



# THE QUARTERLY REPORT

## Section I - Program Approvals

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### Description.

1. Central to the function of any State Approving Agency (or SAA) is the approval of programs for veteran's benefits. Approval of any program takes on at least two forms, Initial and Revised approval. **Initial (or first time) approval** may involve the approval of one or more programs at a new, previously unapproved institution. Also, it may involve the approval of a new, previously unapproved program at a currently approved institution or establishment.

2. **Revised approvals** can be of two types.

(a) **Revised approvals** may involve a change in institutional/establishment, structure, or program status which impacts on: policy, name, location, accreditation, registration (for apprenticeship programs), program design, ownership, or any other standards found in the Regulations and requiring SAA review and approval. This may occur at any time after initial approval and is usually either precipitated by institutional/establishment notification to the SAA or as a result of findings during a facility visit.

(b) **Revised approvals** may also be the **updated approval (or re-approval)** of a school's catalog and all the programs contained therein or a revised training program. [Or an organization's licensure/certification test materials]. While SAA approval is program (rather than institutional/establishment) specific, many of the VA approval criteria (e.g., probationary policy; grading system; etc.) apply to more than one program *so that SAAs are actually approving programs and the institutional/establishment policies that underlie them*. The analysis of institutional/establishment policies is dependent upon information in the school's publication or training program outline, and a new publication's policies or training agreement must be re-approved along with all the programs that are affected by them (even if there are no substantial changes). With no subsequent changes this updated or re-approval remains in effect until the next publication. [ref. NTC, pp. 3-4]

3. Section One of the Quarterly Report is divided into two parts: Part A: Program Approval Actions and Part B: Other Approval Actions. Each part is considered below. The SAA cannot count either (A) Programs or (B) Other Approval Actions unless a letter of approval and the substantiating publications are filed with the ELR (Educational Liaison Representative). The exact format of the Approval varies by SAA, but certain information is required by SAA Contract [see Article II – e.g., Schedule No. 1, D.1]. According to the Performance Standards called for in PL 100-323, an SAA must submit a Business Plan which includes the conditions and timelines for submission of Approval Actions.

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## Part A: Program Approval Actions

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### Purpose.

4. Part A, is intended to provide interested parties with an accurate count of how many programs were (1) initially approved or reapproved for veterans benefits and (2) disapproved for veterans benefits during a particular quarter. The total of all four quarters should provide a reasonably accurate count of the programs annually available for veterans benefits in the State and in the aggregate, throughout the country.
5. Program approval actions *should not be regarded primarily as a workload measure*, but as one indicator of the size and scope of the GI Bill program – just as the number of beneficiaries served or the amount of benefits paid out are other indicators. To the extent that larger facilities with more programs represent more work (or more maintenance) than smaller facilities with less programs, then the number of programs approved and disapproved is a secondary indicator of workload.

### Procedures.

6. **A program** is defined as: *a structured series of educational or occupational activities* leading to a recognized credential such as a certificate, diploma, *licensure* (?), or degree. [Ref. QR form – also, NTC, p. 13] **A degree** is an academic title granted to one who has *attained a relative level of accomplishment* in a pre-defined course of study (program) for collegiate credit. Programs are counted separately by level. If a University offers a Bachelors and a Masters in Environmental Science, take two counts. If an occupational school offers a Computer-Aided Design Program for 1,200 hours and a follow-up Advanced Computer-Aided Design Program for 900 hours, take two counts. For Apprenticeship or OJT programs, specific requirements for program approval are outlined in CFR 21.4261 and 21.4262. Basically a program is the job objective for which the veteran or eligible person is to be trained.
7. The objective is usually a degree major (e.g., BA in English, BS in Physics); a certificate or diploma in an occupational field; a High School Diploma; or some award for completing a specific training or educational experience. Unfortunately, the actual major is not always obvious from the catalog. For example, college catalogs abound with specialties, concentrations, broad-field-majors, and the like. The actual major is most often whatever the institution calls it on the student's transcript or diploma/certificate. The objective for training programs is the actual job.
8. Disapprovals can be either (a) intentional (the SAA specifically withdraws the approval from a particular program or programs) or they can be (b) by default (a program at an approved facility that is not approved, such as bartending, while others are). *In general, what isn't approved is disapproved.*
9. **Count programs and not degrees.** Enter onto the Report the total number of program approvals and disapprovals for each type of facility. [Ref. NTC, pp. AP-158 to AP 162]. *SAAs should provide the most accurate picture of the size and scope of what's being offered by the institution/establishment.* For instance, a college may only offer two degrees (Bachelors of Arts and Bachelors of Science) but allow the student to major in fifty programs (BA in History, BS in Business, BS in Physics, BA in French, etc.). If all the programs at the school are approved, a count of fifty is more descriptive of the school than a count of two. So too, if a single training OJT program has five veterans participating in it then the most descriptive count would be one. [It is also possible that a training establishment may offer multiple programs].
10. Licensure/Certification tests. Take one count for each test approved.
11. A Post-secondary Business, Trade or Occupational school offering similar non-collegiate programs requiring different contact hours are different programs. (For example, a day program in Automotive Mechanics for 1,500 hours and an evening program in Automotive Mechanics for 1,000 hours).

12. Programs offered in their entirety by different delivery systems are different programs. A traditional on-campus program in Communications and a Distance Education program in Communications are two separate programs.
13. High Schools often offer only one general academic diploma program, but they can also offer a diploma in a number of specific vocational programs. [For example: Welding, Carpentry, Electronics, Practical Nursing, Computer-Aided Design and Culinary Arts = 6 counts].
14. Apprenticeship and On-The-Job Training (OJT) programs are program specific to the particular occupation the individual(s) will enter upon completion. Count the number of programs being conducted and not the number of participants per program. [e.g., a tool and die apprenticeship with 3 apprentices is one count].
15. **Programs are facility-based**, the same program at a branch campus is counted separately. If the Main Campus offers as B.S. in Marine Coastal Studies and its Branch Facility (with a separate administrative capability and facility code) also offers the B.S. in Marine Coastal Studies, count them both. \
16. To complete this section the SAA will need to compile data on all program approvals and disapprovals done at each type of facility during the Quarter. One example of how this might be done can be found in **TABLE ONE** of the Appendix.

## Part B: Other Approval Actions

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### Purpose.

17. Central to the approval of programs for veterans benefits are those actions taken by the SAA in approving them. Both individual program structures and the institutional/establishment structures in which they exist can change. [Institutions /establishments have policies and procedures which can affect the approvability of each program. For example: if an institution/establishment moves, all the programs move with it. If the grading system changes, each program has changed. Wage changes affect the approvability of a training program]. *The more changes to the program's content or institutional/establishment structure the more SAA maintenance is required.*
18. Part B then, is *primarily* a workload measure intended to capture the number of actions required for a particular institution's approval *exclusive of the number of programs involved*. The Quarterly Report Form states that Other Approval Actions are, "those actions taken to assess (a) the program and policy information contained in a facilities' publication; (b) the contents of a supplement or addendum to a facility's publications or documentation; (c) revisions to a policy or practice covered by the approval standards; and (d) any other actions that substantiate the continuation of an existing approval". [Ref. also to NTC, pp. AP-163 to AP 165]. For training programs this can include change in location, change in establishment name, etc..
19. As the approval standards are extensive so too are the number of actions taken to substantiate the continuation of an existing approval. For Accredited Institutions they can include approval of: each **relevant** publication; facility review; general faculty review; school calendar; each NCD class schedule; standard of progress policies; attendance policies; student conduct policies; previous credit policies; distance education (independent study) policies; change in ownership; change in location; addition of a Branch Campus (with or without separate administrative capability); internship/residency policies; etc. For Non-Accredited Institutions they may include all Accredited policies plus approval of: pro rata refund; compliance with local codes; compliance with enrollment limitations; additional SAA criteria, etc. For APP/OJT they could include approval of: training agreements; wage scales; student qualification standards;

advertising practices; compliance with equal opportunity pledge; record maintenance; etc. The list can go on and on. One example of how this might be done can be found in **TABLE TWO** of the Appendix.

## Procedures.

20. A count should be taken for reviewing each of a facility's **relevant** publications and, if this is an initial approval, a count should be taken for reviewing the application as well. Such publications may be a single college catalog; both an undergraduate and graduate catalogs; separate school catalogs, student handbooks; a training company's educational brochure or promotional material; and the like. *Any publication which contains program descriptions and policies affecting these programs should be evaluated and counted.* Further, each SAA has developed an official application (or applications) which should be counted when completed and submitted by the institution.
21. If the same facility has a single catalog containing different types of programs [for example, a college with degree (IHL) programs and non-credit (NCD) certificates] only one count should be taken. If the school has different catalogs for different programs [for example, a degree catalog and a Continuing Professional Education Circular (for its non-credit offerings)] then two counts should be taken. A copy of each publication reviewed will be sent to the VA (ELR) along with the required approval letter.
22. If a particular policy or action is new or significantly changed, take a count for reviewing that particular policy or action. For example, a review of a Private Occupational/Trade School shows that the Attendance Policy has been changed and they have changed their name (but have the same owner). Take one count for reviewing and approving/disapproving the policy and one count for notifying the VA of the approved name change. **For an initial approval, all policies are new and counted.**
23. Branch facilities with separate administrative capability should be treated as a separately but only count those approval actions which are specific to the Branch. [For example: count the catalog only once for the whole institution, but if there is a Branch-specific publication, count the Branch publication separately].
24. **Count only the number of actions taken, not the number of programs affected by the action.** [For example, SAA approval of a new grading system for 14 programs is one count].
25. Unlike with Part A. Program Approvals, Other Actions *are not disapproved by default* but presumed to continue in approval, **only count as disapproved what the SAA has explicitly disapproved.**
26. When reviewing an application for initial or revised approval, or reviewing a publication for re-approval, a count should be taken for each separate approval activity as outlined above. In order to calculate the number of Other Approval actions taken as part of the Initial or Revised approval of a Facility/Program an **Approval Checklist** *might be used to keep track of the number of actions per facility. This could then be transferred to a master list.* One example of how this might be done can be found in **TABLE THREE** of the Appendix.

## Section II – Visits To Facilities

### Description.

27. Under the SAA Contract with DVA, the SAA is reimbursed for visits made to educational and training establishments to verify that their programs or tests meet the appropriate approval criteria. ***Visits are conducted to facilities, even if it's to a particular subunit of the facility such as specific department.***

- (a) A VA approved facility with its own facility code, has a separate administrative capability. A single institution/establishment may be composed of several facilities and a school's program(s)

may be offered at more than one facility. The VA designates a facility when it assigns it a facility code number. Each number represents a facility and if a large school has more than one facility number (because of several branch campuses) it is a school with multiple facilities (all having separate administrative capabilities).

(b) Training establishment also follow the rule of one VA facility code for a facility with separate administrative capability). For employers, the number of codes depends on the number of work sites with separate administrative capabilities. The VA would prefer to issue one code for one Employer of training entity such as JATC.

28. Under the SAA Contract with DVA, the SAA staff will exercise their professional judgment in determining which institutions/establishments and at what intervals to conduct routine Supervision Visits. [Ref. Contract, Schedule 1 C (2)]. According to the Performance Standards called for in PL 100-323, an SAA must submit a Business Plan which includes the conditions and timelines for completion of Supervision, Inspection, and DVA Requested visits. Timelines and conditions for Other and Information Visits may also be covered in the SAA Business Plan.

29. As visits are one of the most important activities of a State Approving Agency, such on-going contact and supervision usually includes four inter-related activities [Ref. NTC, pp. 4-5; 18-19]:

(a) A review of institutional (establishment) policies and practices affected by the Regulations and assisting the institution to come into regulatory compliance. Depending on the circumstances of the visit this may also include a review of facilities and equipment, faculty, staff, curriculum, safety guidelines, hiring practices and so forth.

(b) An investigation of the systems that are in place to carry out these policies.

(c) An examination of the institution's (or establishment's) student records to verify that policies are being enforced and that the required system of records is in place. Student records are audited to ensure appropriate payment had been made and the SAA may uncover evidence of inappropriate activity such as false and misleading advertisement.

(d) Assist in the development of a good on-going relationship with school and training establishment officials. This includes providing on-the-spot technical assistance and outreach activities.

## Purpose.

30. The Quarterly Report distinguishes between five types of visits [Ref., QR form]:

(a) The Supervision Visit. A periodically scheduled visit to a previously approved facility to monitor and assure continued acceptability of approval. Supervision visits for the present year are scheduled in the SAA's current Business Plan. **To be scheduled the facility must be active**, that is, it must have at least one veteran/beneficiary who has received benefits (exclusive of Chapter 31) for attending the facility at least one month during the last fiscal year. **If a facility is not active, it is not a Supervision Visit.** [NTC, pp. 4-5]

(b) The Inspection Visit. A visit to a new facility (or Branch with Separate Administrative Capability) requesting initial approval or a visit to an approved facility requesting initial approval of a new program. As stipulated in the Business Plan's "Performance Standards", a visit is required if it is to a new unapproved facility (including a new branch of a currently approved facility) and is optional if it is to approve new program(s) at a currently approved facility. In every case the facility or program is not active yet. [NTC, p. 5]

(c) DVA Requested Visit. A SAA visit requested by the VA to address a matter of non-compliance with the approval standards at a particular facility. As stipulated in the Business Plan's "Performance Standards", the SAA must visit and file a report within 30 days of the VA request. A 30 day extension can be granted.

(d) Other Visits. Visits made at the request of a facility for assistance or visits conducted for any other contractual reason such as Outreach/Liaison; Licensure/Test approval, and follow-up to Supervision Visits..

(e) Information Visits. Visits made by the SAA to obtain compliance survey information at the request of the VA under 38 USC 3673(a).

31. The purpose in recording the number of facility visits is to document the volume of SAA visits by type and to link them to travel expenses incurred. Therefore it is a measure of frequency of activity and not of the workload entailed in doing these visits. No account is taken of the amount of time [hours or days] or man power [one or more staff] expended. Nor is the SAA indicating the scope and range of activities accomplished during the visit. [For example: providing technical assistance, interviewing veterans as to their satisfaction with the program; reviewing X number of student records; meetings with administrators and faculty (to promote the GI Bill) in addition to the Certification Official(s); and the like]. [ref. NTC, p. AP-166]. **One visit to one facility (with a VA facility code) or to a facility that will have a VA facility code when approved, is one count.**

## Procedures.

32. Each visit count must be accompanied with a visit report submitted to the SAA's ELR [Ref. NTC, p. AP-165 and AP-29-32 Also, see Contract, Article IV.4] While visit report formats vary with each SAA, the information required in any report is found in the SAA Contract, Article IV.1.

33. Previously, in the case where the SAA visited a single facility that has both an IHL and an NCD facility codes, [such as a Community College with degree and non-degree programs] a count was taken for each code. [ref. NTC, p. AP-166] DVA is now in the process of assigning one facility code to each physical location, so one count will be taken for the facility (if it only has one VA facility code). This is also true for a training establishment which has both apprenticeship and OJT (on-the-job) training programs approved. Only one count will be taken.

34. Also, previous practice allowed one large institution to have several facility codes for **each sub-unit** with a separate administrative capability. [For example, a big State University might have had separate facility codes for its graduate and undergraduate school, law school, medical school and continuing education school, even when all are on the same physical campus]. DVA is apparently no longer assigning facility codes to separate sub-units within an institution in the same physical location, so one count will be taken for the facility (if it only has one DVA facility code).

35. However, in regards to no.34 (above), since DVA is moving to one facility with one code, the National Training Curriculum is no longer correct when it states: "Supervision of very large institutions with multiple administrative units may be spread over several trips. A separate count may be taken for each administrative unit supervised so long as a separate report is prepared for each".

36. A visit to a branch campus(es) with a separate administrative capability will be a separate count from a visit to the main campus. Therefore, a visit to Big State University in Town One will be one count and a visit to Big State Branch in Town Two will be a second count. This may also be true for visiting different locations of training establishments if each has its own administrative capability.

37. A facility may be visited more than one time in a given fiscal year for several purposes (i.e., types of visits). The SAA may visit the school/establishment once on a supervision visit (taking one count) and

return six months later for a visit at the request of the VA (taking another count). A third visit might also be done to inspect a new program. In each case a visit report must be filed. A facility may also be visited more than one time for a particular purpose. [e.g., a new school that requires two or three inspection visits before it is finally approved]. A count is taken for each visit. [Ref. NTC, p. AP-167]

38. Also now incorrect in the National Training Curriculum, is the practice of conducting a single visit for different purposes and taking a count for each purpose. [Ref. NTC, p. AP-165] [For example, the SAA visits a school on a Supervision Visit and while there learns of a new Program which it inspects, so it takes a second count for an Inspection Visit]. This example should be only one count. The bottom line is one visit to one facility is one count.

39. To complete this section of the Report the SAA will need to compile data on all visits by type of facility during the Quarter. One example of how this might be done can be found in TABLE FOUR of the Appendix.

### Section III – Technical Assistance

#### Description.

40. Technical Assistance is defined as any interaction designed to assist an individual, a school, or training site personnel with any portion of the approval or certification function. Such assistance can be rendered either before or after the initial approval of an establishment. [ref. QR, III] It can consist of answering questions of individuals interested in applying, helping them through the application process, and responding to their inquiries after they are approved. In an era when the DVA cannot directly assist every inquiry from every school or training establishment, the local presence of the SAA allows them to provide on-the-spot information about a seemingly endless stream of questions regarding approval and certification.

41. Since Technical Assistance is integral to any type of SAA facility visit, it is not counted separately from the visit. [NTC, p. AP-169] Some examples of Technical Assistance that can be counted are: answering telephone and email inquiries; responding to correspondence which requires clarification or elaboration; answering questions about apprenticeship time tables; how to write a training agreement; and conducting a certifying official's workshop for groups of certifying officials. The questions go on and on . . . .

#### Purpose.

42. This section is intended to capture the frequency of assistance that SAAs render the institutions apart from visits. It is not a measure of the amount of time or personnel expended during a Technical Assistance session or follow-up. Indeed some questions require considerable research and follow-up on the part of the SAA but the interaction is still a single instance of assistance.

43. Some SAAs count only significant cases of Technical Assistance, for example, counting only telephone calls that last over ten minutes in length or require significant research of the Regulations and follow-up. Another example might be an Application which is incomplete and requires several short follow-up calls or emails in order to get the information required for a Complete Application. Other SAAs count every Technical Assistance rendered no matter how brief, trivial, or inconsequential. Either approach can be justified under the National Training Curriculum. [NTC, pp. AP-169 to AP-170]. In making its judgment the SAA is asked to consider the purpose of this section which is to illustrate nationally the frequency of SAA assistance to schools and training establishments (outside visits).

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## Procedures.

44. Record one count for each instance of Technical Assistance. For example responding to an email question, answering a telephone inquiry, requesting clarification/enhancement of an Application matter; meeting with someone walking into the office; etc.
45. If an inquiry results in an extended Research and follow-up call(s) the single inquiry counts as a single instance of Technical Assistance. If additional questions are generated in the process, one count is still taken. [Example: John Jones calls from Jones Technical Institute to inquire how to apply for approval of a Branch Campus. After researching his situation and the two year rule, you get back to him and he asks you how does he get his two new programs approval. It's all still one instance of Technical Assistance and one count].
46. Because of the significant investment of time and staff, in conducting a Certifying Officials workshop, you can multiply this one instance by the number of staff involved in conducting it. [A workshop held on July 4<sup>th</sup> for all Certifying Officials in the North of the State and directly involving 3 SAA staff is counted as three. If it were a two-day workshop, with three SAA staff directly involved the count would be six].  
*Note: this is a departure from the National Training Curriculum [NTC, p. AP-170].*
47. ***For each count the SAA takes it must retain a written record of the action.*** [NTC pp. AP 169 to AP 170] Some SAAs file a Transaction Report for each instance of Technical Assistance recording the name and affiliation of the individual who contacted the SAA; the date of the action, and a brief description of the activity. Other SAAs maintain a list [computerized or other] which summarizes these actions. In any event, a summary of the types of Technical Assistance needs to be recorded in Section IV-A [QR] and in the Annual Self-Evaluation. One example of how this might be done can be found in **TABLE FIVE** of the Appendix.

## Section IV – Other Activities

### Description.

48. This section collects information on Outreach and Liaison Activities. Outreach is defined as, (1) any activity designed to inform or encourage those with GI Bill entitlement to use it and (2) any activity which encourages potential providers to become approved and to recruit users of the GI Bill. [NTC, p. AP-171] This could include, but is not limited to, SAA “Welcome Home Mailings” to newly separated veterans; visiting local industries to inform them of the GI Bill apprenticeship/OJT programs; placing advertisements in the newspaper, on TV, or radio; and presentations to Transition Assistance Programs (TAPs), Guard meetings, job fairs, etc. It is activity directed towards the Veteran or Potential Education or Training Provider
49. Liaison is harder to define since it is more nebulous in scope. It definitely includes follow-up on denial of benefit letters to veterans [NTC, p. AP-171]. It is also any form of interaction with a local, state or federal government agency **including DVA**. Liaison can be meeting with professional education or training groups or governing agencies. [NTC, p. AP-172]. And, as discussed in the Procedures below, it can be committee or board activity done as part of NASAA (National Association of State Approving Agencies).

### Purpose.

50. The purpose of this section is to show that the State Approving Agency complies with the contractually mandated activity of Outreach as well as its interactions with other professional and governing bodies.



Since more than one individual from the SAA can be engaged in an single activity [e.g., two staff members at a meeting] the count will be multiplied by the number of staff, and if extends over one day, by the number of days of participation. As with Technical Assistance. A written record of the activity is necessary for both Section VI-A of the Quarterly Report and the Annual Self-Evaluation.

## Procedures.

51. Count each activity separately. If more than one SAA staff is directly involved, multiply that count by the number of staff. [Examples: two staff members participate in teleconference call for NASAA's Professional Development Committee = a count of 2. Four staff are directly involved with a mass "welcome home mailing" to 3,000 new veterans in the State = a count of 4].

52. If an activity lasts more than a day, then multiply the number of days by that single activity. [For example, as Regional Vice President you participate in the three day Executive Board Meeting following the Annual Summer Meeting of NASAA – count of 3].

53. If a major activity requires the direct involvement of many staff over an extended period of time, estimate the number of days and FTE staff directly involved and multiply the two. [For example, your SAA is producing an Outreach Video or Hosting the NASAA Annual Meeting which requires the **active** participation of all three staff for a total of 30 full-time days. This would be a count of 90 for Outreach for the video and 90 Liaison for the Annual Meeting]. **SUCH AN ACTIVITY WOULD BE RARE, OCCURRING PERHAPS ONCE EVERY FIVE TO TEN YEARS!** It would need to be **DOCUMENTED** by a special report to the DVA for consideration by the Joint Peer Review Group at the end of the contract year.

54. NASAA activity **outside of a regular general or regional meeting** can be Liaison activity. This would include committee/task force work; Executive Board Attendance; and special projects done at the request of the NASAA President.

55. In each case, all Outreach and Liaison activities must be documented. [NTC, pp. AP-171 to AP-172]. An SAA can provide a Transaction Record for each activity, including the name, address, date, and description of such activity. It can provide Travel Reports which include such activities. Or the SAAs may maintain a list [computerized or other] which summarizes these actions. One example of how this might be done can be found in **TABLE SIX** of the Appendix.

## Section V – Staff Development

### Description.

56. Staff Development are those activities by which the State Approving Agency enhances the professional abilities of its members by organized formal training. Such activities may be organized by the SAA itself, by State Department/Bureau in which the SAA resides, by State or Federal assistance/mandate; or by attendance at the following National Association of State Approving Agencies meetings: The Annual Summer Business and Training Meeting; the Mid-Winter Business and Training Meeting; NASAA's National Training Institute (NTI) and NASAA Regional Meetings. The primary purpose of these meetings is the professional development of its members. [Title 38, USC, Section 3674A(a)(3)] Individualized study of NASAA's National Training Curriculum could also be a formalized training activity in single staff offices. But this needs to be documented in the Self-Evaluation for the Joint Peer Review Group.

### Purpose.

57. The purpose of this section is to illustrate nation-wide compliance with the requirement of [Title 38, USC, Section 3674A(a)(3)] and indicate the scope of training activities that State Approving Agencies engage in as professionals. Section V asks for a frequency count and a brief description of the activity. The Frequency count is based upon the number of persons involved and the length of time taken to give an indication of the extent of training taking place. As with Technical Assistance and Other Activities, a written record needs to be kept.

## Procedures.

58. Take a count for each professional development activity multiplied by the number of days and staff directly attending. [For example, three staff members attend NASAA's annual meeting which lasts four days = a count of 12].

59. Attendance and participation at a meeting primarily to obtain training is counted as Staff Development. Conducting the training at the meeting is counted as Liaison. Attendance at the NASAA Annual & Mid-Winter Meetings should be regarded as primarily Staff Development however a Liaison count can also be taken for doing training, committee work, or other official NASAA duties during the meeting. Also, attendance at the NASAA training institute for the purpose of professional training would be counted as Staff Development. Participation as a faculty member would be counted as Liaison.

60. Under Type of Activities, provide a brief description of each activity so that at the annual evaluation, the Joint Peer Review Group can recognize the type of staff development you have been engaged in. [e.g., attend State professional day; Bi-annual SAA Training Day with ELR; or Attend NASAA Mid-Winter Meeting].

61. In each case, each Staff Development activity must be documented. [NTC, p. AP-173] An SAA can provide a Transaction Record for each activity, including the name, address, date, and description of activity. It can provide Travel Reports which include such activities. Or the SAA may maintain a list [computerized or other] which summarizes these actions. One example of how this might be done can be found in **TABLE SEVEN** of the Appendix.

## Section VI – Contract Management

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### Description.

62. The Contract Management Section of the Quarterly Report has four elements: (1) a Report on the percent of approval actions completed on time; (2) a Report on the percent of supervision visits completed on time; (3) a brief description of the general types of Outreach, Liaison and Technical Assistance activities done during the quarter; and a (4) Remarks section for additional comments. Each is considered separately.

### (1) Percent of Approval Actions

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### Purpose.

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63. This part of the Contract Management section shows the quarterly progress of the SAA in completing an important aspect of its annual Business Plan. -- the Percent of Approval Actions Completed On-time this quarter and for the Fiscal Year to date. Steady quarterly progress towards annual goal found in the Business Plan is an indicator of the SAA's performance in meeting its annual contractual obligations.

64. Prior to the beginning of each contract year the SAA indicates in its Business Plan the Performance Standards it will follow in conducting approval actions. This usually involves the goal of processing a completed approval package within a certain period of time. That is, the issuance of a letter (and related material) with the SAA's finding and the forwarding of it to the institution and the VA through it's Educational Liaison Representative (or ELR). It is up to the SAA to determine when the approval materials are complete and ready to be acted upon. And it is the time between the determination of completeness and the mailing out of the approval package that is being measured. [See Numbers 1 & 2, above]. [For a description of the approval process and the requirements of an approval finding (letter of approval) see the NTC, pp. 20-22].

## Procedures.

65. An approval begins with a written request from an institution/establishment. If it is an initial institutional/establishment approval this will usually consist of a completed SAA Application and submission of additional required materials. If it is an initial program approval at a currently approved institution/establishment or a request for a revision of current approval [e.g., new branch campus; change in probation policy or grading system], depending on the SAA, it may be by a completed application or simply by a letter or email requesting the approval. It could also be the submission of two copies of a new certified publication which needs review and approval. [NTC, p. 17]

66. In any event, if the materials sent are incomplete, lacking the information necessary to make an approval, additional information and/or materials are requested in one form or another. A visit may also need to be conducted before the application is judged complete. [NTC, p. 18]

67. Once the approval packet is judged complete a detailed analysis is done and a decision is made to approve or not. [NTC, p. 20]

68. If the SAA stated in its performance standards that it would process a completed application package within 30 days then an application that was processed in 29 days is on-time and one that took 34 days is not on-time. [For example, if the approval package is judged complete on May 1, 2004 and an approval letter goes out to the school and the VA on May 15, 2004, then it took 14 days to process and is on time].

69. **Percentage This Quarter.** Take the number of Approval Packages completed on-time in a given quarter and divide by the total number of Approval Packages processed in the quarter. [e.g., 30 Approval Packages were done on-time in the Third Quarter divided by the total of 50 done in the Third Quarter (20 were not on-time) gives the SAA means that 60% were completed on-time]. **Percentage Fiscal Year To Date.** For the Percentage Fiscal Year to Date – take the total number of approval packages done in the current quarter and the previous quarters of the fiscal year and total the number done on time for each quarter. Then divide the Total Approval Packages by the Total Done On-Time. Two examples are presented below.

QTR	# On-time	# Not On-time(*)	# Total Applications	% On-time [#On-time/# Total Applications]	FY # On-time	FY # Total Applications	FY % On-time [FY # On-time/ FY # Total Applications]
1	90	10	100	90%	90	100	90%
2	65	15	80	81%	155	180	86%

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QTR	# On-time	# Not On-time(*)	# Total Applications	% On-time [#On-time/# Total Applications]	FY # On-time	FY # Total Applications	FY % On-time [FY # On-time/ FY # Total Applications]
3	115	5	120	96%	270	300	90%
1	75	25	100	75%	75	100	75%
2	180	20	200	90%	255	300	85%
3	155	5	160	97%	410	460	89%
4	50	30	80	63%	460	540	85%

(\*) It is not necessary to show this column.

## (2) Percent of Supervision Visits.

### Purpose.

70. This part of the Contract Management section shows the quarterly progress of the SAA in completing an important aspect of its annual Business Plan. -- the Percent of Supervision Visits Completed On-time this quarter and for the Fiscal Year to date. *Steady quarterly progress towards 100 percent completion of the number of Supervision Visits stated in the Business Plan, by the end of the fourth quarter, is an indicator of the SAA's performance in meeting its annual contractual obligations.*

71. Prior to the beginning of each contact year the SAA indicates in its Business Plan the number of Supervision Visits it will conduct that year and the percent of completed visits that will be regarded as a satisfactory performance measure. The percentage each quarter is the number of Supervision Visits completed during that quarter divided by the total number of visits for the year found in the Business Plan. The SAA will exercise its professional judgment in determining the number of visits it plans to do. [Schedule One, C (2)]

### Procedures.

72. Only Supervision Visits are counted for this part -- Inspection, Other Visits are not included. [See also, Procedures under Section II - Visits].

73. **Percentage This Quarter.** Take the number of Supervision Visits completed in a given quarter and divide by the total number of visits planned for the year. This is your Percentage This Quarter. [e.g., 30 Supervision Visits in the Third Quarter divided by a total of 150 planned for the year equals 20% for the Third Quarter]. See example below.

74. **Percentage Fiscal Year To Date.** For the Percentage Fiscal Year to Date -- add the percentages reported for each of the previous quarters of the fiscal year with the percentage reported in the current quarter. [e.g., in the First Quarter the SAA completed 30 percent of its Supervision Visits; in the Second Quarter; 25 percent and in the Third Quarter 20 percent --- 30% + 25% + 20% = 75% FY to Date]. See the example below.

QTR	# Visits Completed In Qtr.	Total #Visits Scheduled for the Whole Year	% Visits Completed As to plan in this Qtr. (# Visits completed in Qtr/Total # Visits Scheduled)	% Visits Completed FY To Date (add % each Qtr)
1	38	100	38%	38%

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2	20	100	20%	58%
3	27	100	27%	85%
4	15	100	15%	100%

### (3) Brief Description.

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#### Purpose.

75. The purpose of this section is to give a brief description of the general types of (1) Outreach; (2) Liaison; and (3) Technical Assistance activities done during the quarter in order to provide DVA Central Office and others with a general idea of what types of activities a particular SAA is engaged in prior to a full description in the Annual Self-Evaluation. As such, it will allow DVA and our National Association to give to interested parties a more complete description of range and scope of SAA activity. It will also allow the identification of new and significant initiatives and provide examples of best practices.

#### Procedures.

76. In order to both provide useful information and reduce any undue compliance burden on the SAA, the responses in this section should be short. One phrase for each activity would be ideal and only the most significant activities should be reported. [The scope of more routine activities can appear in the Annual Self-Evaluation]. [Examples: LIAISON -- Attended NASAA Executive Board Meeting, Met with State Dept of Community College to Develop common Probation Policy for Veterans; OUTREACH -- Welcome Home Mailing to 2,000 veterans; Attended Central State Career Fair; Published new Brochure entitled "They are your benefits, Use them!"; TECHNICAL ASSISTANCE -- spent several hours researching approval question for Big State Univ.].

77. In order to describe the frequency of an activity the SAA can indicate how many times it did something in a given quarter [Bi-weekly TAPs Presentation] or report an activity in more than one quarter (i.e., in each quarter it is done).

### (4) Remarks.

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#### Purpose.

78. The Remarks section allows the SAA to report any special circumstances or exceptional activities that have bearing on the contract. **It is an official way to notify DVA of any circumstance that might affect the SAA's contractual performance or of any activity that deserves highlighting.** It can also be used to report corrections to previous quarterly report numbers; clarify understandings; and make any other comments deemed necessary.

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# APPENDIX

The following are only possible examples of how Quarterly Report data can be collected and maintained. Each SAA will find its own approach which works for its circumstances.

**TABLE ONE. Program Approval Actions.**

Date	Name	Type	Approve	Dis.	Comment
10/5	Bitmap College (Degree Programs)	IHL	48	2	05-07 Catalog Approval Update
10/6	Other College (Non-Degree Prog.)	NCD	3		New Non-credit Certificate Programs
10/11	Sage Technical Institute	NCD	10	1	Initial Application Approval
10/15	Local no. 5567	APP	1		New Sound/Communications Approval
10/21	Wild Cat Outfitters, Inc.	OJT	1		New Welding Training Program
10/25	Bankrupt Tech	NCD		25	Withdrew Approval – Closed
10/26	Purdue High School	NDC	1		Approved for Chpt. 35 Beneficiary
10/27	Cosmo Institute	NCD	2		05-06 Catalog Approval Update
10/28	Mark-It Testing Group	NCD	4		4 new tests approved
10/28	Dept. of Corrections	OJT	2		New training programs approved.
10/30	Big State University (Degree)	IHL	245	10	05-08 Catalog Approval Update
10/30	Big State University (Non-Degree)	NCD	15		Summer 05 Catalog Approval

**TABLE TWO. Other Approval Actions Checklist.**

ACCREDITED INSTITUTIONS		TYPE: IHL	
Institution: Cost Cutter College		Action: Initial Application	
CHECK			
Approval Item	App.	Dis.	CFR
Approval Application Packet (if any)	X		21.4253(d)
Number Publications Reviewed	3		21.4253(d)(1)
Changes in Policy Reviewed			
a. Adequate Student Progress Records	X		21.4253(d)(2)
b. Probation Policy	X		21.4253(d)(1)(ii)
c. Grading System	X		21.4253(d)(1)(ii)
d. Student Conduct Policy	X		21.4253(d)(1)(iii)
e. Attendance Policy (if applicable)	X		21.4253(d)(5)
f. Graduation Standards	X		21.4253(d)(1)(i)
g. Independent Study/Dist. Educ.	X		21.4267
h. Practical Training	X		21.4265
i. TV/Correspondence Courses	X		21.4233(c)/21.4256
j. Previous Education/Training Policy	X		21.4253(d)(3)
k. Student access to Records		X	21.4253(d)(1)(ii)
l. Collegiate Entrance Requirements	X		21.4253(e)(2)
Other Changes Reviewed			
a. Change in Address			21.4258.(a)(2)
b. Continued compliance Equal Opportunity laws	X		21.4258(d)
c. New Branch Campus			21.4252(f)
d. Number New Schedules (NCD)	10	2	21.4266
e. Advertising: (Disapprove if	X		21.4252(h)

erroneous, deceptive, or misleading).			
Academic Quality Review:			
Courses, Curriculum & Instruction Consistent in quality, content & length	X		21.4253(d)(6)
Adequate space, equipment & instructional personnel.	X		21.4253(d)(7)
Faculty, Staff & Administrators qualifications & experience adequate.	X		21.4253(d)(8)
Additional Requirements:			
SAA Requirement:			21.4253(d)
Other DVA Requirements (List)			
<b>OTHER APPROVAL TOTALS :</b>	<b>30</b>	<b>3</b>	

**TABLE THREE. Other Approval Actions.**

Date	Name	Type	Approve	Dis.	Comment
10/5	Cost Cutter College (Degree)	IHL	30	3	Student Access Records/Schedules
10/6	Other College (Non-Degree Prog.)	NCD	3		
10/11	Sage Technical Institute	NCD	10		
10/15	Local no. 5567	APP	15		
10/21	Wild Cat Outfitters, Inc.	OJT	11		New Welding Training Program
10/25	Bankrupt Tech	NCD		14	Withdrew Approval – Closed
10/26	Purdue High School	NDC	5		
10/27	Cosmo Institute	NCD	8		
10/28	Mark-It Testing Group	NCD	4		
10/30	Big State University (Degree)	IHL	23	3	Independent Study/Practical Train Pol.
10/30	Big State University (Non-Degree)	NCD	5		

**TABLE FOUR. Visits to Facilities**

Facility Name	Facility Code	Visit Date	Report Date	Facility Type*	Visit Type**
Big State University	06060600	10/5/04	10/12/04	IHL	Supervision
For Profit Tech	09876800	10/7/04	10/12/04	NCD	Supervision
Adagio Corporation	New	10/10/04	10/12/04	APP	Inspection
Whirly Helicopter School	09876500	10/11/04	10/12/04	FLT	Supervision
Read A Book School	11234500	10/14/	10/16/04	CORR	Other
Bovine College	07809800	10/15/04	10/16/04	IHL	DVA
Round About Institute	07876900	10/20/04	10/20/04	NCD	Other
ABC Well Drilling	New	10/20/04	10/20/04	OJT	Inspection
Slippery College	06061100	10/21/04	10/25/04	IHL	Information
Mark It Corporation	09999900	10/27/04	11/15/04	Lic/Cert	Other
For Profit Tech	09876800	10/28/04	11/15/04	NCD	DVA
Local 816	17890700	10/29/04	11/5/04	APP	Supervision
Kids Play Corp.	06088600	10/30/04	11/5/04	OJT	Inspection

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\*IHL,NCD,APP,OJT,CORR,FLT, or LIC/Cert

\*\*Supervision, Inspection, DVA Requested, Other, and Information

**TABLE FIVE. Technical Assistance**

Date	Institution	Type	Contact Name	Description	Count
10/1/04	For Profit Inc.	NCD	Rick	Initial inquiry – how to apply	1
10/3/04	Prestige College	IHL	Sloan Tippin, Jr.	How to certify independent study	1
10/3/04	Transaction Corp.	APP	George Smith	Question re. Wage Scale	1
10/4/04	1 day Certifying Workshop			Upstate Workshop, 4 Staff	4

**TABLE SIX. Other Activities**

Date	Type	Description	Count
10/11/04	Liaison	Meet State Ed Department on Teacher Certification Prog. (2 staff)	2
10/14/04	Outreach	Mass mailing to 4,000 vets. (3 staff, 2 days)	6
10/20/04	Liaison	NASAA Contract Comm. Teleconference	1
10/25/04	Outreach	Presentation at TAPs program (1/2 day)	1
10/26/04	Outreach	Staff Booth at Veterans Information Day	1
10/30/04	Liaison	Teleconference Mtg. of IHL/NCD Committee	1

**TABLE SEVEN. Staff Development.**

Date	Description	Count
10/4/04	Attended State Training Day (whole staff of 6)	6
2/25/05	Attended NASAA Mid-Winter Meeting (2 staff, 3 days)	6

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# **SAA Education Reports Site**

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