Virginia Department of Accounts

Financial Accountability. Reporting Excellence.

Financial Certification Website
Administrative Manual

Agency Fiscal Officers

~April 2012~

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Financial Certification Website Overview

Introduction

DOA has developed a web-based system that provides agencies the ability to certify to DOA, on a monthly basis, that they have reconciled their internal accounting records to CARS, the official accounting record of the Commonwealth.

Along with the Certification, agencies should also provide notification of any processing irregularities (exceptions) that will need to be corrected by DOA through the Exception Register process. Agency fiscal officers, and their designees, may access the **Financial Certification Website** at http://certification.doa.virginia.gov.

This web site has been designed to be as user-friendly as possible and require little intervention from outside resources. However, DOA realizes that there may be functions that individuals may need assistance with and has developed this administrative manual to aid web site users. A **Contact Us** link is also available throughout the website, where a user can email DOA and receive a response.

Access Requirements

- Browser must be enabled for Java Script.
- Browser must be enabled for Cookies.
- Browser must be enabled for Secure Socket Layer (SSL) Security (128-bit version).
- If connecting to the site from behind a firewall or proxy server it must allow SSL (port 443) communication.
- ***Internet Explorer*** or ***Netscape*** browsers, version 4.0 or higher.
- Designed to be viewed at a screen resolution of 800 by 600 or greater, with a minimum of 256 colors.
- Connection speed of 56k modem (or higher) is highly recommended.

Web Address

http://certification.doa.virginia.gov

Financial Certification Website Security

Authority

The CAPP Manual requires each agency fiscal officer to certify to the State Comptroller that their internal records have been reconciled to CARS, the official record of the Commonwealth. July – May of each fiscal year can be certified via the Financial Certification Website. Agencies receive separate instructions for the June Certification in the Year End Memorandum. Each fiscal officer can designate a maximum of two alternates to submit the certification on the website.

Gaining Access to the Website

In order to gain access to the Financial Certification Website, the Fiscal Officer - as designated on the Agency Signatory Form – should complete the *Certification of Agency Reconciliation to CARS Reports Security Maintenance Form*.

Continued on next page

Completing the Certification of Agency Reconciliation to CARS Reports Security Maintenance Form

The automated *Certification of Agency Reconciliation to CARS Reports Security Maintenance Form* is located on DOA's website at www.doa.virginia.gov under the DOA Forms link. The form should be completed online by the agency's fiscal officer using the instructions below. Once all information is entered, click the 'Submit to DOA' button (top of the form), which will generate an email from the fiscal officer. The email will be sent to the appropriate DOA staff at certification@doa.virginia.gov. If there are questions, they should be directed to this email address. Once access is granted, the user will be emailed a temporary password.

The fiscal officer should enter their ***Name***, ***Agency Name***, ***Phone Number*** and ***Email Address***. The ***Function*** is entered based on the purpose of the form. If access needs to be established for a user, the function should be '**A**'. If a change is being made to the user's current access, the function should be '**C**'. And finally '**D**' if the access of the user needs to be deleted.

User ID is standard and begins with AGY and continues with the three-digit agency number. For subsequent users two and three, alpha characters A and B should follow (i.e. AGY987, AGY987A, AGY987B).

User Type 1 is an ***Administrator***. All fiscal officers are required to be a User Type 1. The administrator submits the monthly certification, exceptions (if any), receives all system-generated emails (i.e. late notices, etc), resets password violations within their agency, and requests deadline extensions from the Department of Accounts.

User Type 2 is a ***General User***. All users except for the fiscal officer will be general users. General Users can only submit the monthly certification and exceptions (if any).

Information pertaining to the user should be entered in the remaining fields under User Information. They include ***First Name***, ***Last Name***, ***Agency***, ***Phone Number*** and ***E-mail Address***. Each of these fields is required.

Access Agencies should include the user agency and any additional agencies to which the user requires access. If the fiscal officer designated on the form is not the fiscal officer of each agency that access is being requested, a separate form should be completed for access to those agencies. Note: The same user id can be used.

Please leave blank the portion below the Department of Accounts Use Only bar.

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Completing the Certification of Agency Reconciliation to CARS Reports Security Maintenance Form (Continued)

Financial Certification Website
Certification of Agency Reconciliation to CARS Reports
Security Maintenance Form

I hereby request to have security to the Financial Certification Website set up for my agency as specified below. I certify that this agency maintains a system of internal control over on-line access to the Financial Certification Website adequate to prevent unauthorized access to or changes in the data contained therein, and that the use of this form constitutes an integral part of that internal control system.

Name: _____, Fiscal Officer
Agency: _____
Phone Number: _____ **Extension:** _____
E-mail Address: _____ **Date Submitted:** _____

Function:

User Information

User ID: _____ **User Type:** _____
First Name: _____ **Last Name:** _____
Agency: _____
Phone Number: _____ **Extension:** _____
E-mail Address: _____

Access Agencies

Department of Accounts Use Only

The security maintenance specified above:

Meets requirements specified in the CAPP Manual.
Does not meet CAPP Manual requirements and will be returned to agency.

Signature Card Verified

Data Entry by: _____ Date: _____
DOA Review: _____ Date: _____

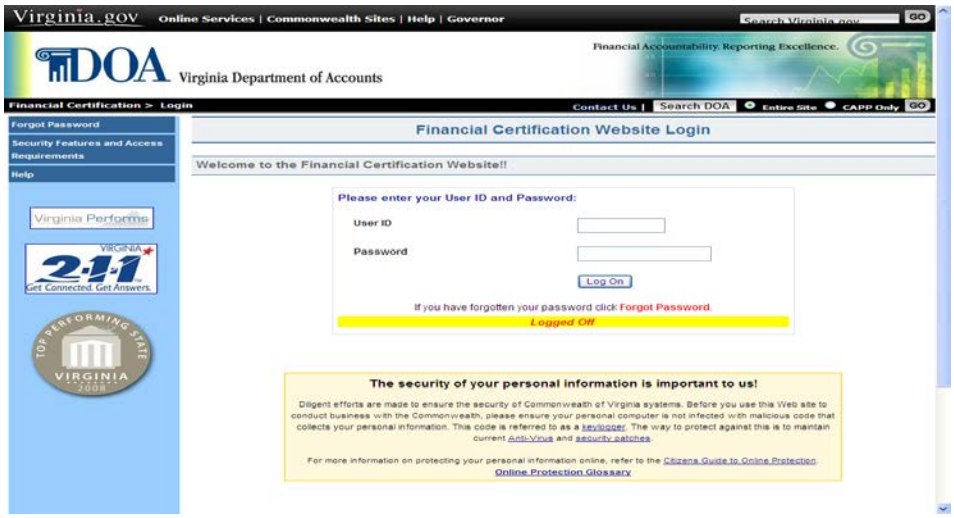
Accessing the Website

Access the WebSite

Perform the following steps to access the web site.

Step	Action
1	Go to the DOA web site – www.doa.virginia.gov.
2	Select **Financial Certification** under Links from the choices in the right-hand margin of the Home Page. Note – Users may also type in the direct link in the address bar on their internet connection. http://certification.doa.virginia.gov

Log On



Step	Action
1	Enter the User Id assigned by DOA.
2	Enter the User Password.
3	Click on the 'Log On' button or press Enter.

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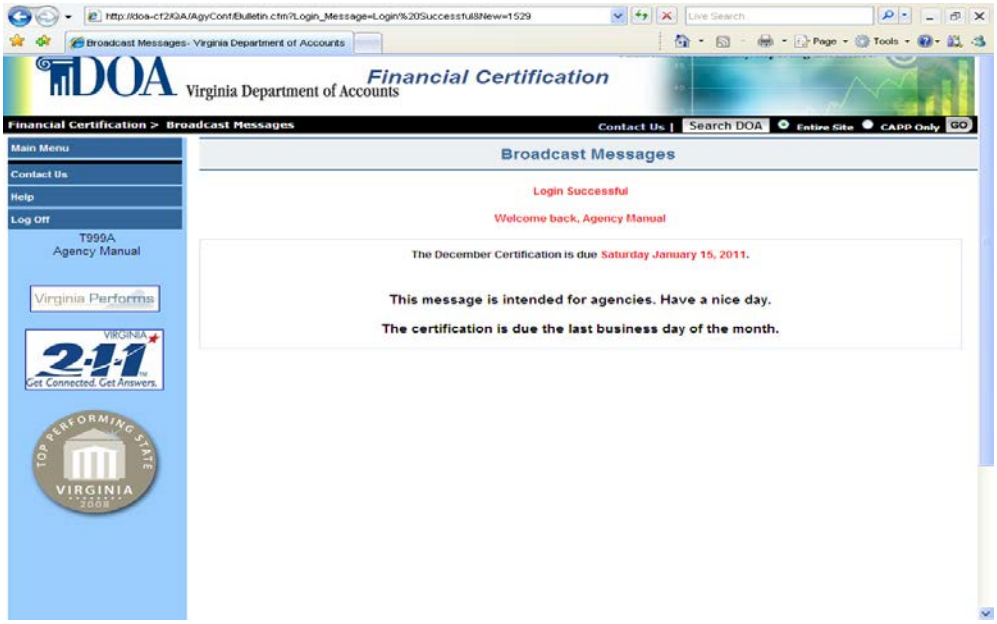
Log On (continued)

This links the user to the *Broadcast Messages* page for important information and other menu selection items.



First Access for New Users

After logging on the first time, a user should change their password to a personalized password and set up their Personal Options.

The user should edit his personal options by clicking:

Main Menu and Personal Options – Edit Personal Options.

Step	Action
1	Click on **Main Menu** in the left margin.
2	Click on **Personal Options** in the left margin. This brings the user to the **View Personal Options** screen.
3	Click on **Edit Personal Options**

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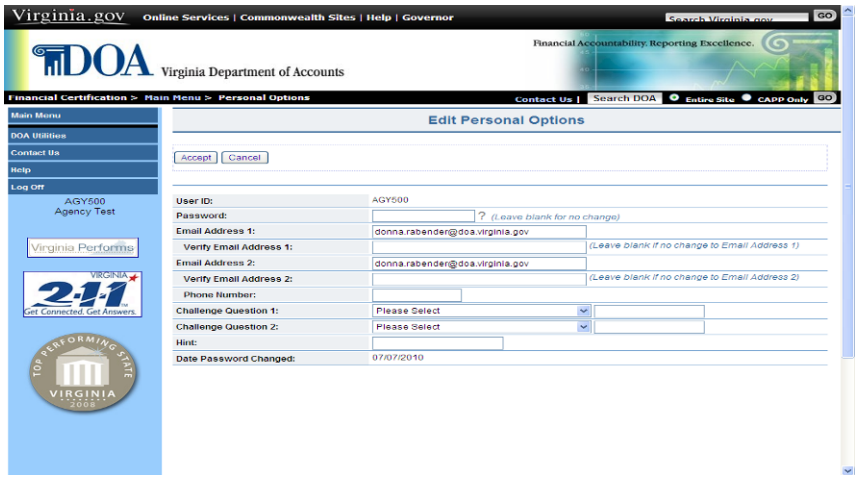

First Access for New Users (continued)

At the EDIT PERSONAL OPTIONS SCREEN, create a personalized **PASSWORD** that meets the site's six security standards as follows:

Passwords must:

1. be at least eight characters in length
2. utilize at least three of the following four:
    a. special characters ($! @ { } & ~ + ? [ ]) _,
    b. upper case alphabetical characters (A - Z),
    c. lower case alphabetical characters (a - z),
    d. numerical characters (0-9),
3. not contain spaces or ('), (<), (>), or (#)
4. not match last 24 passwords
5. not match assigned temporary password
6. not be changed more than once per day.

Enter a valid email address (enter twice for verification), two challenge questions of your choice, and a password hint. After you have entered all of the required data on the *Edit Personal Options* screen, click **Accept**.

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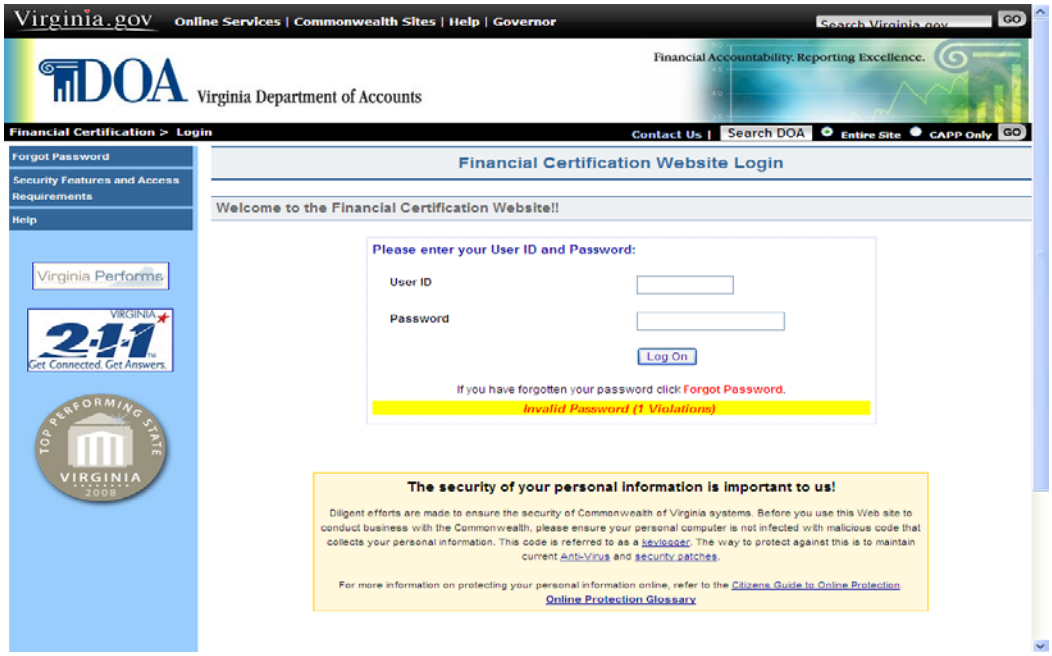
Forgot Password

If a user enters their User ID and an invalid password, they will receive the message **Invalid Password (#Violations)**'.



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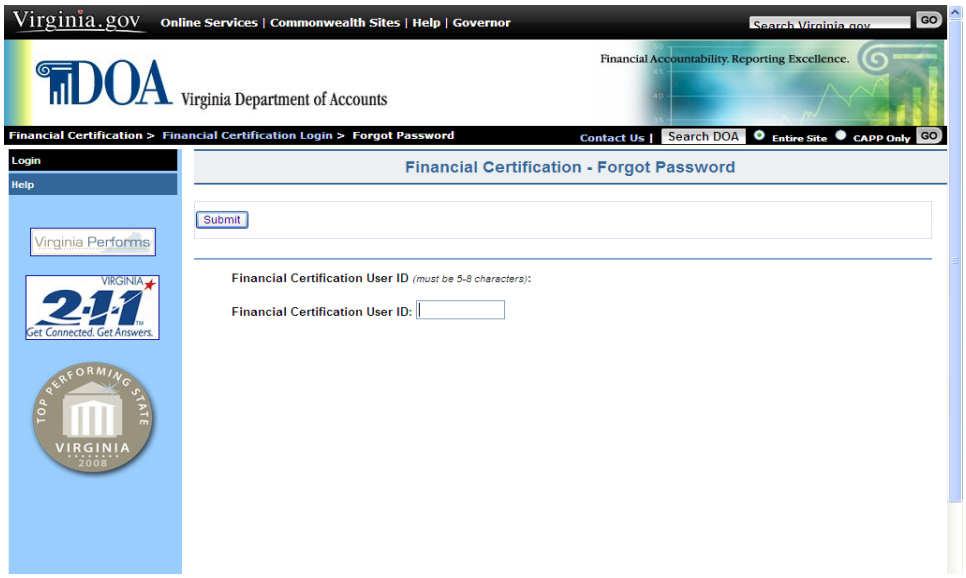
Forgot Password (continued)

The user may attempt to enter their User ID and password again or click on the **Forgot Password** button.



Clicking **Forgot Password** links the user to the *Forgot Password* page. Here the user is asked to enter their previously assigned User ID and then click **Submit**. Additionally, if the user has set up answers to the challenge questions, the user is asked to answer their Challenge Question(s). If answered correctly, the user is allowed to change their password and other personal information.

If the user cannot remember the challenge question answers, they can opt to enter their email address. If the email address matches the one previously entered, the user is then asked to enter a personal phrase. A temporary password is then emailed to the email address entered. The user then can use the temporary password, along with the personal phrase to log in. The user would then have to establish a permanent password. A password may not be changed more than once in a 24-hour period.

Continued on next page

Forgot Password (continued)

After 5 (five) failed log on attempts the following message is displayed "ACCOUNT SUSPENDED DUE TO SECURITY VIOLATIONS." The user at the agency with Administrator capability can reset the violation counters and restore the User ID for General users within their agency. A user with Administrator capability that suspends their password will need to contact DOA through **Contact Us** and request their ID be reset.

If a user decides to have their password e-mailed to them, the e-mail address will need to be entered into the box provided and then click on 'Send '. In the event the e-mail address does not match the one stored in the security record, the message "**Email address** (name@agy.virginia.gov) **did not match**" will be displayed. The user will then have the option of entering the response to the two challenge questions, if previously answered, or entering the correct email address.

Navigating through the Website

Navigation

Navigation buttons located in the left-hand margin of the page link the user to other Certification pages or perform requested functions as described below. The list of navigation buttons vary depending on the page and the function that is available from that particular location.

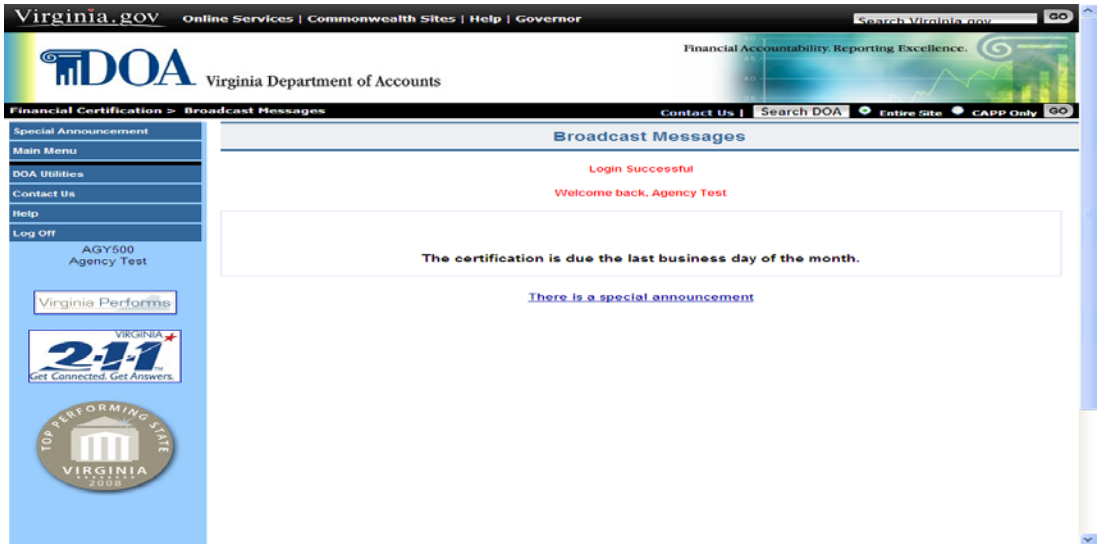
Button	Description
Broadcast Messages	Links the user to the Broadcast Messages screen where important messages and updates can be viewed.
Special Announcement	If the button appears, it links the user to a Special Announcement regarding the Certification process.
Help	Links the user to detailed information about the current screen and the selections available on the screen.
Main Menu	Links the user to the Main Menu screen. This is the central navigation screen for the Financial Certification Website.
Add Certification	Links the user to the screens used to certify that the agency has reconciled as well as to notify DOA of corrections that are needed.
View Certification	Links the user to a screen to view certification information that has been previously entered and to make changes up to the due date of the current month's Certification.
Personal Options	Links the user to a screen containing their personal data such as name and email address. Changes to personal information are made on this screen.
Reset Violations	Links the user to a screen that allows them to reset violations for other users at their agency. The user must have security access with Administrator capability to have this selection.
Request Extension	Links the user to a screen that allows them to request an extension beyond the prescribed due date. The user must have security access with Administrator capability to have this selection.
Printer Friendly Version	Provides a summary of the Certification that can be printed by the agency for their records.
Contact Us	Allows the user to send an e-mail with suggestions and/or questions to DOA.
Log Off	Returns the user to the Log On page and signs the user out of the Financial Certification Website.

Broadcast Messages

Review Broadcast Messages

The *Broadcast Messages* screen provides pertinent information to website users. DOA will place messages regarding the Certification process or other important information on this screen.

The agency should review the *Broadcast Messages* periodically to be aware of updates or changes to the process. Additionally, if any special announcement needs to be communicated to the agency, the informational message will appear at the bottom of the screen, '*There is a special announcement*'. Click on the statement, read the announcement, and delete the message when appropriate.



Main Menu

Access Main Menu

The *Main Menu* screen is the central navigation screen for the Certification process. To access the *Main Menu*, the user would click on the **Main Menu** button from the list of choices in the left-hand margin of the screen.

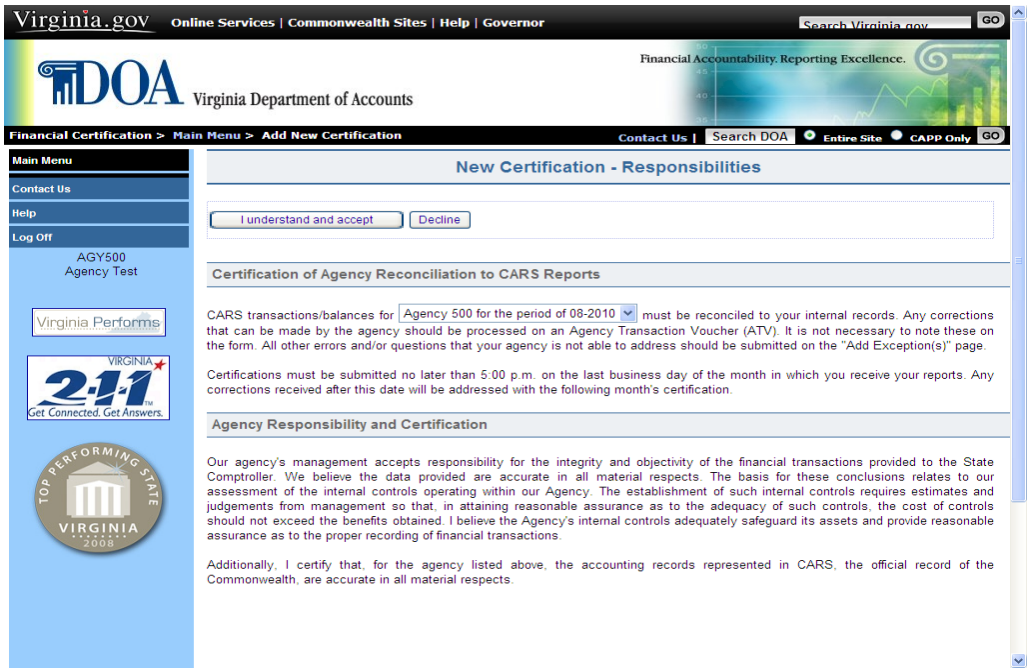
Continued on next page

Adding a Certification

Add Certification

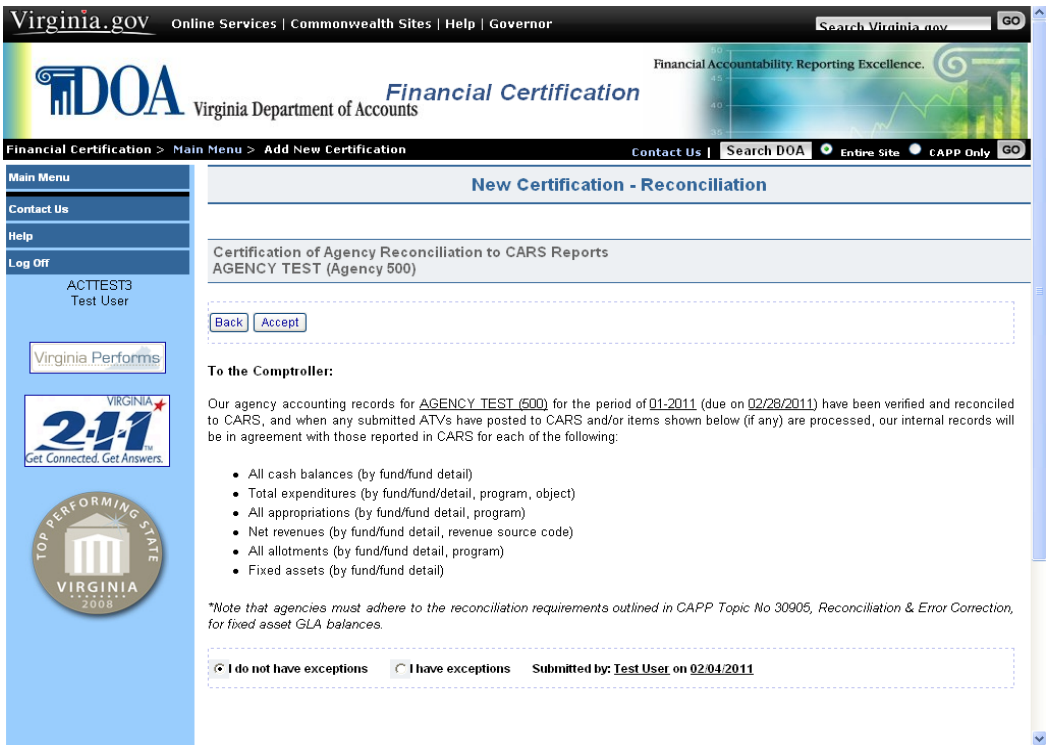
Fiscal Officers are required to certify to DOA that the agency has reconciled their internal records to CARS transactions/balances. This certification is due the last business day of the month in which the agency received their reports. The following steps detail how to enter a Certification using the web site application. Fiscal Officers may designate a maximum of two alternates to certify via the Financial Certification Website.

Step	Action
1	Select **Add Certification** from the ***Main Menu***. This links the user to the **New Certification - Responsibilities** screen.
2	On the **New Certification** screen, select the agency being certified as reconciled from the drop down menu (only if the user is responsible for more than one agency, otherwise this option is not available and the correct agency will automatically display).
3	Read the **Agency Responsibility and Certification** statement. Select **I understand and accept** or **Decline** if the user cannot attest to these statements.



Add Certification (continued)

Step	Action
4	Read the **To the Comptroller** statement.
5	Select the radio button 'I do not have exceptions' or 'I have exceptions' corresponding to whether the agency has corrections that require DOA Journal Entries.
6	Select "Accept".



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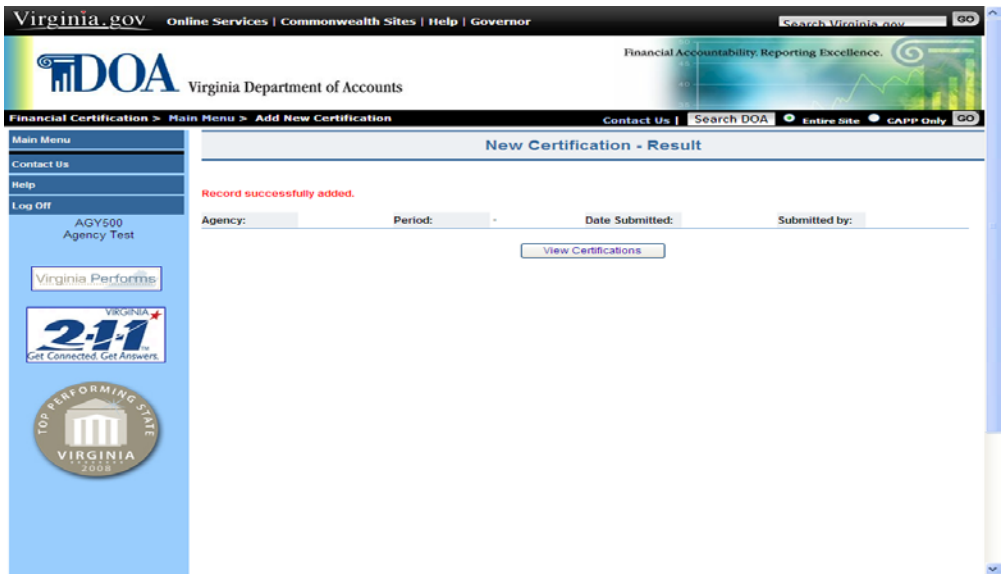
Add Certification (continued)

If…	Then
The agency did not have exceptions	The next screen will say "Record successfully added" and there will be a 'View Certifications' button. Click **View Certifications** and then click on the 'Details' button beside the Certification Period that was just entered. Skip to step 12 (page 20).



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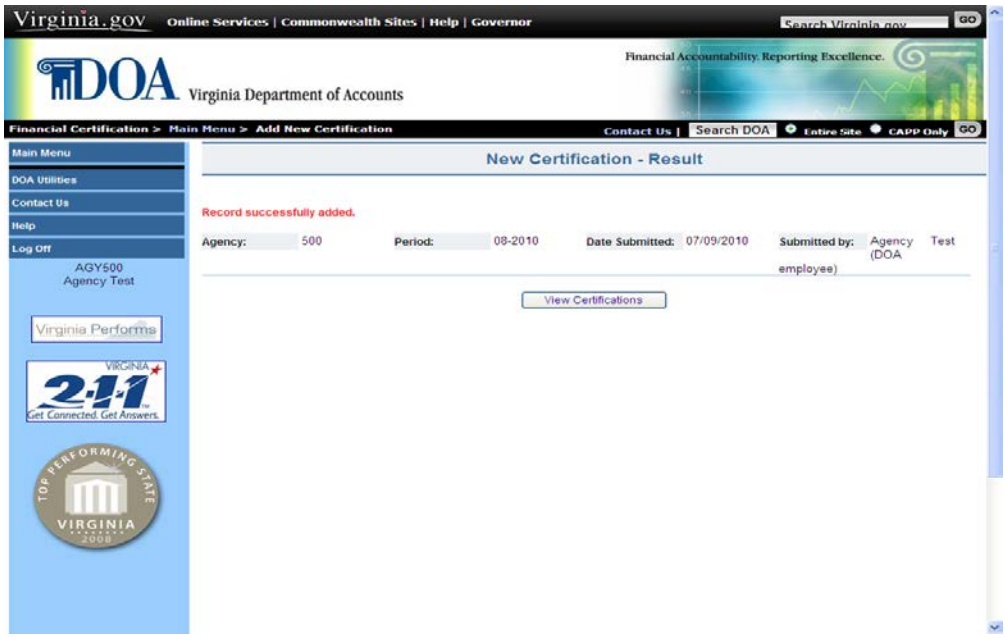
Add Certification (continued)

If	Then
The agency did have exceptions	The next screen will say "Record successfully added" and there will be a 'View Certifications' and an 'Add Exception' button. Continue with step 7 (page 18).



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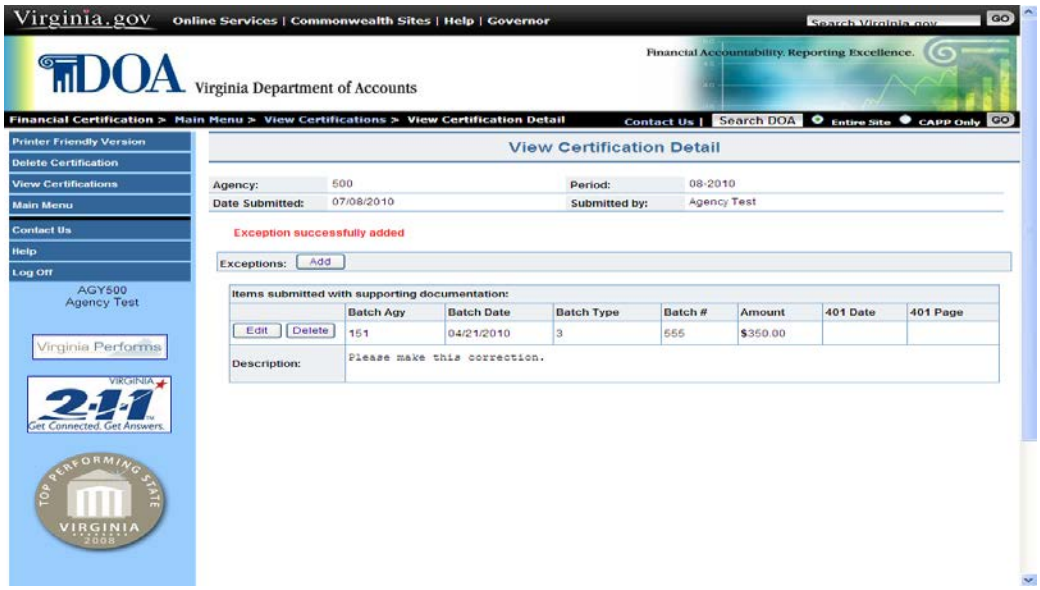
Add Certification (continued)

Step	Action
7	Select “Add Exception”.
8	Select the Exception Type that applies to the agency’s situation by clicking on the associated radio button. If you have more than one exception, you will be able to add it after you have accepted the initial exception.
9	Enter Exception Details as required. Shaded fields indicate which information is required. The user can add up to 500 characters in the description field.
10	Select **Accept**.

Continued on next page

Add Certification (continued)

Step	Action
11	The next screen will state "Exception successfully added" and the screen will show current exceptions submitted. **Note:** If the agency has more than one Exception for the month, select 'Add' to enter another exception.



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Add Certification (continued)

Step	Action
12	At this point the user has the following options:

Option	Description
Printer Friendly Version	Provides a summary of the Certification that can be printed by the agency for their records. This is mandatory for audit purposes.
Delete Certification	Allows the user to Delete the entire Certification and any related exceptions previously entered into the system up to the due date.
View Certifications	Displays a listing of Certifications previously entered into the system.
Exceptions: Add	Links to the *Add Exception* screen and allows the user to add additional exceptions up to the due date.
Edit/Delete	To the left of the exceptions listed on the View Certification Detail screen; the user can update an existing exception or delete it up to the due date.

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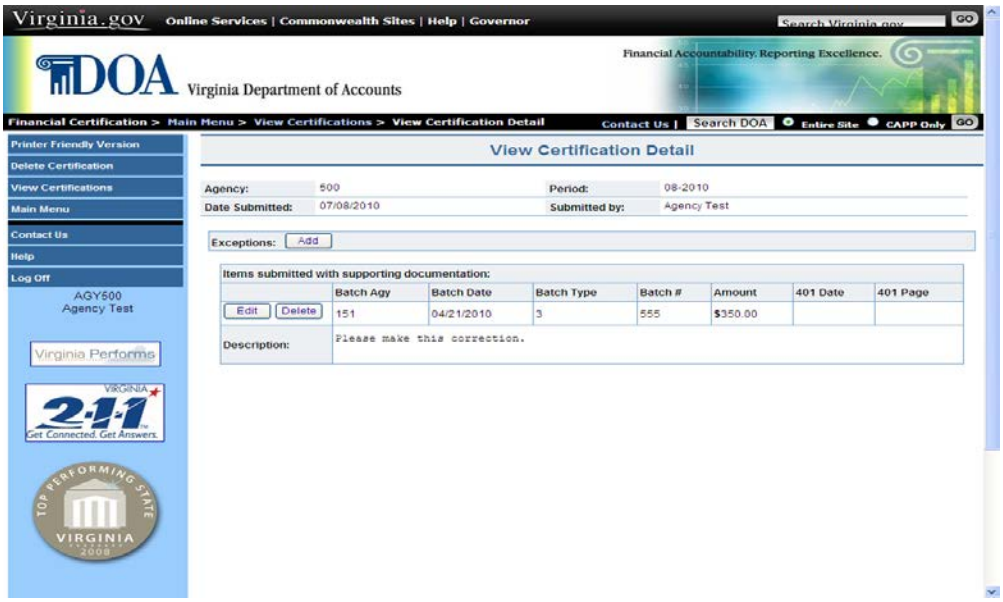
Add Certification (continued)



Step	Action
13	Once completed, agencies are required to print a copy of the Certification for their records. The user would first select 'Printer Friendly Version' then click on 'Print' at the top left of the Print Summary screen.

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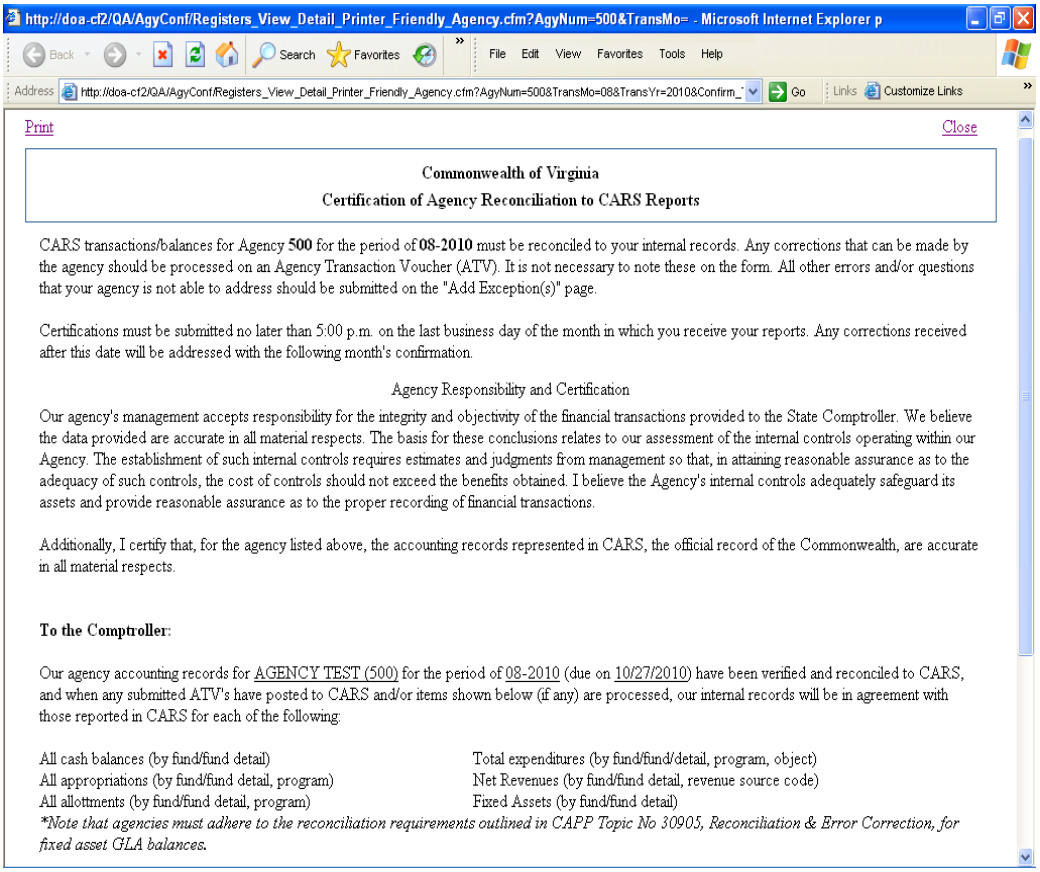
Add Certification (continued)



http://doa-cf2/QA/AgyConf/Registers_View_Detail_Printer_Friendly_Agency.cfm?AgyNum=500&TransMo= - Microsoft Internet Explorer p

Print Close

Commonwealth of Virginia

Certification of Agency Reconciliation to CARS Reports

CARS transactions/balances for Agency **500** for the period of **08-2010** must be reconciled to your internal records. Any corrections that can be made by the agency should be processed on an Agency Transaction Voucher (ATV). It is not necessary to note these on the form. All other errors and/or questions that your agency is not able to address should be submitted on the "Add Exception(s)" page.

Certifications must be submitted no later than 5:00 p.m. on the last business day of the month in which you receive your reports. Any corrections received after this date will be addressed with the following month's confirmation.

Agency Responsibility and Certification

Our agency's management accepts responsibility for the integrity and objectivity of the financial transactions provided to the State Comptroller. We believe the data provided are accurate in all material respects. The basis for these conclusions relates to our assessment of the internal controls operating within our Agency. The establishment of such internal controls requires estimates and judgments from management so that, in attaining reasonable assurance as to the adequacy of such controls, the cost of controls should not exceed the benefits obtained. I believe the Agency's internal controls adequately safeguard its assets and provide reasonable assurance as to the proper recording of financial transactions.

Additionally, I certify that, for the agency listed above, the accounting records represented in CARS, the official record of the Commonwealth, are accurate in all material respects.

To the Comptroller:

Our agency accounting records for AGENCY TEST (500) for the period of 08-2010 (due on 10/27/2010) have been verified and reconciled to CARS, and when any submitted ATV's have posted to CARS and/or items shown below (if any) are processed, our internal records will be in agreement with those reported in CARS for each of the following:

All cash balances (by fund/fund detail)
All appropriations (by fund/fund detail, program)
All allottments (by fund/fund detail, program)
Total expenditures (by fund/fund/detail, program, object)
Net Revenues (by fund/fund detail, revenue source code)
Fixed Assets (by fund/fund detail)

**Note that agencies must adhere to the reconciliation requirements outlined in CAPP Topic No 30905, Reconciliation & Error Correction, for fixed asset GLA balances.*

Continued on next page

Add Certification (continued)

Step	Action	
14	If at some point it is determined that the Certification should not be added and the user is in the process of adding the Certification, there are selections throughout the process that allow the user to cancel the certification. They are as follows:	
	Decline	Choose this selection from the first screen for *Add Certification*. This will take the user to the *Main Menu* screen.
	Back	This selection is available on the screen with the statement "To the Comptroller". It will take the user to the *New Certification* screen.
	Delete Certification	Available when the user has completed adding a Certification and is on the *View Certification* screen. Note: Only available if adding a Certification and the due date has not passed.

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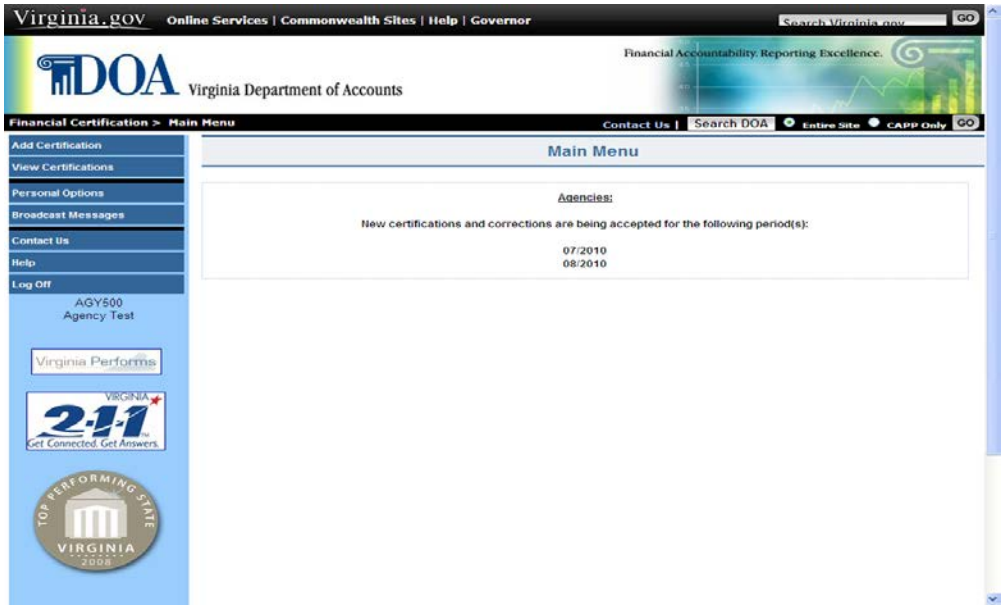
View Certification

View Certification

The *View Certification* screen allows the user to view current and previous month's Certifications. Current month Certifications can be updated, using this selection, during the time period between which the Certification was added and the due date. The following steps explain how to view a certification and the update options available.

Step	Action
1	Select the 'View Certification' button from the *Main Menu*.



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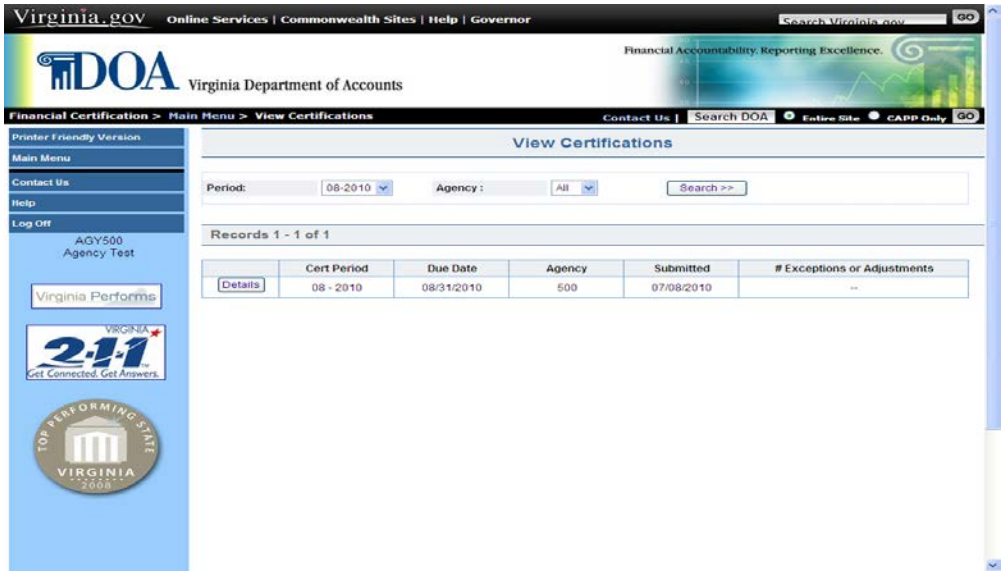
View Certification (continued)

Step	Action
2	Select the period and agency of the certification to be viewed from the drop down menus or choose directly from the list that comes up automatically with the page based on the user access.
3	Click on the 'Details' button beside the selected certification.



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View Certification (continued)

If	Then
The Certification is from a prior month and the due date has passed	The user can view the Date Submitted, the Submitted By information and Exceptions, if any. Also the user can select **Printer Friendly Version** to print a copy of the Certification.
The Certification is for the month currently due and the due date has not passed	The user can select from **Printer Friendly Version**, **Add Exceptions**, **Delete Certification** and **View Certification**. The **Edit/Delete** option is also available to the user. **Add Exceptions**, **Delete Certification** and the **Edit/Delete** options are not available after the due date has passed.

Step	Action
4	Select **Main Menu** to return and select other functions or **Log Off** to return to the *Financial Certification Website* Log In screen.

Delete Certification

Delete Certification

The Delete Certification screen allows the user to delete a previously entered Certification. This option is only available until the due date of the current Certification due. The following steps explain how to delete a Certification.

Step	Action
1	Follow steps 1, 2 and 3 for View Certifications.
2	Click on **Delete Certification**.

Edit/Delete Exceptions

Previously entered Exceptions can be edited or deleted by selecting the corresponding button beside the exception.

If	Then
The Edit button is selected	The user is returned to the **Edit Exception** screen and can make any necessary changes. Then select **Accept** and be returned to the *View Certification Detail* screen.
The Delete button is selected	The user is prompted by the statement "**Are you sure you want to delete the following exception?**" The user can select 'Accept' or 'Cancel'. When selecting 'Accept', the user will be returned to the *View Certification Detail* screen and the statement '**Exception successfully deleted will appear**'.

Step	Action
3	The system will ask '**Delete the entire Certification and all Exceptions for this period?**'
4	Select 'Accept' or 'Decline'.

Continued on next page

Delete Certification (continued)

If	Then
Accept is selected	The user will be returned to the *View Certifications* screen and the statement "**Certification successfully deleted**" will appear.
Cancel is selected	The user will be returned to the *View Certification Detail* screen.

Personal Options

View Personal Options

The *Personal Options* page allows users to view and update account information. Users can change their password or update their phone number or e-mail address in *Personal Options*. There are also options to enter "Challenge Questions" and a "Hint" that would be available if a user forgets their password. To access *Personal Options*, select the 'Personal Options' button from the *Main Menu*.

Edit Personal Options

The *Personal Options* page allows the user the ability to change any one or all of the following:

- Password (the actual password is not displayed).
- E-mail address (s)
- Phone Number
- Challenge Question (s)
- Hint (to help user in remembering their current password).

The following steps explain how to change personal options.

Step	Action
1	To make changes, select the '**Edit Personal Options**' button on the *View Personal Options* screen.

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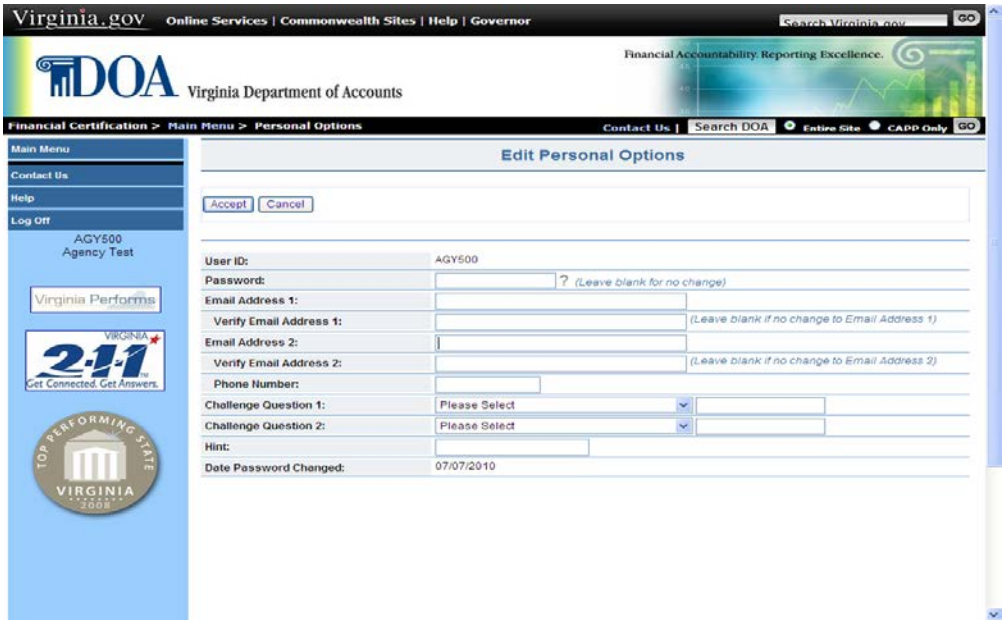
Edit Personal Options (continued)

Step	Action
2	Enter desired changes to Required or Optional fields.
3	Select 'Accept' to submit changes. Select 'Cancel' to exit and not save changes.



Name Change

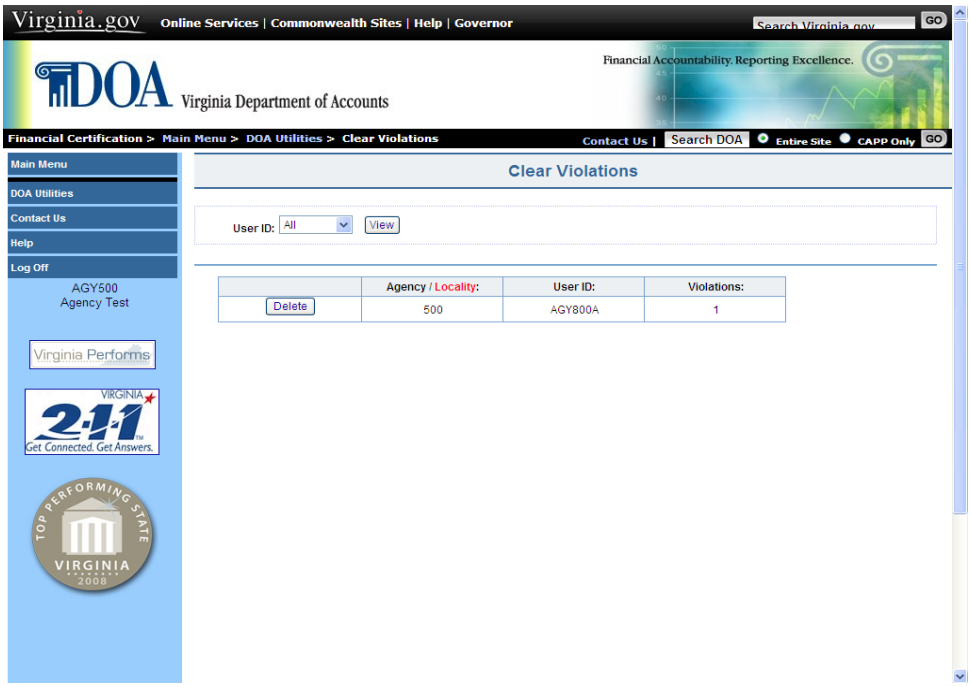
Should the agency need to change the name of the employee assigned to a User Id, they will be required to submit a *Certification of Agency Reconciliation to CARS Reports Security Maintenance Form* for the Financial Certification Website (see Website Security) to DOA indicating a change for the User Id and provide the new name to be assigned to the User ID.

Clear Violations

Clear Violations

There will be one user at each agency, the Fiscal Officer, with Administrator capability that will allow them to reset the log on of another user when they have suspended their account. The following steps detail the procedures for resetting violation counters.

Step	Action
1	From the *Main Menu* select 'Clear Violations'.
2	Select the User Id to be reset from the drop down menu or Delete All.
3	Select 'Delete' beside the violation or 'Delete All'.



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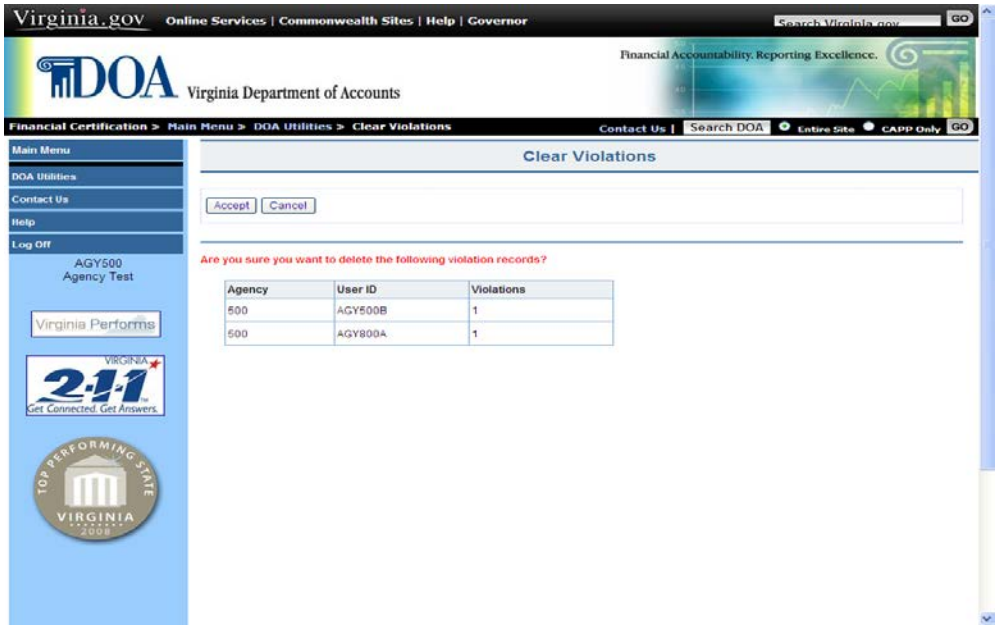
Clear Violations (continued)

Step	Action
4	When prompted "Are you sure you want to delete the following violation records?" select 'Accept'.



Note: A user with Administrator capability that suspends their ID will need to contact DOA through the 'Contact Us' button to reset their User ID.

Request an Extension

Request an Extension

Situations may arise at an agency that will prevent the timely reconciliation to CARS balances/transactions. In the event the agency can foresee not being able to meet the monthly deadline, an extension should be requested. Only the user with Administrator capability – the fiscal officer – can request an extension. Agencies may only request an extension up to the due date. After the due date has passed, the agency will need to contact DOA directly by emailing certification@doa.virginia.gov. The following steps detail the procedures for requesting an extension online.

Step	Action
1	Select **Request Extension** from the *Main Menu*. Only users with Administrator capability will have access to this feature.
2	The agency number and period for which extensions are being accepted will appear. If there are multiple periods open or the user is responsible for multiple agencies, select the appropriate agency and period.
3	Enter the Extension Date Requested in mm/dd/yyyy format.
4	Enter the Request Details (up to 500 characters). If the explanation is too long, please note that additional details should be emailed to certification@doa.virginia.gov.
5	Click **Submit**. A summary of the request will immediately appear on the screen. And a system-generated email will be sent to the Administrator as confirmation your request was received. The email will be sent to the email address in the Administrator's personal options.

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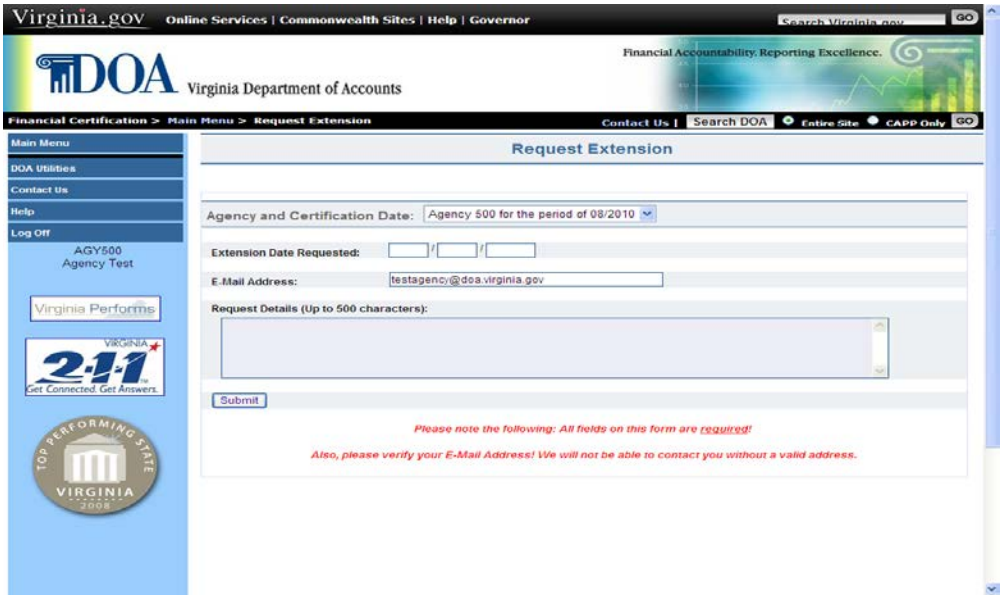

Extension Request Status

The following conditional table provides how the status of an extension request is generated.

If	Then
The Extension Request was approved	A system-generated email will be sent to the Administrator stating the request was **approved**. The new due date will appear to all users with access to the agency in the Main Menu.
The Extension Request was **not** approved	A system-generated email will be sent to the Administrator stating the request was **denied**. A statement as to why the request was denied will be included in the email.

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Request an Extension, Continued

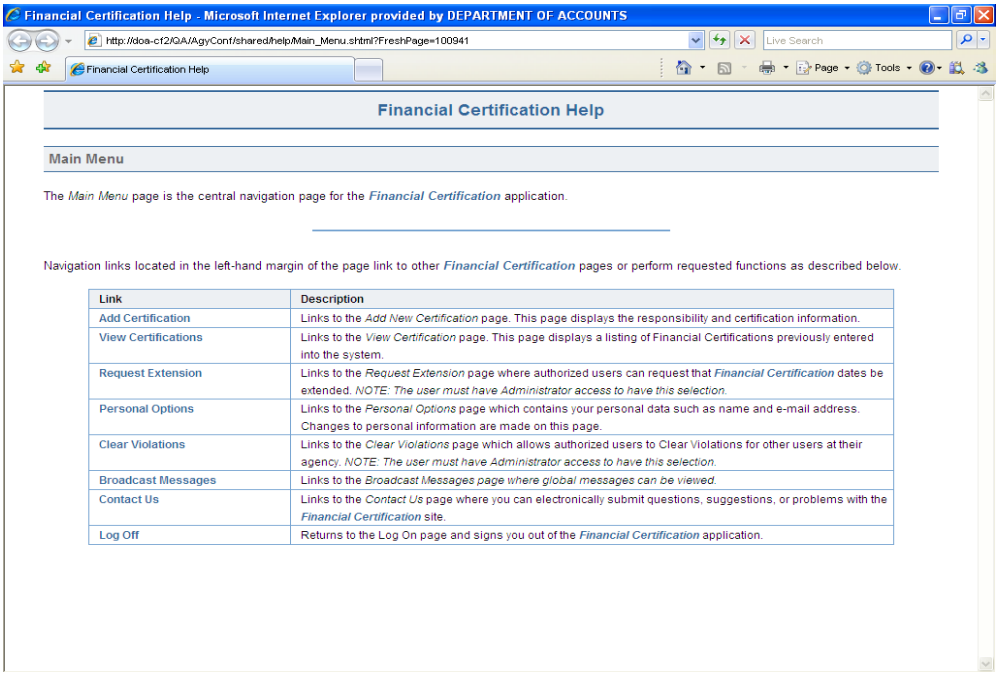
Extension Request Status (continued)

If the extension request was approved, the message below will appear at the Main Menu to alert the user to the new date. This message will appear for all users.

Help Screens

Help Screens

The Help Screens provide detailed information about the current page and the selections available on that page. Help Screens are accessible on every page of the web application. To access the Help Screens, select the **Help** button located in the left-hand margin of the page.

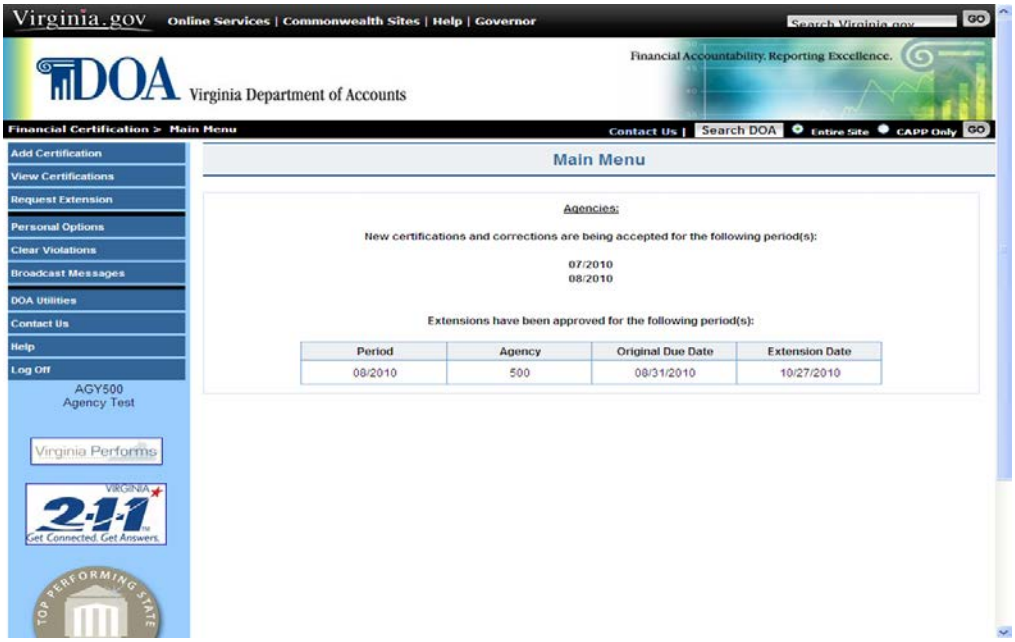


Contact Us

Contact Us

Provides the user with the ability to contact DOA for assistance with the web application and/or to send comments regarding the site.

Step	Action
1	Select **Contact Us** from the list of selections in the left-hand margin of the page or at the top of each website page. Note: This selection is available on all pages of the web application.



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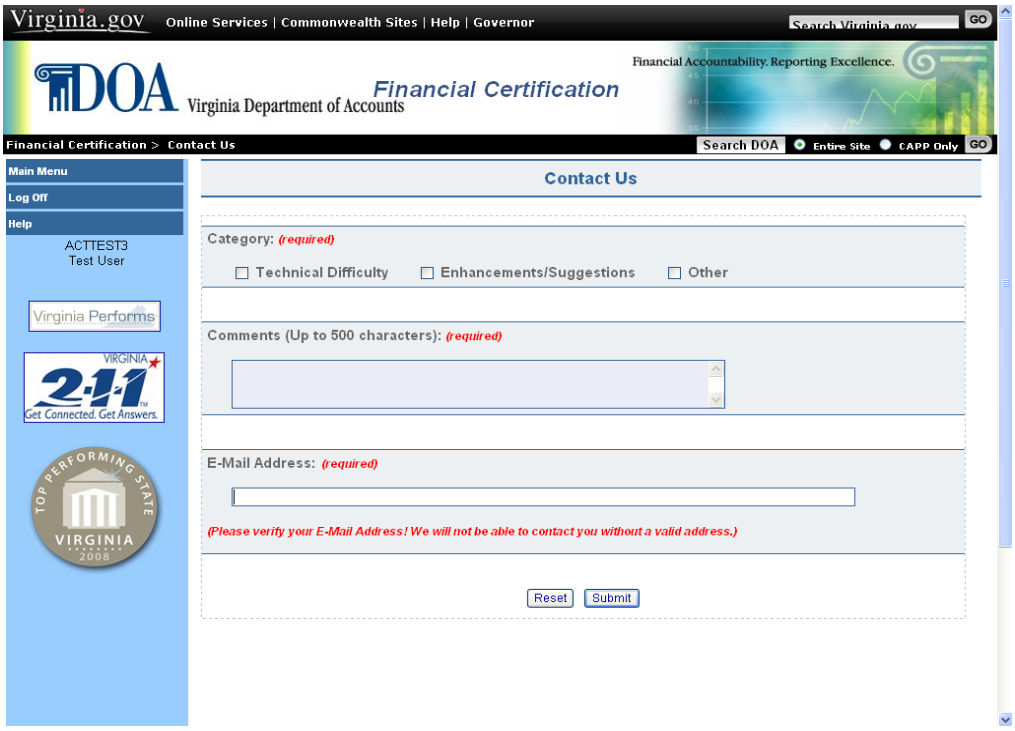
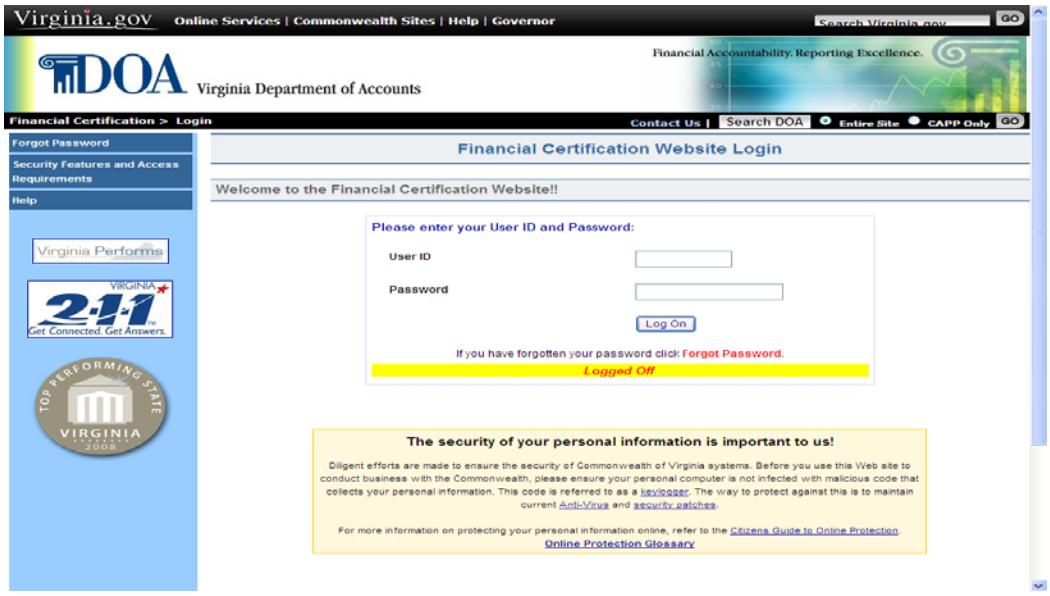
Contact Us (continued)

Step	Action
2	Select the reason for contacting DOA under “Category”.
3	Insert any comments or help needed in the comment box.
4	The e-mail address previously provided by the user will auto-fill in the space. Verify the e-mail address that appears is correct as **DOA must have a valid address to be able to respond**.
5	Click ‘Submit’. A summary of the request will immediately appear on the screen. And a system-generated email will be sent to the user as confirmation your request was received.



Log Off

Log Off

Once all transactions have been completed on the web application, select **Log Off** from the list of selections located in the left-hand margin of the page. When **Log Off** has been selected the user is returned to the *Welcome/Login* page.

Note: This selection is available on all pages of the web application.