Compliance Review Checklist

Prior to Compliance Review Date

☐ 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

On-Site Review
Organize files for reviewers:
___Alphabetize by sample list
___Put all records for each student
   together

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

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

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.

- Send any missing documentation identified during the on-site Compliance Review to GSFC within 10 Business days of the Compliance Review date.

- Respond promptly to requests for additional information or documentation.

- Respond to the Compliance Review Deficiency and Final reports within the designated timeframes.

CRRE Review

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

- Ensure all required student information is uploaded through ShareFile.

- 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.

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