

Compliance Surveys



VETERANS BENEFITS ADMINISTRATION

October 6, 2015



U.S. Department of Veterans Affairs

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

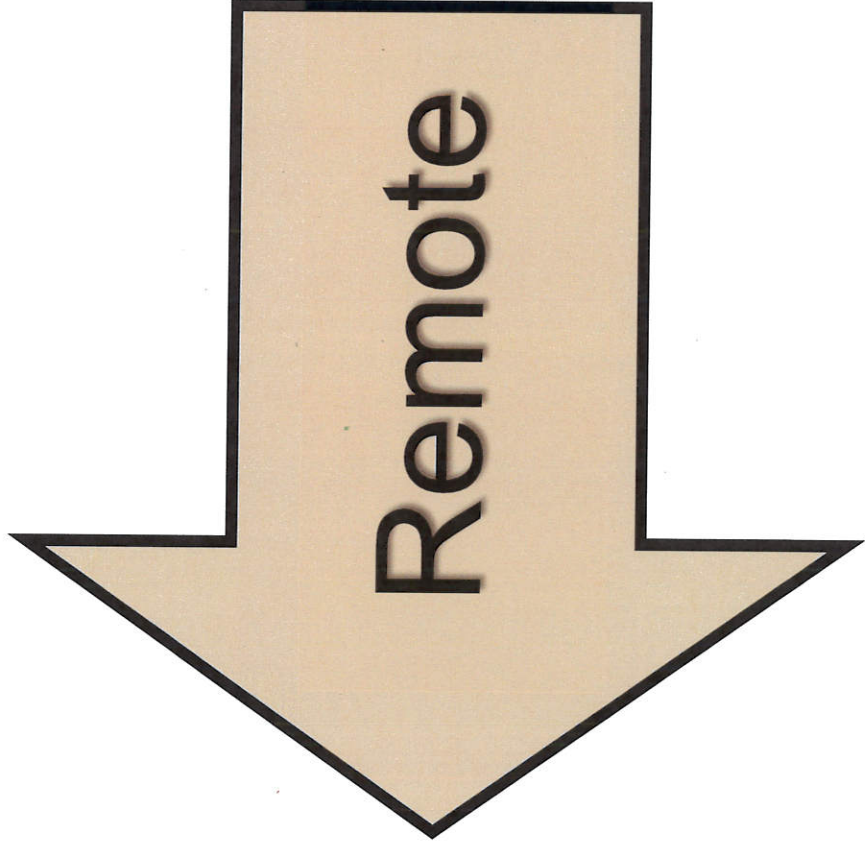
- ❖ Additional Surveys as determined by VA

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



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 system interface. At the top, there are navigation tabs: 'All', 'Bio', 'Certs', 'VA Data', 'Log', and 'History'. The 'Certs' tab is active, showing details for a student named BOSS, MICHAEL ANDREW. Below this, there are several data tables and form sections.

Term	Term Name	Info	Begin Date	End Date	Res	Dist	R/D	Clock	UA/BI	Facility Code	Cert ID
5L	SPR14		01/27/2014	03/25/2014	12	0	0	0	0	31313131	200410100
5M	SPR14		01/27/2014	03/25/2014	12	0	0	0	0	31313131	
5E	SPR14		01/27/2014	03/25/2014	16	0	0	0	0	31313131	23043521
5F	SPR14		01/27/2014	03/25/2014	17	0	0	0	0	31313131	23043521

The 'Edit Termination' form is visible, showing the 'Reason for Termination' dropdown menu set to 'Other (Explain in Remarks)'. A red circle highlights this dropdown, and a blue arrow points to the 'Modify Remarks List' button. The 'Remarks' field is empty.

SCO Corrective Action

VA-CONC 1 Remarks - Windows Internet Explorer

Add **Remove**

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 Underpayment To
judy.galluzzi@va.gov
EMAIL OF PERSON PERFORMING COMPLIANCE SURVEY
School Standard Remarks

Other Remarks. 125 characters are allowed

12/5

100%

School Resources

VA School Training & Information Resources

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 fight schools
- Training

Navigation Menu:

- Home
- Overview
- Benefits
- Education & Training
- For Students
- For School Administrators
- School Resources
- School Training Resources
- About GI Bill
- Contact Us
- Vocational Rehabilitation & Employment
- Home Loans
- Life Insurance
- Pension
- Special Groups

Footer:

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

www.benefits.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

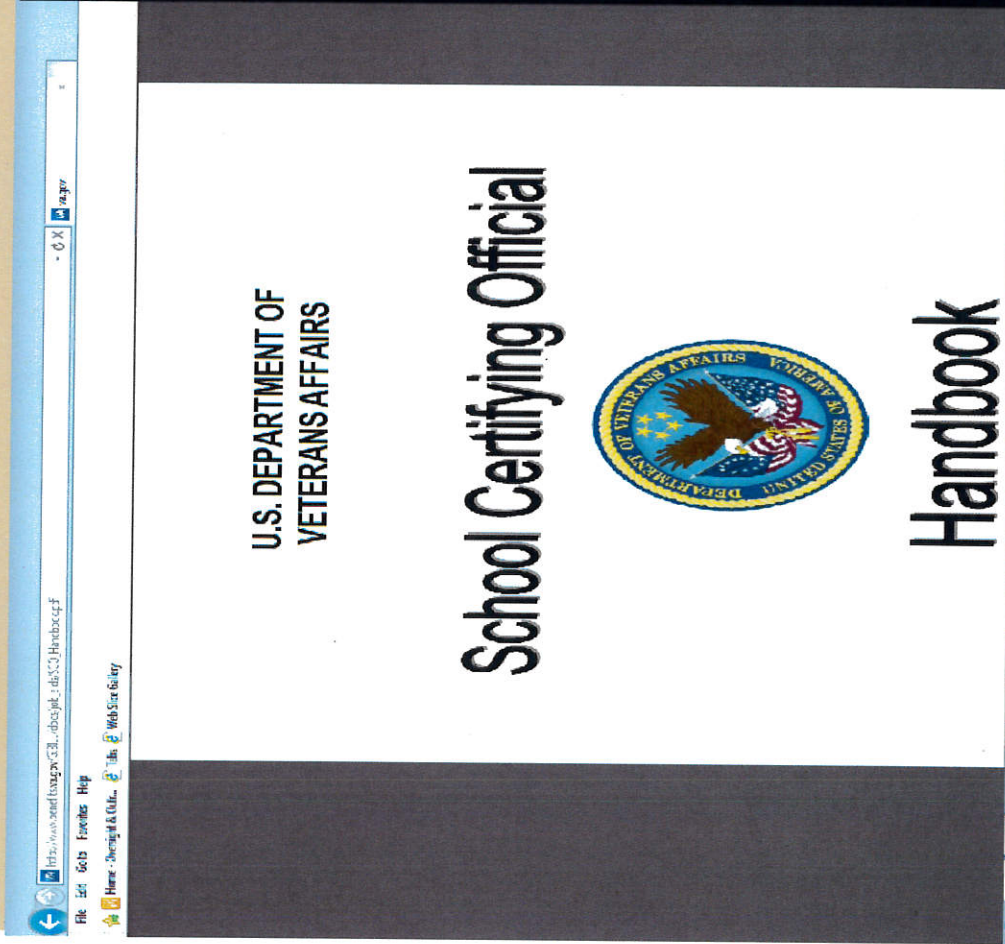
❖ **Other school documentation**
VETERANS BENEFITS ADMINISTRATION

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



U.S. DEPARTMENT OF
VETERANS AFFAIRS

School Certifying Official



Handbook

VETERANS BENEFITS ADMINISTRATION



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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