WASHINGTON STUDENT ACHIEVEMENT COUNCIL
EDUCATION · OPPORTUNITY · RESULTS

Unit Record Report

Submitting the 2015-16 Report Via the Portal

Webinar Training Presentation
August 2016

Council Staff on the Webinar

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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 15: Unit Record Report (URR) application opens

October 14: Finalized report due

October/November: WSAC analysis

December: Reports to policy makers

January 2017: 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 2015-16 FAFSA (or WASFA) 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

Reporting Requirements

- **Determine which students to report**
  - Need-Based Recipients – 2015-16 FAFSA (or WASFA) required
  - Need-Based Aid Recipients – other programs where FAFSA (or WASFA) 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

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 2015-16 FAFSA (or WASFA)
  - Report on next year's URR all financial aid received based on the 2016-17 FAFSA (or WASFA)

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

*** FAFSA or WASFA required**

**** FAFSA or WASFA required; DACA students must have a valid work authorization**

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)

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 for your recipients.

- Should be reported as WorkForceTrainingFunds

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 2015-16 Portal

- **Refer to Page iii in the Manual**
- **Consistency with other WSAC Reporting**
  - SNG Unserved on the Final Interim Report will be compared with URR records. A list of Unserved students without URR records will be produced for review, and addition of record(s) or explanatory comment.
  - A positive enrollment status is required for each term that aid is reported, except for certain work programs. This is an overrideable edit.
- **Passport to College and the CSF Opportunity Scholarship** – These are non-overrideable edits to confirm Washington state resident status.

Valid Input Ranges

- One Change for 2015-16

Category	Old Value	New Value
Family Income	-300000 to 600000	No change
Cost of Attendance	0 to 250000	No change
Expected Family Contribution	0 to 250000	No change
Need Amount	0 to 250000	No change
Federal Pell Grant	0 to 5730	0 to 5775
Federal Direct Subsidized Loans	0 to 20000	No change
Federal Direct Unsubsidized Loans	0 to 90000	No change

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)

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 2015-16 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')
    - Clock hour schools may report aid for both summer terms
  - If recipient enrolled more than one "term" in same summer – Report total amount received and enrollment status as one enrollment term

FAFSA & WASFA Related Fields

- **Fields to also report for 2015-16 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

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 2015-16 year.

Year in School – Things to Consider

- 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

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 2015-16 FAFSA or WASFA**
  - Often will be the 2014 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

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 2015-16 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)

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	12.0 or more	300 or more *	'1' or 'Full time'
Half-Time	6.0 – 8.9	150 – 224	'2' or 'Half time'
Three-Quarter Time	9.0 – 11.9	225 – 299	'3' or '3/4 time'
Less Than Half-Time	3.0 – 5.9	75 – 149	'5' or '< Half time'

*Typically clock hour term awards are for full-time enrollment status, except that the final term may be paid for part-time enrollment status.

Reporting Term Enrollment

Approximate Term Date Ranges for Clock-Hour Institutions

Term	From	To
Summer 1	July 1, 2015	September 11, 2015
Fall	September 12, 2015	November 22, 2015
Winter	November 23, 2015	February 5, 2016
Spring	February 6, 2016	April 18, 2016
Summer 2	April 19, 2016	June 30, 2016

State Need Grant, College Bound Scholarship, and Passport to College

- Report the final awards received by the student
- The Unit Record Reporting tool checks against Final Interim Report – Critical
- Review the "SNG, CBS, & Passport Differences Report" to verify all SNG, CBS, and Passport recipients and awards are correctly reported

Reporting of tuition waiver dollars for SNG and CBS recipients

- To the extent possible, institutions are encouraged to report full or partial tuition waivers received by their needy students
  - This helps state data show more accurately all forms of assistance that needy students are receiving
  - If tuition & fee waivers are reported, be sure to also include tuition & fee amounts in each student's Cost of Attendance to reflect tuition prior to application of waiver
  - Report waivers as a financial aid resource in the appropriate field:
    - Need-Based Institutional Gift Aid
    - Non-Need Based Institutional Gift Aid

State Work Study

- Report on-campus & off-campus employment separately
- 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 2015-16 FAFSA or WASFA
  - Non-Need Based Institutional Gift Aid – all institutional grants, scholarships, and/or waivers awarded without regard to the FAFSA or WASFA

Other State Funded Gift Assistance

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

EDITS

Edits to Ensure Data Quality

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

Edits that Prevent File Upload

- **Refer to Appendix C (page 43) 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 44 - 45) in the Manual**
  - Total Aid Reported is Zero
  - Non-resident with SNG or other state aid
  - Number in College greater than Family Size

Overrideable Edit Examples

- **Refer to Appendix C (pages 44 – 45) – 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

Tips and Best Practices

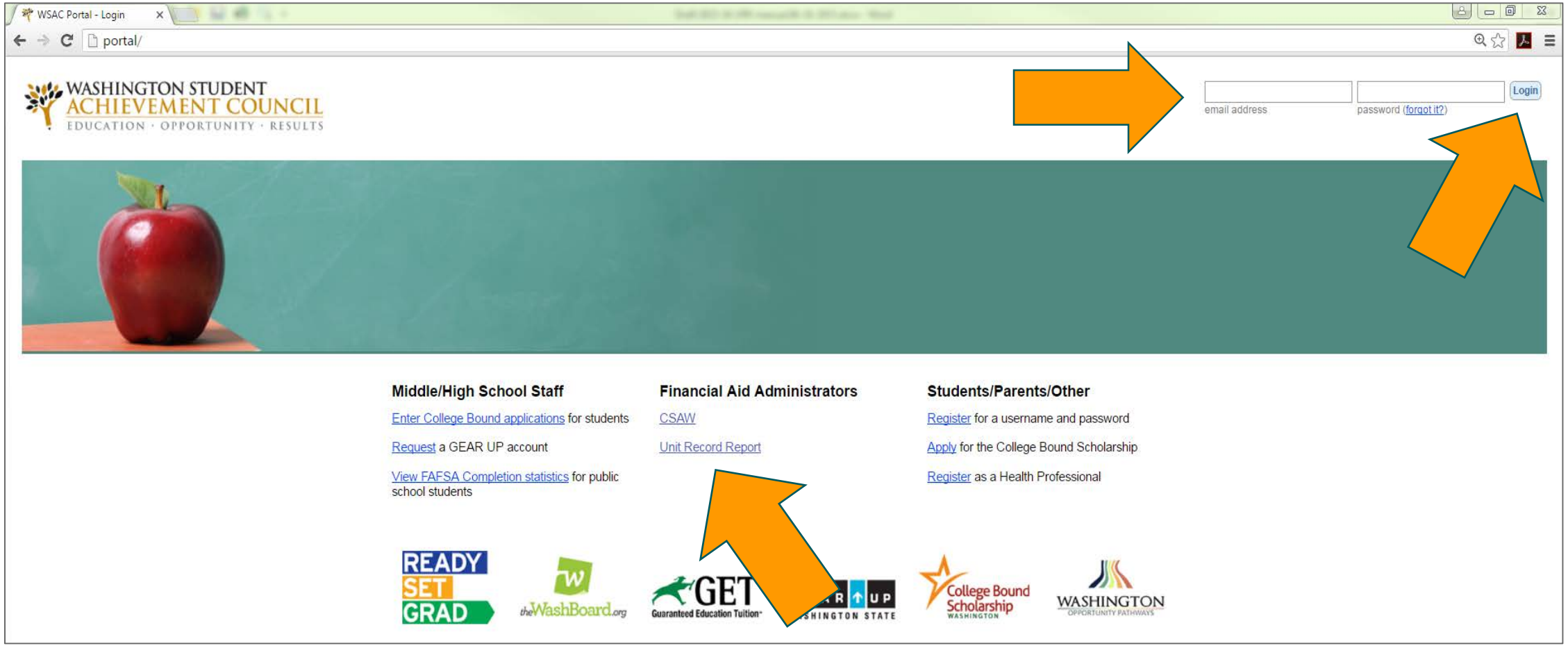
- Upload your CSV file early – don't wait for the deadline!
- Review 2015-16 URR Manual and training materials, and test upload using the Portal training environment:

  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 2015-16 URR Manual when available
- Contact us with questions or problems not addressed in Manual

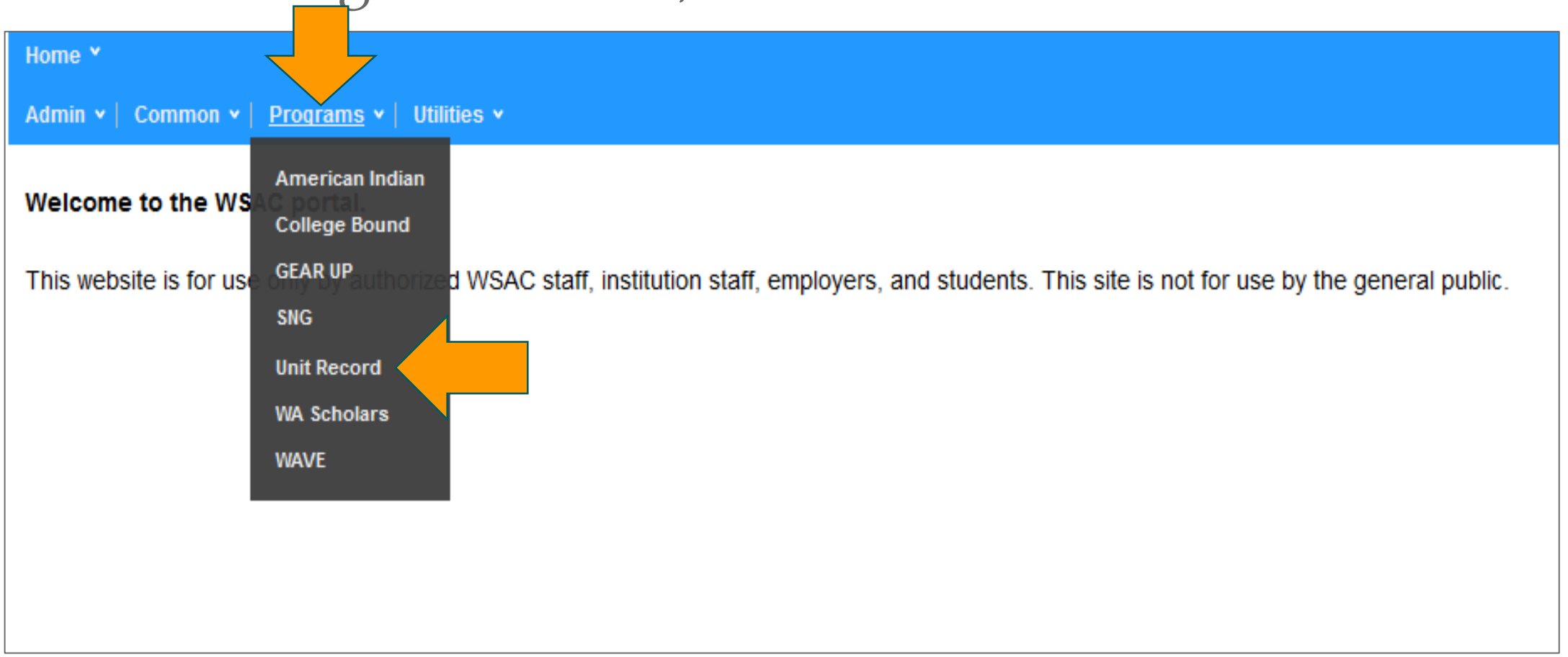
USING THE WEB APPLICATION

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

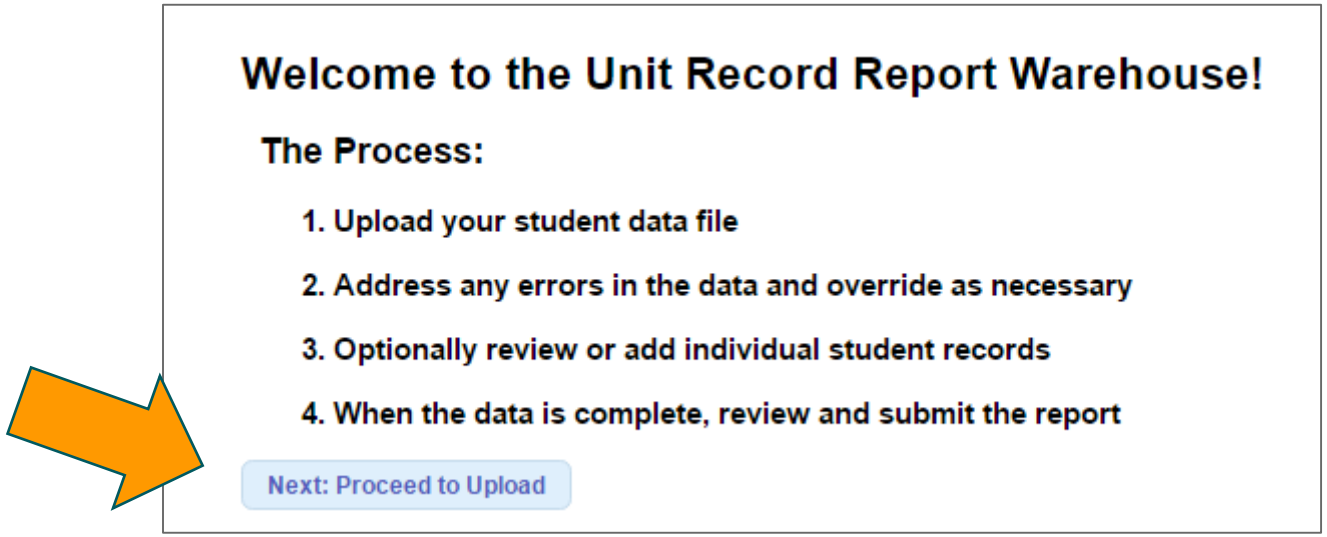


URR Portal Submission Tool

In the Programs menu, click on Unit Record.

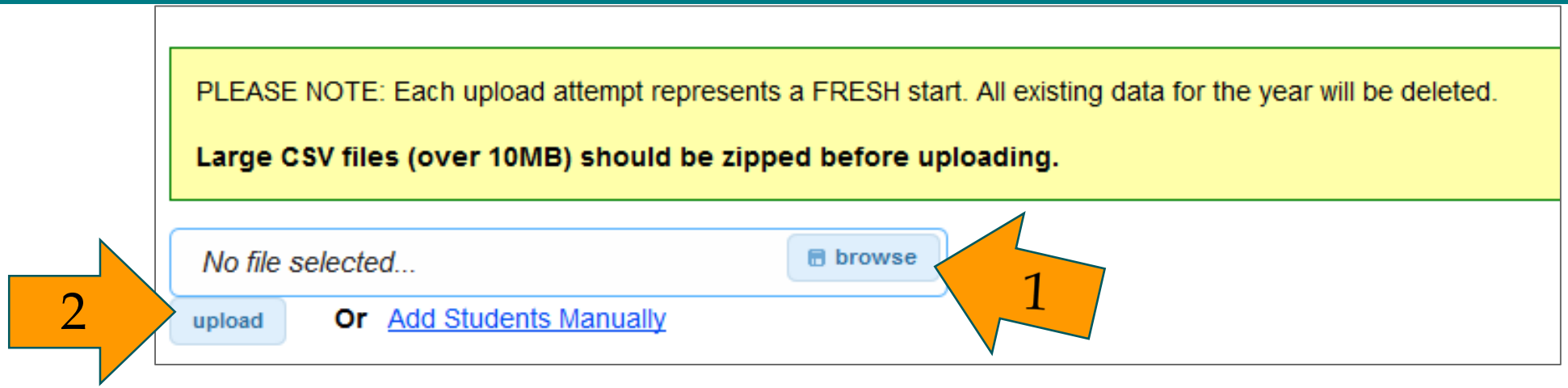


URR Portal Submission Tool



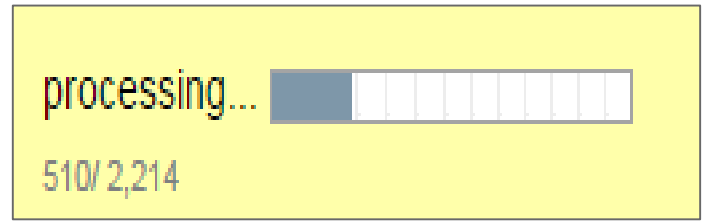
- The welcome screen will appear on your first login.
- From the welcome screen, click on "Next: Proceed to Upload."
- If logging in after URR data has been entered, you will be taken directly to the current step: "Ready to Begin," "In Progress," or "Submitted."

Uploading Data From File



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

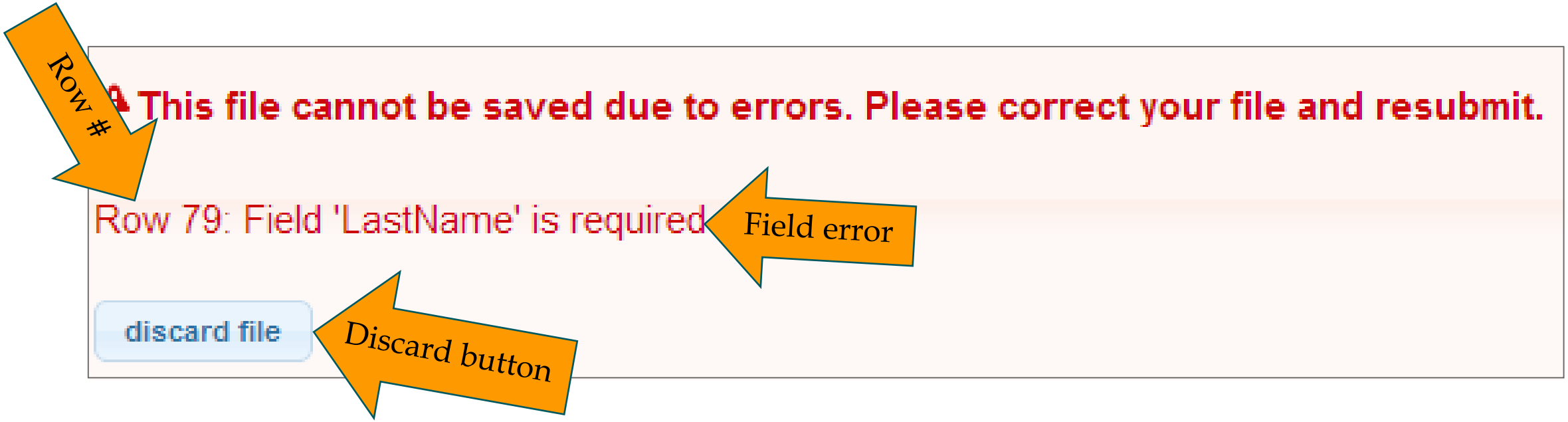
2. **Upload.**



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.

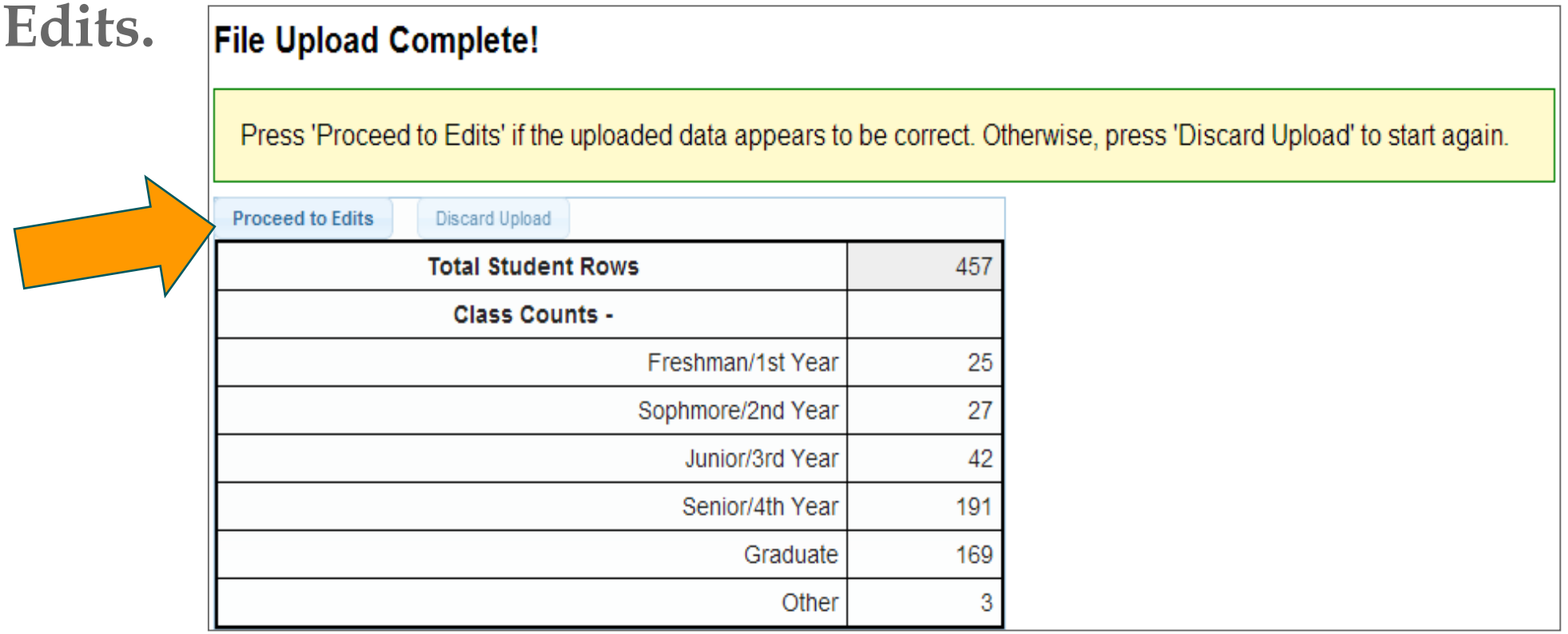


Discard the file, correct the error, and re-upload.

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!

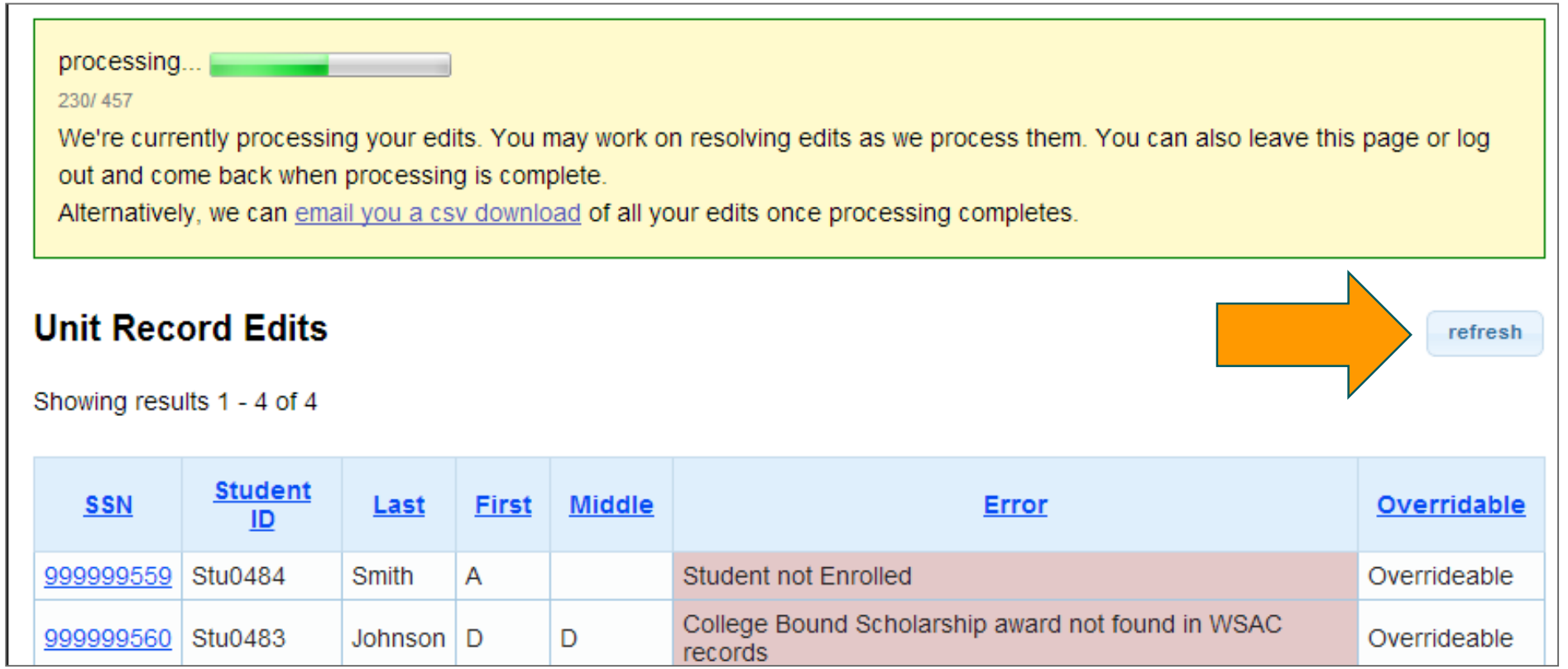
Press 'Proceed to Edits' if the uploaded data appears to be correct. Otherwise, press 'Discard Upload' to start again.

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

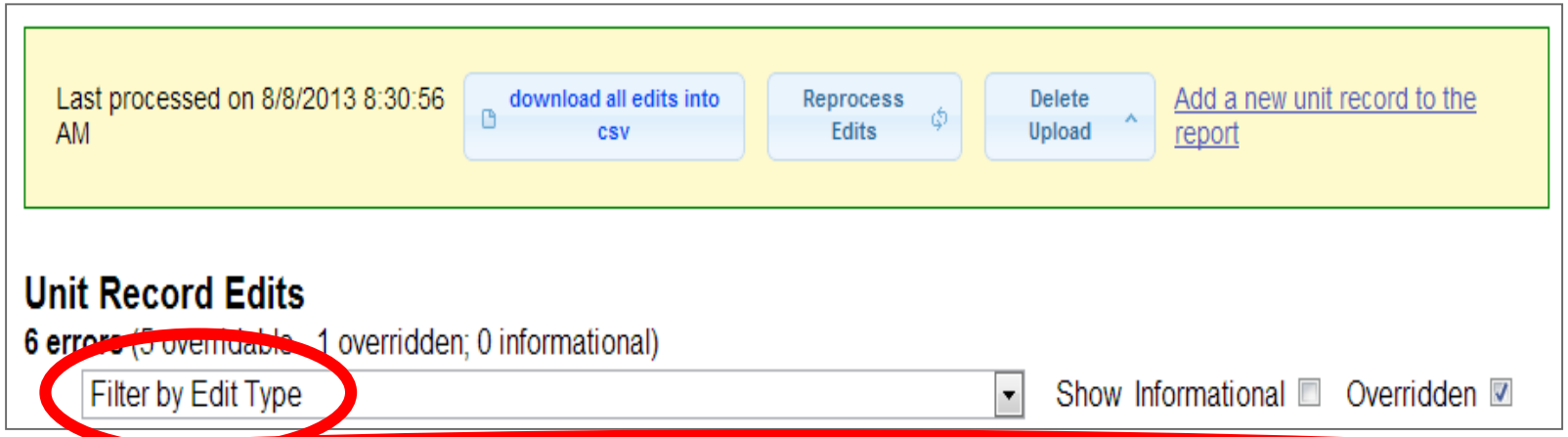
This may take a while. Edits can be fixed while the Portal reviews remaining records for edits. Periodically click "Refresh."



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 status.



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	

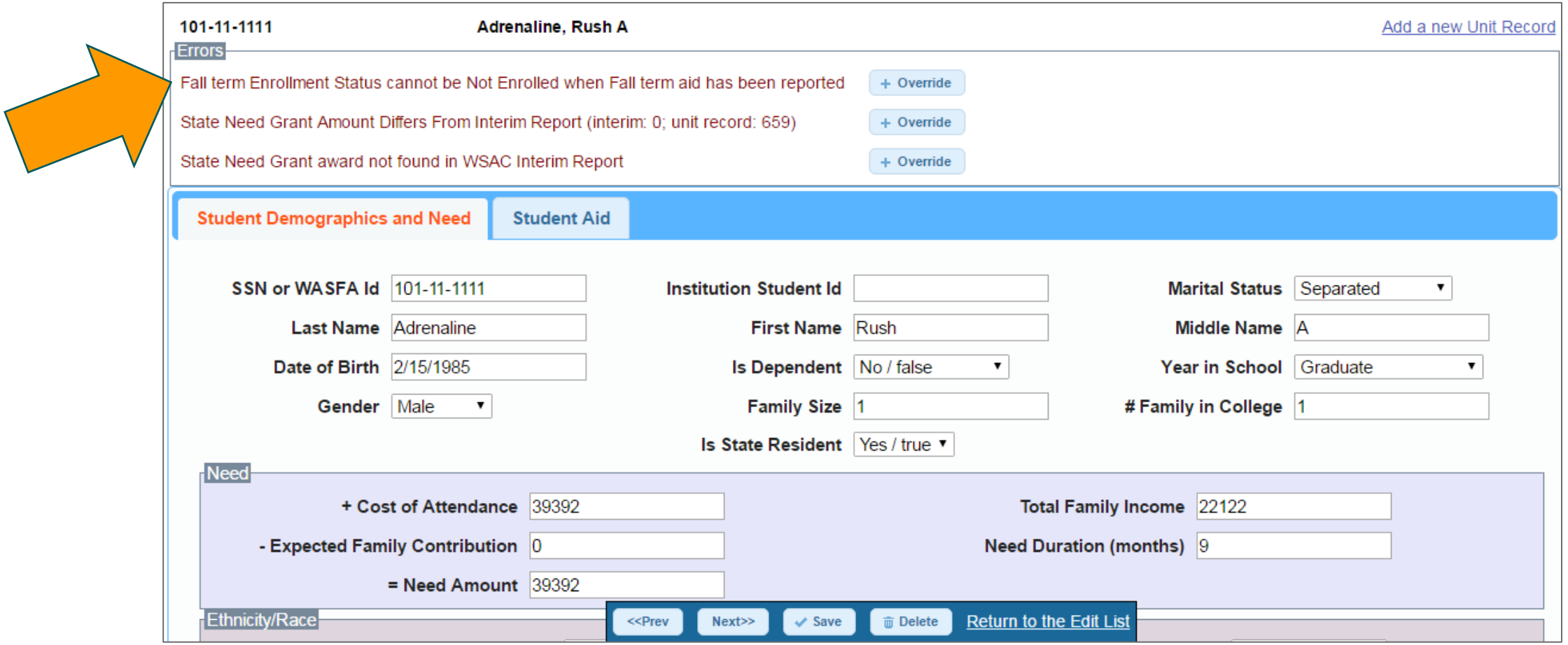
Processing Edits

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

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

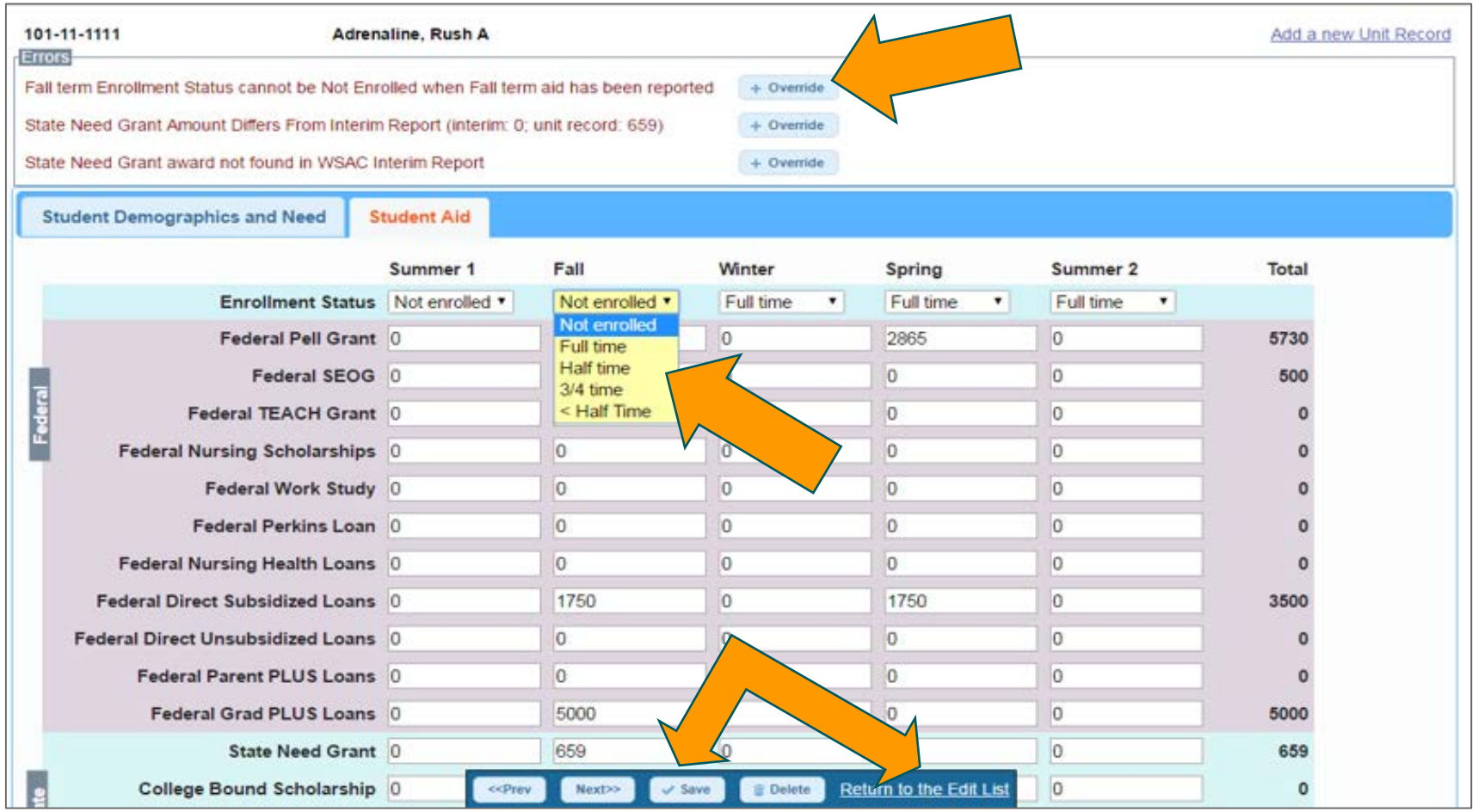
SSN	Student ID	Last	First	Middle	Error	Overridable
999999559	Stu0484	Smith	A		Student not Enrolled	Overrideable
999999	tu0483	Johnson	D	D	College Bound Scholarship award not found in WSAC records	Overrideable

Processing Edits



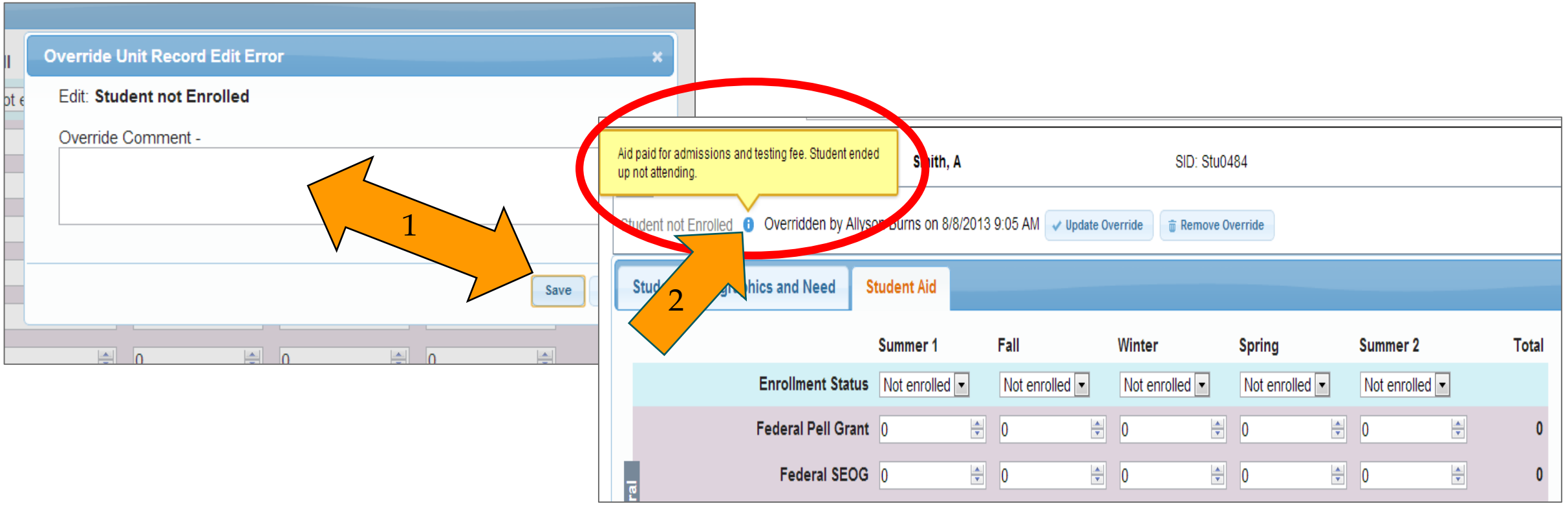
Processing Edits

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

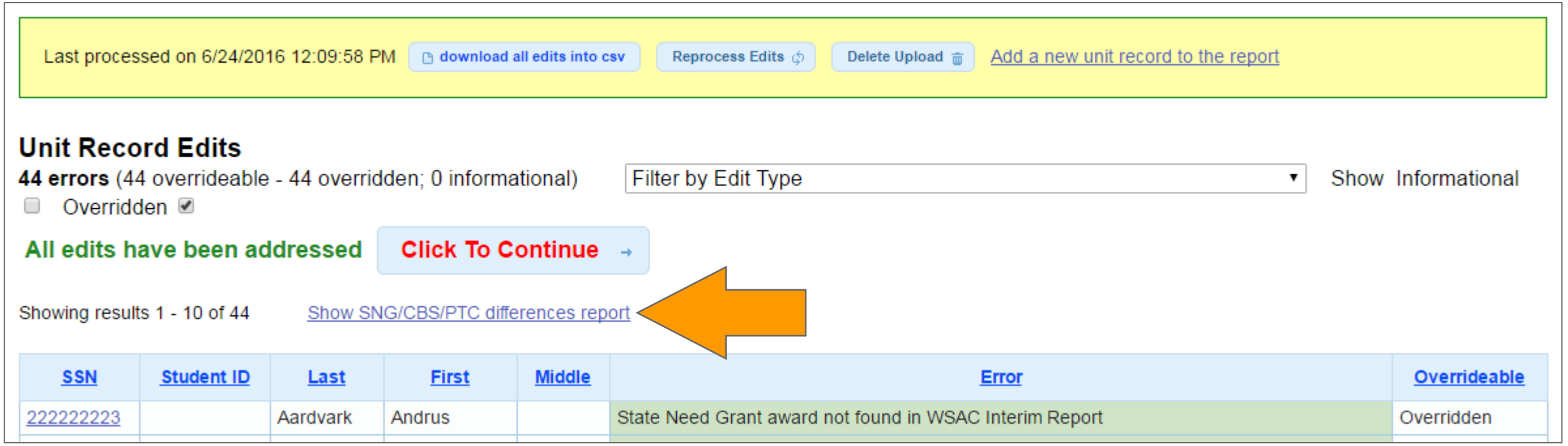
- State Need Grant
- Opportunity Scholarship
- WorkForce Training Funds
- SBCTC Opportunity Grant
- Passport to College Scholarship
- College Bound Scholarship
- Other State Funded Gift Assistance
- On Campus State Work Study
- Off Campus State Work Study
- GET Ready for Math Science

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

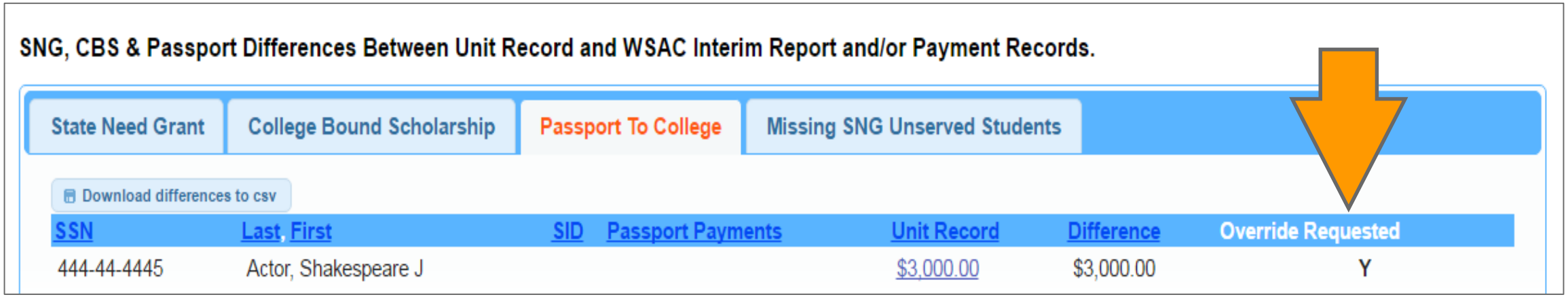
Checking for Missing Data Previously Reported in WSAC Records

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



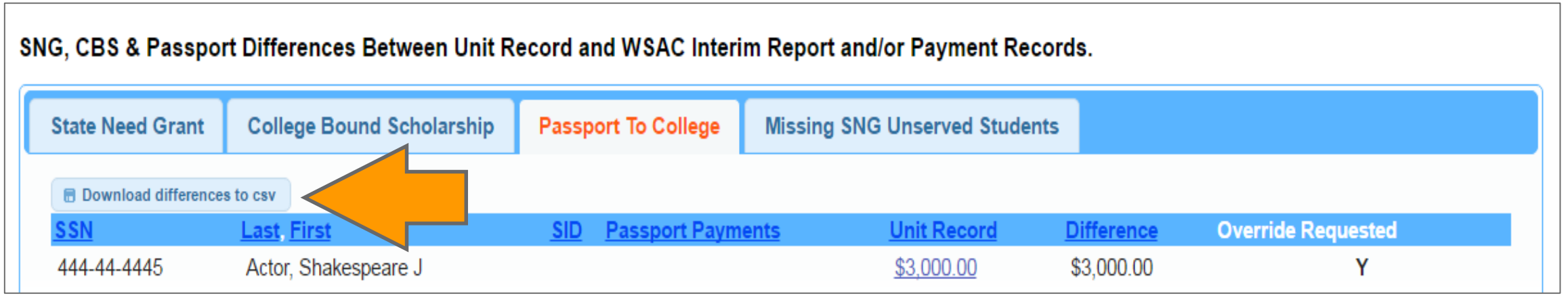
Checking for Missing Data Previously Reported in WSAC Records

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



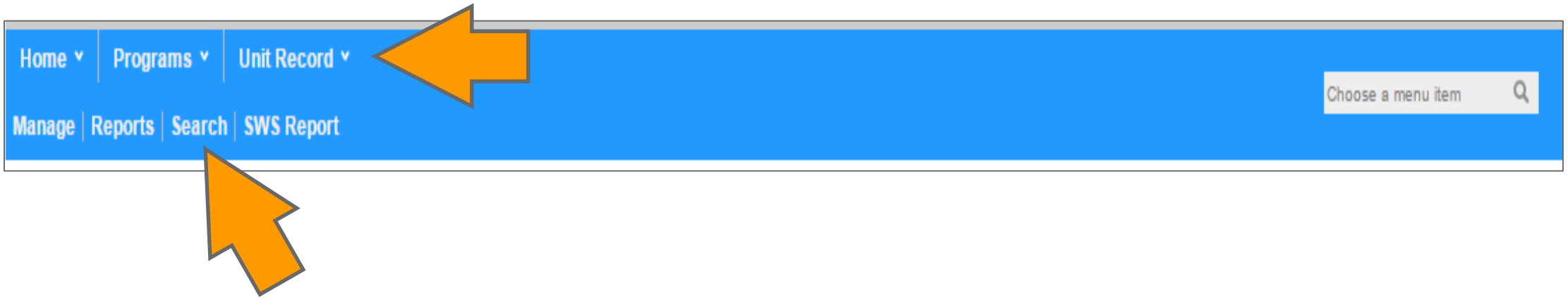
Checking for Missing Data Previously Reported in WSAC Records

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



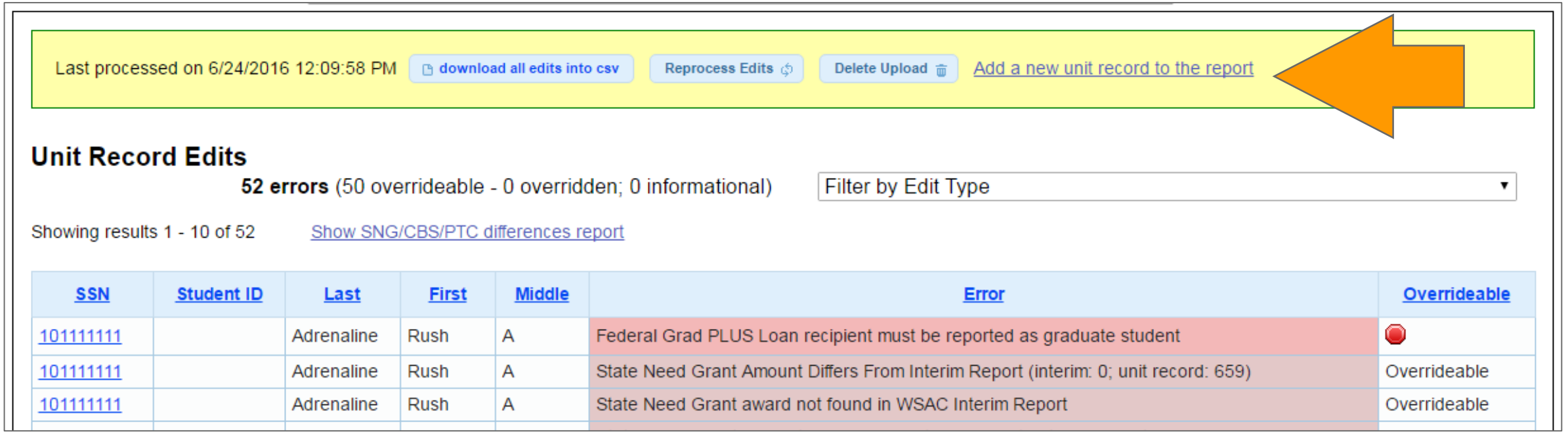
Adding Missing Data to Existing URR Upload Record

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



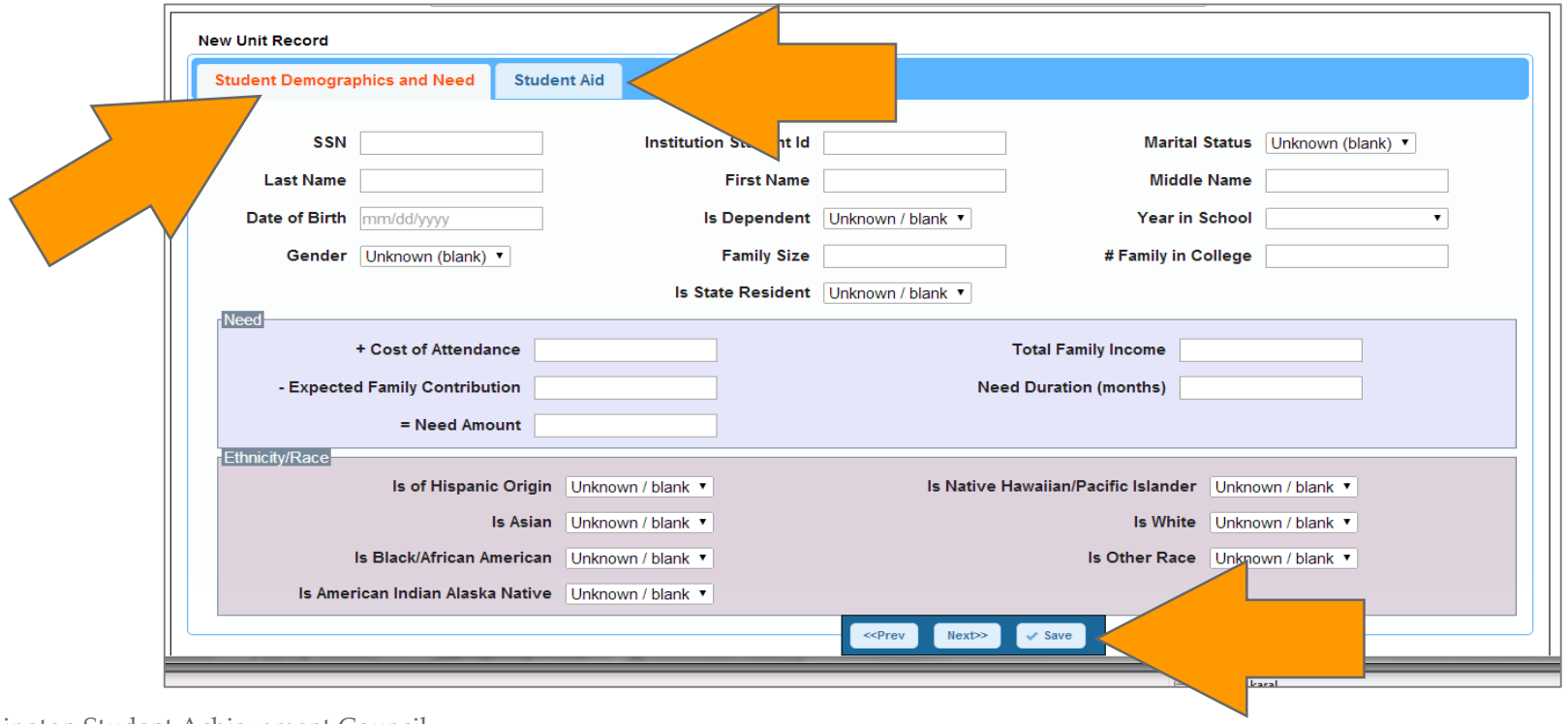
Adding Data for Record Missing from URR Upload

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

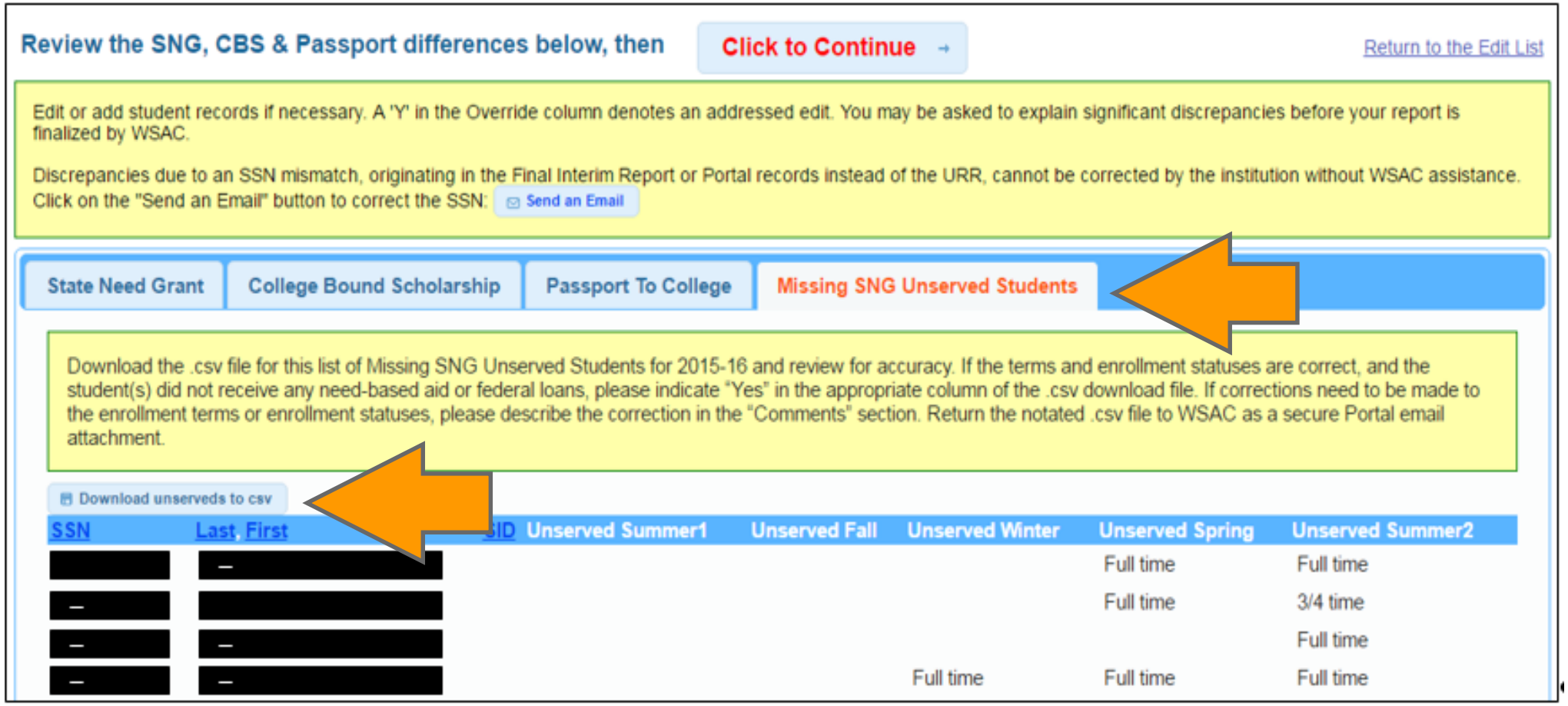


Adding Data for Record Missing from URR Upload

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



Missing SNG Unserved Students Report – NEW!



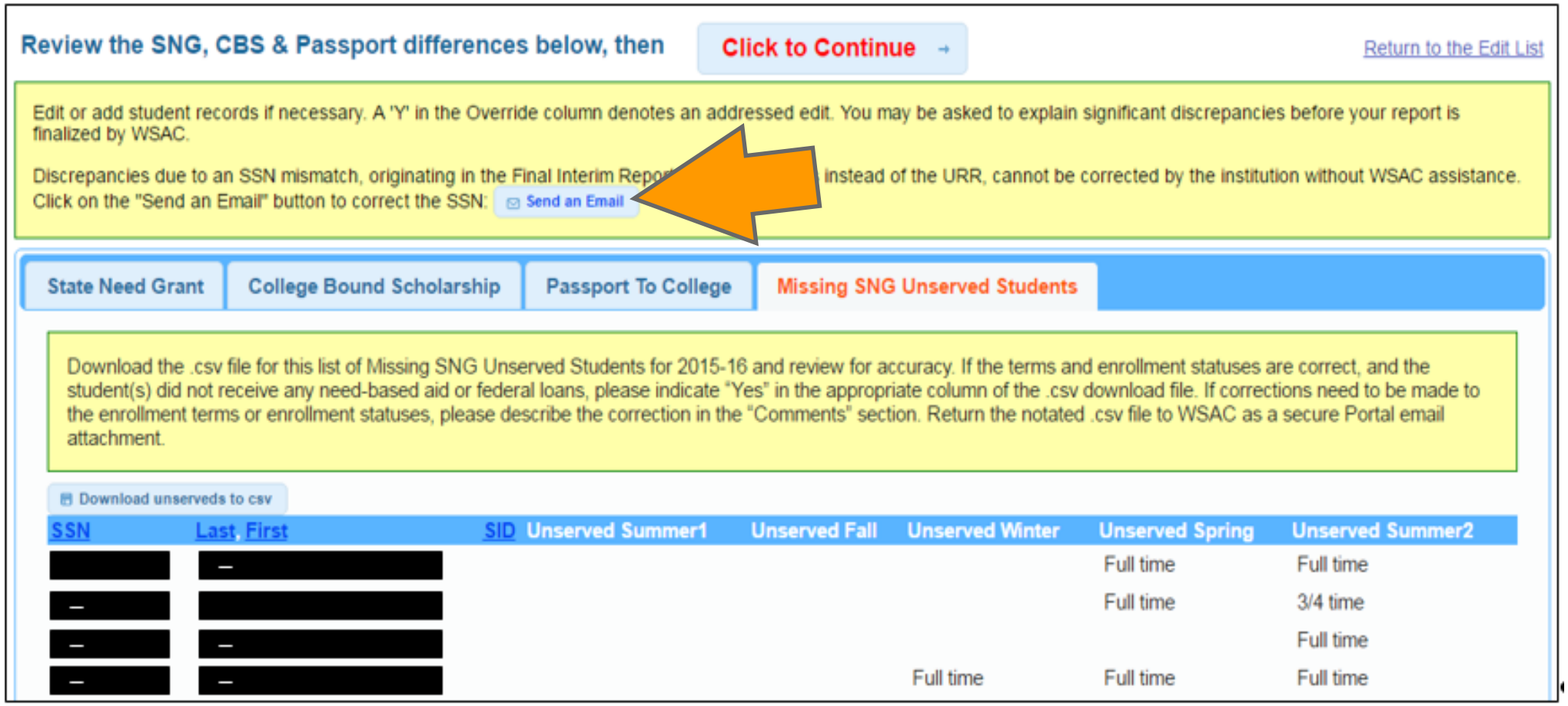
Example of completed Missing SNG Unserved Report

Complete these columns

	A	B	C	D	E	F	G	H	I	J	K	L	M	N
1	InstitutionName	AcademicYear	Ssn	SID	FirstName	Middle Initial	LastName	UnservedEnrollmentSummer1	UnservedEnrollmentFall	UnservedEnrollmentWinter	UnservedEnrollmentSpring	UnservedEnrollmentSummer2	Indicate_Yes_if_All_Terms_OK	Comments_Section
2	Any Institution	2015-2016	111111113		Andy	A	Apple			Full time	Full time	Full time		Not enrolled summer2
3	Any Institution	2015-2016	222222223		Andrus		Aarvark					Full time	Yes	
4	Any Institution	2015-2016	202222222		Knowles	A	Aptitude				Full time	3/4 time		Not enrolled any of the terms indicated
5	Any Institution	2015-2016	303333333		Sidney	E	Albatross		Full time	Full time	Full time		Yes	
6														
7														
8	Any Institution	2015-2016	101111111		Rush	A	Adrenaline				Full time	3/4 time		Record added to URR (rec'd Pell) *

* Record for Rush A. Adrenaline, highlighted in light green, added to URR – The notation placed in "Comments" is shown here for discussion purposes only; a missing record added to the URR will cause the record to clear from this difference report.

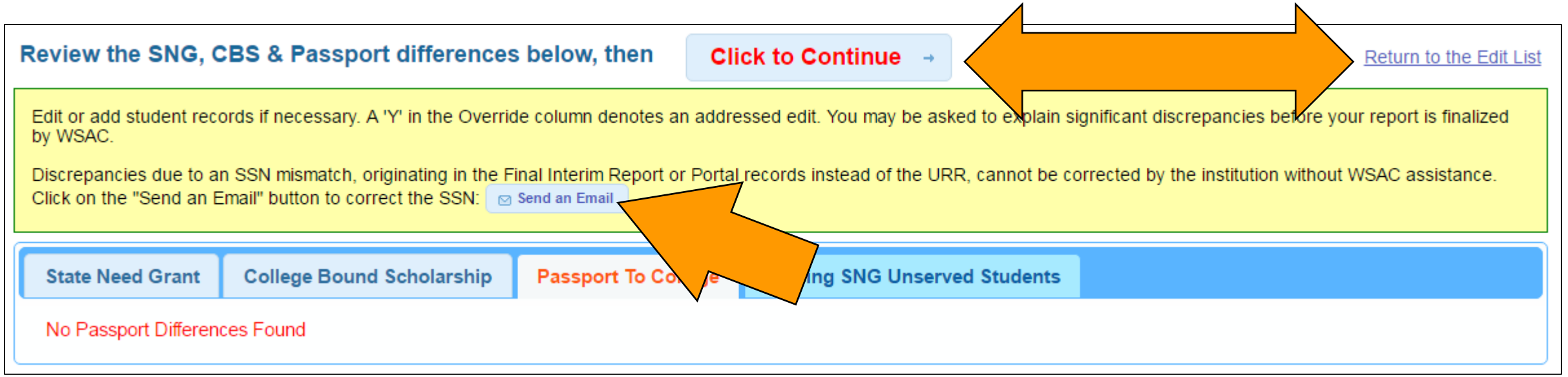
Return completed "Missing SNG Unserved" Report as a secure Portal email attachment to WSAC



Submitting the Report

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

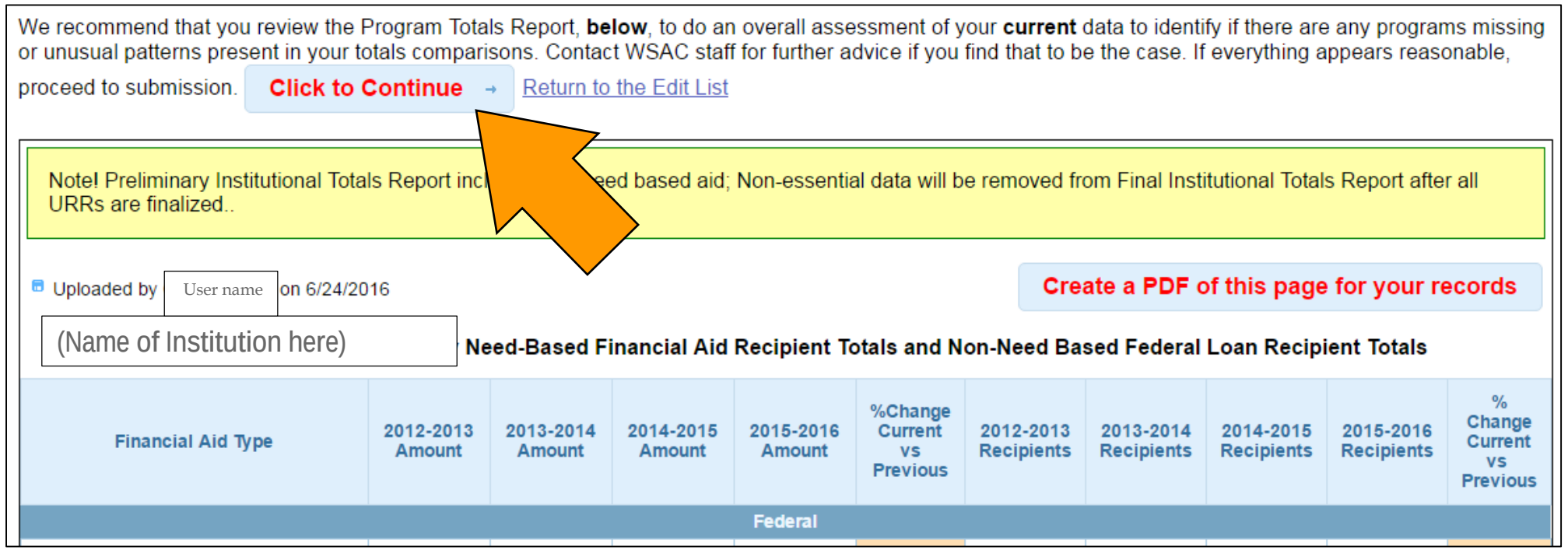
Press "Return to the Edit List" or "Search" to make additional corrections, or "Click to Continue" if all errors have been fixed or overridden.



Submitting the Report

Review the preliminary Program Totals Report for missing information or unusual patterns.

Press "Click to Continue"


We recommend that you review the Program Totals Report, **below**, to do an overall assessment of your **current** data to identify if there are any programs missing or unusual patterns present in your totals comparisons. Contact WSAC staff for further advice if you find that to be the case. If everything appears reasonable, proceed to submission. **Click to Continue** → Return to the Edit List

Note! Preliminary Institutional Totals Report incl ...eed based aid; Non-essential data will be removed from Final Institutional Totals Report after all URRs are finalized..

Uploaded by User name on 6/24/2016

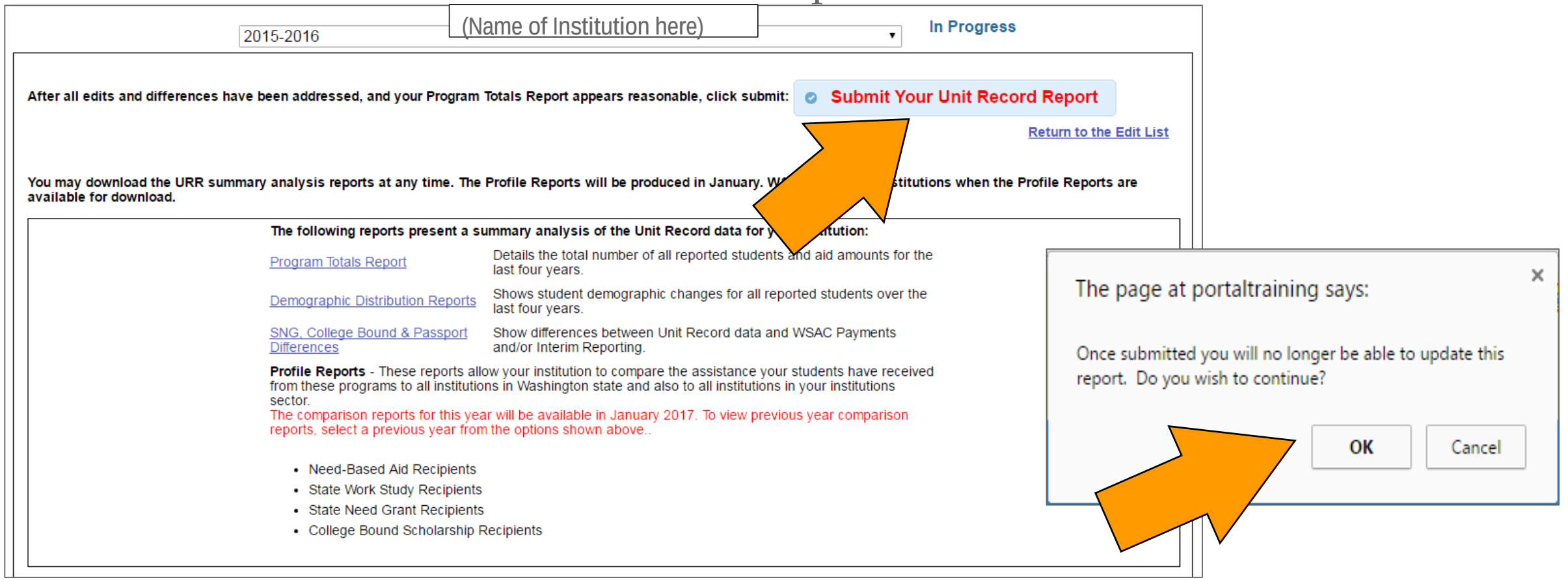
Create a PDF of this page for your records

(Name of Institution here) **Need-Based Financial Aid Recipient Totals and Non-Need Based Federal Loan Recipient Totals**

Financial Aid Type	2012-2013 Amount	2013-2014 Amount	2014-2015 Amount	2015-2016 Amount	%Change Current vs Previous	2012-2013 Recipients	2013-2014 Recipients	2014-2015 Recipients	2015-2016 Recipients	% Change Current vs Previous
Federal										

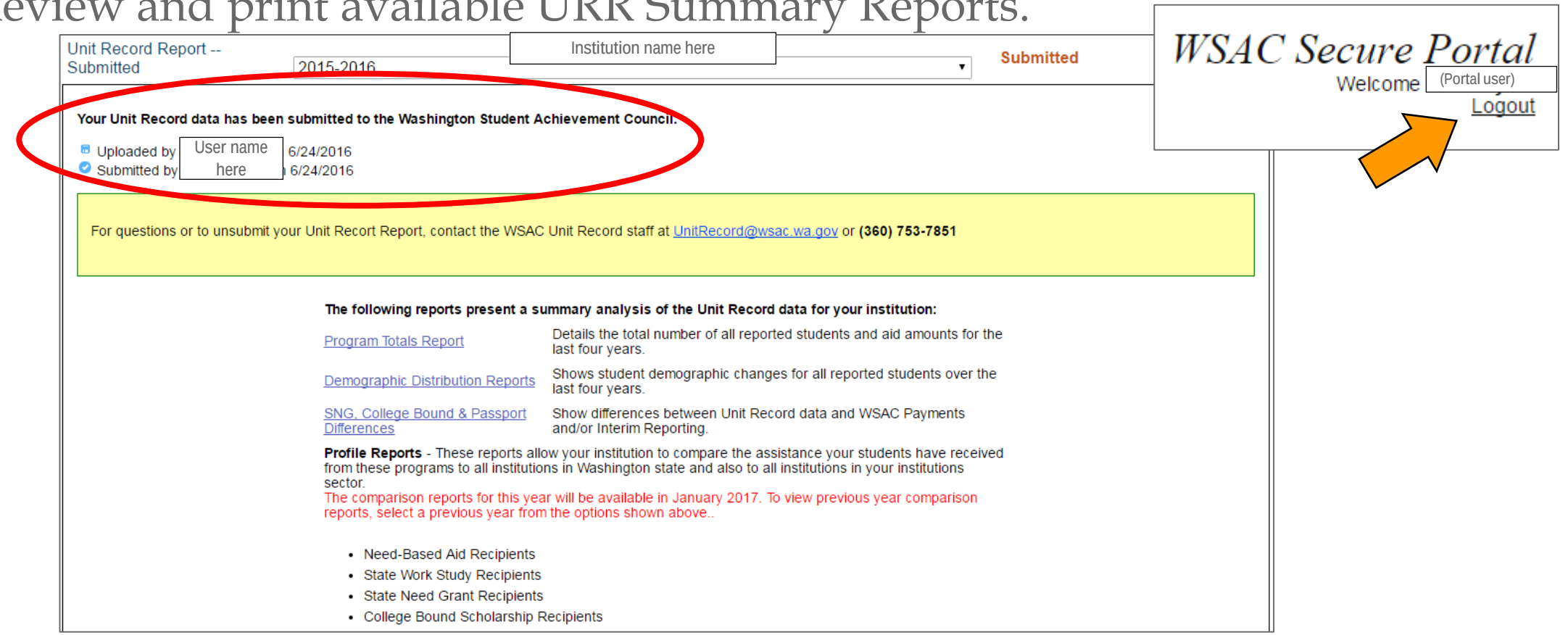
Submitting the Report

- Click "Submit Your Unit Record Report"

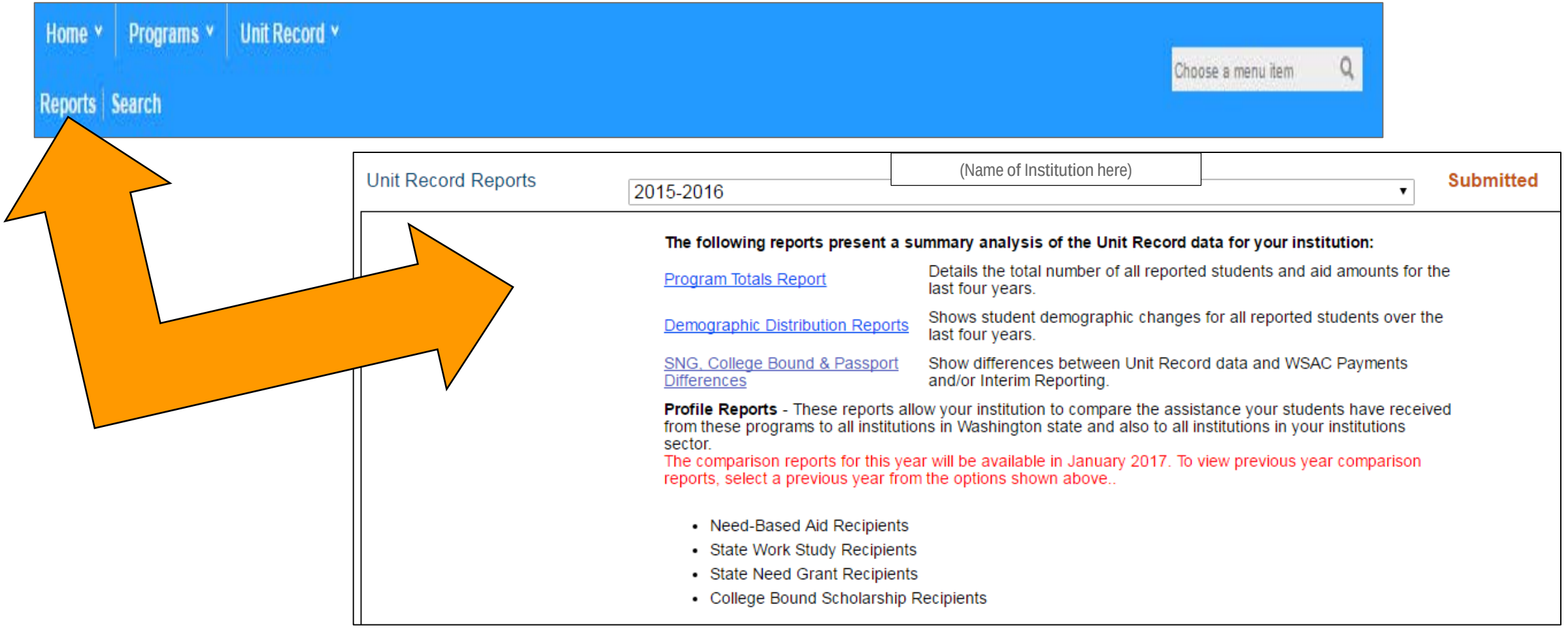


Before Exiting the URR Portal

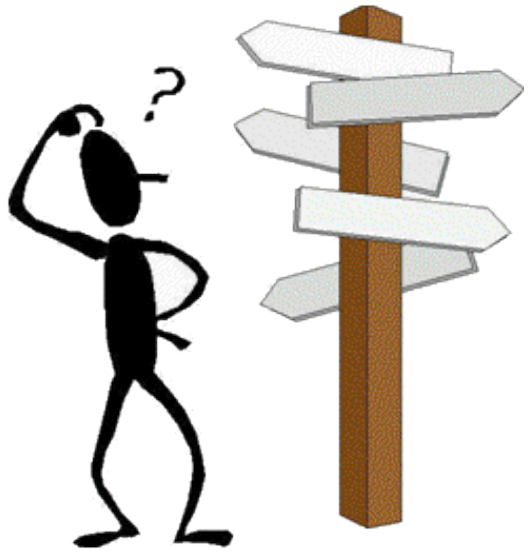
1. Successful submission takes you to a Confirmation/Reports page.
2. Review and print available URR Summary Reports.



Other URR Summary Reports



Where to go for help?



- Review the 2015-16 URR Manual, available online at:

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

- Contact Washington Student Achievement Council staff at:

  unitrecord@wsac.wa.gov

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