

National Association of Student
Financial Aid Administrators

**The following is a presentation prepared for
the**

IASFAA Conference

**Iowa City, Iowa
November 4, 2011**

Presented by:

John Parker

Iowa Student Loan

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National Association of Student
Financial Aid Administrators

Using NASFAA Tools to Ensure Title IV Compliance

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NASFAA Resources

Resources to help you comply are available at NASFAA.org, including:

- Analysis of new laws, regulations and guidance
- Text of laws, regulations and ED guidance
- NASFAA-developed tools and resources
- Online live and on-demand training and analysis
- Centers with resources to help you comply with new regulations

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Where to Find Resources

The screenshot shows the NASFAA website interface with several callout boxes pointing to specific features:

- Red box:** Guidance and analysis on the most pressing issues -- currently the program integrity regulations and the net-price calculator
- Purple box:** Useful literature including quick-reference guides and Monographs
- Green box:** A host of training opportunities including conferences, webinars and the CORE training materials
- Blue box:** Tools to help you do your job better, including the Self-Evaluation Guide, a guide to interpreting regulatory language, a guide to developing policies and procedures, a compilation of Title IV regulations, a staffing guide, personal assistance through Ask Regs, and much more
- Orange box:** The latest ED guidance in one place, including Dear Colleague Letters, Electronic Announcements and Federal Register announcements

The website navigation menu includes: MEMBERS, STUDENTS, PARENTS & COUNSELORS, STATES & REGIONS, INITIATIVES, RESOURCES, and ABOUT NASFAA. The left sidebar lists: News Room, Featured Topics, Publications, Professional Development, Professional Practice Tools, Program Guidance, 2011 National Conference, Encyclopedia of Student Financial Aid, Membership Center, and Student Aid Transcript. The main content area features articles such as 'Student Debt: A Comprehensive Look' and 'Help Prevent Cuts to 2012-13 Pell Awards'. A right sidebar contains a 'PRE-CONFERENCE PROGRAM NOW AVAILABLE BOSTON 2011' banner and a 'TG can help.' advertisement.

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Still Can't Find It? Try Searching

Advanced Search Advanced Search Help

SUBJECT Select All | Clear All

- Organizations
- Laws
 - American Recovery and Reinvestment Act of 2009 (ARRA)
 - Edward M. Kennedy Serve America Act
 - Post 9-11 Veteran's Educational Assistance Act
 - Higher Education Act of 1965 (HEA)
 - General Education Provisions Act (GEPA)
 - Credit Card Accountability Responsibility & Disclosure Act of 2009 (CARD)
 - Fair and Accurate Credit Transactions Act (FACT Act)
 - Higher Education Relief Opportunities For Students (HEROES)
- Programs
- Topics
 - Aid Type
 - Student
 - Academic Level
 - Activity
 - Federal System
 - Program Funding
 - Policy Issues
 - Institutional Issues
 - Professional Practic

TEXT SEARCH Clear Form Fields

with all of the words:

exact phrase:

at least one of the words:

without the word:

LIMIT BY

Publisher:

Series:

Resource Type:

Award Year:

Publication Date:

Find content with (or without) specific wording using these advanced search options

Search for content about a certain organization, or about specific laws, programs, and/or topics

These options help you pinpoint the exact material you are looking for

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Sample Search: Gainful Employment

TEXT SEARCH

with all of the words :

exact phrase :

at least one of the words :

without the word :

LIMIT BY

Publisher :

Series :

Resource Type :

Award Year :

Publication Date :

We're looking for the gainful employment final rules

Using the “exact phrase” option will narrow our search by excluding any content that has the words “gainful” and “employment,” but not the phrase “gainful employment”

Selecting the publisher will narrow the search even further by excluding content that was not published by the U.S. Department of Education

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Sample Search (continued)

A search filter menu with a red box around the 'Series' label. The dropdown menu is open, showing a list of options. 'Federal Register' is highlighted in blue. Other options include 'Dear Colleague Letter', 'Electronic Announcement', 'Journal of Student Financial Aid', 'NASFAA Advocacy Update', 'NASFAA Conference', 'National Conversation', 'QuickScan Survey', 'Student Aid Transcript', and 'Todays News'. There are also labels for 'Resource Type', 'Award Year', and 'Publication Date' with corresponding input fields and a calendar icon.

A search filter menu with a red box around the 'Resource Type' label. The dropdown menu is open, showing a list of options. 'Regulation: Final' is highlighted in blue. Other options include 'Article', 'Bill', 'Book', 'Brochure', 'Comment Request', 'Curriculum', 'Form', 'Guide', 'Index/Glossary', 'Letter', 'Monograph', 'Notice', 'Online Course', 'Presentation', 'Press Release', 'Regulation: Proposed', and 'Report'. There are also labels for 'Award Year' and 'Publication Date' with corresponding input fields and a calendar icon.

Identifying the series and the type of resource helps narrow the search even further.

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Sample Search Results

Matches 1–2 of 2, Sorted By Relevance.

[Edit Search](#) | [Start Over](#)


Final Rule: Program Integrity: Gainful Employment--New Programs

The Secretary amends the regulations for Institutional Eligibility Under the Higher Education Act of 1965, as amended (HEA), to establish a process under which an institution applies for approval to offer an educational program that leads to gainful employment in a recognized occupation.

Series=Federal Register **Resource Type**=Regulation: Final **Publication Date**=10/29/2010 **Publisher**=Department of Education **ID**=2229 

Program Integrity Final Rules Linked

NASFAA's hyperlinked version of the October 29, 2010, Program Integrity Final Rules Federal Register.

Series=Federal Register **Resource Type**=Regulation: Final **Publication Date**=10/29/2010 **Publisher**=Department of Education **ID**=3409 

Using advanced search gives you specific results. The first is the actual final rule published in the Federal Register by the Department and the second is an enhanced version with internal links to facilitate navigation.

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NASFAA Website

Professional Practice Tools

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NASFAA's *Compiled Title IV* *Legislation*

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NASFAA Compiled Title IV Legislation

- Searchable PDF for each major subchapter of U.S. Code that relates to student financial assistance programs for higher education
- Files constructed by incorporating amendments to the law

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- Each document contains bookmarks for easier navigation
- For ED regulations that interpret and implement these sections of law, see [Compiled Title IV Regulations](#)
- For official version of the law, visit [Thomas](#) at <http://thomas.loc.gov/home/thomas.php>

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Adobe Reader - [NASFAA Compiled Law: Pell Grant and ACG]

File Edit View Document Tools Window Help

Save a Copy Search Select 58% Help Download New Reader Now

Options x

Bookmarks

- § 1070. Statement of purpose; program authori;
- § 1070a. Federal Pell Grants: amount and dete
- § 1070a-1. Academic competitiveness grants

Pages

Attachments

Comments

Subpart 1—Federal Pell Grants

§ 1070a. Federal Pell Grants: amount and determinations; applications [HEA § 401]

NOTE: Text shown as struck is deleted effective with respect to the 2011-12 award year and succeeding years; text shown in red is added at that time. P.L. 112-10.

(a) Program authority and method of distribution

(1) For each fiscal year through fiscal year 2017, the Secretary shall pay to each eligible institution such sums as may be necessary to pay to each eligible student (defined in accordance with section 10871 of this title) for each academic year during which that student is in attendance at an institution of higher education, as an undergraduate, a Federal Pell Grant in the amount for which that student is eligible, as determined pursuant to subsection (b) of this section. Not less than 85 percent of such sums shall be advanced to eligible institutions prior to the start of each payment period and shall be based upon an amount requested by the institution as needed to pay eligible students until such time as the Secretary determines and publishes in the Federal Register with an opportunity for comment, an alternative payment system that provides payments to institutions in an accurate and timely manner, except that this sentence shall not be construed to limit the authority of the Secretary to place an institution on a reimbursement system of payment.

(2) Nothing in this section shall be interpreted to prohibit the Secretary from paying directly to students, in advance of the beginning of the academic term, an amount for which they are eligible, in cases where the eligible institution elects not to participate in the disbursement system required by paragraph (1).

(3) Grants made under this subpart shall be known as "Federal Pell Grants".

(b) Purpose and amount of grants

(1) The purpose of this subpart is to provide a Federal Pell Grant that in combination with reasonable family and student contribution and supplemented by the programs authorized under subparts 3 and 4 of this part, will meet at least 75 percent of a student's cost of attendance (as defined in section 10871 of this title), unless the institution determines that a greater amount of assistance would better serve the purposes of this section.

(2)(A) The amount of the Federal Pell Grant for a student eligible under this part shall be—

- (i) the maximum Federal Pell Grant, as specified in the last enacted appropriation Act applicable to that award year, plus
- (ii) the amount of the increase calculated under paragraph (7)(B) for that year, less
- (iii) an amount equal to the amount determined to be the expected family contribution with respect to that student for that year.

(B) In any case where a student attends an institution of higher education on less than a full-time basis (including a student who attends an institution of higher education on less than a half-time basis) during any academic year, the amount of the Federal Pell Grant to which that student is entitled shall be reduced in proportion to the degree to which that student is not so attending on a full-time basis, in accordance with a schedule of reductions established by the Secretary for the purposes of this division, computed in

20 U.S.C. (secs. 1070 – 1070a-1) Page 2 of 12 Compiled by NASFAA 4/2011

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U.S. Code §1070a [HEA § 401]

accordance with this subpart. Such schedule of reductions shall be established by regulation and published in the Federal Register in accordance with section 1088 of this title.

(3) No Federal Pell Grant under this subpart shall exceed the difference between the expected family contribution for a student and the cost of attendance (as defined in section 1087(i) of this title) at the institution at which that student is in attendance. If, with respect to any student, it is determined that the amount of a Federal Pell Grant plus the amount of the expected family contribution for that student exceeds the cost of attendance for that year, the amount of the Federal Pell Grant shall be reduced until the combination of expected family contribution and the amount of the Federal Pell Grant does not exceed the cost of attendance at such institution.

(4) No Federal Pell Grant shall be awarded to a student under this subpart if the amount of that grant for that student as determined under this subsection for any academic year is less than ten percent of the maximum amount of a Federal Pell Grant award determined under paragraph (2)(A) for such academic year, except that a student who is eligible for a Federal Pell Grant in an amount that is equal to or greater than five percent of such Federal Pell Grant amount but less than ten percent of such Federal Pell Grant amount shall be awarded a Federal Pell grant in the amount of ten percent of such Federal Pell Grant amount.

~~(5)(A) The Secretary shall award a student not more than two Federal Pell Grants during a single award year to permit such student to accelerate the student's progress toward a degree or certificate if the student is enrolled~~

~~(i) on at least a half-time basis for a period of more than one academic year, or more than two semesters or an equivalent period of time, during a single award year; and~~

~~(ii) in a program of instruction at an institution of higher education for which the institution awards an associate or baccalaureate degree or a certificate.~~

~~(B) In the case of a student receiving more than one Federal Pell Grant in a single award year under subparagraph (A), the total amount of Federal Pell Grants awarded to such student for the award year may exceed the maximum basic grant level specified in the appropriate appropriations Act for such award year.~~

~~(6)~~ Notwithstanding any other provision of this subpart, the Secretary shall allow the amount of the Federal Pell Grant to be exceeded for students participating in a program of study abroad approved for credit by the institution at which the student is enrolled when the reasonable costs of such program are greater than the cost of attendance at the student's home institution, except that the amount of such Federal Pell Grant in any fiscal year shall not exceed the maximum amount of a Federal Pell Grant award determined under paragraph (2)(A), for which a student is eligible during such award year. If the preceding sentence applies, the financial aid administrator at the home institution may use the cost of the study abroad program, rather than the home institution's cost, to determine the cost of attendance of the student.

~~(7)(B)~~ No Federal Pell Grant shall be awarded under this subpart to any individual who is incarcerated in any Federal or State penal institution or who is subject to an involuntary civil commitment upon completion of a period of incarceration for a forcible or nonforcible sexual offense (as determined in accordance with the Federal Bureau of Investigation's Uniform Crime Reporting Program).

20 U.S.C. Secs. 1070 – 1070e-1

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Sample of § 1070a. Federal Pell Grants: amount and determinations; applications [HEA § 401]

- *Strikeout text is deleted effective with the 2011-12 award year and succeeding years;*
- *Red text is added at that time*

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NASFAA's ***Compiled Title IV*** ***Regulations***

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NASFAA Compiled Title IV Regulations

- Searchable PDF document
- Linked table of contents in each document
- New regulations incorporated each award year

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NASFAA Compiled Title IV Regulations

- Current edition is as of July 1, 2011, effective 2011-12 award year
- Revisions that become effective July 1, 2011, are shown in:
 - red (added text) or
 - **strikeout (like this) for deleted text**
- Keys applicable to individual sections of regulation are noted in the footer
- Gray shading used to denote early implementation at institution's option
- Bookmarks added to permit navigation in document

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Part 600: Institutional Eligibility

Compiled by NASFAA 11/2010 PART 600—INSTITUTIONAL ELIGIBILITY UNDER THE HIGHER EDUCATION ACT OF 1965, AS AMENDED Since published as a compilation through December 1994, the following amendments have been incorporated into part 600: -Technical corrections of 6/30/95 - Technical corrections of 6/12/96 -Improved oversight

Part 601: Institution and Lender Requirements Relating to Education Loans

Compiled by NASFAA 11/2010 PART 601— INSTITUTION AND LENDER REQUIREMENTS RELATING TO EDUCATION LOANS First published 10/28/09 – effective date 7/1/10 with early implementation permitted for Secs. 601.11(a),(b),(c); 601.12; 601.21; and 601.40(a) Subpart A—General 601.1 Scope. 601.2 Definitions.

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PART 600—INSTITUTIONAL ELIGIBILITY UNDER THE HIGHER EDUCATION ACT OF 1965, AS AMENDED

Since published as a compilation through December 1994, the following amendments have been incorporated into part 600:

- Technical corrections of 6/30/95
- Technical corrections of 6/12/96
- Improved oversight amendments of 11/29/96
- Technical corrections of 7/29/98
- Reauthorization amendments of 10/29/99
- Streamlining revisions of 11/1/00
- Burden reduction revisions of 11/1/02
- Technical corrections and PL108-98 amendments of 3/16/04
- HEA amendments of 8/9/06
- HEOA amendments of 10/27/09
- HEOA amendments of 10/29/09
- Program Integrity revisions of 10/29/10
- Program Integrity: Gainful Employment—New Programs revisions of 10/29/10
- Foreign Institutions—Federal Student Aid Programs revisions of 11/1/10

Subpart A—General

- 600.1 Scope.
- 600.2 Definitions.
- 600.3 [Reserved].
- 600.4 Institution of higher education.
- 600.5 Proprietary institution of higher education.
- 600.6 Postsecondary vocational institution.
- 600.7 Conditions of institutional ineligibility.
- 600.8 Treatment of a branch campus.
- 600.9 ~~Removed and reserved~~ State authorization.
- 600.10 Date, extent, duration, and consequence of eligibility.
- 600.11 Special rules regarding institutional accreditation or preaccreditation.

Struck text deleted effective 7/1/11
Red text added effective 7/1/11
Shaded text early implementation allowed

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PART 600—INSTITUTIONAL ELIGIBILITY UNDER THE HIGHER EDUCATION ACT OF 1965, AS AMENDED

Subpart A—General Sec. 600.4 Institution of higher education.

(a) An Institution of higher education is a public or private nonprofit educational institution that—

(1) is in a State, or for purposes of the Federal Pell Grant, Federal Supplemental Educational Opportunity Grant, Federal Work-Study, and Federal TRIO programs may also be located in the Federated States of Micronesia or the Marshall Islands;

(2) Admits as regular students only persons who—

(I) Have a high school diploma;

(II) Have the recognized equivalent of a high school diploma; or

(III) Are beyond the age of compulsory school attendance in the State in which the institution is physically located;

(3) is legally authorized to provide an educational program beyond secondary education in the State in which the institution is physically located **in accordance with Sec. 600.9**;

(4)(I) Provides an educational program—

(A) For which it awards an associate, baccalaureate, graduate, or professional degree;

(B) That is at least a two-academic-year program acceptable for full credit toward a baccalaureate degree; or

(C) That is at least a ~~one academic year~~ **one academic year** training program that leads to a certificate, ~~degree~~, or other ~~nondegree~~ **nondegree** recognized ~~educational~~ credential, and prepares students for gainful employment in a recognized occupation; and

~~Struck text deleted effective 7/1/11~~
Red text added effective 7/1/11

Compiled by NASFAA 11/2010

- Sec. 600.4, Institution of Higher Education
- Contains both:
 - ✓ **red text** indicating new language effective 7/1/11
 - ✓ **strikeout text** indicating language was deleted

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NASFAA Policies & Procedures Tools

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TOOLS

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NASFAA Policies & Procedures Tools

Toolbox with all the user-friendly tools you need to create and maintain an electronic policies and procedures manual

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What's in the Toolbox?

- Tools for formatting, implementing, and evaluating policies and procedures
- *Regulatory Resources Guide* containing:
 - Explicit and implied regulatory requirements
 - Areas where schools have implementation options

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What's in the Toolbox?

- Tips for formatting your P&P manual
 - Page format samples
 - Style decisions
 - Master tracking document
- Guidance for reading and interpreting statutes and regulations

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What's in the Toolbox?

Electronic P&P manual templates:

- Full version with comprehensive detail, including citations and references
- “Shell” version—a pared-down outline of full version

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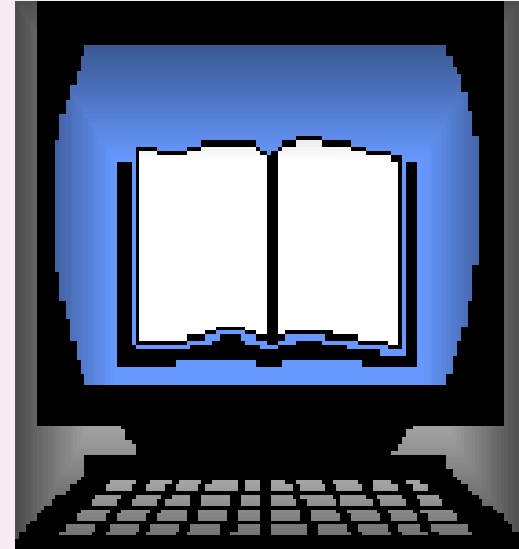


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Template Features

- Electronic shared-file, network and Internet capability
- Descriptions of sections required or implied by law or regulation



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Manual Template Sections

- | | |
|--|------------------------------|
| 1: Manual Introduction | 9: Awarding & Packaging |
| 2: Administrative Organization & Office Management | 10: Professional Judgment |
| 3: Financial Aid Programs | 11: Disbursements |
| 4: Institutional Requirements Related to Student Loans | 12: Satisfactory Progress |
| 5: Student Consumer Information | 13: Return of Title IV Funds |
| 6: Applications & Forms | 14: Institutional Refunds |
| 7: File Review | 15: Fraud |
| 8: Student Budgets | 16: Audits |
| | 17: Reserved |
| | 18: Appendices |

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Template Features

Click-and-type functionality to easily add your school's information

<i>Procedures</i>	
Describe the process of identifying those applicants or applications selected for verification. Include a statement regarding the process of identifying and verifying subsequent or additional applications. Explain how the institution will monitor the number of selected applicants to make sure verification policies are enforced and/or percentages are met.	668.54(a)
[Click here to insert your school's procedures]	
Last updated: [Click here to insert date]	

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NASFAA's *Self-Evaluation Guide*



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What is the NASFAA *Self-Evaluation Guide*?

- In-house evaluation tool for Title IV and HHS programs
- Describes majority of requirements
- Includes good practices

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What is the NASFAA *Self-Evaluation Guide*?

- Contains regulatory citations & other references
- Questions designed to easily identify areas of noncompliance
- Interactive form fields



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Use *Self-Evaluation Guide* to:

- Prepare for audit and program reviews
- Affirm and/or revise financial aid operations, policies, and procedures
- Provide outline for policies and procedures manual

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Use *Self-Evaluation Guide* to:



- Train staff
- Convey magnitude and complexity of financial aid administration to others
- Document need for resources, staffing, and physical accommodations

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Use *Self-Evaluation Guide* to:

- Prepare reports
- Determine progress towards achieving goals for improvement
- Preliminary evaluation to target areas for a formal review

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How to Complete the *Guide*

Self-Evaluation Guide Part 1 Section IV Return of Title IV Funds - Adobe Reader

Please fill out the following form. You cannot save data typed into this form. Please print your completed form if you would like a copy for your records.

NASFAA Self-Evaluation Guide Part 1 Section IV

IV. Return of Title IV Funds

Prepared by Date
Reviewed by Date

NOTE: Periodically, exceptions to certain statutory and regulatory requirements are granted due to national emergencies and/or federally-declared disasters. Information regarding exceptions/waivers for the 2010–11 award year may be found in the Guide [Introduction](#).

Reference	Question	Responsible Office	Response
I. General			
668.22(a)(1)	A. Does the institution have a process by which it identifies students for whom a return of Title IV funds calculation must be performed?	<input type="text" value="Financial Aid"/>	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>
2010–11 FSA Handbook, p. 5-27	1. Does the institution apply the return of Title IV funds formula only if a student withdraws from all classes before completing a payment period or period of enrollment?	<input type="text" value="Financial Aid"/>	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>
Federal Register, 8/6/99, p. 43026	2. Does the institution halt all Title IV disbursements upon learning of the student's withdrawal, until it calculates the amount of aid earned by the student?	<input type="text" value="Business"/>	yes <input type="checkbox"/> no <input checked="" type="checkbox"/>

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Guide to Adding New Academic Programs and Locations

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Adding New Programs and Locations

- Highlights major areas schools should review when:
 - Establishing new academic programs
 - Adding locations
- Notes institutional eligibility and program eligibility considerations

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Adding New Programs and Locations

- Lists regulatory and statutory citations for each area reviewed
- Provides related NASFAA & Department of Education (ED) resources for further guidance

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NASFAA's ASKREGS



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NASFAA's ASKREGS

- AskRegs service gives members personal assistance with regulatory or compliance questions
- Questions are thoroughly researched to provide a comprehensive answer, including regulatory citations

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NASFAA's *Using Federal Tax Returns in Need Analysis*

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Using Federal Tax Returns in Need Analysis

- Reference tool on how to use federal income tax returns, forms & schedules for:
 - Verification
 - Need analysis
- Updated annually by NASFAA

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Using Federal Tax Returns in Need Analysis

- Cross-references FAFSA line items to tax returns, W-2 forms and schedules
- Describes commonly used tax forms
- Highlights use of W-2 forms for verifying certain taxable and untaxed income
- Contains *Guide to Implied Income and Assets*

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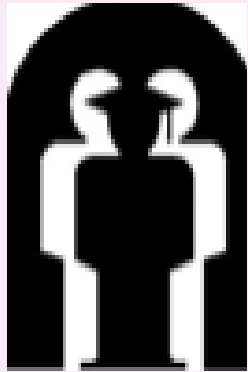
Forms and Schedules Comparison Sample

2010 Federal Tax Forms and Schedules Comparison

Need Analysis Data Element	1040	1040A	1040EZ	FAFSA
Exemptions Claimed	Line 6d	Line 6d	Line 5	37(S) 85(P)
Adjusted Gross Income (AGI)	Line 37	Line 21	Line 4	35(S) 83(P)
Earnings from Work	Lines 7 + 12 + 18 + Schedule K-1, Box 14, Code A Form W-2, Box 1	Line 7 Form W-2, Box 1	Line 1 Form W-2, Box 1	38-39(S) 86-87(P)
U.S. Income Tax Paid	Line 55	Line 35	Line 11	36(S) 84(P)
Tax-Exempt Interest Income	Line 8b	Line 8b	N/A	44d(S) 92d(P)
IRA Distributions (untaxed portions)	Lines 15a minus 15b (excludes rollovers)	Lines 11a minus 11b (excludes rollovers)	N/A	44e(S) 92e(P)
Pension and Annuity Distributions (untaxed portions)	Lines 16a minus 16b (excludes rollovers)	Lines 12a minus 12b (excludes rollovers)	N/A	44f(S) 92f(P)
Tax-Deferred Payments to Pensions and Savings Plans, IRA, SEP, SIMPLE, Keogh, and Other Qualified Plans	Lines 28 + 32 Form W-2, Boxes 12a-d, Codes D, E, F, G, H, S	Line 17 Form W-2, Boxes 12a-d, Codes D, E, F, G, H, S	N/A	44a, 44b(S) 92a, 92b(P)

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NASFAA PUBLICATIONS

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NASFAA Publications

Quick Reference Guides

- Deadlines: Direct Loan Program Year Closeout vs. Reconciliation Q & A
- 2011–12 Graduate & Professional Reference Sheet
- 2011–12 Health Professions Loans & Scholarships Reference Sheet
- 2011–12 Student Aid Reference Sheet
- Cash For College

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NASFAA Publications

Student Aid Transcript

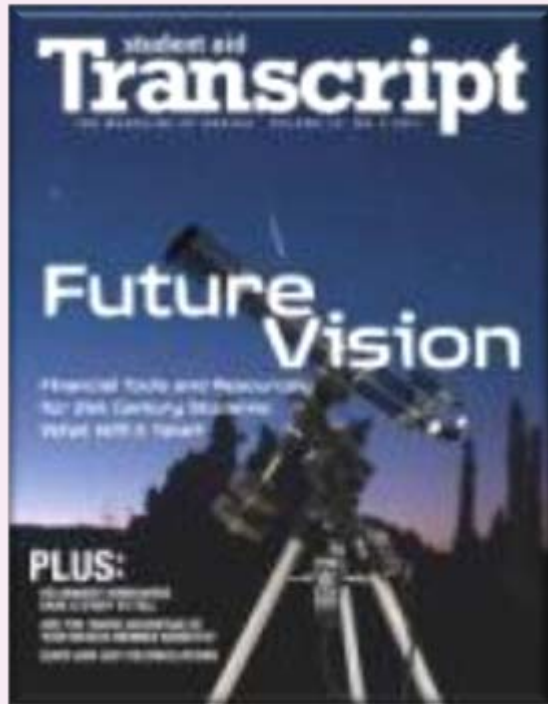
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NASFAA's *Student Aid Transcript*



Vol. 22, No. 2 Summer 2011

The *Student Aid Transcript* is the magazine of NASFAA, featuring in-depth articles by NASFAA members, policy experts, and colleagues in related industries

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NASFAA RESOURCES

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NASFAA's *Standards of Excellence* *Review Program*

Standards of Excellence Review Program

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What is the SOE Program?

- Voluntary appraisal of financial aid operations
- Assesses strengths and weaknesses
- Makes recommendations to improve Title IV operations and customer service
- Comprised of a team of your peers

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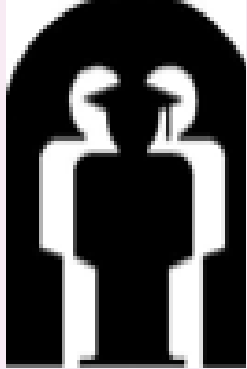
mcgheek@nasfaa.org

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Distance Learning

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On Demand Webinars



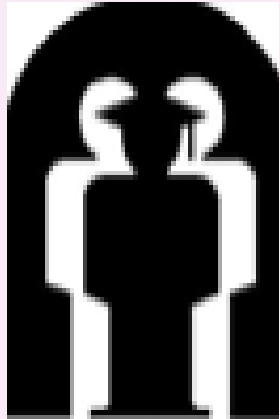
Recordings of previously broadcast events are available for purchase and viewing at your convenience

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NASFAA Graduate and Professional Listserv

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Graduate and Professional Listserv



- Free service for NASFAA members at graduate and professional institutions
- Serves as a communications forum for issues specifically related to the administration of financial aid at Grad/Prof schools

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