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eZ-Audit Overview

What is eZ-Audit?

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

How does eZ-Audit work?

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

How does eZ-Audit Benefit You?

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

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

What role should my auditor play in eZ-Audit?

You may choose to ask your auditor to serve 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.
Step-by-Step Guide to Using eZ-Audit For Not-for-profit Schools

It your auditor is not selected as a Data Entry User, you may request that your auditor electronically sends you your financial statements and compliance audits in the non-editable PDF format using Adobe Acrobat. Please note that the PDF files containing your financial statements and compliance audits will be included as attachments to your eZ-Audit submission – all signature pages in the financial statements and compliance audits, as well as the school’s corrective action plan, must be scanned.

eZ-Audit Technical Requirements

eZ-Audit is a web-based application. This means you will not need to load a new application on your computer. You will simply need to ensure that you have an Internet browser – either Netscape 4.76 or 6.2 or Internet Explorer 5.0 or higher.

NOTE

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

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

eZ-Audit requires you to attach a non-editable pdf version of your annual submissions. Adobe Acrobat must be used to create this attachment. You have several options for obtaining Adobe Acrobat:

- Purchase Adobe Acrobat 5.0 software that will allow you to scan paper copies of your submissions and convert them to PDF. (The retail cost of the software is approximately $250)
- Convert an electronic version of your submission (word, excel, etc) to pdf format using www.adobe.com online. (Adobe provides this conversion capability for $9.99 for one month with unlimited use.)
- Bring paper copies of your submissions to your local copying center (Kinkos, etc.) and request that they create a pdf version of your submission. (The cost of this option will vary, however $30 - $50 is a reasonable estimate.)
- For more information please refer to “Creating a PDF” located on the eZ-Audit website welcome page.

School Group Submissions

ED considers a school group as one A-133 report submission for multiple OPE IDs. For example, the State of Louisiana submits one statewide audit financial report and A-133 audit report for all the state schools in Louisiana. Another example would be a nursing program with a separate OPEID included in the A-133 of a university.

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

NOTE

When more than one OPEID is covered in an A-133 audit, ED considers this to be a school group, e.g., if a State submits a state-wide A-133 audit covering all of the state universities, each with a different OPEID.
Step-by-Step Guide to Using eZ-Audit For Not-for-profit Schools

If the information populated in the application is incorrect or should you require additional assistance, please contact eZ-Audit at 1-877-263-0780 or by email at fsaezzaudit@ed.gov
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eZ-Audit Submission Requirements
Effective June 16, 2003, all Title IV participating schools are required to submit audited financial statements and compliance audits electronically, via eZ-Audit, to the Department of Education. (Please see May 16, 2003 Federal Register)

NOTE
OMB still requires submissions of A-133 reports (public and not-for-profit institutions) to be sent to the Federal Audit Clearinghouse at 1201 E. 10th Street, Jeffersonville, IN 47132.

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

➢ All participating institutions must submit financial statements and compliance audits annually. (34 CFR 668.23 and OMB Circular A-133)
  o Not-for-profit institutions’ financial statements and compliance audits are due nine months after the end of the fiscal year (OMB Circular A-133).

**If your institution expends less than $300,000 in Federal funds (less than $500,000 for fiscal years ending after December 31, 2003), you are not required to submit a compliance audit. You must submit an Exemption/ Request to the Department for the compliance portion of the A-133 report. (See Waiver and Exemption Request).**

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

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

**If you have submitted a pre-acquisition application, do not submit day-one balance sheet via eZ-Audit until the actual change in ownership has occurred. The day-one balance sheet is due on the date in which Temporary Program Participation Agreement (PPA) expires. (See Merger/Change in Ownership)**

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

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

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

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

**NOTE**

All eZ-Audit users are required to carefully read and sign the eZ-Audit Rules of Behavior document that can be accessed at via the web at http://ifap.ed.gov (Go to Publications, Audit Guidance). Each user of the eZ-Audit system must download a copy of the Rules of Behavior document, sign it and retain the copy in the institution’s files.

**Questions/Concerns**

- eZ-Audit will continue to post updates and critical information to the eZ-Audit website and IFAP at http://ifap.ed.gov.
- You can send an email to fsaezaudit@ed.gov.
- Contact the eZ-Audit help desk at 1-877-263-0780.
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eZ-Audit Registration

All institutions must submit a registration request letter to the Department of Education in order to gain access to eZ-Audit. If you are a new owner (Merger/Change In Ownership) please see the eZ-Audit Welcome Page and click on Registration Instructions for details.

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

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

Where do I send my Registration Request Letter?
Registration Request Letters should be printed on school or corporate letterhead and mailed to:

The United States Department of Education
Federal Student Aid
Attention: Ti Baker
830 First Street, NE
Room 74G2
Washington, DC 20202

Fax to: 202-275-5726

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

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

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

Please be sure to log on to the eZ-Audit system immediately, in order to change your temporary password and ensure your access to the site is secure.
Step-by-Step Guide to Using eZ-Audit For Not-for-profit Schools

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

Administrative Tasks/Security

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

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 institution’s homepage.

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.

NOTE
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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:

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 were you born in?
     - Who is your favorite author?

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

3. Select a challenge question from the first drop down list. You will have the following selection:
   - Challenge Question List 2:
     - What is your favorite color?
Step-by-Step Guide to Using eZ-Audit For Not-for-profit Schools

- 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.

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:
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1. Type in your new password.
2. Re-type in your new password.
Step-by-Step Guide to Using eZ-Audit For Not-for-profit Schools

For Official, Approved Use only - The eZ-Audit system is funded by the government to support various programmatic efforts needed to accomplish its mission. This includes providing information about the organization's operations, programs, and services to the public, and to the Federal Student Aid (FSA) program. The users of eZ-Audit are responsible for ensuring their integrity, quality, and confidentiality in their employment capacity on behalf of FSA. Without approved in writing by management, any activity outside that of the user's role could bring harm to the organization or embarrassment to FSA/FEDA. Users are expected to protect the information in the database and to ensure that only authorized personnel have access to it.

Privacy Expectations - All users are required to understand that, in general, computers, networks, and the information systems they support are not private. Users should not have any expectation of privacy when using eZ-Audit. E-mail sent via the eZ-Audit system may be intercepted and used in connection with the performance of their duties, including e-mail records of sensitive information. If e-mail is used to communicate with non-authorities, the e-mail must be encrypted and protected by appropriate access controls. The use of eZ-Audit email for non-official purposes should be avoided. eZ-Audit computing resources should be used only by those with proper access and authorization.

Violations - It is critical that all users adhere to FSA/FEDA and eZ-Audit policies and guidelines to ensure proper use of the system. Violations of these policies can result in the loss of access to the system or termination of funding and/or employment. Designated administrators or other supervising managers have the authority to evaluate and determine the degree of violation and appropriate disciplinary action.

Manager/Administrator Responsibilities - Management personnel will be held accountable for their actions in their capacity to ensure that users and all personnel are aware of and responsible for the system. All users are responsible for adhering to the policies and guidelines set forth by the organization and their respective administrators.

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

- Ensuring that the eZ-Audit system is used only for official government business.
- Ensuring that only authorized personnel have access to the system.
- Ensuring that the system is used in compliance with the Federal Credit Reform Act of 1990 and other applicable regulations and standards.
- Ensuring that the system is used only by personnel with proper access and authorization.
- Protecting the information that is processed by or access to, unauthorized, unauthorized personnel.
- Immediately reporting any security incidents and potential threats and vulnerabilities involving computer resources to designated computer security personnel.
- Protecting authenticators, such as passwords.
- Reporting any compromises or suspected compromises of a password to designated computer security personnel.
- Accessing only cyclic, networks, data, control information, and software that have been designated for use by authorized personnel.
- Ensuring that system, data, and system output are marked according to their sensitivity and are properly electronically maintained 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.
- Avoiding physical damage to the system.
- Notifying management before relocating computing resources.
- Ensuring that the work area is secured at all times and not duplicated.
- Not allowing access to the network when removing 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 authorization from the designated systems administrator, security administrator, or designated users.

Responsibilities of ED Internal Users:

- Complete and submit your security paperwork.
- Complete Security Awareness Training within 90 days of taking a new position.
- Park, control, and store all media properly.
- Stay alert to your physical environment; report any abnormal packages, email, or activity immediately.
- Request system access through the appropriate administrator.
- Change passwords in accordance with instructions, more frequent is better.
- Never share or write down passwords (this includes notes underneath your desk).
- Never leave unattended or unattended computers with unattended systems or network access.
- Never fail to log off of your system or network access.
- Attend system-specific training to learn special security features.
- Never load your own software, to include unauthorized Internet downloads.
- Ask a system administrator to obtain and load new software for you.
- Never copy software against the vendor's license.
- Never use an individual modem on a computer connected to the network.
- Protect remote access (dial-in), phone numbers, and information.
- Know what represents a security or privacy breach.
- Know the proper security official to whom you should report security violations.
- Report all security breaches to the proper person.
- Learn what sensitive information you have access to and proper information handling procedures.
- Do not send sensitive information via email or voice mail because neither are encrypted.
- Do not send sensitive information via general-use fax equipment.
- Know that systems personnel may monitor user activity on the network.
- Do not use FSA IT resources for anything but official business.
- Protect access to work areas of sensitive information when you are not there.
- Dispose of sensitive information properly.

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3. Click the SAVE button to ensure all changes are successfully captured by the system.
4. Click the RESET button to cancel entries and begin again.

Forgot Password

If you forget your password, click on the “Forgot Password?” link from the login page.
Step-by-Step Guide to Using eZ-Audit For Not-for-profit Schools

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

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

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

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

**NOTE**  The answers are case sensitive.
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Logout
If you clicked on the LOGIN button from the page above, this will bring you to your institution's homepage. The screen below should appear with your institution's name:

1. To logout of the eZ-Audit system, click on the LOGOUT button at the top of this page. The screen shown on the next page should appear if you have successfully logged out of the system.
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2. To log back into the eZ-Audit system click on the underlined link above and repeat the LOGIN step.

**NOTE**
Your eZ-Audit session will automatically expire after 30 minutes of inactivity. If you have not saved your work when the session expires, data will be lost.
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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 institution’s eZ-Audit homepage. The screen below should appear with your institution’s name:

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

NOTE  This page is used to update your user profile information such as name, email address, phone, password, etc.
If you clicked on the underlined text "Update My User profile" on your institution’s homepage, the screen below should appear:

**USER INFORMATION**

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

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

First Name: [institution]

Last Name: User1

Email Address: user1@nonprofit.edu

Re-Type Email Address: 

Office Phone: 202-123-4567  Ext: 

Fax: 

**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.

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), numerical values (0-9) and special characters (-, =, !, @, etc.). The password must be different from your previous 6 passwords.

Old Password: 

New Password: 

Re-type New Password: 

**CHALLENGE QUESTIONS**

Choose from the following drop down menu.

What month was your mother born in? 

What is your favorite color?
Take a moment to review the information on this screen for accuracy. If changes need to be made, update the information as necessary and enter any missing information. Remember to **SAVE** your changes!!

**Change Challenge Questions**

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

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

**NOTE**

All answers are case sensitive. You will not be able to view the answers as you type them in.
Change Password
To change your password, repeat the My Profile step. This will take you to the Update My Profile page. The screen shown below should appear at the midsection of that page:

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.

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.) The password must be dissimilar from your previous 6 passwords.

Please note that the system will automatically prompt you to change your password every 90 days. Follow the same process described above to make this change. If you require additional help, contact the eZ-Audit Help desk at 1-877-263-0780.

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

1. To go back to a previous screen or action, simply click on the back or forward button.
2. To move across forms or sections in the system, click the underlined text of interest.
Data Edits
Edit checks will be automatically performed on each page when you click on any of the transaction buttons such as the “SAVE or SAVE and PROCEED” buttons. If any invalid data entries are detected, the page will redisplay with error message(s) at the top indicating the field that needs to be corrected and the correction to be made. To continue, make the changes indicated by the message(s) displayed and click the “SAVE or SAVE and PROCEED” buttons. This will allow for the submission process to continue. The system will not allow you to submit to the Department of Education without correcting the errors. See sample screens below:

NOTE
The eZ-Audit system does not allow punctuation marks in the fields. For example, “$” dollar, “:” colon and “,” comma signs input into the system will result in an error message. All fields on the Statement of Financial Position and Statement of Activities must be completed. Enter zero (0) for any null/non applicable responses. When entering auditor TIN do not use hyphens.
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**eZ-Audit Security**

**System Security and Use:** All eZ-Audit users are required to carefully read and sign the eZ-Audit Rules of Behavior document that can be accessed via the web at [http://ifap.ed.gov](http://ifap.ed.gov). Each user of the eZ-Audit system must download a copy of the Rules of Behavior document, sign it and retain the copy in the institution’s files. This document (Rules of Behavior), clearly defines acceptable behavior and the consequences for flouting such behavior as contained in P.L. 99-474.

To ensure that you as a user are protected from unauthorized users having access to your system, the following points should be considered and adhered to diligently:

- Do not leave computers unattended when processing sensitive data.
- Place sensitive information out of sight when visitors are present.
- Verify that you are completely logged off from an active session.
- Invoke screensaver password when leaving a workstation.
- Only authorized employees within your institution should have access to the eZ-Audit system.
- Do not write your password down on paper.
- Passwords should be no less than eight characters and should contain both alpha and numeric characters.
- Avoid creating passwords that can be easily guessed (e.g., names of children, pets, etc.).
- Do not disclose your password to others (e.g., to a coworker in order to share files).

**Privacy:** 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, or capturing and disclosure.”
Manage Users

Types of Users and Responsibilities

1. The **eZ-Audit Institution Administrator**, selected by your school, is responsible for:
   - Registering your school with eZ-Audit
   - Providing/managing access to data entry and submission approval personnel, as identified by your school
   - Maintaining security information regarding schools users as required

2. The **eZ-Audit Data Entry Users**, selected by your school at registration are responsible for:
   - Entering data into the eZ-Audit system
   - Attaching non-editable, PDF files of audited financial statements and compliance audits

3. The **eZ-Audit Submission Approvers**, selected by your school, are responsible for:
   - Reviewing the submission prior to “submit”
   - Approving the submission via the “submit” action

Institution Administrator Homepage

To log into the eZ-Audit system as your institution’s administrator, repeat the LOGIN step. The screen below should appear once your administrator’s username and password has been entered and verified by the system. This screen below is different between persons having administrator or user’s rights:
Step-by-Step Guide to Using eZ-Audit For Not-for-profit Schools

1. The **MANAGE USERS** button should be displayed if you have administrator’s rights to this system. Click on it to perform any of the manage users tasks such as adding or deleting a user. The screen on the next page should appear.

2. This should read the name of your institution 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:

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.
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.

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Step-by-Step Guide to Using eZ-Audit For Not-for-profit Schools

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

### Institution Profile Page/Status

#### Institution Profile

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

<table>
<thead>
<tr>
<th>Institution Name</th>
<th>Non-Profit School</th>
</tr>
</thead>
<tbody>
<tr>
<td>Type of Institution</td>
<td>Non Profit</td>
</tr>
<tr>
<td>Address</td>
<td>1234 Proprietary Lane</td>
</tr>
<tr>
<td>City</td>
<td>Proprietary</td>
</tr>
<tr>
<td>State</td>
<td>DC</td>
</tr>
<tr>
<td>Zip/Postal Code</td>
<td>12345</td>
</tr>
<tr>
<td>Phone Number</td>
<td>1234567890</td>
</tr>
<tr>
<td>Fax Number</td>
<td>1234567890</td>
</tr>
<tr>
<td>OPE ID (Parent):</td>
<td></td>
</tr>
<tr>
<td>OPE ID (Subsidiary):</td>
<td></td>
</tr>
<tr>
<td>TIN:</td>
<td>55-45678</td>
</tr>
<tr>
<td>DUNS Number:</td>
<td></td>
</tr>
<tr>
<td>Fiscal Year End</td>
<td>10/31/2002</td>
</tr>
</tbody>
</table>

Changes to the Institution’s Profile can only be made via the eAPP. This can be accessed at www.eligcert.ed.gov. School group listings are also listed on this page. If there is a discrepancy with the school group listing please contact the eZ-Audit Help Desk at 1-877-263-0780.

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Historical Submissions
This page provides a history of the institution’s past transactions as available in the eZ-Audit system. You may view prior submissions at anytime. Please note that you will have “read” only access to these historical submissions.

<table>
<thead>
<tr>
<th>Fiscal Year End</th>
<th>Submission Type</th>
<th>Submission Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>N/A</td>
<td>Change in Fiscal Year End</td>
<td>03/12/2003</td>
</tr>
</tbody>
</table>

U. S. Department of Education
Notifications
At anytime you will be able to view your institution’s review status by viewing the notification section of your homepage. This can be reached by repeating the step LOGIN. This will bring you to your institution’s eZ-Audit homepage and the screen below should appear:

1. This should read the name of your institution and OPEID number. Confirm that this is correct.
2. This is the Notification section. Most recent institution’s submission status and other notifications will be displayed. (Examples: Your Fiscal Year End 10/31/2002 Annual Submission was received on 4/30/2003, FAD sent 5/30/2003, Request for Letter of Credit sent 5/15/2003)

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

Financial Statements
To complete your institution’s annual submission, complete the LOGIN step. This will take you to your institution’s eZ-Audit homepage. On the upper left hand side of the page, you will see a section “Create Annual Submissions”. Click on the underlined text “Create FYE----Annual Submission”, and the screen in the next page should appear with your institution’s name:
Step-by-Step Guide to Using eZ-Audit For Not-for-profit Schools

1. Indicate the Period Audited (mm/dd/yyyy):
   - Begin Date: 11/01/2005
   - End Date: 10/31/2006
   - Reason if Less than 1 Year:

2. Review Auditor Information:
   - Records Indicate your Current Auditor Is: Robertson & Robertson 1111111
   - Is this information correct?: Yes ☐ No ☐
   - Enter Auditor TIN:

3. What type of auditor’s report was issued on the financial statements?
   - Select an Opinion Type:

4. Is a going concern explanatory paragraph included in either the auditor’s opinion letter or in the notes to the financial statements?
   - Yes ☐ No ☐

5. Enter Financial Statement Data
   - Statement of Financial Position
   - Statement of Activities

6. Save

7. Save and Proceed
Step-by-Step Guide to Using eZ-Audit For Not-for-profit Schools

1. Confirm that the information displayed is correct.
2. Begin date is the beginning of the audit period.
3. End date is the end of the audit period.
4. Provide a reason if your audit period is less than a year.
5. This is the auditor information on file with the Department of Education.
6. If the auditor’s information is correct, no action is required. If incorrect or new, please update with current information.
7. Please verify current auditor’s Tax Identification Number (TIN). Please enter the auditor’s Tax Identification Number (TIN) if this information is incorrect or missing. **DO NOT USE HYPHENS.**
8. Refer to Section I – Summary of Auditor’s Results in the Schedule of Findings and Questioned Costs of the annual A-133 report.
9. Refer to Part II, Question 2 of the Federal Audit Clearinghouse Data Collection Form SF-FAC (3-20-2001).
10. Under this section, please click on each of the types of statements and complete the fields requested. Click **Statement of Financial Position** or click **Statement of Activities**.
11. **IMPORTANT WARNING**: Click the **CANCEL** button to erase/deletes all entries since the last time you saved your work.
12. Click the **SAVE** button to ensure all entries are successfully stored by the system on this page.
13. Click the **SAVE and PROCEED** button to go to the Compliance Audit Information page. This is the next stage in the submission process.

**Statement of Financial Position**

If you clicked on the underlined text “Statement of Financial Position” on the Financial Statements page, the screen below should appear. This page can also be reached by repeating the **LOGIN** step. This will take you to your institution’s eZ-Audit homepage. On the upper left hand side of the page, you will see a section “Create Annual Submissions”. Click on the underlined text “Financial Statements”, and then click on the underlined text “Statement of Financial Position” on the lower part of the page. The screen below should appear:

**Entering Statement of Financial Position:**

- When completing the eZ-Audit templates, it is expected that institutions provide the information requested from information currently in its possession. Institutions are not required to perform additional audit work to provide the requested information. However, information needed to calculate the Institution’s composite score ration under the Department’s regulations should generally be available in the school’s annual audited financial statement. To the extent that additional information is needed to complete the Department’s review and composite score calculation, it is requested under 34 CFR 668.23.
- Please enter whole amounts including zeros (Example 999999999)
- To enter negative amounts use “-“ (Example –100000)
1. **Accounts Receivable Employees – Unsecured** - All amounts due from employee borrowings from the institution or employee advances.
<table>
<thead>
<tr>
<th>Step</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.</td>
<td><strong>Accounts Receivable–Related Parties - Unsecured</strong> - All amounts due from related parties [affiliates] on account that are not collateralized or subject to a security agreement.</td>
</tr>
<tr>
<td>3.</td>
<td><strong>Notes Receivable–Related Party Unsecured</strong> – All amounts due from related parties [affiliates] on account in the form of promissory notes that are not collateralized or subject to a security agreement.</td>
</tr>
<tr>
<td>4.</td>
<td><strong>Contributions/Pledges Receivable – Unsecured Related Party</strong> – All amounts due from related parties [affiliates] on account that are not collateralized or subject to a security agreement.</td>
</tr>
<tr>
<td>5.</td>
<td><strong>Property, Plant and Equipment, net ( including capitalized lease assets and CIP )</strong> – Property, Plan and Equipment used in operations, including leases and construction in progress and Cumulative total of all depreciation expense incurred on property, plant and equipment including amortization of capital leases.</td>
</tr>
<tr>
<td>6.</td>
<td><strong>Construction in Progress</strong> – All costs involved in the construction that is not yet completed.</td>
</tr>
<tr>
<td>7.</td>
<td><strong>Intangible Assets, net of amortization ( excluding goodwill )</strong> – All intangibles including parents franchises, copyrights, trademarks, brand names, covenants not to compete, etc. excluding goodwill.</td>
</tr>
<tr>
<td>8.</td>
<td><strong>Goodwill, net</strong> – Amount paid for an entity in excess of Fair market Value less impairment.</td>
</tr>
<tr>
<td>9.</td>
<td><strong>Total Assets</strong> – Please enter Total Assets. Check this total against the information in your submission will not be accepted if this total does not match the attached PDF.</td>
</tr>
<tr>
<td>10.</td>
<td><strong>Long-Term Line of Credit (including the short term portion)</strong> – Amounts owed on lines of credit with banks.</td>
</tr>
<tr>
<td>11.</td>
<td><strong>Long Term Debt ( including the short term portion )</strong> - All formal long-term debt instruments in the form of promissory notes, mortgages, bonds and other debt instruments, exclusive portion maturing within the next fiscal year and the portion of long-term debt that is expected to mature within the next fiscal year.</td>
</tr>
<tr>
<td>12.</td>
<td><strong>Capital Lease Obligations (including the short term portion)</strong> – The portion of the capital lease obligation that is expected to mature within the next fiscal year and net present value of minimum lease payments not maturing during the next fiscal year.</td>
</tr>
<tr>
<td>13.</td>
<td><strong>Post Employment and Retirement Liabilities</strong>– All amounts owed on plans that pay employees or their beneficiaries for post employment or post retirement benefits other than pensions.</td>
</tr>
<tr>
<td>14.</td>
<td><strong>Total Liabilities</strong> – Please enter Total Liabilities. Check this total against the information in your submission will not be accepted if this total does not match the attached PDF.</td>
</tr>
<tr>
<td>15.</td>
<td><strong>Temporarily Split Interest Agreements and Term Endowments</strong> – Components of temporarily restricted assets that arise from transactions with owners via split interest agreements.</td>
</tr>
<tr>
<td>16.</td>
<td><strong>Permanently Restricted Net Assets</strong> – Net assets of the institution permanently subject to donor’s restrictions as to time and purpose.</td>
</tr>
<tr>
<td>17.</td>
<td><strong>IMPORTANT WARNING</strong>: Click the <strong>CANCEL</strong> button to erase/delete all entries since the last time you saved your work.</td>
</tr>
<tr>
<td>18.</td>
<td>Click the <strong>SAVE</strong> button to have eZ-Audit save the values.</td>
</tr>
<tr>
<td>19.</td>
<td>Click the <strong>SAVE and PROCEED</strong> button to capture all entries and to go to the Statement of Activities page, to complete the next step in your submission process.</td>
</tr>
</tbody>
</table>

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Statement of Activities
If you clicked on the underlined text “Statement of Activities” from the Financial Statements page, the screen below should appear. This page can also be reached by repeating the LOGIN step. This will take you to your institution’s eZ-Audit homepage. On the upper left hand side of the page, you will see a section “Create Annual Submissions”. Click on the underlined text “Financial Statements”, and then click on the underlined text “Statement of Activities” on the lower part of the page. The screen below should appear:

Entering Statement of Activities Data:
* When completing the eZ-Audit templates, it is expected that institutions provide the information requested from information currently in its possession. Institutions are not required to perform additional audit work to provide the requested information. However, information needed to calculate the Institution’s composite score ratio under the Department’s regulations should generally be available in the school’s annual audited financial statement. To the extent that additional information is needed to complete the Department’s review and composite score calculation, it is requested under 34 CFR 668.23.
* Please enter whole amounts including zeros (Example 999999999)
* To enter negative amounts use “-“ (Example –100000)
Step-by-Step Guide to Using eZ-Audit For Not-for-profit Schools

1. **Total Unrestricted Revenues** – Sum total of unrestricted revenues.
2. **Total Unrestricted Expenses** – Total of all unrestricted expenses.
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 for eZ-Audit to save all the values.
5. Click the **SAVE and PROCEED** button to save all entries and then take you back to the Financial Statements page.

Compliance Audit Information

If you successfully entered or saved the information inputted on the Financial Statements page by clicking on the **SAVE and PROCEED** button, the screen below should appear. This page can also be reached by repeating the **LOGIN** step. This will take you to your institution's eZ-Audit homepage. On the upper left hand side of the page, you will see a section “Create Annual Submissions”. Click on the underlined text “Create FYE----Annual Submission”, and then click on the underlined text “Compliance Audit Info”. The screen below should appear:
Step-by-Step Guide to Using eZ-Audit For Not-for-profit Schools

1. Indicate the Period Audited (mm/dd/yyyy):
   - Begin Date: 11/1/2005
   - End Date: 10/31/2006

2. Review Auditor Information:
   - Records Indicate your Current Auditor Is: Robertson & Robertson
   - Is this information correct?: YES NO
   - Enter Auditors TIN:

3. Was the Student Financial Aid Cluster Audited as a major program?
   - If no, question 5 is not applicable.
   - YES NO

4. Does this A-133 report contain any findings related to the FSA Title IV programs?
   - YES NO

5. Type of Auditor's Report Issued on Compliance for Major Programs
   - If 3 is no, this question is not applicable.
   - Select an Opinion Type:

6. Save
7. Save and Proceed
8. Cancel

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1. Confirm the information displayed is correct.  
2. Begin date is the beginning of the audit period.  
3. End date is the end of the audit period.  
4. Provide a reason if your audit period is less than a year.  
5. This is the auditor on file with the Department of Education.  
6. If the auditor’s information is correct, no action is required. If incorrect or this is a new auditor, please select NO, and update with current information.  
7. This field should be pre-populated. Please enter the auditor’s Tax Identification Number (TIN) if this information is incorrect or missing. DO NOT USE HYPHENS.  
8. Indicate whether the Student Financial Aid Cluster was audited as a major program in the A-133 audit. Refer to Section I – Summary of Auditor’s Results in the Schedule of Findings and Questioned Costs of the annual A-133 report. Note: If the answer to this question is NO, do not answer question 5.  
9. Indicate whether your compliance audit report contains any findings related to the FSA Title IV programs. Refer to the Federal Awards Section – Summary of Auditor’s Results in the Schedule of Findings and Questioned costs of the annual A-133 report.  
10. Refer to Section I - Summary of Auditor’s Results in the Schedule of Findings and Questioned Costs of the annual A-133 report. Note: Only indicate the opinion type for Title IV programs if the SFA cluster was audited as a major program.  
11. IMPORTANT WARNING: Click the CANCEL button to 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. To complete Compliance Audit Information page for member school(s), click on the name of the school. Complete the Compliance Audit Information page following the steps above.  
13. Click the SAVE and PROCEED button to go to the Annual Submission-Completeness Checklist page. This is the next stage in the submission process. If you are a school group this will take you to the Checklist page for the school you have selected.  

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

Completeness Checklist  
If you successfully entered or saved the information inputted on the Compliance Audit Information page by clicking on the SAVE AND PROCEED button, the screen below should appear. This page can also be reached by repeating the LOGIN step. This will take you to your institution’s eZ-Audit homepage. On the upper left hand side of the page, you will see a section “Create Annual Submissions”. Click on the underlined text “Create FYE---- Annual Submission”, and then click on the underlined text “Completeness Checklist”. The screen below should appear:
Step-by-Step Guide to Using eZ-Audit For Not-for-profit Schools

Non-profit Annual Submission Checklist

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

   - Independent Auditors Report (This report must include auditor's signature)
   - Statement of Financial Position
   - Statement of Activities
   - Cash Flow Statement
   - Notes to Financial Statements
   - Independent Auditors Report on Compliance and on Internal Control over Financial Reporting Based on an Audit of Financial Statements performed in Accordance with Government Auditing Standards
   - Schedule of Expenditures of Federal Awards
   - Corrective Action Plan
   - Schedule of Findings & Questioned Costs
   - Summary schedule of prior year audit findings
   - Independent Auditors Report on Compliance with Requirements applicable to Each Major Program and Internal Control Over Compliance in Accordance with OMB Circular A-133

2. Contact Information/Additional Notes

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

   Financial Statement Contact
   Name:
   Email:
   Phone:

   Compliance Audit Contact
   Name:
   Email:
   Phone:

   Same Contact Information as above: □

3. Enter any additional notes

4. CANCEL

5. SAVE

6. SAVE AND PROCEED

2a
Step-by-Step Guide to Using eZ-Audit For Not-for-profit Schools

1. Confirm that 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) 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. To complete the Checklist page for member school(s), click on the name of the school. Complete the Checklist page following the steps above.
6. Click the SAVE and PROCEED button to save all entries and to take you to the Upload Attachment page. If you are a school group this will take you to the Upload page for the school you have selected.

School Group Submissions:

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

**NOTE**

Step-by-Step Guide to Using eZ-Audit For Not-for-profit Schools

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

As part of your Annual Submission, you must include an electronic copy of your complete A-133 report 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. All required fields are indicated with an asterisk. Selecting 'All' satisfies all required fields.

1. Confirm the information displayed is correct.
2. Click on the Browse button to search for document(s) to be attached. Then follow instructions on the next page on searching and attaching document(s).
Step-by-Step Guide to Using eZ-Audit For Not-for-profit Schools

3. Check all appropriate boxes for the documents you attached.
4. After the document has been attached and the file type identified by checking the box, click the “ADD” button to ensure that the document has been successfully attached to your compliance audit submission.
5. Click the CANCEL button to erase all entries.
6. Click the SAVE button to save all entries currently on screen. To Upload the Compliance Audit and/or Corrective Action Plan for member school(s), click on the name of the school. Follow steps above.
7. Click the SAVE and PROCEED button to take you to the Not-for-profit Annual Submission-submit page.

School Group Submissions:

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

As part of your annual submission, you must include an electronic copy of your complete A-133 report. Please note that all files must be in a non editable PDF format and NO personal information such as Social Security Numbers should be contained in attachments. Remember, you can attach additional information not required during this process. If you do attach additional information, please make a note in the “Contact Information/Notes” field on the Completeness Checklist page.
Step-by-Step Guide to Using eZ-Audit For Not-for-profit Schools

Not-for-profit Annual Submission-Submit
If you successfully entered, saved and attached an electronic copy of your submissions by clicking on the SAVE and PROCEED button, the screen below should appear. This page can also be reached by repeating the LOGIN step. This will take you to your institution’s eZ-Audit homepage. On the upper left hand side of the page, you will see a section “Create Annual Submissions”. Click on the underlined text “Create FYE----Annual Submission”, and then click on the underlined text “Submit”. The screen below should appear:

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

Your submission must be prepared in accordance with 34 CFR 668.23, the FSA Audit Guide, or OMB Circular A-133 as appropriate. Once submitted, you will only have read access to this data.

REMINDER: OMB still requires submissions of A-133 reports (public and non-profit institutions) to the Federal Audit Clearinghouse.

By clicking the “Submit to ED” button below, I certify that I am the individual currently signed into this system on behalf of the institution, and that I am authorized to submit this information on behalf of the institution. 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 institution provides false or misleading information, (a) the U.S. Department of Education may deny or seek to revoke the institution eligibility to participate in the federal student financial aid programs and (b) the institution may be liable for all federal student financial aid fund it or its students received. I also understand that I may be subject to a fine of 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.

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 institution’s homepage with a displayed confirmation of your submission. If you do not have the SUBMIT TO ED button please verify that “submitter” is selected as a user role. See Manage Users for details.

NOTE You will have “read” access only once submitted.

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

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Not-for-profit Annual Submission-Submit continued:

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

NOTE: You will have “read” access only once submitted.

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Merger/Change in Ownership

Financial Statement
To complete a Change in Ownership Submission, complete the LOGIN step. This will take you to your institution’s eZ-Audit homepage. On the upper left hand side of the page, you will see a section “Other Submissions”. Click on the underlined text “Create Merger/Change in Ownership Submission”, and then the screen below should appear:

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

Statement of Financial Position
If you clicked on the underlined text “Statement of Financial Position” on the Financial Statements page, the screen below should appear. This page can also be reached by repeating the LOGIN step. This will take you to your institution’s eZ-Audit homepage. On the upper left hand side of the page, you will see a section “Create Merger / Change in Ownership Submission”. Click on the underlined text “Financial Statements”, and then click on the underlined text “Statement of Financial Position” on the lower part of the page. The screen in the next page should appear:
1. **Cash and Cash Equivalents** - Cash balances held to meet payments arising in the ordinary course of operations. Cash & Cash Equivalents consist of, in addition to currency on hand and deposits held by financial institutions that can be added to or withdrawn without limitations, such as demand deposits, Short Term, highly liquid investments that are both readily convertible to known amounts of cash and so near their maturity that they present insignificant risk of change in value.

2. **Current Total Net Accounts Receivable** - Net accounts receivable equals gross accounts receivable less the allowance for doubtful accounts [line items 3 thru 7 minus 8]. This field is automatically calculated by the eZ-Audit system.

3. **Investments (convertible within 90 days)** – Debt and equity securities, real property, land and other long-term investments.

4. **Accounts Receivable – Related Parties – Unsecured** – All amounts due from related parties [affiliates] on account that are not collateralized or subject to a security agreement.

5. **Current Liabilities** – All amounts owed to suppliers or providers of services from normal operations, all amounts owed to students and/or financial partners subject to Title IV programs, all amounts owed to students from deposits and advance payments, current liabilities that result from the consumption of an asset or service during the fiscal year prior to payment, receipts on tuition not recognized as
revenue and deferred based upon the institution’s revenue recognition policy, amounts owed on lines of credit with banks, the portion of long-term debt that is expected to mature within the next fiscal year, the portion of the capital lease obligation that is expected to mature within the next fiscal year and other current liabilities.

6. **Total Assets** – Sum of all assets included in line items 1 thru 25 above. This will be automatically calculated by the eZ-Audit system.

7. **Total Intangible Assets (as defined by GAAP)** – All intangibles including parents franchises, copyrights, trademarks, brand names, covenants not to compete, good will accreditation costs, program development costs, etc.

8. **Total Liabilities** - Sum of all liabilities included in line items 27 thru 42 above. This will be automatically calculated by the eZ-Audit system.

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

10. Click the **SAVE** button for eZ-Audit to save the entries

11. Click the **SAVE and PROCEED** button to save all entries and then take you back to the Financial Statement page.

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**NOTE**

With a Merger/Change in Ownership, Not-for-profit schools are required only to complete the Statement of Financial Position.
Step-by-Step Guide to Using eZ-Audit For Not-for-profit Schools

Upload Attachments
If you successfully entered or saved the information inputted on the Create Merger/Change in Ownership Submission-Financial Statements page by clicking on the **SAVE and PROCEED** button, the screen below should appear. This page can also be reached by repeating the **LOGIN** step. This will take you to your institution’s eZ-Audit homepage. On the upper left hand side of the page, you will see a section “Other Submissions”. Click on the underlined text “Create Merger/Change in Ownership Submission”, and then click on the underlined text “Upload Attachments”. The screen below should appear:

As part of your Merger/Change in Ownership Submission, you must include an electronic copy of the following: New Entities: One Day Balance Sheet; Existing Entities: Two years of complete audited financial statements and a one day balance sheet. 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. All required fields are indicated with an asterisk. Selecting ’All’ satisfies all required fields.

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

   A. Scroll down to locate correct directory.

   B. Select correct folder or directory to locate file.

   C. Ensure the correct file name is displayed.

   D. Click on the **Open** button to attach file.

4. Check all appropriate documents attached.

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

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

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

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

   **NOTE**

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

If you successfully entered, saved and attached an electronic copy of your complete audited financial statements by clicking on the SAVE and PROCEED button, the screen below should appear. This page can also be reached by repeating the LOGIN step. This will take you to your institution’s eZ-Audit homepage. On the upper left hand side of the page, you will see a section “Other Submissions”. Click on the underlined text “Merger/Change in Ownership”, and then click on the underlined text “Submit”. The screen below should appear:

1. 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 submission process. This will then take you to your institution’s homepage with a displayed confirmation of your audit submission. If you do not have the “SUBMIT TO ED” button please verify that “submitter” is selected as a user role. See Manage Users for details.

   **NOTE** You will have “read” access only once submitted.
New Institution/Reinstatement Submission

Financial Statement
To submit your institution’s New Institution/Reinstatement Submission audit, complete the LOGIN step. This will take you to your institution’s eZ-Audit homepage. On the upper left hand side of the page, you will see a section “Other Submissions”. Click on the underlined text “Create New Institution Submission” or “Create Reinstatement Submission”, and then the screen in the next page should appear with your institution’s name:
Step-by-Step Guide to Using eZ-Audit For Not-for-profit Schools

1. Enter the Institution’s Most Recent Fiscal Year End (mm/dd/yyyy):
   - Fiscal Year End 1:
   - Fiscal Year End 2:

   For Questions 2 through 6 Enter responses for Fiscal Year End:

2. Indicate the Period Audited (mm/dd/yyyy):
   - Begin Date: [01/01/2002]
   - End Date: [01/01/2003]
   - Reason if Less than 1 Year:

3. Enter Auditor Information:
   - Enter Auditors TIN: [111111111]

4. What type of auditor’s report was issued on the financial statements?
   - [unqualified]

5. Is a going concern explanatory paragraph included in either the auditor’s opinion letter or in the notes to the financial statements?
   - [YES] [NO]

6. Enter Financial Statement Data
   - Statement of Financial Position
   - Statement of Activities

   [CANCEL] [SAVE] [SAVE AND PROCEED]
Step-by-Step Guide to Using eZ-Audit For Not-for-profit Schools

1. Confirm the information displayed is correct.
2. Enter fiscal year end date (MM/DD/YYYY).
3. Auto Populated to exactly one year from the entered Fiscal Year End 1 (MM/DD/YYYY).
4. Text Indicating to provide responses for most current Fiscal Year End (Fiscal Year End 1).
5. Begin date is the beginning of the audit period.
6. End date is the end of the audit period.
7. Provide a reason if your audit period is less than a year.
8. Enter audit firm’s TIN (Tax Identification Number).
9. Refer to Section I – Summary of Auditor’s Results in the Schedule of Findings and Questioned Costs of the annual A-133 report.
10. Refer to Part II, Question 2 of the Federal Audit Clearinghouse Data Collection Form SF-FAC (3-20-2001).
11. Under this section, please click on each of the types of statements and complete the fields requested.
   Click on Statement of Financial Position – (see section on completing the Statement of Financial Position under Annual Submission) or click on Statement Of Activities - (see section on completing the Statement of Activity under Annual Submission.
12. Click the CANCEL button to erase/delete all entries.
13. Click the SAVE button to ensure all entries are successfully stored by the system on this page.
14. Click the SAVE and PROCEED button to go to the Completeness Checklist. This is the next stage in the submission process.

Statement of Financial Position

Statement of Activities
See “Statement Of Activities” on the Financial Statements page under Annual Submissions for details in completing all data fields.
Step-by-Step Guide to Using eZ-Audit For Not-for-profit Schools

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

![Completeness Checklist Diagram](image-url)
Step-by-Step Guide to Using eZ-Audit For Not-for-profit Schools

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

**NOTE**

Step-by-Step Guide to Using eZ-Audit For Not-for-profit Schools

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

1. Confirm the information displayed is correct.
2. Click on the Browse button to search for document(s) to be attached. Then follow instructions on the next page on searching and attaching document.
Step-by-Step Guide to Using eZ-Audit For Not-for-profit Schools

3. Check all appropriate documents attached.
4. After the document has been selected and the file type identified by checking the box, click the “ADD” button to ensure that the document has been successfully attached to your submission.
5. Click the CANCEL button to erase all entries.
6. Click the SAVE button to save all entries currently on the screen.
7. Click the SAVE and PROCEED button to take you to the New Institution Submission-submit page.

NOTE

As part of your initial submission, you must include an electronic copy of your complete audited financial statements. Please note that all files must be in a non-editable PDF and no personal information such as Social Security Numbers should be contained in attachments. Remember, you can attach additional information not required during this process. If you do attach additional information, please make a note in the “Notes” field on the Completeness Checklist page.
Step-by-Step Guide to Using eZ-Audit For Not-for-profit Schools

New Institution/Reinstatement Submission-Submit

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

1. Confirm the information displayed is correct.
2. Please read to understand and attest that you have met all requirements.
3. Click on the “SUBMIT TO ED” button to complete your New Institution Submission process. If you do not have the “Submit To ED” button please verify that “submitter” is selected as a user role. See Manage Users for details.

NOTE: You will have “read” access only once submitted.
Stub Audit Submission

Compliance Audit Information
If you successfully entered or saved the information inputted on the Financial Statements page by clicking on the SAVE and PROCEED button, the screen below should appear. This page can also be reached by repeating the LOGIN step. This will take you to your institution’s eZ-Audit homepage. On the upper left hand side of the page, you will see a section “Create Annual Submissions”. Click on the underlined text “Create Stub Audit Submission”, and then click on the underlined text “Compliance Audit”. The screen in the next page should appear:
Step-by-Step Guide to Using eZ-Audit For Not-for-profit Schools
Step-by-Step Guide to Using eZ-Audit For Not-for-profit Schools

1. Confirm the information displayed is correct.
2. Begin date is the beginning of the audit period.
3. End date is the end of the audit period.
4. Provide a reason if your audit period is less than a year.
5. This is the auditor on file with the Department of Education.
6. If the auditor’s information is correct, no action is required. If incorrect or this is a new auditor, please select NO, and update with current information.
7. This field should be pre-populated. Please enter the auditor’s Tax Identification Number (TIN) if this information is incorrect or missing. **DO NOT USE HYPHENS.**
8. Indicate whether the Student Financial Aid Cluster was audited as a major program in the A-133 audit. Refer to Section I – Summary of Auditor’s Results in the Schedule of Findings and Questioned Costs of the annual A-133 report. **Note:** If the answer to this question is **NO,** do not answer question 5.
9. If your compliance audit report does not contain any findings related to the FSA Title IV programs, click **NO** and no action is required.
10. Refer to Section I - Summary of Auditor’s Results in the Schedule of Findings and Questioned Costs of the annual A-133 report. **Note:** Only indicate the opinion type for Title IV programs if the SFA cluster was audited as a **major** program.
11. **IMPORTANT WARNING:** Click the **CANCEL** button to 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 **Not-for-profit Annual Submission-Completeness Checklist page.**
Completeness Checklist
If you successfully entered or saved the information inputted on the Financial Statements page by clicking on the SAVE AND PROCEED button, the screen below should appear. This page can also be reached by repeating the LOGIN step. This will take you to your institution’s eZ-Audit homepage. On the upper left hand side of the page, you will see a section “Other Submissions”. Click on the underlined text “Stub Audit Submission”, and then click on the underlined text “Completeness Checklist”. The screen below should appear:
Step-by-Step Guide to Using eZ-Audit For Not-for-profit Schools

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.

**NOTE**

Step-by-Step Guide to Using eZ-Audit For Not-for-profit Schools

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

1. Confirm the information displayed is correct.
2. Click on the Browse button to search for document(s) to be attached. Then follow instructions on the next page on searching and attaching document.
Step-by-Step Guide to Using eZ-Audit For Not-for-profit Schools

A. Scroll down to locate correct director.

B. Select correct folder or directory to locate file.

C. Ensure the correct file name is displayed.

D. Click on the Open button to attach file.

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

As part of your stub audit submission, you must include an electronic copy of your complete audited financial statements and 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 Not-for-profit Schools

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

1. 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.

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

NOTE
Step-by-Step Guide to Using eZ-Audit For Not-for-profit Schools

Change in FY End

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

1. Confirm the information displayed is correct.
2. This represents information on file with ED concerning current fiscal year.
3. Click on the drop down list to change month as desired.
Step-by-Step Guide to Using eZ-Audit For Not-for-profit Schools

4. Click on the “SUBMIT TO ED” button to ensure that date change is captured by the eZ-Audit system. If you do not have the “SUBMIT TO ED” button please verify that “submitter” is selected as a user role. See Manage Users for details.

NOTE: Contact your School Participation Team Representative for information regarding additional submission requirements.
Waiver/Exemption Request

Create Waiver/Exemption Request
This page can be reached by repeating the LOGIN step. This will take you to your institution’s eZ-Audit homepage. On the upper left hand side of the page, you will see a section “Other Submissions”. Click on the underlined text “Other Submissions”, and then click on the underlined text “Create Waiver Exemption Request”. The screen in the next page should appear:
Step-by-Step Guide to Using eZ-Audit For Not-for-profit Schools

1. Confirm the information displayed is correct.
2. Click on the Browse button to search for document to be attached. The screen below should appear:
Step-by-Step Guide to Using eZ-Audit For Not-for-profit Schools

If your institution expends less than $300,000 in Federal funds (less than $500,000 for fiscal years ending after December 31, 2003), you are not required to submit a compliance audit. You must submit an Exemption/ Request to the Department for the compliance portion of the A-133 report. (See Waiver and Exemption Request).

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:
4. Select the Fiscal Year End date from the drop down menu 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. This will then take you to your institution’s homepage with a displayed confirmation of your transaction. If you do not have the “SUBMIT TO ED” button please verify that "submitter" is selected as a user role. See Manage Users for details.

By clicking the "Submit to ED" button below, I certify that I am the individual currently signed into this system on behalf of the institution, and that I am authorized to submit this information on behalf of the institution. 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 institution provides false or misleading information, (a) the U.S. Department of Education may deny or seek to revoke the institution eligibility to participate in the federal student financial aid programs and (b) the institution may be liable for all federal student financial aid fund it or its students received. I also understand that I may be subject to a fine of not more than $25,000 or imprisonment of not more than five years, or both, for misinformation that is material to receipt and stewardship of federal student aid funds.

If you do not have the Submit To Ed button, Submitter is not indicated as one of your roles. Please see the Manage Users Section of Help.
Step-by-Step Guide to Using eZ-Audit For Not-for-profit Schools

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

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

   A. Scroll down to locate correct directory.
   B. Select correct folder or directory to locate file.
   C. Ensure the correct file name is displayed.
   D. Click on the Open button to attach file.

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 Not-for-profit Schools

Resubmission

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

Resubmissions should be submitted 15 calendar days from receipt of email/letter.

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

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

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

4. Click the Resubmit link from left navigation area.

5. Correct submission as directed in Incomplete Letter. Portions of submission deemed complete will be read-only.
Delinquent Letter

If your submission is not received by its due date, a Delinquent Email will be sent to the Institution’s President, CFO, and Institution’s Financial Aid Administrator. The email will indicate that a Delinquent Letter has been posted to the Notifications section of your Institution’s Home Page. Once the Delinquent Email is received, you will be directed to logon onto eZ-Audit to view the Delinquent Letter. The Delinquent Letter will disappear once you have submitted the submission.

1. Click link to view Delinquent Letter. Delinquent letter will provide information regarding which annual submission is over due. Letter will open in separate window.
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 Not-for-profit Schools

Reminder Email

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

eZ-Audit System Rules of Behavior
Statement of Acceptance of User Responsibility

For Official, Approved Use Only – the eZ-Audit system is funded by the Government to support various programmatic efforts needed to accomplish the Department of Education/FSA mission. As such, these resources are to be used only for official Government business.

Violations – It is critical that all users adhere to accepted user principles regarding appropriate use (see principles below).

Accepted User Principles - Users’ access to computing resources indicates a level of trust bestowed upon them by their management and ultimately by the Department of Education/FSA. 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.
- 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 eZ-Audit staff with a description of the event.
- Protecting authenticators, such as passwords.
- Reporting any compromise or suspected compromise of a password to eZ-Audit staff with a description of the event.
- Accessing only systems, networks, data, control information, and software for which they are authorized.

I certify that I have read and understand the rules as stated above, and that I agree to comply with the government’s requirements for the protection of any information covered by the privacy Act.

_________________________________  ____________________
Signature       Date