NASFAA’s Compliance Engine

GREG GEARHART, DIRECTOR OF FINANCIAL AID, MESSIAH COLLEGE
TIFFANY GIBBS, COMPLIANCE PRODUCTS MANAGER, NASFAA
Self-Evaluation Checklists
Intended Uses of the Self-Evaluation Checklists

Self-audit tool to help prepare for outside audits and program reviews;

Develop a profile of financial aid operations for affirmation and/or revision of institutional policies, office procedures, and administrative controls;

Document the need for an operating budget, staffing, and/or physical accommodations commensurate with the size and scope of the institution's financial aid programs;

Train new staff and enhance the skills and knowledge of current staff;

Assist in the preparation of reports;

Serve as an outline for periodic checks of financial aid operations to determine progress being made in plans for improvement; and

Provide an outline of information to be included in the financial aid and/or institutional policies and procedures manuals.
Unsafe where to start?
Choose compliance goals below to view applicable checklists.

WHAT WOULD YOU LIKE TO DO?

- Assess our administrative capability
- Evaluate our federal grant programs
- Evaluate our federal loan programs
- Evaluate our campus-based programs
- Assess student eligibility requirements
- Assess needs of special populations
- Review supporting compliance-related materials

Search and Browse Checklists

Keyword:

- Include User-Entered Content
- Include Archived Content

SEARCH CHECKLISTS
Choose Checklists According to Goals

Unsure where to start?

Choose compliance goals below to view applicable checklists.

WHAT WOULD YOU LIKE TO DO?

- [ ] Assess our administrative capability
- [ ] Evaluate our federal grant programs
- [ ] Evaluate our federal loan programs
- [ ] Evaluate our campus-based programs
- [ ] Assess student eligibility requirements
- [ ] Assess needs of special populations
- [ ] Review supporting compliance-related materials

GET STARTED
Any Saved Checklists will show first

Followed by any New Checklists

Welcome, Tiffany

Search Results

Enter a term to search saved and new checklists and if selected, user-entered content. You may wish to make your search term specific to limit results.

Satisfactory Academic Progress

13 Results
Sorted by: Checklist Name | Date Created

My Saved Checklists

Your search term appears in the following checklists. Select an item to work within that existing checklist, or review checklists managed by your colleagues.

Keyword: Satisfactory Academic Progress

13 Results
Sorted by: Checklist Name | Date Created

New Checklists

Enter a term to search template and, if selected, user-entered content. You may wish to make your search term specific to limit results.

Federal Direct Student Loan Program - 2017-18 April 2018
Tab: Loan Limits
Item: Direct Loans - VI.L.
Satisfactory Academic Progress - 2018-19

Note: Periodically, exceptions to or waivers of certain statutory and regulatory requirements are granted due to national emergencies and/or federally declared disasters. Information regarding exceptions/waivers for the 2018-19 award year may be found in the Checklist Instructions.

Contents | General | Pace of Progression and Transfer Credits | Review of SAP After Each Payment Period | Review of SAP Annually

General

Pace of Progression and Transfer Credits

Review of SAP After Each Payment Period

Note: Institutions that review SAP less frequently than after each payment period should skip this section.

Review of SAP Annually

Note: Institutions that completed the section, “Review of SAP After Each Payment Period” should skip this section.

Schools That Do Not Allow Appeals, Students Who Do Not Appeal, and Students Whose Appeals Have Been Denied

PROCEED
## Direct Links to Compiled Regulations and Other Resources

### RESOURCES

<table>
<thead>
<tr>
<th>ITEM</th>
<th>668.16(e) 668.42(c)(2)</th>
</tr>
</thead>
<tbody>
<tr>
<td>668.34(a)(1) 2018-19 FSA Handbook, Vol. 1, Ch. 1</td>
<td></td>
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**A. Does the school have a financial aid satisfactory academic progress (SAP) policy that it publishes and makes readily available to current and prospective students?**

- Responsible Office: [Enter Responsible Office]
- DUE DATE: [Enter DUE DATE]
- COMPLETE?: [Enter COMPLETE]
- RESPONSE: [Yes] [No]

**Updated item since previous version**

**B. Is the financial aid SAP policy the same as or stricter than the school's academic progress policy for non-Title IV recipients?**

- Responsible Office: [Enter Responsible Office]
- DUE DATE: [Enter DUE DATE]
- COMPLETE?: [Enter COMPLETE]
- RESPONSE: [Yes] [No]
Satisfactory Academic Progress - 2018-19

Note Appropriate Office

Not an Assignment

<table>
<thead>
<tr>
<th>Responsible Office</th>
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<tbody>
<tr>
<td>Responsible Office</td>
<td>○ Yes</td>
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A. Does the school have a financial aid satisfactory academic progress (SAP) policy that it publishes and makes readily available to current and prospective students? Add Comments

B. Is the financial aid SAP policy the same as or stricter than the school's academic progress policy for non-Title IV recipients? Add Comments

Updated item since previous version

October 7-9, 2019

PASFAA 2019 – HARVESTING KNOWLEDGE
### Satisfactory Academic Progress - 2018-19

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**Pace of Progression and Transfer Credits**

- A. Does the school have a financial aid satisfactory academic progress (SAP) policy that it publishes and makes readily available to current and prospective students?  
  
  - [Add Comments](#)

**Review of SAP After Each Payment Period**

- B. Is the financial aid SAP policy the same as or stricter than the school's academic progress policy for non-Title IV recipients?  
  
  - [Add Comments](#)

**RESPONSIBLE OFFICE**

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**Update item since previous version**

- [Add Comments](#)
What Do the Responses Mean?

A "yes" response to a question indicates the institution is meeting the requirement or standard presented;

A "no" response means some follow-up action is necessary to ensure the requirement is met;

A "n/a" response should be used whenever the question is not applicable to the institution (e.g., the institution may not be participating in all of the Title IV programs); and

Comments or explanations of certain responses may be provided in the space available with each individual item.
## Satisfactory Academic Progress - 2018-19

### View/Add Assignments Comments

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**October 7-9, 2019**

**PASFAA 2019 – HARVESTING KNOWLEDGE**
Assign Items for: Satisfactory Academic Progress - 2018-19: General

Individuals you can assign tasks to are listed below. Primary contacts can visit the myNASFAA area of the NASFAA website to adjust the roster.

Assign Tab  Assign Entire Checklist

ASSIGN TO

Comments/Instructions

Due Date

ASSIGN

An email notification will be sent immediately to the assignee.

Assign Individual Checklist Items or Unassign Items

Promote Interdepartmental collaboration.

Assign to individuals in your organization
Assign individual items, tabs or entire checklist (all tabs)
Set due date
Include message if desired
Assignments emailed to users
View Your Checklists

- Checklists you started
- Checklists assigned to you
- Print Checklist data
Unsure where to start?
Choose compliance goals below to view applicable checklists.

WHAT WOULD YOU LIKE TO DO?
- Assess our administrative capability
- Evaluate our federal grant programs
- Evaluate our federal loan programs
- Evaluate our campus-based programs
- Assess student eligibility requirements
- Assess needs of special populations
- Review supporting compliance-related materials

Search and Display Checklists

Keyword:

_include User-Entered Content
- Include Archived Content

SEARCH CHECKLISTS

• Checklists you assigned
• Checklists assigned to you
• Print assignments info
Screenshare
Policies and Procedures
Builder
Intended Uses of the P&P Builder

Creation of a complete policies and procedures manual

- Document institutional policies for tasks related to the administration of aid programs
- Document institutional procedures for tasks related to the administration of different aid programs
- Ensure policies and procedures align with federal statute and regulations
Create Policies and Procedures Manuals
Start A New Manual

When naming your manual, we suggest including the academic year in your manual name, such as “University of School's 2016-17 Policies & Procedures.” Proceed to enter your manual content. After you've selected “Save” or “Save and Proceed” in any section, your manual will be available in your My Manuals dashboard. Once saved, P&P manual components can be assigned to staff on your institution/organization roster and, across departments. We welcome your feedback and suggestions via the Compliance Engine Feedback Form.

NASFAA is pleased to offer an option for schools that want help with this work from experienced professionals. Financial Aid Services (FAS), NASFAA's preferred provider for P&P conversions, has tenured consultants with deep financial aid knowledge who can do the heavy lifting for you.

Enter a custom name for your institution’s Policies & Procedures Manual:

Custom Name

- Limit access of this manual to owner and assignees, only. Other users in your organization will not be able to view this item, but the manual will still appear in organization lists. Owners and Primary Contacts are able to transfer ownership of items with this setting.
- Allow anyone from my organization read-only access to this manual. Owner and assignees can make changes, owners and Primary Contacts can transfer ownership.

CREATE A NEW MANUAL
Start A New Manual

When naming your manual, we suggest including the academic year in your manual name, such as “University of School’s 2016-17 Policies & Procedures.” Proceed to enter your manual content. After you’ve selected “Save” or “Save and Proceed” in any section, your manual will be available in your My Manuals dashboard. Once saved, P&P manual components can be assigned to staff on your institution/organization roster and, across departments. We welcome your feedback and suggestions via the Compliance Engine Feedback Form.

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CREATE A NEW MANUAL
### 4.1 PRIVATE EDUCATION LOAN POLICIES

**Updated item or resource from last year's version.**

If the institution or any of its institution-affiliated organizations provides information regarding a private education loan from a lender to a prospective borrower, the institution or institution-affiliated organization also must provide the following disclosures regardless of whether a preferred-lender arrangement exists:

- Information required under section 1238(e)(1) of the Truth in Lending Act (TILA) for private education loans
- The borrower may qualify for loans or other assistance under Title IV programs
- The terms and conditions of loans under the Title IV programs may be more favorable than those of private education loans

The financial aid office staff should be aware of institutional policies and practices for providing information about private academic office, and institution-affiliated institution’s policies for providing information.
If the institution or any of its institution-affiliated organizations provides information regarding a private education loan from a lender to a prospective borrower, the institution or institution-affiliated organization also must provide the following disclosures regardless of whether a preferred-lender arrangement exists:

- Information required under §1238(e)(1) of the Truth in Lending Act (TILA) for private education loans
- The borrower may qualify for loans or other assistance under Title IV programs
- The terms and conditions of loans under the Title IV programs may be more favorable than those of private education loans

The financial aid office staff should be aware of institutional policies and practices for providing information about private education information prospective borrowers. Identify any administrative office, academic office, and institution-affiliated organization that provide information about loans to prospective borrowers.

Explain how institutional offices and institution-affiliated organizations are made aware of the disclosure requirements. Describe procedures for making the required disclosures, when they must be made, and in what format. Identify who is responsible for ensuring the information about private education loans is presented distinctly from information about Title IV loans, monitoring any change in the disclosure requirements, updating the disclosure information as needed, and making the disclosure information available to each institutional office and institution-affiliated organization. If another office is responsible, you may want to cross-reference that office’s policies and procedures.
4.1 PRIVATE EDUCATION LOAN DISCLOSURES

Policies

Updated item or resource from last year’s version.

If the institution or any of its institution-affiliated organizations provides information regarding a private education loan from a lender to a prospective borrower, the institution or institution-affiliated organization also must provide the following disclosures regardless of whether a preferred-lender arrangement exists:

- Information required under section 1238(e)(1) of the Truth in Lending Act (TILA) for private education loans
- The borrower may qualify for loans or other assistance under Title IV programs
- The terms and conditions of loans under the Title IV programs may be more favorable than those of private education loans

The financial aid office staff should be aware of institutional policies and practices for providing information about private education loans, including those from academic offices, and institution-affiliated organizations. Institutions' policies for providing information about private education loans.
4.1 PRIVATE EDUCATION LOAN DISCLOSURES

Policies

*Updated item or resource from last year’s version.*

If the institution or any of its institution-affiliated organizations provides information regarding a private education loan from a lender to a prospective borrower, the institution or institution-affiliated organization also must provide the following disclosures regardless of whether a preferred-lender arrangement exists:

- Information required under section 1238(e)(1) of the Truth in Lending Act (TILA) for private education loans
- The borrower may qualify for loans or other assistance under Title IV programs
- The terms and conditions of loans under the Title IV programs may be more favorable than those of private education loans

The financial aid office staff should be aware of institutional policies and practices for providing information about private loans. Academic office, and institution-affiliated institution’s policies for providing information about private education loans.
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<td>Resources</td>
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Assign items to others
Assign Items for: XYZ University 2019-20:
Section 4: Institutional Requirements Relating to Educational Loans

Individuals you can assign tasks to are listed below. Primary contacts can visit the myNASFAA area of the NASFAA website to adjust the roster.

- Assign Section  •  Assign Entire Manual

ASSIGN TO

Comments/Instructions

Due Date

ASSIGN  An email notification will be sent
Immediately to the assignee.

Assign Individual P&P Items or Unassign Items

Close
Self-Evaluation Checklist Module = Free member benefit!

P&P Builder = $99 or Included with Value Plus Membership!
Request a Demonstration of the P&P Builder