The University of the State of New York
THE STATE EDUCATION DEPARTMENT
Office of Research and Information Systems
Higher Education Data System

NYSED-4.1 *[07]*

DUE DATE: September 15, 2007

STUDENT FINANCIAL AID - AWARD YEAR 2006-07

Institution Name	SEDCODE:

THE INFORMATION PROVIDED ON THIS FORM SHOULD CONTAIN DATA FOR ONLY THE INSTITUTION LISTED ABOVE. If multi-campus institutions have questions concerning which branches to include, please e-mail State Education Department staff at heds@mail.nysed.gov *or phone 518-474-5091.*

- **Institutions are expected to submit forms electronically using the Microsoft Access forms available from the ORIS web site at** http://www.highered.nysed.gov/oris/. **Most forms are available both as paper forms and as electronic forms (Microsoft Access) with built in edits. Electronic forms must first be downloaded in order to enter data and then returned by e-mail to** heds@mail.nysed.gov**. Three forms are only available in paper format (Word, PDF): Current College Catalog (CATALOG), Audited Financial Statement (F.AUDIT) and Coordinator's Survey (NYSED-SUR1).**

- **Return completed paper forms by**:

  Mail: NYS Education Department
  Office of Research and Information Systems
  Room 960 Education Building Annex
  Albany, NY 12234

  Or Fax: 518-474-1907

- **With the exception of the Bundy form (NYSED-2) do not make a duplicate paper submission of an electronic data submission. Independent institutions participating in the Bundy program must provide a paper copy printed from their electronic submission in order to affix the required notarized signature and seal.**

- **Retain a copy of the completed form in your files in case there's a need for clarification.**

- **If you anticipate a delay in returning this form, request an extension in writing by e-mail, fax <u>or</u> mail stating the reason for the delay and the anticipated submission date.**

- **If you have questions regarding completion of the form, please contact the Office of Research and Information Systems at:**

  E-Mail: heds@mail.nysed.gov
  Fax: (518) 474-1907
  Phone: (518) 474-5091

***IMPORTANT*: FOR PAPER SUBMISSIONS PLEASE RETURN THIS COVER PAGE AND ALL PAGES *EXCEPT INSTRUCTIONS* EVEN IF THEY CONTAIN NO DATA.**

The University of the State of New York **NYSED-4.1 *[07]***
THE STATE EDUCATION DEPARTMENT
Office of Research and Information Systems
Higher Education Data System **DUE DATE: September 15, 2007**

Form Processing Information

Form:	STUDENT FINANCIAL AID – AWARD YEAR 2006-07
SEDCODE:	
Institution Name:	

Respondent Information

Name:			
Title:			
Telephone: ( )	Ext.	Facsimile No.: ( )	Ext.
E-Mail Address:			

TOTAL -- (Check box if all *applicable* branches included). ☐
Otherwise, list branches below.

List branches included:	List *applicable* branches not included:

Indicate **Time Required** to retrieve information from files and complete this form.

Hours spent by all staff (whole numbers)	

Notes and Explanations regarding data provided and/or comments about this form and its completion.

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DUE DATE: September 15, 2007

STUDENT FINANCIAL AID - AWARD YEAR 2006-07

Institution Name:

SOURCE	Line No.	Undergraduate		Graduate/ First-Professional	
		Amount of Funds Awarded (A)	Number of Recipients (B)	Amount of Funds Awarded (C)	Number of Recipients (D)
GRANTS (See definitions on pages 6 and 7.)					
Institutional Grants - Unrestricted Funds	01	$, , .00	,	$, , .00	,
Institutional Grants - Restricted Funds	02	$, , .00	,	$, , .00	,
Grants from External Sources	03	$, , .00	,	$, , .00	,
Other Government Grants	04	$, , .00	,	$, , .00	,
Do not report on this form: any aid administered by HESC; grants from HEOP, EOP, SEEK or CD; State aid to Native Americans; Federal Pell Grants; or Federal Supplemental Opportunity Grants (FSEOG).					
LOANS (See definitions on page 7.)					
Institutionally Funded Loans	05	$, , .00	,	$, , .00	,
Other Loans (not Stafford, Parent, Perkins or Direct)	06	$, , .00	,	$, , .00	,
Do not report on this form: Stafford Loans, PLUS Loans, Federal Perkins Loans or Federal Direct Loans					
ASSISTANTSHIPS AND WAGES (See definitions on page 8.)					
Assistantships	07	$, , .00	,	$, , .00	,
Wages from Unrestricted Institutional Funds	08	$, , .00	,	$, , .00	,
Wages from Restricted Institutional Funds	09	$, , .00	,	$, , .00	,
Do not report on this form: Federal Work-Study wages from any source.					
OTHER AID (Specify below. See definitions on page 8.)					
	10	$, , .00	,	$, , .00	,
	11	$, , .00	,	$, , .00	,
	12	$, , .00	,	$, , .00	,
Sum of rows 1-12 FOR EDITING ONLY. (Do not report unduplicated counts.)	13	$, , .00	,	$, , .00	,

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NYSED-4.1*[07]*

DUE DATE: September 15, 2007

STUDENT FINANCIAL AID – AWARD YEAR 2006-2007

This form requests student financial aid data that are not available from any other source. Your responses will be combined with data from the Higher Education Services Corporation (HESC), the State Education Department (SED), and the U.S. Department of Education. The combined data will be a unique information resource for the higher education community, policy makers and the public and for compliance with Section 603 of Education Law.

If your institution is unable to report on requested data because it is not collected, then steps must be taken to begin collecting that information. The inclusion of data elements in HEDS forms constitutes a request by the Regents for your institution to collect and report on those items for their planning purposes.

The preferred method for submitting this form is electronic, using our Access form with built-in edits. To submit electronically, download and complete the Microsoft Access version from the ORIS web site, http://www.highered.nysed.gov/oris/, and follow the instructions there for submitting the Access file by e-mail to heds@mail.nysed.gov.

For paper submissions, please return one completed copy (all pages, except instructions) and retain a copy in your files in the event your institution needs to be contacted for clarification. The completed copy should be submitted by **September 15, 2007** to:

Fax: (518) 474-1907
Mail: The New York State Education Department
Office of Research and Information Systems
Room 960, Education Building Addition
Albany, New York 12234
E-mail: heds@mail.nysed.gov

If you have any questions regarding completion of the form, call (518) 474-5091 or e-mail HEDS@mail.nysed.gov. If you anticipate a delay in returning the form, request an extension in writing by fax (518: 474-1907), mail, or e-mail stating the reason for the delay and the anticipated submission date.

GENERAL INSTRUCTIONS

1. What is student aid?

   For this form student aid is defined to include resources used by students at your institution to defray their education-related expenses (such as tuition, books, living expenses, travel) when the resources are:

   a. awarded as part of a financial aid package.
   b. discounted from expenses by your institution;
   c. used by your institution's employees or their dependents for students at your institution in accordance with formal employee benefit policies; or
   d. awarded as educational benefits or awards by governments, employers or other external organizations and known by your institution.

2. **Student groups to exclude.**
   Do not report on aid to the following groups of students:

   a. Students taking noncredit adult education courses and noncredit extension courses who are not enrolled in noncredit certificate and/or diploma programs.

   b. Students taking courses at home by mail, radio, television, or telecommunications when their courses are not creditable toward a degree or credit-bearing certificate or diploma or not part of a noncredit certificate or diploma program.

   c. Auditors.

   d. Students studying abroad (e.g., at a foreign university) if their enrollment at the reporting institution in New York State is only an administrative record, and they are only paying a nominal fee. Exclude students and their credit hours only if they are not paying tuition to your institution.

   e. Students enrolled at campuses in states other than New York State.

   f. Students known to be enrolled concurrently at another college or university where their enrollment and financial aid are being reported.

   g. Students who have completed study at your institution but are receiving aid such as loan forgiveness or loan repayment.

   h. Post-doctoral students and researchers.

3. **Student aid programs to exclude**
   Do not report aid from the programs listed below. Data for these programs will be obtained from other sources.

   a. **Do not report** for any grant, scholarship, award or fellowship program administered by HESC, TAP, STAP, APTS, etc.).

      1. TAP (Tuition Assistance Program) or STAP (Supplemental Tuition Assistance Program)
      2. APTS – Aid for Part-Time Study Programs
      3. Other grants and scholarships awarded by HESC
      4. Loans
      5. Loan Forgiveness

   b. **Do not report** for the following State programs.

      1. Higher Education Opportunity Program (HEOP)
      2. Education Opportunity Program (EOP)
      3. Search for Elevation and Education through Knowledge (SEEK)
      4. College Discovery (CD)
      5. State Aid to Native Americans

   c. **Do not report** for the following Federal Title IV programs:

      1. Federal Pell Grants
      2. Federal Supplemental Opportunity Grants (FSEOG)
      3. Federal Family Education Loans (Subsidized Stafford, Unsubsidized Stafford, Parent Loans)
      4. Federal Perkins Loans
      5. Federal Direct Loans (Subsidized, Unsubsidized, Parent Loans)
      6. Federal Work-Study

4. **Time period.**
   Your responses should reflect aid awarded to support enrollment during a 12-month award year, usually defined as July 1 through June 30.

5. **Empty cells.**
   Use zeroes to indicate that no aid was awarded. No cell on the form should be left empty except that you may:

   a. Leave columns (A) and (B) empty if your institution did not enroll undergraduates during the award year.

   b. Leave column (C) and (D) empty if your institution did not enroll graduate or first-professional students during the award year.

6. **Estimates.**
   When you do not have precise data, report your best estimate.

7. **Rounding dollar values.**
   Round all dollar values to the nearest dollar. For example, $12,345.67 should be reported as $12,346. You may round to the nearest $100 or $1,000, but all trailing zeroes must be reported. For example, $12,233 could be reported as $12,200 or $12,000.

8. **Counting recipients.**
   Report the number of students receiving one or more awards for each line. A student should be counted as one recipient for each line if any of the following conditions are met:

   a. one or more annual awards were made for full-year, full-time study;
   b. one or more awards were made for part-year, full-time study;
   c. one or more awards were made for full-year, part-time study;
   d. one or more awards were made for part-year, part-time study.

   If a row includes more than one aid program and you cannot determine the unduplicated number of recipients for all the programs, report the number of awards made.

9. **Reporting Problems.**
   If you cannot follow requested definitions, submit an explanation of what you do report.

DEFINITIONS

1. **Undergraduate students (*Columns A and B)***
   Includes students enrolled in or taking courses creditable toward an associate or bachelor's degree program; an occupational program of one, two, or three years that results in a certificate or diploma; or in courses designated as undergraduate level.

2. **Graduate/First-Professional students (*Columns C and D)***
   Includes students enrolled in a master's, doctoral, or first-professional degree program; graduate certificate program; or in courses designated as graduate or first-professional level.

3. **Grants (*Lines 1 through 4)***
   Includes grants, scholarships, awards, fellowships, remissions, exemptions, waivers of charges, tuition discounts or other awards for which there is no expectation of repayment or services to be performed, whether awarded on the basis of need or not. Also includes awards made as a result of a formalized policy of benefits for your employees and their dependents if the awards are used for enrollment at your institution.

4. **Institutionally-funded grants (*Lines 1 and 2)***
   Includes grants made from funds that flowed through institutional accounts from State and local appropriations, tuition revenue, endowment income, or charitable contributions.

5. **Unrestricted funds (*Lines 1 and 8)***
   Includes funds that your institution could have used for any purpose in its budget. For example, unfunded tuition waivers used to offset normal student charges should be reported in line 1 as unrestricted institutional grant aid.

6. **Restricted funds (*Lines 2 and 9)***
   Includes funds which your institution could only use for student aid, such as:

   Line 2
   - Endowments for student aid grants
   - Tuition Exchange Program
   - SUSTA and CUSTA
   - State-funded tuition or other waivers of charges
   - CUNY Honors College
   - SUNY Empire State Honors Scholarships
   - SUNY Graduate Opportunity Tuition Scholarships
   - SUNY Graduate and Professional Scholarships for Economically Disadvantaged Students
   - SUNY Graduate Fellowships for Underrepresented Minority Students
   - Awards made as a result of formalized policies on benefits for employees and their dependents so long as the awards are used for enrollment at your institution.

   LINE 9
   - Funds provided by external sources to the institution for student aid and used specifically to provide work study wages.

7. **Grants from external sources (*Line 3)***
   Includes grants known to your institution that are awarded directly to students from such external sources as employers, labor unions, community or religious organizations, foundations, or other educational institutions. Excludes grants from local, state or federal government programs that are reported on Line 4.

8. **Other government grants (*Line 4)***
   Includes federal grants and fellowships supported by TRIO, ROTC, LEAP, VESID and the NSF, NIH, NIE, and U.S. Department of Health and Human Services, Interior, Defense, Veterans Affairs, Agriculture, etc. Also includes grants (such as CUNY's NYC Safety Net, Vallone and Housing programs) from political subdivisions of New York State, other states, and other nations that are not excluded in General Instructions, Item 3. Include the Academic Competitiveness Grant (ACG); National SMART (Science and Mathematics Access to Retain Talent) Grant; state Merit Awards; Robert C. Byrd Honors Scholarships; World Trade Center Scholarships; Regents Professional Opportunity Scholarship, and Scholarship for Academic Excellence.

9. **Loans (*Lines 5 and 6)***
   Awards made with a formal agreement for repayment. Do not include Federal Perkins Loans, Federal Direct Loans or Federal Family Education Loans.

10. **Institutionally funded loans (*Line 5)***
Includes loans made from institutional funds. Also includes grants from institutional funds that become repayable loans unless the recipient fulfills an obligation to your institution or an affiliated institution such as a hospital. Excludes loans that are made for short-term contingencies or emergencies and due to be fully repaid within a 6-month period.

11. **Other loans (*Line 6)***
Includes federal loans such as HEAL, Health Professions, Student Loans, and Nursing Student Loans. Also includes educational loans known to your institution that were made to either students or their parents or spouses from such programs as College Credit, TERI, PLATO, CONSERN, EXCEL, GRADEXCEL, or comparable programs. Do not report Stafford or PLUS Loans, Federal Direct loans to students or parents, or Perkins Loans.

12. **Assistantships (*Line 7)***
Assistantships provide earnings, stipends, or waivers of charges to students in exchange for services. They include graduate assistantships, teaching assistantships, research assistantships, teaching fellowships, internships, resident assistantships and similar awards regardless of their funding source. Stipends with no service obligation should be reported as grants on Line 1, 2, 3, or 4.

13. **Wages (*Lines 8 and 9)***
Includes only institutional work study wages received as part of a student aid award during periods of enrollment. Do not include any wages paid from the Federal Work - Study program, whether they come from federal or institutional funds, because data on Federal Work-Study wages are obtained from the U.S. Department of Education.

14. **Other Student Aid (*Lines 10, 11 and 12)***
Includes any form of student aid that was not reported elsewhere on the form—or not specifically excluded from the form. (See General Instructions, Item 3, for all aid excluded from this form.) Please specify its type and source. Only include wages earned from a Federal Job Location and Development Program if the wages were part of a financial aid package.

15. **Sum of Lines 1-12 *(Line 13)***
This line is only used to verify key entry. Sum each column.

16. Funds Flowing Through SUNY and CUNY Research Foundations
Student grants distributed by the Research Foundation should be reported, as follows, in Lines 1-4 if the source of the funds is institutional grants, external sources, or other government grants that are not administered by HESC or the Dept. of Education (Title IV programs).

LINE 1 (Institutional Grants - Unrestricted Funds)
Grant aid from funds whose source is the institution's general fund.

LINE 2 (Institutional Grants - Restricted Funds)
Aid whose source is a private individual or group that has given the institution funds or an endowment to award as financial aid for a certain purpose but where the specific recipients are selected by the institution -- rather than selected by the giver or their representatives.

LINE 3 (Grants from External Sources)
Aid awarded to students that originated from a private/external source and where the recipient was selected by that source or their representatives rather than the institution regardless of whether the aid is channeled through the Research Foundation and bursar, or not.

LINE 4 (Other Government Grants)
Aid whose source is the government agencies specified in the 4.1 definitions, regardless of whether it flows through the Research Foundation or not.