

Compliance Review Checklist

Prior to On-Site Visit

- Receive notice of upcoming Compliance Review and confirm date with Compliance Team.

Review Date _____

- Receive secured sample lists 15 business days before Compliance Review date.
- Ensure Residency/SAP Certification Letter has been sent to the Compliance Team (USG & TCSG Institutions).
- Forward sample lists to appropriate staff to begin collection of required student information:
 - ___ Student's federal financial aid application
 - ___ Student's admission file
 - ___ Citizenship documentation (If applicable)
 - ___ Official hard copy of student's current transcript (front & back)
 - ___ Hard copy (front & back) of academic transcripts from previous institutions
 - ___ Student's disbursement records for all years at institution (preferable format: Excel file)
- Organize files and collected information:
 - ___ Alphabetize by sample list
 - ___ Put all records for each student together
- Gather institutional information:
 - ___ Policies and Procedures Manual for the administration of State Scholarship and Grant programs.
 - ___ Return of Funds Policy
 - ___ Satisfactory Academic Progress Policies (Private/Proprietary Institutions)
 - ___ Institution's Catalog for fiscal year under review
- Prepare appropriate workspace for two (2) Compliance Officers:
 - ___ Provide Two (2) Computers
 - ___ Arrange for access to institution's computer system (Student Database/Imaging System) and sign on passwords (See Memo Notification for BANNER screen access – view only)
 - ___ List of common computer codes used
 - ___ Copy/Printer machine access
- Arrange room for the Entrance and Exit Interviews.

ON-SITE REVIEW

- Ensure that all required information is provided and access to computer systems is granted before Compliance Officers arrive.
- Introduce Compliance Officers to staff who will be involved in the Compliance Review process.
- Explain any special policies or procedures.

- Compliance Officers may ask for additional documentation or clarification. Provide what is readily available.
- Compliance Officers will provide list of students with missing documentation and the type of missing documentation.

The following table is provided for guidance with regard to which documents are reviewed during a State Compliance Review. It is not all-inclusive and does not imply that documentation may be omitted from student files. Every document in student files is subject to review.

Student Status	Documentation Reviewed
Residency	Admissions Application Institutional Financial Aid Application FAFSA GSFAPPS Any State Program Application
Citizenship	Admissions Application Institutional Financial Aid Application FAFSA GSFAPPS Any State Program Application
Selective Service	Selective Service Website Confirmation FAFSA GSFAPPS Any State Program Application
Enrollment Status	Transcript Registration Records
Award Amount	Tuition and Fees Schedule Award Letter Institutional Records
Disbursement of Funds	Business Records Institutional Account Records
Grade Point Average	Institutional Transcript (Including Back) Prior College Transcripts HOPE Academic Eligibility Calculation

POST REVIEW

- Send any missing documentation identified during the on-site Compliance Review to GSFC within 10 Business days of the Compliance Review date.
- Response promptly to requests for additional information or documentation.
- Respond to the Compliance Review Deficiency and Final reports within the designated timeframes.