COMPLIANCE SURVEYS

You are here

We are here to help you find your way

U.S. Department of Veterans Affairs

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	Facility
VA schedules remote and on-site compliance surveys.	The school gathers **copies** of requested records.
Provides names of student records to be surveyed.	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.
Notifies school by mail, telephone and/or email.	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)	Accurate VA Form 1999
Amendments, VA Form 1999	Tuition, Fees, Yellow Ribbon
Adjustments, VA Form 1999b	Program and Objective Codes
Terminations, VA Form 1999b	Number of Hours and Type of Hours
Non College Degree	Chapter of Benefit
Leave of Absence, VA Form 1999b	File and Social Security Number
Graduations, VA form 1999b	**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.)
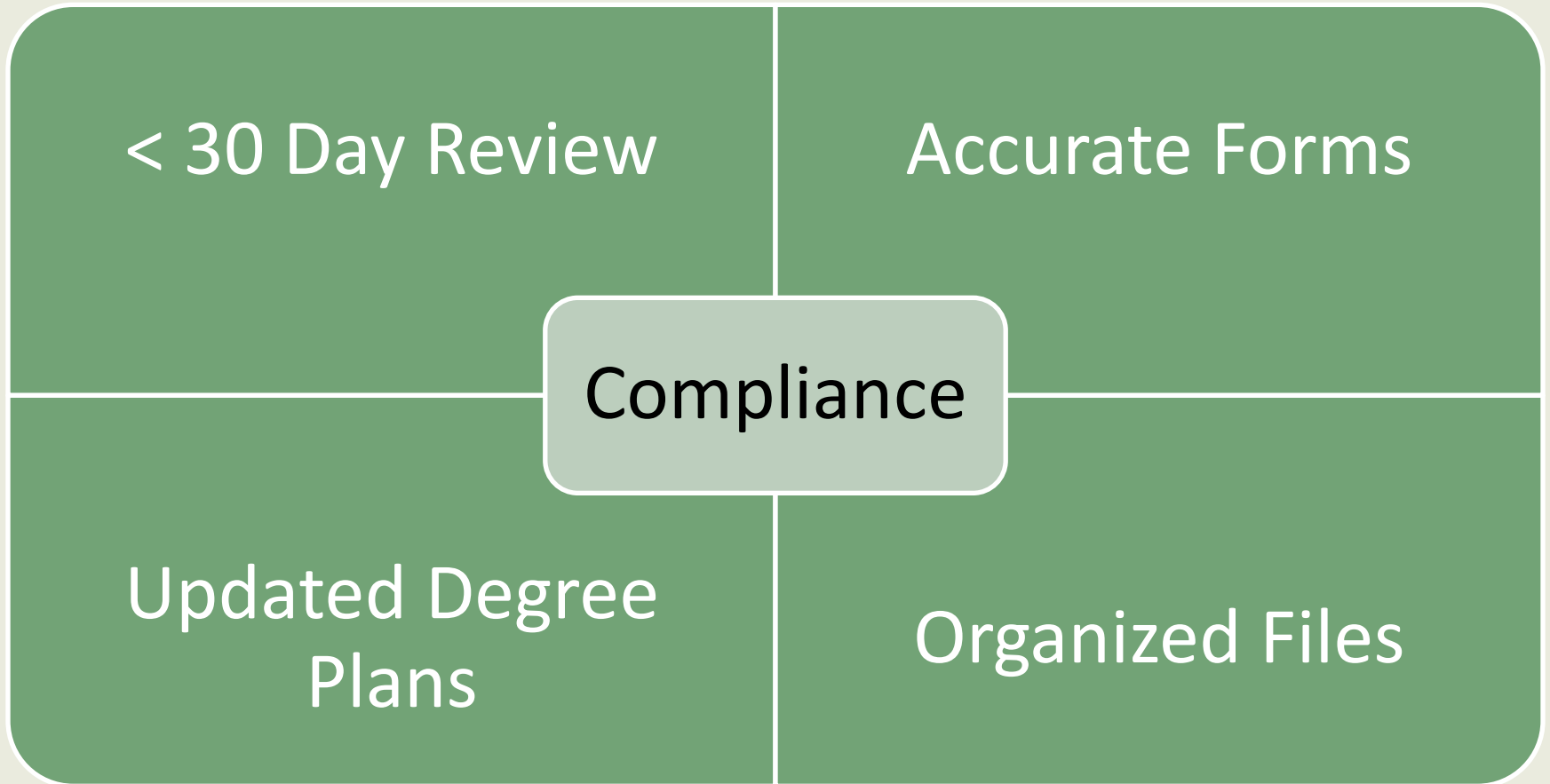
Scholarships

Enrollment Changes

Inappropriate Courses

Exit Interview

Surveyor will discuss each discrepancy with school officials

Recognize School Official's Efforts

Discuss every Discrepancy

Identify/Provide needed Training

Compliance Tips

< 30 Day Review

Accurate Forms

Compliance

Updated Degree Plans

Organized Files

Resources at www.gibill.va.gov

- **SCO Handbook** 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

- **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?