WASHINGTON STUDENT ACHIEVEMENT COUNCIL
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Unit Record Report

Submitting the 2014-15 Report Via the Portal and CTC FAS Update

Webinar Training Presentation
August 25, 2015

Council and SBCTC Staff on the Webinar

- Steve Thorndill, Associate Director, Training & Compliance
- Becky Phillips, FAS Product Manager, SBCTC-IT
- Ann Voyles, Program Associate
- Kara Larson, Data Analyst

Purpose of the Unit Record Report

- 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

Timeline

URR Manual available electronically:

http://www.wsac.wa.gov/unit-record

August 17: Unit Record Report (URR) application opens

October 9: Finalized report due

October/November: WSAC analysis

December: Reports to policy makers

January 2016: Institutional profiles available

Manual Overview

- **Introduction**
  - Overview, purpose, changes, and timeline
- **Chapter 1 – General Instructions**
- **Chapter 2 – Data Definitions**
- **Chapter 3 – Reporting Application User's Guide**
- **Appendices**

Manual Overview

- **Appendices**

  A – Need-Based and Non-Need Based Program Recipients to Report

  B – Record Layout – File Format and Valid Inputs

  C – System Edits that Prevent File Upload & Import

  D – Quick Lookup by Financial Aid Program

  E – Quick Lookup by Unit Record Report Field Name

Portal CSV File Submission

- **Building a CSV file for submission**
  - Report only students who received financial aid based on the 2014-15 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 2014-15 year
  - File includes header row
- SBCTC-IT will be working with WSAC to ensure that file is correct format and passes portal file edits

Reporting Requirements

- **Determine which students to report**
  - Need-Based Recipients – 2014-15 FAFSA required
  - Need-Based Aid Recipients – other programs where FAFSA data may or may not be available
  - Non-Need Based Federal Loan Recipients (i.e., Federal Direct Unsubsidized Loans, Federal Parent PLUS Loans, and Federal Grad PLUS Loans)

Appendix A in the Manual details these categories

- **SM9738J selects:**
  - 2014-15 Need-Based recipients
  - 2014-15 Non-Need Based Federal Loan Recipients

Reporting Requirements

- **Need-Based Recipients**
  - Intent is to capture all financial aid disbursements in a Unit Record Report
  - Report this year all financial aid received based on filing of the 2014-15 FAFSA
  - Report on next year's URR all financial aid received based on the 2015-16 FAFSA

Programs to Report

- **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

Programs to Report

- **Need-Based Recipients – Other Programs**
  - Federal TEACH Grant
  - Federal Health Professional Scholarships & Grants
  - Federal Health Professional Loans
  - GET Ready for Math & Science
  - Opportunity Scholarship
  - SBCTC Opportunity Grant
  - Other State Funded Assistance
  - Worker Retraining Program Funds
  - Need-Based Institutional Gift Aid
  - Institutional Employment (if need based)

- Both Need-Based awards and Non-Need Based Federal Loans have separate Processing Table entries. All are on the CIS/WAT Processing Table.

- Check the SBCTC-IT URR documentation when available

Basic Food Employment and Training (BFE&T or BFET)

- If your need-based recipients receive BFET funds and they are easily reportable from your system, include the amounts received for the same period of time reported on for your recipients.

- Should be reported as WorkForceTrainingFunds

- Enter your **BFET** award codes in the **WCC150-WKFORCET** entry on the CIS/WAT Processing Table.

Programs to Report

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

Note: The information reported will be minimal for Federal loan recipients who are not also receiving need-based assistance.

Changes for 2014-15 Portal

- **Refer to Page iii in the Manual**
- **Consistency with other WSAC Reporting**
  - SNG, CBS, and Passport funds reported will be compared with Final Interim Report and other Portal records by recipient.
  - Individual differences greater than $10 will generate an overrideable error edit at file upload.

Changes for 2014-15 Portal

- **WASFA Data in Absence of FAFSA**
  - Report WASFA data if FAFSA information is not available and the student received need-based assistance and only filed a WASFA.
  - This applies mainly to DREAMers who received SNG in 2014-15.

- DREAMers who received need based aid and only submitted WASFA ISIRS will be included.

Changes for 2014-15 Portal

- Field Rule Changes
  - SSN Field - Students Reported in Interim Report (IR)
    - Must match IR data previously submitted or receive upload error
    - If missing from URR but reported in Interim Report, appears as difference in SNG/CBS/Passport Discrepancy Report
    - Order of preference
      - Social Security Number
      - Nine-digit tax identification number
      - WASFA applicant identification number

Changes for 2014-15 Portal

- **Field Rule Changes, continued:**
  - **SSN Field - Students Not Reported in Interim Report**

    Populate SSN field with nine-digit number used in your institutional reporting

  - **Year In School**

    Code '8' or 'Other' – Use to report need-based aid for Running Start students or other students who have not yet graduated from high school

Changes for 2014-15 Portal

- **Valid Input Range Changes**

Category	Old Value	New Value
Family Income	-200000 to 500000	-300000 to 600000
Cost of Attendance	0 to 200000	0 to 250000
Expected Family Contribution	0 to 200000	0 to 250000
Need Amount	0 to 200000	0 to 250000
Federal Pell Grant	0 to 5650	0 to 5730
Federal Direct Subsidized Loans	0 to 17000	0 to 20000
Federal Direct Unsubsidized Loans	0 to 82000	0 to 90000

Changes for 2014-15 Portal

- **Family Income**
  - Report actual family income amounts even if higher or lower than the system edit amounts
  - Indicate "actual income reported on FAFSA (or WASFA)" if an edit occurs
- **Need Amount**

  Adjust any negative need amounts to zero. Should you not do this, WSAC will adjust all negatives to zero.

Early Announcement – Changes considered for 2015-16 Unit Record Report

- **Reporting of tuition waiver dollars for SNG and CBS recipients**
  - Include full or partial tuition waivers
  - Cost of attendance to reflect tuition prior to application of waiver
  - Report waivers as a financial aid resource in Need-Based Institutional Gift Aid, or Non-Need Based Institutional Gift Aid
  - Not required until 2015-16 URR
  - Institutions are encouraged to report it this way in the 2014-15 URR, if possible

Reporting Requirements

- **For all financial aid recipients reported**
  - Fields required:
    - **SSN**
    - **First Name**
    - **Last Name**
    - **Gender**
    - **Is State Resident**
    - **Year In School**
    - **Financial Aid per term – even if '0'**
    - **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

Reporting Requirements

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

- **SM9738J** selects:
  - Need-Based recipients
  - Non-Need Based Federal Loan Recipients
  - Will produce CSV file with required header
  - All 5 quarters are included in CSV file
    - Data from the appropriate quarter will be placed in appropriate location in CSV file

Reporting Requirements

- **When to include summer aid in your reporting**
  - Review Chapter 2 of Manual for detailed information
  - Summer aid reported are amounts received based on 2014-15 FAFSA or WASFA
  - In general:
    - Leader/Header schools to report Summer 1 aid (Report Summer 2 as '0')
    - Trailer schools to report Summer 2 aid (Report Summer 1 as '0')
  - If recipient enrolled more than one "term" in same summer – Report total amount received and enrollment status as one enrollment term

- Included awards in **B451** will be placed in the Summer 1 location in the CSV file

- Included awards in **B455** will be placed in the Summer 2 location in the CSV file

FAFSA Related Fields

- **Fields to also report for 2014-15 FAFSA & WASFA filers**
  - Marital Status
  - 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 FAFSA filers and for DREAMers receiving need based aid who submitted the WASFA.

SPECIAL NOTES
ABOUT SELECTED FIELDS

Social Security Numbers

- 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 July final Interim Report
- SSNs of Passport to College recipients will be compared to recipient Portal records
- Discrepancies will show on edit reports

Year in School

'1' or 'Freshman/1st Year' '2' or 'Sophomore/ 2nd Year' '3' or 'Junior/3rd Year' 4' or 'Senior/4th Year' '5' or Unclassified/5th Year' '6' or 'Graduate' '7' or 'Professional' '8' or 'Other'	Required for all recipients. Report the status as of the beginning of the term of the recipient's last financial aid disbursement for the 2014-15 year.

Year in School – Reminders

- Do not automatically use the Year in School reported on FAFSA or WASFA
- Report the highest Year in School for which the student attended when the student's financial aid was disbursed
- Code '8' or 'Other' – Use to report need-based aid for Running Start students or other students who have not yet graduated from high school

- Run **SM9146J** – Post SM Grade Level to FAID/Credit job prior to running **SM9738J**

- Correct value will be posted to the Year in School field on the FA Tab in FAM except:

  - Running Start students – will need to manually enter '8' into the Year in School field on the FA Tab in FAM

- **SM9738J** will use the value posted to the Year In School field on the FA Tab in FAM

Family Information

- **Family Size**
  - Generally reported from the FAFSA or WASFA
  - 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

Family Income

- **Report the Family Income (taxable and untaxed) based on a review of the 2014-15 FAFSA or WASFA**
  - Often will be the 2013 income from FAFSA or WASFA
  - If a professional judgment decision was made, report that income
  - Report integers without dollar signs or cents (e.g., 44010 and -10123)
  - The only place in the file where negative numbers can be used

- If dependent, the parent's AGI and untaxed income is reported
- If independent, the student's AGI and untaxed income is reported
- Negative incomes will be reported

Expected Family Contribution

- **Report the Expected Family Contribution (EFC)**
  - Often will be the Federal Methodology calculation produced by U.S. Department of Education based on the 2014-15 FAFSA, or WASFA
  - May be adjusted by professional judgment decisions
  - Should reflect the number of months reported in Need Duration

Cost of Attendance

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

Need Amount

Cost of Attendance

- Expected Family Contribution

= Need Amount

- Base all three items on number of months reported in Need Duration
- For Need Amount, report the amount used in the disbursement of aid
- Report Need Amount as ‘0’ or higher (do not report negative values)

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

Need Duration

- Report Need Duration based on the number of months for which the Need Amount and Cost of Attendance were reported

- Normally report as integers from 1-12

Term Enrollment Status

Undergraduate Enrollment Status	Credits	Scheduled Clock Hours	URR Codes
Not Enrolled	n/a	n/a	'0' or 'Not enrolled'
Full-Time	12 or more	300 or more	'1' or 'Full time'
Half-Time	6 – 8	150 – 224	'2' or 'Half time'
Three-Quarter Time	9 – 11	225 – 299	'3' or '3/4 time'
Less Than Half-Time	Less than 6	Less than 150	'5' or '< Half time'

Reporting Term Enrollment

Approximate Term Date Ranges for Clock-Hour Institutions

Term	From	To
Summer 1	July 1, 2014	September 11, 2014
Fall	September 12, 2014	November 22, 2014
Winter	November 23, 2014	February 5, 2015
Spring	February 6, 2015	April 18, 2015
Summer 2	April 19, 2015	June 30, 2015

State Need Grant

- Report the final awards received by the student
- The Unit Record Reporting tool checks against SNG Final Interim Report – Critical
- Review the "SNG Students Not Reported" report to verify all SNG recipients and awards are correctly reported

College Bound Scholarship

- Report the final awards received by the student
- The Unit Record Reporting tool checks against SNG Final Interim Report – Critical
- Review the "College Bound Scholarship Not Reported" report to verify College Bound recipients and awards are correctly reported

State Work Study

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

Institutional Gift Aid

- **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 2014-15 FAFSA
  - Non-Need Based Institutional Gift Aid – all institutional grants, scholarships, and/or waivers awarded without regard to the FAFSA

Other State Funded Gift Assistance

- **Report sources of state aid not reported elsewhere.** Examples include:
  - American Indian Endowed Scholarship
  - GEAR UP (include SETA, and GET funds for 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 and when the 2014-15 **SM9738J** is available

EDITS

Edits to Ensure Data Quality

- Edits help ensure data quality
- Edits are "softened" for students receiving only Non-Need Based Federal Loans
- FAFSA related edits also are "softened" for students not receiving FAFSA (or WASFA) required aid types

Edits that Prevent File Upload

- **Refer to Appendix C (page 40) in the Manual**

  Examples of errors that prevent upload

  - Header row missing or invalid
  - Duplicate SSNs
  - Invalid codes
  - Blanks reported in required fields

  Be sure to review all 12 items!

Non-Overrideable Edit Examples

- **Refer to Appendix C (page 41 - 42) in the Manual**
  - No financial aid reported
  - Non-resident with SNG or other state aid
  - Number in College greater than Family Size

Overrideable Edit Examples

- **Refer to Appendix C (pages 41 – 42) – Field Content**
  - 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 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
- 'C' report can optionally list students by error message or error messages by student

Tips and Best Practices

- Upload your CSV file early – don't wait for the deadline!
- Review 2014-15 URR Manual and training materials, and test upload using the Portal training environment:

  https://fortress.wa.gov/wsac/portaltraining/

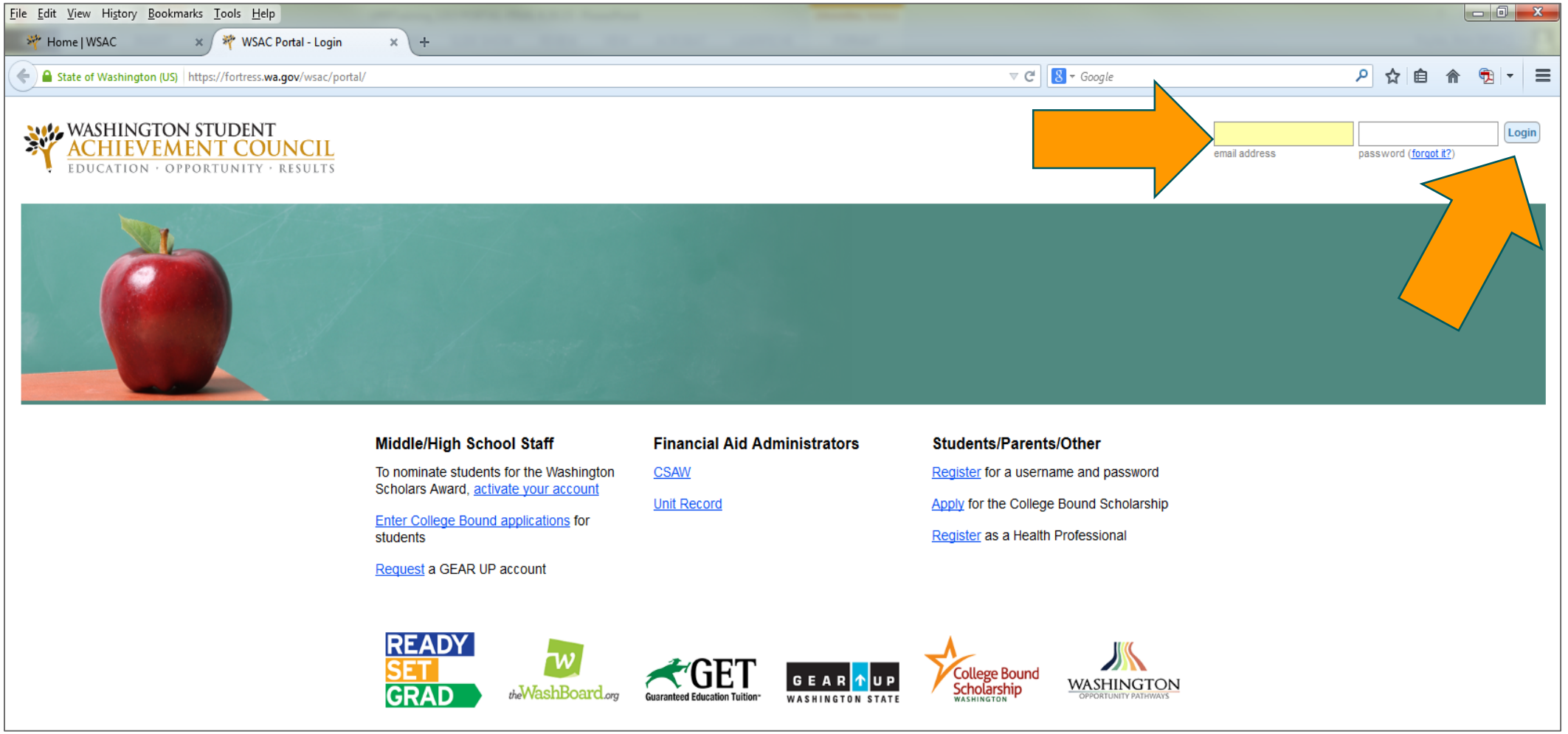
  (Data entered is temporary; information clears overnight)
- Use URR informational reports to check for consistency & validity
- CTCs – Review SBCTC 2014-15 URR Manual when available
- Contact us with questions or problems not addressed in Manual

- **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 2014-15
  - 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

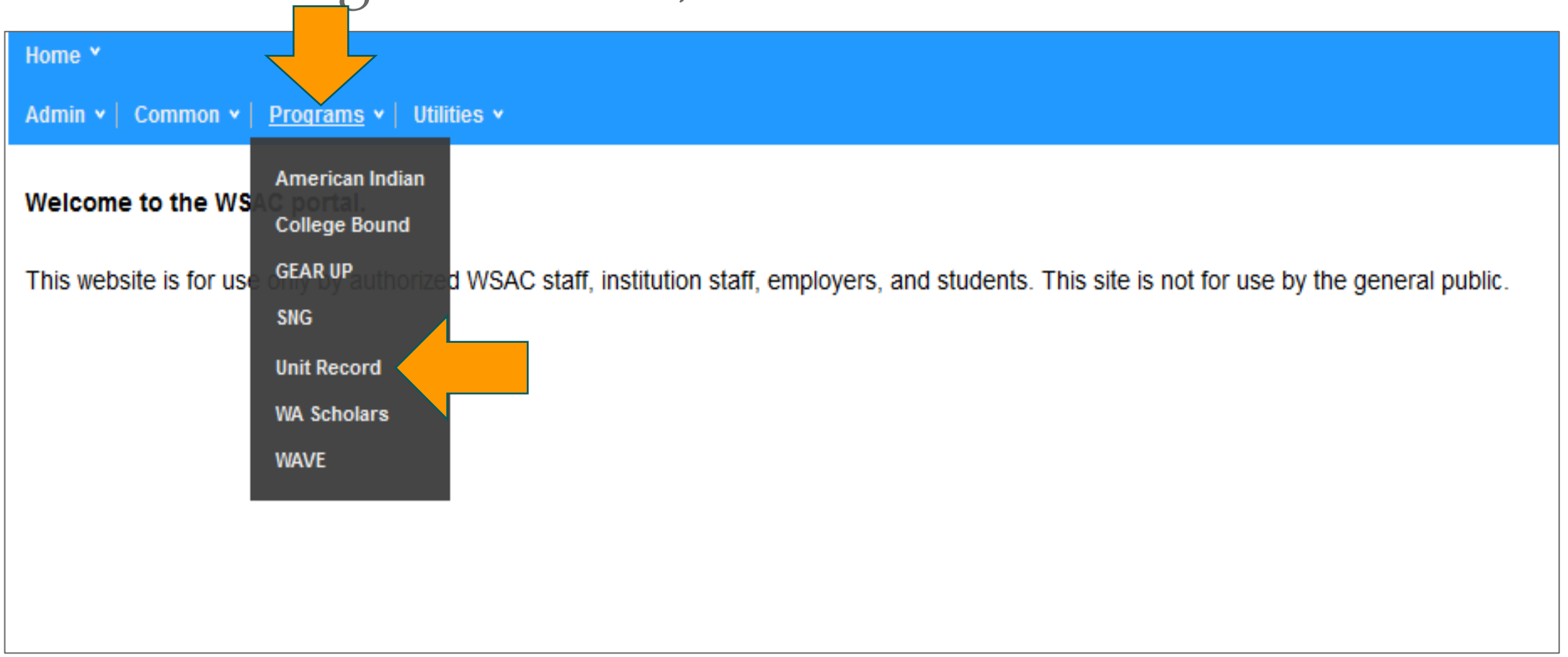
USING THE WEB APPLICATION

Logon to the Portal
https://fortress.wa.gov/wsac/portal/

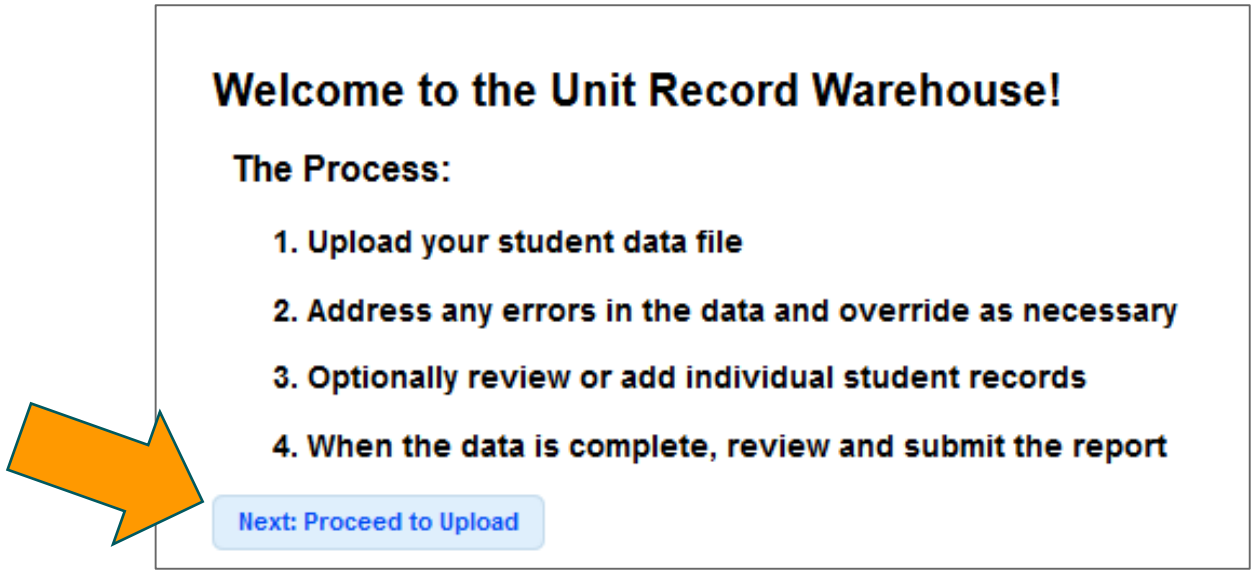


URR Portal Submission Tool

In the Programs menu, click on Unit Record.

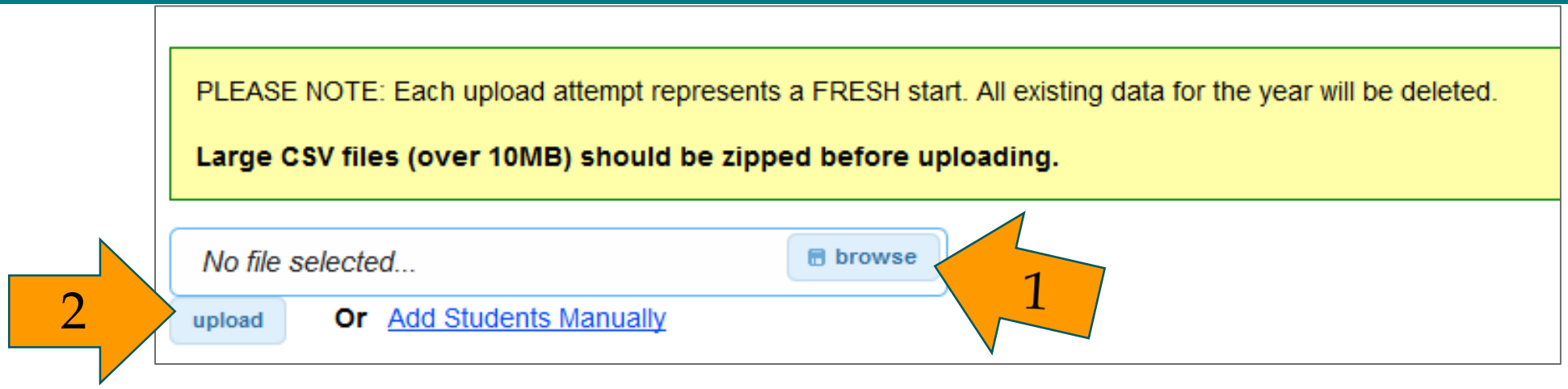


URR Portal Submission Tool



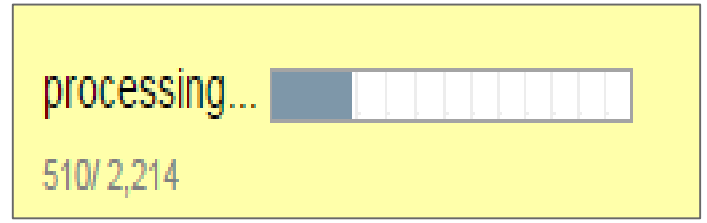
- The welcome screen will appear on your first login.
- From the welcome screen, click on "Next: Proceed to Upload."
- If logging in after URR data has been entered, you will be taken directly to the current step: "Ready to Begin," "In Progress," or "Submitted."

Uploading Data From File



1. **Browse to select a CSV File.**

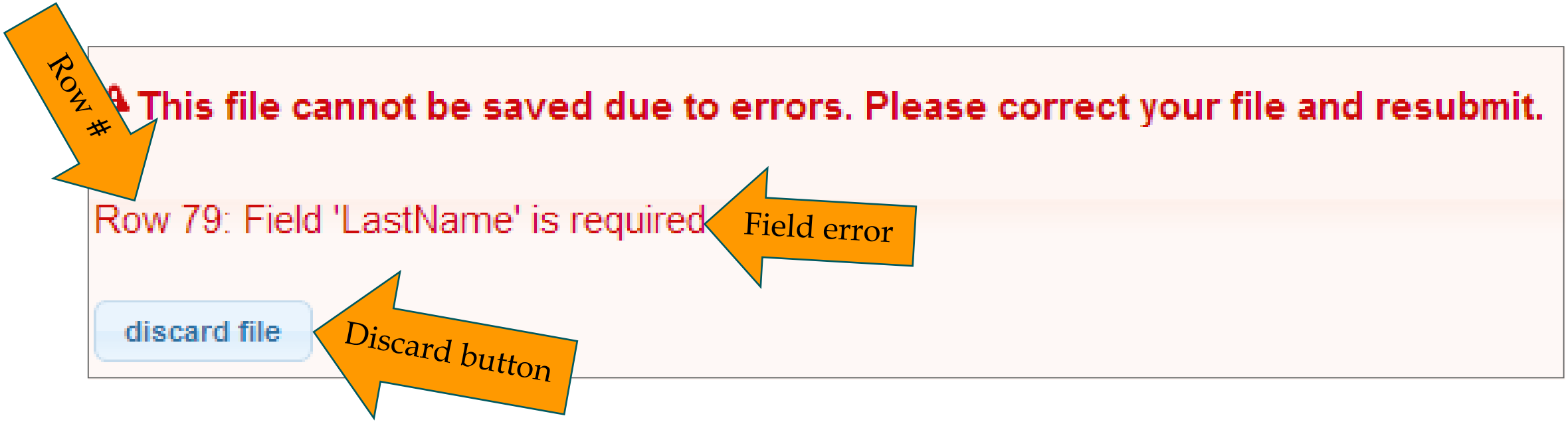
2. **Upload.**



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

Uploading Data From File

Error message(s) appear if the file fails the upload process.

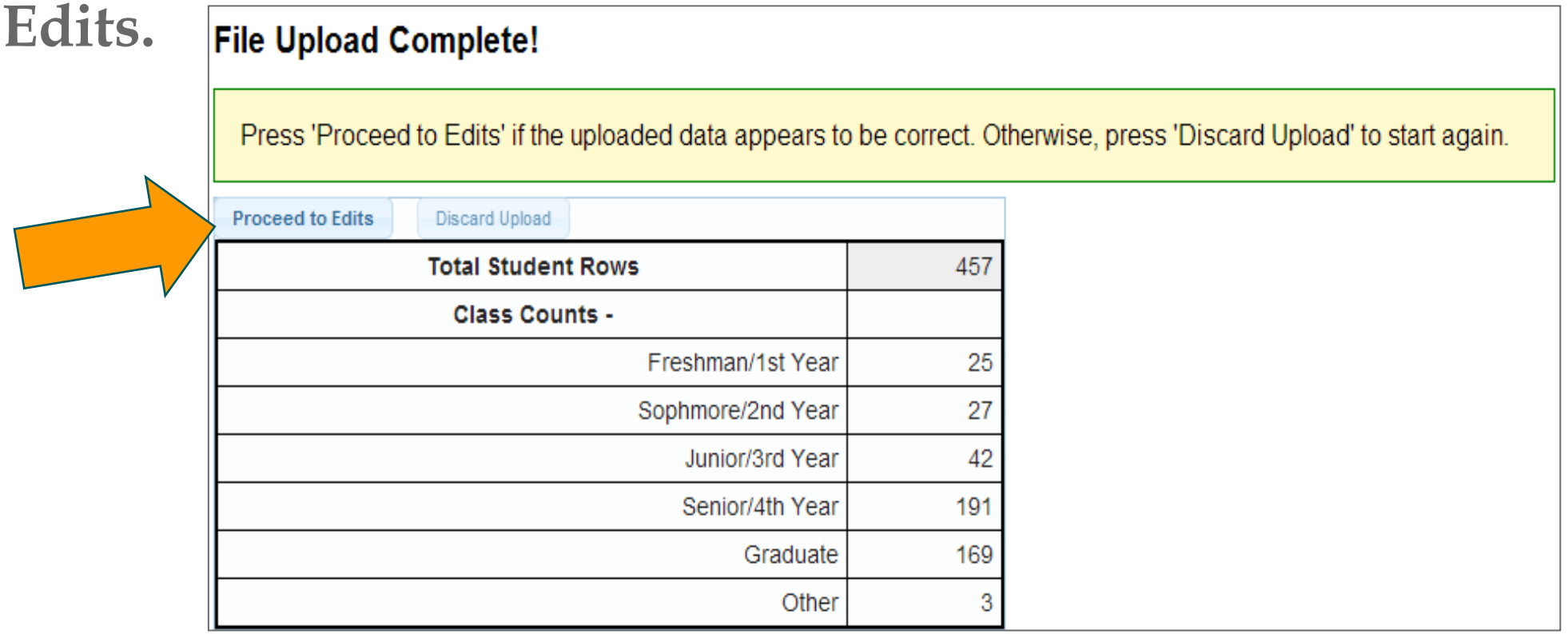


Discard the file, correct the error, and re-upload.

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!

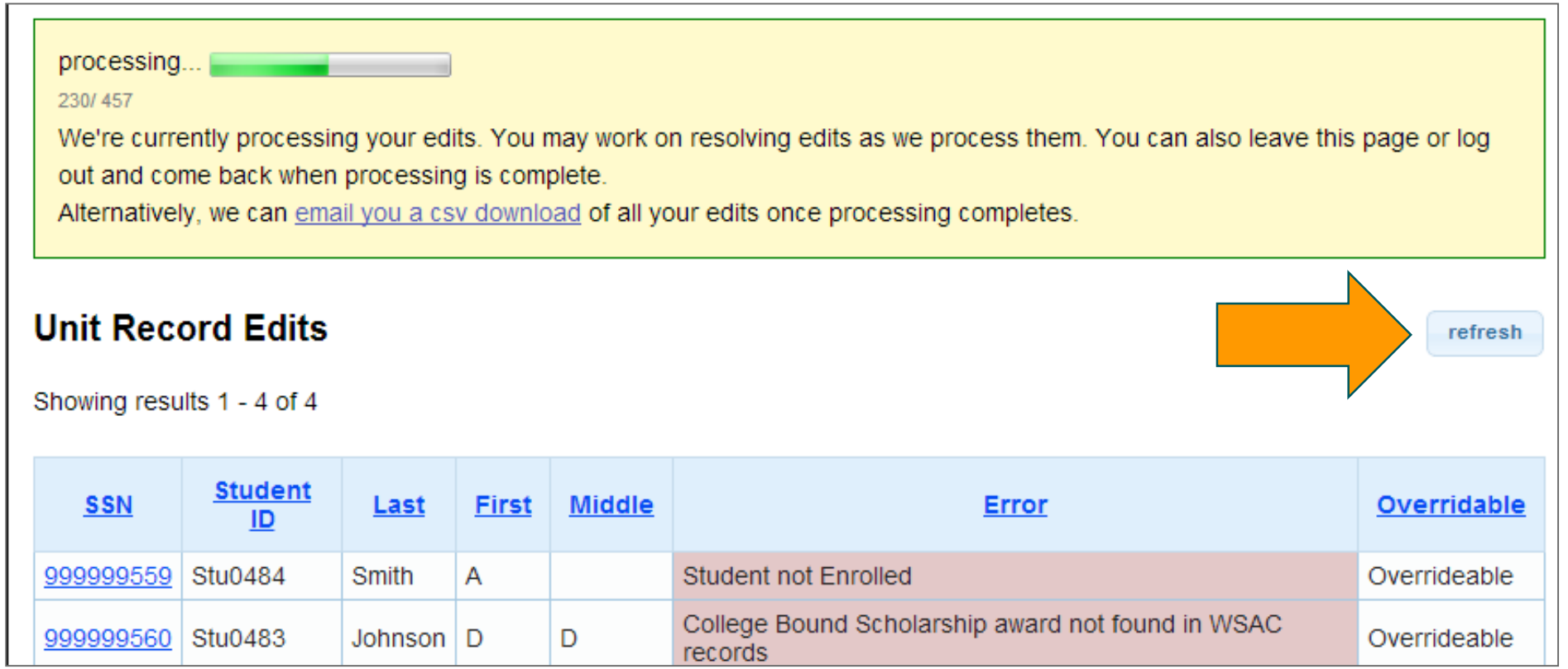
Press 'Proceed to Edits' if the uploaded data appears to be correct. Otherwise, press 'Discard Upload' to start again.

Proceed to Edits | Discard Upload

Total Student Rows	457
Class Counts -	
Freshman/1st Year	25
Sophmore/2nd Year	27
Junior/3rd Year	42
Senior/4th Year	191
Graduate	169
Other	3

Processing Edits

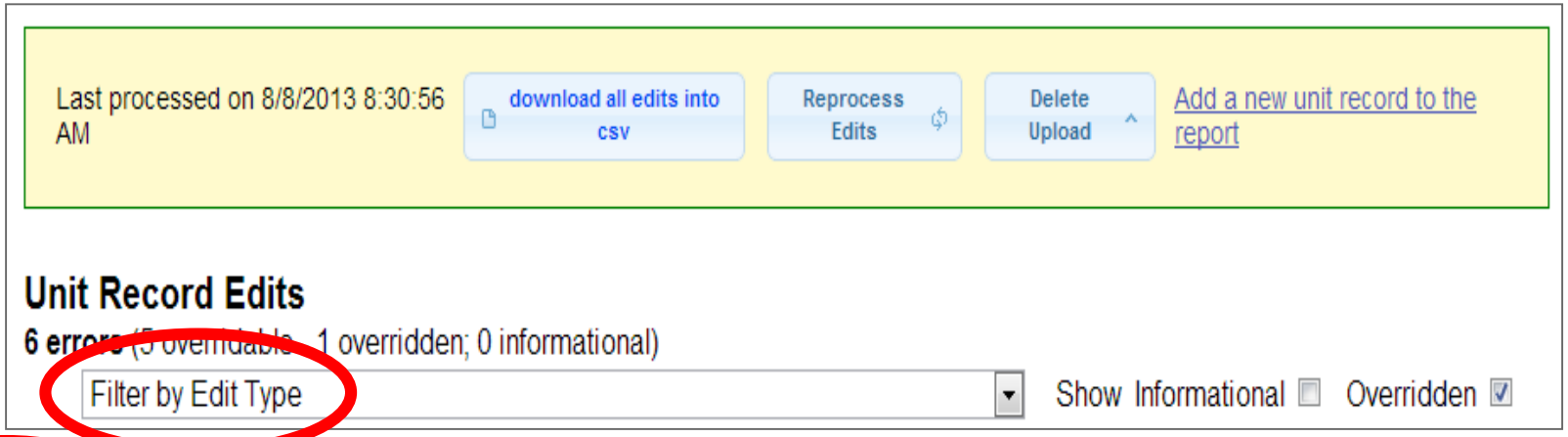
This may take a while. Edits can be fixed while the Portal reviews remaining records for edits. Periodically click "Refresh."



SSN	Student ID	Last	First	Middle	Error	Overridable
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.



SSN	Student ID	Last	First	Middle	Error	Overrideable
999999955	STU0484	Smith	K		Date Of Birth outside expected range	Overridden
999999955	STU0484	Smith	K		Student Id Number must be at least 9 characters for publics	Overrideable
999999955	STU0484	Smith	K		Student not Enrolled	Overrideable
999999955	STU0484	Smith	K		Total aid reported is zero	

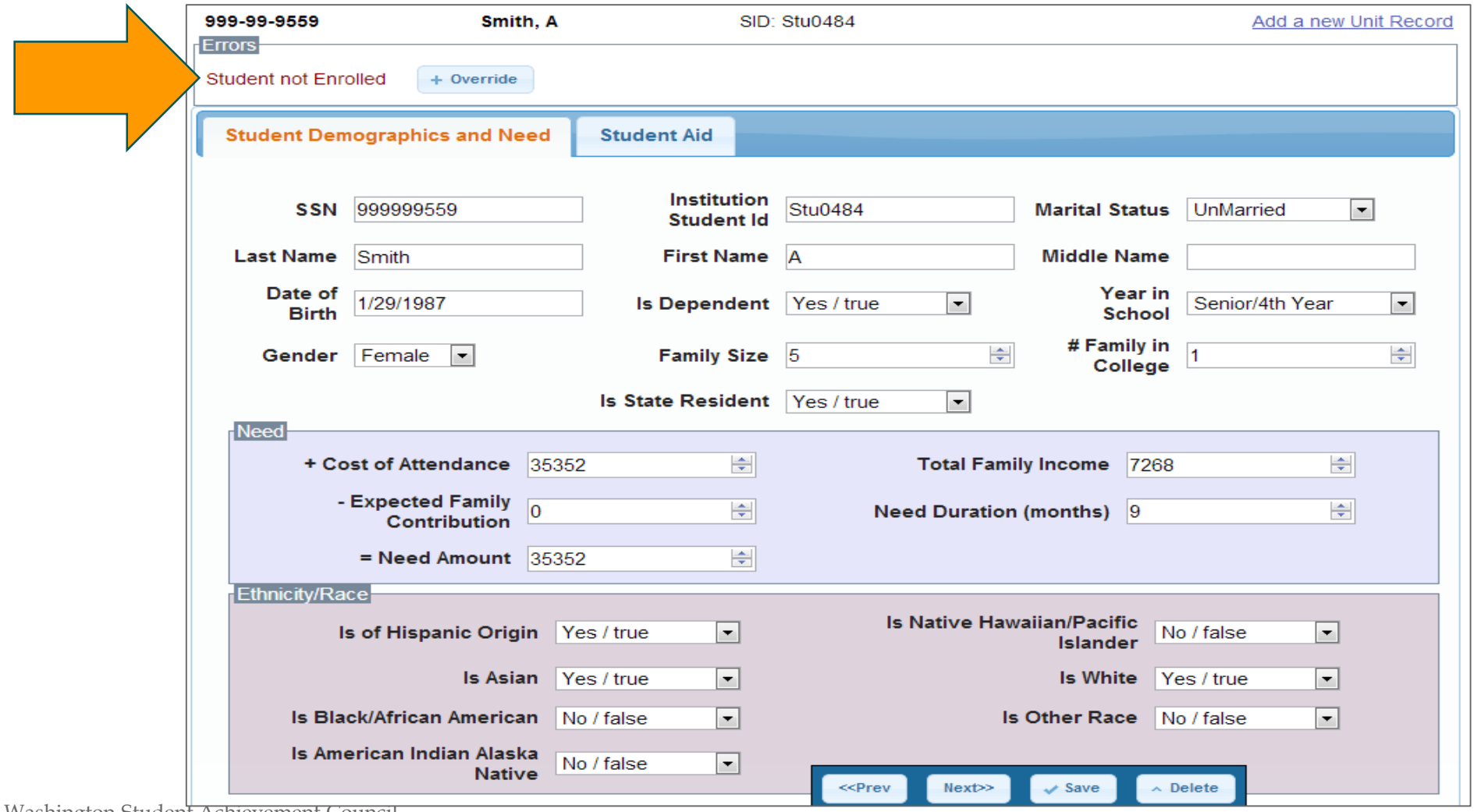
Processing Edits

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

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

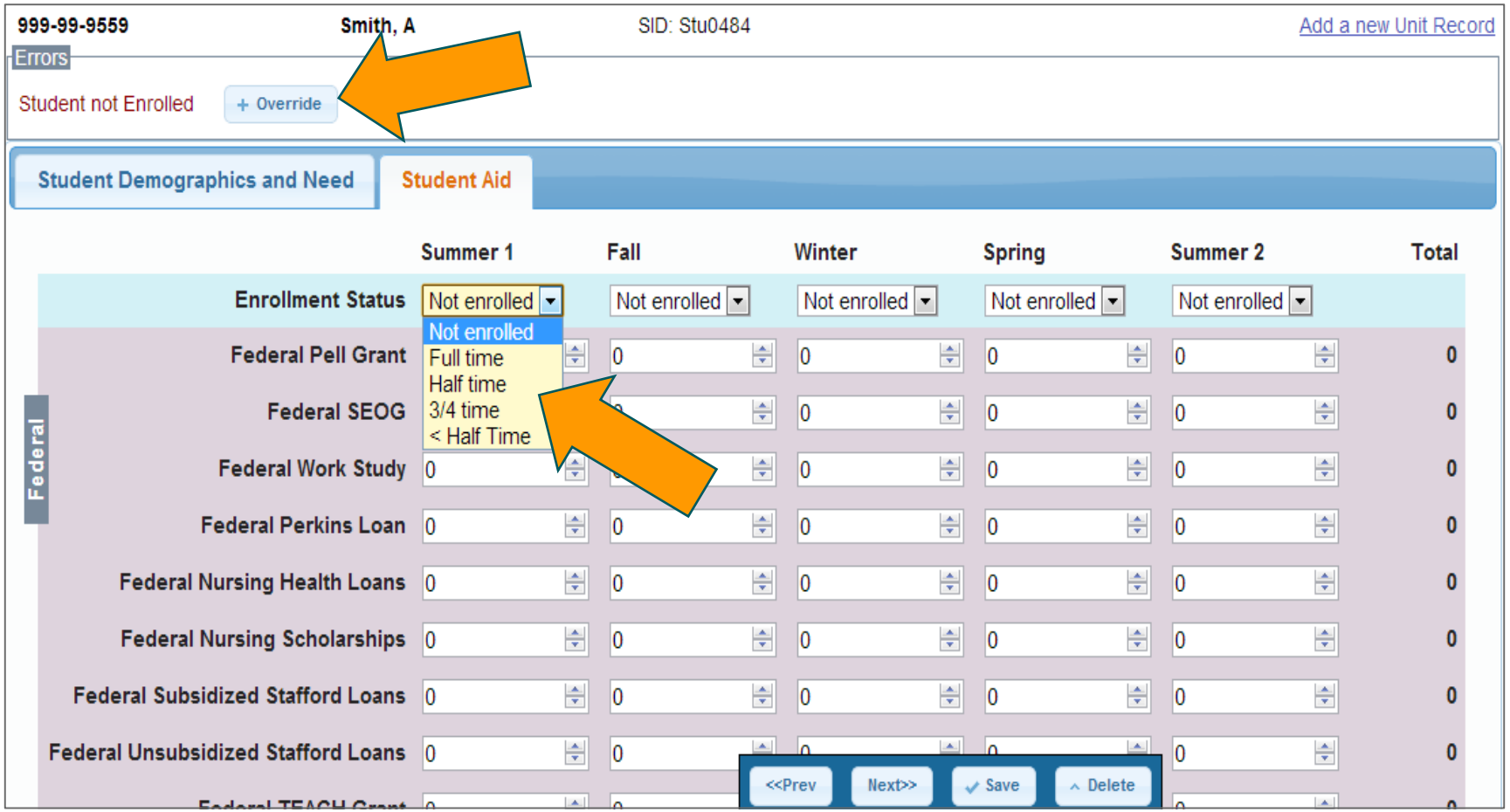
SSN	Student ID	Last	First	Middle	Error	Overridable
999999559	Stu0484	Smith	A		Student not Enrolled	Overrideable
999999	tu0483	Johnson	D	D	College Bound Scholarship award not found in WSAC records	Overrideable

Processing Edits



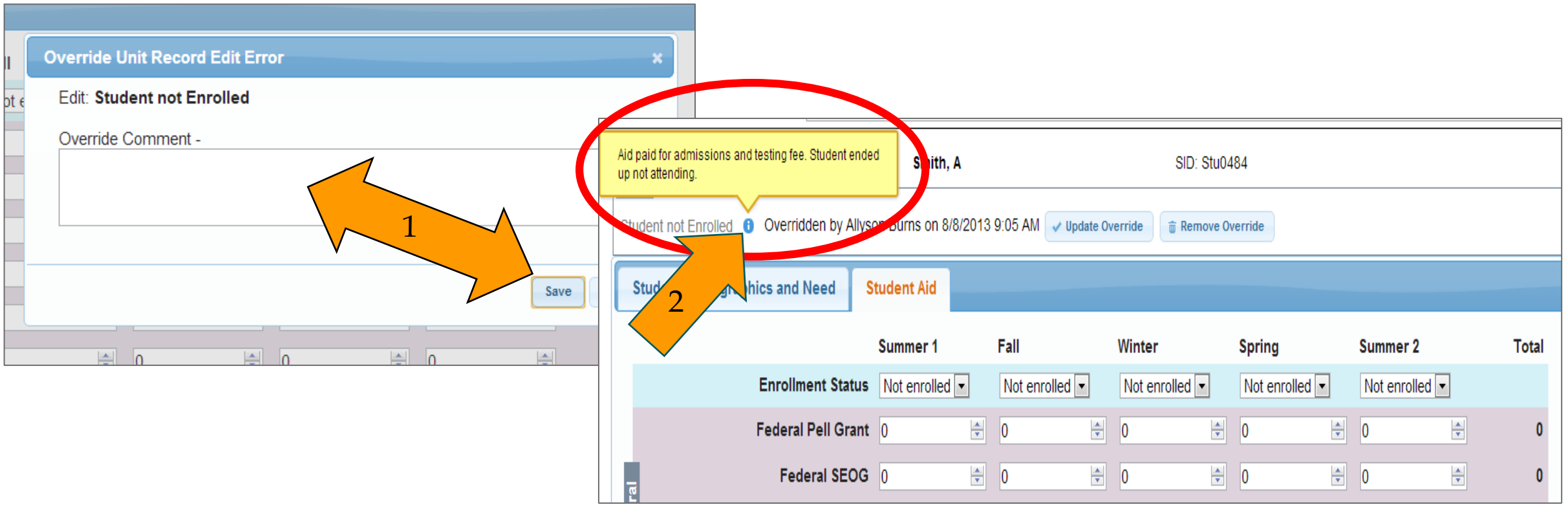
Processing Edits

Edit the data or override with a reason.



Processing Edits

1. If overriding, enter reason in the pop-up box and click "save."
2. Hover mouse over the information icon to review the override reason.



Student Aid Screen

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

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

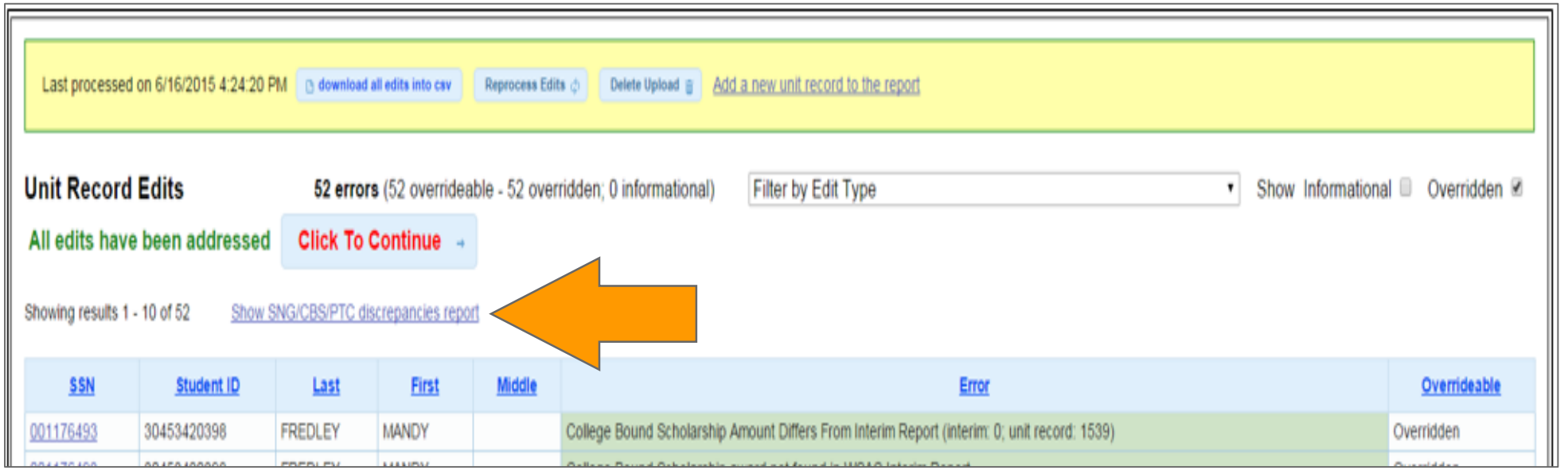
- State Need Grant
- Opportunity Scholarship
- WorkForce Training Funds
- SBCTC Opportunity Grant
- Passport to College Scholarship
- College Bound Scholarship
- Other State Funded Gift Assistance
- On Campus State Work Study
- Off Campus State Work Study
- GET Ready for Math Science

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

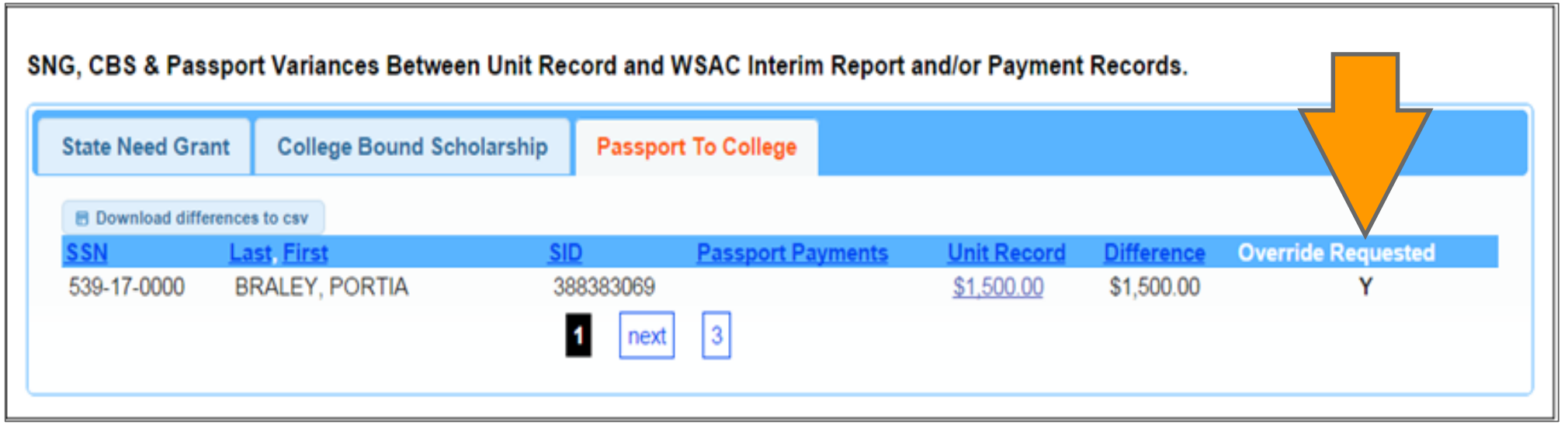
Checking for Missing Data Previously Reported in WSAC Records

Click “Show SNG/CBS/PTC discrepancies report” from the Edit page



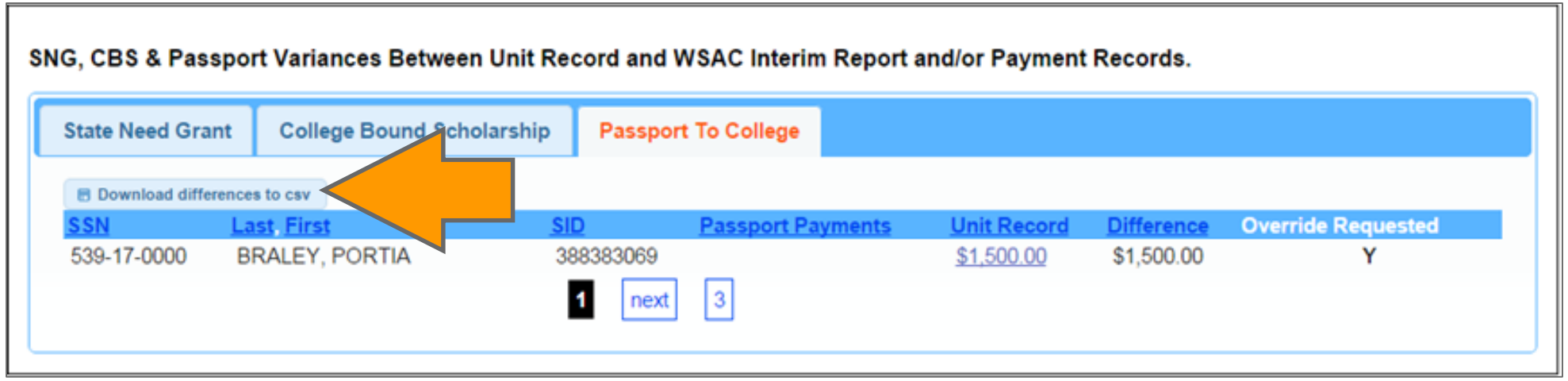
Checking for Missing Data Previously Reported in WSAC Records

Discrepancies already overridden are flagged with a 'Y' to differentiate those records from discrepancies not yet addressed



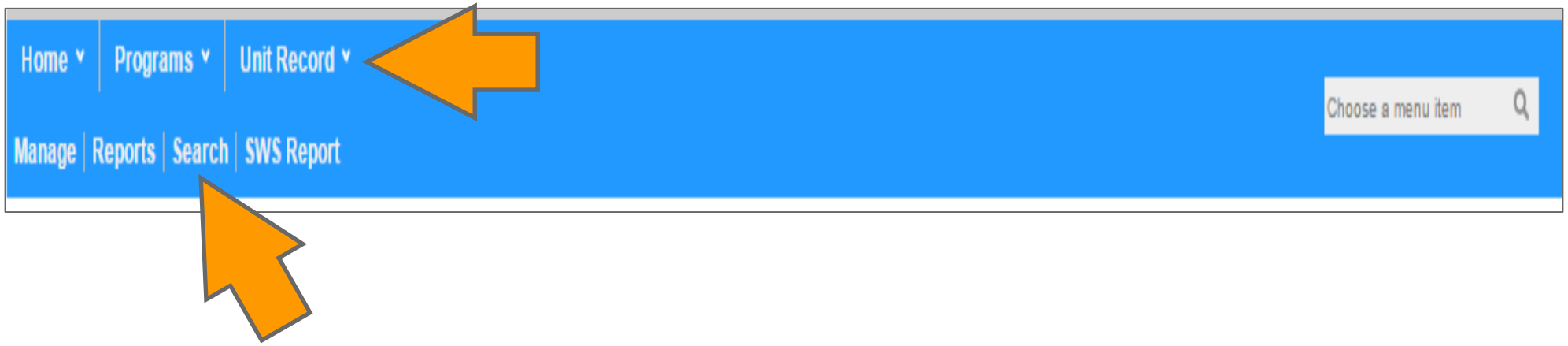
Checking for Missing Data Previously Reported in WSAC Records

If additional discrepancies exist, click “Download differences to .csv” to review a separate file and identify missing student records that must be added or corrected



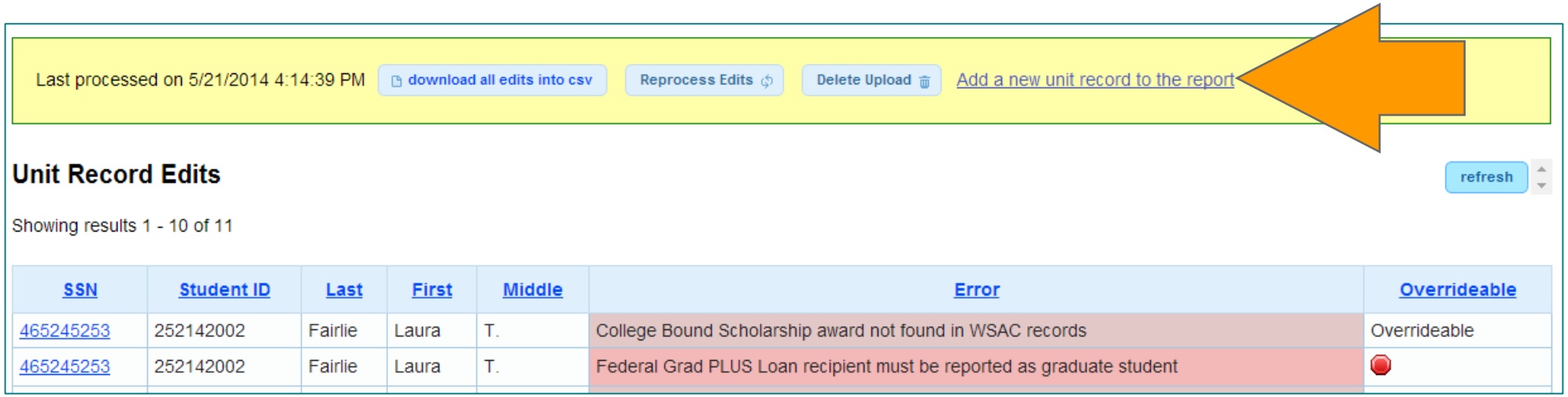
Adding Missing Data to Existing URR Upload Record

To add missing data to an existing record in your upload file, "Search" to locate and edit the student record



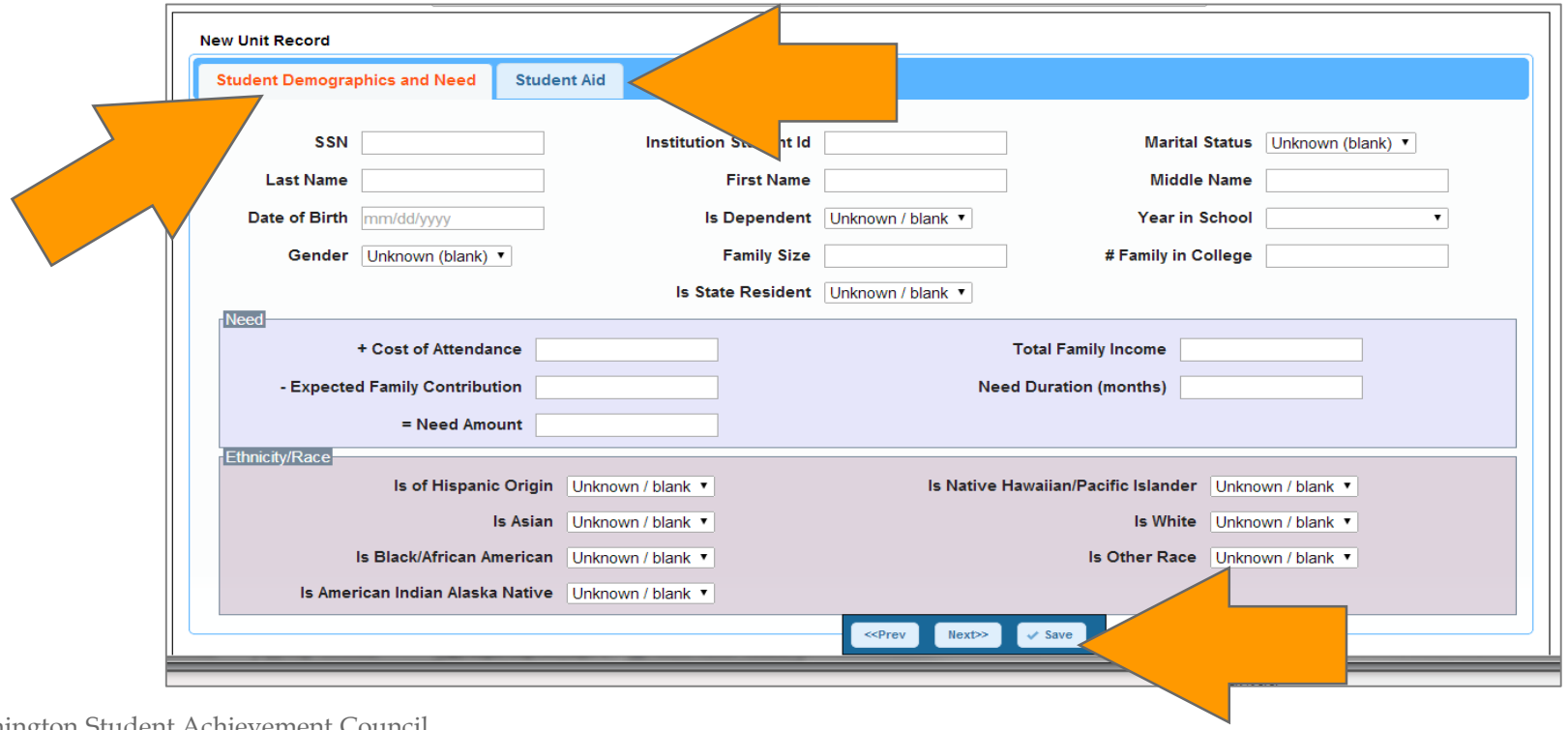
Adding Data for Record Missing from URR Upload

To add a missing student record, click "Add a new unit record to the report" from the Edits page



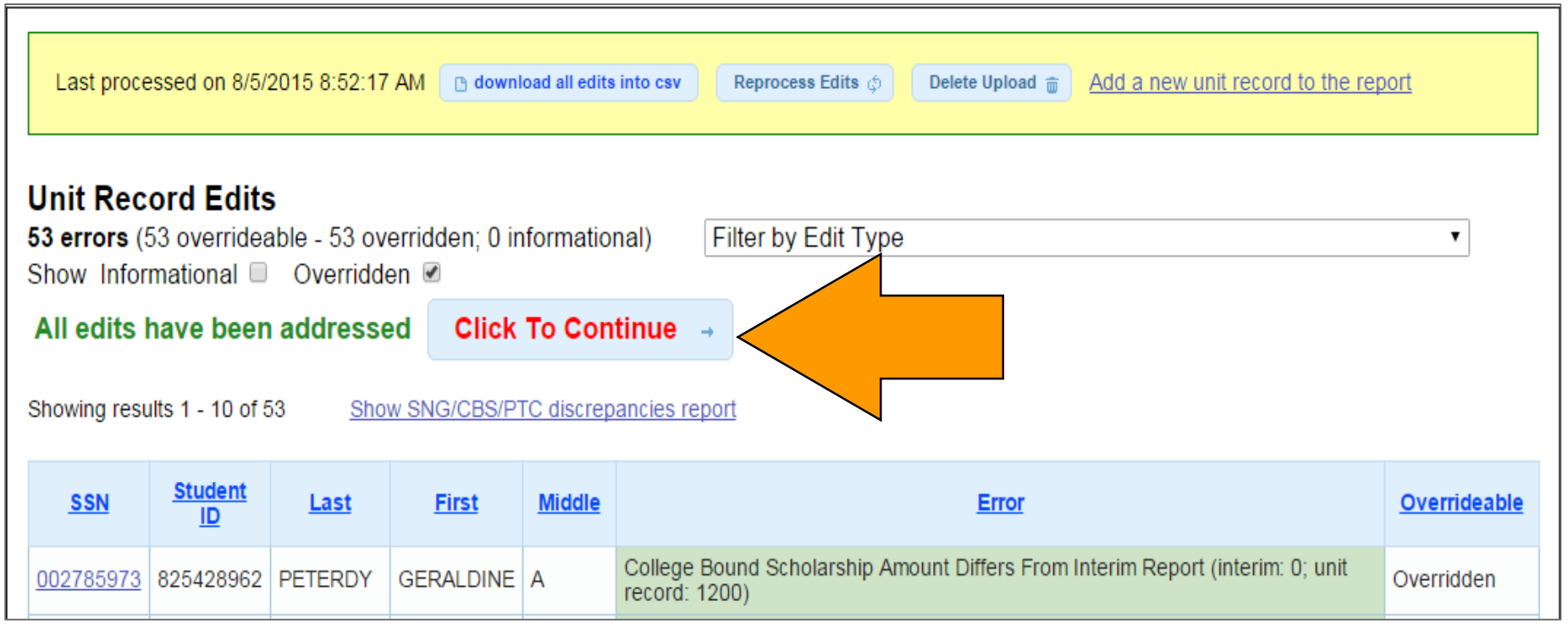
Adding Data for Record Missing from URR Upload

This will open a new, blank record. Complete the fields in the "Student Demographics and Need" and "Student Aid" tabs. Remember to "Save" your work



Submitting the Report

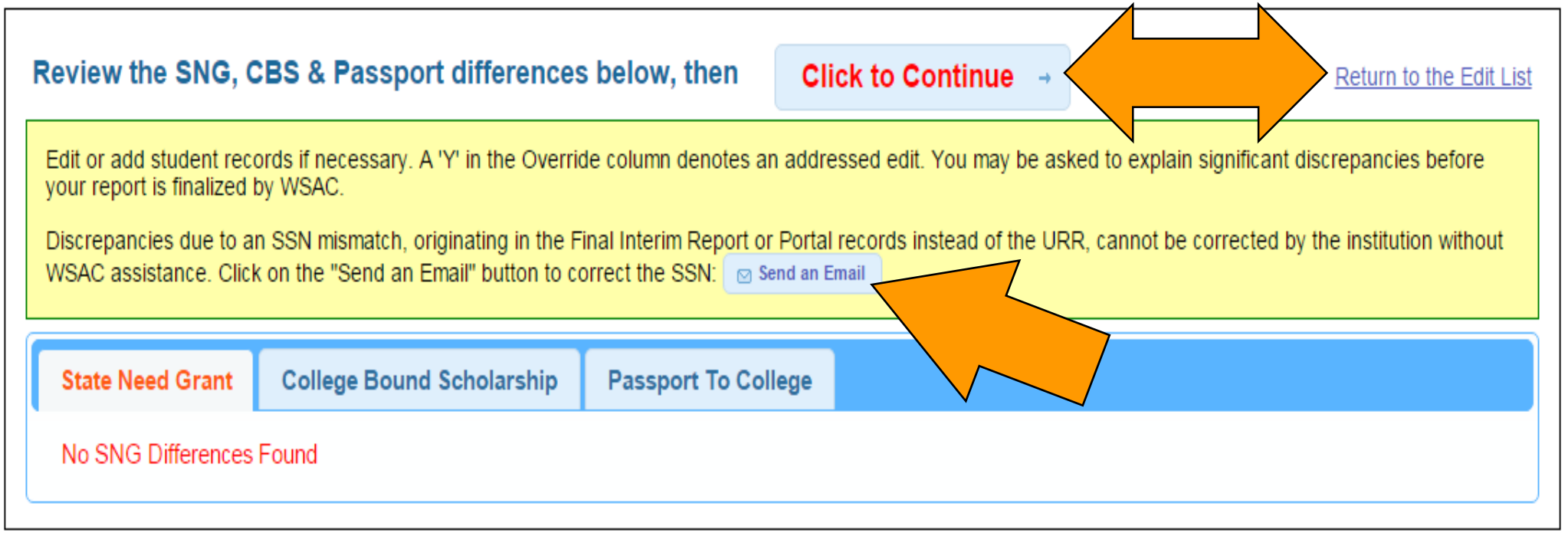
When all errors have been fixed or overridden, click "Click to Continue" from the Edits page.



Submitting the Report

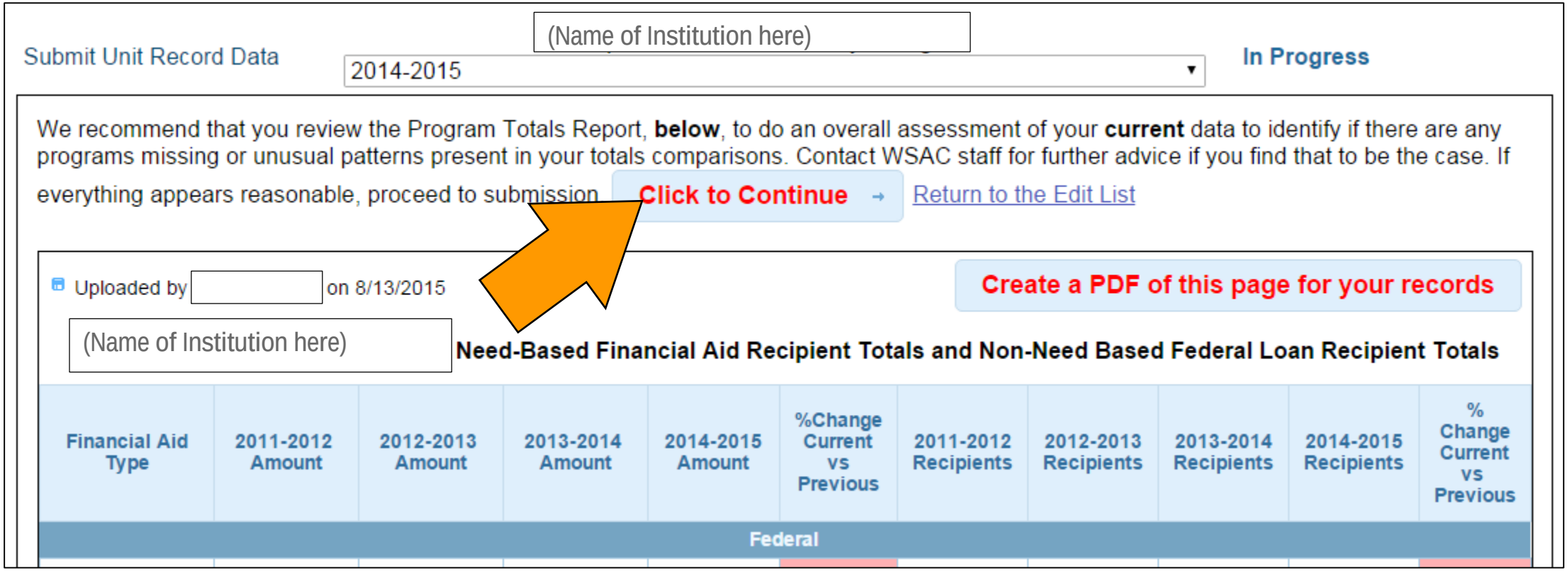
Note that SSN mismatches originating outside of URR require WSAC assistance. Press "Send an Email" to securely notify WSAC.

Press "Click to Continue," or "Return to the Edit List" to make corrections.



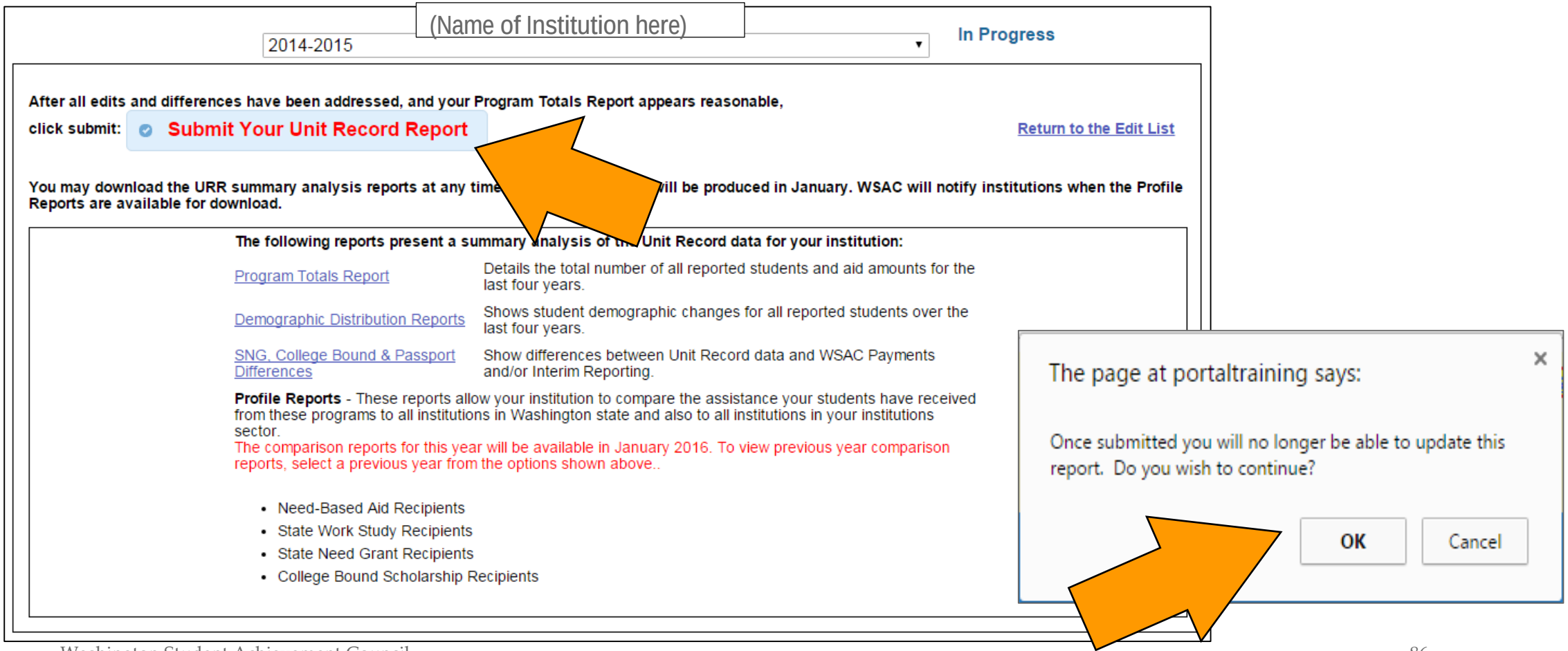
Submitting the Report

Review the preliminary Program Totals Report for missing information or unusual patterns. Press "Click to Continue"



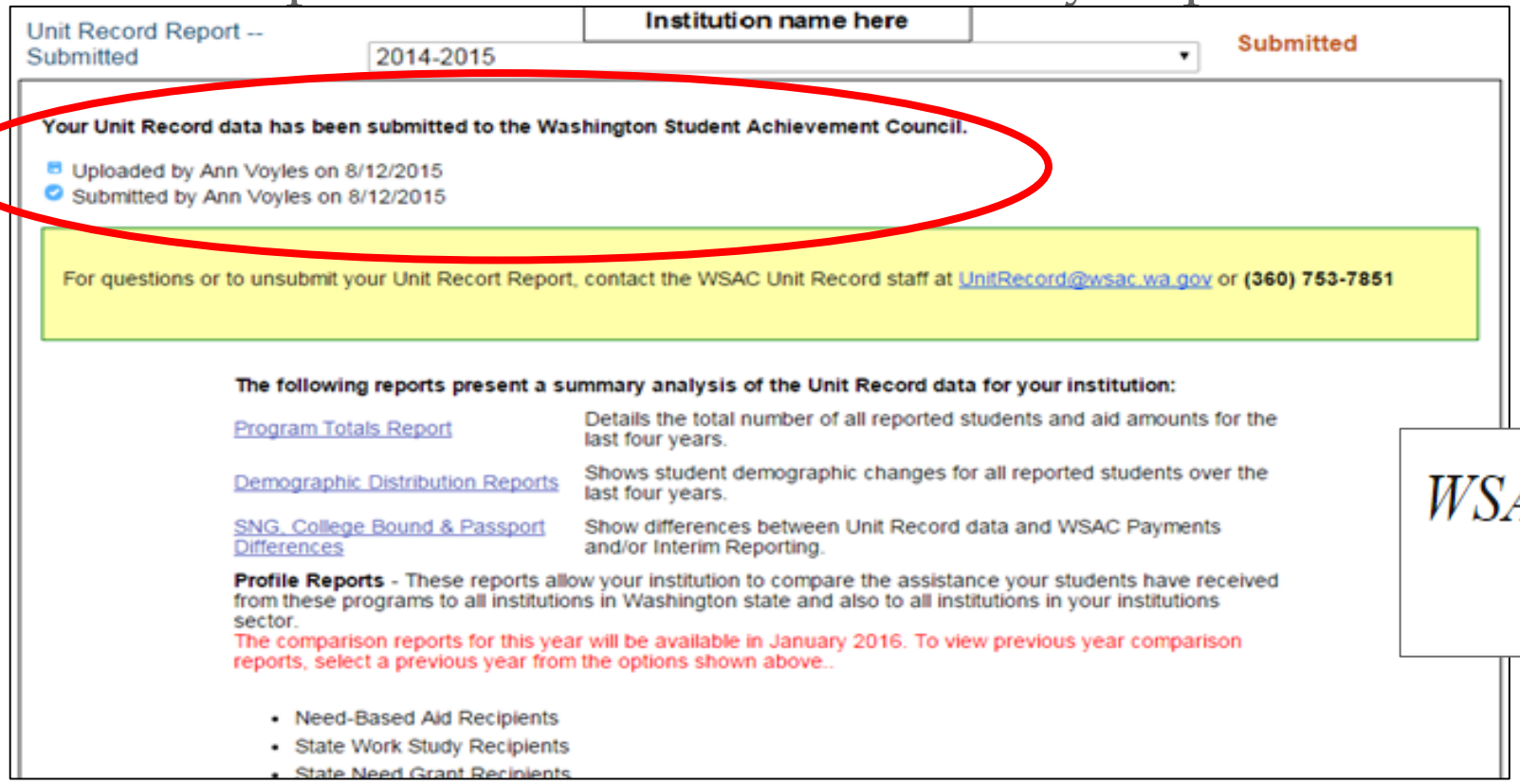
Submitting the Report

- Click "Submit Your Unit Record Report"

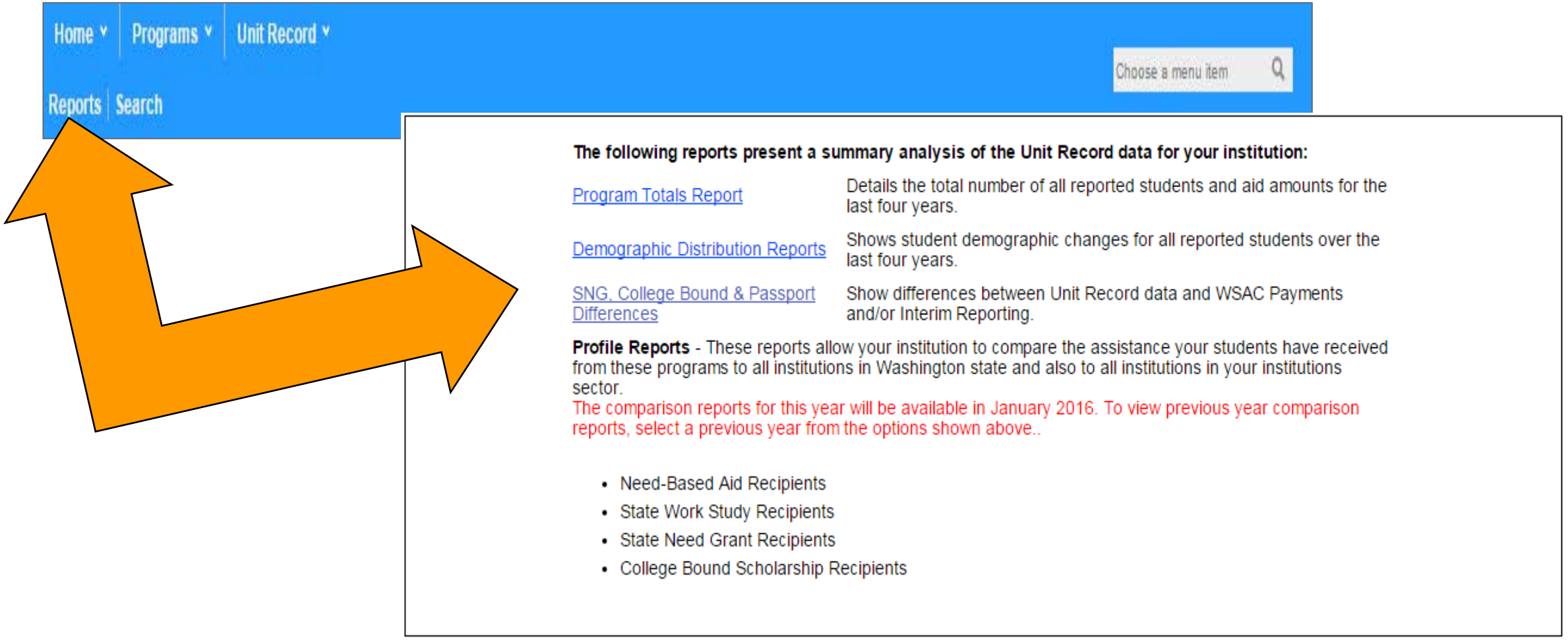


Before Exiting the URR Portal

1. Successful submission takes you to a Confirmation/Reports page.
2. Review and print available URR Summary Reports.



Other URR Summary Reports



Where to go for help

- 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

Where to go for help

- Review the 2014-15 URR Manual, available online at:

  http://www.wsac.wa.gov/unit-record

- Contact Washington Student Achievement Council staff at:

  unitrecord@wsac.wa.gov

Ann Voyles	Kara Larson	Steve Thorndill
360-753-7843 annv@wsac.wa.gov	360-753-7820 karal@wsac.wa.gov	360-753-7851 stevet@wsac.wa.gov