



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

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## eZ-Audit Overview



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### *Frequently Asked Questions...*

#### What is eZ-Audit?

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

#### How does eZ-Audit work?

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

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

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

#### 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.



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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](http://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.)

### **School Group Submissions**

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

#### **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.**

**The school group should designate one of the OPEIDs as the submitting institution. The submitting institution registers with the eZ-Audit and does the submission for all of the schools in the school group. As part of the eZ-Audit submission, the submitting institution has to complete the Compliance Audit Information page. This should be done only once, covering all of the schools in the school group. In answering the questions on the page, the submitting institution should answer 'Yes' if the condition applies to any of the schools. For example, if any of the schools participates in FFEL programs, the answer for the school group would be 'Yes'. If the information populated in the application is incorrect or should you require additional assistance, please contact eZ-Audit at 1-877-263-0780 or by email at [fzaudit@ed.gov](mailto:fzaudit@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 non-profit institutions) to be sent to the Federal Audit Clearinghouse.**

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)**
  - Public 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 \$300,00 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.**
  - Please note that an Application for Approval to Participate in Federal Student Aid Programs ([www.eligcert.ed.gov](http://www.eligcert.ed.gov)) should be filed at the time of your submission.
- **If you undergo a change in ownership, merger or structure change.**
  - Please note that an Application for Approval to Participate in Federal Student Aid Programs ([www.eligcert.ed.gov](http://www.eligcert.ed.gov)) should be filed at the time of your submission.
- **If you wish to be reinstated to participate in Title IV program(s).**
  - Please note that an Application for Approval to Participate in Federal Student Aid Programs ([www.eligcert.ed.gov](http://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



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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.

### NOTE

**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>. 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 IFAP at <http://ifap.ed.gov>.
- You can send an email to [fsaezaudit@ed.gov](mailto:fsaezaudit@ed.gov)
- Contact the eZ-Audit hotline 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. Also refer to the eZ-Audit Welcome page and click on Registration Instructions.**

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

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

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

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

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

#### [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

#### [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.



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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, 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.

**NOTE**

**If you submit an OMB Circular A-133 report covering multiple schools, only the submitting institution needs to register with eZ-Audit. The A-133 report submission made by the “submitting institution” will fulfill the requirements for all schools in the school group.**

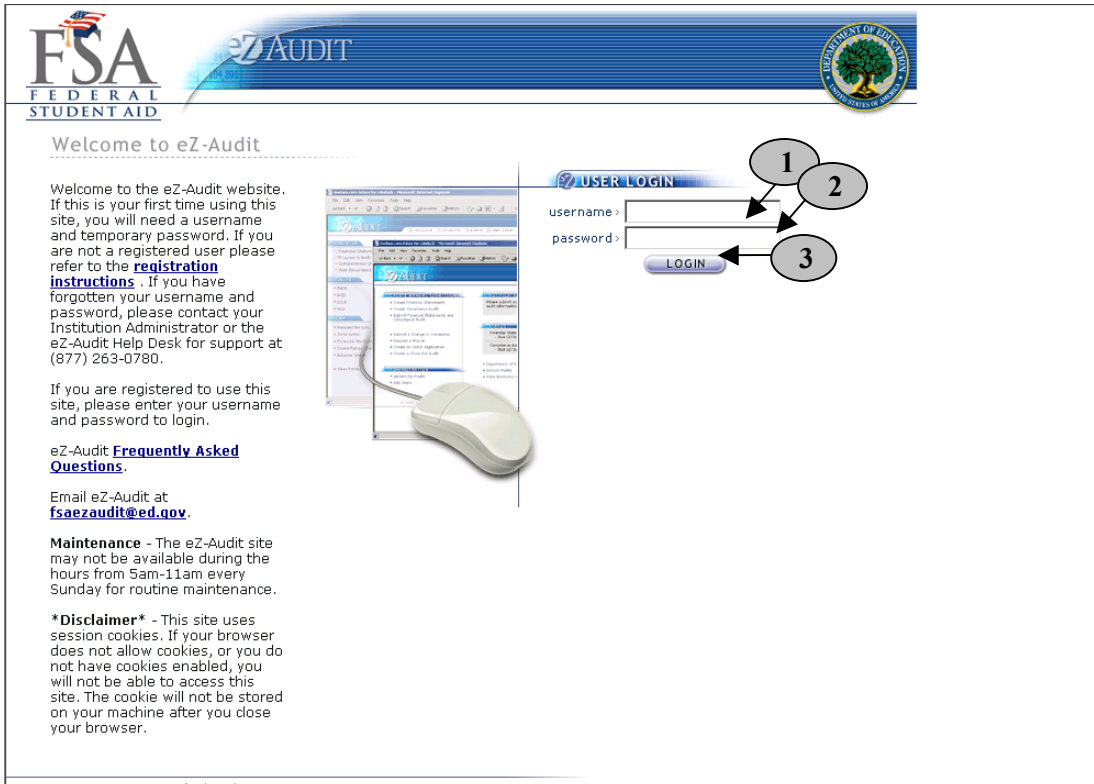


## Step-by-Step Guide to Using eZ-Audit For Public Schools

### Administrative Tasks/Security

#### Login

After typing in the URL [www.ezaudit.ed.gov](http://www.ezaudit.ed.gov) in your Internet browser, the “Welcome to eZ-Audit” screen below should appear:



Welcome to eZ-Audit

Welcome to the eZ-Audit website. If this is your first time using this site, you will need a username and temporary password. If you are not a registered user please refer to the [registration instructions](#). If you have forgotten your username and password, please contact your Institution Administrator or the eZ-Audit Help Desk for support at (877) 263-0780.

If you are registered to use this site, please enter your username and password to login.

eZ-Audit [Frequently Asked Questions](#).

Email eZ-Audit at [fsaezaudit@ed.gov](mailto:fsaezaudit@ed.gov).

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

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

U.S. Department of Education

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

#### NOTE

Your user name will be the first letter of your first name, the first five letters of your last name and 2 numeric characters.



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

### 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:

The screenshot shows the eZ-Audit system interface. At the top, there is a navigation bar with the following buttons: **AUDIT HOME**, **MANAGE USERS**, **HELP**, and **LOGOUT**. A circled number '1' is placed over the **LOGOUT** button. Below the navigation bar, the page is divided into several sections. On the left, there are two main sections: **CREATE ANNUAL SUBMISSIONS** and **OTHER SUBMISSIONS**. The **CREATE ANNUAL SUBMISSIONS** section contains a link to 'Create FYE 10/31/2002 Annual Submission'. The **OTHER SUBMISSIONS** section contains several links: 'Change Fiscal Year End Date', 'Create Exemption/Waiver Request Submission', 'Create Initial Application Submission', 'Create Reinstatement Submission', 'Create Stub Audit Submission', and 'Submit Additional Information'. Below these links is a button labeled **VIEW HISTORICAL SUBMISSIONS**. At the bottom left, there is an **ADMINISTRATION** section with links for 'Update My User Profile' and 'View Institution Profile'. On the right side of the page, there is a **Home Page** section with the text 'Public School OPEID:11223300'. Below this is a **NOTIFICATIONS** section with a message: 'Your Fiscal Year End 10/31/2002 Annual Submission is due on 7/28/2003.'

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

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



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

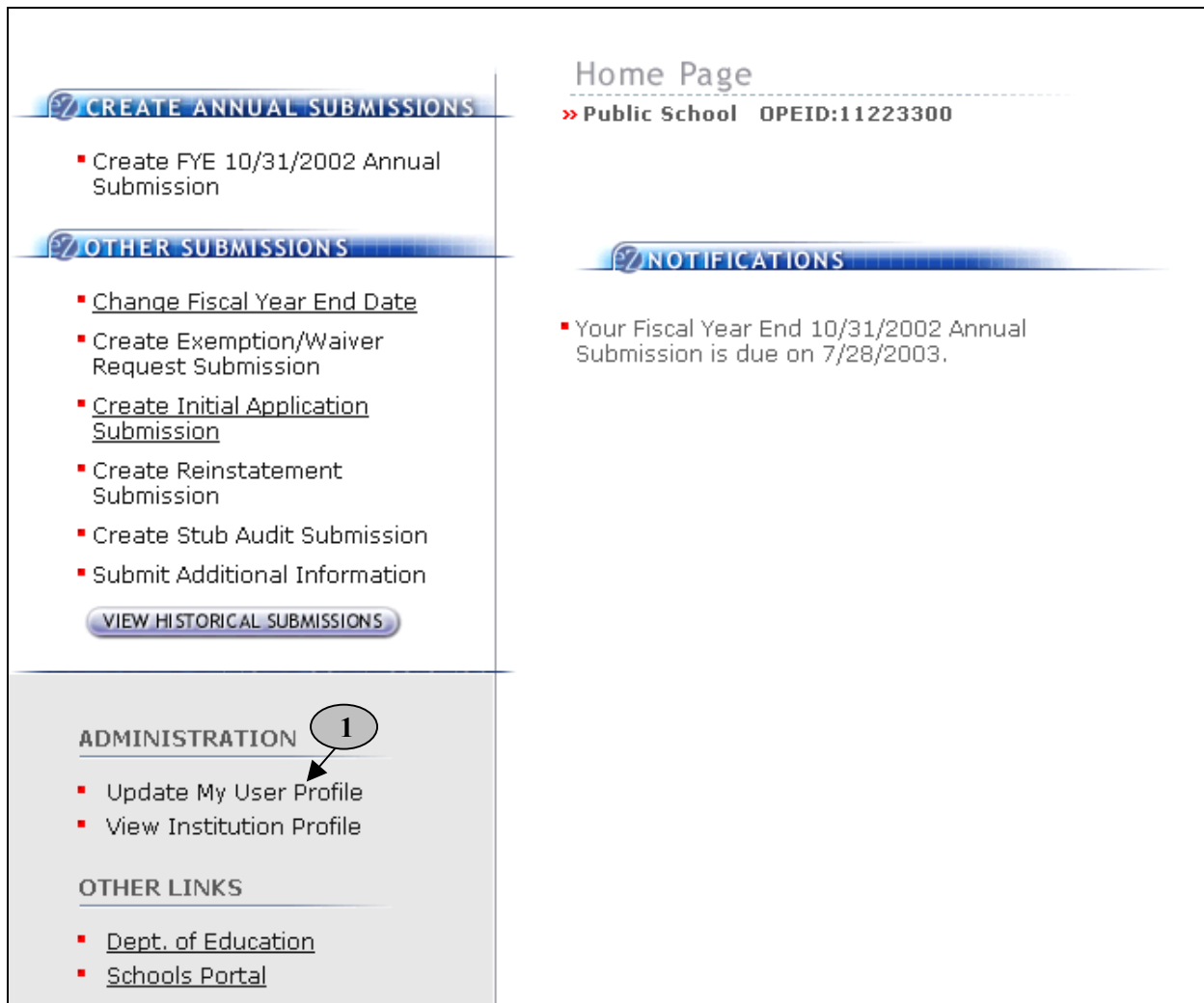
**NOTE**

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

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

### My Profile

To update your profile (i.e. username, email address, phone number, password, 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:



**CREATE ANNUAL SUBMISSIONS**

- Create FYE 10/31/2002 Annual Submission

**OTHER SUBMISSIONS**

- [Change Fiscal Year End Date](#)
- Create Exemption/Waiver Request Submission
- [Create Initial Application Submission](#)
- Create Reinstatement Submission
- Create Stub Audit Submission
- Submit Additional Information

[VIEW HISTORICAL SUBMISSIONS](#)

**ADMINISTRATION** 1

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

**OTHER LINKS**

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

**Home Page**

>> Public School OPEID:11223300

**NOTIFICATIONS**

- Your Fiscal Year End 10/31/2002 Annual Submission is due on 7/28/2003.

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

**NOTE**

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



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

If you clicked on the underlined text "[Update My User profile](#)" on your institution'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:	<input type="text" value="Pu"/>
Last Name:	<input type="text" value="Blic"/>
Email Address:	<input type="text" value="public@FSA.ed"/>
Re-Type Email Address:	<input type="text"/>
Office Phone:	<input type="text" value="202-123-4567"/> Ext. <input type="text"/>
Fax:	<input type="text"/>

#### CHANGE PASSWORD

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

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.

Old Password:	<input type="text"/>
New Password:	<input type="text"/>
Re-type New Password:	<input type="text"/>

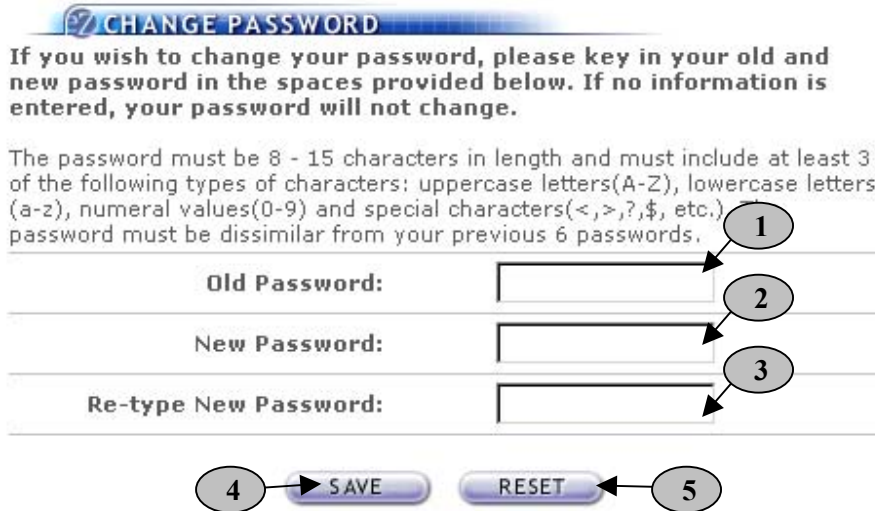
#### NOTE

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 Public Schools

### Change Password

To change your password, repeat the **My Profile** step. This will take you to the Update My Profile page. The screen shown below should appear at the bottom of that page:



**CHANGE PASSWORD**

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

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

1 → Old Password:

2 → New Password:

3 → Re-type New Password:

4 → SAVE      RESET ← 5

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.

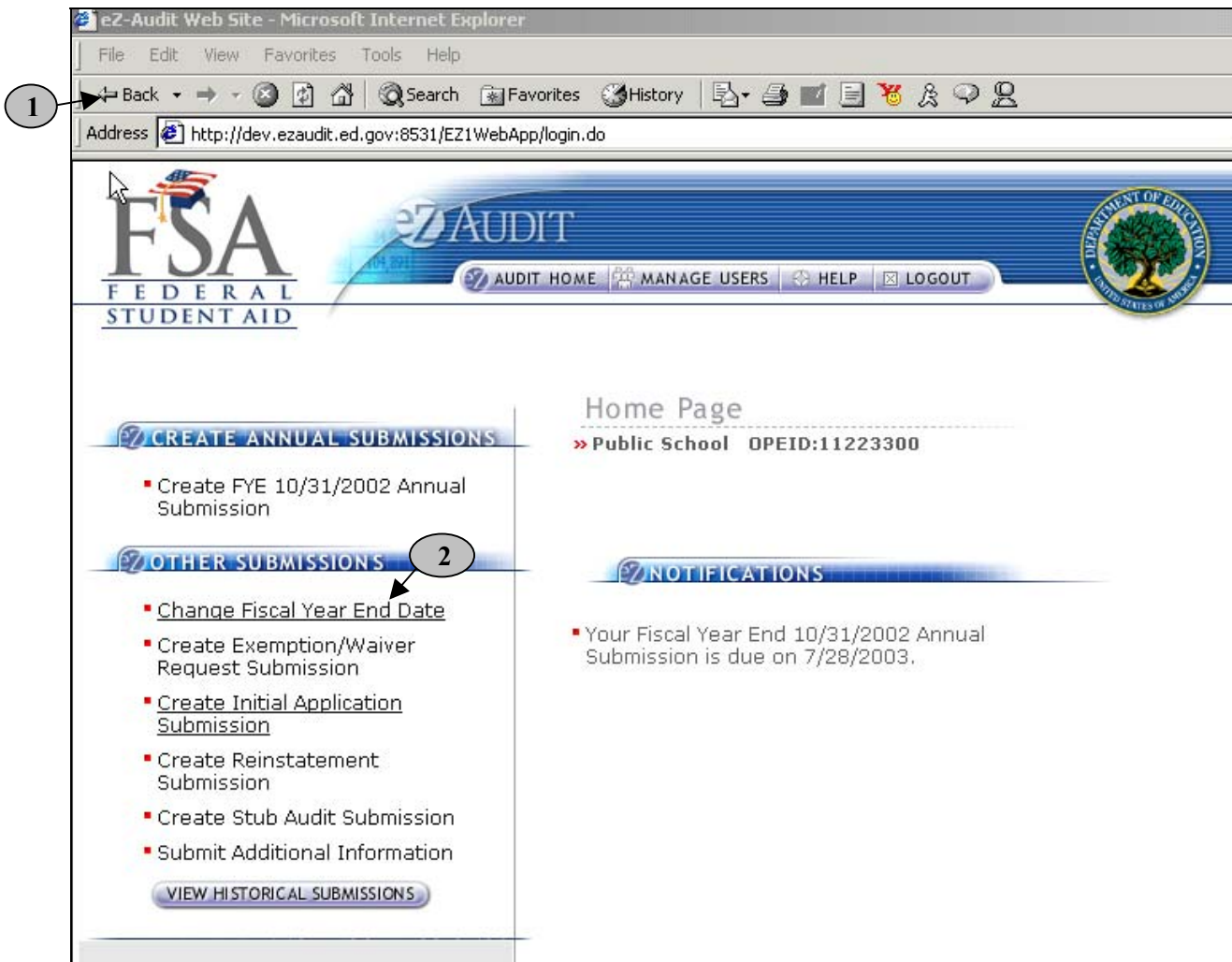
#### NOTE

The password must be 8-15 characters in length and must include uppercase, lowercase letters and numeric values. Clicking the SAVE button ensures all information has been saved by the system. Please note that the system will automatically prompt you to change your password every 90 days. Follow the same process described above to make this change. If you require additional help, contact the Help desk at 1-877-263-0780.

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

### Navigation

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



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



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

### Data Edits

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

The screenshot shows the eZ-Audit interface with the following error messages:

Financial Statements Info Page > Income Statement

**Error(s):**

- Field: Operating Income is required and cannot be left blank.
- Field: Tuition and Fees is required and cannot be left blank.
- Field: Other is required and cannot be left blank.
- Field: Non-Operating Income is required and cannot be left blank.
- Field: Gains on Sale of Investments, net of losses is required and cannot be left blank.
- Field: Interest Income is required and cannot be left blank.
- Field: Other is required and cannot be left blank.
- Field: Cost of Goods Sold is required and cannot be left blank.
- Field: Salaries Expense is required and cannot be left blank.

The screenshot shows the eZ-Audit interface with the following submission error message:

Public Annual Submission SUBMIT

>> Public School

- OPEID: 11223300

**Error(s):**

- You have not corrected errors on the Financial Statement, Program and Audit Info, Checklist, Upload Attachments page(s). Please go back and correct all errors prior to submitting to the Department of Education.

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

Your submission must be prepared in accordance with guidance provided in 34 CFR 668.23, the FSA Audit Guide, or OMB Circular A-133. 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.**

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





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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>. 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."



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

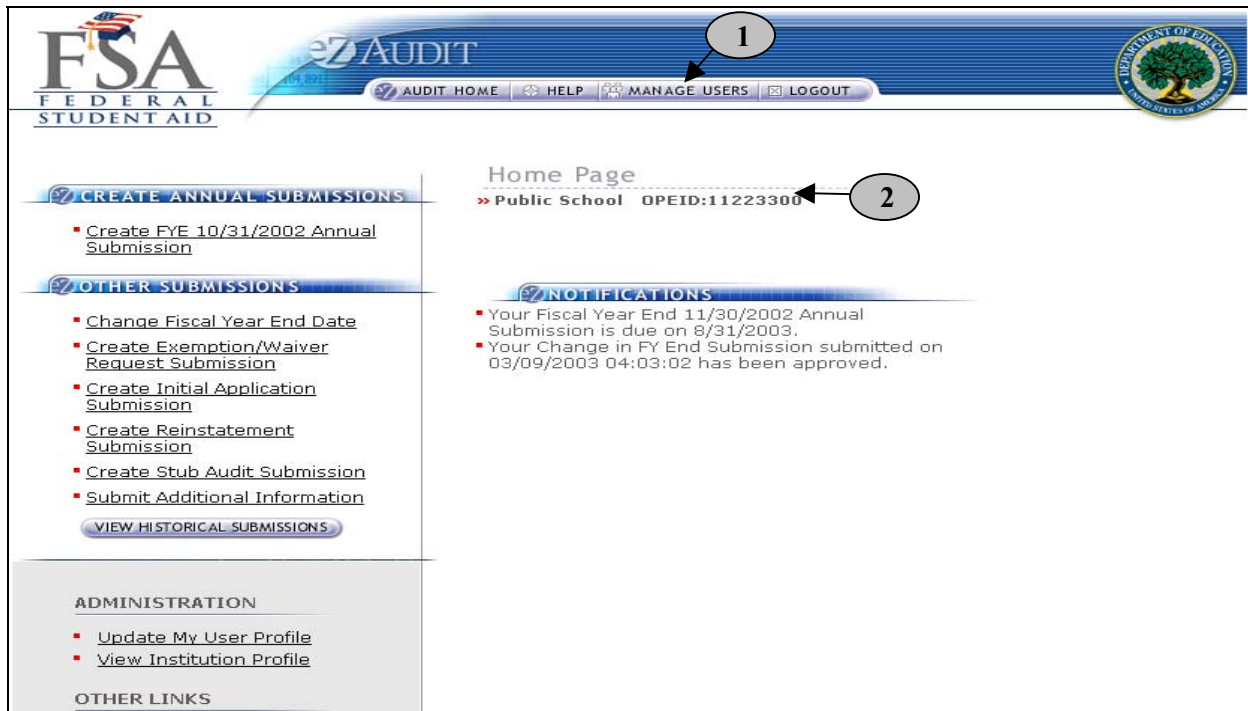
### Manage Users

#### Types of Users and Responsibilities

1. The **eZ-Audit Institution/School Administrator**, selected by your school, is responsible for:
  - 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
2. The **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 audited financial statements and compliance audits
3. The **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

#### Institution Administrator Homepage

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



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

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

### Creating/Deleting Data Entry and Submitter Users

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

U. S. Department of Education

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

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

**First Name:** \* Public

**Last Name:** \* blic

OPEID: 11223300

**Email Address:** \* Pu@blic.edu

**Re-Type Email Address:** \* Pu@blic.edu

**Office Phone:** \* 123456789 Ext. 123

Fax: 123456789

**ROLE** \*

Data Entry

Submitter

ADD USER RESET

“Submitter” must be selected as a role or the “Submit” button will not be available.

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

**NOTE**

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



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

### Institution Home Page/Status

#### Institution Profile

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

[eZ Audit Home](#) > [Institution Profile](#)

### Institution Profile

>> **Public School** OPEID:11223300

**INSTITUTION INFO**

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

**Institution Name:** Public School

**Type of Institution:** Public

**Address:** 1111 Public School Lane

**Address:**

**City:** Public

**State:** DC

**Postal Code:** 11111

**Phone Number:** 1112223333

**Fax Number:** 4445556666

**OPE ID (Parent):**

**OPE ID (Subsidiary):**

**TIN:** 65-45678

**DUNS Number:**

**Fiscal Year End:** 10/31/2002

**President:** Mr Public

**President Email:** public@publicschool.com

**Financial Aid Admin:** Mrs Public

**FAA Email:** public@publicschool.com

**Contact Person:**

**Contact Email:**

**Primary Accreditation Org.:** PUBLIC

**Other Accreditation Org.:**

**NOTE**

Changes to the Institution's Profile can only be made via the eAPP. This can be accessed at [www.eligcert.ed.gov](http://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.



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

### Historical Submissions

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

View Historical Submissions

» Public School OPEID:11223300

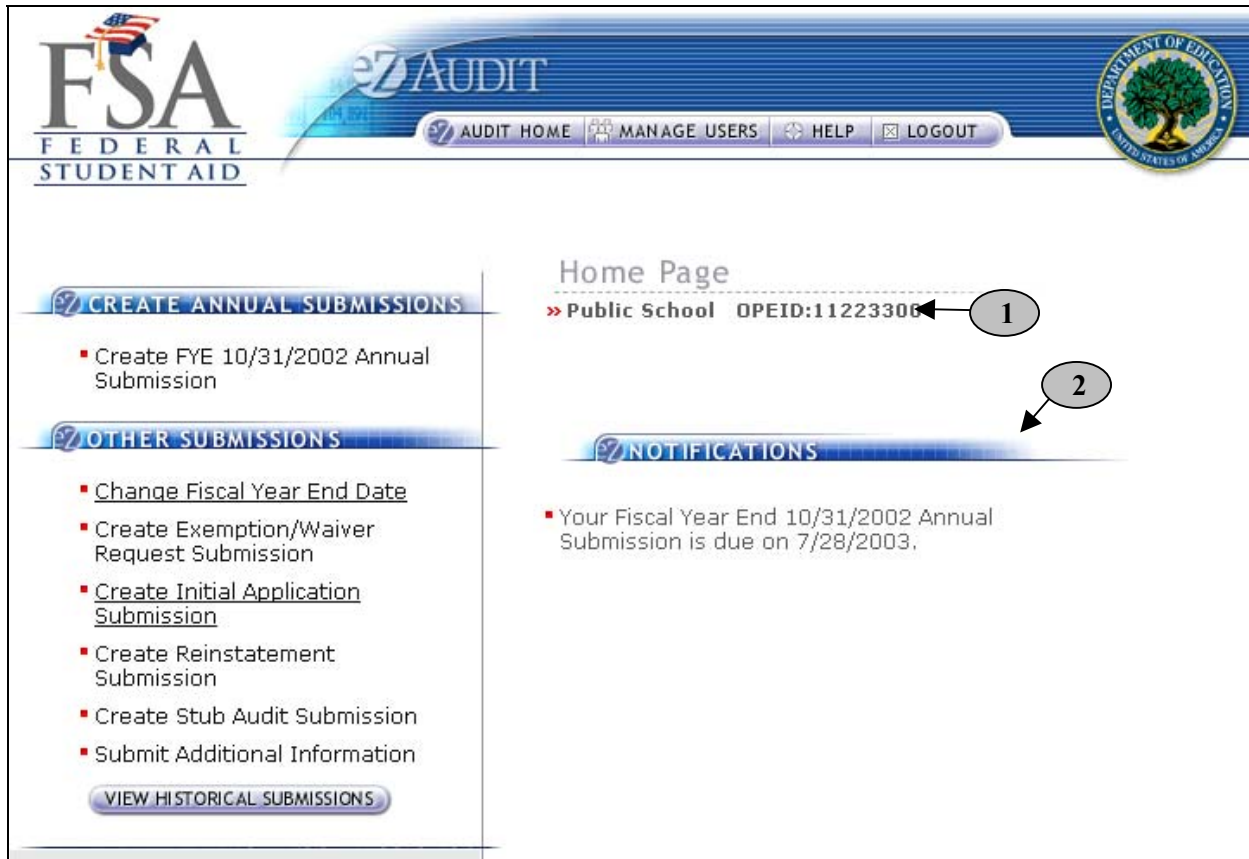
Fiscal Year End	Submission Type	Submission Date
» N/A	<b>Change in Fiscal Year End</b>	03/09/2003

U. S. Department of Education

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

### 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.

**NOTE**

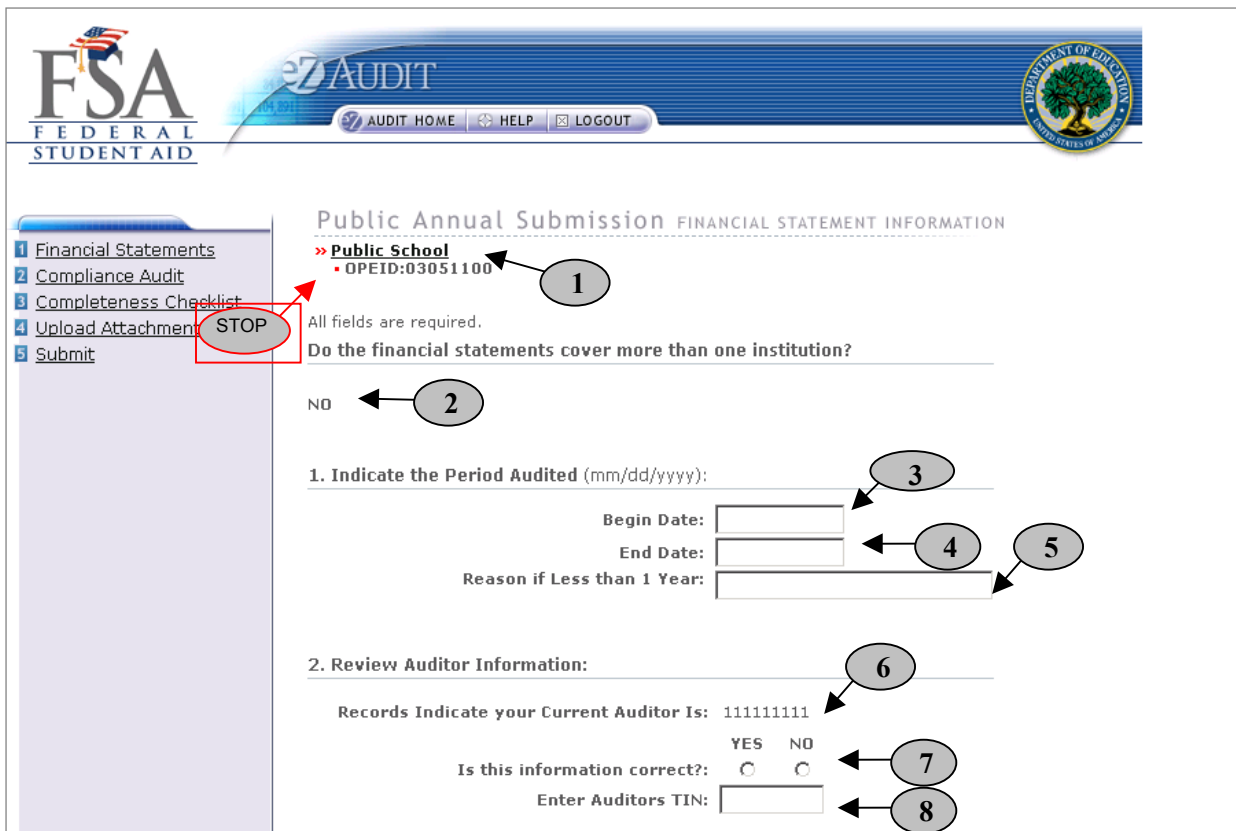
**Users should periodically check the Institution Home Page for an up to date status of their submissions.**

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

### Annual Submissions

#### Financial Statement

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



The screenshot shows the "Public Annual Submission" form for "Public School" with OPEID: 03051100. The form includes a navigation menu on the left with a "STOP" sign over the "Submit" link. The main form area contains the following fields and callouts:

- 1**: Points to the institution name "Public School" and OPEID "03051100".
- 2**: Points to the "NO" radio button for the question "Do the financial statements cover more than one institution?".
- 3**: Points to the "Begin Date" input field.
- 4**: Points to the "End Date" input field.
- 5**: Points to the "Reason if Less than 1 Year" input field.
- 6**: Points to the "Records Indicate your Current Auditor Is" field, which is populated with "11111111".
- 7**: Points to the "YES" radio button for the question "Is this information correct?".
- 8**: Points to the "Enter Auditors TIN" input field.

1. Confirm the information displayed is correct.
2. If your financial statement does not cover multiple OPEIDs, **NO** will be displayed. If your A-133 report covers multiple institutions (Statewide), **YES** will be displayed with the name of the institutions the Department of Education has on file as part of your submission. Please contact the help desk at 1-877-263-0780 if you require additional help or if there are any discrepancies.
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 new, please select **NO** and update auditor information.
8. This field should be pre-populated. Please enter the state's Tax Identification Number (TIN) if this information is incorrect or missing. **DO NOT USE HYPHENS.**

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

### Public Annual Submission– Financial Statements page continues:

	<p>3. Are your financial statements prepared in accordance with Generally Accepted Accounting Principles (GAAP)?</p> <p>YES    NO  <input type="radio"/>    <input type="radio"/>    ← 9</p> <p>4. Are your financial statements audited in accordance with Government Auditing Standards?</p> <p>YES    NO  <input type="radio"/>    <input type="radio"/>    ← 10</p> <p>5. What type of auditor's report was issued on the financial statements?</p> <p>– Select an Opinion Type –    ← 11</p> <p>6. Is a going concern explanatory paragraph included in the audit report?</p> <p>YES    NO  <input type="radio"/>    <input type="radio"/>    ← 12</p>
--	---

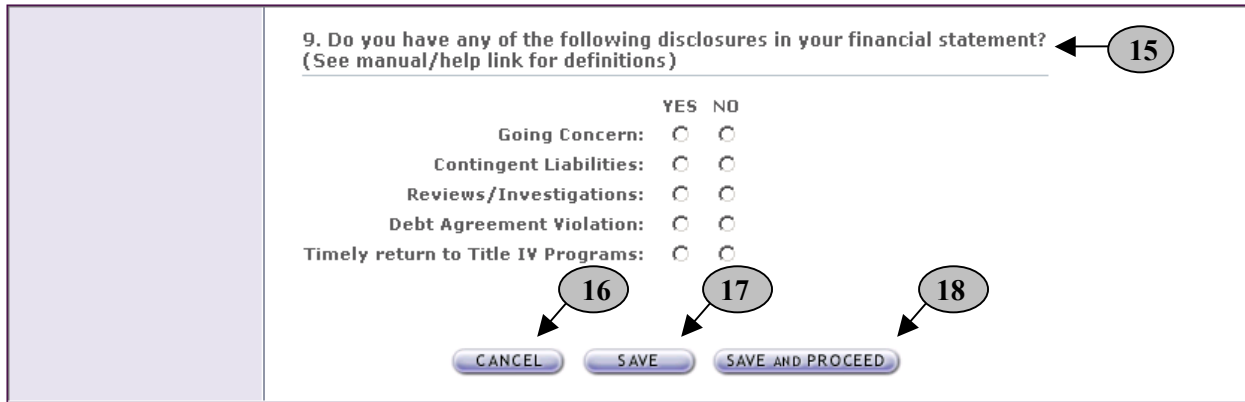
	<p>7. For internal control over financial reporting:</p> <p>a) were material weakness(es) identified?    YES    NO  <input type="radio"/>    <input type="radio"/>    ← 13</p> <p>b) were reportable condition(s) identified that are not considered to be material weakness(es)?    YES    None Reported  <input type="radio"/>    <input type="radio"/></p> <p>8. Were any instance(s) of noncompliance material to the financial statements noted?</p> <p>YES    NO  <input type="radio"/>    <input type="radio"/>    ← 14</p>
--	--

9. Are your financial statements prepared in accordance with GAAP? Indicate Yes or No.
10. Are your financial statements audited in accordance with Government Auditing Standards? Indicate Yes or No.
11. Refer to Section I – Summary of Auditor's Results in the Schedule of Findings and Questioned Costs of the annual A-133 report.
12. Refer to Part II, Question 2 of the Federal Audit Clearinghouse Data Collection Form SF-FAC (3-20-2001).
13. Refer to Section I – Summary of Auditor's Results in the Schedule of Findings and Questioned Costs of the annual A-133 report.
14. Refer to Section I – Summary of Auditor's Results in the Schedule of Findings and Questioned Costs of the annual A-133 report.



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

### Public Annual Submission– Financial Statements page continues:



9. Do you have any of the following disclosures in your financial statement?  
(See manual/help link for definitions) ← 15

	YES	NO
Going Concern:	<input type="radio"/>	<input type="radio"/>
Contingent Liabilities:	<input type="radio"/>	<input type="radio"/>
Reviews/Investigations:	<input type="radio"/>	<input type="radio"/>
Debt Agreement Violation:	<input type="radio"/>	<input type="radio"/>
Timely return to Title IV Programs:	<input type="radio"/>	<input type="radio"/>

16      17      18

CANCEL      SAVE      SAVE AND PROCEED

15. If your financial statements contain any of the disclosures listed, please select all that applies as **YES** or **NO** for all disclosures that do not apply.

- 1) **Going Concern** > Check **Yes** if the footnote disclosures indicate that there is substantial doubt about an entity's ability to continue as a going concern for a reasonable period of time, not to exceed one year.
- 2) **Contingent Liabilities** > Check **Yes** if your institution has reported, usually in notes, material contingent liabilities that exist in regard to the financial statements.
- 3) **Debt Agreement Violation** > Check **Yes** if the Auditor has disclosed, usually in notes, it has violated certain restrictions covenants and agreements demanded by lenders.
- 4) **Reviews/Investigations** > Check **Yes**, if your institution has undergone a review/investigation by a Federal, State, Local Governmental entity or other Regulatory body during the past 12 months and disclosed as part of the institution's audited financial statements. Do not include routine accreditation or Title IV recertification reviews.
- 5) **Timely Return to Title IV Programs** > Check **Yes** if your institution has disclosed in the notes to the financial statements it has been cited for failing to return Title IV funds in a timely manner.

16. **IMPORTANT WARNING:** Click the **CANCEL** button to erase/delete all entries since the last time you saved your work.

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

18. Click the **SAVE and PROCEED** button to go to the Compliance Audit Information page. This is the next stage in the submission process.

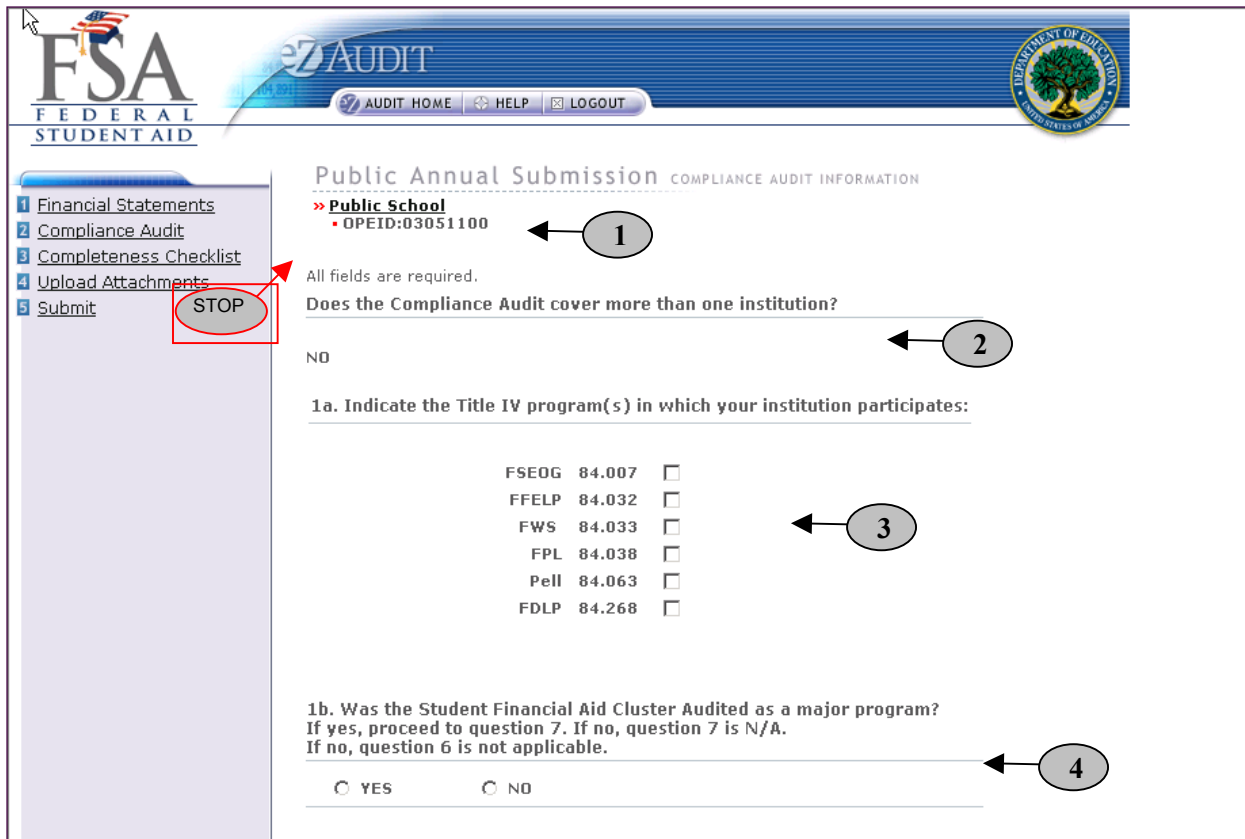
**NOTE**

**Do not leave any field blank.**

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

### Compliance Audit

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 Information". The screen below should appear:



**FSA FEDERAL STUDENT AID** eZ-AUDIT

AUDIT HOME HELP LOGOUT

**Public Annual Submission COMPLIANCE AUDIT INFORMATION**

» **Public School**  
• OPEID:03051100

All fields are required.

Does the Compliance Audit cover more than one institution?

NO

1a. Indicate the Title IV program(s) in which your institution participates:

FSEOG	84.007	<input type="checkbox"/>
FFELP	84.032	<input type="checkbox"/>
FWS	84.033	<input type="checkbox"/>
FPL	84.038	<input type="checkbox"/>
Pell	84.063	<input type="checkbox"/>
FDLP	84.268	<input type="checkbox"/>

1b. Was the Student Financial Aid Cluster Audited as a major program?  
If yes, proceed to question 7. If no, question 7 is N/A.  
If no, question 6 is not applicable.

YES  NO

1. Confirm the information displayed is correct.
2. If your compliance audit does not cover multiple OPEIDs, **NO** will be displayed. If your compliance audit covers multiple institutions (Statewide), **YES** will be displayed with the name of the institutions the Department of Education has on file as part of your submission. Please contact the help desk at 1-877-263-0780 if you require additional help or if there are any discrepancies.
3. Please indicate the Title IV Programs in which your institution participates as indicated in the institution's Program Participation Agreement.
4. 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 **YES**, skip questions 2-6. If the answer to this question is **NO**, answer questions 2-5 and skip questions 6 and 7.



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

### Compliance Audit Information Continues:

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

Begin Date:  ← 5

End Date:  ← 6

Reason if Less than 1 Year:  ← 7

3. Review Auditor Information:

Records Indicate your Current Auditor Is: 111111111 ← 8

Is this information correct? YES NO ← 9

Enter Auditors TIN:  ← 10

4. Does the A-133 audit submission contain any findings related to the FSA Title IV programs? ← 11

YES  NO

5. Does the attached A-133 audit report indicate that this audit was conducted in accordance with: ← 12

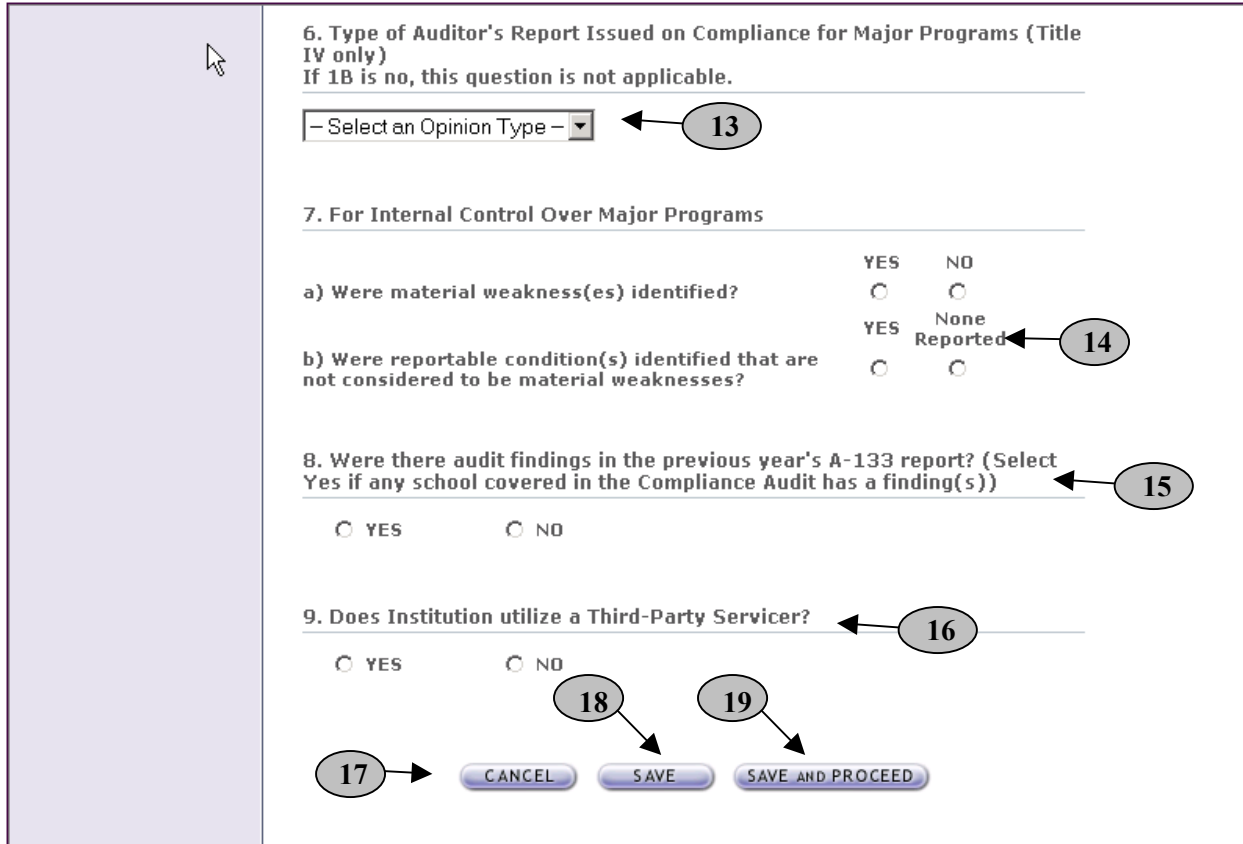
Government Auditing Standards: YES NO

OMB Circular A-133: YES NO

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. This is the auditor on file with the Department of Education.
9. If the auditor's information is correct, no action is required. If incorrect or new, select **NO**, and update with current auditor's information.
10. This field should be pre-populated. Please enter the state's Tax Identification Number (TIN) if this information is incorrect or missing. **DO NOT USE HYPHENS.**
11. If your A-133 audit submission contains any findings related to the FSA Title IV programs (If the A-133 report covers multiple institutions, this applies to all institutions covered) click **Yes**. Refer to the Scheduled of Findings and Questioned Costs included in the annual A-133 submission; Section II – financial Statement Findings and Section III – Schedule of Federal Award Findings and Questioned Costs.
12. Does the attached A-133 audit report indicate that this audit was conducted in accordance with:  
**Government Auditing Standards** > Check **YES** if your compliance audit report states that the audit was conducted with Government Auditing Standards (GAS); **OMB Standards** > Check **YES** if yes to; **OMB Standards** > Check **YES** if your compliance audit report was conducted in accordance with OMB A-133 Standards.

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

### Compliance Audit Information Continues:



6. Type of Auditor's Report Issued on Compliance for Major Programs (Title IV only)  
If 1B is no, this question is not applicable.

- Select an Opinion Type - **13**

7. For Internal Control Over Major Programs

a) Were material weakness(es) identified? YES NO

b) Were reportable condition(s) identified that are not considered to be material weaknesses? YES None Reported **14**

8. Were there audit findings in the previous year's A-133 report? (Select Yes if any school covered in the Compliance Audit has a finding(s)) **15**  
 YES  NO

9. Does Institution utilize a Third-Party Servicer? **16**  
 YES  NO

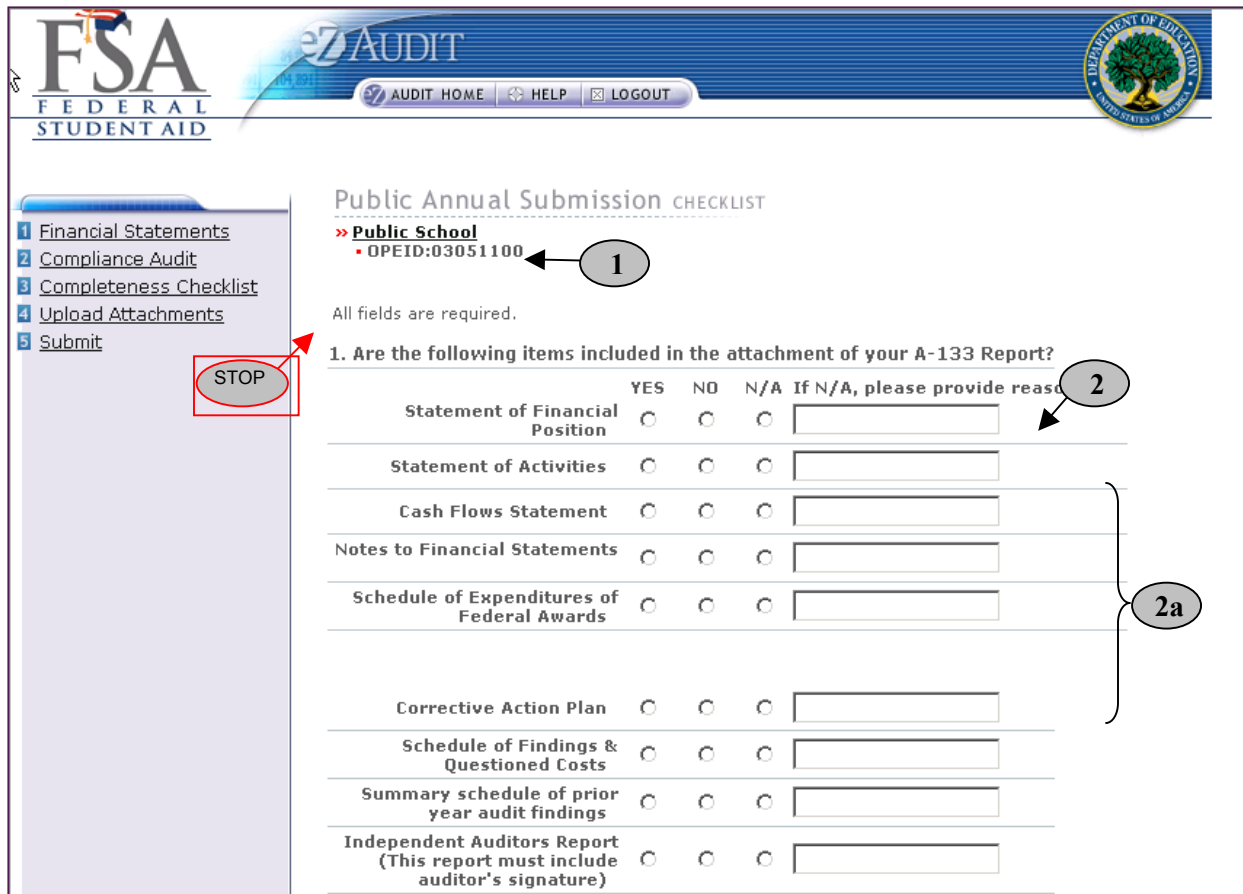
**17** →   **18** →  **19** →

13. 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.
14. Refer to Section I – Summary of Auditor's Results in the Schedule of Findings and Questioned costs of the annual A-133 report.
15. Refer to Schedule of Prior Audit Findings and Corrective Action Plan as required by OMB Circular A-133 (sections 315 (b & c)). If there were prior year findings, there should be a resolution of prior year findings indicated in the schedule.
16. Choose YES, if your institution utilizes a third-party servicer.
17. **IMPORTANT WARNING:** Click **CANCEL** button to erase/delete all entries since the last time you saved your work.
18. Click the **SAVE** button to ensure all entries are successfully stored by the system for this page.
19. Click the **SAVE and PROCEED** button to go to the **Public Annual Submission-Completeness Checklist page**. This is the next stage in the submission process.

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

### 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:



**Public Annual Submission CHECKLIST**

» **Public School**  
• OPEID:03051100

All fields are required.

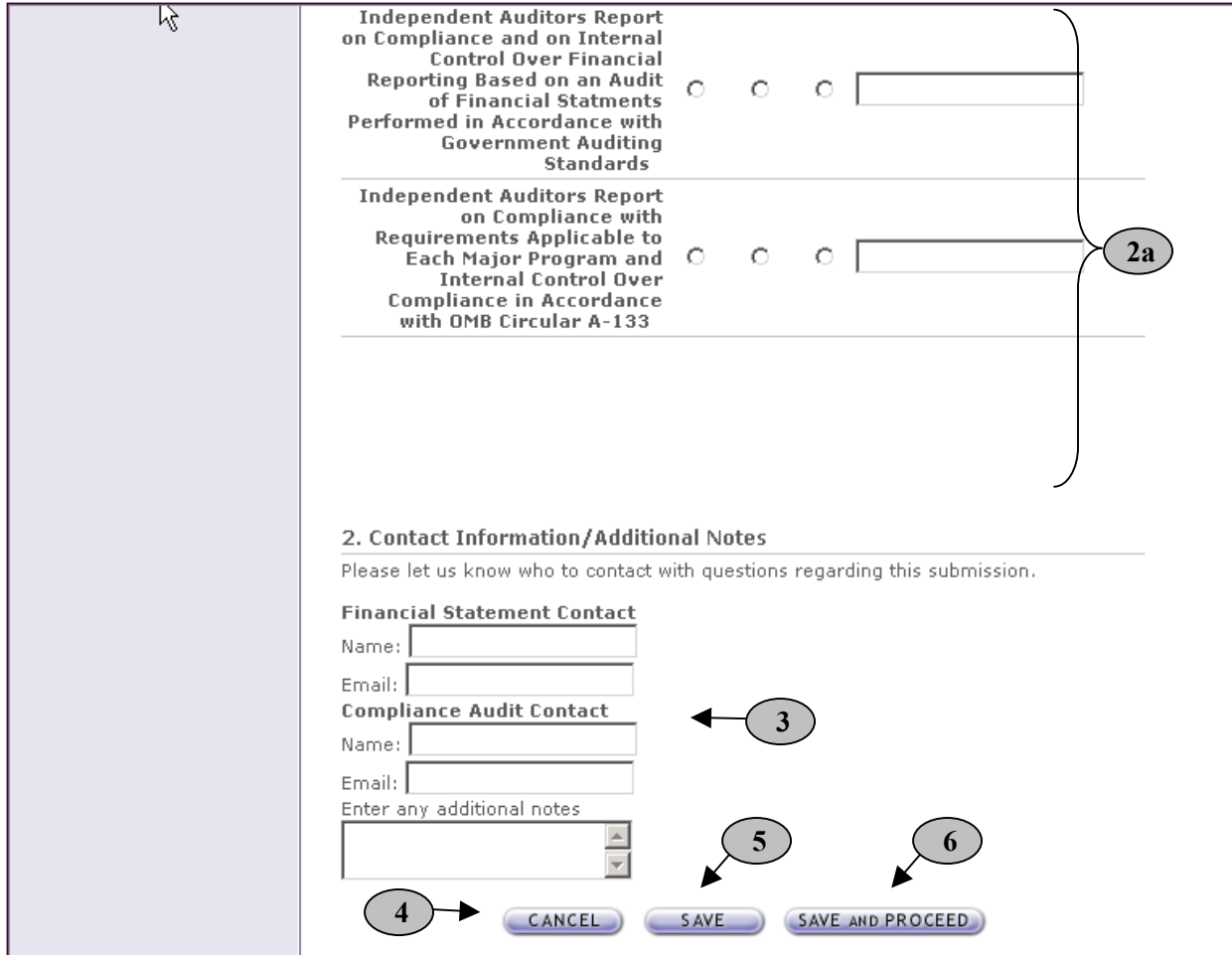
1. Are the following items included in the attachment of your A-133 Report?

	YES	NO	N/A	If N/A, please provide reason
Statement of Financial Position	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>
Statement of Activities	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>
Cash Flows Statement	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>
Notes to Financial Statements	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>
Schedule of Expenditures of Federal Awards	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>
Corrective Action Plan	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>
Schedule of Findings & Questioned Costs	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>
Summary schedule of prior year audit findings	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>
Independent Auditors Report (This report must include auditor's signature)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>

1. Confirm that the information displayed is correct.
2. Check **YES** for all documents included in your A-133 audit report attachment and **NO** if not attached.
  - a. Provide reasons for each deemed not applicable ("N/A").

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

### Completeness Checklist Continues:



Independent Auditors Report on Compliance and on Internal Control Over Financial Reporting Based on an Audit of Financial Statements Performed in Accordance with Government Auditing Standards

Independent Auditors Report on Compliance with Requirements Applicable to Each Major Program and Internal Control Over Compliance in Accordance with OMB Circular A-133

2a

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

**Financial Statement Contact**  
Name:   
Email:

**Compliance Audit Contact**  
Name:   
Email:

Enter any additional notes

4 → CANCEL SAVE SAVE AND PROCEED

3 ←

5 ↙

6 ↘

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

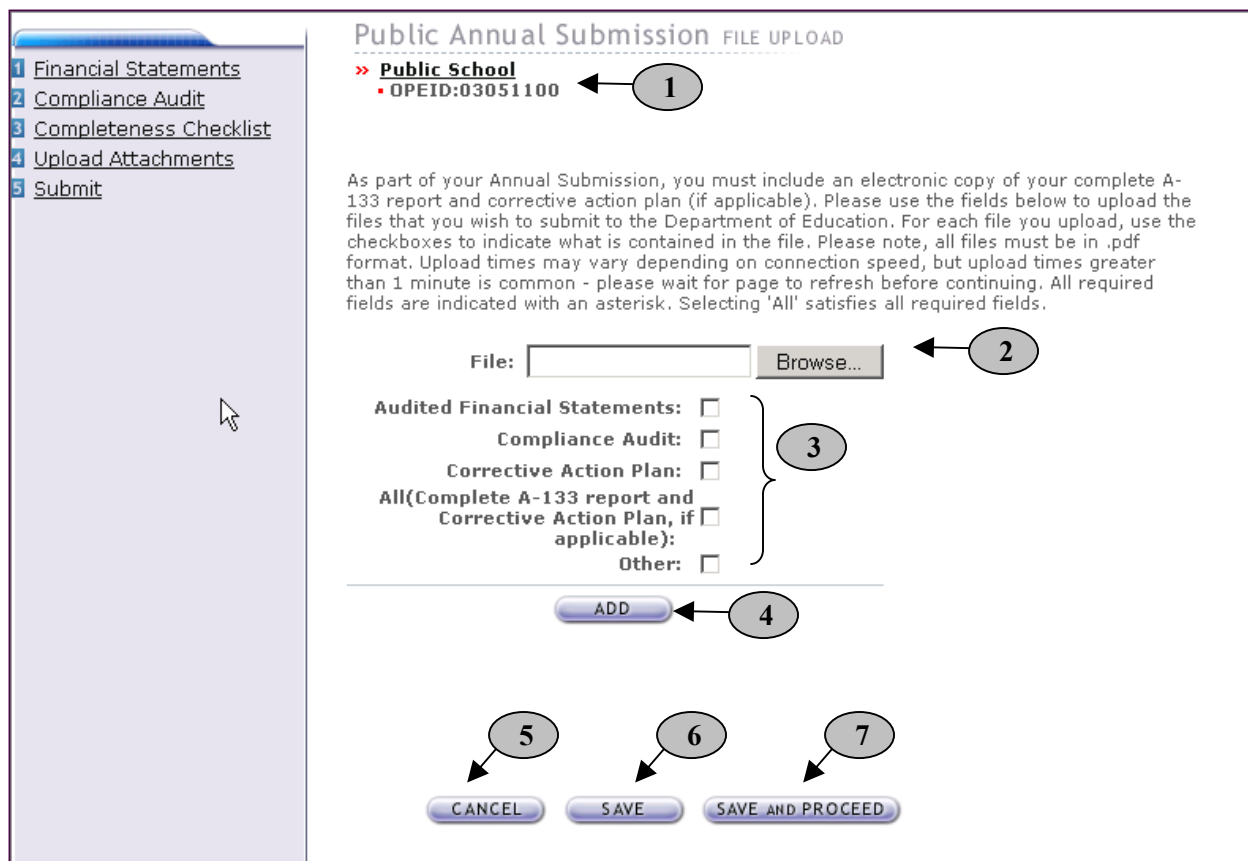
**NOTE**

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

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

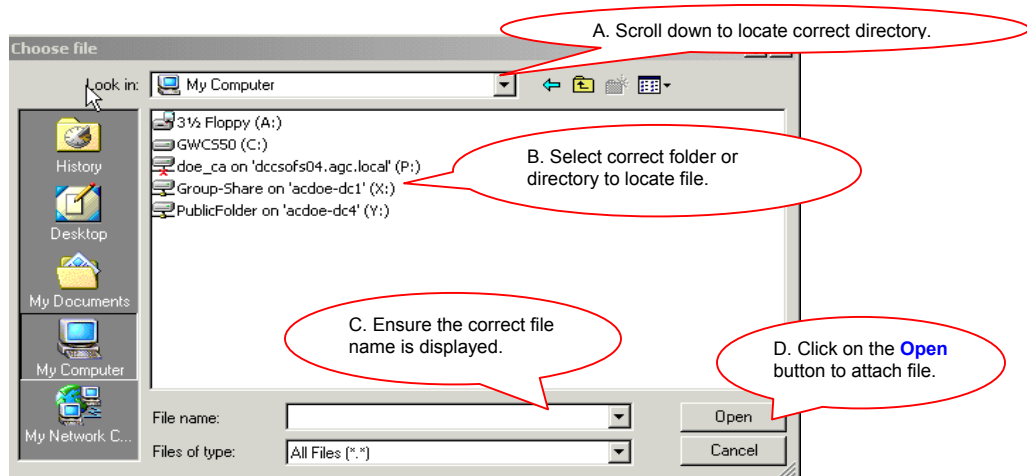
### Upload Attachments

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:



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

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



3. Check all appropriate 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.
7. Click the **SAVE and PROCEED** button to take you to the Public Annual Submission-submit page.

### NOTE

**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 Public Schools

### Public 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:

Public Annual Submission SUBMIT

>> **Public School** ← 1  
• OPEID:03051100

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.

SUBMIT TO ED ← 3

2

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

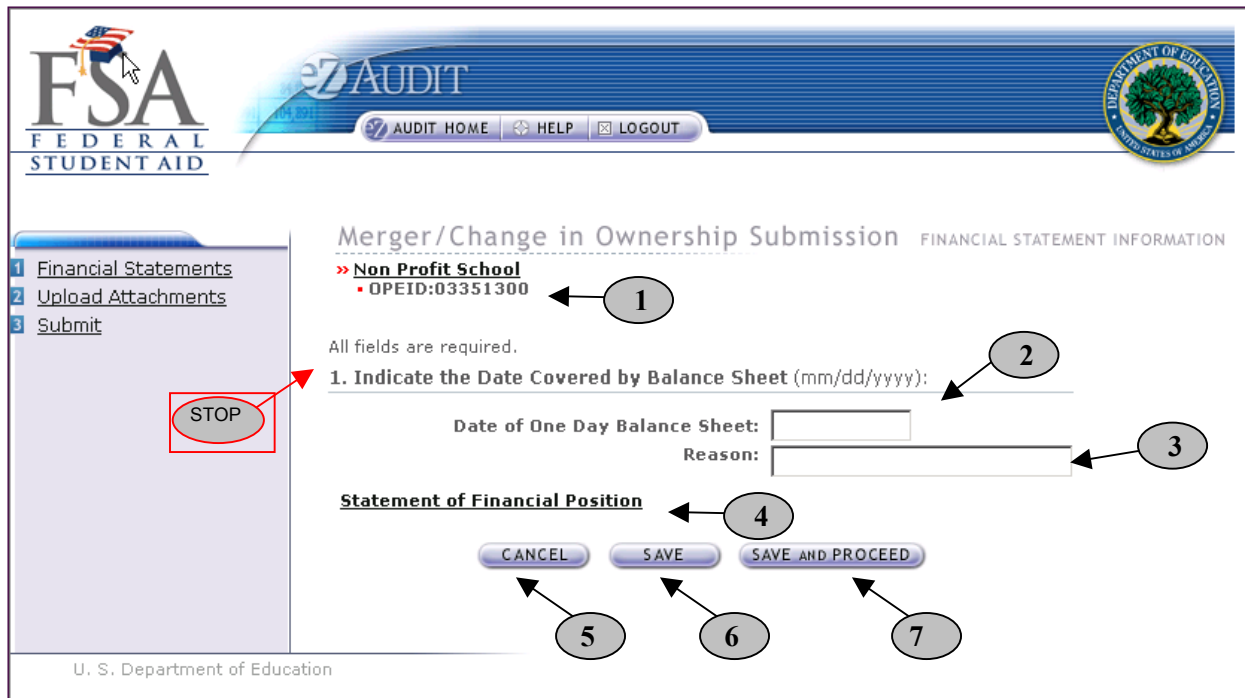
**NOTE** You will have "read" access only once submitted.

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

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

#### NOTE

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

## Step-by-Step Guide to Using eZ-Audit For Public 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:

**Merger/Change in Ownership Submission** UPLD ATTACHMENTS

>> **Non Profit School**  
 • OPEID:03351300

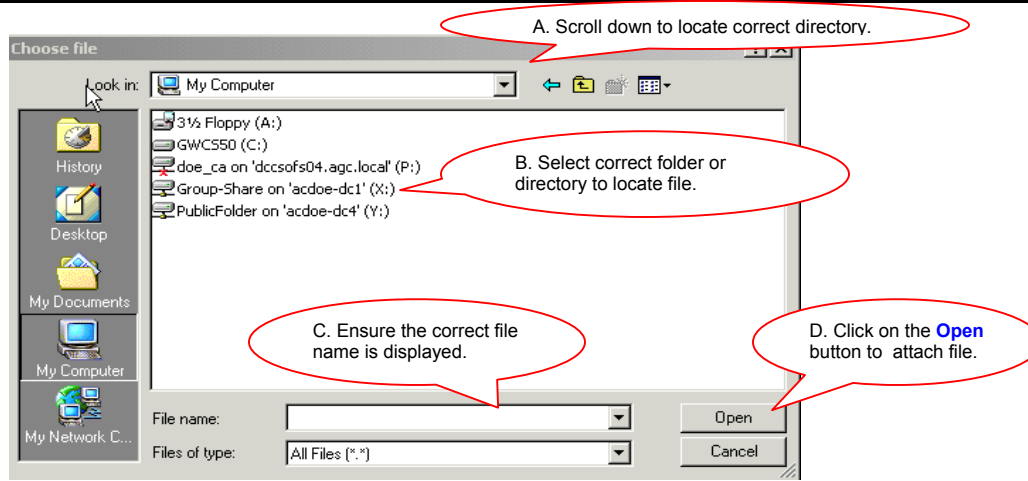
As part of your Merger/Change in Ownership Submission, you must include an electronic copy of the following: New Entities: One Day Balance Sheet; Existing Entities: Two years of complete audited financial statements and a one day balance sheet. Please use the fields below to upload the files that you 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.

File:

Audited Financial Statements:   
 One Day Balance Sheet:   
 All(Complete A-133 report and Corrective Action Plan, if applicable):   
 Other:

1. Please confirm that 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).

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



4. Check all appropriate documents attached.
5. After the document has been selected and the file type identified by checking the box, click the “**ADD**” button to ensure that the document has been successfully attached to your compliance audit submission.
6. Click the **CANCEL** button to make changes to all entries.
7. Click the **SAVE** button to ensure all entries are successfully stored by the system on this page.
8. Click the **SAVE and PROCEED** button to save all entries and to take you to the **Merger/Change in Ownership Submission page**. This is the next stage in the submission process.

### NOTE

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

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

### Merger/Change in Ownership Submission-Submit

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

**Merger/Change in Ownership Submission** SUBMIT

>> **Non Profit School**  
 • OPEID:03351300 ← 1

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.

SUBMIT TO ED ← 3

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

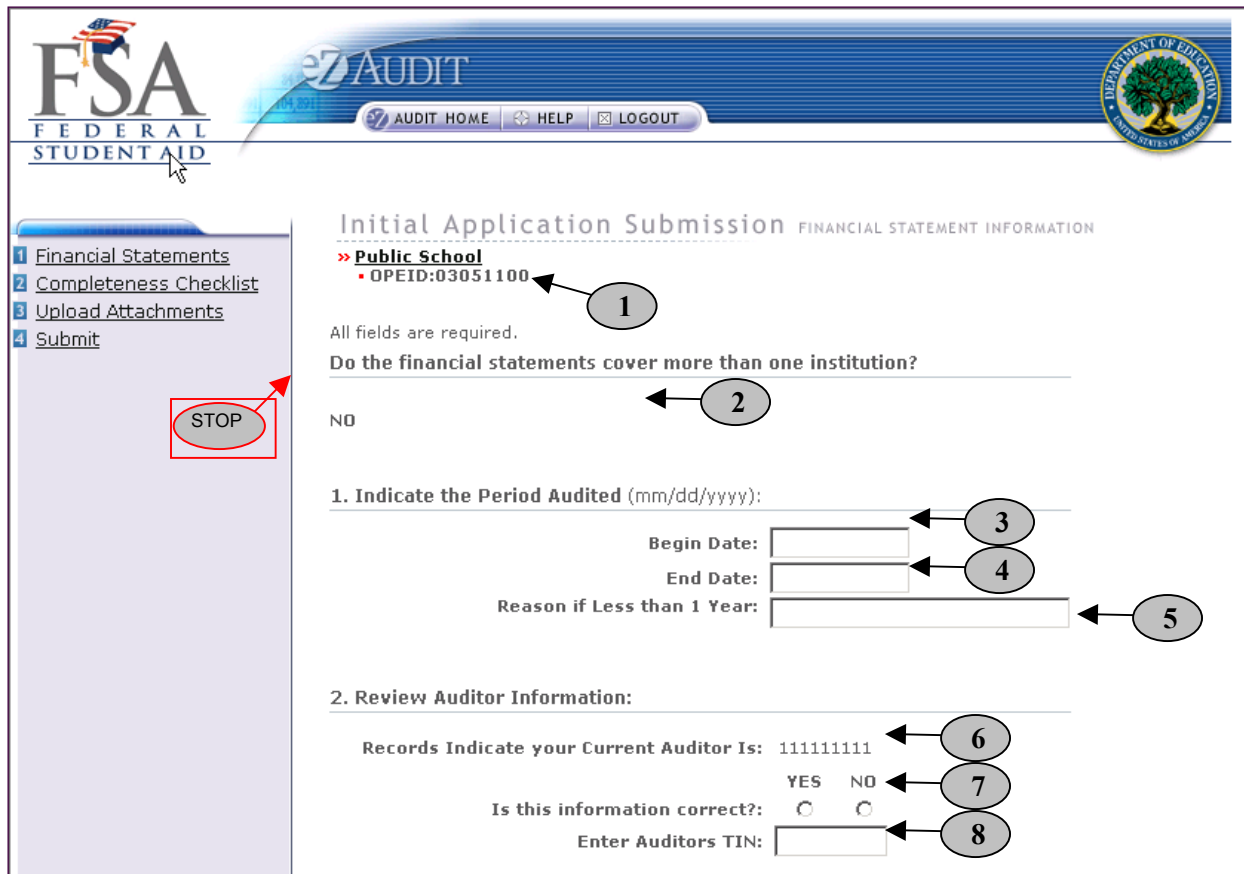
**NOTE** You will have "read" access only once submitted.

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

### Initial/Reinstatement Submission

#### Financial Statement

To submit your institution's Initial/Reinstatement 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 Initial Application Submission", and then the screen below should appear with your institution's name:



**FSA FEDERAL STUDENT AID** eZ-AUDIT

AUDIT HOME HELP LOGOUT

**Initial Application Submission** FINANCIAL STATEMENT INFORMATION

» **Public School**  
• OPEID:03051100

All fields are required.

Do the financial statements cover more than one institution?

NO

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

Begin Date:

End Date:

Reason if Less than 1 Year:

2. Review Auditor Information:

Records Indicate your Current Auditor Is: 11111111

YES NO

Is this information correct?:

Enter Auditors TIN:

STOP

1. Please confirm that the information displayed is correct.
2. If your financial statement does not cover multiple OPEIDs, **NO** will be displayed. If your financial statements are consolidated and represents a school group submission (multiple OPEIDs), **YES** will be displayed with the name of the institutions the Department of Education has on file as part of the school group. Please see the note above and contact the help desk at 1-877-263-0780 if you require additional help or if there are any discrepancies.
3. Begin date is the beginning of the audit period.
4. End date is the end o the audit period.
5. Provide a reason if your audit period is less than a year.
6. This is the Auditor information on file with the Department of Education.
7. If the auditor's information is correct, no action is required. If incorrect or new, select **NO** and update with current information.
8. Please enter the auditor's Tax Identification Number (TIN).

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

### Create Initial Application Submission – Financial Statement Continues:

	<p>3. Are your financial statements prepared in accordance with Generally Accepted Accounting Principles (GAAP)?</p> <p>YES    NO    ← 9</p> <p><input type="radio"/>    <input type="radio"/></p>
	<p>4. Are your financial statements audited in accordance with Government Auditing Standards?</p> <p>YES    NO    ← 10</p> <p><input type="radio"/>    <input type="radio"/></p>
	<p>5. What type of auditor's report was issued on the financial statements?</p> <p>- Select an Opinion Type -    ← 11</p>
	<p>6. Is a going concern explanatory paragraph included in the audit report?</p> <p>YES    NO    ← 12</p> <p><input type="radio"/>    <input type="radio"/></p>

	<p>7. For internal control over financial reporting:</p> <p>a) were material weakness(es) identified?    YES    NO</p> <p><input type="radio"/>    <input type="radio"/>    ← 13</p> <p>b) were reportable condition(s) identified that are not considered to be material weakness(es)?    YES    None Reported</p> <p><input type="radio"/>    <input type="radio"/></p>
	<p>8. Were any instance(s) of noncompliance material to the financial statements noted?    ← 14</p> <p>YES    NO</p> <p><input type="radio"/>    <input type="radio"/></p>

9. Are your financial statements prepared in accordance with GAAP? Indicate Yes or No.
10. Are your financial statements audited in accordance with Government Auditing Standards? Indicate Yes or No.
11. Refer to Section I – Summary of Auditor’s Results in the Schedule of Findings and Questioned Costs of the annual A-133 report.
12. Refer to Part II, Question 2 of the Federal Audit Clearinghouse Data Collection Form SF-FAC (3-20-2001).
13. Refer to Section I – Summary of Auditor’s Results in the Schedule of Findings and Questioned Costs of the annual A-133 report.
14. Refer to Section I – Summary of Auditor’s Results in the Schedule of Findings and Questioned Costs of the annual A-133 report.

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

### Create Initial Application Submission –Financial Statements Continues:

9. Do you have any of the following disclosures in your financial statement?  
(See manual/help link for definitions)

	YES	NO
Going Concern:	<input type="radio"/>	<input type="radio"/>
Contingent Liabilities:	<input type="radio"/>	<input type="radio"/>
Reviews/Investigations:	<input type="radio"/>	<input type="radio"/>
Debt Agreement Violation:	<input type="radio"/>	<input type="radio"/>
Timely return to Title IV Programs:	<input type="radio"/>	<input type="radio"/>

15
16
17
18

CANCEL
SAVE
SAVE AND PROCEED

15. If your submission contains any of the disclosures listed, please select all that applies as **YES** or **NO** for all disclosures that do not apply.

- 1) **Going Concern** > Check **Yes** if the footnote disclosures indicate that there is substantial doubt about an entity's ability to continue as a going concern for a reasonable period of time, not to exceed one year.
- 2) **Contingent Liabilities** > Check **Yes** if your institution has reported, usually in notes, material contingent liabilities that exist in regard to the financial statements.
- 3) **Debt Agreement Violation** > Check **Yes** if the Auditor has disclosed, usually in notes, it has violated certain restrictions covenants and agreements demanded by lenders.
- 4) **Reviews/Investigations** > Check **Yes**, if your institution has undergone a review/investigation by a Federal, State, Local Governmental entity or other Regulatory body during the past 12 months and disclosed as part of the institution's audited financial statements. Do not include routine accreditation or Title IV recertification reviews.
- 5) **Timely Return to Title IV Programs** > Check **NO**. (This applies to participating institutions only)

16. **IMPORTANT WARNING:** Click the **CANCEL** button to make changes/delete all entries since the last time saved your work.

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

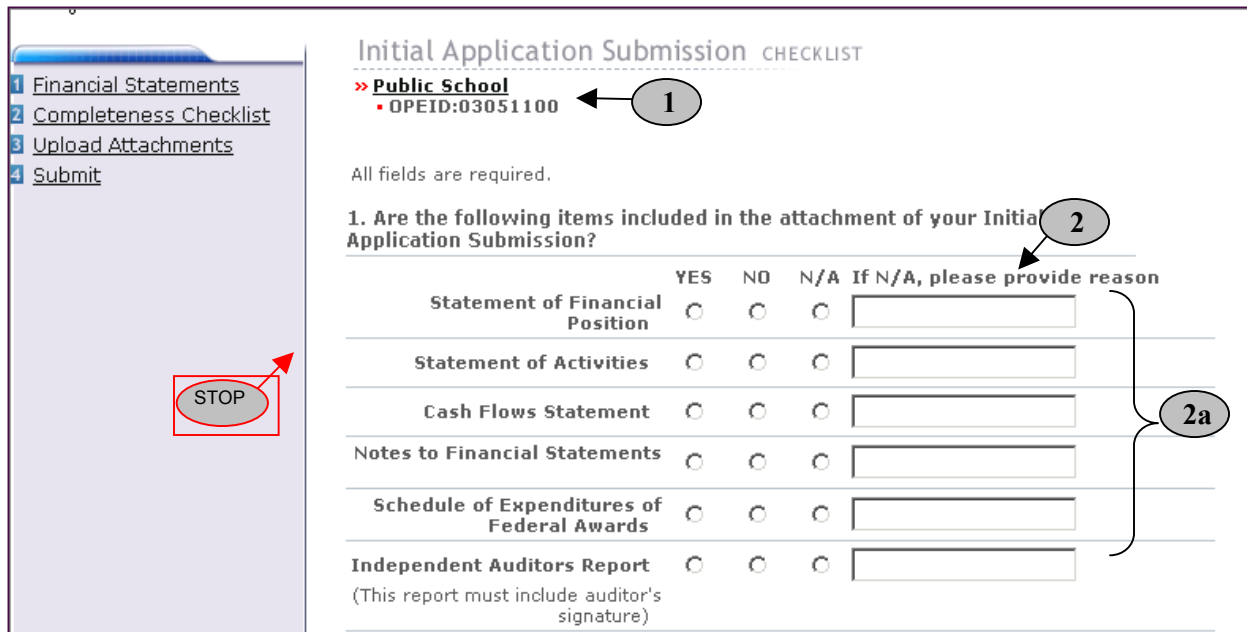
18. Click the **SAVE and PROCEED** button to go to the Completeness Checklist. This is the next stage in the submission process.



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

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



**Initial Application Submission CHECKLIST**

>> **Public School** ← 1  
 • OPEID:03051100

All fields are required.

1. Are the following items included in the attachment of your Initial Application Submission? 2

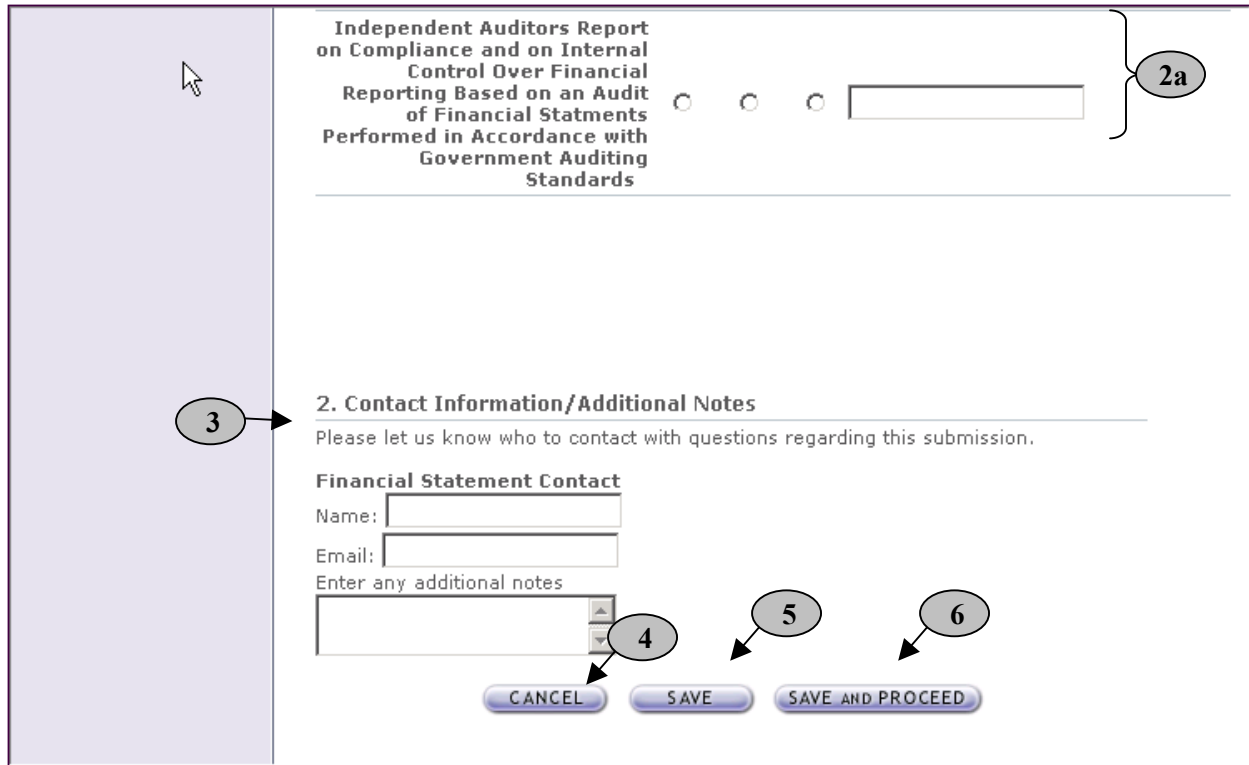
	YES	NO	N/A	If N/A, please provide reason
Statement of Financial Position	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>
Statement of Activities	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>
Cash Flows Statement	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>
Notes to Financial Statements	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>
Schedule of Expenditures of Federal Awards	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>
Independent Auditors Report (This report must include auditor's signature)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>

2a

1. Please confirm that the information displayed is correct.
2. Check **YES** for all documents included in your compliance audit attachment and **NO** if not attached.
  - a. Provide reasons for each deemed not applicable ("N/A").

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

Completeness Checklist continues:



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

2a

3

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

**Financial Statement Contact**  
Name:   
Email:   
Enter any additional notes

4 5 6

CANCEL SAVE SAVE AND PROCEED

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

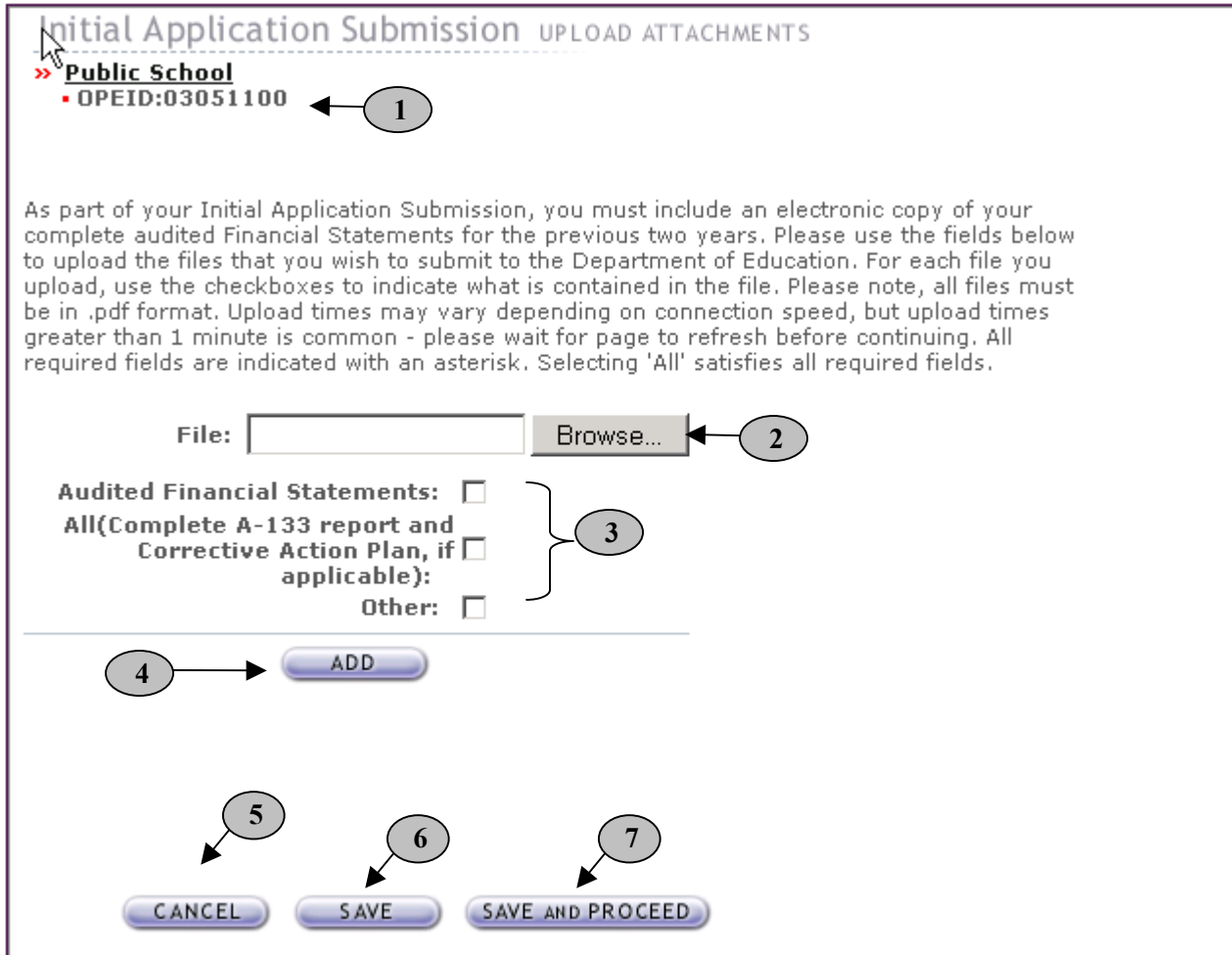
**NOTE**

**Signatures (scanned) are required on Independent Auditors Report, Independent Auditors Report on Compliance and on Internal Control Over Financial Reporting Based on an Audit of Financial Statements Performed in Accordance with Government Auditing Standards, Independent Auditors Report on Compliance with Requirements Applicable to Each Major Program and Internal Control Over Compliance in Accordance with OMB Circular A-133. Font altered signatures are not acceptable.**

## Step-by-Step Guide to Using eZ-Audit For Public 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 Initial Submission", and then click on the underlined text "Upload Attachments". The screen below should appear:



**Initial Application Submission** UPLOAD ATTACHMENTS

>> **Public School**  
 • OPEID:03051100 ← 1

As part of your Initial Application Submission, you must include an electronic copy of your complete audited Financial Statements for the previous two years. 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.

File:  Browse... ← 2

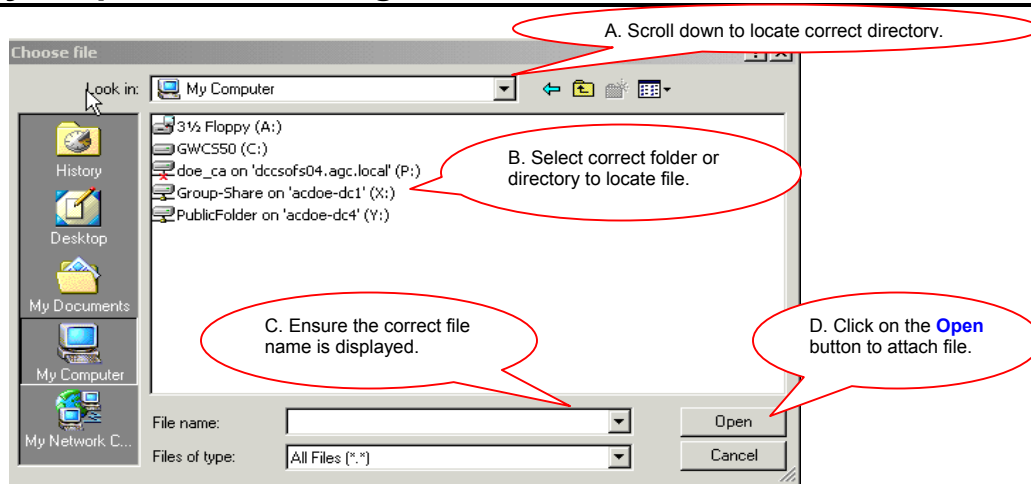
Audited Financial Statements:  }  
 All(Complete A-133 report and } 3  
 Corrective Action Plan, if }  
 applicable):   
 Other:

4 →

5 →     6 →     7 →

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

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



3. Check all appropriate documents attached.
4. After the document has been selected and the file type identified by checking the box, click the **"ADD"** button to ensure that the document has been successfully attached to your compliance audit submission.
5. Click the **CANCEL** button to erase all entries.
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 Initial Application Submission-submit page.

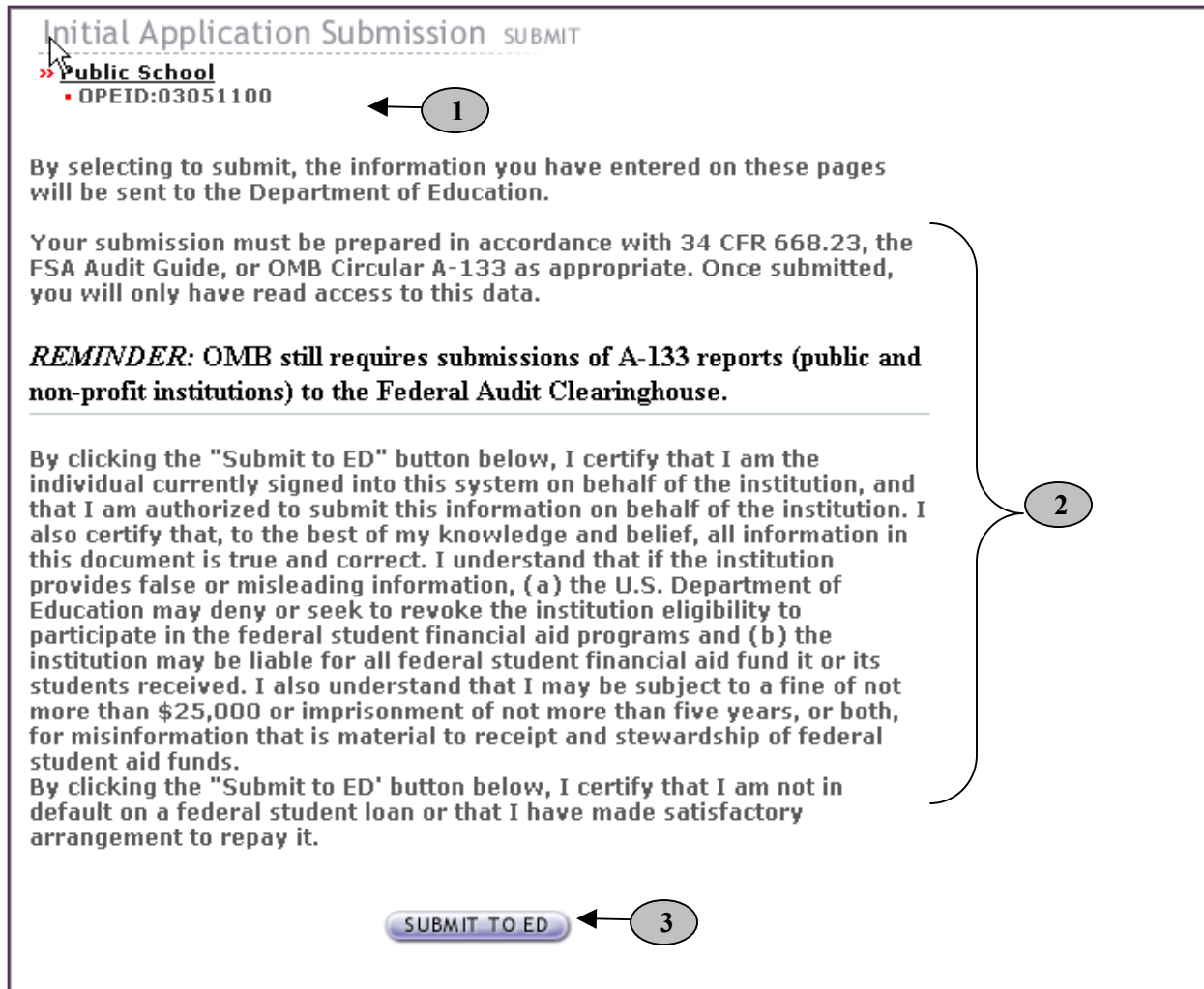
### NOTE

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 format and no personal information such as Social Security Numbers should be contained in attachments. Remember, you can attach additional information not required during this process. If you do attach additional information, please make a note in the "Notes" field on the Completeness Checklist page.

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

### Initial/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 Application Submission", and then click on the underlined text "Submit". The screen below should appear:



The screenshot shows the 'Initial Application Submission' page. At the top, it says 'Initial Application Submission SUBMIT'. Below that, there is a section for 'Public School' with the OPEID:03051100. A callout '1' points to this section. Below this, there is a paragraph of text explaining that the information will be sent to the Department of Education. Another paragraph explains that the submission must be prepared in accordance with 34 CFR 668.23, the FSA Audit Guide, or OMB Circular A-133. A 'REMINDER' section states that OMB still requires submissions of A-133 reports to the Federal Audit Clearinghouse. A large paragraph of text follows, where the user certifies that they are the individual currently signed into the system on behalf of the institution, and that they understand the consequences of providing false information. A callout '2' points to this large paragraph. At the bottom, there is a 'SUBMIT TO ED' button. A callout '3' points to this button.

1. Please confirm that 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 Initial Application 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.



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

### Stub Audit Submission

#### Financial Statement

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

The screenshot shows the 'Stub Audit Submission' form with the following elements and callouts:

- 1**: Points to the institution name 'Public School' and OPEID '03051100'.
- 2**: Points to the 'NO' radio button for the question 'Do the financial statements cover more than one institution?'.
- 3**: Points to the 'Begin Date' input field.
- 4**: Points to the 'End Date' input field.
- 5**: Points to the 'Reason for Stub Audit' input field.
- 6**: Points to the 'Records Indicate your Current Auditor Is: 11111111' label.
- 7**: Points to the 'NO' radio button for the question 'Is this information correct?'.
- 8**: Points to the 'Enter Auditors TIN' input field.

1. Please confirm that the information listed is correct.
2. If your financial statement is not consolidated, **NO** will be displayed. If your financial statement is consolidated, **YES** will be displayed with the name of the institution the Department of Education has on file as covered in the financial statements. Please see the note above and contact the help desk at 1-877-263-0780 if you require additional help or if there are any discrepancies.
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 new, select NO and update with current auditor information.
8. This field should be pre-populated. Please enter the auditor's Tax Identification Number (TIN) if this information is incorrect or missing.



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

### Stub Audit Submission Continues:

3. Are your financial statements prepared in accordance with Generally Accepted Accounting Principles (GAAP)?

YES  NO  ← 9

---

4. Are your financial statements audited in accordance with Government Auditing Standards?

YES  NO  ← 10

---

5. What type of auditor's report was issued on the financial statements?

– Select an Opinion Type – ▾ ← 11

---

6. Is a going concern explanatory paragraph included in the audit report?

YES  NO  ← 12

7. For internal control over financial reporting:

a) were material weakness(es) identified? YES  NO  ← 13

b) were reportable condition(s) identified that are not considered to be material weakness(es)? YES  None Reported

---

8. Were any instance(s) of noncompliance material to the financial statements noted?

YES  NO  ← 14

9. Are your financial statements prepared in accordance with GAAP? Indicate Yes or No.
10. Are your financial statements audited in accordance with Government Auditing Standards? Indicate Yes or No.
11. Refer to Section I – Summary of Auditor's Results in the Schedule of Findings and Questioned Costs of the annual A-133 report.
12. Refer to Part II, Question 2 of the Federal Audit Clearinghouse Data Collection form SF-SAC (3-20-2001)
13. Refer to Section I – Summary of Auditor's Results in the Schedule of Findings and Questioned Costs of the annual A-133 report.
14. Refer to Section I – Summary of Auditor's Results in the Schedule of Findings and Questioned Costs of the annual A-133 report.

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

### Stub Audit Submission Continues:

9. Do you have any of the following disclosures in your financial statement?  
(See manual/help link for definitions)

	YES	NO	
Going Concern:	<input type="radio"/>	<input type="radio"/>	
Contingent Liabilities:	<input type="radio"/>	<input type="radio"/>	
Reviews/Investigations:	<input type="radio"/>	<input type="radio"/>	← 15
Debt Agreement Violation:	<input type="radio"/>	<input type="radio"/>	
Timely return to Title IV Programs:	<input type="radio"/>	<input type="radio"/>	

16

CANCEL

17

SAVE

18

SAVE AND PROCEED

15. If your submission contains any of the disclosures listed, please select all that applies as **YES**, or **NO** for all disclosures that do not apply.

- 1) **Going Concern** > Check **Yes** if the footnote disclosures indicate that there is substantial doubt about an entity's ability to continue as a going concern for a reasonable period of time, not to exceed one year.
- 2) **Contingent Liabilities** > Check **Yes** if your institution has reported, usually in notes, material contingent liabilities that exist in regard to the financial statements.
- 3) **Debt Agreement Violation** > Check **Yes** if the Auditor has disclosed, usually in notes, it has violated certain restrictions covenants and agreements demanded by lenders.
- 4) **Reviews/Investigations** > Check **Yes**, if your institution has undergone a review/investigation by a Federal, State, Local Governmental entity or other Regulatory body during the past 12 months and disclosed as part of the institution's audited financial statements. Do not include routine accreditation or Title IV recertification reviews.
- 5) **Timely Return to Title IV Programs** > Check **Yes** if your institution has disclosed in the notes to the financial statements it has been cited for failing to return Title IV funds in a timely manner.

16. **IMPORTANT WARNING:** Click the **CANCEL** button to make changes/delete all entries since the last time you saved your work.

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

18. Click the **SAVE and PROCEED** button to go to the Completeness Checklist. This is the next stage in the submission process.



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

### 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:

**Stub Audit Submission** COMPLIANCE AUDIT INFORMATION

>> **Public School**  
 • OPEID:03051100 ← 1

All fields are required.

**Does the Compliance Audit cover more than one institution?**

NO ← 2

**1a. Indicate the Title IV program(s) in which your institution participates:**

FSEOG 84.007	<input type="checkbox"/>	
FFELP 84.032	<input type="checkbox"/>	
FWS 84.033	<input type="checkbox"/>	
FPL 84.038	<input type="checkbox"/>	← 3
Pell 84.063	<input type="checkbox"/>	
FDLP 84.268	<input type="checkbox"/>	

**1b. Was the Student Financial Aid Cluster Audited as a major program?** ← 4  
 If yes, proceed to question 7. If no, question 7 is N/A.  
 If no, question 6 is not applicable.

YES       NO

11. Please confirm that the information displayed is correct.
12. If your compliance audit does not cover multiple OPEIDs, **NO** will be displayed. If your A-133 report covers multiple OPEIDs, **YES** will be displayed with the name of the institutions the Department of Education has on file as part of your submission. Please contact the help desk at 1-877-263-0780 if you require additional help or if there are any discrepancies.
13. Please indicate the Title IV Programs in which your institution participates as indicated in the institution's Program Participation Agreement.
14. 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 **YES**, skip questions 2-6. If the answer to this question is **NO**, answer questions 2-5 and skip questions 6 and 7.



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

### Compliance Audit Information Continues:

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

Begin Date:  5

End Date:  6

Reason for Stub Audit:  7

3. Review Auditor Information:

Records Indicate your Current Auditor Is: 111111111 8

Is this information correct?: YES NO 9

Enter Auditors TIN:  10

4. Does the A-133 audit submission contain any findings related to the FSA Title IV programs?

YES  NO 11

5. Does the attached A-133 audit report indicate that this audit was conducted in accordance with:

Government Auditing Standards: YES NO

OMB Circular A-133: YES NO   12

15. Begin date is the beginning of the audit period.
16. End date is the end of the audit period.
17. Provide a reason if your audit period is less than a year.
18. This is the auditor on file with the Department of Education.
19. If the auditor's information is correct, no action is required. If incorrect or new, select NO and update with current information.
20. 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.**
21. If your compliance audit report does not contain any findings related to the FSA Title IV programs, click **NO** and no action is required.
22. Does the attached A-133 audit report indicate that this audit was conducted in accordance with:
  - Government Auditing Standards** > Check **YES** if your compliance audit report states that the audit was conducted with Government Auditing Standards (GAS);
  - OMB Standards** > Check **YES** if yes to;
  - OMB Standards** > Check **YES** if your compliance audit report was conducted in accordance with OMB A-133 Standards.

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

### Compliance Audit Information Continues:

6. Type of Auditor's Report Issued on Compliance for Major Programs (Title IV only)  
If 1B is no, this question is not applicable.

← 13

7. For Internal Control Over Major Programs

a) Were material weakness(es) identified? YES NO ← 14  
 YES  NO

b) Were reportable condition(s) identified that are not considered to be material weaknesses? YES None Reported  
 YES  None Reported

8. Were there audit findings in the previous year's A-133 report? (Select Yes if any school covered in the Compliance Audit has a finding(s))

YES  NO ← 15

9. Does Institution utilize a Third-Party Servicer? ← 16

YES  NO

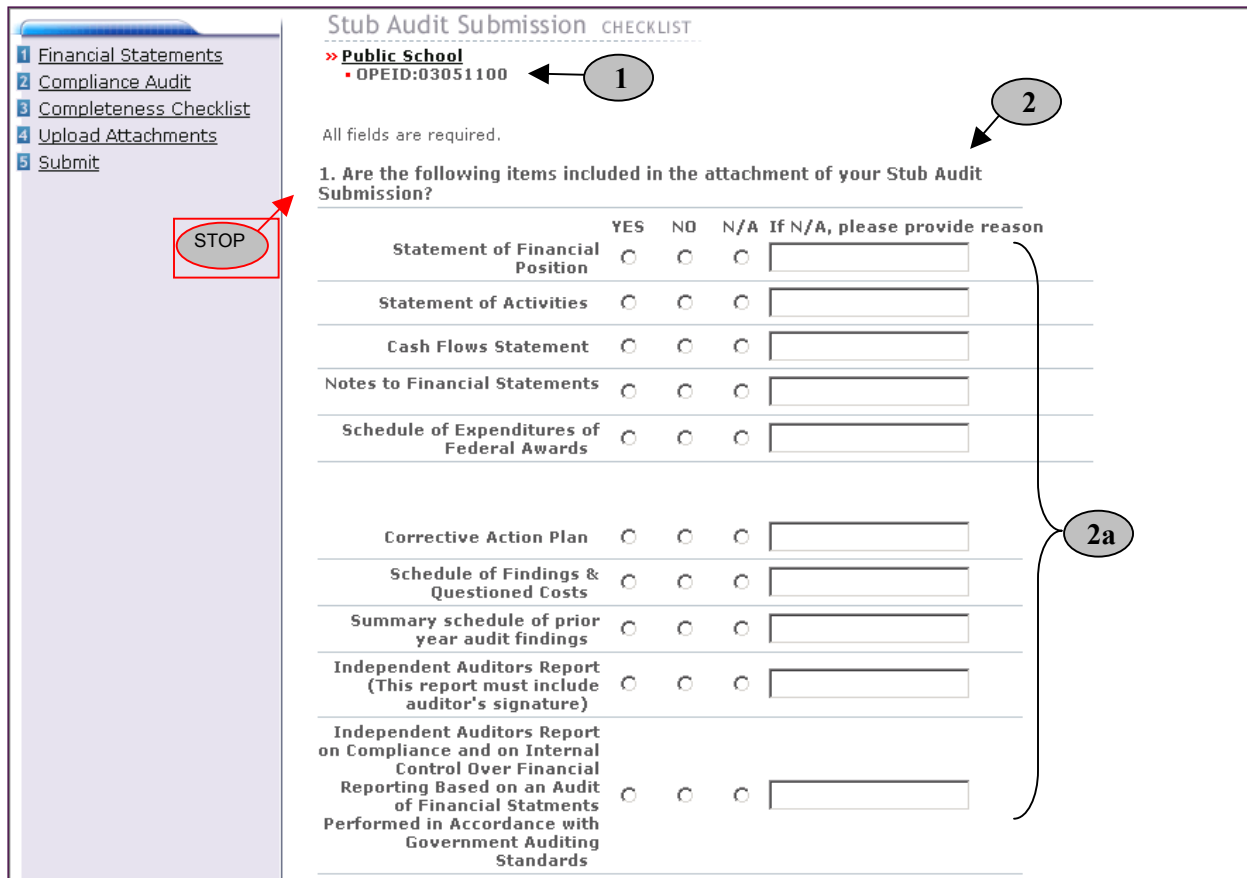
17 →  18 →  19 →

23. 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.
24. Refer to Section I – Summary of Auditor's Results in the Schedule of Findings and Questioned costs of the annual A-133 report.
25. Refer to Schedule of Prior Audit Findings and Corrective Action Plan as required by OMB Circular A-133 (sections 315 (b & c)). If there were prior year findings, there should be a resolution of prior year findings indicated in the schedule.
26. Choose **YES**, if your institution utilizes a third-party servicer.
27. **IMPORTANT WARNING:** Click the **CANCEL** button to erase/delete all entries since the last time you saved your work.
28. Click the **SAVE** button to ensure all entries are successfully stored by the system for this page.
29. Click the **SAVE and PROCEED** button to go to the **Public Annual Submission-Completeness Checklist page**. This is the next stage in the submission process.

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

### 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:



**Stub Audit Submission CHECKLIST**

>> **Public School** ← 1  
 • OPEID:03051100

All fields are required.

1. Are the following items included in the attachment of your Stub Audit Submission?

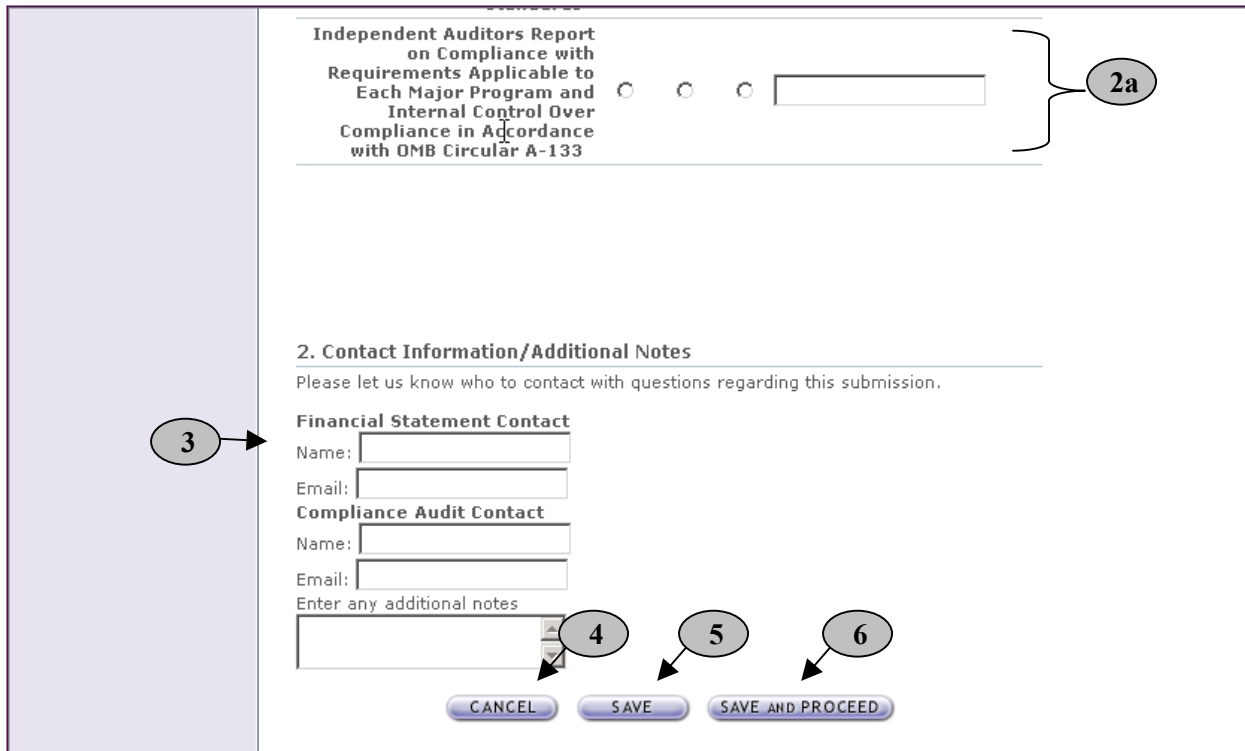
	YES	NO	N/A	If N/A, please provide reason
Statement of Financial Position	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>
Statement of Activities	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>
Cash Flows Statement	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>
Notes to Financial Statements	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>
Schedule of Expenditures of Federal Awards	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>
Corrective Action Plan	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>
Schedule of Findings & Questioned Costs	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>
Summary schedule of prior year audit findings	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>
Independent Auditors Report (This report must include auditor's signature)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>
Independent Auditors Report on Compliance and on Internal Control Over Financial Reporting Based on an Audit of Financial Statments Performed in Accordance with Government Auditing Standards	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>

2a

1. Please confirm that the information displayed is correct.
2. Check **YES** for all documents included in your compliance audit attachment and **NO** if not attached.
  - a. Provide reasons for each deemed not applicable ("N/A").

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

### Completeness Checklist Continues:



Independent Auditors Report on Compliance with Requirements Applicable to Each Major Program and Internal Control Over Compliance in Accordance with OMB Circular A-133

2a

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

3

Financial Statement Contact  
Name:   
Email:

Compliance Audit Contact  
Name:   
Email:

Enter any additional notes

4 5 6

CANCEL SAVE SAVE AND PROCEED

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

#### NOTE

**Signatures (scanned) are required on Independent Auditors Report, Independent Auditors Report on Compliance and on Internal Control Over Financial Reporting Based on an Audit of Financial Statements Performed in Accordance with Government Auditing Standards, Independent Auditors Report on Compliance with Requirements Applicable to Each Major Program and Internal Control Over Compliance in Accordance with OMB Circular A-133. Signatures created using a word processing application are not acceptable.**

## Step-by-Step Guide to Using eZ-Audit For Public 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 below should appear:

**Stub Audit Submission** UPLOAD ATTACHMENTS

>> **Public School** ← 1  
 • OPEID:03051100

As part of your Stub Audit Submission, you must include an electronic copy of your complete audited financial statements, 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. All required fields are indicated with an asterisk. Selecting 'All' satisfies all required fields.

File:  Browse... ← 2

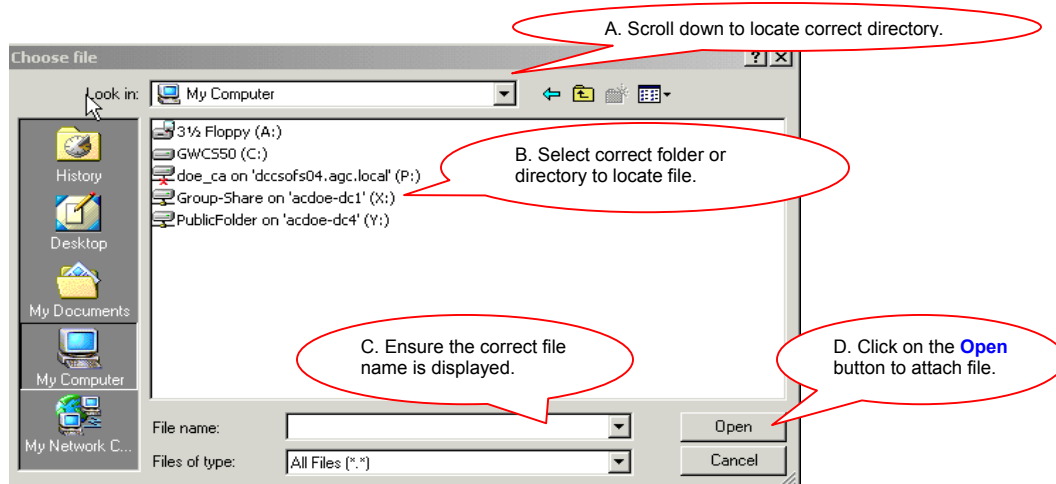
Audited Financial Statements:   
 Compliance Audit:   
 Corrective Action Plan:   
 All(Complete A-133 report and Corrective Action Plan, if applicable):  ← 3  
 Other:

---

ADD ← 4

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



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

### NOTE

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

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

### Stub Audit Submission-Submit

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

The screenshot shows the "Stub Audit Submission" page with a "SUBMIT" button. Callout 1 points to the "Public School" link and the OPEID:03051100. Callout 2 points to the large text block containing the submission requirements and the "SUBMIT TO ED" button. Callout 3 points to the "SUBMIT TO ED" button.

Stub Audit Submission SUBMIT

>> **Public School**  
• OPEID:03051100

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.

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.](#)

#### NOTE

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

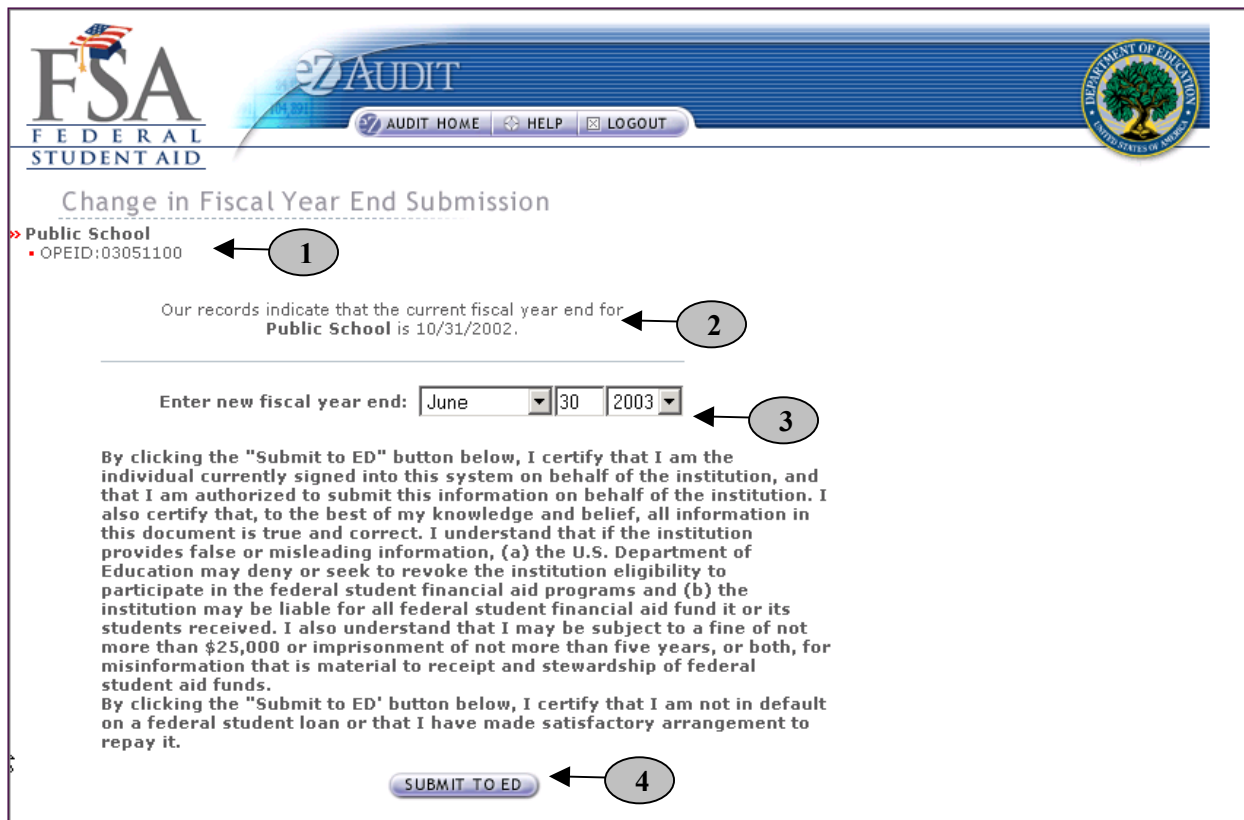


## Step-by-Step Guide to Using eZ-Audit For Public Schools

### Change in FY End

#### Change in FY END Submission

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



**FSA FEDERAL STUDENT AID**

**eZ-AUDIT**

AUDIT HOME HELP LOGOUT

### Change in Fiscal Year End Submission

Public School  
 OPEID:03051100

Our records indicate that the current fiscal year end for Public School is 10/31/2002.

Enter new fiscal year end: June 30 2003

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.

SUBMIT TO ED

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

#### NOTE

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

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

### Waiver/Exemption Request

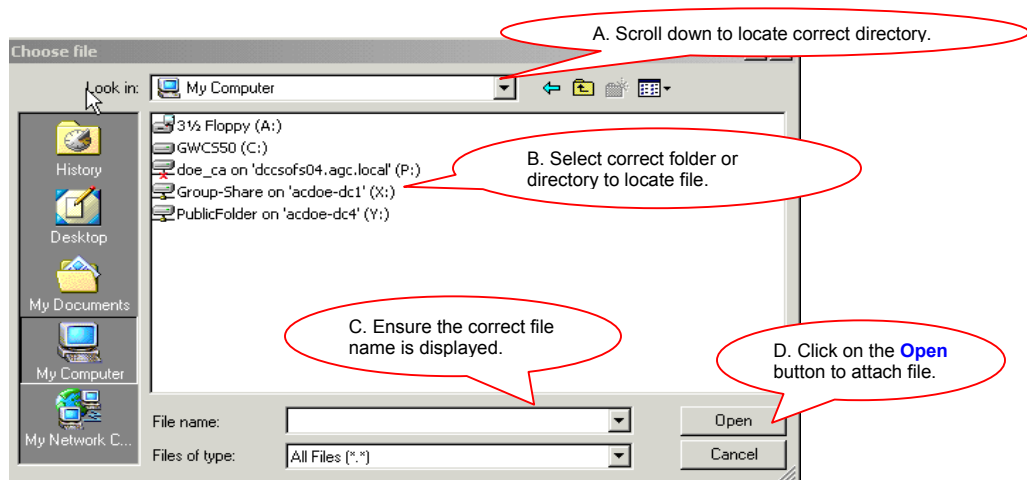
#### Create Waiver/Exemption Request

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

The screenshot shows a web form titled "Create Waiver Exemption Request". At the top left, there is a mouse cursor icon. Below the title, the form displays "» PUBLIC SCHOOL" and "• OPEID:03051100". A callout circle with the number "1" points to the OPEID text. Below this is a paragraph of instructions: "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." Below the instructions is a "File\*" label, an empty text input field, and a "Browse..." button. A callout circle with the number "2" points to the "Browse..." button. Below the input field is an "ADD" button. A callout circle with the number "3" points to the "ADD" button. Below the "ADD" button is a large block of text containing a certification statement: "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." At the bottom of the form are two buttons: "CANCEL" and "SUBMIT TO ED". A callout circle with the number "4" points to the "CANCEL" button, and a callout circle with the number "5" points to the "SUBMIT TO ED" button.

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 Public Schools



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 compliance audit submission. The screen will then change to the screen below:

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

### Create Waiver Exemption Request

>> PUBLIC SCHOOL ← 1  
 ▪ OPEID:03051100

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\*:  Browse... ← 2

ADD ← 3

ATTACHED FILE (S)	
download.pdf	Request document <span style="float: right;">DELETE</span>

New ←

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.

4 → CANCEL      SUBMIT TO ED ← 5

4. Click the **CANCEL** button to erase all entries.
5. Click the **"SUBMIT TO ED"** button to submit your Exemption Request. This will then take you to your institution's homepage with a displayed confirmation of your transaction. [If you do not have the "SUBMIT TO ED" button please verify that "submitter" is selected as a user role. See Manage Users for details.](#)

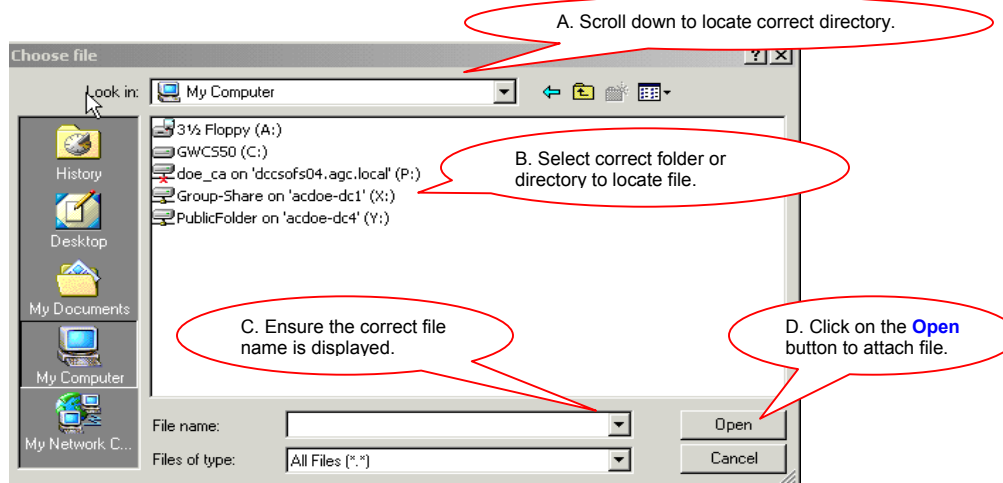
## Step-by-Step Guide to Using eZ-Audit For Public Schools

### Additional Information

#### Additional Information Submission

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

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



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

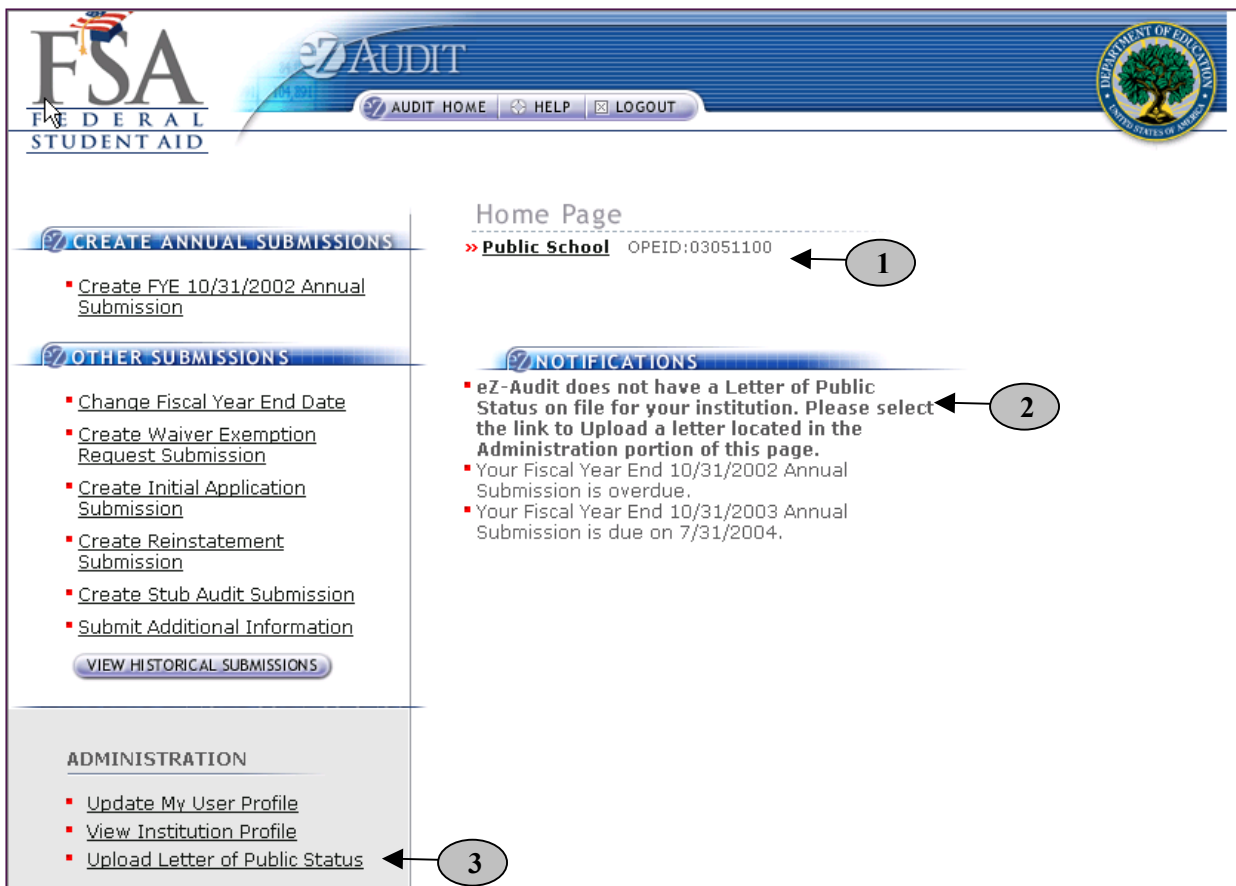
All schools are allowed to submit additional information (not requested) related to a current submission before Case Management has completed the review.

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

### Letter of Public Status

#### Letter of Public Status

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



The screenshot displays the eZ-Audit Home Page for a Public School. The page includes a navigation bar with "AUDIT HOME", "HELP", and "LOGOUT" buttons. On the left, there are sections for "CREATE ANNUAL SUBMISSIONS" and "OTHER SUBMISSIONS". The main content area shows the "Home Page" with the school's name and OPEID. A notification states that the Department does not have a Letter of Public Status on file. In the "ADMINISTRATION" section, there is a link to "Upload Letter of Public Status".

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

#### NOTE

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

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

### Letter of Public Status continued:

### Letter of Public Status Upload

>> PUBLIC SCHOOL ← 1  
▪ OPEID:03051100

Please use the field below to upload your Letter of Public Status into the system. Please note, the file must be in .pdf format. Once all file has been selected, select "Submit to ED". Selecting "Cancel" will return you to your home page without saving or submitting your information.

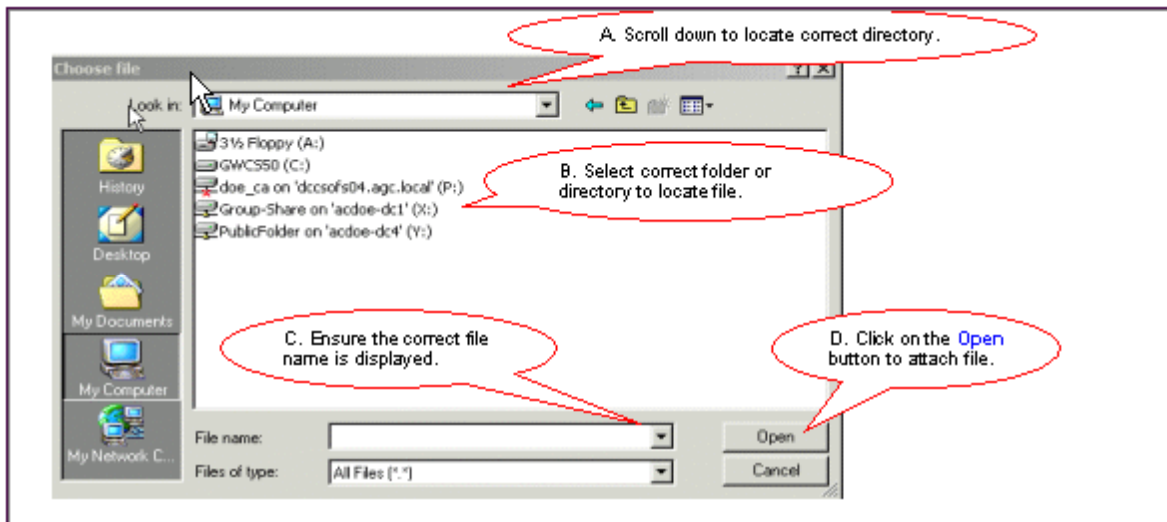
File\*:  Browse... ← 2

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.

4 → CANCEL SUBMIT TO ED ← 4

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 Public Schools



3. After the document(s) has been attached and the file type identified by checking the box, click the **“ADD”** button to ensure that the document(s) has been successfully attached.
4. Click the cancel button to delete entry.
5. Click the **“Submit To ED”** button to submit your Letter of Public Status to the Department. This will then take you to your institution’s homepage with a displayed confirmation of your transaction. [If you do not have the \*\*“SUBMIT TO ED”\*\* button please verify that “submitter” is selected as a user role. See Manage Users for details.](#)





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

### Appendix

#### 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 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](mailto: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.



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

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### **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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Signature

\_\_\_\_\_  
Date