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;

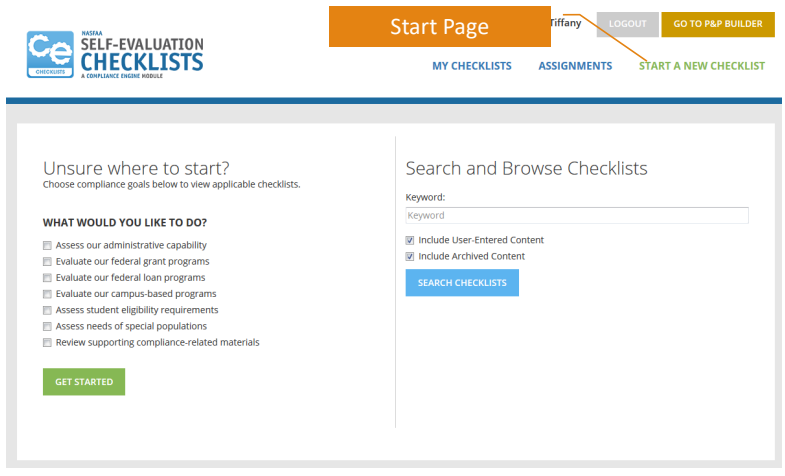
Document the need for an operating budget, staffing, and/or physical accommodations commensurate with the size and scope of the institution's financial aid programs;

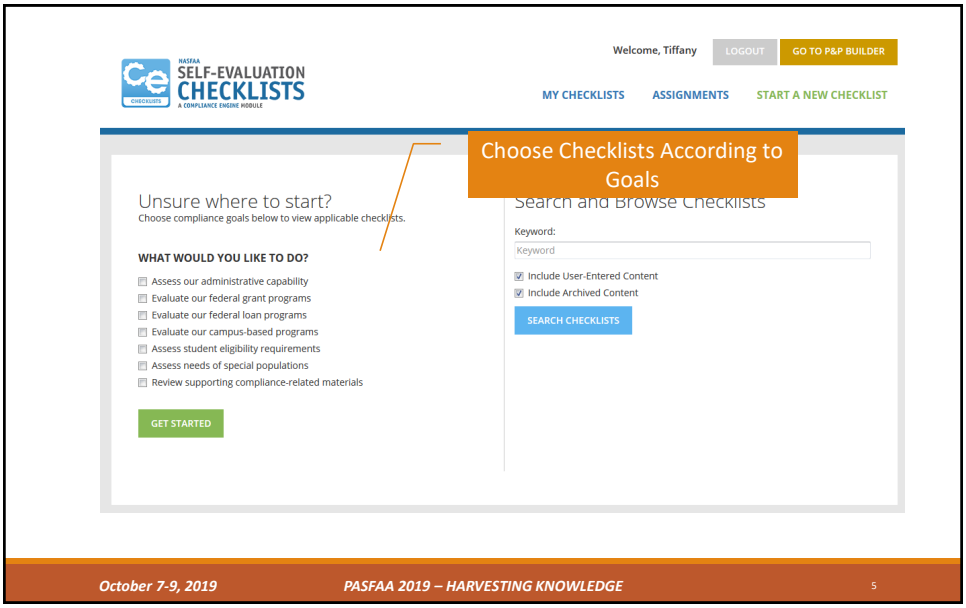
Train new staff and enhance the skills and knowledge of current staff;

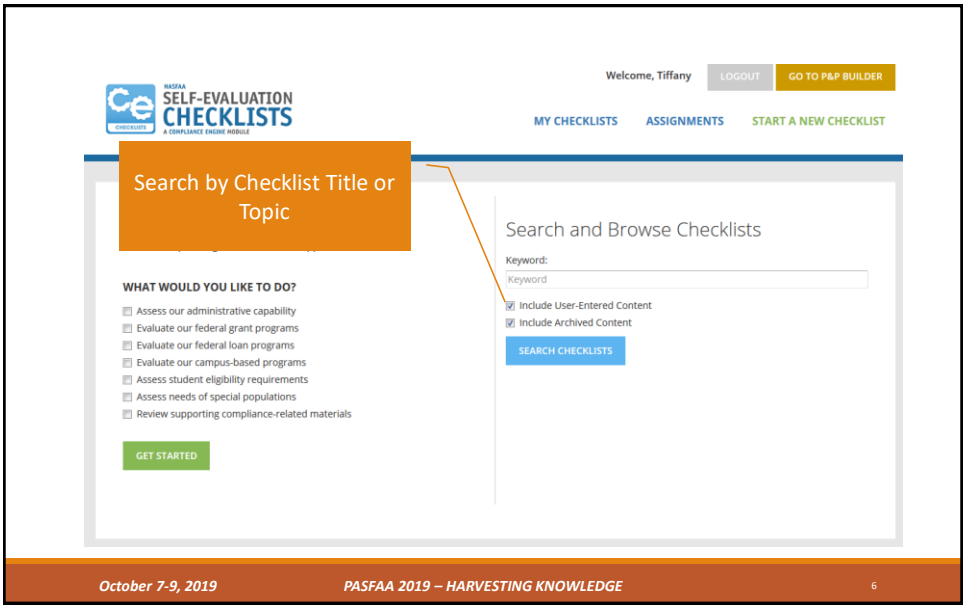
Assist in the preparation of reports;

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.




NASFAA
SELF-EVALUATION
CHECKLISTS
A COMPLIANCE ENGINE MODULE
Welcome, Tiffany
LOGOUT
GO TO P&P BUILDER
MY CHECKLISTS
ASSIGNMENTS
START A NEW CHECKLIST
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
Search and Browse Checklists
Keyword:
Keyword
Include User-Entered Content
Include Archived Content
SEARCH CHECKLISTS


NASFAA
SELF-EVALUATION
CHECKLISTS
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Welcome, Tiffany
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GO TO P&P BUILDER
MY CHECKLISTS
ASSIGNMENTS
START A NEW CHECKLIST
Search by Checklist Title or Topic
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Include Archived Content
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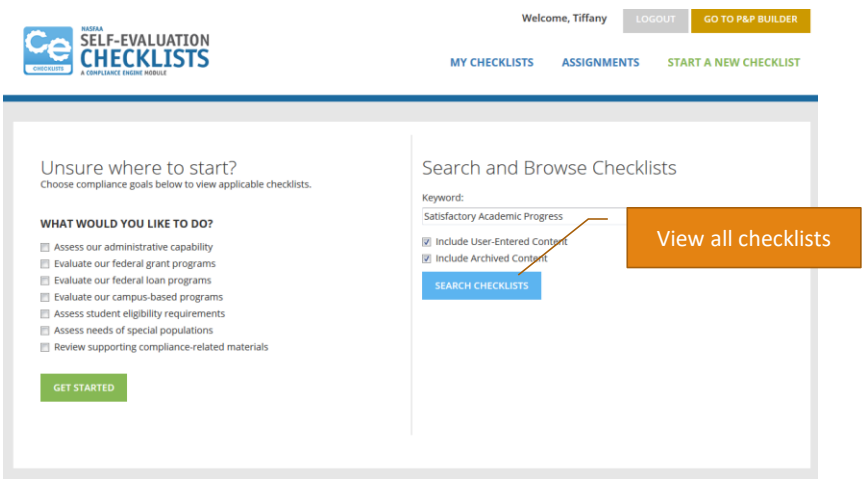
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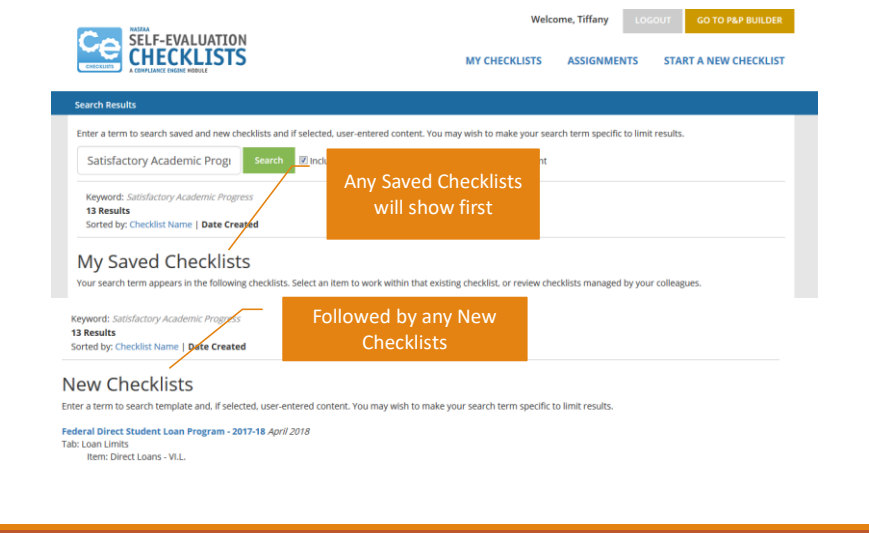
Review supporting compliance-related materials
GET STARTED
Search and Browse Checklists
Keyword:
Satisfactory Academic Progress
Include User-Entered Content
Include Archived Content
SEARCH CHECKLISTS
View all checklists


NASFAA
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CHECKLISTS
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Welcome, Tiffany
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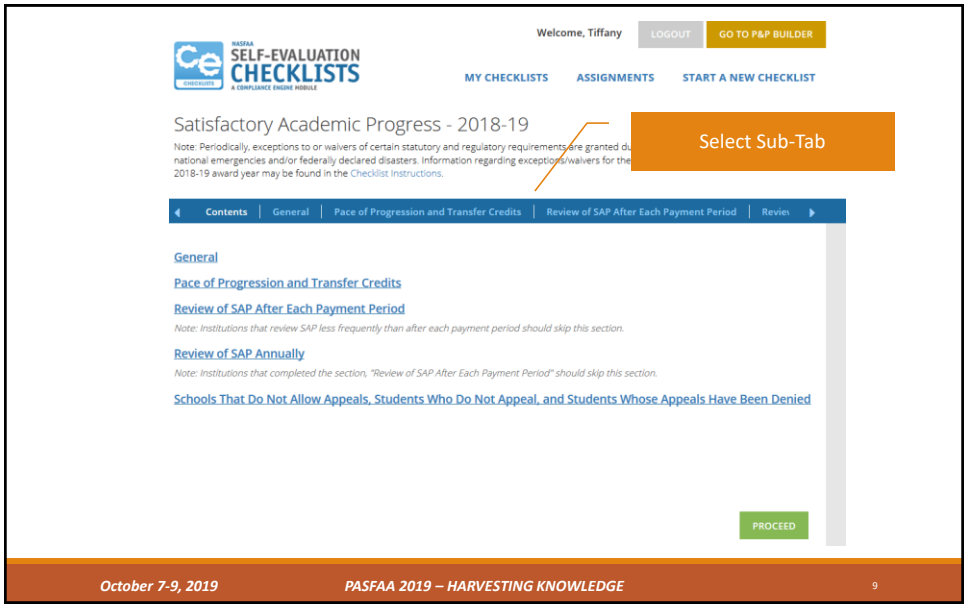
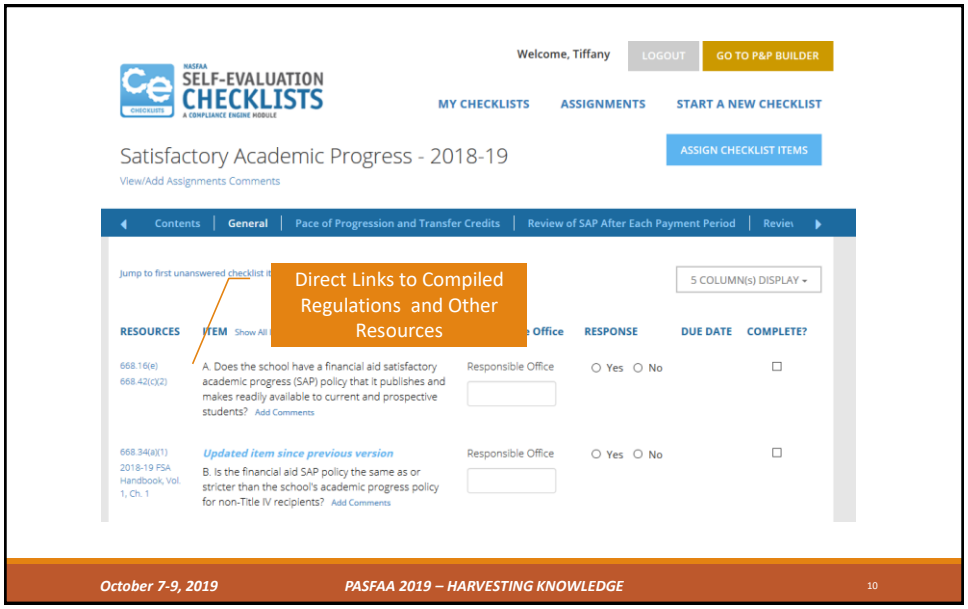
MY CHECKLISTS
ASSIGNMENTS
START A NEW CHECKLIST
Search Results
Enter a term to search saved and new checklists and if selected, user-entered content. You may wish to make your search term specific to limit results.
Satisfactory Academic Progı
Search
Keyword: Satisfactory Academic Progress
13 Results
Sorted by: Checklist Name | Date Created
Any Saved Checklists will show first
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
Followed by any New Checklists
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.


Welcome, Tiffany
LOGOUT
GO TO P&P BUILDER
NASFAA SELF-EVALUATION CHECKLISTS
A COMPLIANCE ENGINE MODULE
MY CHECKLISTS
ASSIGNMENTS
START A NEW CHECKLIST
Satisfactory Academic Progress - 2018-19
Note: Periodically, exceptions to or waivers of certain statutory and regulatory requirements are granted du
national emergencies and/or federally declared disasters. Information regarding exceptions/waivers for the
2018-19 award year may be found in the Checklist Instructions.
Select Sub-Tab
Contents | General | Pace of Progression and Transfer Credits | Review of SAP After Each Payment Period | Revie
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


Welcome, Tiffany
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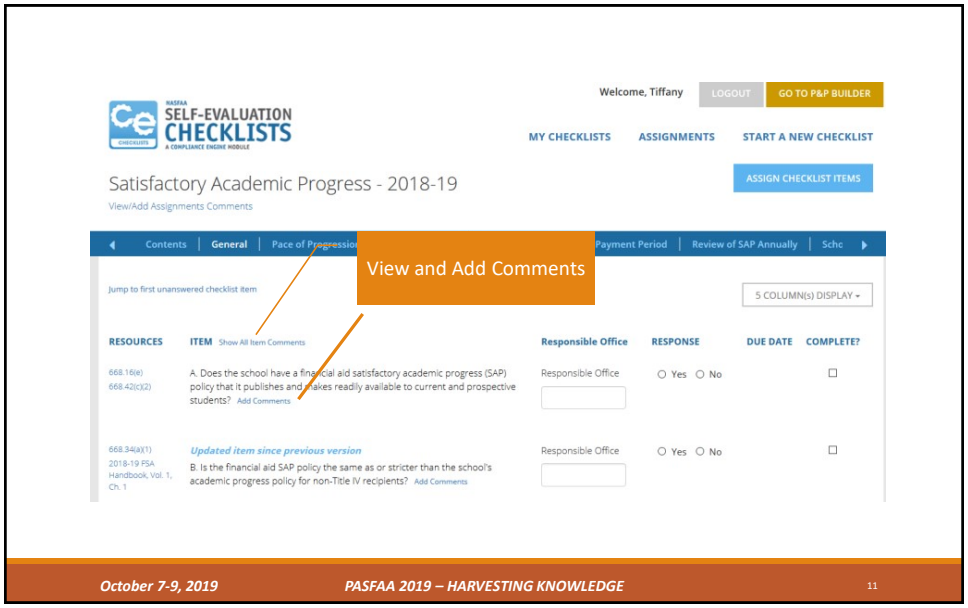
GO TO P&P BUILDER
NASFAA SELF-EVALUATION CHECKLISTS
A COMPLIANCE ENGINE MODULE
MY CHECKLISTS
ASSIGNMENTS
START A NEW CHECKLIST
Satisfactory Academic Progress - 2018-19
View/Add Assignments Comments
ASSIGN CHECKLIST ITEMS
Contents | General | Pace of Progression and Transfer Credits | Review of SAP After Each Payment Period | Revie
Jump to first unanswered checklist it
Direct Links to Compiled Regulations and Other Resources
5 COLUMN(s) DISPLAY
RESOURCES
ITEM
Office
RESPONSE
DUE DATE
COMPLETE?
668.16(e)
668.42(c)(2)
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
Responsible Office
Yes No
668.34(a)(1)
2018-19 FSA Handbook, Vol. 1, Ch. 1
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? Add Comments
Responsible Office
Yes No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SELF-EVALUATION CHECKLISTS
MY CHECKLISTS
ASSIGNMENTS
START A NEW CHECKLIST
ASSIGN CHECKLIST ITEMS
Satisfactory Academic Progress - 2018-19
View/Add Assignments Comments
Contents
General
Pace of Progression
Payment Period
Review of SAP Annually
Schc
View and Add Comments
Jump to first unanswered checklist item
5 COLUMN(s) DISPLAY
RESOURCES
ITEM Show All Item Comments
Responsible Office
RESPONSE
DUE DATE
COMPLETE?
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Updated item since previous version
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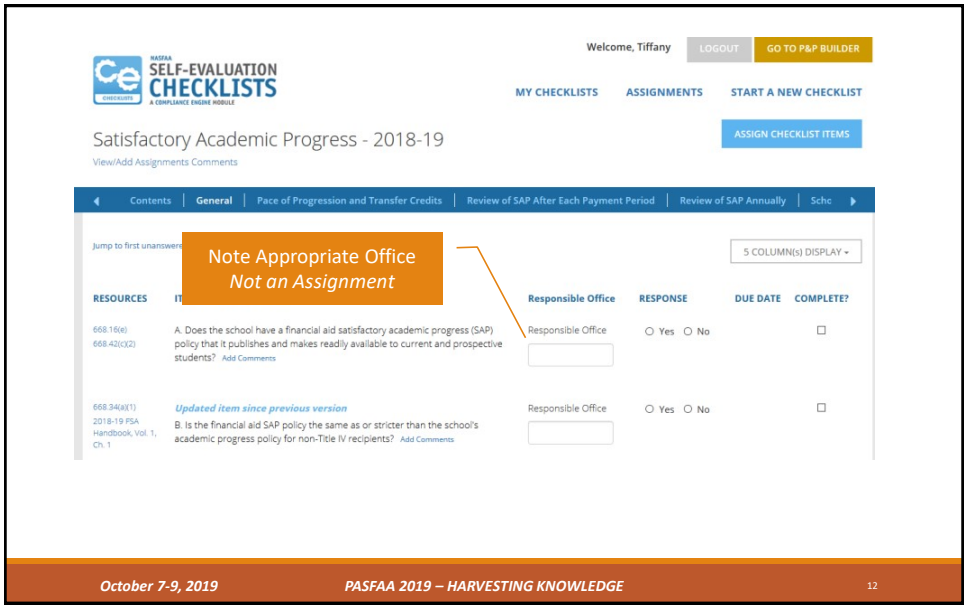
Welcome, Tiffany
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SELF-EVALUATION CHECKLISTS
MY CHECKLISTS
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START A NEW CHECKLIST
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Satisfactory Academic Progress - 2018-19
View/Add Assignments Comments
Contents
General
Pace of Progression and Transfer Credits
Review of SAP After Each Payment Period
Review of SAP Annually
Schc
Note Appropriate Office
Not an Assignment
5 COLUMN(s) DISPLAY
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Responsible Office
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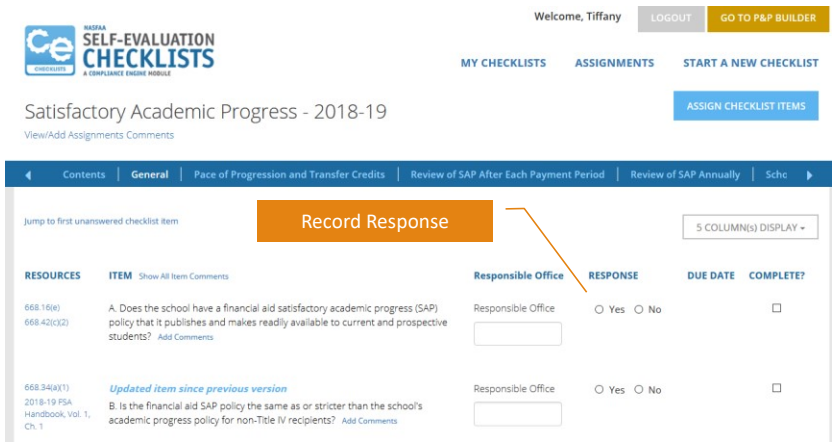


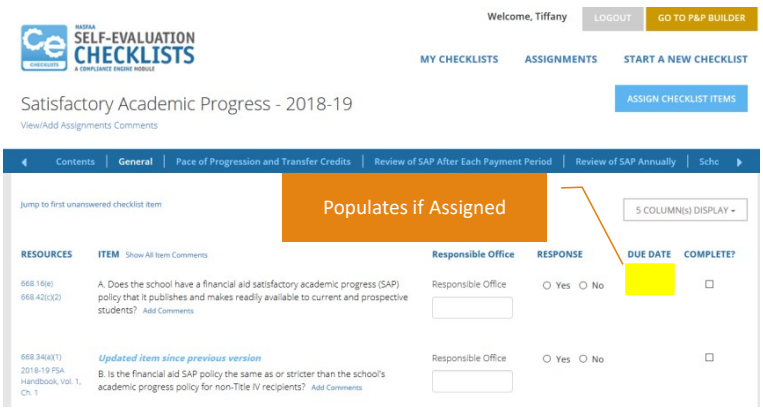
What Do the Responses Mean?

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.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SELF-EVALUATION CHECKLISTS
MY CHECKLISTS
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START A NEW CHECKLIST
ASSIGN CHECKLIST ITEMS
Satisfactory Academic Progress - 2018-19
View/Add Assignments Comments
Contents | General | Pace of Progression and Transfer Credits | Review of SAP After Each Payment Period | Review of SAP Annually | Schc
Jump to first unanswered checklist item
Populates if Assigned
5 COLUMN(s) DISPLAY
RESOURCES
ITEM Show All Item Comments
Responsible Office
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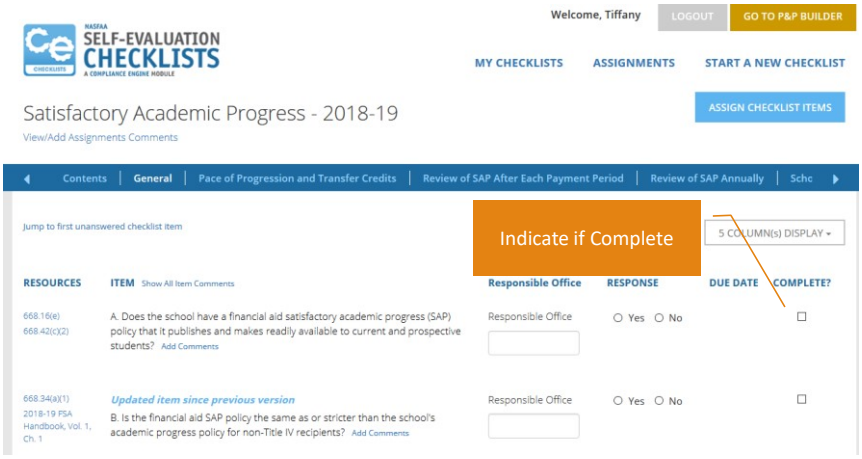
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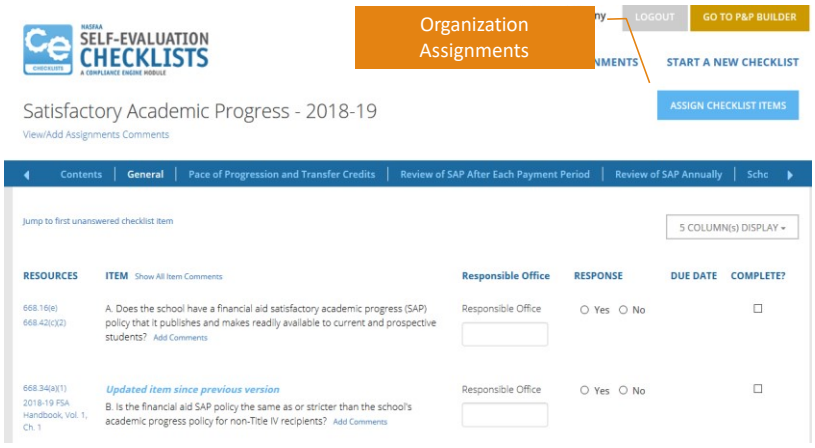
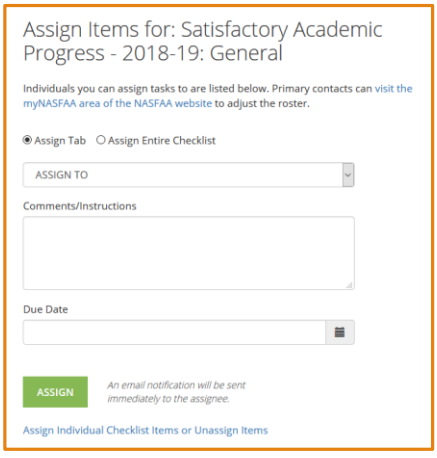
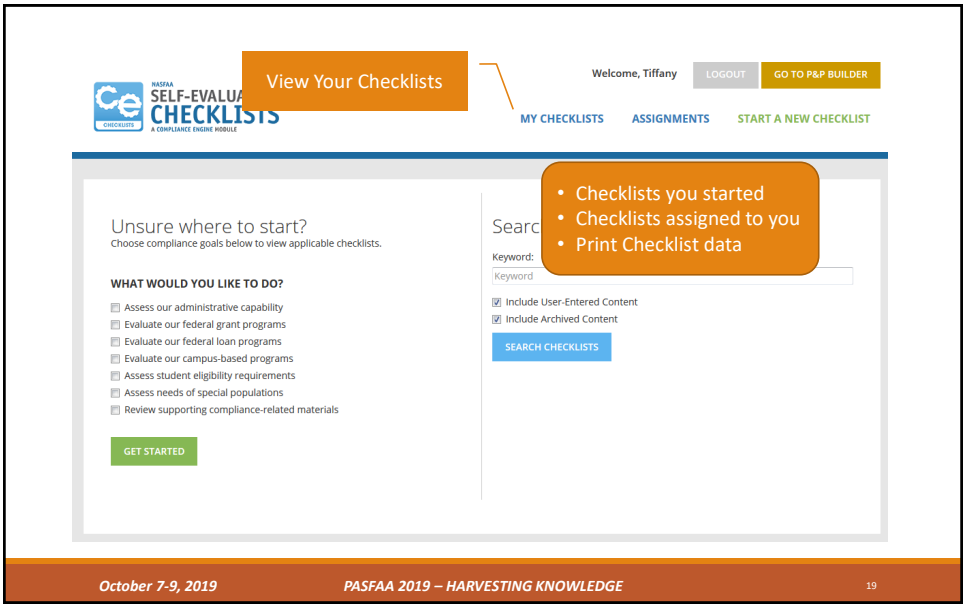




Promote Interdepartmental collaboration.

- 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
Welcome, Tiffany
LOGOUT
GO TO P&P BUILDER
MY CHECKLISTS
ASSIGNMENTS
START A NEW CHECKLIST
Checklists you started
Checklists assigned to you
Print Checklist data
Unsure where to start?
Choose compliance goals below to view applicable checklists.
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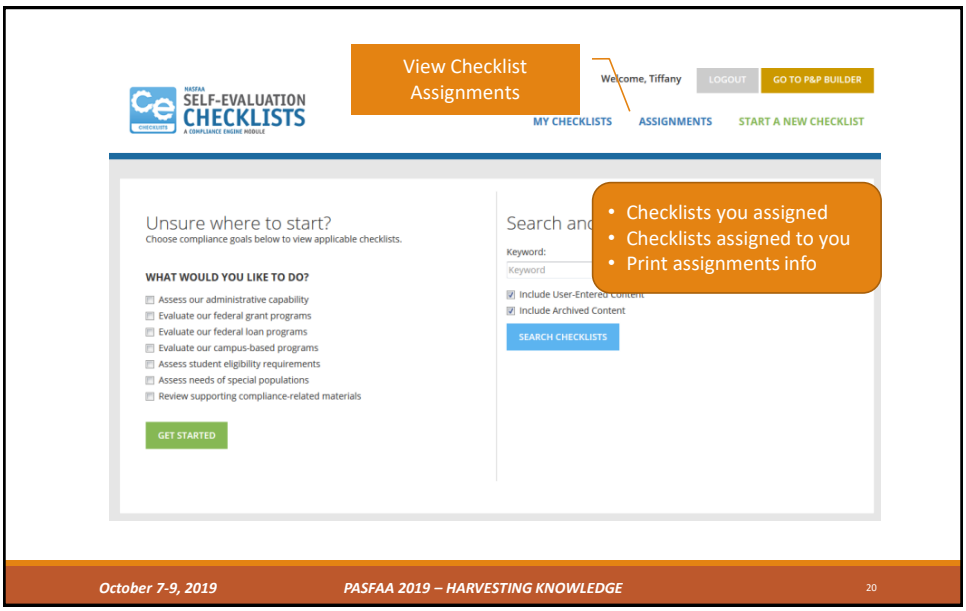
GET STARTED
Keyword:
Include User-Entered Content
Include Archived Content
SEARCH CHECKLISTS


View Checklist Assignments
Welcome, Tiffany
LOGOUT
GO TO P&P BUILDER
MY CHECKLISTS
ASSIGNMENTS
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Checklists you assigned
Checklists assigned to you
Print assignments info
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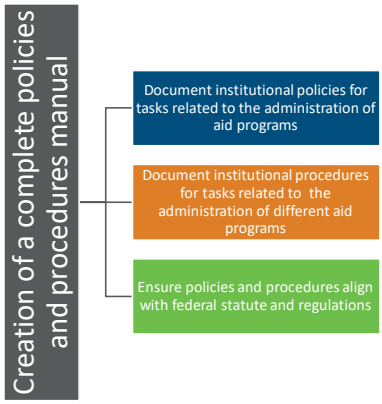
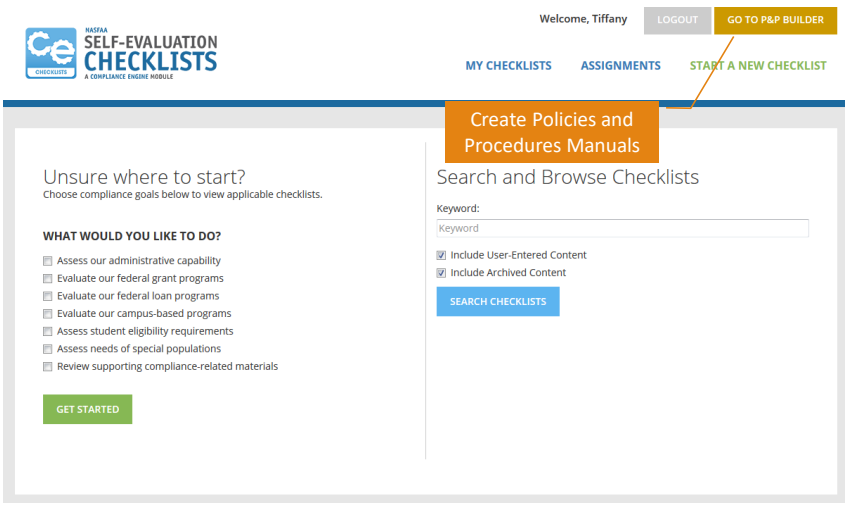
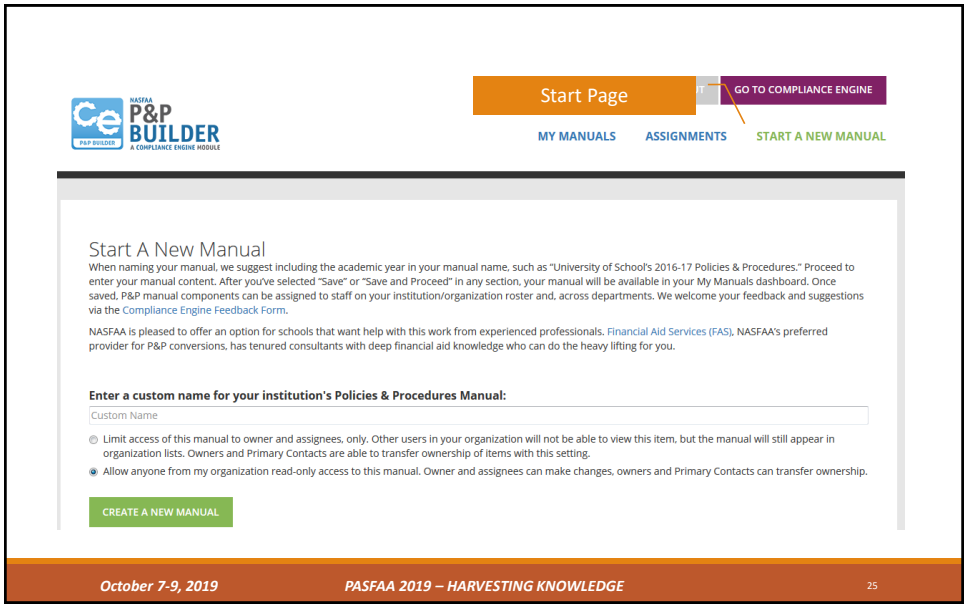
Screenshare

Policies and Procedures Builder

Intended Uses of the P&P Builder






Start Page
GO TO COMPLIANCE ENGINE
MY MANUALS
ASSIGNMENTS
START 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.
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
October 7-9, 2019
PASFAA 2019 – HARVESTING KNOWLEDGE
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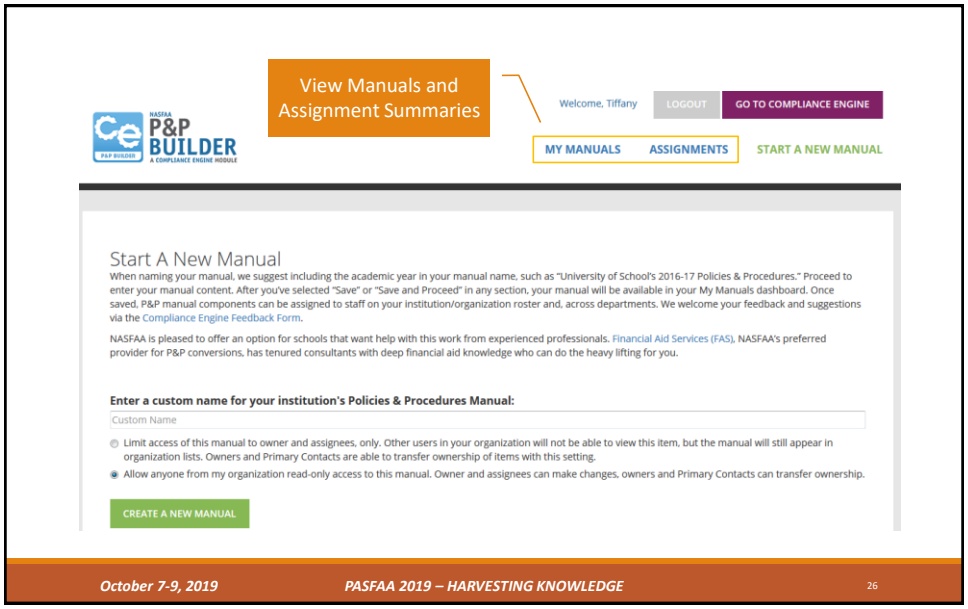
View Manuals and Assignment Summaries
Welcome, Tiffany
LOGOUT
GO TO COMPLIANCE ENGINE
MY MANUALS
ASSIGNMENTS
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NASFAA is pleased to offer an option for schools that want help with this work from experienced professionals. Financial Aid Services (FAS), NASFAA's preferred provider for P&P conversions, has tenured consultants with deep financial aid knowledge who can do the heavy lifting for you.
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CREATE A NEW MANUAL
October 7-9, 2019
PASFAA 2019 – HARVESTING KNOWLEDGE
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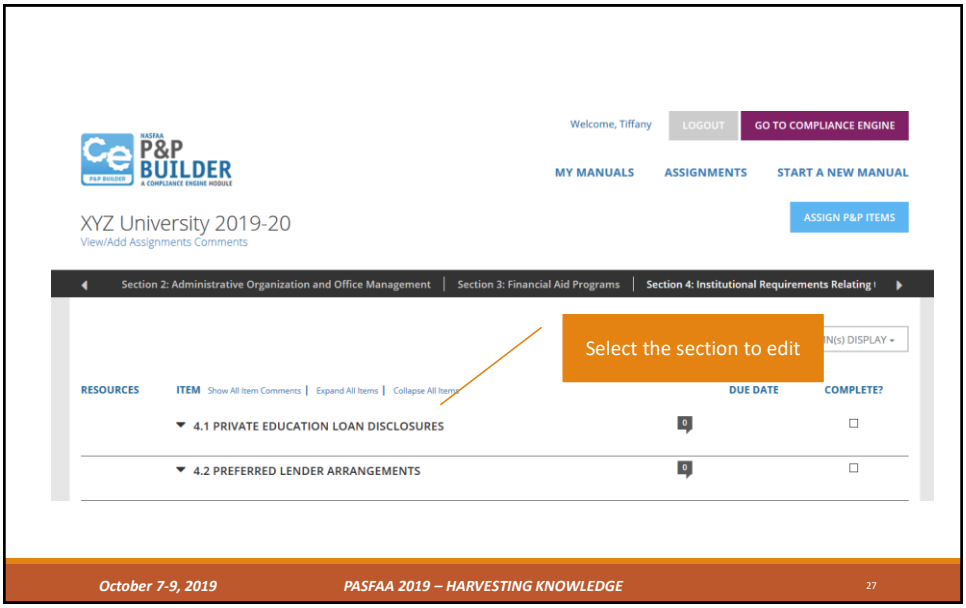
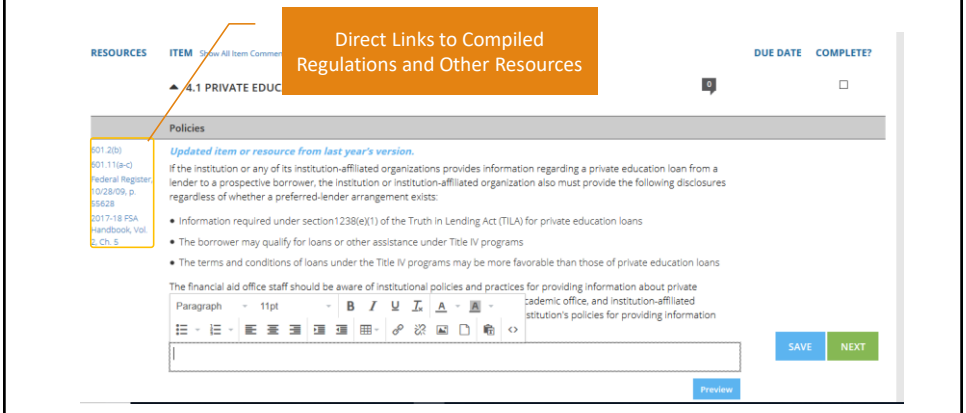
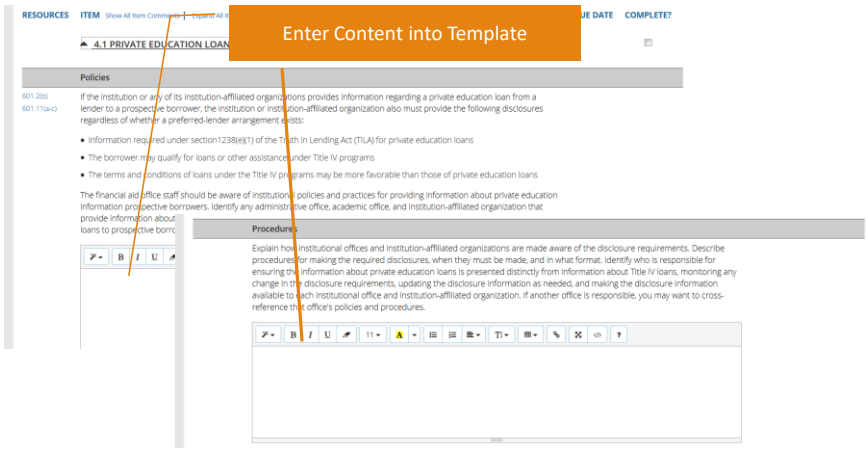

Welcome, Tiffany
LOGOUT
GO TO COMPLIANCE ENGINE
NASFAA P&P BUILDER
A COMPLIANCE ENGINE MODULE
MY MANUALS
ASSIGNMENTS
START A NEW MANUAL
ASSIGN P&P ITEMS
XYZ University 2019-20
View/Add Assignments Comments
Section 2: Administrative Organization and Office Management
Section 3: Financial Aid Programs
Section 4: Institutional Requirements Relating
Select the section to edit
RESOURCES
ITEM Show All Item Comments | Expand All Items | Collapse All Items
DUE DATE
COMPLETE?
4.1 PRIVATE EDUCATION LOAN DISCLOSURES
4.2 PREFERRED LENDER ARRANGEMENTS


Direct Links to Compiled Regulations and Other Resources
RESOURCES
ITEM
DUE DATE
COMPLETE?
4.1 PRIVATE EDUC
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 section1238(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
Paragraph
11pt
SAVE
NEXT
Preview


Enter Content into Template
RESOURCES
ITEM
DUE DATE
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4.1 PRIVATE EDUCATION LOAN
Policies
601.2(b)
601.11(a-c)
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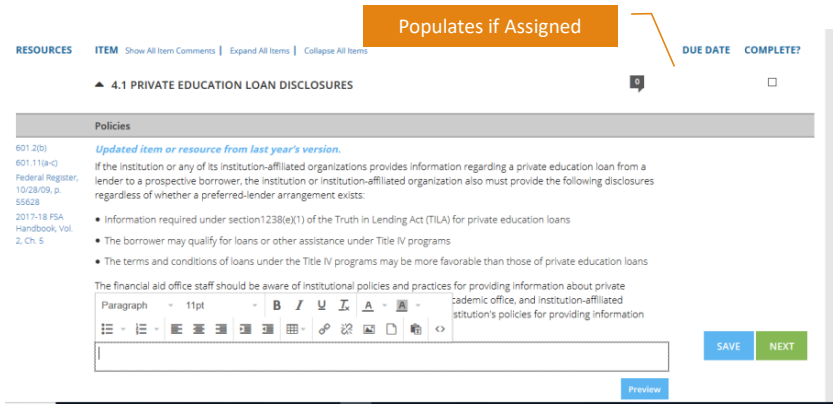
• The terms and conditions of loans under the Title IV programs may be more favorable than those of private education loans
The financial aid office staff should be aware of institutional policies and practices for providing information about private education
Information prospective borrowers. Identify any administrative office, academic office, and institution-affiliated organization that
provide information about
loans to prospective borro
Procedures
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.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RESOURCES
ITEM Show All Item Comments | Expand All Items | Collapse All Items
DUE DATE
COMPLETE?
4.1 PRIVATE EDUCATION LOAN DISCLOSURES
Policies
601.2(b)
601.11(a-c)
Federal Register, 10/28/09, p. 55628
2017-18 FSA Handbook, Vol. 2, Ch. 5
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 section1238(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
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cademic office, and institution-affiliated
stitution's policies for providing information
SAVE
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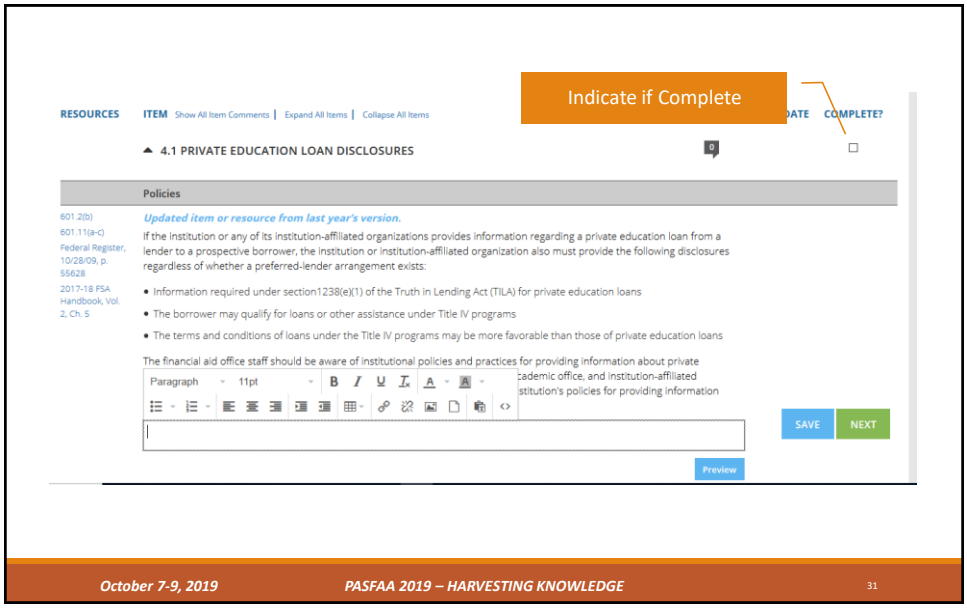
Preview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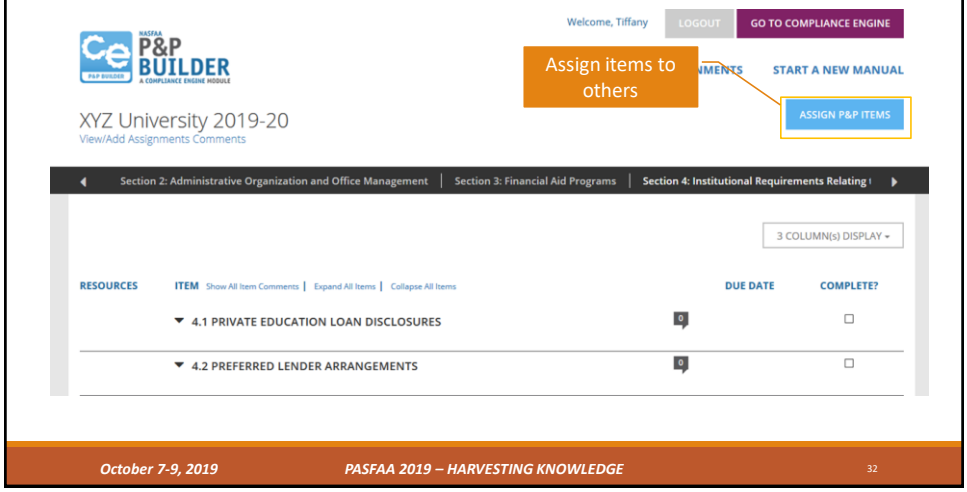
Welcome, Tiffany
LOGOUT
GO TO COMPLIANCE ENGINE
Assign items to others
START A NEW MANUAL
ASSIGN P&P ITEMS
XYZ University 2019-20
View/Add Assignments Comments
Section 2: Administrative Organization and Office Management
Section 3: Financial Aid Programs
Section 4: Institutional Requirements Relating
3 COLUMN(s) DISPLAY
RESOURCES
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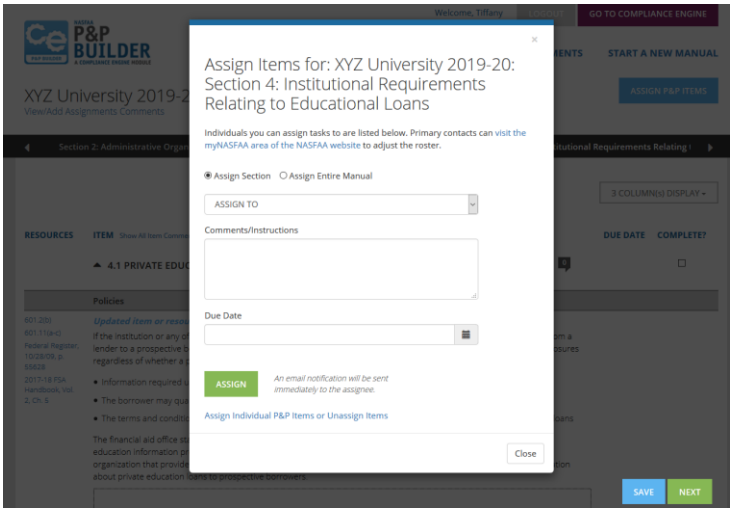
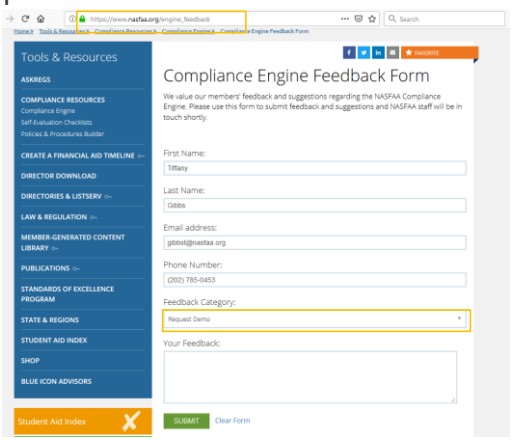
4.1 PRIVATE EDUCATION LOAN DISCLOSURES
4.2 PREFERRED LENDER ARRANGEMENTS



Screenshare

Cost

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