Compliance Surveys
Training Objectives

Upon conclusion of this training, you will know the following:

- Why compliance surveys are conducted
- When compliance surveys are conducted
- How compliance surveys are conducted
- How to best prepare for a compliance survey
Why Surveys Are Conducted

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 Surveys Are Conducted

38 USCS § 3693(a)
Surveys are conducted annually for institutions:
- With 300 or more veteran students
- Offering Non-college degrees

38 USCS § 3693(b)
Compliance Survey Waivers
- Additional Surveys as determined by VA
How Records Are Selected

- A specific number of records are selected based on the facility’s overall veteran student population

- Individual records are randomly selected

<table>
<thead>
<tr>
<th>VA Student Population</th>
<th>Records to Review</th>
</tr>
</thead>
<tbody>
<tr>
<td>0 to 99</td>
<td>10</td>
</tr>
<tr>
<td>100 to 199</td>
<td>15</td>
</tr>
<tr>
<td>200 to 299</td>
<td>20</td>
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<td>300 to 399</td>
<td>25</td>
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<tr>
<td>400 to 499</td>
<td>30</td>
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<tr>
<td>500 to 599</td>
<td>35</td>
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<tr>
<td>600 to 699</td>
<td>40</td>
</tr>
<tr>
<td>700 or more</td>
<td>45</td>
</tr>
</tbody>
</table>
How Surveys Are Conducted

Remote

On-Site
### How Surveys Are Conducted

#### VA

- VA schedules on-site survey or solicits for remote survey
- Notifies school by mail, telephone and/or email
- Provides student names and specific documentation required for review

#### Facility

- The school gathers *copies* of requested records
- May notify VA 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
Entrance Interview

- Introductions
- Purpose of compliance survey explained in detail
- Other institution officials may be present
- Advise of need for EXIT interview upon completion of review of records
Documentation for Review

- Academic
- Financial Aid Files
- Student Payment Records
- Application for Admission
- Program Curriculum
- Students Unofficial Transcripts
- Prior Credit Evaluation - **AARTS, SMARTS, CCAF**
Documentation for Review

- Tuition and Fees Payment Ledger
- Registration Information
- Drop/Add Slips
- Evidence of Remedial Training
- Copy of Catalogs & Schedules of Classes for Survey Period
- Attendance Records (if applicable)
- List of Offered Scholarships
- Enrollment Data Necessary to Verify Compliance with the 85/15 Rule
Areas of Review

- Is program approved and are courses pertinent
- Was prior credit evaluated and student notified of results
- Were term dates certified accurately
- Were credit/clock hours accurately certified
- Were status changes promptly reported
- Were standards of progress enforced
- Other issues (Tuition and Fees, Yellow Ribbon)
Common Errors

- Late Reporting
- Inaccurate Term Dates
- Inaccurate Tuition and Fees
- Scholarships/Discounts
- Enrollment Changes
- Inappropriate Courses
Exit Interview

- Conducted face to face if onsite survey
- Conducted by telephone if remote survey

- Education Compliance Survey Specialist (ECSS) will discuss each discrepancy with certifying official and offer appropriate training to prevent recurrence

- Corrective action will be discussed
  - VA will initiate
  - SCO will initiate

- Survey findings letter will be sent to facility

- Facility response may be required

- SAA / ELR may be notified of any approval related discrepancy
If the survey specialist requests that you submit corrective action, your corrections will be made on VA ONCE as follows:
SCO Corrective Action
SCO Corrective Action
School Resources

http://www.benefits.va.gov/gibill/school_training_resources.asp

School Training & Information Resources

Below are resources to train and boost the skills of school officials who serve student Veterans.

VA-ONCE
VA-ONCE is an enhanced means for submitting VA Forms 22-1999, 22-1999b, and 22-6553c online. The application was developed by a team of schools and VA representatives.

All schools will need to complete a Memorandum of Understanding (MOU) to gain access to the VA-ONCE application. You should complete the form online, print it, obtain the appropriate signature(s), and mail it to your Education Liaison Representative (ELR). Note: The MOU must be signed by a school official who has the authority to enter into a contract between the institution and VA.

Launch VA-Once

- VA-ONCE quick reference user guide (Version 8.0, March 2015)
- Training on enhancements and improvements in most recent version of VA-ONCE. P036 (updated Aug. 4, 2013)
- How-to guide for flight schools
- User tips
Preventing Discrepancies

- Make sure there is a system in place in order to communicate with Business Office on scholarships, discounts, and other funds that must be deducted from what is reported to VA.
- Be familiar with the system or program at your school that alerts you when student’s have changed their enrollments.
- Take a look at your latest WEAMS report and ensure that all school officials and programs are current and updated in the VA approval system.
- Understand your school’s prior credit evaluation process and ensure each VA student has documentation in the file to show prior credit has been evaluated.
- Ensure you are only certifying courses on degree plan.
- Read and understand your school’s policy on satisfactory attendance and progress and ensure student is meeting these requirements before certifying.
File Organization (Recommended)

The following is a recommended format for organizing VA student folders which can greatly prevent discrepancies:

Left Side of folder (Chronological Order)

- Copy of Students application for admission to the school
- Copies of transcripts from all schools previously attended and your school’s transfer evaluation
- A summary grade report of the student’s progress at your facility
- Copies of degree plans for all certified objectives with all credit posted
- Tuition and fee schedule and student billing statements
- Copy of remedial and deficiency test scores and justification for any remedial and deficiency courses certified to VA
- Course substitution forms
- Course elective approval when applicable
- Copies of drop slips and withdrawal forms when applicable
- Other school documentation
File Organization (Recommended)

Right Side of Folder (chronological order):

- Copies of VA Form 22-1990 or 22-5490 if available
- Copies of VA Form 22-1995 or 22-5495 if available
- Copies of all enrollment certifications (VA Form 22-1999)
- Copies of all notices of changes in student status (VA Form 22-1999b)
- Any correspondence from the VA which you may have received for the student
School Resources
School Resources

- SCO Hotline: 1-855-225-1159
- FAQs: https://gibill.custhelp.com/app/answers/list
- eBenefits: https://www.ebenefits.va.gov/ebenefits-portal/ebenefits.portal
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