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>
</tr>
<tr>
<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>
</tr>
<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

On-Site

Remote
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 - \textbf{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

Veterans Benefits Administration
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:
SCO Corrective Action

VA-01NCI Remarks - Windows Internet Explorer

Add Remove

Remain

Remark Code

Remark

System Generated

No Records Found

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

Save Cancel

Done
SCO Corrective Action
School 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 22-6563c 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 officer who has the authority to enter into a contract between the institution and VA.

Launch VA-ONCE

- VA-ONCE quick reference user guide (Version 6.0, March 2015)
- Training on enhancements and improvements in most recent version of VA-ONCE P836 (updated Aug. 4, 2013)
- How-to guide for high schools
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
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

- SCO Hotline: 1-855-225-1159

- FAQs: https://gibill.custhelp.com/app/answers/list


- eBenefits: https://www.ebenefits.va.gov/ebenefits-portal/ebenefits.portal