

Compliance Surveys

You are here

We are here
to help you
find your way



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

VA Student Population	Records to Review
0 to 99	10
100 to 199	15
200 to 299	20
300 to 399	25
400 to 499	30
500 to 599	35
600 to 699	40
700 or more	45

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

SCO Corrective Action

If the survey specialist requests that you submit corrective action, your corrections will be made on VA ONCE as follows:

The screenshot displays the VA ONCE Cert Complete Submit interface. The top navigation bar includes 'Print' and 'Student' buttons. The main header shows the user's name (BOSS, MICHEAL ANDREW), SSN, File/Payee, Program (BS BIOLOGY), Chapter (33), and Training Type (Undergraduate). The interface is divided into several tabs: Bio, Certs, VA Data, Log, and History. A table lists certificates with columns for Term Name, Status, Facility Code, Begin Date Range, End Date Range, Res, Dist, R/D, Clock, LDA/Eff Date, Facility Code, and Cert ID. The 'Edit Termination' form is open, showing details for a certificate with Term Name 'SPR14', Begin Date '01/27/2014', End Date '03/25/2014', Res '0', Dist '0', R/D '0', Clock '0', and T & F* '44.00'. The form includes fields for 'Other (Explain In Remarks) Reason for Termination' and a 'Modify Remarks List' button. Red circles and blue arrows highlight the 'Other (Explain In Remarks)' field and the 'Modify Remarks List' button.

Term Name	Status	Facility Code	Begin Date Range	End Date Range	Res	Dist	R/D	Clock	LDA/Eff Date	Facility Code	Cert ID
5E SPR14			01/27/2014	03/25/2014	12	0	0	0		31313131	23043180
2 SPR14			01/27/2014	03/25/2014	12	0	0	0	03/06/2014	31313131	
5E SPR14			01/27/2014	03/25/2014	12	0	0	0	03/06/2014	31313131	23043521
5E SPR14			01/27/2014	03/25/2014	16	0	0	0	01/27/2014	31313131	23043521
5E SPR14			01/27/2014	03/25/2014	12	0	0	0	01/27/2014	31313131	23043521

Edit Termination (Save Cancel)

Facility: 31313131 Trng Type: NCD Prgm: CPTBPH Prior Credit: 2

SPR14 01/27/2014 03/25/2014 0 0 0 0 44.00

Term Name Begin Date* End Date* Res Dist* R/D Clock T & F*

Advance Pay Accelerated Pay (high-tech courses only)

02/15/2014 02/15/2014
LDA/EFF Date LD Accrued

Remarks

Other (Explain In Remarks) Reason for Termination

Modify Remarks List

SCO Corrective Action

VA-ONCE Remarks - Windows Internet Explorer

Add **Remove** **Remarks** **Done**

Remark Code	Remark	System Generated
No Records Found		

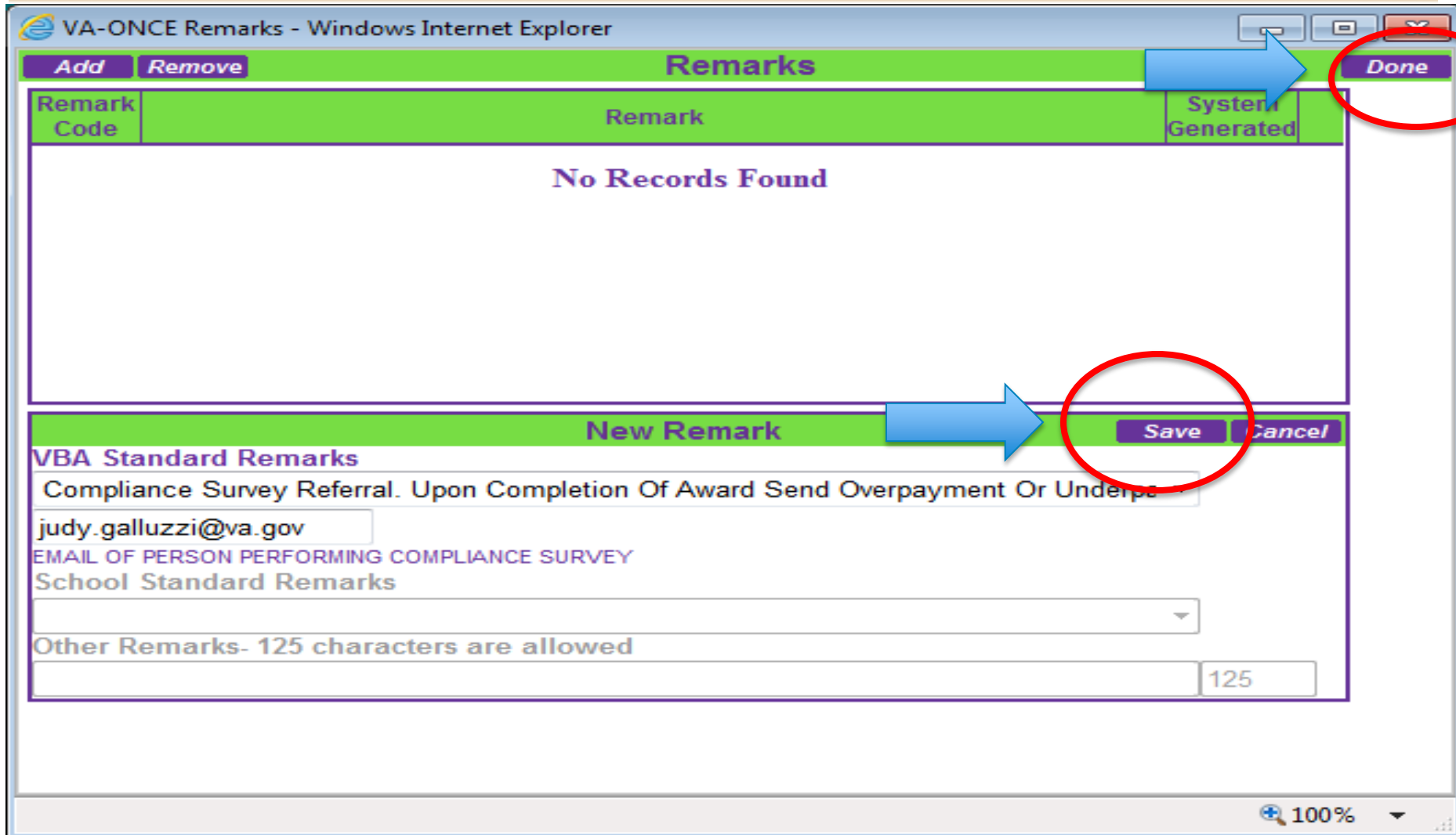
New Remark **Save** **Cancel**

VBA Standard Remarks
Compliance Survey Referral. Upon Completion Of Award Send Overpayment Or Underpa
judy.galluzzi@va.gov
EMAIL OF PERSON PERFORMING COMPLIANCE SURVEY

School Standard Remarks

Other Remarks- 125 characters are allowed 125

100%



SCO Corrective Action

VA-ONCE Certs - Windows Internet Explorer

VA ONCE Cert Complete **Submit** Print Student

Name: BOSS, MICHEAL ANDREW Program: BS BIOLOGY
 Chapter: 33
 Training Type: Undergraduate

Bio Certs VA Data Log History

All All All to Filter

Term Name	Status	Facility Code	Begin Date Range	End Date Range	Res	Dist	R/D	Clock	LDA/Eff Date	Facility Code	Cert ID
SE SPR14			01/27/2014	03/25/2014	12	0	0	0		31313131	23043180
-2 SPR14			01/27/2014	03/25/2014	12	0	0	0	03/06/2014	31313131	
-SE SPR14			01/27/2014	03/25/2014	12	0	0	0	03/06/2014	31313131	23043521
-SE SPR14			01/27/2014	03/25/2014	16	0	0	0	01/27/2014	31313131	23043521
-SE SPR14			01/27/2014	03/25/2014	12	0	0	0	01/27/2014	31313131	23043521

Edit Termination Save Cancel

Facility: 31313131 Trng Type: NCD Prgrm: CRTHPM Prior Credit: 2

SPR14 01/27/2014 03/25/2014 0 0 0 0 44.00

Term Name Begin Date* End Date* Res Dist* R/D Clock T & F*

Advance Pay Accelerated Pay (high-tech courses only)

Other (Explain In Remarks)

Reason for Termination

02/15/2014 02/15/2014
 LDA/EFF Date LD Accrued

Remarks [Modify Remarks List](#)

Compliance Survey Referral. Upon Completion Of Award Send Overpayment Or Underpayment Amou

Tasks Margin Help

100%

School Resources

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

VA School Training & Informa...

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VA » Veterans Benefits Administration » Education and Training » School Training & Information Resources

Education and Training

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](#)

FAQS

? FAQs

+ Submit a Question

Check Your Current Post-9/11 GI Bill Enrollment Status on eBenefits

www.ebenefits.va.gov

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)

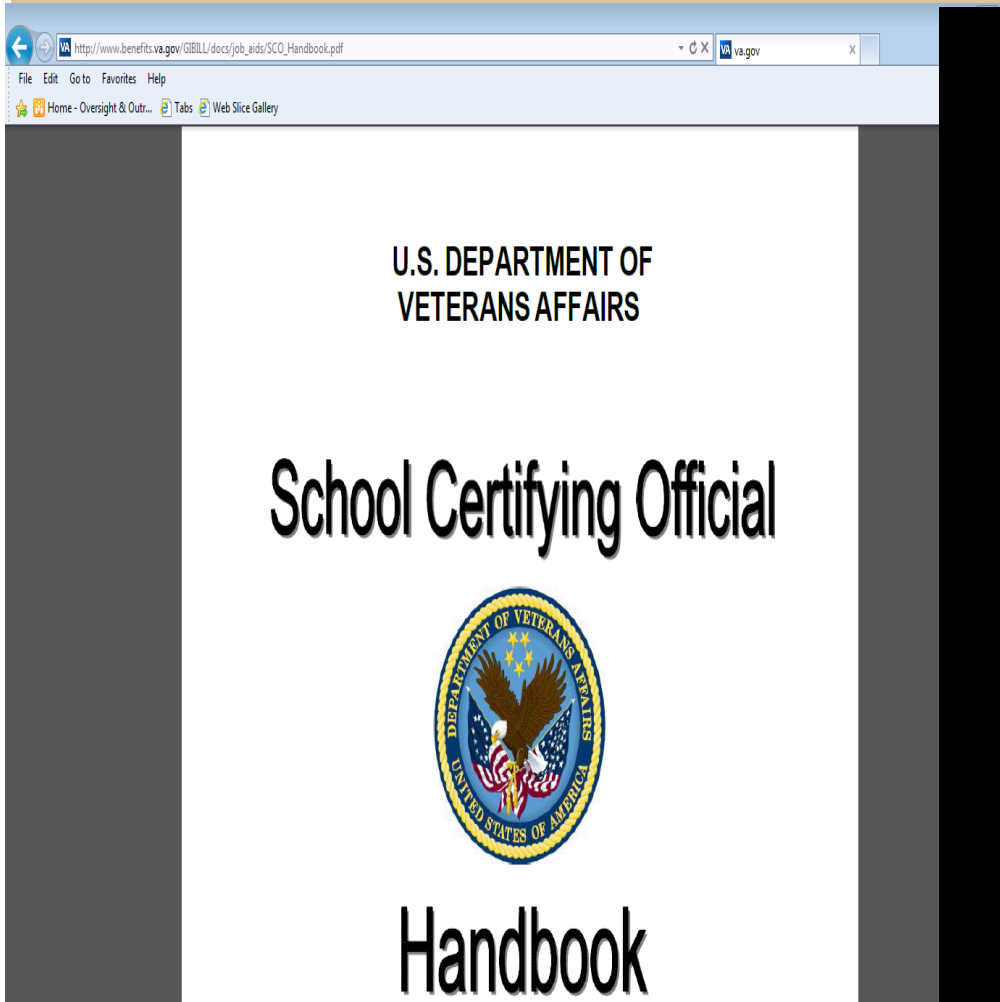
- ❖ Copy of Students application for admission to the school
- ❖ Copies of transcripts from all schools previously attended and your school's transfer evaluation
- ❖ A summary grade report of the student's progress at your facility
- ❖ Copies of degree plans for all certified objectives with all credit 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



VA-ONCE QUICK REFERENCE USER
GUIDE

DESIGNED FOR CERTIFYING OFFICIALS

Version 8, March 2015

School Resources

- ❖ SCO Hotline: 1-855-225-1159
- ❖ FAQs: <https://gibill.custhelp.com/app/answers/list>
- ❖ ELR:
http://www.benefits.va.gov/gibill/resources/education_resources/school_certifying_officials/elr.asp
- ❖ SAA: <http://www.nasaa-vetseducation.com/Contacts.aspx>
- ❖ eBenefits: <https://www.ebenefits.va.gov/ebenefits-portal/ebenefits.portal>

Questions?



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