



Compliance Review Administrative Questionnaire

The following items must be forwarded to GSFC within fifteen (15) days of receipt:

1. Completed Compliance Review Administrative Questionnaire
2. School Catalog & Student Handbook (for the academic year being reviewed)
3. Current Financial Aid Policies & Procedures (including: refund policy, SAP policy (Private/Proprietary institutions), verification procedures, the school's definition of an academic year)

Please forward the above information to:
GSFC – Compliance Department
2082 East Exchange Place
Tucker, GA 30084

The institution's policy and procedure manual pertaining to administration of state programs must be available at the time of the review.

Institution Name: _____

Fiscal Year: _____

Please list the following key personnel, including their phone number and email address:

President:	_____		
	Name	Email	Phone #
Director of Financial Aid:	_____		
	Name	Email	Phone #
Registrar:	_____		
	Name	Email	Phone #
Director of Admissions:	_____		
	Name	Email	Phone #
Bursar/Student Accounts:	_____		
	Name	Email	Phone #
Please list a main contact person for this review			

	Name	Email	Direct Phone #
Please list a secondary contact person for this review			

	Name	Email	Direct Phone #

1. Which Student Information System does your institution use?
2. Does your institution use an imaging system? _____Yes _____No

If "Yes, please answer the following questions.

When did your institution begin imaging student files?

Does your institution have any student files not imaged (paper files)?

Please list years not imaged.

3. Please list each office responsible for student files and which student files they are responsible for in your institution. Please list the person responsible for the student files in each office.

Office	Type of File	Person Responsible for Files
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

4. Please advise as to the method you will provide to allow the Compliance Team access to your Student Information System:

_____ Submitting a secured password protected disk with the password sent under separate cover to the Compliance Team via email, or

_____ Providing 48 hours "view only" **remote** access to your institution's student information system. Access should be via a secured internet site. Please contact us, your institution's Database Administrator and any other authorizing entity to make arrangements for remote access, or

_____ Utilizing OIIT's GSFC Auditing Toolkit (**USG institutions only**). Go to (<https://www.usg.edu/banner/>). Click on "Banner/GaBEST 7.x", then "7.x GaBEST Documentation", then move right to select "User Documentation". Look for GSFC Auditing Toolkit under the "Financial Aid" section.

5. Please confirm that the Residency/SAP Certification Letter has been sent to the Compliance Team (**BOR and TCSG institutions only**):

_____Yes

_____No

For all of the following questions, please make a notation if any of the information was different during the fiscal year under review.

Financial Aid Office Policies and Procedures:

1. What Financial Aid Management software does your office use?

Registrar's Office Policies and Procedures:

1. When was the Drop/Add period for the Summer, Fall, and Spring terms of the year under review?
2. Who determines the withdrawal date? And how is financial aid notified when a student withdraws?
3. How are incomplete courses listed on the academic transcript?
4. What is the institutional policy on transfer credits? Are all courses accepted with grades, only some, with or without grades, etc.?
5. Does this office calculate HOPE GPAs?

Business Office/Bursar Policies and Procedures

1. When and by what means are Book Allowances issued?
2. How do you collect authorization to apply Book Allowance funds to other charges?
3. What steps do you go through to complete Term- and Year-end Reconciliation?
4. What is your policy for un-cashed refund checks?
5. What is the Institutional Tuition Refund Policy?
6. What are the rules in the student system that makes sure aid is not disbursed to an ineligible student? Who updates and tests those rules?