

# COMPLIANCE SURVEYS

You are here

We are here  
to help you  
find your way



# Why Have Compliance Surveys?

The purpose of a compliance survey is to prevent deficiencies and violations, as well as to identify and correct them when they are found.

- Insure facilities and their approved programs comply with the law.
- Cooperate with the State Approving Agency.
- Verify prompt and accurate payments are made.
- Identify training issues and provide needed assistance.
- Correct discrepancies.

# When Are Surveys Conducted?

As required **annually** by 38 U.S.C. Sec. 3693(a)

100% of facilities with 300 or more students

100% of NCD, OJT, Apprenticeships and Flight

Additional surveys as determined by VA

# How Are Surveys Conducted



Remote

On-Site

# Choosing Files For Survey

- **Minimum number of student files is 10 unless there are fewer than 10 student records available. (Plus one similarly situated non-beneficiary)**
- **Student files randomly selected.**
- **Maximum number of student files is 45.**
- **Expanded sample is same number as initially surveyed.**
- **100% expansion is possible.**

# Initiating Surveys

## VA

VA schedules remote and on-site compliance surveys.

Provides names of student records to be surveyed.

Notifies school by mail, telephone and/or email.

## Facility

The school gathers **copies** of requested records.

May notify beneficiary students of the survey and relay information on how to contact VA. Students can voluntary interview with VA during on-site surveys.

Provides a quiet work area for surveyors.

# Records for Compliance Surveys

- Academic
- VA
- Financial Aid Files
- Student Payment Records
- Application for Admission
- Program Curriculum
- Students Unofficial Transcripts
- Prior Credit Evaluation -**AARTS, SMARTS, CCAF**
- Tuition and Fees Payment Ledger
- Registration Information
- Drop/Add Slips
- Evidence of Remedial Training
- Copy of Catalogs and Schedules of Classes (Residence or Distance) for survey period
- Attendance Records (if applicable)
- List of offered scholarships

# Areas of Review

1. Is program approved and are courses taken in the degree plan?
2. Was prior credit evaluated and the student notified of the results?
3. Were term dates certified accurately?
4. Were credit/clock hours accurately certified?
5. Were status changes promptly reported?
6. Were standards of progress enforced?
7. Other issues (Tuition and Fees, Yellow Ribbon)



# Prompt And Accurate Payments

## Prompt Reporting (Within 30 Days)

Amendments, VA Form 1999

Adjustments, VA Form 1999b

Terminations, VA Form 1999b

### **Non College Degree**

Leave of Absence, VA Form 1999b

Graduations, VA form 1999b

## Accurate VA Form 1999

Tuition, Fees, Yellow Ribbon

Program and Objective Codes

Number of Hours and Type of Hours

Chapter of Benefit

File and Social Security Number

## Term Dates

# Term Dates

## Resident

- January 7, 2013, to May 19, 2013
- First day of class is 01-08-13, and last day of finals is 05-16-13.
- Certify January 7, 2013, to May 16, 2013.

## Online

- January 5, 2013, to May 19, 2013
- Certify these dates.

## Resident and Online

Student is enrolled in 6 hours Residential and 6 hours Online.

Certify January 5, 2013, to May 19, 2013.

# Common Errors



Late Reporting

Inaccurate Term Dates

Inaccurate Tuition and Fees

# Common Errors (cont.)



Scholarships



Enrollment Changes



Inappropriate Courses

# Exit Interview

**Surveyor will discuss each discrepancy with school officials**



# Compliance Tips

< 30 Day Review

Accurate Forms

Compliance

Updated Degree  
Plans

Organized Files

# Resources at [www.gibill.va.gov](http://www.gibill.va.gov)

- **SCO Handbook** [http://gibill.va.gov/documents/job\\_aids/SCO\\_Handbook\\_v3.pdf](http://gibill.va.gov/documents/job_aids/SCO_Handbook_v3.pdf)
- **VA ONCE Quick Reference User Guide**  
[http://gibill.va.gov/documents/vaonce/VAONCE\\_Quick\\_Reference\\_User\\_Guide\\_v5.pdf](http://gibill.va.gov/documents/vaonce/VAONCE_Quick_Reference_User_Guide_v5.pdf)
- **SCO Hotline: 1-800-225-1159**
- **FAQs** <https://gibill.custhelp.com/app/home>
- **ELR** <http://gibill.va.gov/school-certifying-officials/elr.html>
- **SAA** <http://www.nasaa-vetseducation.com/contacts/default.aspx>
- **eBenefits** <https://www.ebenefits.va.gov/ebenefits-portal/ebenefits.portal>

# Compliance Surveys

*Questions?*