PERALTA COMMUNITY COLLEGE DISTRICT
Compliance Assurance Program for Financial Aid Programs

Federal Financial Aid (Department of Education)

District-wide Compliance Assurance Program for Financial Aid

Provide insight & news about recent audit findings/reports, DOE requirements, financial aid reporting training dates, Self-Audit Guidelines

- Communicate compliance performance/issues to College/District
- Site Training by Director of Financial Aid/Staff
- Financial Aid Newsletter, Bulletins providing colleges insight into issues & common problems

→ College & District Communications Protocol

- College Mgt and College Business Officer receives & follows-up on reports for transmittal to District Office

→ College Management & College Business Officer Oversight

- Document FA training given to whom, what, when

→ District Training Program

Policy & Procedures
- Instructions will inform employees of consequence to College & District of non-compliance
- Mapped Processes gives pictorial explanations of Financial Aid Reporting Requirements

Mgt Information System
- IT will automated origination & disbursement reporting to COD

College Checks off Monthly Financial Aid Reporting Requirements check list as Completed
- Public Share Drive & Other Locations
- Score Card District-wide Reporting: Compliance Task Checklist status & Task Deadline reminder to all Financial Aid Officers

Compliance Control Structure
- District Financial Aid Office oversight of FA reporting to Feds
  - FA Office review of College FA reporting for compliance: desk, site, & Internal Audit by district auditor
- College Mgt oversight of FA compliance
  - College organizational structure to ensure regulatory compliance: 1)College Business Officer, 2)VP Student Services, 3) FA Supervisor
    - Oversight by CBO & VP Student Services reduces risks of communications gap between college FA office & its management
- Compliance Self-Assessment by College/District Mgt
  - Colleges should perform self audit/assessment for compliance;
- Elevated Problem Resolution "Tiger Team" Approach to ensure timely resolution
  - Team authorized by executive management will consists of members w/adequate knowledge, authority, leadership abilities, to resolve urgent problems within short deadline.

Strategic Plan to Help Ensure District-Wide Regulatory Compliance

Plan includes the following components:
1) Effective policy and procedures documented & communicated
2) IT program to automate COD reporting on timely basis
3) Financial Aid report submission status reported online in Public Share Drive as a reminder of tasks deadline & completion status by college
4) Training Program and guidance given documented in training database
5) Involvement of College Business Officers to overseeing financial aid reporting requirements
6) Multi-communications channel to disseminate repeatedly and in many forms
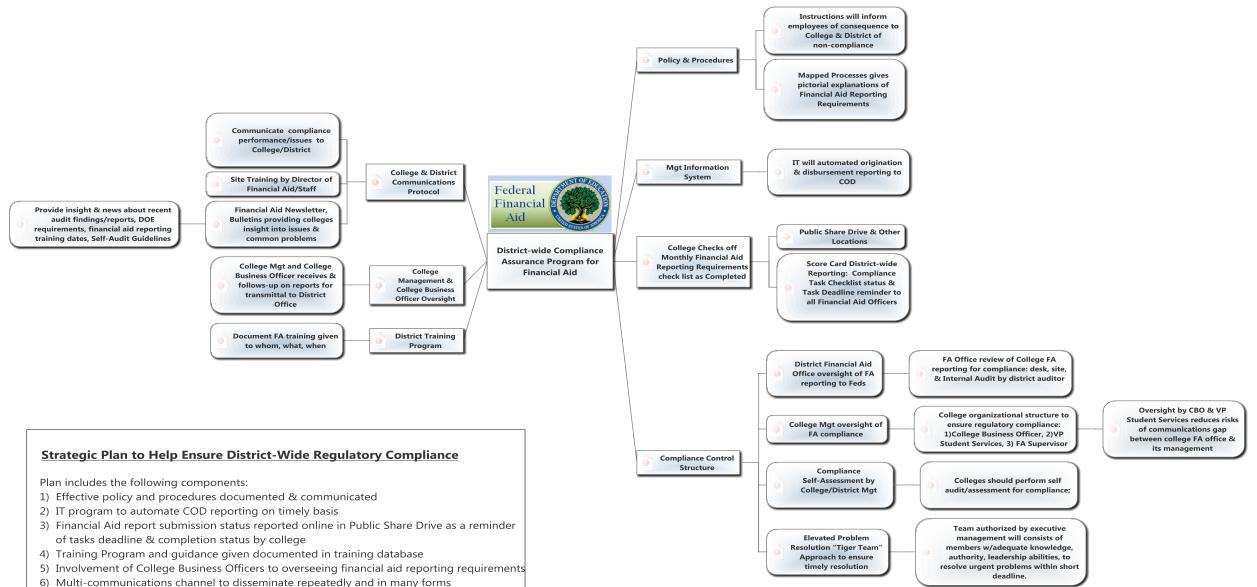7) Mutli-media communications channel to disseminate instructions & compliance deadline information to College financial aid offices

Goal of Compliance Assurance Program

To help ensure full compliance with grant regulatory requirements, and District requirements for financial
and operational feasibility.   This Compliance Assurance Program (CAP) is scalable in terms of frequency and scope
of CAP techniques required to obtain adequate compliance status.