

UNIT RECORD REPORT

Submitting the 2012-13 Report
Via the Portal

Training Presentation
CTC Financial Aid Administrators
August 28, 2013

**Washington Student
Achievement Council**



WSAC Presenters:

Steve Thorndill
Allyson Burns

SBCTC Presenter:

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- Provide institutional reports and profiles
- Assess the needs of students
- Guide legislative and other policy decisions
- Inform changes to state aid programs
- Minimize ad hoc data requests to institutions

August 20: Unit Record Report (URR)
application available

October 11: Finalized report due

October/November: WSAC analysis

December: Reports to policy makers

January: Institutional profiles available

- **Introduction**
 - Overview, purpose, changes, and timeline
- **Chapter 1 – General Instructions**
- **Chapter 2 – Data Definitions**
- **Chapter 3 – Web Based Application Tool**
- **Chapter 4 - Edits**
- **Appendices**

- **Appendices**

A – Institution Codes

B – Programs to Report as Need-Based, Non-Need Based and Federal Non-Need Based Loans

C – File Format and Valid Inputs

D – Quick Lookup by Financial Aid Program

E – Quick Lookup by Unit Record Report Field Name

- **Building a CSV file for submission**
 - Report only students who received financial aid based on the 2012-13 FAFSA year
 - Report files in CSV format with a header row
 - Review the field definitions in Chapter 2 of the manual and the record layout in Appendices B and C to determine valid field content



- SM9738J – CTC Unit Record job has been modified to produce a CSV file
 - File includes students who received financial aid during the 2012-13 year
 - File includes header row
- SBCTC-IT has been working with WSAC to ensure that file is correct format and passes portal file edits

- **Determine which students to report**
 - Need-Based Recipients – 2012-13 FAFSA required
 - Need-Based Aid Recipients – other programs where FAFSA data may or may not be available
 - Non-Need Based Loan Federal Loan Recipients (i.e. Federal Direct Unsubsidized Loans, Federal Parent PLUS Loans and Federal Grad PLUS Loans)

Appendix B in the Manual details these categories

- **Need-Based Recipients**
 - Intent is to capture all financial aid disbursements in a Unit Record Report
 - Report all financial aid received related to filing of the 2012-13 FAFSA with this report
 - Report on the 2013-14 URR all financial aid received related to the 2013-14 FAFSA



- SM9738J selects:
 - Need-Based recipients
 - Non-Need Based Federal Loan Recipients

- **Need-Based Recipients – FAFSA fields required**
 - Federal Pell Grant
 - Federal SEOG
 - Federal Work Study
 - Federal Perkins Loan
 - Federal Direct Subsidized Loan
 - State Need Grant
 - College Bound Scholarship
 - Passport to College Scholarship
 - State Work Study (On- and Off-Campus)
 - Need-Based Institutional Gift Aid

- **Need-Based Recipients – Other Programs**
 - Federal TEACH Grant
 - Federal Nursing Scholarship
 - Federal Nursing Health Loan
 - GET Ready for Math & Science
 - Opportunity Scholarship
 - SBCTC Opportunity Grant
 - Other State Funded Assistance
 - WorkForce Training
 - Institutional Employment

- **Federal Non-Need Based Loan Recipients**
 - Federal Direct Unsubsidized Loan
 - Federal Parent PLUS Loan
 - Federal Grad PLUS Loan

Note: For any of these loan recipients you report who are not also receiving need-based assistance, the information you report will be minimal.



- Both Need-Based awards and Non-Need Based Federal Loans have separate Processing Table entries. All are on the CIS/WAT Processing Table.
- There changes this year to the entries. New ones have been added and some are no longer used
- Check the SBCTC-IT URR documentation when available

- **Fields no longer included**
 - *Institution Code* (determined by login)
 - *Race Data Available* (portal to determine)
 - *Total State Work Study Earnings* (portal will determine total amount based on term values)
 - *Educational Opportunity Grant* (no longer funded)
 - *Disbursement Associated Need* (no longer required)

- **Fields no longer included** (continued)
 - *Need Associated Disbursement* (no longer required)
 - *Federal ACG (Year 1 and 2)* (no longer funded)
 - *Federal SMART Grant (Year 3 and 4)* (no longer funded)
 - *Need-Based Aid Recipient* (portal to determine based on types of aid reported)
 - *FAFSA On File* (portal to determine this if other FAFSA related fields are completed)



- SM9738J – CTC Unit Record job has been modified to no longer include these data elements in the CSV file

- **Field changes**

- Parent Contribution and Student Contributions (2 fields)
- reported as *Expected Family Contribution* (1 field)
- Institutional grants, scholarships, and waivers (4 fields)
- reported as either *Need-Based Institutional Gift Aid* or *Non-Need Based Institutional Gift Aid* (2 fields)
- Other Loans (1 field) - reported as *Institutional Loans*, *Conditional Loans*, *Private Loans*, and *Other Loans* (4 fields)
- *College Bound Scholarship* – first year of disbursements

- **New fields**
 - *Expected Family Contribution*
 - *Opportunity Scholarship*
 - *Need-Based Institutional Gift Aid*
 - *Non-Need Based Institutional Gift Aid*
 - *Institutional Loans*
 - *Conditional Loans*
 - *Private Loans*
 - *Other Loans*



- The CSV file created by SM9738J – CTC Unit Record job will contained the new fields and changed fields
- College Bound Scholarship Processing Table entry added last year and should be on your table
 - WCC150-COLLEGE-BOUND



- New Processing Table entries have been established for the new aid categories
 - Need-Based Institutional Gift Aid
 - Non-Need Based Institutional Gift Aid
 - Institutional Loans
 - Conditional Loans,
 - Private Loans
 - Other Loans
 - Opportunity Scholarship

- **For all financial aid recipients reported**
 - **Fields required:**
 - SSN
 - Is State Resident
 - Year In School
 - Financial Aid per term -even if '0'
 - Last Name
 - Gender
 - Enrollment Status per term
 - Report Financial Aid for each of five terms
 - Report Enrollment Status for each of five terms
 - Report non-need based aid received for all need-based recipients

- **Requirement changes**
 - CSV file requires header row (sample is available)
 - Financial aid reported on for each of five terms:
 - Summer 1 (used for leader/header awards)
 - Fall
 - Winter (semester schools to report as zeros '0')
 - Spring
 - Summer 2 (used for trailer awards)



- SM9738J selects:
 - Need-Based recipients
 - Non-Need Based Federal Loan Recipients

- **When to include summer aid in your reporting**
 - Review Chapter 2 of manual for detailed information
 - Summer aid to be reported are the amounts received based on the 2012-13 FAFSA submission
 - In general:
 - Leader/Header schools to report Summer 1 aid (Summer 2 should be reported as '0' aid received)
 - Trailer schools to report Summer 2 aid (Summer 1 should be reported as '0' aid received)
 - If a recipient was enrolled for more than one summer term (in the same summer), report the total amount received and the enrollment status for the student's full summer enrollment



- Included awards in B231 will be placed in the Summer 1 location in the CSV file
- Included awards in B235 will be placed in the Summer 2 location in the CSV file

- **Fields to also report for 2012-13 FAFSA filers**
 - Is Dependent
 - Family Size
 - Number in College
 - Family Income
 - Expected Family Contribution (EFC)
 - Cost of Attendance (COA)
 - Need Duration
 - Need Amount



- This data will be included in the CSV file for non-FAFSA filers if entered in FAM

SPECIAL NOTES ABOUT SELECTED FIELDS

- Duplicates are not accepted
 - Files containing duplicate SSNs will not upload
- SSNs of State Need Grant and College Bound Scholarship recipients will be compared to the SSNs reported in the SNG/CBS interim reports
- Discrepancies will show on edit reports

- Do not automatically use the Year in School reported on FAFSA
- Use the highest Year in School for which financial aid was disbursed



- Schedule the Post SM Grade Level to FAM job SM9146J to update the Year in School field on the FA tab
- Job looks in SMS for credits earned and transferred in to determine the number of credits a student has accumulated
 - Year 1 – less than 45 credits
 - Year 2 – earned 45 or more credits



- CTC's offering BAS degrees will need to manually update the 3rd and 4th year students after SM9146J runs

- Family Size
 - Generally reported from the FAFSA
 - Must be 2 or higher for dependent students
 - Must be 1 or higher for independent students
- Number in College
 - Must be 1 or higher
 - Cannot exceed the Family Size
 - Parents' enrollment in college should not be included unless it was a professional judgment

- Report the Family Income (taxable and untaxed) based on a review of the 2012-13 FAFSA
 - Often will be the 2011 income from FAFSA
 - If a professional judgment decision was made, report that income
 - Report integers with no dollar signs nor cents (e.g. 44010 and -10123)
 - The only place in the file where negative numbers can be used

- Report the Expected Family Contribution (EFC)
 - Often will be the Federal Methodology calculation produced by U.S. Department of Education based on the 2012-13 FAFSA
 - May be adjusted by professional judgment decisions
 - Should reflect the number of months reported in Need Duration

- Most campuses use several student budgets to reflect changes in living expenses that are reported as the Cost of Attendance
- Report the student budget amount related to Need Amount
- Should be based on the number of months reported in Need Duration

- Based on the number of months for which the Need Amount and Cost of Attendance were reported
- Report as integers from 1-12

Cost of Attendance

- Expected Family Contribution

= Need Amount

- All three items above should be based on the number of months reported in Need Duration
- Need Amount should be reported as '0' or higher (do not report negative values)



- SM9738 will generate a new error message of 'Need Amount Invalid' if the Need Amount is not the Cost of Attendance minus the combined Student and Parent Contribution

- Report the most current and accurate awards received by the student
- The Unit Record Reporting tool checks against SNG Final Interim
- “SNG not found in WSAC Records” - this edit can be overridden
- Review the “SNG Students Not Reported” report to verify all SNG recipients and awards are correctly reported

- Report the most current and accurate awards received by the student
- The Unit Record Reporting tool checks against SNG Final Interim
- “College Bound not found in WSAC Records” - this edit can be overridden
- Review the “College Bound Scholarship Not Reported” report to verify College Bound recipients and awards are correctly reported

- Separate on-campus & off-campus employment
- Report students' total gross earnings, which includes employer match
- Include summer employment
- Report either:
 - Actual gross earnings based upon monthly cutoff dates or institutional payroll dates
 - Average gross term earnings over the academic year for all terms student was enrolled at least half-time

- Report Institutional Gift Aid as either:
 - Need-Based Institutional Gift Aid - all institutional grants, scholarships and or waivers awarded solely or partially on a review of the 2012-13 FAFSA
 - Non-Need Based Institutional Gift Aid - all institutional grants, scholarships and or waivers awarded without regard to the FAFSA

- Report sources of state aid not reported elsewhere. Examples include:
 - American Indian Endowment Scholarship
 - GEAR UP
 - Washington Scholars
 - Washington Award for Vocational Excellence (WAVE)



- Complete list of the aid categories and corresponding Processing Table entry will be included in the SBCTC-IT Unit Record documentation
- Notice will be sent to Dirfinaid when the documentation is available

EDITS

- Edits help ensure data quality
- Edits are “softened” for students receiving only Non-Need Based Federal Loans
- FAFSA related edits are “softened” for students not receiving FAFSA required aid types

- **Refer to Chapter 4 in the manual**
 - Header row missing or invalid
 - Duplicate SSNs
 - Invalid codes
 - Blanks reported in required fields

- **Refer to Chapter 4 the manual**
 - “Just can’t be true” edits**
 - No financial aid reported
 - Non-resident with SNG or other state aid
 - Number in College greater than Family Size

- **Refer to Appendix C - Field content**
 - “Really?” edits**
 - Need Amount is Zero with Need-Based Aid
 - Budget changed with dropped credits
 - Year in School for Aid Type (Federal Grad PLUS Loan)
 - Student graduated mid year
 - Date of Birth outside of normal range
 - Cost of Attendance minus Expected Family Contribution (calculated by the edit program) does not equal Need Amount reported by the college



- Edits in SM9738J mimic WSAC edits
- Students with errors on SM9738 reports are included in the CSV file except:
 - Student's award amounts are zero
 - Student has awards that aren't entered in a CIS/WAT Processing Table entry

- Start uploading your CSV file early – please don't wait until the deadline for submission!
- Review the manual and training materials
- Use the URR informational reports to check for consistency & validity
- CTCs – be sure to review SBCTC documentation
- Please contact us if you have questions or problems that are not addressed in the manual



- CTC URR Basic Steps
 - Reconcile awards with expenditure data
 - Run job to post SMS Year in School to FA tab
 - Run job to update academic hours on Academic tab
 - Run job to update Residence status from SMS
 - Run DataExpress procedure to determine if award code was used during 2012-13
 - Update CIS/WAT Processing Table



- CTC URR Basic Steps (continued)
 - Run SM9738J
 - Review reports and correct errors
 - Run SM9738J in final mode to generate final reports and CSV file
 - Download CSV file to local network drive using HPUX screen SM9724
 - Upload CSV file to WSAC Portal

USING THE WEB APPLICATION

Washington Student
Achievement Council

WSAC Secure Portal
Washington Student Achievement Council
[Login](#)

This web site is a tool for authorized people only.

If you are a student, and don't have a user name and password, click [here](#) to register.

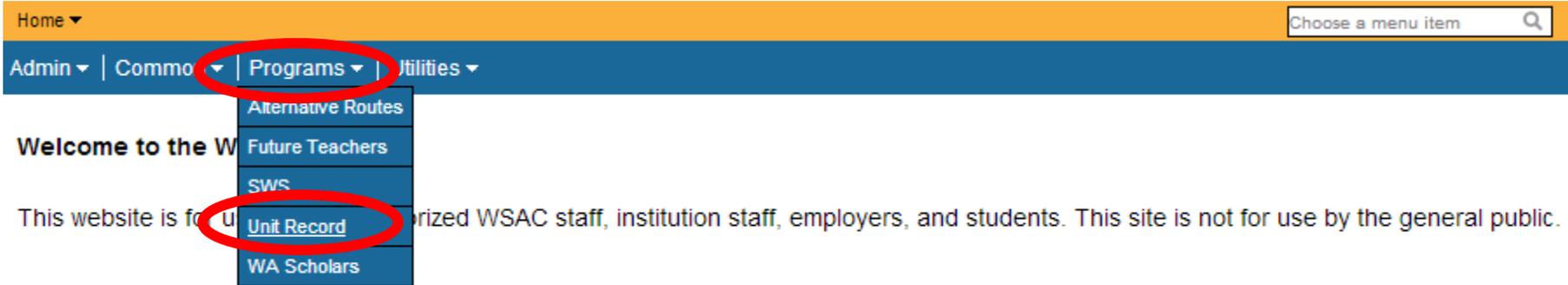
To apply for the College Bound Scholarship click [here](#).

User Name:

Password:

Forgot your password? Click [here](#).

In the Programs menu, click on Unit Record.



Welcome to the Higher Education Unit Record Warehouse!

The Process:

1. Upload your student data file
2. Address any errors in the data and override as necessary
3. Optionally review or add individual student records
4. When the data is complete, review and submit the report

Next: Proceed to Upload

- The welcome screen will appear on your first login.
- Logging in after Unit Record Report data has been entered, you will be taken directly to the current step: “Ready to Begin,” “In Progress,” or “Submitted.”

From the welcome screen, click on “Next: Proceed to Upload.”

Welcome to the Higher Education Unit Record Warehouse!

The Process:

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2. Address any errors in the data and override as necessary
3. Optionally review or add individual student records
4. When the data is complete, review and submit the report

Next: Proceed to Upload

Uploading Data From File

PLEASE NOTE: Each upload attempt represents a FRESH start. All existing data for the year will be deleted.

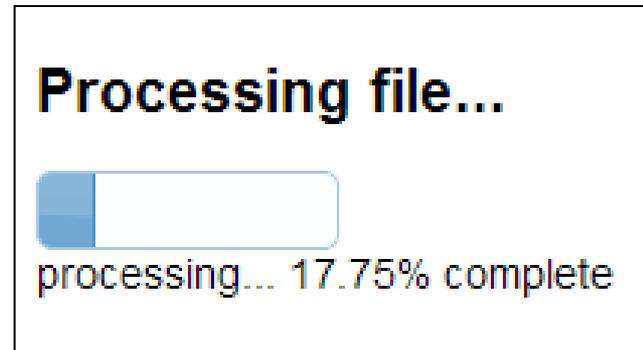
No file chosen Or [Add Students Manually](#)

Select a CSV file.

PLEASE NOTE: Each upload attempt represents a FRESH start. All existing data for the year will be deleted.

URRTTestFile.csv Or [Add Students Manually](#)

Upload.



This progress bar allows users to see how much of the file has been reviewed for upload errors.

Uploading Data From File

Error message if file fails the upload process

⚠ This file cannot be saved due to errors. Please correct your file and resubmit.

Row 79: Field 'LastName' is required

discard file

Row Number Field error

Discard file, correct error, and re-upload.

Uploading Data From File

Once the file upload is complete, verify the total number of students and the number of students by year in school.

Proceed to Edits.

File Upload Complete!

Press 'Proceed to Edits' if the uploaded data appears to be correct. Otherwise, press 'Discard Upload' to start again.

Proceed to Edits	Discard Upload
Total Student Rows	457
Class Counts -	
Freshman/1st Year	25
Sophomore/2nd Year	27
Junior/3rd Year	42
Senior/4th Year	191
Graduate	169
Other	3

Processing Edits

This may take awhile. Edits can be fixed while the Portal reviews remaining records for edits. Periodically click “Refresh.”

processing... 

230/ 457

We're currently processing your edits. You may work on resolving edits as we process them. You can also leave this page or log out and come back when processing is complete.

Alternatively, we can [email you a csv download](#) of all your edits once processing completes.

Unit Record Edits



Showing results 1 - 4 of 4

<u>SSN</u>	<u>Student ID</u>	<u>Last</u>	<u>First</u>	<u>Middle</u>	<u>Error</u>	<u>Overridable</u>
999999559	Stu0484	Smith	A		Student not Enrolled	Overrideable
999999560	Stu0483	Johnson	D	D	College Bound Scholarship award not found in WSAC records	Overrideable

Processing Edits

Filter by Edit Type or Sort by SSN, Student ID, Name, Error message or Overrideable.

Last processed on 8/8/2013 8:30:56 AM

[download all edits into csv](#) [Reprocess Edits](#) [Delete Upload](#) [Add a new unit record to the report](#)

Unit Record Edits

6 errors (5 overridable - 1 overridden; 0 informational)

Show Informational Overridden

SSN	Student ID	Last	First	Middle	Error	Overrideable
999999559	Stu0484	Smith	A		Student not Enrolled	Overridden

Processing Edits

<u>Overridable</u>
Overridden
Overrideable


Overridden – reason given
Overrideable – must fix data or give reason
Non-Overrideable – must fix data

The file cannot be submitted until all Non-Overrideable edits are fixed and all Overrideable edits are fixed or overridden with a reason.

Processing Edits

To override or edit student date, click on student's SSN to open the student record.

<u>SSN</u>	<u>Student ID</u>	<u>Last</u>	<u>First</u>	<u>Middle</u>	<u>Error</u>	<u>Overrideable</u>
999999559	Stu0484	Smith	A		Student not Enrolled	Overrideable
999999560	Stu0483	Johnson	D	D	College Bound Scholarship award not found in WSAC records	Overrideable

Processing Edits

999-99-9559

Smith, A

SID: Stu0484

[Add a new Unit Record](#)

Errors

Student not Enrolled [+ Override](#)

Student Demographics and Need **Student Aid**

SSN	<input type="text" value="999999559"/>	Institution Student Id	<input type="text" value="Stu0484"/>	Marital Status	<input type="text" value="UnMarried"/>
Last Name	<input type="text" value="Smith"/>	First Name	<input type="text" value="A"/>	Middle Name	<input type="text"/>
Date of Birth	<input type="text" value="1/29/1987"/>	Is Dependent	<input type="text" value="Yes / true"/>	Year in School	<input type="text" value="Senior/4th Year"/>
Gender	<input type="text" value="Female"/>	Family Size	<input type="text" value="5"/>	# Family in College	<input type="text" value="1"/>
		Is State Resident	<input type="text" value="Yes / true"/>		

Need

+ Cost of Attendance	<input type="text" value="35352"/>	Total Family Income	<input type="text" value="7268"/>
- Expected Family Contribution	<input type="text" value="0"/>	Need Duration (months)	<input type="text" value="9"/>
= Need Amount	<input type="text" value="35352"/>		

Ethnicity/Race

Is of Hispanic Origin	<input type="text" value="Yes / true"/>	Is Native Hawaiian/Pacific Islander	<input type="text" value="No / false"/>
Is Asian	<input type="text" value="Yes / true"/>	Is White	<input type="text" value="Yes / true"/>
Is Black/African American	<input type="text" value="No / false"/>	Is Other Race	<input type="text" value="No / false"/>
Is American Indian Alaska Native	<input type="text" value="No / false"/>		

[<<Prev](#) [Next>>](#) [Save](#) [Delete](#)

Edit the data or override with a reason.

999-99-9559 Smith, A SID: Stu0484 [Add a new Unit Record](#)

Errors

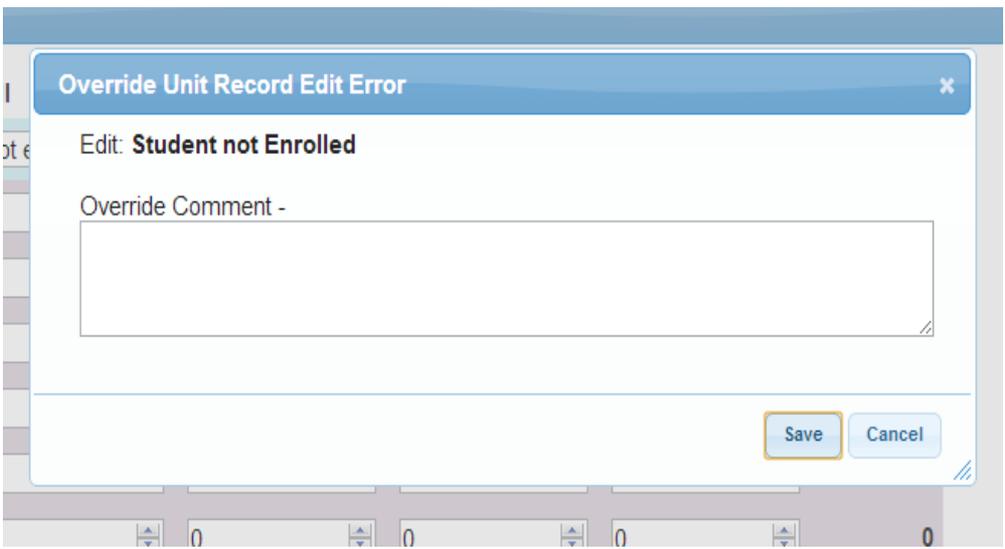
Student not Enrolled + Override

Student Demographics and Need **Student Aid**

	Summer 1	Fall	Winter	Spring	Summer 2	Total
Enrollment Status	Not enrolled <input type="text"/>					
Federal Pell Grant	Not enrolled <input type="text"/>	0 <input type="text"/>	0 <input type="text"/>	0 <input type="text"/>	0 <input type="text"/>	0
Federal SEOG	Full time <input type="text"/>	0 <input type="text"/>	0 <input type="text"/>	0 <input type="text"/>	0 <input type="text"/>	0
Federal Work Study	Half time <input type="text"/>	0 <input type="text"/>	0 <input type="text"/>	0 <input type="text"/>	0 <input type="text"/>	0
Federal Perkins Loan	3/4 time <input type="text"/>	0 <input type="text"/>	0 <input type="text"/>	0 <input type="text"/>	0 <input type="text"/>	0
Federal Nursing Health Loans	< Half Time <input type="text"/>	0 <input type="text"/>	0 <input type="text"/>	0 <input type="text"/>	0 <input type="text"/>	0
Federal Nursing Scholarships		0 <input type="text"/>	0 <input type="text"/>	0 <input type="text"/>	0 <input type="text"/>	0
Federal Subsidized Stafford Loans		0 <input type="text"/>	0 <input type="text"/>	0 <input type="text"/>	0 <input type="text"/>	0
Federal Unsubsidized Stafford Loans		0 <input type="text"/>	0 <input type="text"/>	0 <input type="text"/>	0 <input type="text"/>	0
Federal TEACH Grant		0 <input type="text"/>	0 <input type="text"/>	0 <input type="text"/>	0 <input type="text"/>	0

<<Prev Next>> Save Delete

If overriding, enter reason in the pop-up box.



Processing Edits

To review the override reason, hover the mouse over the information icon.

Aid paid for admissions and testing fee. Student ended up not attending.

Smith, A SID: Stu0484

Student not Enrolled overridden by Allyson Burns on 8/8/2013 9:05 AM [Update Override](#) [Remove Override](#)

Student Demographics and Need **Student Aid**

	Summer 1	Fall	Winter	Spring	Summer 2	Total
Enrollment Status	Not enrolled					
Federal Pell Grant	0	0	0	0	0	0
Federal SEOG	0	0	0	0	0	0

Student Aid Screen

All aid must be reported by term. If the term is not applicable at the school, report "Not enrolled" and "0" funding (typically).

	Summer 1	Fall	Winter	Spring	Summer 2
Enrollment Status	Not enrolled ▾				

Federal

- Federal Pell Grant
- Federal SEOG
- Federal Work Study
- Federal Perkins Loan
- Federal Nursing Health Loans
- Federal Nursing Scholarships
- Federal Subsidized Stafford Loans
- Federal Unsubsidized Stafford Loans
- Federal TEACH Grant
- Federal Grad PLUS Loans
- Federal Parent PLUS Loans

State

- State Need Grant
- Opportunity Scholarship
- WorkForce Training Funds
- SBCTC Opportunity Grant
- Passport to College Scholarship
- College Bound Scholarship
- Other State Funded Gift Assistance
- On Campus State Work Study
- Off Campus State Work Study
- GET Ready for Math Science

Institution / Other

- Outside Scholarships
- Need Based Institutional Gift Aid
- Non-Need Based Institutional Gift Aid
- Institutional Employment
- Other Agency Assistance
- Other Loans
- Conditional Loans
- Private Loans
- Institutional Loans

Submitting Report

When all errors have been fixed or overridden, “Submit This Unit Record Report” will show.

Last processed on 8/8/2013 10:37:53 AM [download all edits into csv](#) [Reprocess Edits](#) [Delete Upload](#) [Add a new unit record to the report](#)

Unit Record Edits

4 errors (4 overridable - 4 overridden; 0 informational)

Show

Informational Overridden

All edits have been addressed - you may submit your report.

[Submit This Unit Record Report](#)

Showing results 1 - 4 of 4

SSN	Student ID	Last	First	Middle	Error	Overridable
999999559	Stu0484	Smith	A		Student not Enrolled	Overridden
999999573	Stu0470	Jones	S	M	Cost Of Attendance minus EFC does not equal Need	Overridden
999999742	Stu0301	Lee	B	J	State Need Grant award not found in WSAC records	Overridden
999999894	Stu0149	White	S	E	Federal Parent PLUS Loan recipient cannot be reported as graduate student	Overridden

Submitting Report

Review data summary.

“Submit Unit Record Report”

Congratulations, your report can now be submitted to the Washington Student Achievement Council

Submit Unit Record Report ^ -OR- Delete Upload ^ [Add a new unit record to the report](#)

Unit Record Report Information for		School Name	- 2012-2013
Total Student Records in the Report		457	
Total Edit Messages Present		4	
	Overrideable/Overridden:	4	
	Informational:	0	



- For help with setup in FAM, running any of the jobs, correcting errors and downloading the CSV file, contact SBCTC-IT Customer Support.

support@sbctc.edu

425-803-9721

- Review the manual, available online at:
[http://www.wsac.wa.gov/ProgramAdministration/
FinancialAid/UnitRecord](http://www.wsac.wa.gov/ProgramAdministration/FinancialAid/UnitRecord)
- Contact Washington Student Achievement Council staff at unitrecord@wsac.wa.gov

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