

COMPLIANCE SURVEYS

Mike Rogers, Education Compliance Survey Specialist

You are here

We are here
to help you
find your way



TRAINING OBJECTIVES

What will this training cover?

- The purpose of a compliance survey.
- What records are needed.
- What to expect when we arrive.
- What is expected of the School Certifying Official
- What happens when the survey is completed.
- How you are notified of the survey results.

What is a compliance survey and what is the purpose?

- **Routine reviews of selected students' records to verify**
 - **that payments of GI Bill benefits were properly made**
 - **to your VA students.**

- **Conducted in order to ensure schools and training**
 - **establishments, along with their approved courses and**
 - **programs, are in compliance.**

- **Scheduled to previously approved facilities to monitor**
 - **and assure continued acceptability of approval.**

HOW ARE SCHOOLS SELECTED?

- **Following schools are surveyed every year:**
 - **300+ veteran enrollment**
 - **Non-College Degree Schools (including OJT/Apprenticeship/Flight)**
- **Additional surveys as identified by RPO Directors (ELR)**
- **Visits conducted at approved schools and facilities with veterans enrolled during the federal fiscal year (October – September)**
- **May be more than one person conducting visit if large school.**
- **SAs providing assistance with Compliance Surveys**

How are students files selected?

- We randomly select an appropriate number of cases from a listing of the VA students currently receiving benefits at your school.
- **Files Requested:**
 - Student academic files
 - VA files
 - Financial Aid files
 - Student payment records
 - Transcripts
 - Degree audits (occasionally)

HOW MANY FILES ARE REVIEWED?

- **Approximately 10% of your VA student population.**
- **No fewer than 10 (unless you have less than 10 current enrolled VA students).**
- **No more than 45 (unless systemic issues).**
- **Expanded surveys (infrequent).**

HOW WILL WE NOTIFY YOU?

- **Email or phone call to inform you of our visit.**
- **Advance notice provided (typically 2 weeks).**
- **Survey confirmation letter mailed or emailed.**
- **Confirm date and time of appointment.**
- **Provide School Certifying Official with names of students whose files are required for audit and required records**
- **Schedule face to face interviews with students if applicable.**

WHAT DOCUMENTS WILL BE REVIEWED

- **Application for admission.**
- **Program Curriculum.**
- **Student unofficial transcript.**
- **Tuition and fees payment ledger (For Post 9-11 files).**
- **Registration information.**
- **Drop-Add slips.**
- **Evidence of remedial training.**
- **Prior credit evaluations.**
- **Schedule of tuition and fees.**
- **Copy of catalog and schedule of classes (Residence or distance for survey period.**
- **Copies of one or more of these documents may be requested by the individual conducting the survey.**

AREAS OF CONCERN

- Program approval
- Course applicability to degree plan
- Prior credit evaluated
- Term dates certified accurately
- Credit, Clock, Remedial/Deficiency certified accurately
- Student status changes (within 30 days)
- School's Academic Policies enforced
- Tuition, Fees, Yellow Ribbon reported accurately
- Chapter 33 funds posted or returned incorrectly

How Long Must We Keep Records?

- Keep records for **three years** after each VA student's last day of attendance



What Do We Do When We Find Errors?

- We discuss each error with you as we find them. Once the visit is completed we sit down with you to go over the findings. After our return to the office, an official letter detailing our findings is mailed to your school's chief officer.
- Discrepancies are sent to claims processing for corrections

TIMELY REPORTING

All certifications must be submitted within 30 days of the latter of

any of the following three (3) things:

- **Start of the term**
- **End of drop/add**
- **Veteran's request for certification of benefits**
- **Was this reported to VA?**
- **Terminations or interruptions in training must be promptly reported to VA**

