Brian P. Kemp
GOVERNOR

Georgia Student Finance Commission
Georgia Student Finance Authority
Georgia Higher Education Assistance Corporation
GAfutures.org

Compliance Review Notification

To: **Institutional Officers**

From: **Compliance Team**

Re: **State Scholarship and Grant Program Compliance Review**

As a participant in Georgia's State Scholarship and Grant Programs, your institution is required to maintain complete and accurate records concerning the awarding and disbursement of State Scholarship and Grant Programs funds. Periodic Compliance Reviews are necessary to ensure adherence to program regulations and to identify any training needs the institution may have in administering State Scholarship and Grant programs.

Please reference the information on the following pages to ensure the Compliance Review process goes as smoothly as possible for your institution.

Please visit the Compliance page of the Georgia Student Finance Commission website at *www.gsfc.georgia.gov, Information for Schools, Compliance*, for additional information regarding Compliance Reviews.

Prior to the Compliance Review Date

- **Please send the following information to arrive in the Compliance Department at GSFC no later than 15 days from the date of your institution's Compliance Review Notification Email. We recommend you send this information by a traceable delivery method (i.e. UPS, Fed Ex, DHL, certified USPS, etc.). This information can also be sent via email to complianceteam@gsfc.org.**

    1. A link to current copy of your institution's catalog.
    2. Completed Compliance Review Administrative Questionnaire.
    3. Private and proprietary institutions – a copy of the institution's policy for determining Georgia residency for the purpose of awarding state funds.
    4. Private and proprietary institutions – a copy of the institution's Satisfactory Academic Progress (SAP) policy.
    5. Public institutions – Ensure GSFC has a current year Residency and SAP Certification Letter on file with the Compliance Department by the start of the On-Site Compliance Review.

- **The Compliance Team will provide sample lists of students selected for review at your institution via secured email fifteen (15) business days in advance of the Compliance Review date. *Please contact the Compliance Department if you do not receive your list when expected.***

Institutions Selected For CRRE Compliance Review

- The Entrance and Exit Interviews are combined into a Conference Call that takes place 1 week prior to the institution's scheduled review date.

- The institution receives an Outlook Appointment Invitation the day before the Conference Call with the call-in number.

- An institutional officer from the Registrar, Financial Aid, Business and Admission Offices are asked to participate in the Conference Call.

- The institution will be sent an upload link via email after the Conference Call for the initial transfer of their students' documents through ShareFile. The institution will be able to immediately begin using the link to upload files to ShareFile.

- Organize files to be uploaded first by sample list, then by document type and then by last name. (Example: HOPE Scholarship List, institutional transcripts, last name order)

- The student files are due at 10:00 am on the institution's Compliance Review date.

- The Compliance Team receives a notification from ShareFile each time a file is uploaded from the institution.

Institutions Selected For On-Site Compliance Review

- A representative from each institutional office should be present at the Entrance and Exit Interviews. Each interview should last approximately fifteen (15) minutes.

- Please ensure that all student records from the Admissions, Registrar, Financial Aid and Business Office are available at the beginning of the on-site Compliance Review. Please organize files for the reviewers as follows: Alphabetize by sample list and put all records for each student together.

- Please provide a printer to be able to print information from the student information system and the imaging system.

- Please provide adequate workspace for two (2) Compliance Officers (*preferably two (2) offices or a conference room)* which must be safely secured.

- Please provide access to a copier.

- Access to your institution's student information system and instructions for accessing pertinent screens must be available at the beginning of the on-site Compliance Review via 2 institutional computers. A separate login ID with "View only" or "Auditor" access for two (2) Compliance Officers is requested.

Types of Files Requested

State Scholarship or Grant awards from ALL fiscal years for each student in the sample are subject to review. **The types of records to be reviewed include but are not limited to the following.**

1. Students' state and/or federal financial aid applications.
2. Students' admission applications. *
3. Institution's current official transcripts for each student. No audit or evaluation transcript. *
4. One copy of back of institution's official transcript (Key/Transcript Guide). *
5. Academic transcripts from previous institutions for each student, back and front. *
6. Students' complete disbursement/transaction records from the Business Office ***for all years the student was awarded State funds, preferably in an electronic format (Banner schools may use the TSRSSUM report available from the OIIT website in the USER GUIDE-Student Accounts Receivable Reports). If an electronic format is not possible, please provide a PDF report that includes all years the student was awarded State funds.***
7. Citizenship documentation, if applicable.

   * Please provide printed copies for on-site Compliance Reviews. Institutional transcripts may be printed on plain white paper.

Note: For institutions using Banner, listed below are the screens typically needed during a Compliance Review. Additional screens may be required depending on which screens are used by the institution.

Banner Screens

RHACOMM -   Comment Screen
RNANA## -   Financial Aid office Screen (## denotes the ISIR transaction year used to award, access required for each aid year)
RNIMS##-   FAO ISAR C Flags detail screen
ROASTAT -   SAP determination and aid restriction
RPAARSC -   Scholarship information
RPAAWRD -   FAO awarding screen (will need access for each aid year)
RRAAREQ -   FAO document screen (will need access for each aid year)
SAAADMS -   Admission screen (Citizenship screen at the time of application to the institution)
SGASTDN -   Admission screen (Citizenship screen at the time of acceptance to the institution/current status)
SFAREGQ -   Registrar screen
SFAREGS -   Registrar screen
SHACRSE -   Registrar screen
SHATERM -   Institutional / HOPE GPA / Adjusted GPA
SOAHSCH -   High school information: in state / out of state information
SPAIDEN -   Updated student information: Name, SSN, change
TSAAREV -   Student account transaction screen (will need entire account transaction & hold release code)
ZHAHOPE –   HOPE Calculation
ROAUSDF –   HOPE Calculation (if used by institution)
ZHATERM –   Transfer information
ZOASAPR –   SAP information
ZRAGRNT –   HOPE Grant GPA

We appreciate the cooperation you are extending to us and anticipate that you will find the review to be helpful in the administration of the State Scholarship and Grant Programs at your institution. If you have any questions or concerns, please contact the Compliance Team at 770.724.9136 or complianceteam@gsfc.org. Thank you for your cooperation.