface with the "FEDERAL STUDENT AID" logo and the U.S. Department of Education seal. The main title is "PASSWORD RESET". Below it is a section titled "USER INFORMATION" with a blue header. It contains five numbered steps: 1. A checkbox labeled "Check here if you are an institution user". 2. A "Username:" input field. 3. An "OPEID:" input field. 4. A "SUBMIT" button. 5. A "RESET" button. Step 1 has an arrow pointing to the checkbox. Step 2 has an arrow pointing to the "Username:" field. Step 3 has an arrow pointing to the "OPEID:" field. Step 4 has an arrow pointing to the "SUBMIT" button. Step 5 has an arrow pointing to the "RESET" button.

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

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Challenge Questions:

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

The screenshot shows the eZ-Audit Password Reset interface. At the top left is the FSA logo, followed by the eZ-AUDIT banner and the Department of Education seal. Below the banner is a "PASSWORD RESET" button. A "USER INFORMATION" section follows, containing two questions: "What month was your mother born in?" and "What is your favorite color?". Each question has a corresponding input field. To the right of each input field is a numbered circle (1 and 2) with an arrow pointing to the input field. Below the input fields are two buttons: "SUBMIT" and "RESET". A numbered circle (3) with an arrow points to the "SUBMIT" button, and another numbered circle (4) with an arrow points to the "RESET" button. At the bottom of the form is a small note: "U.S. Department of Education".

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

**NOTE**

The answers are case sensitive.

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### **Logout**

If you clicked on the **LOGIN** button, this will bring you to your Entity's homepage. The screen below should appear with your entity's name: On how to Login, follow the steps in **Login** Section.

The screenshot shows the eZ-Audit Home Page for the University of XYZ. At the top, there is a navigation bar with links for AUDIT HOME, HELP, MANAGE USERS, and LOGOUT. A large arrow points to the LOGOUT button, which is circled with a number '1'. The main content area displays the 'Home Page' for the University of XYZ, showing the Entity Name and OPEID. On the left sidebar, there are sections for CREATE ANNUAL SUBMISSIONS (with a link to Create FYE 04/30/2020 Annual Submission), OTHER SUBMISSIONS (with links to Change Fiscal Year End Date, Create Exemption Request Submission, Create Closeout Audit Submission, Create Stub Audit Submission, and Submit Additional Information), and VIEW HISTORICAL SUBMISSIONS. The right sidebar contains a NOTIFICATIONS section with several audit-related messages and a link to view the Final Audit Determination Letter. The bottom sidebar includes sections for ADMINISTRATION (Update My User Profile, View Institution Profile) and OTHER LINKS (Dept. of Education, Schools Portal).

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

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

**NOTE**

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

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

### ***My Profile***

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

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

**NOTE**

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

The screenshot shows the eZ-Audit Home Page. At the top, there is a navigation bar with links for AUDIT HOME, HELP, MANAGE USERS, and LOGOUT. The FSA logo is on the left, and the Department of Education seal is on the right. The main content area is titled "Home Page". It displays the entity name "ABC University" and OPEID "12345678". On the left sidebar, under "CREATE ANNUAL SUBMISSIONS", there is a link to "Create FYE 04/30/2020 Annual Submission". Under "OTHER SUBMISSIONS", there are links for "Change Fiscal Year End Date", "Create Exemption Request Submission", "Create Closeout Audit Submission", "Create Stub Audit Submission", and "Submit Additional Information". A button labeled "VIEW HISTORICAL SUBMISSIONS" is also present. In the center, under "NOTIFICATIONS", there is a list of audit submissions and their status. On the right sidebar, under "ADMINISTRATION", there are links for "Update My User Profile" and "View Institution Profile". A callout bubble points to the "Update My User Profile" link. Under "OTHER LINKS", there are links to "Dept. of Education" and "Schools Portal".

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

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

Update My Profile

**USER INFORMATION**

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

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

First Name:

Last Name:

Email Address:

Re-Type Email Address:

Office Phone:  Ext.

Fax:

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

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**CHANGE PASSWORD**

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

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

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

Password cannot contain a space(s).

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

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

Old Password:

New Password:

Re-type New Password:

**CHALLENGE QUESTIONS**

Choose from the following drop down menu.

|  |  |
|--|--|
| In which month was your mother born? ▼ |  |
| What is your favorite color? ▼         |  |

**SAVE**    **RESET**

**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!!!

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

### 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:

The screenshot shows a section titled "eZ CHALLENGE QUESTIONS" with the instruction "Choose from the following drop down menu." Two dropdown menus are displayed: "What month was your mother born in?" and "What is your favorite color?". Below the dropdowns are "SAVE" and "RESET" buttons. Numbered callouts point to specific elements: 1 points to the first dropdown, 2 points to the second dropdown, 3 points to the answer field for the first question, and 4 points to the answer field for the second question.

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

**NOTE**

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

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

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### 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:

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

Password must be 12 to 40 characters in length and must contain each of the following types of characters:  
 - English uppercase letters (A-Z).  
 - English lowercase letters (a-z).  
 - Westernized Arabic numerals (0-9).  
 - Non-alphanumeric special characters such as !,@,#,\$,%,&,\* and ..  
 Password cannot contain a space(s).  
 The password must be different from your previous twenty-four passwords.  
**Important: Do not use your user ID, name, or this system name.**

**Old Password:**  1

**New Password:**  2

**Re-type New Password:**  3

Choose from the following drop down menu.

In which month was your mother born?  4

What is your favorite color?

**SAVE** 5 **RESET**

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

#### NOTE

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

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

### Navigation

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

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

The screenshot shows the eZ-Audit Home Page. At the top left, there are back and forward navigation arrows. Next to them is a circular icon containing a letter 'C'. The URL in the address bar is test.ezaudit.ed.gov/EZWebApp/institutionHome.do. The page header includes the Federal Student Aid (FSA) logo, the eZ-Audit logo, and the Department of Education seal. The main content area is titled "Home Page". It displays the entity name "University of XYZ" and OPEID "80000001". On the left sidebar, there are sections for "CREATE ANNUAL SUBMISSIONS" (with a link to "Create FYE 04/30/2020 Annual Submission") and "OTHER SUBMISSIONS" (with links to "Change Fiscal Year End Date", "Create Exemption Request Submission", "Create Closeout Audit Submission", "Create Stub Audit Submission", and "Submit Additional Information"). A "VIEW HISTORICAL SUBMISSIONS" button is also present. The right sidebar contains a "NOTIFICATIONS" section with several audit-related messages. The bottom of the page features sections for "ADMINISTRATION" (links to "Update My User Profile" and "View Institution Profile") and "OTHER LINKS" (links to "Dept. of Education" and "Schools Portal"). Two large, semi-transparent gray circles are overlaid on the page. Circle 1 is positioned over the back and forward arrows at the top left. Circle 2 is positioned over the "Create FYE 04/30/2020 Annual Submission" link in the "CREATE ANNUAL SUBMISSIONS" section.

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

### Data Edits

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

The screenshot shows the eZ-Audit interface for a "Lender servicer UG Annual Submission". The left sidebar lists four steps: 1. Compliance Audit, 2. Completeness Checklist, 3. Upload Attachments, and 4. Submit. The main content area displays the following information:

Lender servicer UG Annual Submission    COMPLIANCE AUDIT INFORMATION

» Entity Name: ABC University  
• OPEID: 12345678  
Error(s):

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

The screenshot shows the eZ-Audit interface for a "Lender servicer UG Annual Submission". The left sidebar lists four steps: 1. Compliance Audit, 2. Completeness Checklist, 3. Upload Attachments, and 4. Submit. The main content area displays the following information:

» Entity Name: ABC University  
• OPEID: 12345678  
Error(s):

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

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

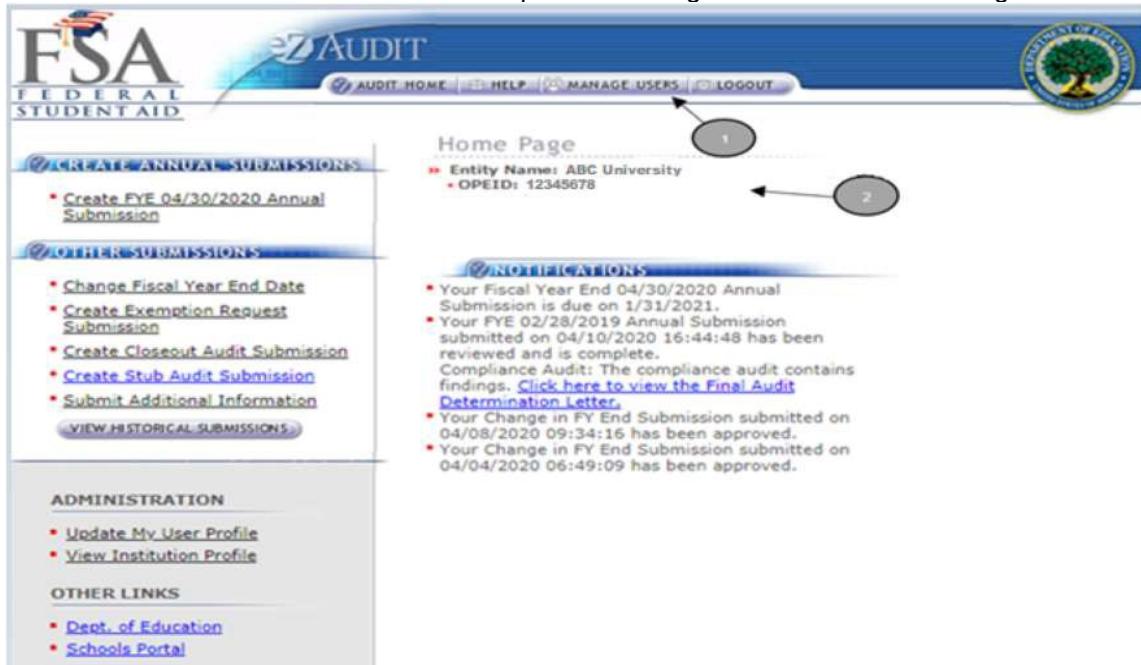
### Manage Users

#### Types of Users and Responsibilities

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

#### Entity Administrator Homepage

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



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

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

### ***Creating/Deleting Data Entry/Submitter Users***

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

| NAME         | USERNAME | DELETE |
|--------------|----------|--------|
| smith01, Jon | jsmith01 |        |

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

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



### Add User

**USER INFORMATION**

Fields denoted by an asterisk (\*) are required.

|                           |   |  |
|---------------------------|---|--|
| First Name:               | * | <input type="text"/>                           |
| Last Name:                | * | <input type="text"/>                           |
| OPEID: 80000300           |   |  |
| Email Address:            | * | <input type="text"/>                           |
| Re-Type Email Address:    | * | <input type="text"/>                           |
| Office Phone:             | * | <input type="text"/> Ext. <input type="text"/> |
| Fax: <input type="text"/> |   |  |

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

3

**ROLE \***

|                                     |
|-------------------------------------|
| <input type="checkbox"/> Data Entry |
| <input type="checkbox"/> Submitter  |

**REPORTS**

**ADD USER**   **RESET FORM**

4

5

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

**NOTE**

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

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

### Entity Profile Page

#### Entity Profile

Entity's should confirm that the information is correct.



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

**NOTE**

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

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

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

The screenshot shows the eZ-Audit interface for an institution profile. At the top, there are navigation links: 'eZAudit Home' (highlighted in blue), 'Entity Profile', 'AUDIT HOME', 'HELP', 'MANAGE USERS', and 'LOGOUT'. On the right is the official seal of the United States Department of Education. Below the header, the page title is 'Institution Profile' and the entity name is 'ABC University' with 'OPEID: 12345678' next to it. A note states 'The information on this page is read-only.' The main content area contains various input fields for institution details, all of which are currently empty except for the header information:

|                             |                                     |
|-----------------------------|-------------------------------------|
| Entity Name:                | NYSHEC NEW YORK<br>STATE HIGHER EDU |
| Type of Entity:             | Lender Servicer                     |
| Address:                    | 99 WASHINGTON AVE                   |
| Address:                    |                                     |
| City:                       | ALBANY                              |
| State:                      | NY                                  |
| Zip/Postal Code:            | 12255                               |
| Phone Number:               | 0000000                             |
| Fax Number:                 |                                     |
| TIN:                        | 000000000                           |
| DUNS Number:                |                                     |
| Fiscal Year End:            | 07/31/2019                          |
| President:                  |                                     |
| President Email:            |                                     |
| Financial Aid Admin:        |                                     |
| FAA Email:                  |                                     |
| Primary Accreditation Org.: |                                     |
| Other Accreditation Org.:   |                                     |

**Step-by-Step Guide to Using eZ-Audit for Lender Servicer OIG and Lender Servicer UG Audit Guide****Historical Submissions**

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

**NOTE**

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

The screenshot shows the eZ-Audit interface. At the top, there is a navigation bar with links for AUDIT HOME, SEARCH, INSTITUTION HOME, REPORTS, and LOGOUT. To the right of the navigation bar is the U.S. Department of Education seal. Below the navigation bar, the text "View Historical Submissions" is displayed. Underneath this, there is a breadcrumb trail showing "» ABC University". To the right of the breadcrumb trail is the text "OPEID: 12345678". A table follows, listing historical submissions. The columns are "Fiscal Year End", "Submission Type", "Submission Date", and "Institution Type". There are two rows of data:

| Fiscal Year End | Submission Type                  | Submission Date | Institution Type |
|-----------------|----------------------------------|-----------------|------------------|
| » N/A           | <u>Change in Fiscal Year End</u> | 05/08/2020      | Lender           |
| » 04/30/2019    | <u>Annual</u>                    | 05/21/2020      | Lender           |

**Step-by-Step Guide to Using eZ-Audit for Lender Servicer OIG and Lender Servicer UG Audit Guide****Section 1: LENDER SERVICER OIG AUDIT GUIDE****Lender Servicer OIG - Annual Submission**

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 entity's name:

**NOTE**

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

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

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

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

### Annual Submission Compliance Audit Information

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

Lender Servicer OIGAG Annual Submission    COMPLIANCE AUDIT INFORMATION

Entity Name: ABC University  
OPEID# 12345678

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

2. Indicate the Period Audited (mm/dd/yyyy):  
 Begin Date: 4/01/2019  
 End Date: 03/31/2020

3. Review Auditor Information:  
 Records Indicate your Current Auditor Is: test 435345435  
 Is this information correct?:  
 YES     NO

Enter Auditor's TIN (Optional):  
 Auditor's Name\*:   
 Auditor Firm Name\*:   
 Address 1\*:   
 Address 2 (Optional):   
 City\*:   
 State (Optional):   
 Country\*:  -- Select a Country --  
 Phone #:   
 Fax # (Optional):   
 Email Address\*:

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

CANCEL    SAVE    SAVE AND PROCEED

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

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

**Note:** If you select 'No' to Question 1 then user will not have ability to add more entity in the Lender table.  
If 'Yes', follow the steps in section '**Adding Entity to the Lender table**'.
3. Begin date is the beginning of the audit period.
4. End date is the end of the audit period.
5. This is the auditor on file with the Department of Education.
6. If the auditor's information is correct, no action is required. If incorrect or this is a new auditor, please select **NO**, and update with current information.
7. Please fill up all the mandatory fields. When Country is "United States" then TIN and State are required fields.
8. Does this Compliance Audit contain any findings related to the Federal Family Education Loan Program (FEELP)?
9. **IMPORTANT WARNING:** Click the **CANCEL** button to erase/delete all entries since the last time you saved your work.
10. Click the **SAVE** button to ensure all entries are successfully stored by the system for this page.
11. Click the **SAVE** and **PROCEED** button to go to the Annual Submission-Lender Annual Submission

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

This is the next stage in the submission process.

### Adding Entity to the Lender table

Lender Servicer OIG AG Annual Submission COMPLIANCE AUDIT INFORMATION

Entity Name: ABC University  
OPEID: 12345678

1. Is this submission covering multiple Lenders?:

YES     NO

| OPEID    | NAME   | PARENT ID | CITY   | STATE | DELETE |
|----------|--|-----------|--------|-------|--------|
| 70000300 | NYSHESC<br>NEW<br>YORK<br>STATE<br>HIGHER<br>EDU |           | ALBANY | NY    |        |

Add Lender OPEID: 7000200

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

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

#### NOTE

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

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

### ***Deleting Entity from the Lender table***

Lender Servicer OIG AG Annual Submission      COMPLIANCE AUDIT INFORMATION

Entity Name: ABC University  
OPEID: 12345678

1.

1. Is this submission covering multiple Lenders?:

YES      NO

2.

| OPEID    | NAME  | PARENT ID             | CITY     | STATE | DELETE                              |
|----------|---|-----------------------|----------|-------|-------------------------------------|
| 70000300 | NYSHEC<br>NEW<br>YORK<br>STATE<br>HIGHER<br>EDU | <input type="radio"/> | ALBANY   | NY    | <input checked="" type="checkbox"/> |
| 70002700 | COSTEP  | <input type="radio"/> | EDINBURG | TX    | <input checked="" type="checkbox"/> |

3.

Add Lender OPEID:

4.

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

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

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

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

### Annual Submission Completeness Checklist

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

**Note:** Lender Servicer -OIG Completeness checklist will varies depending on the gateway question selected

### Standard Engagements Compliance Checklist

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

The screenshot shows the 'Lender Servicer OIG AG Annual Submission CHECKLIST' page. At the top, it displays the FSA logo, the eZ-Audit logo, and navigation links for AUDIT HOME, SEARCH, INSTRUCTIONS, REPORTS, and LOGOUT. The Entity Name is listed as ABC University with OPEID#12345678. A note states 'All fields are required.' Below this, section 1 details report package requirements, which must include an examination-level report, a schedule of findings, a summary resolution of prior engagement findings, management representations, a corrective action plan, and any separate reports on fraud, illegal acts, or abuse. Section 2 covers contact information and additional notes. At the bottom, there are fields for President/CEO and Firm/CPA contact information, and a note entry field. Action buttons include CANCEL, SAVE, and SAVE AND PROCEED. Numbered callouts (1 through 6) point to various parts of the interface: 1 points to the Entity Name/OPEID; 2 points to the report package requirements; 3 points to the contact information sections; 4 points to the note entry field; 5 points to the SAVE button; and 6 points to the SAVE AND PROCEED button.

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

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1. Confirm that the information displayed is correct.
2. Ensure all applicable documents are included with your audit report submission
3. Contact Information and Additional Notes

Provide contact information (name, email, phone) President/CEO Contact and Firm & CPA

Contact (FIRM Name, Auditor Name, Email, Phone) for who should be contacted regarding the submission and/or additional notes as necessary.

- Please feel free to attach any additional document(s). If you do attach these additional documents, please write a note in this field advising that you have attached additional information not required in this process.

4. **IMPORTANT WARNING:** Click the **CANCEL** button to erase/delete all entries since the last time you saved your work.
5. Click the **SAVE** button to save all entries currently on screen.
6. Click the **SAVE and PROCEED** button to save all entries and to take you to the **Upload Attachment** page

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

### Alternative Engagements Compliance Checklist

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

Lender Servicer OIG AG Annual Submission CHECKLIST

Entity Name: ABC University  
OPEID 12345678

All fields are required.

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

- Agreed-Upon Procedures Report (Attachment 2);
- Agreed-Upon Procedures and Results (Attachment 3);
- Lender Servicer Attestation Engagement Report;
- Summary Schedule on the Resolution of Prior Engagement Findings: FFEL Program Lender Compliance Attestation Engagement Guide January 2011 Page 46 of 66
- Lender and Auditor Information Sheet (Attachment 4);
- Management Representations and Management Assertions (Attachment 5);
- Corrective Action Plan;
- Any Separate report on fraud, illegal acts, or abuse submitted under the procedures in 2.10;
- Any Management letters issued to the lender concerning the engagement
- Uploaded document(s) must be in English
- Do not include Personally Identifiable Information (PII)

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

President/CEO Contact:

Firm and CPA Contact:

Enter any additional notes:

CANCEL    SAVE    SAVE AND PROCEED

1. Confirm that the information displayed is correct.
2. Ensure all applicable documents are included with your audit report submission.
3. Provide contact information (name, email, phone) President/CEO Contact and Firm & CPA

Contact (FIRM Name, Auditor Name, Email, Phone) for who should be contacted regarding the submission and/or additional notes as necessary.

- Please feel free to attach any additional document(s). If you do attach these additional

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

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documents, please write a note in this field advising that you have attached additional information not required in this process.

4. **IMPORTANT WARNING:** Click the **CANCEL** button to erase/delete all entries since the last time you saved your work.
5. Click the **SAVE** button to save all entries currently on screen.
6. Click the **SAVE and PROCEED** button to save all entries and to take you to the **Upload Attachment page**.

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

### Combined Engagement Compliance Checklist

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

Lender Servicer OIG AG Annual Submission CHECKLIST

Entity Name: ABC University  
OPEID: 12345678

All fields are required.

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

The report package for Combined Engagements must include:

- Examination-Level Report On Compliance With Specified Requirements (Attachment 1);
- Schedule of Findings;
- Agreed-Upon Procedures Report (Attachment 2);
- Agreed-Upon Procedures and Results (Attachment 3);
- Lender Servicer Attestation Engagement Report;
- Summary Schedule on the Resolution of Prior Engagement Findings;
- Lender and Auditor Information Sheet (Attachment 4);
- Management Representations and Management Assertions (Attachment 5);
- Corrective Action Plan;
- Any Separate report on fraud, illegal acts, or abuse submitted under the procedures in 2.10a;
- Any Management letters issued to the lender concerning the engagement;
- Uploaded document(s) must be in English
- Do not include Personally Identifiable Information (PII)

2. Contact Information/Additional Notes

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

President/CEO Contact

Firm and CPA Contact

Enter any additional notes

CANCEL      SAVE      SAVE AND PROCEED

1. Confirm that the information displayed is correct.
2. Ensure all applicable documents are included with your audit report submission.
3. Provide contact information (name, email, phone) President/CEO Contact and Firm & CPA

Contact (FIRM Name, Auditor Name, Email, Phone) for who should be contacted regarding the submission and/or additional notes as necessary.

- Please feel free to attach any additional document(s). If you do attach these additional

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

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documents, please write a note in this field advising that you have attached additional information not required in this process.

4. **IMPORTANT WARNING:** Click the **CANCEL** button to erase/delete all entries since the last time you saved your work.
5. Click the **SAVE** button to save all entries currently on screen.
6. Click the **SAVE and PROCEED** button to save all entries and to take you to the **Upload Attachment page**.

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

### Annual Submission Upload Attachments

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

Lender Servicer OIG AG Annual Submission FILE UPLOAD

Entity Name: ABC University  
OPEID: 12345678

As part of your Annual Submission, you must include an electronic copy of your complete audited compliance audit and corrective action plan (if applicable). Please use the fields below to upload the files that you wish to submit to the Department of Education. For each file you upload, use the checkboxes to indicate what is contained in the file. Please note, all files must be in .pdf format. Upload times may vary depending on connection speed, but upload times greater than 3 minutes is common - please wait for page to refresh before continuing.

Uploaded document(s) must be in English.

Do not include Personally Identifiable Information (PII).

File: Choose File No file chosen

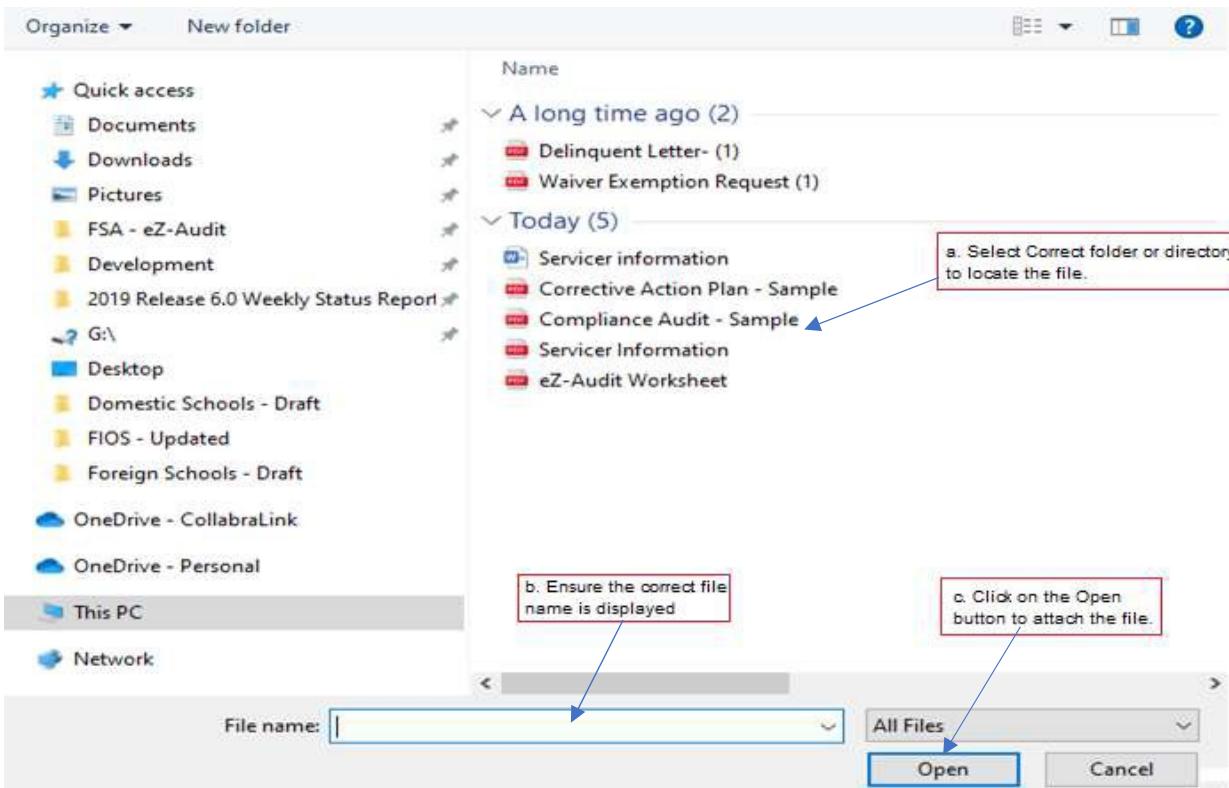
Compliance Audit:   
Corrective Action Plan:   
Other:

ADD

CANCEL SAVE SAVE AND PROCEED

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

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



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

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

### Annual Submission-Submit

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

The screenshot shows the eZ-Audit interface for annual submissions. At the top, there's a navigation bar with links for AUDIT HOME, HELP, MANAGE USERS, and LOGOUT. The FSA logo is on the left, and the Department of Education seal is on the right. A sidebar on the left lists options: Compliance Audit, Completeness Checklist, Upload Attachments, and Submit. The main content area displays the following information:

- Entity Name: ABC University
- OPEID: 12345678

Below this, a message states: "By selecting 'Submit to ED', the information you have entered on these pages will be sent to the Department of Education." To the right of this message is a large bracketed callout labeled "2" pointing to the "Submit to ED" button.

Underneath the message, another bracketed callout labeled "3" points to the "SUBMIT TO ED" button. The button is highlighted with a blue border and contains the text "SUBMIT TO ED".

I hereby certify that, to the best of my knowledge and belief, all information in this submission is true and accurate.

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

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

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

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

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

**NOTE**

You will have “read” access only once submitted.

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

### Lender Servicer OIG - Change in Fiscal Year End

#### Change in Fiscal Year End Submission

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

ABC University  
• OPEID: 12345678

Change in Fiscal Year End Submission

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

Enter new fiscal year end: Select Month ▾

Are you submitting the Audit under?:

Uniform Guidance

OIG Audit Guide

SUBMIT TO ED

1. Confirm the information displayed is correct.
2. Click on the dropdown list to change month as desired.
3. Are you submitting the Audit under? **Note:** Select the OIG Audit Guide Radio button option for Lender-OIG Guide.

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

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4. Click on the “**SUBMIT TO ED**” this will then take you to your entity’s homepage with a displayed confirmation of your submission. If you do not have the “**SUBMIT TO ED**” button please verify that “submitter” is selected as a user role. See Manage Users for details.

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

### Lender Servicer OIG - Closeout Audit Submission

#### Closeout Audit Submission - Compliance Audit Information

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

**Closeout Audit Submission** COMPLIANCE AUDIT INFORMATION

Entity Name: ABC University  
OPEID: 12345678

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

2. Indicate the Period Audited (mm/dd/yyyy):  
 Begin Date: [redacted]    End Date: [redacted]

3. Review Auditor Information:  
 Records Indicate your Current Auditor Is: test    TIN: 435345435  
 Is this information correct?  
 YES     NO

Enter Auditor's TIN (Optional): [redacted]  
 Auditor's Name\*: [redacted]  
 Auditor Firm Name\*: [redacted]  
 Address 1\*: [redacted]  
 Address 2 (Optional): [redacted]  
 City\*: [redacted]  
 State (Optional): [redacted]  
 Country\*: — Select a Country —  
 Phone #: [redacted]  
 Fax # (Optional): [redacted]  
 Email Address\*: [redacted]

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

CANCEL    SAVE    SAVE AND PROCEED

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

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

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

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

### Closeout Audit Submission Completeness Checklist

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

The screenshot shows the eZ-Audit interface for a Closeout Audit Submission. The top navigation bar includes links for AUDIT HOME, HELP, MANAGE USERS, and LOGOUT. The main content area is titled "Closeout Audit Submission CHECKLIST". It displays the following information:

- Entity Name: ABC University
- OPEID# 12345678
- All fields are required.

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

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

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

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

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

**3. Contact Information/Additional Notes**

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

**President/CEO Contact**

Name: \_\_\_\_\_  
Email: \_\_\_\_\_  
Phone: \_\_\_\_\_

**Firm and CPA Contact**

Firm Name: \_\_\_\_\_  
Auditor Name: \_\_\_\_\_  
Email: \_\_\_\_\_  
Phone: \_\_\_\_\_

Enter any additional notes: \_\_\_\_\_

At the bottom of the page are three buttons: CANCEL, SAVE, and SAVE AND PROCEED. Arrows labeled 4, 5, and 6 point to the notes field, the SAVE button, and the SAVE AND PROCEED button respectively.

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

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

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

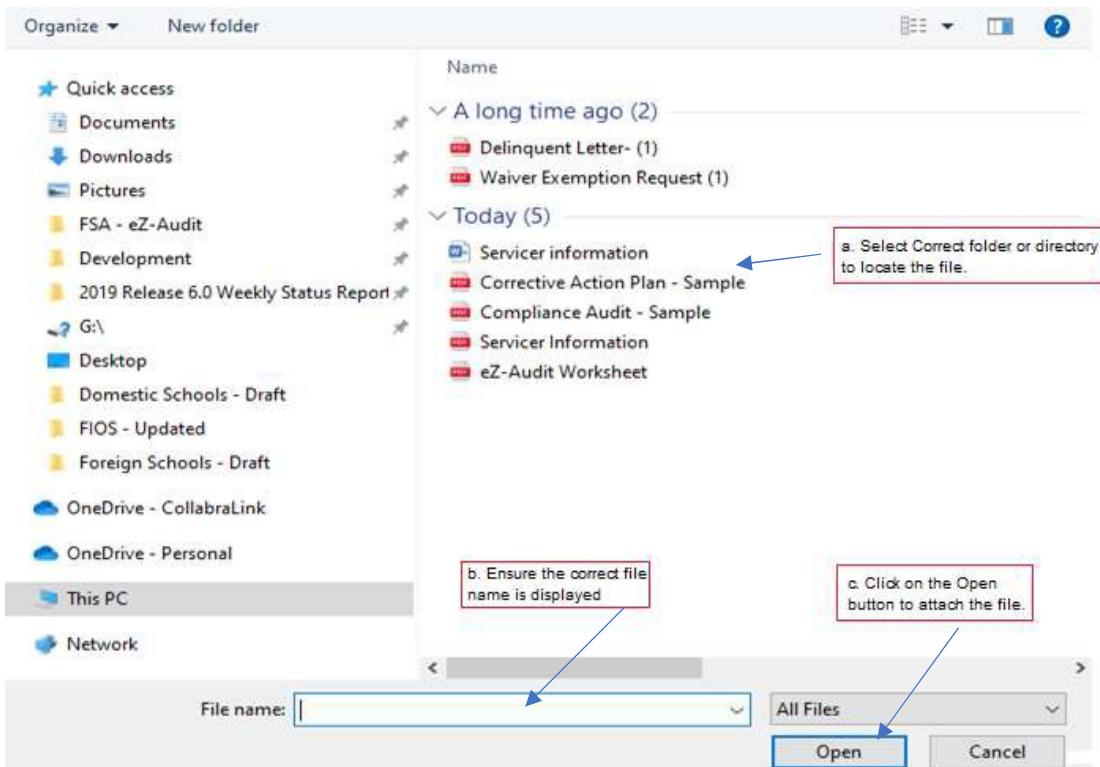
### Closeout Audit Submission Upload Attachments

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

The screenshot shows the eZ-Audit interface for Closeout Audit Submission. At the top, there are navigation links: AUDIT HOME, HELP, MANAGE USERS, and LOGOUT. The FSA logo is on the left, and the Department of Education seal is on the right. The main content area is titled "Closeout Audit Submission UPLOAD ATTACHMENTS". It displays a summary: Entity Name: ABC University, OPEID: 12345678. Below this, instructions state: "As part of your Closeout Audit Submission, you must include an electronic copy of your complete compliance audit and corrective action plan (if applicable). Please use the fields below to upload the files that you wish to submit to the Department of Education. For each file you upload, use the checkboxes to indicate what is contained in the file. Please note, all files must be in .pdf format. Upload times may vary depending on connection speed, but upload times greater than 1 minute is common - please wait for page to refresh before continuing." A note below says: "Uploaded document(s) must be in English." There is a warning: "Do not include Personally Identifiable Information (PII)". Below these, there is a file upload section with a "Choose File" button (labeled 2), which currently says "No file chosen". There are three checkboxes for document types: "Compliance Audit" (labeled 3), "Corrective Action Plan" (labeled 3), and "Others". An "ADD" button (labeled 4) is located next to the checkboxes. At the bottom, there are three buttons: "CANCEL" (labeled 5), "SAVE" (labeled 6), and "SAVE AND PROCEED" (labeled 7).

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

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



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 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-Closeout Audit Submission-submit page.

**NOTE**

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

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

### Closeout Audit Submission-Submit

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

The screenshot shows the eZ-Audit interface for a Closeout Audit Submission. At the top, there are navigation links: AUDIT HOME, HELP, MANAGE USERS, and LOGOUT. The FSA logo is on the left, and the Department of Education seal is on the right. The main content area has a title "Closeout Audit Submission SUBMIT". It displays a summary: "Entity Name: ABC University" and "OPEID: 12345678". Below this, a note says: "By selecting 'Submit to ED', the information you have entered on these pages will be sent to the Department of Education." A large "SUBMIT TO ED" button is at the bottom. To the left, a sidebar lists steps: 1 Compliance Audit, 2 Completeness Checklist, 3 Upload Attachments, and 4 Submit. Callouts numbered 1, 2, and 3 point to the OPEID field, the note about sending to ED, and the "SUBMIT TO ED" button respectively.

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

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

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

**NOTE**

You will have read access only once submitted.

## Step-by-Step Guide to Using eZ-Audit for Lender Servicer- OIG Audit Guide

### Lender Servicer OIG - Stub Audit Submission

#### Stub Audit Submissions Compliance Audit Information

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

The screenshot shows the 'Stub Audit Submission' page for a 'COMPLIANCE AUDIT INFORMATION'. The page has a sidebar with links: 'Compliance Audit', 'Completeness Checklist', 'Upload Attachments', and 'Submit'. The main content area starts with 'Entity Name: ABC University' and 'OPEID: 12345678' (callout 1). It then asks '1. Is this submission covering multiple Lenders?' with 'YES' and 'NO' options (callout 2). Next, it asks '2. Indicate the Period Audited (mm/dd/yyyy)' with fields for 'Begin Date' and 'End Date' (callouts 3 and 4) and a 'Reason for Stub Audit' field (callout 5). Below that is '3. Review Auditor Information' with fields for 'Enter Auditor's TIN (Optional)', 'Auditor's Name\*', 'Auditor Firm Name\*', 'Address 1\*', 'Address 2 (Optional)', 'City\*', 'State (Optional)', 'Country\*', 'Phone #\*', 'Fax # (Optional)', and 'Email Address\*' (callout 6). A note says 'Records Indicate your Current Auditor Is: test'. It then asks 'Is this information correct?' with 'YES' and 'NO' options (callout 7). If 'NO', a TIN '435345435' is shown (callout 8). Finally, it asks '4. Does this Compliance audit contain any findings related to the Federal Family Education Loan Program (FFELP)?' with 'YES' and 'NO' options (callout 9). At the bottom are 'CANCEL', 'SAVE' (callout 10), and 'SAVE AND PROCEED' (callout 11).

## Step-by-Step Guide to Using eZ-Audit for Lender Servicer- OIG Audit Guide

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

**Note:** If you select 'No' to Question 1 then user will not have ability to add more entity in the Lender table.  
If 'Yes', follow the steps in section '**Adding Entity to the Lender table**'.
3. Begin date is the beginning of the audit period.
4. End date is the end of the audit period.
5. Provide a reason if your audit period is less than a year.
6. This is the auditor on file with the Department of Education.
7. If the auditor's information is correct, no action is required. If incorrect or this is a new auditor, please select **NO**, and update with current information.
8. Please fill up all the mandatory fields. When Country is "United States" then TIN and State are required fields.
9. Does this Compliance audit report contain any findings related to the Federal Family Education Loan Program (FEELP)?
10. **IMPORTANT WARNING:** Click the **CANCEL** button to erase/delete all entries since the last time you saved your work.
11. Click the **SAVE** button to ensure all entries are successfully stored by the system for this page.
12. Click the **SAVE** and **PROCEED** button to go to the Annual Submission-Lender Annual Submission **Completeness Checklist page**. This is the next stage in the submission process.

## Step-by-Step Guide to Using eZ-Audit for Lender Servicer- OIG Audit Guide

### Stub Audit Submissions Completeness Checklist

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

The screenshot illustrates the process flow for a Stub Audit Submission. The steps are numbered as follows:

1. The user is on the eZ-Audit homepage, navigating through the menu to reach the 'Stub Audit Submission' and 'Completeness Checklist' sections.
2. The user is viewing the 'Stub Audit Submission CHECKLIST' page for ABC University, with Entity Name and OPEID pre-filled. A note states 'All fields are required.'
3. The user reviews the checklist items, which include:
  - 1. Please ensure the following are included in your submission, if applicable:  
Are the following items, if applicable, included in the attachment of your Stub Audit Submission?
  - 2. Does the Independent Auditor's Report make reference to the examination of required management assertions? (if applicable)
4. The user enters contact information for the President/CEO and Firm and CPA.
5. The user enters any additional notes.
6. The user clicks the 'SAVE and PROCEED' button to complete the submission.

## Step-by-Step Guide to Using eZ-Audit for Lender Servicer- OIG Audit Guide

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

## Step-by-Step Guide to Using eZ-Audit for Lender Servicer- OIG Audit Guide

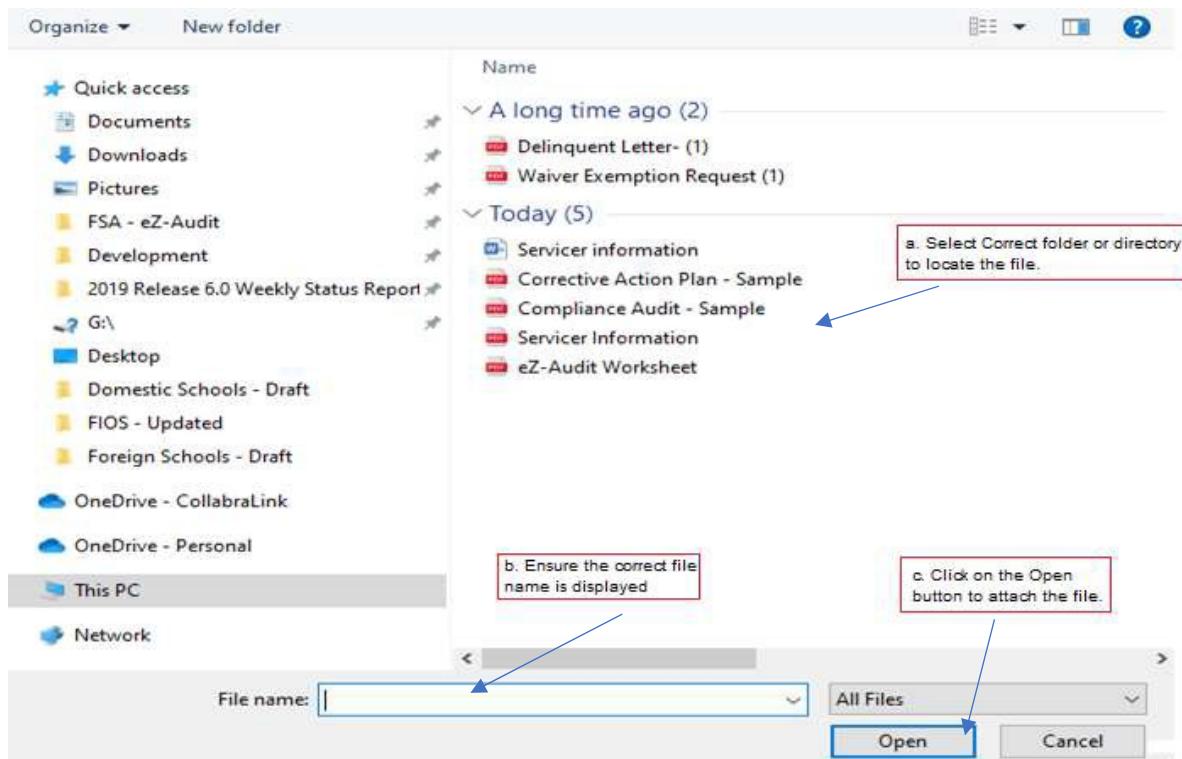
### Stub Audit Submissions Upload Attachments

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

The screenshot shows the eZ-Audit interface for Stub Audit Submission. The top navigation bar includes links for AUDIT HOME, HELP, MANAGE USERS, and LOGOUT. The sidebar on the left lists four options: Compliance Audit, Completeness Checklist, **Upload Attachments**, and Submit. The main content area is titled "Stub Audit Submission" and "UPLOAD ATTACHMENTS". It displays the entity information: Entity Name: ABC University and OPEID: 12345678. Below this, there is a note: "As part of your Stub Audit Submission, you must include an electronic copy of your complete compliance audit and corrective action plan (if applicable). Please use the fields below to upload the files that you wish to submit to the Department of Education. For each file you upload, use the checkboxes to indicate what is contained in the file. Please note, all files must be in .pdf format. Upload times may vary depending on connection speed, but upload times greater than 1 minute is common - please wait for page to refresh before continuing." A callout bubble labeled "1" points to this note. Below the note, it says "Uploaded document(s) must be in English." Another callout bubble labeled "2" points to this text. A "File:" input field with the placeholder "Choose File" and the message "No file chosen" is shown. To its right are three checkboxes for "Compliance Audit", "Corrective Action Plan", and "Others". A callout bubble labeled "3" points to these checkboxes. Below the file input field is an "ADD" button. Callout bubbles labeled "4", "5", "6", and "7" point to the "ADD" button, the "CANCEL" button, the "SAVE" button, and the "SAVE AND PROCEED" button respectively.

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

## Step-by-Step Guide to Using eZ-Audit for Lender Servicer- OIG Audit Guide



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

**NOTE**

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

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

### Stub Audit Submission-Submit

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

The screenshot shows the eZ-Audit Stub Audit Submission page. The top navigation bar includes the FSA logo, the eZ-Audit logo, and links for AUDIT HOME, HELP, MANAGE USERS, and LOGOUT. The main content area has a sidebar with links for Compliance Audit, Completeness Checklist, Upload Attachments, and Submit. The main body shows the Entity Name as ABC University and the OPEID as 12345678. A note states: "By selecting 'Submit to ED', the information you have entered on these pages will be sent to the Department of Education." Below this is a certification statement: "I hereby certify that, to the best of my knowledge and belief, all information in this submission is true and accurate." At the bottom is a "SUBMIT TO ED" button. Three numbered callouts point to the OPEID field (1), the certification statement (2), and the "SUBMIT TO ED" button (3).

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.

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

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

**NOTE**

You will have read access only once submitted.

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

### Lender Servicer OIG - Exemption Request

#### Create Exemption Request

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

**Create Exemption Request**

» ABC University  
\* OPEID: 12345678

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

File\*: Choose File No file chosen

ADD

Waiver/Exemption Requested for FYE\*: ...Select FYE...

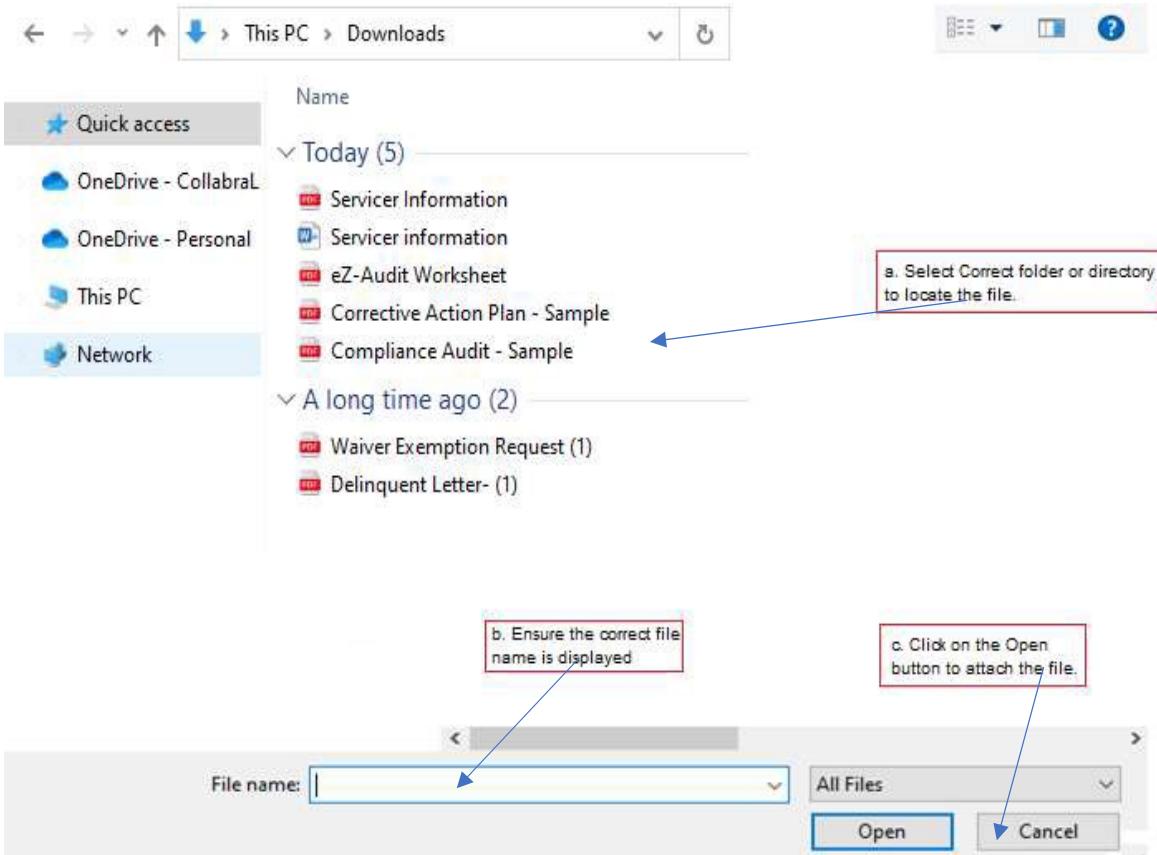
By clicking the "Submit to ED" button below, I certify that I am the individual currently signed into this system on behalf of the entity, and that I am authorized to submit this information on behalf of the entity. I also certify that, to the best of my knowledge and belief, all information in this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

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

CANCEL SUBMIT TO ED

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

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



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

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

The screenshot shows the 'Create Exemption Request' page of the eZ-Audit system. At the top, it displays the FSA logo and the Department of Education seal. The main form area has the following elements:

- Entity Information:** ABC University, OPEID: 12345678.
- Waiver/Exemption Requested for FYE:** A dropdown menu labeled "Select FYE".
- Attached File(s):** A table showing one file: "sample.adf".
- Buttons:** "Choose File" (with "No file chosen" message), "ADD", "Request document", and "DELETE".
- Text Area:** A large text block detailing the certification required when clicking the "Submit to ED" button.
- Bottom Buttons:** "CANCEL" and "SUBMIT TO ED".

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

**Step-by-Step Guide to Using eZ-Audit for Lender Servicer OIG and Lender Servicer UG Audit Guide****Lender Servicer OIG - Additional Information****Additional Information Submission**

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

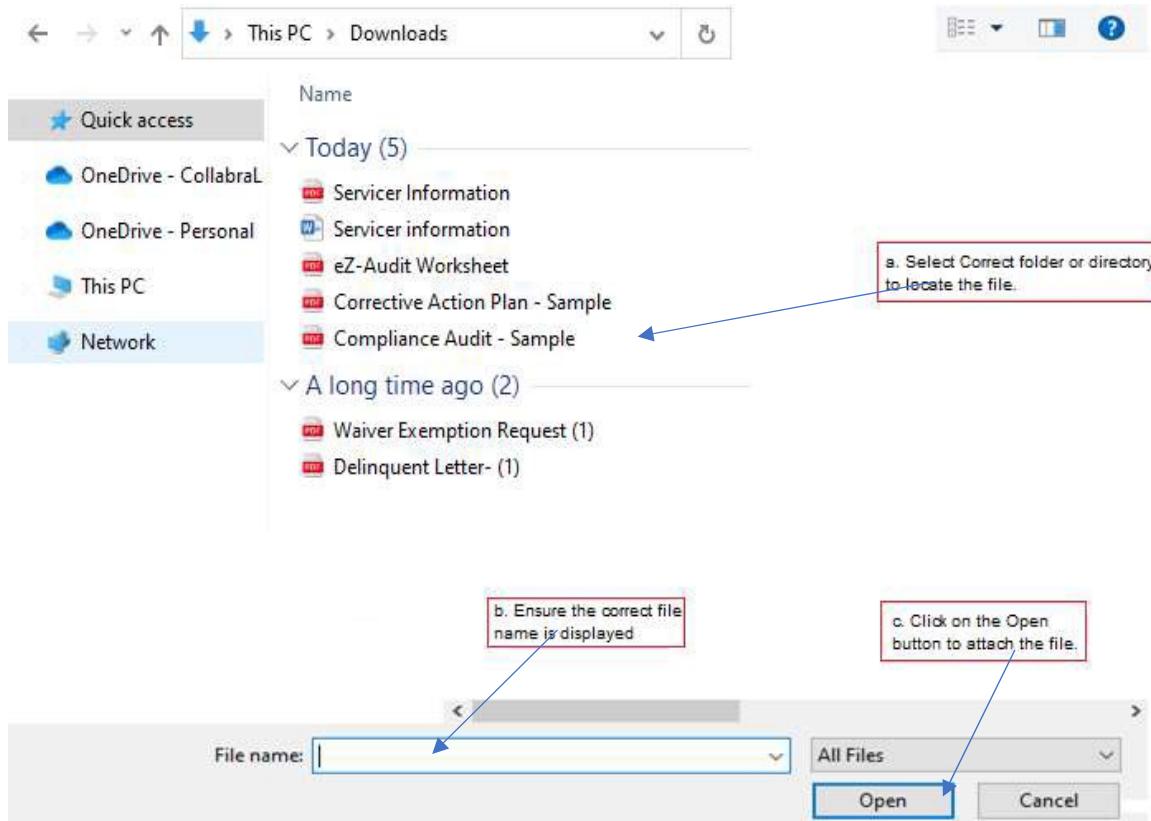
1

2

3

4

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

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

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

**NOTE**

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

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

### Section 2: LENDER SERVICER UNIFORM GUIDANCE (UG)

#### Lender Servicer UG - Annual Submissions

##### Annual Submission Compliance Audit Information

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

**NOTE**

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

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

Lender servicer UG Annual Submission

Entity Name: ABC University  
OPEID: 12345678

1. Is this submission covering multiple Lenders?:  YES  NO
2. Indicate the Period Audited (mm/dd/yyyy):  
Begin Date: 05/01/2018 End Date: 07/31/2019
3. Review Auditor Information:  
Records Indicate your Current Auditor Is: PC700000000  
Is this information correct?  YES  NO
4. Was the Student Federal Family Education Loan Program (FFELP) audited as the major program?  
If no, question 6 is not applicable.
5. Does this A-133 report contain any findings related to the Federal Family Education Loan Program (FFELP)?
6. Opinion Type  
If 4 is no, this question is not applicable.  
Select an Opinion Type
7. CANCEL  SAVE  SAVE and PROCEED

1. Confirm the information displayed is correct.
2. Is this submission covering multiple Lenders? YES/ NO  
**Note:** If you select 'No' to Question 1 then user will not have ability to add more entity in the Lender table.  
If 'Yes', follow the steps in section '**Adding Entity to the Lender table**'.
3. Begin date is the beginning of the audit period.
4. End date is the end of the audit period.
5. This is the auditor on file with the Department of Education.
6. If the auditor's information is correct, no action is required. If incorrect or this is a new auditor, please select **NO**, and update with current information.
7. Please fill up all the mandatory fields. When Country is "United States" then TIN and State are

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

- required fields.
8. Was the student Federal Family Education Loan Program (FFELP) audited as the major program?  
**Note:** If the answer to this question is **NO**, do not answer question 6.
  9. Does this A-133 report contain any findings related to the Federal Family Education Loan Program (FFELP)?
  10. Opinion type **Note:** If Yes to Question 4, Select the option from Opinion type drop-down.
  11. **IMPORTANT WARNING:** Click the **CANCEL** button to erase/delete all entries since the last time you saved your work.
  12. Click the **SAVE** button to ensure all entries are successfully stored by the system for this page.
  13. Click the **SAVE** and **PROCEED** button to go to the Annual Submission-Lender Annual Submission **Completeness Checklist page**. This is the next stage in the submission process.

### *Adding Entity to the Lender table*

| OPEID    | NAME                                 | PARENT ID | CITY   | STATE | DELETE |
|----------|--------------------------------------|-----------|--------|-------|--------|
| 70000300 | NYSHESC<br>NEW YORK STATE HIGHER EDU |           | ALBANY | NY    |        |

Add Lender OPEID:

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

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

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

### ***Deleting Entity from the Lender table***

The screenshot shows the eZ-Audit interface for a Compliance Audit. On the left, a sidebar lists audit steps: 1. Compliance Audit, 2. Completeness Checklist, 3. Upload Attachments, and 4. Submit. The main area displays the 'Lender servicer UG Annual Submission' page with 'COMPLIANCE AUDIT INFORMATION'. It shows an entity named 'ABC University' with OPEID '12345678'. A question asks if the submission covers multiple lenders, with 'YES' selected. Below is a table of lenders:

| OPEID    | NAME   | PARENTID              | CITY     | STATE | DELETE                                |
|----------|--|-----------------------|----------|-------|---------------------------------------|
| 70000300 | NYSHESC<br>NEW<br>YORK<br>STATE<br>HIGHER<br>EDU | <input type="radio"/> | ALBANY   | NY    | <input checked="" type="checkbox"/> 3 |
| 70002700 | COSTEP   | <input type="radio"/> | EDINBURG | TX    | <input checked="" type="checkbox"/> 4 |

Below the table is a field 'Add Lender OPEID:' with a note: 'To add the Lender OPEID to the table click on Save button below.'

Arrows numbered 1 through 4 point to specific elements: 1 points to the entity information; 2 points to the 'YES' radio button; 3 points to the 'DELETE' checkbox for the first row; and 4 points to the 'DELETE' checkbox for the second row.

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

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

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

### Annual Submission Completeness Checklist

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

Lender servicer UG Annual Submission CHECKLIST

Entity Name: ABC University  
OPEID: 12345678

All fields are required.

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

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

2. Contact Information/Additional Notes

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

President/CEO Contact

Name\*: [Input Field]  
Email\*: [Input Field]  
Phone\*: [Input Field]

Firm and CPA Contact

Firm Name\*: [Input Field]  
Auditor Name\*: [Input Field]  
Email\*: [Input Field]  
Phone\*: [Input Field]

Enter any additional notes

CANCEL    SAVE    SAVE AND PROCEED

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

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

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

### Annual Submission Upload Attachments

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

The screenshot shows the 'eZ-Audit' interface for 'Lender servicer UG Annual Submission FILE UPLOAD'. The top navigation bar includes links for 'AUDIT HOME', 'HELP', 'MANAGE USERS', and 'LOGOUT', along with the Department of Education seal.

The main content area displays the following information:

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

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

Instructions: "Uploaded document(s) must be in English. Do not include Personally Identifiable Information (PII)."

The file upload section includes:

- File:** A 'Choose File' button with the text "No file chosen".
- Checkboxes:** Options for "Compliance Audit" (unchecked), "Corrective Action Plan" (unchecked), and "Other" (unchecked).

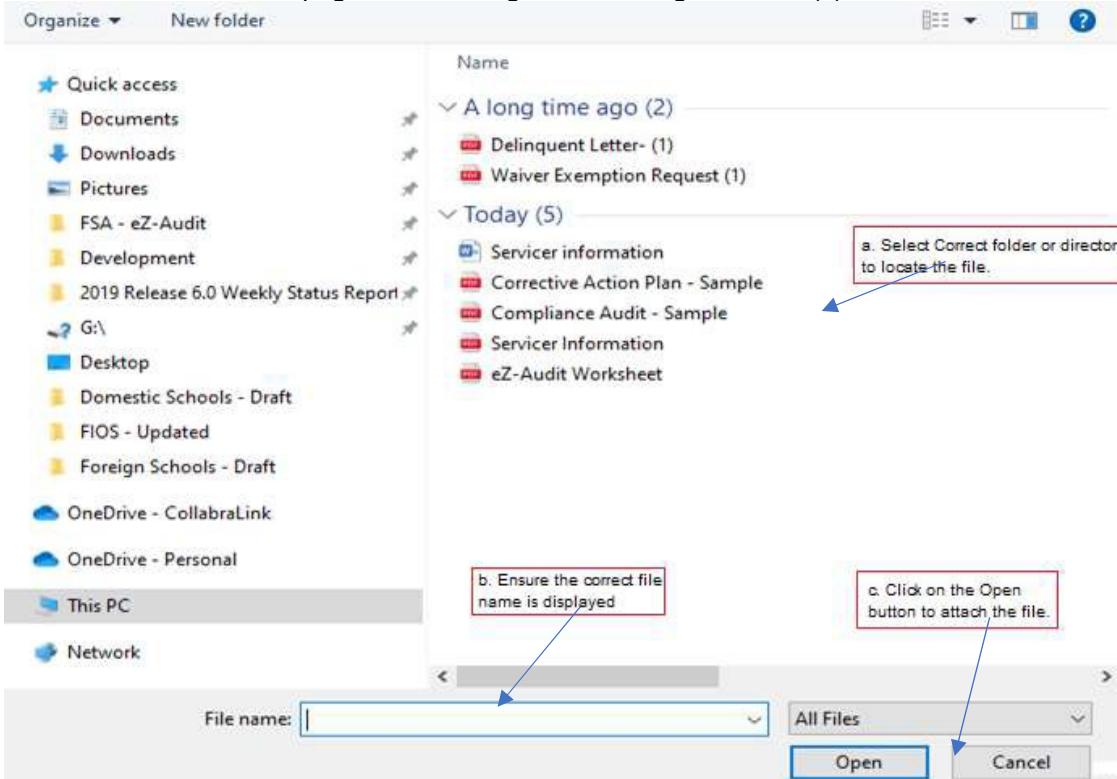
At the bottom are three buttons: **CANCEL**, **SAVE**, and **SAVE AND PROCEED**. The **SAVE AND PROCEED** button is highlighted in blue.

A numbered callout path (1-7) highlights specific elements:

- Entity Name and OPEID (1)
- Text about file requirements (2)
- File upload field and checkboxes (3)
- 'ADD' button (4)
- 'CANCEL' button (5)
- 'SAVE' button (6)
- 'SAVE AND PROCEED' button (7)

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

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



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

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

### Annual Submission-Submit

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

Entity Name: ABC University  
\* OPEID: 12345678

By selecting 'Submit to ED', the information you have entered on these pages will be sent to the Department of Education.

I hereby certify that, to the best of my knowledge and belief, all information in this submission is true and accurate.

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

SUBMIT TO ED

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

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

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

**NOTE**

You will have "read" access only once submitted.

**Step-by-Step Guide to Using eZ-Audit for Lender Servicer OIG and Lender Servicer UG Audit Guide****Lender Servicer UG - Change in Fiscal Year End****Change in Fiscal Year End Submission**

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

The screenshot shows the eZ-Audit interface for changing the fiscal year end. At the top, the FSA logo and the ezAUDIT navigation bar are visible. The main content area displays audit details for ABC University (OPEID: 12345678) and audit information for NYSHESC NEW YORK STATE HIGHER EDU. A message indicates the current fiscal year end is 07/31/2019. Below this, another message states the audits are submitted under Uniform Guidance. A dropdown menu allows entering a new fiscal year end date. Two radio button options are shown: 'Uniform Guidance' (selected) and 'OIG Audit Guide'. A large text block contains a certification statement. At the bottom, a note about the 'Submit to ED' button is present. Step numbers 1 through 4 are overlaid on the page to indicate the process flow.

1

2

3

4

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

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1. Confirm the information displayed is correct.
2. Click on the dropdown list to change month as desired.
3. Are you submitting the Audit under? **Note:** Select the Uniform Guidance Radio button option for Lender-Uniform Guidance.
4. Click on the “**SUBMIT TO ED**” 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.

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

### Lender Servicer UG -Closeout Audit Submission

#### Closeout Audit Submission Compliance Audit Information

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

The screenshot shows the 'Closeout Audit Submission' page for a 'Compliance Audit'. The page header includes the FSA logo, a navigation bar with links like 'AUDIT HOME', 'SEARCH', 'INSTITUTION HOME', 'REPORTS', and 'LOGOUT', and the seal of the U.S. Department of Education.

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

**1. Is this submission covering multiple Lenders?**

YES    NO

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

Begin Date: \_\_\_\_\_  
End Date: \_\_\_\_\_

**3. Review Auditor Information:**

Records Indicate your Current Auditor is: name  
SST673764

Is this information correct?  YES    NO

Enter Auditor's TIN (Optional): \_\_\_\_\_  
Auditor's Name\*: \_\_\_\_\_  
Auditor Firm Name\*: \_\_\_\_\_  
Address 1\*: \_\_\_\_\_  
Address 2 (Optional): \_\_\_\_\_  
City\*: \_\_\_\_\_  
State (Optional): \_\_\_\_\_  
Country\*: Select a Country  
Phone #: \_\_\_\_\_  
Fax # (Optional): \_\_\_\_\_  
Email Address: \_\_\_\_\_

**4. Was the Student Federal Family Education Loan Program (FFELP) audited as the major program? If no, question 6 is not applicable.**

YES    NO

**5. Does this A-133 report contain any findings related to the Federal Family Education Loan Program (FFELP)?**

YES    NO

**6. Opinion Type**  
If 4 is no, this question is not applicable.

Select an Opinion Type: \_\_\_\_\_

**Action Buttons:**  
11. CANCEL   12. SAVE   13. SAVE AND PROCEED

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

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1. Confirm the information displayed is correct.
2. Is this submission covering multiple Lenders? YES/ NO  
**Note:** If you select '**No**' to Question 1 then user will not have ability to add more entity in the Lender table.  
If '**Yes**', follow the steps in section '**Adding Entity to the Lender table**'.
3. Enter Begin date of the audit period.
4. Enter End date of the audit period.
5. This is the auditor on file with the Department of Education.
6. If the auditor's information is correct, no action is required. If blank, incorrect or this is a new auditor, please select **NO**, and update with current information.
7. Please complete mandatory fields as applicable. When Country is "United States" TIN and State are required fields.
8. Was the student Federal Family Education Loan Program (FFELP)audited as the major program? **Note:** If the answer to this question is **NO**, do not answer question6.
9. Does this audit report contain any findings related to the Title IV funding program?
10. Opinion type **Note:** If Yes to Question 4, Select the option from Opinion type drop-down.
11. **IMPORTANT WARNING:** Click the **CANCEL** button to erase/delete all entries since the last time you saved your work.
12. Click the **SAVE** button to ensure all entries are successfully stored by the system for this page.
13. Click the **SAVE** and **PROCEED** button to go to the Annual Submission-Lender Annual Submission **Completeness Checklist page**. This is the next stage in the submission process.

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

### Closeout Audit Submission Completeness Checklist

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

The screenshot illustrates the eZ-Audit Closeout Audit Submission Completeness Checklist process. It starts with the FSA Federal Student Aid logo and the eZ-Audit navigation bar. The main content area displays the 'Closeout Audit Submission CHECKLIST' for ABC University (OPEID 12345678). A callout arrow labeled '1' points to the 'Entity Name' field. A large bracket on the right side, labeled '2', groups the 'All fields are required.' note and the list of submission items. Another bracket, labeled '3', groups the 'President/CEO Contact' and 'Firm and CPA Contact' sections. A callout arrow labeled '4' points to the 'Enter any additional notes' text area. Finally, a bracket on the right side, labeled '5', groups the 'CANCEL', 'SAVE', and 'SAVE AND PROCEED' buttons.

Closeout Audit Submission CHECKLIST

Entity Name: ABC University  
\* OPEID: 12345678

All fields are required.

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

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

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

2. Contact Information/Additional Notes

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

President/CEO Contact

Name\*: [Input Field]  
Email\*: [Input Field]  
Phone\*: [Input Field]

Firm and CPA Contact

Firm Name\*: [Input Field]  
Auditor Name\*: [Input Field]  
Email\*: [Input Field]  
Phone\*: [Input Field]

Enter any additional notes:

4 CANCEL 5 6 6

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

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

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

### Closeout Audit Submission Upload Attachments

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

The screenshot shows the eZ-Audit interface for Closeout Audit Submission. The sidebar on the left has links for Compliance Audit, Completeness Checklist, Upload Attachments, and Submit. The main content area shows the Entity Name as ABC University and the OPEID as 12345678. It includes instructions for uploading files, a note about PII, and checkboxes for Compliance Audit, Corrective Action Plan, and Other. Buttons for ADD, CANCEL, SAVE, and SAVE AND PROCEED are at the bottom.

1. Entity Name: ABC University  
2. OPEID: 12345678

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

Uploaded document(s) must be in English.

Do not include Personally Identifiable Information (PII)

File:  No file chosen

Compliance Audit:   
Corrective Action Plan:   
Other:

ADD

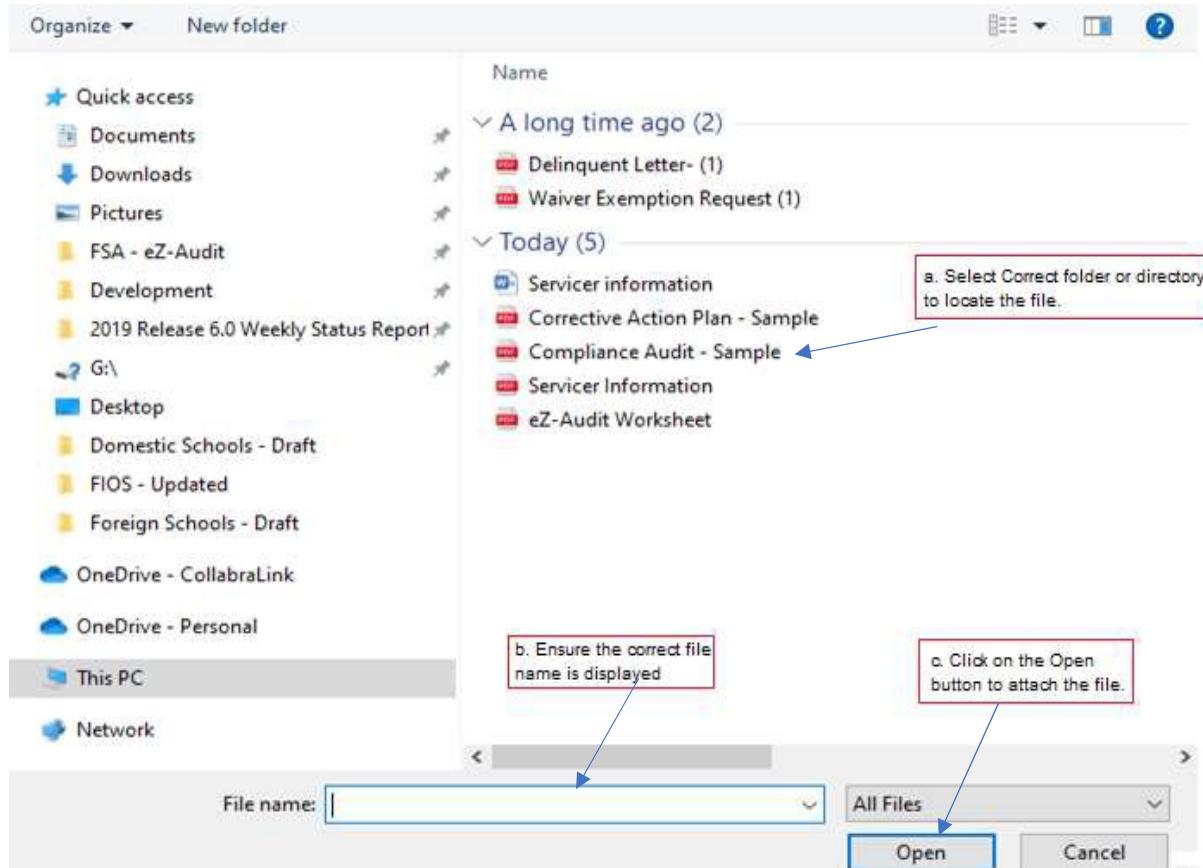
CANCEL

SAVE

SAVE AND PROCEED

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

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



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

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

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5. Click the **CANCEL** button to erase/delete all entries since the last time you saved your work.
6. Click the **SAVE** button to save all entries currently on the screen.
7. Click the **SAVE and PROCEED** button to take you to the Lender-Closeout Audit Submission-submit page.

**NOTE**

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

**Step-by-Step Guide to Using eZ-Audit for Lender Servicer OIG and Lender Servicer UG Audit Guide****Closeout Audit Submission-Submit**

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

The screenshot shows the eZ-Audit interface for a Closeout Audit Submission. At the top, there's a navigation bar with links for AUDIT HOME, HELP, MANAGE USERS, and LOGOUT. The main content area has a title "Closeout Audit Submission SUBMIT". It displays a summary: "Entity Name: ABC University" and "OPEID: 12345678". Below this, a note says: "By selecting 'Submit to ED', the information you have entered on these pages will be sent to the Department of Education." There's a checkbox labeled "I hereby certify that, to the best of my knowledge and belief, all information in this submission is true and accurate." Another note below it says: "If you do not have the Submit to Ed button, Submitter is not indicated as one of your user roles. Please see the Manage Users Section of Help." At the bottom is a large blue "SUBMIT TO ED" button. Three numbered circles with arrows point to specific parts of the page: 1 points to the "Entity Name" and "OPEID" fields; 2 points to the certification statement; 3 points to the "SUBMIT TO ED" button.

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

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

**NOTE**

You will have read access only once submitted.

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

### Lender Servicer UG - Stub Audit Submission

#### Stub Audit Submission Compliance Audit Information

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

The flowchart illustrates the step-by-step process for a Stub Audit Submission:

- Entity Name: ABC University (OPEID: 12345678)
- Is this submission covering multiple Lenders? (YES or NO)
- Indicate the Period Audited (mm/dd/yyyy): (Begin Date and End Date fields)
- Reason for Stub Audit
- Review Auditor Information:
  - Records Indicate your Current Auditor Is: Name (PC80002300)
  - Is this information correct? (YES or NO)
    - If YES, proceed to Step 6.
    - If NO, enter Auditor's TIN, Name, Firm Name, Address, City, State, Country, Phone, Fax, and Email.
- Was the Student Federal Family Education Loan Program (FFELP) audited as the major program? (YES or NO)
- Does this A-133 report contain any findings related to the Federal Family Education Loan Program (FFELP)? (YES or NO)
- Opinion Type:
  - Select an Opinion Type (dropdown menu).
  - Options include: CANCEL, SAYZ, and SAYE and PROCEED.

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

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1. Confirm the information displayed is correct.
2. Is this submission covering multiple Lenders? YES/ NO  
**Note:** If you select '**No**' to Question 1 then user will not have ability to add more entity in the Lender table.  
If '**Yes**', follow the steps in section '**Adding Entity to the Lender table**'.
3. Enter Begin date of the audit period.
4. Enter End date of the audit period.
5. Provide a reason if your audit period is less than a year.
6. This is the auditor on file with the Department of Education.
7. If the auditor's information is correct, no action is required. If blank, incorrect or this is a new auditor, please select **NO**, and update with current information.
8. Please fill up all the mandatory fields. When Country is "United States" then TIN and State are required fields.
9. Was the student Federal Family Education Loan Program (FFELP)audited as the major program? **Note:** If the answer to this question is **NO**, do not answer question6.
10. Does this A-133 report contain any findings related to the Federal Family Education Loan Program (FEELP)?
11. Opinion type **Note:** If Yes to Question 4, Select the option from Opinion type drop-down.
12. **IMPORTANT WARNING:** Click the **CANCEL** button to erase/delete all entries since the last time you saved your work.
13. Click the **SAVE** button to ensure all entries are successfully stored by the system for this page.
14. Click the **SAVE** and **PROCEED** button to go to the Annual Submission-Lender Annual Submission **Completeness Checklist page**. This is the next stage in the submission process.

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

### Stub Audit Submission Completeness Checklist

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

The screenshot shows the 'Stub Audit Submission CHECKLIST' page. At the top, it displays the Entity Name as 'ABC University' with OPEID '12345678'. A note states 'All fields are required.' Below this, section 1 lists requirements for submission attachments. Section 2 asks for contact information. At the bottom, there are fields for additional notes, and action buttons: CANCEL (button 4), SAVE (button 5), and SAVE AND PROCEED (button 6). A large bracket on the right groups the contact information and additional notes sections.

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

All fields are required.

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

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

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

**2. Contact Information/Additional Notes**

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

**President/CEO Contact**

Name: \_\_\_\_\_  
Email: \_\_\_\_\_  
Phone: \_\_\_\_\_

**Firm and CPA Contact**

Firm Name: \_\_\_\_\_  
Auditor Name: \_\_\_\_\_  
Email: \_\_\_\_\_  
Phone: \_\_\_\_\_

Enter any additional notes: \_\_\_\_\_

**Actions:**

- 4 CANCEL
- 5 SAVE
- 6 SAVE AND PROCEED

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

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

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

### Stub Audit Submission Upload Attachments

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

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

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

Uploaded document(s) must be in English.

Do not include Personally Identifiable Information (PII).

File:  No file chosen

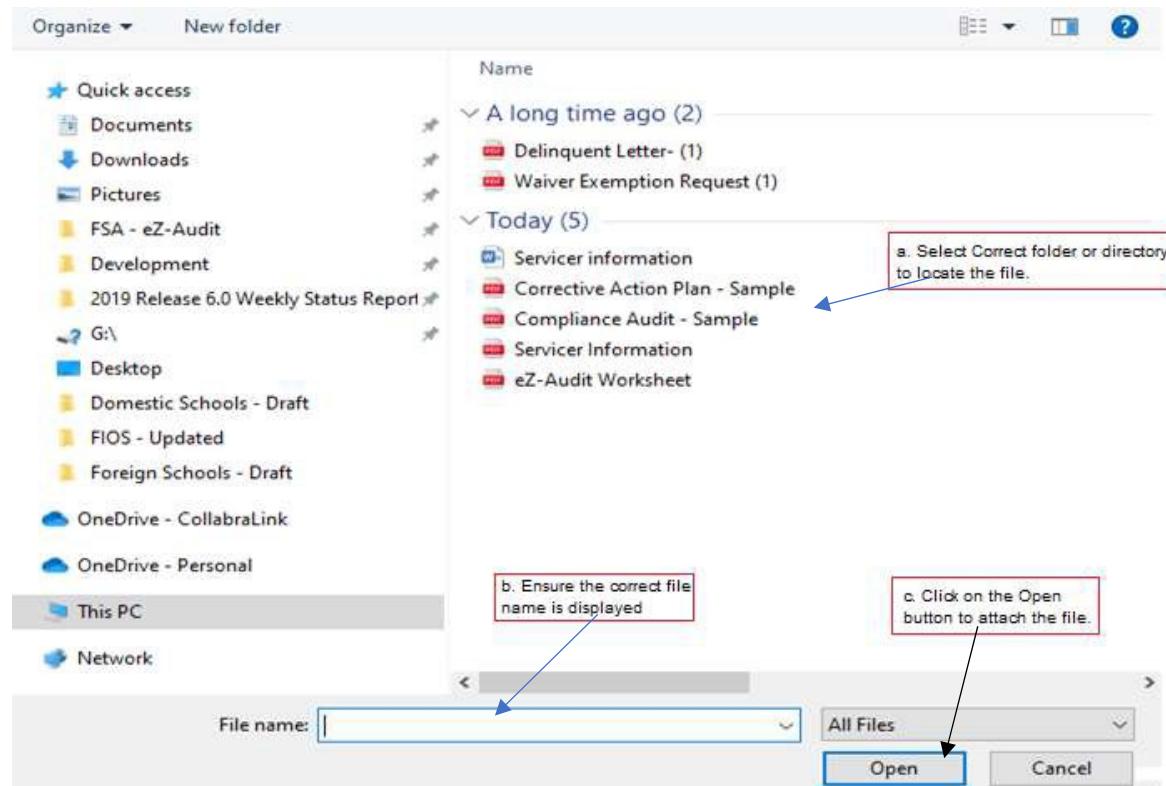
Compliance Audit:   
Corrective Action Plan:   
Other:

**ADD**

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

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

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



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

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

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**NOTE**

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

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

### Stub Audit Submission-Submit

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

The screenshot shows the eZ-Audit interface for a Closeout Audit Submission. At the top, there are navigation links: AUDIT HOME, HELP, MANAGE USERS, and LOGOUT. The Department of Education seal is on the right. On the left, a sidebar lists options: Compliance Audit, Completeness Checklist, Upload Attachments, and Submit. The main content area displays the following information:

**Closeout Audit Submission SUBMIT**

Entity Name: ABC University  
OPEID: 12345678

By selecting 'Submit to ED', the information you have entered on these pages will be sent to the Department of Education.

I hereby certify that, to the best of my knowledge and belief, all information in this submission is true and accurate.

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

**SUBMIT TO ED**

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

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

**NOTE**

You will have read access only once submitted.

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

### Lender Servicer UG - Exemption Request

#### Create Exemption Request

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

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

File\*: Choose File No file chosen

ADD

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

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

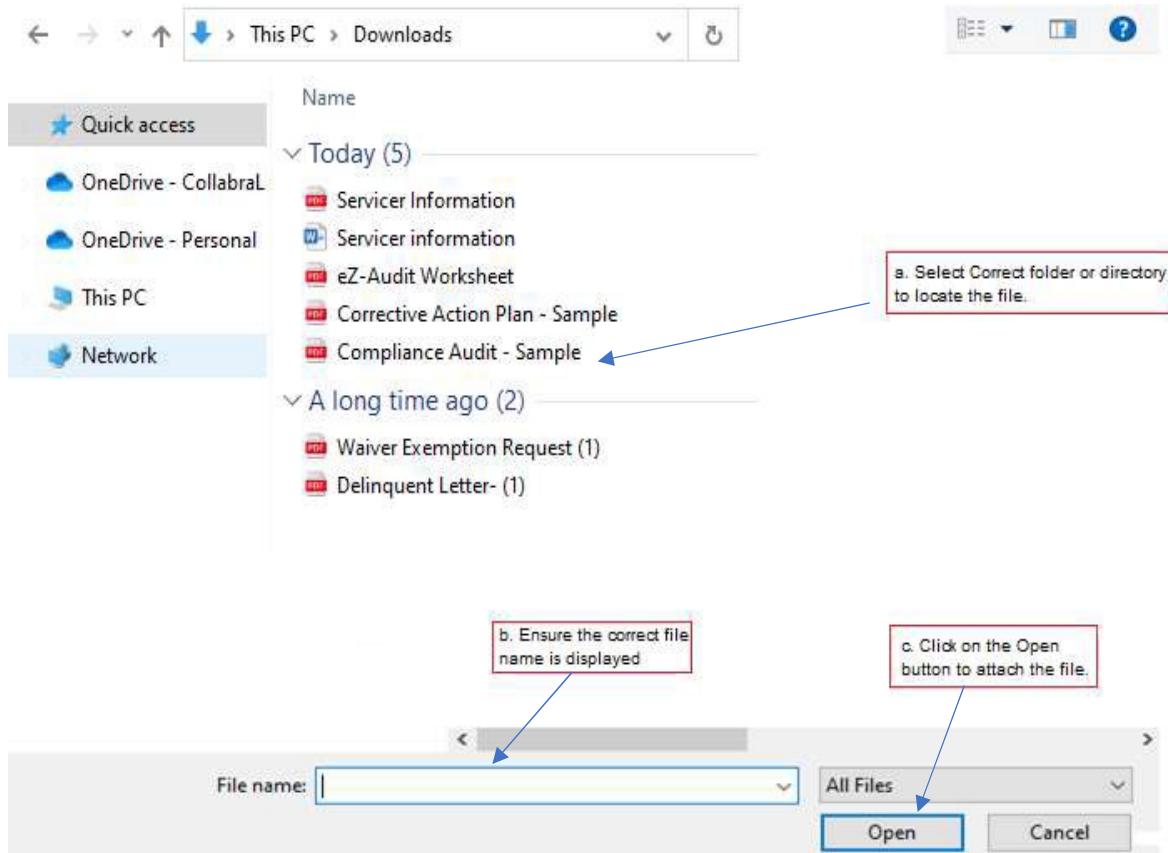
By clicking the "Submit to ED" button below, I certify that I am not in default on a federal student loan or that I have made satisfactory arrangements to repay it.

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

CANCEL SUBMIT TO ED

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

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



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

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

**Create Exemption Request**

» ABC University  
\* OPEID: 12345678

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

File\*: Choose File: No file chosen

Waiver/Exemption Requested for FYE\*: Select FYE ..

ATTACHED FILE(S): sample.pdf Request document DELETE

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

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

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

CANCEL SUBMIT TO ED

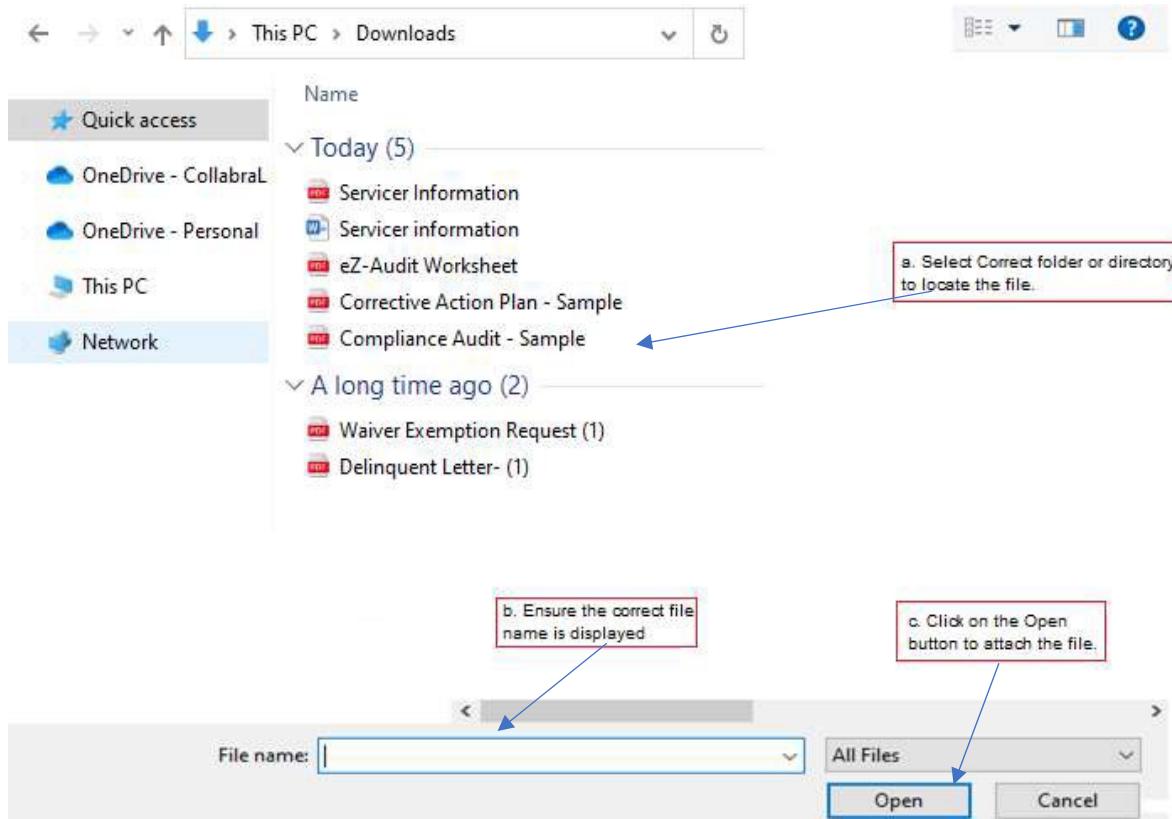
4. Select the Fiscal Year End date from the drop-down for which you are requesting an exemption.
5. Click the **CANCEL** button to erase all entries.
6. Click the **"SUBMIT TO ED"** button to submit your Waiver Exemption Request. If you do not have the **"SUBMIT TO ED"** button please verify that "submitter"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

**Step-by-Step Guide to Using eZ-Audit for Lender Servicer OIG and Lender Servicer UG Audit Guide****Lender Servicer UG - Additional Information****Additional Information Submission**

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

The screenshot shows the 'Additional Information Submission' page. At the top, there is a header with the FSA logo, the eZ-Audit logo, and the Department of Education seal. Below the header, the page title is 'Additional Information Submission'. It displays the entity information 'ABC University' and 'OPEID: 12345678'. There is a note: 'To submit additional information, you must select a submission from the drop-down box below to associate it with. Please use the additional fields to upload the files that you wish to submit to the Department of Education. Please note, all files must be in .pdf format.' Below this note, there is a dropdown menu labeled 'Submission to Associate With\*:' with the placeholder text '--- Select a Submission -- ▾'. To the right of the dropdown, there is a file upload field with the label 'File\*' and a 'Choose File' button, which currently shows 'No file chosen'. To the right of the file upload field is an 'ADD' button. Four numbered circles (1, 2, 3, 4) are overlaid on the page, pointing to these specific elements.

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

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

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

**NOTE**

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

**Step-by-Step Guide to Using eZ-Audit for Lender Servicer OIG and Lender Servicer UG Audit Guide****Section 3: Letters/ Notifications****Notifications Section**

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

The screenshot shows the eZ-Audit Home Page. At the top, there is a navigation bar with links for AUDIT HOME, SEARCH, INSTITUTION HOME, REPORTS, and LOGOUT. On the right side of the header is the U.S. Department of Education seal. Below the header, the page is titled "Home Page". It displays two sections: "NOTIFICATIONS" and "AUDIT HOME". The "NOTIFICATIONS" section contains a list of recent submissions and audit findings. The "AUDIT HOME" section displays a summary of the user's institution: ABC University, OPEID: 12345678. Two numbered callouts point to specific elements: callout 1 points to the institution name and OPEID in the "AUDIT HOME" section; callout 2 points to the "NOTIFICATIONS" section.

**AUDIT HOME**

- Entity Name: ABC University
- OPEID: 12345678

**NOTIFICATIONS**

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

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

**NOTE**

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

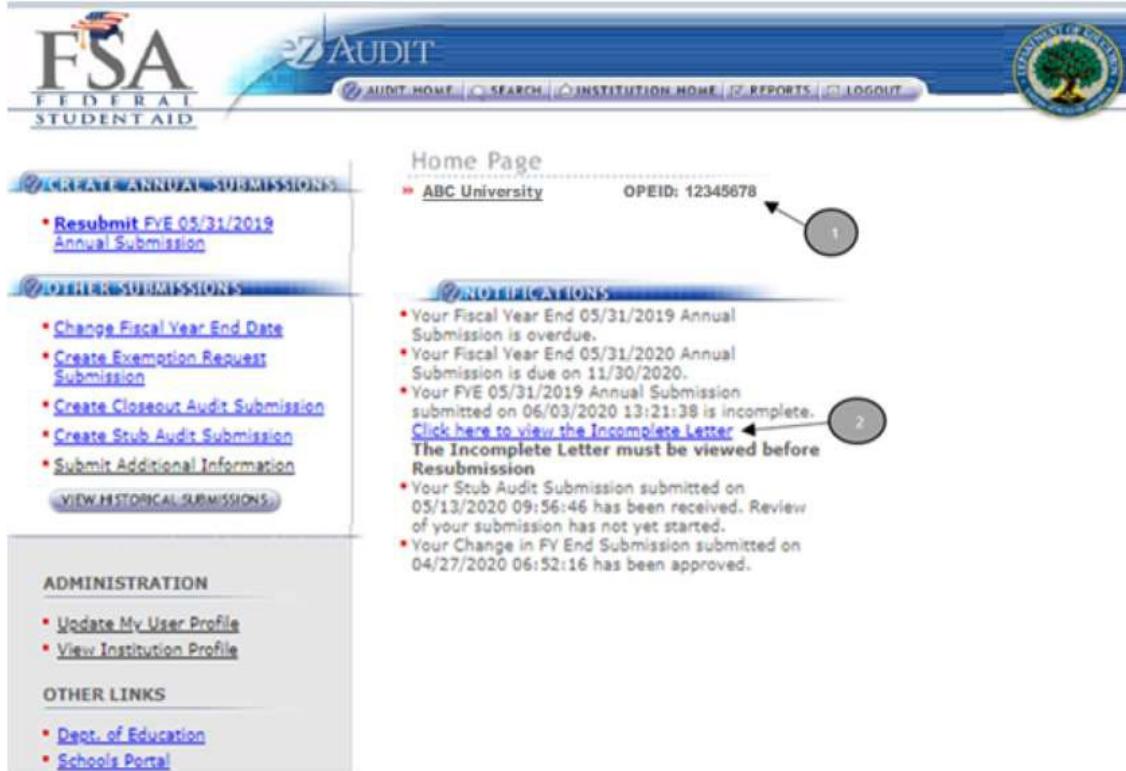
**Step-by-Step Guide to Using eZ-Audit for Lender Servicer OIG and Lender Servicer UG Audit Guide****Resubmission/ Incomplete Letter**

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

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

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

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



The screenshot shows the eZ-Audit Home Page for ABC University. At the top, there are navigation links: AUDIT HOME, SEARCH, INSTITUTION HOME, REPORTS, and LOGOUT. The institution logo is visible on the right. The main content area is titled "Home Page" and displays the user information "ABC University" and "OPEID: 12345678". Below this, the "NOTIFICATIONS" section contains a list of audit submissions and their status. A callout bubble labeled "1" points to the OPEID number. Another callout bubble labeled "2" points to the link "Click here to view the Incomplete Letter" under the "NOTIFICATIONS" section.

- [Submit FYE 05/31/2019 Annual Submission](#)
- [Change Fiscal Year End Date](#)
- [Create Exemption Request Submission](#)
- [Create Closeout Audit Submission](#)
- [Create Stub Audit Submission](#)
- [Submit Additional Information](#)
- [VIEW HISTORICAL SUBMISSIONS](#)

**NOTIFICATIONS**

- Your Fiscal Year End 05/31/2019 Annual Submission is overdue.
- Your Fiscal Year End 05/31/2020 Annual Submission is due on 11/30/2020.
- Your FYE 05/31/2019 Annual Submission submitted on 06/03/2020 13:21:38 is incomplete.  
[Click here to view the Incomplete Letter](#) ← 2
- The Incomplete Letter must be viewed before Resubmission
- Your Stub Audit Submission submitted on 05/13/2020 09:56:46 has been received. Review of your submission has not yet started.
- Your Change in FY End Submission submitted on 04/27/2020 06:52:16 has been approved.

**ADMINISTRATION**

- [Update My User Profile](#)
- [View Institution Profile](#)

**OTHER LINKS**

- [Dept. of Education](#)
- [Schools Portal](#)

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

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

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### UNITED STATES DEPARTMENT OF EDUCATION

Federal Student Aid  
Program Compliance

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

ABC University  
Egyetem u.  
Piliscsaba, ,

Dear ,

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

#### Compliance Audit

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

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

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

Your immediate attention to this matter is greatly appreciated.

Sincerely,

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

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

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

The screenshot shows the eZ-Audit Home Page. At the top, there's a navigation bar with links for AUDIT HOME, SEARCH, INSTITUTION HOME, REPORTS, and LOGOUT. On the left, there's a sidebar with sections for CREATE ANNUAL SUBMISSIONS (highlighted with a red circle and the number 4) and OTHER SUBMISSIONS, which includes links for Change Fiscal Year End Date, Create Exemption Request Submission, Create Closeout Audit Submission, Create Stub Audit Submission, and Submit Additional Information. Below the sidebar is a button labeled VIEW HISTORICAL SUBMISSIONS. The main content area is titled "Home Page" and displays the following information:  
» Entity Name: ABC University  
• OPEID: 12345678  
In the Notifications section, it says:  
• Your Fiscal Year End 04/30/2020 Annual Submission is due on 1/31/2021.  
• Your FYE 04/30/2020 Annual Submission submitted on 06/05/2020 09:20:37 is incomplete. [Click here to view the Incomplete Letter](#).  
The Incomplete Letter must be viewed before Resubmission.  
• Your FYE 04/30/2019 Annual Submission submitted on 05/21/2020 11:59:09 has been received. Review of your submission has not yet started.

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 Lender Servicer OIG and Lender Servicer UG Audit Guide****Delinquent Letter**

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



The screenshot shows the eZ-Audit Home Page for the University of XYZ. At the top, there are links for AUDIT HOME, SEARCH, INSTITUTION HOME, REPORTS, and LOGOUT. The Department of Education seal is also visible. On the left sidebar, there are sections for CREATE ANNUAL SUBMISSIONS (with a link to Create FYE 10/31/2018 Annual Submission) and OTHER SUBMISSIONS (with links to Change Fiscal Year End Date, Create Exemption Request Submission, Create Closeout Audit Submission, Create Stub Audit Submission, and Submit Additional Information). Below these are links for VIEW HISTORICAL SUBMISSIONS, ADMINISTRATION (with links to Update My User Profile and View Institution Profile), and OTHER LINKS (with links to Dept. of Education and Schools Portal). The main content area displays the "Home Page" with the institution name and OPEID. It also shows a "NOTIFICATIONS" section with two items. The first item is a link to view the Delinquent Letter for the 10/31/2018 Annual Submission, which is marked as overdue. The second item is a link to view the Delinquent Letter for the 10/31/2004 Annual Submission, also marked as overdue. A callout bubble labeled "1" points to the first notification link.

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

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

**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](http://www.ezaudit.ed.gov).

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

Thank you in advance for your cooperation.

Sincerely,

Ti Baker  
eZ-Audit Operations Manager  
Integrated Partner Management Division

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

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

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### Reminder Email Notifications

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