Compliance Review Checklist

Prior to Compliance Review Date

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

☐ Receive Notification and 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 copy of student's current transcript (front & back)
___Copy (front & back) of academic transcripts from previous institutions
___Student's disbursement records for all years and all types of aid (state, federal, internal
and external scholarships) at institution (preferable format: Excel file)
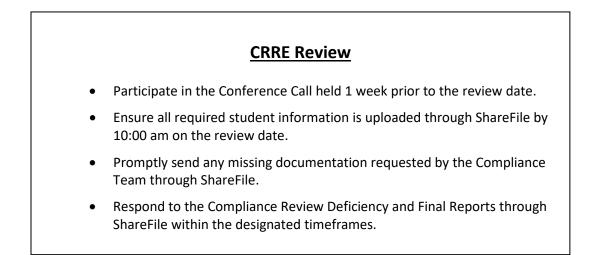
Organize files and collected information

CRRE Review
Organize files to be uploaded by:
___ Sample list
___ Document type
___ Last name

Gather institutional information:

___Satisfactory Academic Progress Policies (Private/Proprietary Institutions)
___Link to institution's catalog for fiscal year under review and archived catalogs

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CRRE Review

- Participate in the Conference Call held 1 week prior to the review date.

- Ensure all required student information is uploaded through ShareFile by 10:00 am on the review date.

- Promptly send any missing documentation requested by the Compliance Team through ShareFile.

- Respond to the Compliance Review Deficiency and Final Reports through ShareFile within the designated timeframes.

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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
Disbursement of Funds	Business Records Institutional Account Records
Grade Point Average	Institutional Transcript (Including Back) Prior College Transcripts (Including Back) HOPE Academic Eligibility Calculation CHECS Records