

# Compliance Review Checklist

## Prior to Compliance Review Date

- Receive notice of upcoming Compliance Review and confirm date with Compliance Team.
- 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 (Required for USG & TCSG Institutions).
- Forward sample lists to appropriate staff to begin collection of required student information:
  1. Student's federal financial aid application.
  2. Student's admission file.
  3. Citizenship documentation (If applicable).
  4. Official copy of student's current transcript from your institution (front & back).
  5. Academic transcripts from previous institutions (front & back).
  6. Student's disbursement records for all years and all types of aid (state, federal, internal and external scholarships) at your institution (preferable format: Excel file). If your institution uses Banner, you can use the TSRSSUM report.
  7. **Special Note for Completion Grant Sample Student's disbursement records:** Please provide a disbursement report with a running balance for all years and all types of aid (state, federal, internal and external scholarships) at your institution. If your institution uses Banner, the TSRTSUM report in Banner will provide a running balance.
  8. National Student Clearinghouse enrollment verification for Georgia College Completion Grant sample students.

## Organize files and collected information

Organize student files first by sample list, then by document type, then alphabetically by last name.

### **For example:**

1. One file would contain admission applications in last name order for the HOPE Scholarship Sample List.
2. A separate file would contain the institutional transcripts in last name order for the HOPE Scholarship Sample List.

## Gather institutional information:

- Satisfactory Academic Progress Policies (Private/Proprietary Institutions).
- Link to institution's catalog for fiscal year under review as well as links to archived catalogs.

### Compliance Review Process

- Participate in the Teams Meeting 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 upload 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 provides guidance on the types of documents that are reviewed during a 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.*

<b>Student Status</b>	<b>Documentation Reviewed</b>
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