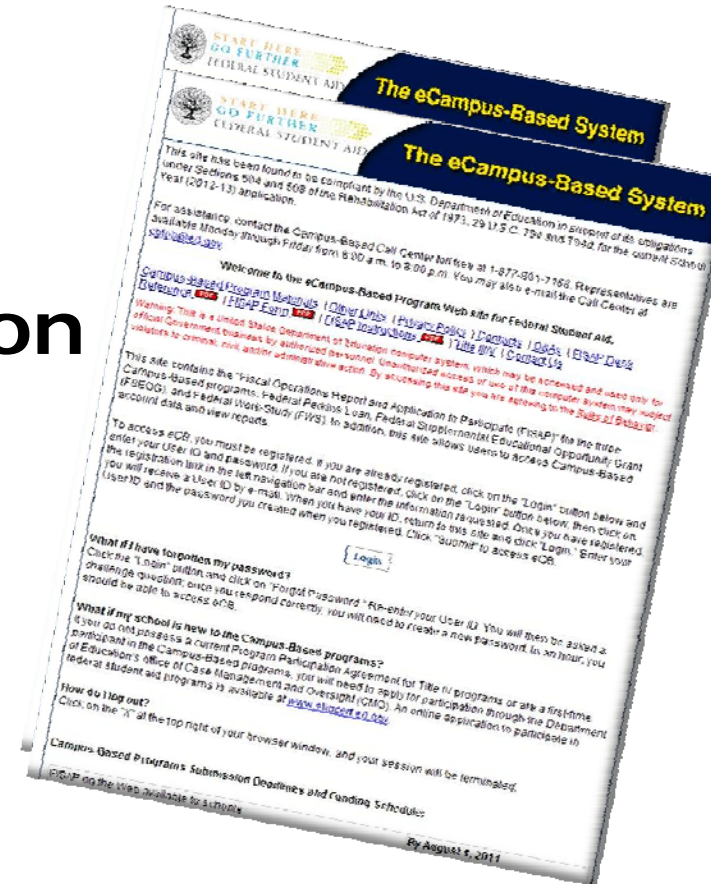


Session #12

Common Errors in FISAP Filing

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FEDERAL STUDENT AID

Fiscal Operations Report and Application to Participate (FISAP) –What is it?

- The FISAP is the school's operations report on how Campus-Based Program funds were spent for the reporting year that has just ended
- and
- The FISAP is the school's application to participate in the Campus-Based Programs and request funds for the upcoming year

When is the FISAP Due?

- By October 1 of each year
 - If October 1 falls on a weekend, the due date would be the Friday before. For example, the 2011 due date was September 30
 - Revisions to the initial FISAP submission may be made through December 15
 - December 16 the FISAP form is locked

FISAP on IFAP

- <http://ifap.ed.gov/eannouncements/062011FinalFormInstruandTechRefforFISAPDue093011.html>
- Form, Instructions and Technical Reference published by August 1
- Tentative Awards made by February 1
- Final Awards made by April 1

FISAP

- Part I – Identifying Information, Certification, and Warning Instructions
- Part II – Application to Participate, Request for Funds, and the Eligible Applicant Grid
- Part III – Federal Perkins Loan Program Report (cumulative and award year data)
- Part IV – FSEOG Program Report
- Part V - FWS Program Report
- Part VI – Program Summary

FISAP Corrections Due by December 15

- Initial submission due by October 1 (or the Friday before if October 1 falls on the weekend)
- Schools have until December 15 to make revisions to FISAP data after the initial submission
- After December 15, revisions must be requested through Campus-Based Programs staff via the FISAP change request process within eCB

Failure to Make Required Revisions

- Impacts tentative and final awards; there are limited funds appropriated annually
- School may receive less than what they are eligible for or be over-awarded and required to repay after an audit
 - Base guarantee affected if request is less
 - Fair share may also be affected
- Annual funding amount may be reduced in G5 by ED
- No reinstatement of funds for reporting errors

Failure to Make Required Revisions (cont.)

- Amount expended on FISAP is official statement
- Funds in G5 will be adjusted to match and a negative balance may result

Accurate FISAP Data

- Schools are requested to make necessary revisions after the December 15 deadline to ensure FISAP historical data is accurate
 - A-133 audit findings
 - Award cancellations
 - Ineligible students
 - Errors in reporting

FISAP Change Request after December 15

- FISAP revisions are made in the “working copy” of the FISAP by the school
- Cannot submit the revisions until Campus-Based staff approves and “unlocks” the FISAP for submission
- School has five days after the FISAP change request approval to submit the revisions

FISAP Change Request after December 15

- Campus-Based staff work with the school to ensure revisions are made correctly and that the school understands the possible impact of the revisions made

FISAP Changes after December 15

- Examples of changes not permitted:
 - Increase/decrease in requested FSEOG, FWS, Perkins LOE
 - Increase/addition of administrative cost allowance for any Campus-Based Program

FISAP Changes after December 15

- Items that have the most impact on funding levels:
 - Number of enrolled students
 - Total tuition and fees
 - Total grant funding expended
 - Eligible applicant grid changes

Common Errors in FISAP Filing

- Schools do not coordinate with other offices on campus in collecting and reconciling program information
- Schools do not validate FISAP information provided by third party servicers

Examples of Offices Involved in Collection/Reporting of FISAP Data

- Financial Aid Office – awards/disbursements
- Registration – enrollment/program of study
- Business Office – disbursements/drawdown
- Admissions – eligible program of study/admission status (guest student vs. regular student)

FISAP Errors

- Mergers/Splits
 - Schools combine or separate FISAP reporting data too soon
 - Schools do not request funding for all involved schools
 - Schools need to work with school compliance staff, FSA's internal controls, and campus-based staff to ensure proper reporting

Part II, Section A – Request for Funds for the Award Year

- Schools request more than what they can reasonably expend resulting in unexpended funds for the year
- Schools request less than what they can reasonably expend resulting in inadequate funds for students

Part II, Section A – Request for Funds for the Award Year

- Schools participating in the Perkins Loan Program do not request a Perkins Level of Expenditure (LOE) to obtain authority to advance funds to students
- Schools participating in the Perkins Loan Program do request a Perkins LOE and do not advance funds to students

Part II, Section B – Federal Perkins Loan Liquidation Request

- Schools wishing to liquidate their Perkins Loans portfolio do not indicate “YES”
- Schools not wishing to liquidate their Perkins Loans portfolio indicate “YES” every year which will trigger the liquidation process

Part II, Section C – Waiver Request for the Underuse of Funds

- Schools with unexpended Campus-Based funds do not request a waiver for the underuse of funds, resulting in a funding penalty for the following year

Part II, Section D – Information on Enrollment

- Schools misreport the number of enrolled students
 - Report students enrolled only in audit courses
 - Report students not enrolled in an eligible program of study

Part II, Section E – Assessments and Expenditures

- Schools misreport total tuition and fees (Question # 22)
 - Identified through audit or program review
 - Revising student account records
 - Lack of coordination between campus offices (Registration, Business Office, Financial Aid)

Part II, Section E – Assessments and Expenditures

- Total Title IV, Part A, Subpart I, Grants (Total Federal Pell Grant expenditures (#23a), Total ACG expenditures (#23b), Total Smart expenditures (#23c)
 - Identified through an audit or program review
 - Revisions as a result of R2T4 calculations
 - Lack of coordination between the business office and the financial aid office

Pell and ACG/Smart Grants for 2013-14 FISAP Reporting

- Pell Grant expenditures may be significantly less due to the cancellation of two Pell Grants in an award year
- ACG/SMART Grants – 2010-11 last year funded, reporting not required beginning with the 2013-14 FISAP

Part III, Section A – Federal Perkins Loan Program

- Discovery of Perkins Loan Identity Theft
 - Report this information on line 26 – *Loan Principal Adjustments* and on line 55 – *Other Costs or Losses*

Part III, Section C - Cumulative Repayment Information as of June 30

- Schools misreport the number of accepted assigned Perkins Loans and the dollar amount of accepted assigned loans
- Servicer reports to the schools are not reviewed to determine assigned loans not accepted by the Department

Part IV, Section A - Federal Funds Authorized for FSEOG

- Amount is adjusted (downward) by the school to eliminate unexpended funds
 - Should only be adjusted if funds were returned to the Department through the reallocation process
 - Adjustments to the final award as a result of the reallocation process (returning funds/receiving supplemental funding) will be reflected in the Statement of Account (SOA)



Part IV, Section B – Federal Funds Available for FSEOG Expenditures

- Schools neglect to move FSEOG funds to a prior year or to the next year
 - Results in unexpended funds for the program if not reported fully expended for the reporting year

Part IV, Section D – Federal Funds Spent for FSEOG Program

- FSEOG Administrative Cost Allowance (ACA) claimed
 - Schools fail to claim enough ACA to expend full authorization resulting in unexpended funds
 - Cannot make FISAP change to this data element after December 15

Part V, Section A – Federal Funds Authorized for FWS

- Amount is adjusted by the school to eliminate unexpended funds
 - Should only be adjusted if funds were returned to the Department through the August reallocation process
 - Adjustments to the final award as a result of the reallocation process (returning funds/receiving supplemental funding) will be reflected in the SOA

Part V, Section B – Federal Funds Available for FWS Expenditures

- Schools neglect to move FWS funds to a prior year or to the next year
 - Results in unexpended funds for the program if not reported fully expended for the reporting year

Part V, Section C – Total Compensation for FWS

- School misreports on-campus vs. off-campus compensation
- School misreports institutional share of earned compensation
 - Must coordinate with office(s) that handle student employment and payroll

Part V, Section D – Funds Spent from Federal Share of FWS

- FWS Administrative Cost Allowance (ACA) claimed
 - Schools fail to claim enough ACA to expend full authorization resulting in unexpended funds
 - Cannot make FISAP change to this data element after December 15

Part V, Section E – Use of FWS Authorization

- Errors made in prior sections of Part V result in reporting errors in Expended and Unexpended FWS funds

Part V, Section G – Information About FWS Students Employed in Community Service Activities

- Required 7% of authorized funding to be spent in community service (7% is based on the total of the Final Award, minus reallocated funds, plus all supplemental funds)
- Require at least one reading tutor

Part V, Section F – Job Location and Development (JDL) Program

- Schools neglect to use funds for JDL program

Part V, Section G – Information About FWS Students Employed in Community Service Activities

- Schools who choose not to participate in community service employment and/or tutor requirement may have penalty imposed
- Can apply for community service waiver (information posted on IFAP in electronic announcement annually)

Part VI, Section A – Program Summary for Award Year

- Unduplicated student count is misreported
 - This amount is often reported to be more than total Campus-Based recipients
 - Most financial aid software vendors provide ability to pull this data
 - School must resolve error or edit records from system report
 - Errors typically due to R2T4 calculations



Why are FISAP Filing Errors Made?

- Waiting too late to file – not having all information needed
- Changes in staffing
- Mergers/Acquisitions/Splits
- Lack of understanding of the program and reporting requirements
- Lack of coordination among campus offices related to Campus-Based Program reconciliation

Transferring Campus-Based Funds from One Year to Another

- Misconception that Campus-Based funds must also be moved in G5 if funds reported moved to the next year on the FISAP
- Funding should remain in the year it was authorized and drawn from that year for expenditures in a subsequent or prior year
- Funds can be carried forward/backward for one year, not year after year
- Funds are available in G5 for drawdown for five years

Transferring Campus-Based Funds from One CB Program to Another

- Schools may transfer up to 25% of a Campus-Based program's annual authorization between the following programs:
 - FWS to FSEOG
 - FSEOG to FWS
 - FWS to Perkins Loans only if the school received a LOE for the award year

Transferring Campus-Based Funds To/From the Perkins Loan Program

- The transfer of funds from Perkins Loans is only allowable in years when Federal Capital Contribution is allocated to schools or if the school received a LOE
- The LOE is the authority from ED for the school to participate and spend monies from the Perkins Loan funds for that award year

Campus-Based Program Funds Transferred and G5

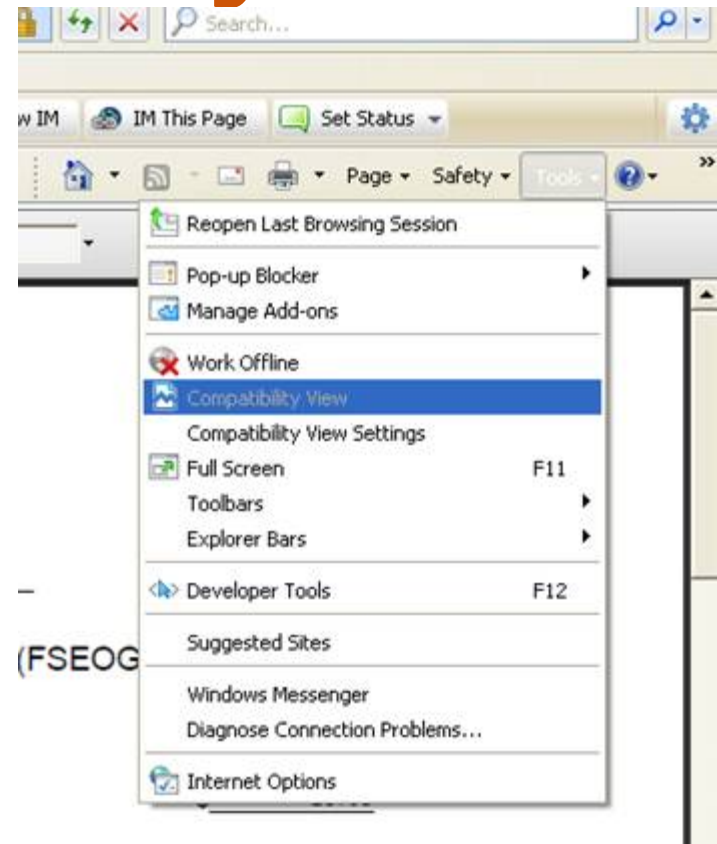
- Funds transferred to another Campus-Based Program must be reported on the FISAP and drawn in G5 from the program initially authorized

Problems Viewing a PDF File from within the eCB System

- Some schools are reporting seeing lines of code or other illegible data when attempting to open a .pdf document in the eCB system when accessing the system using a computer with Windows 7 operating system

Problems Viewing a PDF File from within the eCB System

- When the .pdf window opens, select "Tools" from the right side of the screen and select "Compatibility View"



Problems Viewing a PDF File from within the eCB System

- If “Compatibility View” is not available:
 - Select “Compatibility View Settings” and press the “Add” button to add the website
- This is similar to the previous issue, but can be encountered with any version of the Windows operating system

eCB PDF Security Issue

- Some schools are receiving the form in “code” or receiving the “Security Certificate” issue

eCB PDF Security Issue Fix

- While in Internet Explorer, go to “Tools,” then Internet Options
- Select the “Security Tab,” and then click “Trusted Sites,” which should take you to a screen that shows your current web address in a box with “Add” beside it (You need to be logged in to eCB at the time)
- Then select “Sites”
- Select “Add,” and it will add the FISAP site to your trusted sites to resolve the issue

eCB PDF/Printing Issues

- The PDF won't print or won't print properly
- If you get the following message, "there is a problem with this websites security," select the option, "continue to use this website," and you should be able to print

eCB PDF/Printing Issues

However, if that doesn't work:

- While logged in eCB, go to Self-Service page
- Press/hold the ALT button down, and then select *"Submitted Version"* or *"Working Version All Parts"* link
- When the system loads the FISAP, a security window should appear and ask if you want to *"accept data from this site this one time only or add it to approved sites"*
- Release the ALT button and select *"add to trusted/approved sites"*

Contact Information

We appreciate your feedback & comments.

- Perkins Loan liquidation team e-mail PerkinsLiquid@ed.gov – for schools in the Perkins Loan liquidation process or have questions about the process
- Phone: eCampus-Based Call Center 877-801-7168 for all other questions regarding grants and Campus-Based Programs

Contact Information

- Kathleen Wicks – Director, Grants and Campus-Based Division, 202-377-3110
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