SPECIAL NOTE

Thanks to Old Westbury for sharing their ideas (Pat Smith) and code (Fran Undreiner) regarding repeat processing. Also thanks to Ed Forman at Oneonta for some of the initial coding and sharing the modifications Oneonta made to make the code mode efficient.

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Date Prepared: June 14, 2006
Updated Last: February 16, 2007
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Introduction of the State Award Certification Interface

The SICAS State Award Certification Interface adds extra processes to the Sungard Banner baseline product to allow for the Certification of State Awards. The Interface provides complete electronic transmission of the certified rosters to Higher Education Service Corporation (HESC). Forms and tables created also provide a means of on-line data retrieval. This manual should be used in conjunction with the HESC Programs, Policies and Procedures Manual, Guide to Grant and Scholarship Programs.

It is important for the Certifying Officer to understand exactly what these processes accomplish and what they have not been programmed to do. This interface is a tool to help assist the Certifying Officer. Ultimately the certification/decertification of students remains the Certifying Officer’s responsibility. When utilizing any automated process for certification, the certifying officer is responsible for ensuring that the certification system is accurate and has been adequately tested as required by the EFAN Agreement. This manual will explain exactly what the Certifying Officer needs to double check, look for, and handle on a manual basis. Also, an explanation of items used within Banner to perform the certification is in the section ‘Understanding the State Award Certification Interface.’
State Award Certification Process Flow Overview

FORMS REQUIRED FOR SET UP:

GJAJPRF – Job Submission Profile Maintenance Form
GUAUPRF - General User Preferences Maintenance Form
GTVDSDAX - Crosswalk Validation Form
SHAYGRD - SICAS Grade Code Maintenance Form
SOAYSAP - SICAS State Award Satisfactory Academic Progress Rules Form
SORYOTB - SICAS Other Benefits Rules Form
SORYULE - SICAS Eligibility Selection Rules Form
STVESTS - Enrollment Status Code Validation Form
STVMAJR - Major, Minor, Concentration Code Validation Form
STVRESD - Residence Code Validation Form
STVTYTP - Visa Type Code Validation Form
STVYTTY - SICAS State Award Term Validation Form

INITIAL CERTIFICATION PROCESS FLOW:

Step 1: Run the SICAS State Award File Conversion Process - SOPYTCC
Step 2: Run the SICAS State Award Matching Process - SORYROS
Step 3: Match Students using the SICAS State Award Matching Form - SOAYMCH
Step 4: Run the SICAS State Award Certification Process - SORYTCE
Step 5: Modify Certifications using the SICAS State Award Certification Form - SORYTRO
Step 6: Run the SICAS State Award Certification Flat File Process - SORYTCF

SUBSEQUENT INITIAL CERTIFICATION PROCESS FLOW:

Step 1: Modify Pending Certifications using the SICAS State Award Certification Form - SORYTRO
Step 2: Run the SICAS State Award Certification Flat File Process - SORYTCF

POST CERTIFICATION PROCESS FLOW:

Step 1: Create Post Certifications using the SICAS State Award Certification Change Form - SOAYTRC
Step 2: Run the SICAS State Award Certification Flat File Process - SORYTCF

CREDIT REPORTING PROCESS FLOW:

Step 1: Run the SICAS State Award Certification Flat File Process - SORYTCF
State Award Certification Process Flow

As you prepare to implement the State Award Certification Process you will need to review the following forms that are required for set up prior to running the processes.

FORMS REQUIRED FOR SET UP:

- **GJAJPRF** – Job Submission Profile Maintenance Form
- **GUAUPRF** - General User Preferences Maintenance Form
- **GTVSDAX** - Crosswalk Validation Form
- **SHAYGRD** - SICAS Grade Code Maintenance Form
- **SOAYSAP** - SICAS State Award Satisfactory Academic Progress Rules Form
- **SORYOTB** - SICAS Other Benefits Rules Form
- **SORYULE** - SICAS Eligibility Selection Rules Form
- **STVESTS** - Enrollment Status Code Validation Form
- **STVMAJR** - Major, Minor, Concentration Code Validation Form
- **STVRESD** - Residence Code Validation Form
- **STVVTYP** - Visa Type Code Validation Form
- **STVYTTY** - SICAS State Award Term Validation Form
**GJAJPRF - Job Submission Profile Maintenance Form**

Users may override the default directory established for the Student Status Listing Input files, by entering a new directory in the Value field for the Component TAP-CERT_INPUT_DIRECTORY.

If you enter the **GJAJPRF** form and there are no directory options listed you will need to visit the **GUAUPRF** form first (please read the next page for more information).

The process will first try to open the input file entered as a parameter (Note: You may still enter the entire path and filename in the parameter). This enhancement was made because of the 30 character limit on the field in Job Submission.

If the input file does not open, the process will then use a User Defined Value (if one exists) or the Default Value if a User Defined Value does not exist (Entered at Installation Time) and concatenate it to the input file.

**NOTE:** Campuses on VMS Operating Systems using RUNSQR or RUNSQT, will not be able to override default directory options.
**GUAUPRF - General User Preferences Maintenance Form**

Click on the directory options tab then exit this form and return to **GJAPRF**. This needs to be done only first time you visit the **GJAPRF** form in Banner 7 to establish the directory options.
**GTVDAX - Crosswalk Validation Form**

Use the Crosswalk Validation form, **GTVDAX**, to verify External Codes for Sophomore and Junior classifications.

On **GTVDAX**, do ‘Enter Query’ and in the Group field enter ‘CLASS’ - then do ‘Execute Query’. This form has been populated with some initial values. The process will use the External Code on this form for the Sophomore and Junior Class Codes. Check that the External Code matches the code established for your Sophomore and Junior Codes on the Student Classification Rules Form **SGACLRS**. If not, change the External Code on **GTVDAX** form to the appropriate value. The “From Hours” on the **SGACLRS** form are used to determine if the student needs to have a declared major.
Use the Crosswalk Validation form, *GTVSDAX*, to verify the External Code for writing TAP files to the Database.

On *GTVSDAX*, do ‘Enter Query’ and in the Internal Code field enter ‘TAPFILES’ - then do ‘Execute Query’. SICAS has populated the External Code with an initial value of ‘Y’. This controls whether or not the data files created using the SORYTCF Flat File process can be written to the Database or not. A value of ‘Y’ will allow the files to be written to the database, you can change this to an ‘N’ if you want the naming convention of the files to be more elaborate (i.e. include the term, roster number and type or file) and you do not want the files written to the database.
The Crosswalk Validation form, **GTVSDAX**, is also used to exclude certain Tuition Charges from being summed into the total tuition sent to HESC for each individual student.

No values are pre-delivered. If you need to exclude certain Detail Codes you must enter them on this form in the External Code field with an Internal Code of ‘TUL_EXCL’ and a Group of ‘TAP-CERT’. You may enter as many Detail Codes as necessary.
Use the Crosswalk Validation form, **GTVSDAX**, to verify the External Code used to determine Remedial courses.

On **GTVSDAX**, do ‘Enter Query’ and in the Internal Code field enter ‘USE_ATTR’ - then do ‘Execute Query’. SICAS has populated the External Code with an initial value of ‘N’. This controls how the SICAS State Award Certification process **SORYTCE** determines Remedial courses. A value of ‘N’ will mean that the process will look at the 1st digit in the Course Number to see if it is a zero, then it will consider the course Remedial. If you set the External Code to ‘Y’ you will then need to add the attribute type on the next page and the process will use attributes to determine if the course is Remedial.
If you set the External Code for the ‘USE_ATTR’ to ‘Y’ for ‘Remedial’, you will then need to establish you Remedial Attribute on the Crosswalk Validation Form, \textit{GTVSDAX}.

No values are pre-delivered. You must enter the Attribute code that indicates the course is Remedial in the External Code field with an Internal Code of ‘REMEDIAL’ and a Group of ‘TAP-CERT’. You may enter as many Attributes as necessary.
The Certification process will use any State Aid Waiver codes established on **GTVSDAX**, when determining that a waiver has been granted and needs to be reported.

On **GTVSDAX**, enter all of the waiver codes that are on **RTVSAPR** indicating that a One-Time Waiver or a C-Average Waiver for State Aid has been granted. Use an Internal Code of ‘ONE-TIME’ or ‘C-AVERAGE’ and a Group Code of ‘STATE_AID_WAIVER’. The External Code should be the value of your institution’s waiver code on **RTVSAPR**. No values are pre-delivered. You can enter as many waiver codes as necessary.
Use the Crosswalk Validation form, *GTVSDAX*, to verify the External Code used for Accelerated Study to determine the GPA Type of the Earned Credits used in the requirement calculation.

<table>
<thead>
<tr>
<th>Code</th>
<th>Sequence</th>
<th>Group</th>
<th>External Code</th>
<th>Translation Code</th>
<th>Activity Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>ACCEL</td>
<td></td>
<td>SICAS_GPA_TYPE</td>
<td>I</td>
<td></td>
<td>30-OCT-2006</td>
</tr>
</tbody>
</table>

The Internal Code is ‘ACCEL’ and the Group Code is ‘SICAS_GPA_TYPE’. The External Code delivered should be the value of ‘I’ for Institutional Credits only.
Use the Crosswalk Validation form, **GTVSDAX**, to verify the External Code used for Credit Reporting to determine the GPA Type of the Earned Credits reported.

<table>
<thead>
<tr>
<th>Code</th>
<th>Sequence</th>
<th>Group</th>
<th>External Code</th>
<th>Translation Code</th>
<th>Activity Date</th>
</tr>
</thead>
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<td>SICAS_GPA_TYPE</td>
<td>I</td>
<td></td>
<td>8/1-9/9-2086</td>
</tr>
</tbody>
</table>

The Internal Code is ‘REPORT’ and the Group Code is ‘SICAS_GPA_TYPE’. The External Code delivered should be the value of ‘I’ for Institutional Credits only. Campuses that record transfer credits in the term in which they were actually earned on the Term Sequence Course History Form, **SHATERM**, may change the External Code to ‘B’ for Both (Institutional and Transfer) for more accurate reporting. Campuses that lump transfer credits in the term in which the student transfers in must use an external code of ‘I’ for reporting purposes.
The Crosswalk Validation form, **GTVSDAX**, is also used to identify Institutions where the student population utilizes a ‘Continuous Enrollment’ model.

If your Institution utilizes ‘Continuous Enrollment’, make certain that an entry exists on **GTVSDAX** with the External Code set to ‘Y’, an Internal Code of ‘CONT_ENRL’ and a Group of ‘SICAS_INST_TYPE’. Accelerated Study Requirements work different at these institutions, and the term of Acceleration varies on a student by student basis.
The Crosswalk Validation form, **GTVDAX**, is also used to identify the Undergraduate Level Codes defined at your Institution.

One value is pre-delivered with an External Code of ‘UPDATEME’. Campuses need to change the External Code to the Level Code that represents an Undergraduate Level. You may enter as many Undergraduate Level Codes as necessary for your Institution.
**SHAYGRD - SICAS Grade Code Maintenance Form**

The SICAS Grade Code Maintenance Form *SHAYGRD* will initially be populated with all the various grade codes that exist in *SHAGRDE*. You need to indicate for each grade code whether or not the code should ‘Count in Pursuit’ or ‘Permit Repeat’.

Each passing or failing grade code should be checked to ‘Count in Pursuit’ hours. Example grade codes such as A, B, C, D, and F - also codes such as S (Satisfactory) and U (Unsatisfactory). Do not check grade codes that indicate a student did not completely pursue the course such as a W, or WF. Also, do not check grade modes for Audited courses.
“Satisfactory Academic Program Pursuit” or “Pursuit of Program” (POP) is defined as receiving a passing or failing grade in a certain percentage of a full-time course load in each term for which an award is received.

Each grade code where a repeat would be permitted needs to be checked for ‘Permit Repeat’. Grades such as F, W, or WF.

“Courses in which the student has already received a passing grade cannot be included in meeting full-time study requirements for state-sponsored financial aid. Repeated courses may be counted toward full-time study requirements if a student repeats a failed course, if a student repeats the course for additional credit, or when a student has received a grade that is passing at the institution but is unacceptable in a particular curriculum.”

“Any course for which the institution does not require a student to repeat for the student to earn credit towards a degree may not be considered in determining whether a student has satisfied the pursuit eligibility requirement for a State award.”

Courses that are excluded from Earned Hours with an ‘E’ in the repeat indicator field will not be considered in determining whether a student has satisfied the pursuit eligibility requirement for a State award.

Because different curriculums may require a student repeat a course even if the student received passing grade, any student with the decertification code of ‘5 - Repeated course(s) present’ should be reviewed by the certifying officer to see if the repeat is required.
**SOAYSAP - SICAS State Award Satisfactory Academic Progress Rules Form**

Use the SICAS Satisfactory Academic Progress Rules form *SOAYSAP* to verify Satisfactory Academic Progress Rules.

The Key Block of this form holds the ‘HESC Year’ and the ‘TAP Code.’ Choose 0 or 2006 for the HESC Year. Enter TAP Code and use NEXT BLOCK to see the rules that have been preloaded for your institution. You may change any incorrect values on this form if you have maintenance capabilities. You cannot enter values for the default TAP Code of ‘0000.’

![Form Image]

<table>
<thead>
<tr>
<th>HESC Year:</th>
<th>TAP Code:</th>
</tr>
</thead>
<tbody>
<tr>
<td>2006</td>
<td>UG</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Before Being Certified for this Payment</th>
<th>With at least this grade point average</th>
<th>Associated TAP Points</th>
<th>Activity Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
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<td>0</td>
<td>05-JUN-2006</td>
</tr>
<tr>
<td>2</td>
<td>3</td>
<td>1.1</td>
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</tr>
<tr>
<td>3</td>
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<td>1.2</td>
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</tr>
<tr>
<td>4</td>
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Enter a Payment Number (1 - 10).

Record: 1/10 | ... | <OSC>
Pre 2006 SAP Chart values associated with HESC Year 0.

<table>
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<th>HESC Year</th>
<th>TAP Code</th>
<th>Before Being Certified for this Payment</th>
<th>With at least this grade point average</th>
<th>Associated TAP Points</th>
<th>Activity Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
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</tr>
<tr>
<td>2</td>
<td>3</td>
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<td>5</td>
<td>12</td>
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</tr>
<tr>
<td>3</td>
<td>9</td>
<td>9</td>
<td>5</td>
<td>18</td>
<td>05-JUN-2006</td>
</tr>
<tr>
<td>4</td>
<td>18</td>
<td>18</td>
<td>1.2</td>
<td>24</td>
<td>05-JUN-2006</td>
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<tr>
<td>5</td>
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<td>30</td>
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<td>105</td>
<td>2</td>
<td>60</td>
<td>05-JUN-2006</td>
</tr>
</tbody>
</table>

If your institution decides to use the 2006 chart for all students, please verify that the HESC Year 0 entries have been updated appropriately to the 2006 chart values.
SORYOTB - SICAS Other Benefits Rules Form

The SICAS other Benefits Rules form SORYOTB needs to be populated with either Fund Codes from the Fund Base Data form RFRBASE or Resource Codes from the Resource Code Validation form RTVARSC that duplicates the purpose of TAP. If the student has an amount for the funds or resources listed in this form for the term being certified the total amount will be reported to HESC as other Benefits.

In the Indicator field enter, ‘F’ for Fund Code or ‘R’ for Resource, then enter the appropriate Code in the Code field. The Code field will display the appropriate list of values for either the Resources or Fund Codes. If you have maintenance access to this form records can be removed or inserted.
SORYULE - SICAS Eligibility Selection Rules Form

Rules should be established for Non-Matriculating students on the SORYULE form. The effective term established must be less than or equal to the term for which you wish to start utilizing the State Award Certification Interface. If you do not establish Non-Matriculating rules, ALL students will be considered as matriculated. To establish Non-Matriculating rules enter the Rule Type of ‘Non-Matriculating Assignment’ and the appropriate Effective Term. Use NEXT BLOCK to get into the Expert Mode Block. The actual rule should be written in the Structured Query Language (SQL) (See example below):

This form differs from the Financial Aid Rule form RORRULE, as this form DOES NOT compile the rules. You are immediately placed in Expert Mode for rule writing.

To ensure that you have written a rule that will compile successfully you can test the rule on this form by (clicking the Execute button.)
If the rule cannot be executed an Oracle error will appear on the Auto help line. Click on the Help menu and go down to Display Error. Seek technical assistance from your computer support services if you are not familiar writing rules using SQL.
Rules also can be established for Disabled Students on the SORYULE form. Again, the effective term established must be less than or equal to the term for which you wish to start utilizing the State Award Certification Interface. If you do not establish Disabled rules, no students will be considered as Disabled Students. To establish disabled rules enter the Rule type of ‘Disabled Student Assignment ’ and the appropriate effective term.

The SICAS Certification process will print ‘***Disabled Student***’ next to any student decertified as a ‘5’ -Not Full Time. The count of part time Disabled Students will also display in the count section of the SORYTCE listing. Actual certification of disabled students must be done on the SOAYTRO or SOAYTRC form.
Rules also can be established for Visiting Students on the SORYULE form. Again, the effective term established must be less than or equal to the term for which you wish to start utilizing the State Award Certification Interface. If you do not establish visiting rules NO students will be considered as Visiting Students. To establish visiting rules enter the Rule type of ‘Visiting Student Assignment’ and the appropriate effective term.

If your institution accepts visiting students you should establish rules. All students meeting the requirements of the rule will receive a Pending Certification Code ‘P’ with the message that they are a Visiting Student. HESC allows either the institution at which the student is matriculated or the institution the student attends to certify eligibility. If your institution’s policy is to certify visiting students, the student must meet all eligibility criteria and good academic standing requirements. If it is your institution’s policy not to certify Visiting Students, you should decertify the students, and notify them to file a change form to apply for State Aid at their Home Institution.
Rules also can be established for Confirmed EOP Students on the *SORYULE* form. Again, the effective term established must be less than or equal to the term for which you wish to start utilizing the State Award Certification Interface. The Group Code entered should be ‘C’ for Confirmed EOP Students. If you do not establish Confirmed EOP rules NO students will be considered as Confirmed EOP Students. Confirmed EOP Students are in approved five year program and the process will handle reporting back the appropriate five year status as ‘5’ or ‘N’ as defined by your rules. To establish Confirmed EOP rules enter the Rule Type of ‘EOP Group Assignment’, the appropriate effective term, and ‘C’ for Group Code.
Rules also can be established for Five Year Programs on the SORYULE form. Again, the effective term established must be less than or equal to the term for which you wish to start utilizing the State Award Certification Interface. If you have Five Year Programs for Non-EOP Students you will need to establish rules. If you do not establish Five Year Program Rules or Confirmed EOP Rules ALL students that HESC report are in a Five Year Program will be placed in a Pending Status. To establish Five Year Program rules enter the Rule Type of ‘Five Year Program’ and the appropriate effective term.
Rules also can be established for Graduate Assistantship Students on the SORYULE form*. Again, the effective term established must be less than or equal to the term for which you wish to start utilizing the State Award Certification Interface. If you do not establish Graduate Assistantship rules NO Students will be considered as Graduate Assistantship Students. Graduate Assistantship Students will be Certified as full-time if registered for 9 credit hours instead of the standard 12 credit hours. To establish Graduate Assistantship rules enter the Rule type of ‘Graduate Assistantship’ and the appropriate effective term.

*This rule is only used if NOT running the SICAS State Award Certification process using the Time Status Rules.
Rules also can be established for TAP Code Group Assignments on the *SORYULE* form. Again, the effective term established must be less than or equal to the term for which you wish to start utilizing the State Award Certification Interface. The Group Code field must be populated with a valid TAP Code for your campus.

The List of Values button will show you codes that are available for your campus. If you do NOT establish TAP Code rules ALL students will be considered in correct TAP College Code for which they have applied.

If you do establish TAP Code Group Assignments the following will happen during certification:
If the student is in a TAP Code where he/she does not meet the rules established, then it will be checked if he/she meets another TAP Code rule for your campus. If the student should be in another TAP Code other than the one he/she applied for, the student will be decertified with a ‘4 - School Code Change Needed.’ Otherwise, if the student doesn’t meet any TAP Code rules at all they will be decertified with a ‘9- Not in an Approved Program.’

To establish rules enter the Rule Type of ‘TAP Code Group Assignments’, the appropriate effective term, and the TAP Code in the Group Code field.
Rules also can be established for US Citizen on the **SORYULE** form. Again, the effective term established must be less than or equal to the term for which you wish to start utilizing the State Award Certification Interface.

If you do not establish US Citizen Rules the Citizen value on the General Person form, **SPAPERS**, is examined to see if the student is indeed a citizen. NOTE: A null value in the Citizen value on **SPAPERS** will result in a Non-Citizen status.
Additionally, rules can be established for Additional Non-Residence on the **SORYULE** form. Again, the effective term established must be less than or equal to the term for which you wish to start utilizing the State Award Certification Interface. The only check that the Certification process does for New York State Residency is to evaluate the Residence field on the **SGASTDN** form against the Residence Code validation form **STVRESD**.

If the ‘In State’ indicator is not checked (on **STVRESD**), for the value of the ‘Residence Code’ in the ‘Residence’ field on the **SGASTDN** form, the student is decertified with a ‘9 - Not a NYS Resident.’ If this check alone is not sufficient for tracking Non-NYS State Residents on your campus, you may establish additional Non - Residence rules on this form for decertification purposes. If the student meets any rules established for ‘Additional Non-Residence’ then they will be decertified with a ‘9 - Not a NYS resident.’
**STVESTS - Enrollment Status Code Validation Form**

The certification process uses the ‘Withdrawal Indicator’ field on the Enrollment Status Code Validation Form **STVESTS** to determine if the student has a withdrawn status.

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
<th>Withdrawal Code</th>
<th>Withdrawal Indicator</th>
<th>Third Party Indicator</th>
<th>Affect Course</th>
<th>Prevent Registration</th>
<th>Affect Headcount</th>
<th>System Required</th>
<th>Activity Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>AC</td>
<td>Academic Dismissal</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>06-FEB-2003</td>
</tr>
<tr>
<td>AW</td>
<td>Administrative Withdrawal</td>
<td>01</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>09-SEP-2003</td>
</tr>
<tr>
<td>EL</td>
<td>Eligible to Register</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>10-JAN-1995</td>
</tr>
<tr>
<td>W</td>
<td>Official College Withdrawal</td>
<td>01</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>09-SEP-2003</td>
</tr>
</tbody>
</table>

Enrollment status code.
Record: 1/4 | | | | | <050>
**STVMAJR - Major, Minor, Concentration Code Validation Form**

The Certification process follows the exact save logic that the BANNER Disbursement process uses to determine whether or not students are in an approved program of study. The Financial Aid Indicator on the **STVMAJR** form, when checked, indicates an approved program.

---

*Please Note: If you have any major codes that are approved for Title IV aid, but not approved by the New York State Department of Education you should eliminate such majors by utilizing the TAP College Code Rules on **SORYULE**.*
STVRESD - Residence Code Validation Form

The certification process will decertify students that have not been charged in-state tuition. The ‘In State/Prov’ field on the Residence Code Validation form STVRESD, when checked, indicates an in-state charge.
**STVVTYP - Visa Type Code Validation Form**

The Certification process has as an input parameter ‘Eligible Visa Type Code(s)’ which allows multiple values from the Visa Type Code Validation form **STVVTYP**. If the process determines that the student is not a U.S. Citizen, pulled from the Citizen field on the General Person form **SPAPERS**, then the process will look on the International Information Form **SPAILNT** to see if the student has an ‘Eligible Visa Type Code’ entered as a parameter.
**STVTTY - SICAS State Award Term Validation Form**

This interface relies on the SICAS State Award Term Validation form and table, **STVTTY**, for the term validation during processing. Each HESC year and term must be mapped to Banner term codes on **STVTTERM**. Access the **STVTTY** form and verify Banner term codes are established for the terms of the rosters you wish to certify.

<table>
<thead>
<tr>
<th>HESC Term</th>
<th>HESC Year</th>
<th>Term Code</th>
<th>Description</th>
<th>Activity Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>2002</td>
<td>200212</td>
<td>The Beginning of Term</td>
<td>23-MAY-2005</td>
</tr>
<tr>
<td>2</td>
<td>2002</td>
<td>200305</td>
<td>Fall 2002</td>
<td>22-NOV-2002</td>
</tr>
<tr>
<td>1</td>
<td>2003</td>
<td>200308</td>
<td>Spring 2003</td>
<td>19-NOV-2002</td>
</tr>
<tr>
<td>2</td>
<td>2003</td>
<td>200412</td>
<td>Summer 2003</td>
<td>19-NOV-2002</td>
</tr>
<tr>
<td>3</td>
<td>2003</td>
<td>200405</td>
<td>Fall 2003</td>
<td>19-NOV-2002</td>
</tr>
<tr>
<td>1</td>
<td>2004</td>
<td>200506</td>
<td>Summer 2004</td>
<td>19-NOV-2002</td>
</tr>
<tr>
<td>2</td>
<td>2004</td>
<td>200601</td>
<td>Fall 2004</td>
<td>19-NOV-2002</td>
</tr>
<tr>
<td>3</td>
<td>2004</td>
<td>200605</td>
<td>Spring 2005</td>
<td>19-NOV-2002</td>
</tr>
<tr>
<td>4</td>
<td>2004</td>
<td>200705</td>
<td>Summer 2005</td>
<td>16-APR-2004</td>
</tr>
<tr>
<td>1</td>
<td>2005</td>
<td>200509</td>
<td>Fall 2005</td>
<td>22-JUL-2004</td>
</tr>
<tr>
<td>2</td>
<td>2005</td>
<td>200612</td>
<td>Spring 2006</td>
<td>22-JUL-2004</td>
</tr>
<tr>
<td>3</td>
<td>2005</td>
<td>200606</td>
<td>Summer 2006</td>
<td>23-APR-2005</td>
</tr>
<tr>
<td>4</td>
<td>2005</td>
<td>200705</td>
<td>Fall 2006</td>
<td>23-JAN-2006</td>
</tr>
<tr>
<td>1</td>
<td>2006</td>
<td>200705</td>
<td>Spring 2007</td>
<td>23-JAN-2006</td>
</tr>
</tbody>
</table>
INITIAL CERTIFICATION PROCESS FLOW

The Initial Certification Process begins by reading the flat file created by downloading the HESC (file type: HE8069) and continues with the steps outlined below.

Before starting you must move the data file (HE8069) to the TAP-CERT_INPUT_DIRECTORY location established on the Job Submission Profile Maintenance Form, GJAJPRF. If a user value is not specified the process will use the Default value. You also may enter the entire file directory path followed by the file name, however, there is a 30 character limitation on the parameter input when utilizing job submission.

Step 1: Run the SICAS State Award File Conversion Process - SOPYTCC

Run the SICAS State Award File Conversion Process to separate the data file (HE8069) into one or more term specific data files. The data files created will be in the following format:
sopytcc_<Banner_Term>_Roster_Number>.out [ex: sopytcc_200009_18.out].

This process can be run from the command line, batch, or job submission.

Command line format: sqr <path>sopytcc userid/password.

Sample of the output listing:
SICAS STATE AWARD FILE CONVERSION PROCESS  SOPYTCC 7.1S1

Input File - DISK$SICAS:[CLARKSA]HE8069.TXT

Data file - disk$sicas:[clarksa.dat]sopytcc_200609_18.out  34  Records
Data file - disk$sicas:[clarksa.dat]sopytcc_200702_18.out  42  Records

* * * REPORT CONTROL INFORMATION * * *

SQRNAME.................. SOPYTCC
RELEASE.................. 7.1S1
RUN SEQUENCE NUMBER...... 294066
OUTPUT FILE............... disk$sicas:[clarksa.dat]sopytcc_294066.lis
INPUT FILE............... DISK$SICAS:[CLARKSA]HE8069.TXT
LINES PER PAGE........... 60
EXECUTE REPORT.......... Y        Yes

NUMBER OF DATA FILES CREATED:            2
NUMBER OF DATA RECORDS PROCESSED:       76
Step 2: Run the SICAS State Award Matching Process - SORYROS

The SICAS State Award Matching Process, SORYROS, uses the data files created by the SOPYTCC process in Step 1 as input. (Ex: sopytcc_200709_18.out) - do not use the raw HE8069 file as input – it will error out.

This process loads the data and attempts to match students in the data file to students in the Banner database. All students in the data file are stored in the SOBYTRO table. Any record for which the process cannot match a student is considered a deficient record and is initially assigned a certification code of ‘4’ meaning ‘Not Registered’. Students that are not matched will not be taken any further into processing by the SICAS State Award Certification Process, SORYTCE, because there is no Banner PIDM to utilize for processing.

No Banner SPRIDEN_ID will be listed on the output report for these students not matched by the process.

The Rules used to match HESC records with the information on your BANNER database are described in the (HESC TAPE Certification Program Documentation Manual.)

Primary matches are made on the basis of social security number. The matching program will check for a social security number in the General Person Form SPAPERS and if a match is found this test is passed.

A Secondary match is performed on the first three letters of the last name. If social security numbers match but the first three letters of the last name do not match, a subsequent secondary check is made against the date of birth.

This process can be run from command line, batch or job submission.

Command line format: sqr <path>soryros userid/password.

Sample of the output listing:
Cert Code meanings: 4 -Student not found in BANNER, P/Null  -Student was found, but BANNER information is incomplete.

Number of deficient records for roster 18 is : 3
Number of records processed for roster 18 is : 42
Step 3: Match Students Using the SICAS State Award Matching Form - SOAYMCH

Match students using the SICAS State Award Matching Form, SOAYMCH, who have not been matched by the SORYROS matching process.
The Key Block of this form contains a roster number and term. The Certifier will default to the ORACLE BANNER user Id of the user entering the form. Use NEXT BLOCK to enter into the HESC Block. The HESC Block will bring up any non matched students. You can now query on the first record or scroll through the names with the arrow keys. When you find a record you want to work with, use NEXT BLOCK to get into the BANNER Block. When entering the BANNER Block you are placed in QUERY mode and an initial query consisting of the first four letters of the last name and first three letters of the first name (Initcap format) is given. You may change this query if you desire. Use EXECUTE QUERY to search the BANNER database for records matching your search. After you query students move the cursor to the desired student record (use arrow keys) you wish to match to the HESC student record. To match the records, enter ‘M’ to the left of the BANNER Student Name and SAVE the record. The student BANNER PIDM will be inserted into the SOBYTRO table, and the student’s certification code will be cleared for batch certification processing. You will then be returned to the HESC Block, where you can select the next student to review. If a query returns no records you may change the query or perform a CANCEL QUERY in the BANNER Block, then use PREVIOUS BLOCK to return to the HESC Block to select another student.
The *SOAMCH* form prohibits the update in the SOBYTRO table and sends an alert box to the user when the PIDM, roster number and term already exist in the SOBYTRO table. This happens when the TAP Certification file contains two different Social Security numbers on HESC’s database that actually belongs to the same student for the same roster number and term.
Step 4: Run the SICAS State Award Certification Process - SORYTCE

The SICAS State Award Certification Process, SORYTCE, will assign either a Certification code 1-3, a Decertification code 4-9, or place the student in a Pending status with a code of ‘P’. The process can be run for Pending students only or all students on the roster depending on user input. The reason why a student is Pending or Decertified is printed on the report for the Certifying Officer’s review. This process can be run in Audit or Update mode. It can be run in Audit mode as many times as you desire. Once it is run in Update mode it can not be run again.

This process can be run from command line, batch or job submission.

Command line format: sqr <path>sorytce -msorytce.sqm userid/password.

Sample of the output listing:
<table>
<thead>
<tr>
<th>NAME</th>
<th>AWARD</th>
<th>TOTAL</th>
<th>CERT</th>
<th>DOB</th>
<th>C</th>
<th>D</th>
<th>YR</th>
<th>WVR</th>
<th>STAT</th>
<th>TUITION</th>
<th>BENEFITS</th>
<th>EXPENSES</th>
</tr>
</thead>
<tbody>
<tr>
<td>Abde, Pamela Mary</td>
<td>M</td>
<td>750</td>
<td>750</td>
<td>29-FEB-1982</td>
<td>FT</td>
<td>$1712.50</td>
<td>$0</td>
<td>$5850.00</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Achenbach, Trina Anne</td>
<td>A</td>
<td>212.50</td>
<td>212.50</td>
<td>11-JUN-1984</td>
<td>FT</td>
<td>$1712.50</td>
<td>$0</td>
<td>$0.00</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Acuto, Jill Christine</td>
<td>C</td>
<td>212.50</td>
<td>212.50</td>
<td>13-JUL-1988</td>
<td>FT</td>
<td>$1712.50</td>
<td>$0</td>
<td>$0.00</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Total number of records processed: 70
P - Visiting Student: 0
P - In a Five Year Program: 0
P - Not Billed Full-time 0
P - Unresolved Academic History: 0
P - Beneficial placement exists in Future Term: 0
P - Possible Prior Semester GPA Recalc Present: 0
1 - Certified: 16
1 - Certified (GAS Bypass): 33
1 - Certified (Check Prog. & E.E.): 0
1 - Certified (GAS Byp. & Check Prog. & E.E.): 0
2 - TAP No Scholarship: 0
3 - Withdrawn with Tuition Liability: 0
3 - Withdrawn with Tuit. Lia. (GAS Byp.): 0
3 - Withdrawn with Tuit. Lia. (Check Prog. & E.E.): 0
3 - Withdrawn with Tuit. Lia. (GAS Byp. & Prg. EE): 0
4 - Not Registered: 5
4 - Withdrawn without Tuition Liability: 7
5 - Not Registered Full-time 0
5 - Non Remedial Load Insufficient 0
5 - Repeated Course(s) Present: 1
6 - Not Matriculated: 2
7 - Not in an Approved Program: 0
7 - Major Not Declared Present Term: 0
8 - Unsatisfactory Academic Progress: 1
8 - Unsatisfactory Program Pursuit: 5
8 - Not Meeting C Average Requirement: 0
8 - Not Meeting C Average & POP: 0
8 - Not Meeting SAP & POP: 0
9 - Not a NYS Resident: 0
9 - Not a US Citizen: 0
9 - Not a US Citizen (VISA Expired): 0
9 - Tuition Liability less than 200: 0

Total number of records processed: 70
SICAS TAP CERTIFICATION PROCESS  

* * * REPORT RULES INFORMATION * * *

No Rules Exist for Disabled Students
Using Rules for Non-Matriculating Students with Effective Term of: 199902
No Rules Exist for Additional Non-Residence
Using Rules for Visiting Students with Effective Term of: 199902
Using Rules for Confirmed EOP Students with Effective Term of: 199902
No Rules Exist for TAP Codes
No Rules Exist for Five Year Programs
Using Rules for Graduate Assistants with Effective Term of: 199709

* * * REPORT CONTROL INFORMATION * * *

SQRNAME......................... SORYTCE
RELEASE......................... 7.2S3
RUN SEQUENCE NUMBER........... 294110
OUTPUT FILE..................... disk$sicas:[clarksa.dat]sorytce_294110.lis
RUN TYPE......................... A
ROSTER NUMBER................... 19
ROSTER TERM...................... 199902
PRIOR TERM...................... 199809
SUMMER............................ N
ELIGIBLE VISA TYPE.............. 78
SOPHOMORE CLASS CODE.......... 02
JUNIOR CLASS CODE.............. 03
UNDECLARED MAJOR.............. 0000
UNDERGRADUATE COLLEGE FEE CODE CF34
GRADUATE COLLEGE FEE CODE..... CF34
PENDING ONLY.................... N
CHECK SUMMER PURSUIT.......... N
USE TIME STATUS................. N
LINES PER PAGE.................. 60
EXECUTE REPORT.................. Y
Step 5: Modify Certifications using the SICAS State Award Certification Form - SOAYTRO

After the State Award Certification Process has been run in Update mode it is possible that some students will require user intervention in order to certify properly. Use the SICAS State Award Certification form SOAYTRO to change codes or complete Pending certification codes. This form can also be used to assign a One-Time Waiver for State Aid.

The Certification Code and its description can be selected by right clicking in the Certification Code field.

NOTE: When a Certification Code is selected and saved from the pop up menu the description is stored in the database, and is displayed in the description field.

The Key Block of this form contains roster number and term which are required fields. The Key Block also contains TAP Code to limit the number of records fetched. If the TAP Code is blank, all the records for the particular roster number and term are displayed. The ‘Certifier’ field will default to the ORACLE Banner User Id of the user entering the form. The LIST function may be used to retrieve a valid roster number and term.
When in the Certification Block, the Options menu provides navigation to several Banner Student forms to determine a student’s Certification status. Place your cursor on the student record you wish to examine, then click on the desired Option form name. The student’s information will then display in the Key Block of the called form. After examining the necessary information exit the form and you will be returned to the \textit{SOAYTRO} form.

If the student record was decertified as not registered by the \textit{SORYROS} process with a Certification code of ‘4’ you will not be able to access the option forms because the student has no associated Banner PIDM or SPRIDEN\_ID information. A message indicating this will appear.

The Certification Codes can be updated and saved by using this form prior to preparing the flat file. Also, use this form to adjust Educational Expenses, Other Benefits, Tuition Charges (if necessary), 5 Year Status, and Status Code (1 - Half Time, 2 - Full Time, 3 - Part Time, 4-11 VRSS). If a one-time waiver is being used to certify a student use the Waiver field on this form to report it to HESC by entering a ‘W’.
Step 6: Run the SICAS State Award Certification Flat File Process - SORYTCF

After running the Certification process and adjusting any entries necessary on the SOAYTRO form, you must run the SICAS State Award Certification Flat File Process, SORYTCF, to produce the appropriate output data file. When run in Audit mode, this process will only produce a roster listing for the Certifying Officer’s review. Only Non-Pending, that is, Certified or Decertified students will appear on the listing. When run in Update mode, it will move the Certified and Decertified student records from the SOBYTRO table to the history table SOBYTRH. Pending student records will remain in the SOBYTRO table. Also, when run in Update mode it will produce a final roster listing and the appropriate data file to send to HESC. The data file created will be in either of the following formats depending on the External Value on GTVSDAX for ‘TAPFILES’:

If the External Code is set to ‘Y’:

sorytcf_<Run_Sequence#>.out
Ex: sorytcf_29613.out

Otherwise:

sorytcf_<Run_Sequence#>_TERM_CODE_<Roster_No>_Roster_Type>.out
Ex: sorytcf_29613_200709_018_I.out

This process can be run from the command line, batch or job submission.

Command line format: sqr <path>sorytcf userid/password.

Sample of the output listing:
### SICAS STATE AWARD CERTIFICATION FLAT FILE PROCESS

<table>
<thead>
<tr>
<th>COLLEGE CODE: 0930</th>
<th>TERM: Spring 2007</th>
<th>ROSTER NUMBER: (019)</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>STUDENT DATA</th>
<th>CERTIFICATION DATA</th>
</tr>
</thead>
<tbody>
<tr>
<td>TAP</td>
<td>OTHER</td>
</tr>
<tr>
<td>EDUCATIONAL NAME</td>
<td>AWARD</td>
</tr>
<tr>
<td>NAME</td>
<td>Williams, Shawnika Nicole</td>
</tr>
</tbody>
</table>

| WILLIAMS | SHAWNIKA | N | $721.25 | $0.00 | $721.25 | 11-SEP-1972 | FT | $1712.50 | $0.00 |
| WIMBUSCH | TANISHA | D | $1542.50 | $0.00 | $1542.50 | 22-SEP-1977 | FT | $1712.50 | $0.00 |

College Code: 0930

Students on this College: 69

Estimated Value of Certified Awards: $76,907.00

Students by Certification Code: Codes 1-3 = 48

Value of Certification: $52,817.75

Value of Decertification: $24,089.3
<table>
<thead>
<tr>
<th>Name</th>
<th>Award</th>
<th>Award</th>
<th>Award</th>
<th>Code</th>
<th>SS_Number</th>
<th>D</th>
<th>Yr</th>
<th>Wvr</th>
<th>Stat</th>
<th>Tuition</th>
<th>Benefits</th>
</tr>
</thead>
<tbody>
<tr>
<td>Barnhart, T</td>
<td>$37.50</td>
<td>$0.00</td>
<td>$37.50</td>
<td>10-FEB-1977</td>
<td>FT</td>
<td>$2562.50</td>
<td>$0.00</td>
<td>30.0</td>
<td>6.0</td>
<td>0.0</td>
<td>0.0</td>
</tr>
<tr>
<td>Maguire, M</td>
<td>$136.00</td>
<td>$0.00</td>
<td>$136.00</td>
<td>18-SEP-1974</td>
<td>FT</td>
<td>$2562.50</td>
<td>$0.00</td>
<td>48.0</td>
<td>6.0</td>
<td>0.0</td>
<td>0.0</td>
</tr>
</tbody>
</table>

College Code: 5590

Students on this College: 3

Estimated Value of Certified Awards: $211.00

Students by Certification Code:

- Codes 1-3 = 1
- Codes 4-9 = 2

Value of Certification: $37.50

Value of Decertification: $173.50
SQRNAME....................... SORYTCF
RELEASE...................... 7.2S3
RUN SEQUENCE NUMBER........ 294114
OUTPUT FILE.................... disk$sicas:[clarksa.dat]sorytcf_294114.lis
DATA FILE...................... disk$sicas:[clarksa.dat]sorytcf_294114_199902_19_I.out
RUN TYPE...................... U Update
ROSTER TYPE................... I Initial
ROSTER NUMBER.................. 18
TERM CODE..................... 200702 Spring 2007
LINES PER PAGE............... 60
EXECUTE REPORT.............. Y Yes

Total Students on this Roster: 72
Estimated Value of Certified Roster: $ 77,118.00
Total Students by Certification Code: Codes 1-3 = 49
Codes 4-9 = 23
Total Value of Certification: $ 52,855.25
Total Value of Decertification: $ 24,262.75
Roster History can be viewed on the SICAS State Award Certification History Form - SOIYTRH.

If the student record was decertified as not registered by the SORYROS process with a Certification code of ‘4’ you will not be able to access the Option forms because the student has no associated Banner PIDM information. A message indicating this will appear.
SUBSEQUENT INITIAL CERTIFICATION PROCESS FLOW

Step 1: Modify Pending Certifications using the SICAS State Award Certification Form - SOAYTRO

If any Pending Students are left on a roster after SORYTCF has been run in update mode, you must certify these students on the SOAYTRO form and run SORYTCF again for another Initial roster type (HE8001).
Step 2: Run the SICAS State Award Certification Flat File Process - SORYTCF

Run the SICAS State Award Certification Flat File Process, SORYTCF, for an Initial roster type. The Initial file will create another (HE8001) roster file with the Certified/Decertified students.

All Records of the roster numbers, type (I or P) and the dates they were created along with record counts are stored in the SOBYTRS table and can be viewed on the SICAS State Award Roster Status Inquiry Form, SOIYTRS.

Roster Statuses can be viewed on the SICAS State Award Roster Status Inquiry Form - SOIYTRS.
POST CERTIFICATION PROCESS FLOW

Step 1: Make Post Certifications via the SICAS State Award Certification Change Form - *SOAYTRC*

After reporting initial Rosters to HESC, it may become necessary to update a student’s certification / decertification status based on new information discovered. You can make changes to a student's certification record on the SICAS State Award Certification change Roster form *SOAYTRC*. First you may access the record you desire to change on the SICAS State Award Certification History Inquiry form *SOIYTRC* then with your cursor on the record you wish to change, use the option to go to the *SOAYTRC* form.

*SOAYTRC* is accessible via the SICAS State Award Certification History Inquiry Form – *SOIYTRC*

If the student record was decertified as not registered by the *SORYROS* process with a Certification code of ‘4’ you will not be able to access the *SOAYTRC* form via *SOIYTRC* because the student has no associated Banner PIDM or SPRIDEN_ID information.
The Certification Code and its description can be selected by right clicking in the Campus Certification field.

**NOTE:** When a Certification Code is selected and saved from the pop up menu the description is stored in the database, and is displayed in the description field.

Use Next Block to enter the Certification Award History block. In the Certification Award History block use Duplicate from the Record menu to duplicate the Student’s certification record so you can make changes. This creates a higher sequence number in the history table **SOBYTRH** to track the most recent certification status. Make your changes in the new record and add a comment for the change (if desired), then save the record.
If the student record was decertified as not registered by the SORYROS process with a Certification code of ‘4’ you will not be able to access the SOAYTRC form via SOIYTRC because the student has no associated Banner PIDM or SPRIDEN_ID information.

You must change the certification code directly on SOAYTRC for these students. The Banner PIDM must be updated to associated the history record in SOBYTRH by clicking the Update Student PIDM. When the student record is found on SOAIDEN use the Select Button to return to the SOAYTRC form and link the necessary PIDM.
Step 2: Run the SICAS State Award Certification Flat File Process - SORYTCF

To report post certifications (type HE8820) to HESC you must run the SORYTCF process for a Post certification to create the appropriate data file.

The data file created will be in either of the following formats depending on the External Value on GTVSDAX for ‘TAPFILES’:

If the External Code is set to ‘Y’:

sorytcf_<Run_Sequence#>.out
Ex: sorytcf_29613.out

Otherwise:

sorytcf_<Run_Sequence#>_<Term_Code>_<Roster_No>_Roster_Type>.out
Ex: sorytcf_29613_200709_018_P.out

This process can be run from the command line, batch or job submission.

Command line format: sqr <path>sorytcf userid/password.
CREDIT REPORTING PROCESS FLOW

Step 1: Run the SICAS State Award Certification Flat File Process - SORYTCF

To report credits earned to HESC run the SICAS State Award Certification Flat File Process, SORYTCF. The SORYTCF process may be run for a roster type of ‘C’ for Credit, which will produce a HE8503 data file, or ‘S’ for Summary which will produce a HE8504 data file.

If your institution has more than one Undergraduate TAP Code it is recommended that you send HESC a HE8503 file type. For all others, it is recommended that you send HESC the Summary File HE8504.

When run in Audit mode, this process will only produce a listing for the Certifying Officer’s review. Individual students with the number of Credits Earned and a Summary Count page will appear on the ‘C’redit listing, while only the Summary Counts will appear on the ‘S’ummary listing. When run in Update mode it will produce a final listing and the appropriate data file to send to HESC.

The data file created will be in either of the following formats depending on the External Value on GTVSDAX for ‘TAPFILES’:

If the External Code is set to ‘Y’:

sorytcf_<Run_Sequence#>.out
Ex: sorytcf_29613.out

Otherwise:

sorytcf_<Run_Sequence#>_<Term_Code>_<Roster_No>_<Roster_Type>.out
Ex: sorytcf_29613_200709_0_C.out

This process can be run from the command line, batch or job submission.

Command line format: sqr <path>sorytcf userid/password.

Sample of the output listing:
<table>
<thead>
<tr>
<th>Name</th>
<th>ID</th>
<th>Level</th>
<th>TAP Code</th>
<th>Code</th>
<th>Status</th>
<th>Enrollment Credits</th>
</tr>
</thead>
<tbody>
<tr>
<td>Abbey, Sylvia</td>
<td>X23456789</td>
<td>CR</td>
<td>2085</td>
<td>FT</td>
<td>9</td>
<td></td>
</tr>
<tr>
<td>Abbott, Josephine</td>
<td>X78912345</td>
<td>CR</td>
<td>2085</td>
<td>FT</td>
<td>13</td>
<td></td>
</tr>
</tbody>
</table>

* * * EARNED CREDITS SUMMARY PAGE * * *

Students with 0 Credits Earned: 89
Students with 1 Credits Earned: 48
Students with 2 Credits Earned: 3
Students with 3 Credits Earned: 55
Students with 4 Credits Earned: 57
Students with 5 Credits Earned: 11
Students with 6 Credits Earned: 83
Students with 7 Credits Earned: 70
Students with 8 Credits Earned: 31
Students with 9 Credits Earned: 119
Students with 10 Credits Earned: 120
Students with 11 Credits Earned: 49
Students with 12 Credits Earned: 213
Students with 13 Credits Earned: 189
Students with 14 Credits Earned: 132
Students with 15 Credits Earned: 124
Students with 16 Credits Earned: 106
Students with 17 Credits Earned: 39
Students with 18 Credits Earned: 36
Students with 19 Credits Earned: 18
Students with 20 Credits Earned: 11
Students with 21 Credits Earned: 0
Students with More Than 21 Credits Earned: 5

Total Students Reported: 1608
* * * REPORT CONTROL INFORMATION * * *

SQRNAME...................... SORYTCF
RELEASE...................... 7.2S3
RUN SEQUENCE NUMBER........
OUTPUT FILE.................. SYS$LOGIN:sorytcf.lis
RUN TYPE..................... A Audit
ROSTER TYPE.................. C Credits Earned Report
ROSTER NUMBER..............
TERM CODE.................... 200312   Fall 2003
UNDERGRADUATE LEVEL CODE(S).. CR NC
LINES PER PAGE............. 60
EXECUTE REPORT............. Y Yes
RECORD COUNT............... 1,608
Using Rules for TAP Codes with Effective Term of:
200312
Beneficial Placement and the SICAS State Award Certification Process

The SICAS State Award Certification process looks at the ‘Beneficial Placement’ field when evaluating a student for Good Academic Standing.

Sample Satisfactory Academic Progress (SAP) Chart:
(Row 1 shows the Payment #, Row 2 shows the Cum GPA, Row 3 shows the Earned Credits)

<table>
<thead>
<tr>
<th>1st</th>
<th>2nd</th>
<th>3rd</th>
<th>4th</th>
<th>5th</th>
<th>6th</th>
<th>7th</th>
<th>8th</th>
<th>9th</th>
<th>10th</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>.5</td>
<td>.75</td>
<td>1.2</td>
<td>2.0</td>
<td>2.0</td>
<td>2.0</td>
<td>2.0</td>
<td>2.0</td>
<td>2.0</td>
</tr>
<tr>
<td>0</td>
<td>6</td>
<td>9</td>
<td>15</td>
<td>30</td>
<td>45</td>
<td>60</td>
<td>75</td>
<td>90</td>
<td>105</td>
</tr>
</tbody>
</table>

Example:
A transfer student is accepted by your institution, however most of the credits earned at the previous institution do not transfer over. Your institution accepts this student with a total of 8 transfer credits. However, this student previously used up 3 semesters of TAP at a business institute.

The student is Beneficially Placed at the 2nd payment level in the Fall 2003 at your institution.

The beneficial placement can be made in the Fall 2003 semester on SOAYTRC or started in the Spring semester at the 3rd payment level on SOAYTRO or SOAYTRC. The first semester, will automatically get certified using a Good Academic Standing (GAS) Bypass, however the student will probably get decertified for not making Satisfactory Academic Progress in a subsequent semester due to the lack of credits transferred from the previous institution, unless a Beneficial Placement Level is recorded.

As the student attends subsequent semesters the Beneficial Placement field will be incremented accordingly.

NOTE: Once a student accumulates 24 payment points the ‘C’ Average requirement will be in place regardless of the level of Beneficial Placement. Pursuit of Program is also absolute and is not affected due to placement.

If a Beneficially Placed student takes an accelerated summer semester the SICAS State Award Certification process will handle the Beneficial Placement as follows:

Using the above Example and expanding upon it over several terms:

Fall 2003   Spring 2004   Summer 2004(H/T)
2            3            3 (Y)

In Fall 2003 the student is Beneficially Placed at the 2nd payment level. In Spring 2004 the Beneficial Placement field is incremented accordingly. Then in Summer 2004, the student decides to take an accelerated summer semester 6 credits. The Beneficial Placement Level will NOT be incremented, however the Half-time Summer Award Consumption field will be marked with a ‘Y’ by the process.
If the student takes another Half-time Summer semester in the future, the Beneficial Placement Level will be incremented for that Summer Term and the Summer Award Consumption field will be set back to NULL for the prior Summer Term.

Example:

<table>
<thead>
<tr>
<th>Term</th>
<th>Placement</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fall 2003</td>
<td>2</td>
</tr>
<tr>
<td>Spring 2004</td>
<td>3</td>
</tr>
<tr>
<td>Summer 2004(H/T)</td>
<td>3</td>
</tr>
<tr>
<td>Fall 2004</td>
<td>4</td>
</tr>
<tr>
<td>Spring 2005</td>
<td>5</td>
</tr>
<tr>
<td>Summer 2005(H/T)</td>
<td>6</td>
</tr>
</tbody>
</table>

Obviously, if the student attends full-time during a summer term, the Beneficial Placement field would just be incremented.

Example:

<table>
<thead>
<tr>
<th>Term</th>
<th>Placement</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fall 2003</td>
<td>2</td>
</tr>
<tr>
<td>Spring 2004</td>
<td>3</td>
</tr>
<tr>
<td>Summer 2004(F/T)</td>
<td>4</td>
</tr>
<tr>
<td>Fall 2004</td>
<td>5</td>
</tr>
<tr>
<td>Spring 2005</td>
<td>6</td>
</tr>
</tbody>
</table>

If a student is initially placed in the Summer Term at a Half-time Payment, the Certifying Officer will have to place a check mark in the Summer Award Consumption field.

If a student has a break in enrollment (other than a Summer Term for Semester driven Schools) the Beneficial Placement field will NOT be automatically updated by the SICAS State Award Certification process.

Example:

<table>
<thead>
<tr>
<th>Term</th>
<th>Placement</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fall 2003</td>
<td>2</td>
</tr>
<tr>
<td>Spring 2004</td>
<td>3</td>
</tr>
<tr>
<td>Summer 2004</td>
<td>Not Applied</td>
</tr>
<tr>
<td>Fall 2004</td>
<td>4</td>
</tr>
<tr>
<td>Spring 2005</td>
<td>Not Enrolled</td>
</tr>
<tr>
<td>Summer 2005</td>
<td>Not Applied</td>
</tr>
<tr>
<td>Fall 2005</td>
<td>No Placement</td>
</tr>
</tbody>
</table>

The Certifying Officer will have to assess the student’s record to see if they attended school elsewhere during the semester not enrolled. The level and eligibility for Beneficial Placement must be re-evaluated.

The Certifying Officer will be able to adjust an automatically advanced Beneficial Placement on the SOAYTRC form if it is incorrect.

As always, timing is an issue. Take for example a student who initially only applies for Fall 2004 and Spring 2005 semesters.

Example:

<table>
<thead>
<tr>
<th>Term</th>
<th>Placement</th>
</tr>
</thead>
<tbody>
<tr>
<td>Summer 2003(H/T)</td>
<td>2  (Y)</td>
</tr>
<tr>
<td>Fall 2003</td>
<td>2</td>
</tr>
<tr>
<td>Spring 2004</td>
<td>3</td>
</tr>
<tr>
<td>Summer 2004(H/T)</td>
<td>Not Applied</td>
</tr>
<tr>
<td>Fall 2004</td>
<td>4</td>
</tr>
<tr>
<td>Spring 2005</td>
<td>5</td>
</tr>
</tbody>
</table>
However, later in the academic year the student decides to fill out a change form and apply for Summer 2004.

Example:

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>2 (Y)</td>
<td>2</td>
<td>3</td>
<td>P</td>
<td>4</td>
<td>5</td>
</tr>
</tbody>
</table>

In this case a pending certification code of ‘P’ is given to the student, ‘P – Beneficial Placement exists in Future Terms’. This will alert the Certifying Officer for need to review future terms as well as the term flagged with the Pending Code. Since the Beneficial Placement Field is only for the institution’s use (i.e. Not reported to HESC), the placement fields can be adjusted if necessary. The Certifying Officer can change the Beneficial Placements made in Fall 2004 and Spring 2005 while making certain the student is still in Good Academic Standing at the advanced levels.

Example:

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
<td>6</td>
</tr>
</tbody>
</table>

The Certifying Officer should remove the Summer Award Consumption field for Summer 2003 if certifying Summer 2004.

To avoid having Beneficial Placement levels that exist in Future terms, rosters should be processed in order.

*IMPORTANT NOTE*: When placing a student initially in an accelerated (Half-time) summer semester, the summer consumption indicator must be checked. Also, be aware that the process will always increment the payment level in the Fall semester.

An example of a student whose first semester is an accelerated summer semester:

<table>
<thead>
<tr>
<th>Summer 2003(H/T)</th>
<th>Fall 2003</th>
<th>Spring 2004</th>
</tr>
</thead>
<tbody>
<tr>
<td>2 (Y)</td>
<td>3</td>
<td>4</td>
</tr>
</tbody>
</table>

If the student attends another accelerated summer semester the process will do the following:

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
<td>6</td>
<td>7</td>
</tr>
</tbody>
</table>
Understanding the State Award Certification Interface

It is important that the Certifying Officer understands what the process looks at when determining the certification codes assigned to students. This section contains the explanation of the Banner information used to determine certification codes.

For the most part, the Certification Hierarchy is as follows: P, 4, 9, 6, 7, 5, 8, 2, 3, 1. However, some ‘9’, ‘P’, & ‘5’ codes fall beneath the decertification codes of ‘6’, ‘7’, and ‘5’. The following codes are listed in actual hierarchical order.

<table>
<thead>
<tr>
<th>Certification Code</th>
<th>Banner Form</th>
<th>Banner Field</th>
</tr>
</thead>
<tbody>
<tr>
<td>P - Visiting Student</td>
<td>SORYULE</td>
<td>Rule Type ‘Visiting Students’</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>If the student meets the criteria established in the SICAS Eligibility Selection Rules Form SORYULE for the Rule Type of ‘Visiting Students’, the student is given this certification code.</td>
</tr>
<tr>
<td>P - In a Five Year Program</td>
<td>SORYULE</td>
<td>Rule Type ‘Five Year Program’</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Rule Type ‘EOP Group Assignments’</td>
</tr>
<tr>
<td></td>
<td></td>
<td>w/Group Code ‘C’- Confirmed EOP</td>
</tr>
<tr>
<td></td>
<td></td>
<td>If no rules are established for either Five Year Program or Confirmed EOP Students and HESC reports that the student claims they are in a five year program, the student is given this certification code.</td>
</tr>
<tr>
<td>P - Unresolved Academic History</td>
<td>SHATERM</td>
<td>Level Code</td>
</tr>
<tr>
<td></td>
<td></td>
<td>This certification code will be assigned if the Student’s pursuit percent is greater than Zero and the current Student’s Level Code does match any Level Code in the Student’s Academic History and the Student’s Academic History has at least two or more levels in existence. This situation should be rare in Banner.</td>
</tr>
</tbody>
</table>

4 - Not Registered

Assigned by the SORYROS process if it can not successfully match this certification code.

Primary matches are made on the basis of social security number. The matching program will check for a social security number in the General Person Form SPAPERS and if a match is found this test is passed.

A Secondary match is performed on the first three letters of the last name. If social security numbers match but the first three letters of the last name do not match, a subsequent secondary check is made against the date of birth.

If the primary match fails, then the student is given this certification status. If the primary match passes but both of the secondary matches fail, then student is given this certification status.
Certification Code | Banner Form | Banner Field
--- | --- | ---
4 - Not Registered | SFAREGS | Credit and Liable Hours\(^1\)  
Enrollment Status

The ‘Enrollment Status’ on SFAREGS is evaluated against the Enrollment Status Code Validation Form STVESTS. If the ‘Withdrawal’ indicator is not checked and the ‘Credit and Liable Hours’ on SFAREGS for a student is equal to ‘0’ (Zero), the student is given this certification code.

4 - Withdrawn without Tuition Liability | SFAREGS | Credit Hours  
Enrollment Status  
*Tuition amount

The ‘Enrollment Status’ on SFAREGS is evaluated against the Enrollment Status Code Validation Form STVESTS. If the ‘Prevent Registration: indicator is not checked and is checked and the ‘Credit Hours’ on SFAREGS for a student is equal to ‘0’ (Zero) and the tuition amount is also equal to ‘0’ (Zero) the student is given this certification code.

9 - Not a NYS Resident | SGASTDN | Residence Code  
SORYULE | Rule Type ‘Additional Non-Residence’

The ‘Residence’ field on SGASTDN is evaluated against the Residence Code validation form STVRESD. If the ‘In State’ indicator is not checked (on STVRESD), for the value of the ‘Residence Code’ in the ‘Residence’ field on the SGASTDN form, the student is given this certification code. In addition, if the student meets the criteria established on SORYULE for the Rule Type ‘Additional Non-Residence’, the student is given this certification code.

9 - Not a U.S. Citizen | SORYULE | Rule Type ‘U.S. Citizen’  
SPAPERS | Citizen Code  
GOAINTL | Current Visa Type Code

If a rule is defined on SORYULE for ‘U.S. Citizen’ then, this rule is used to determine citizenship. If the student does not meet the rule assigned, the student is given this certification code. If no rule is written for ‘U.S. Citizen, then the process uses the following:

The ‘Citizen’ field on SPAPERS is evaluated against the Citizen Type Code Validation Form, STVCITZ. If the ‘Citizen Indicator’ is not checked (on STVCITZ), for the value of the ‘Citizen Code’ in the ‘Citizen’ field and on the SPAPERS form and the most current ‘Visa Type Code’ on GOAINTL does not match an Eligible Visa Type as entered by the input parameters, the student is given this certification code.

\(^1\) Liable Hours are calculated from the Fee Assessment Set-Up in Banner. If the hours do not have a 100% refund of tuition, then they are considered liable hours. Liable hours are not always equivalent to Billed hours in Banner, depending on how campuses set up Fee Assessment in Banner. For New York State Aid, students must incur a tuition liability for each of the credits constituting full-time study.
<table>
<thead>
<tr>
<th>Certification Code</th>
<th>Banner Form</th>
<th>Banner Field</th>
</tr>
</thead>
<tbody>
<tr>
<td>9 - Not a U.S. Citizen (VISA Expired)</td>
<td><strong>SPAPERS</strong></td>
<td>Citizen</td>
</tr>
<tr>
<td></td>
<td><strong>GOAINTL</strong></td>
<td>Current Visa Type Code (Expired Date)</td>
</tr>
</tbody>
</table>

If no rule is written on **SORYULE** for ‘U.S. Citizen’, then the process uses the following:

The ‘Citizen’ field on **SPAPERS** is evaluated against the Citizen Type Code Validation Form, **STVCITZ**. If the ‘Citizen Indicator’ is not checked (on **STVCITZ**), for the value of the ‘Citizen Code’ in the ‘Citizen’ field and on the **SPAPERS** form and the most current ‘Visa Type Code’ on **GOAINTL** does not match an Eligible Visa Type as entered by the input parameters, and the Visa is expired, the student is given this certification code.

6 - Not Matriculated

If the student meets the criteria established in the SICAS Eligibility Selection Rules Form **SORYULE** for the Rule Type of ‘Non-Matriculated’, the student is given this certification code.

9 - Not in an Approved Program

The ‘Major 1’ and ‘Major 2’ fields on **SGASTDN** are evaluated against the Major, Minor, Concentration Code Validation form **STVMAJR**. If the ‘Aid Eligible’ indicator is not checked on **STVMAJR** for the value of ‘MAJOR Code’ that is in the ‘Major 1’ field on the **SGASTDN** form and ‘Major 2’ is blank, the student is given this certification code. If the Major 2 field is not blank and the ‘Aid Eligible’ indicator is not checked on **STVMAJR** for the ‘Major Code’ that matches both ‘Major 1’ and ‘Major 2’ then the student is given this certification code.

In Addition, if you establish TAP Code Group assignments or **SORYULE** and the student does not meet any of the rules, the student is given this certification code.

5 - Not Registered Full/Half-Time

If not using Time Status Rules the ‘Credit Hours’ and ‘Liable Hours’ on **SFAREGS** are examined at certification time. If both are below the required full-time (12 credit hours) or half-time (6 credit hours), for summer enrollment, the student is given this certification code.

If using Time Status Rules, the Time Status on SGAREGS is examined at certification time. If the status is not equivalent to the required full-time or half-time, for summer enrollment, the student is given this certification code. The Certifying Officer should examine each of these students to see if indeed the student should receive a code of ‘5’ when using the Time Status Rules.
Certification Code | Banner Form | Banner Field
---|---|---
5 - Non Remedial Load Insufficient | SFAREGS | Liable Hours

The ‘Liable Hours’ on SFAREGS are examined for each course at certification time. Depending on the External Value of ‘USE_ATTR’ on GTVSDAX the program will do the following: If theExternal Value = ‘Y’ and the course does not have a remedial attribute (Also, defined on GTVSDAX) then the ‘Liable Hours’ are considered part of the non-remedial load. Otherwise, if the course number does not begin with a Zero, then the ‘Liable Hours’ are considered part of the non-remedial load. If the non-remedial load falls below one-fourth of the minimum full-time study requirement during the first term of study, the student is given this certification code. If the non-remedial load falls below one-half of the minimum full-time study requirement from the second term of study and on, the student is given this certification code.

9 - Tuition Liability less than 200 | TSAAREV | Detail Code and Term

The tuition reported on TSAAREV is calculated by evaluating against the Detail Code Control form TSADETC. The Detail Codes used must have a ‘Type’ equal to ‘C’ and a ‘category’ equal to ‘TUI’ on TSADETC to be used in determining the tuition amount for the term being certified. Also, if entered as a parameter the College Fee Code (Undergraduate or Graduate) amount on the students account is also added to the tuition to determine tuition amount (SUNY schools ONLY). If the total of the tuition amount is less than 200, and the TAP award amount is greater than Zero, the student is given this certification code. Students with a tuition liability less than 200 dollars in an academic year ($100 per semester), are not eligible to receive a TAP or STAP award. There is no minimum tuition requirement for any other scholarship program HESC administers.

P - Possible Prior Semester GPA Recalc Present | SHATERM | Repeat

If grades have already been rolled for the Banner Term being presently certified, then the ‘Repeat’ indicator is checked on the present and future terms courses. If the ‘Repeat’ indicator shows an ‘I’ for ‘Include’ on any present or future terms, then an ‘E’ for ‘Exclude is assumed in a past term. This would indicate that a Possible Prior Semester GPA Recalculation is Present, and the student is given this certification code.

5 - Repeated Course (s) Present | SFAREGS | Liable Hours
| SHAYGRD | Permit in Repeat
| SCADETL | Equivalent Course

The ‘Liable Hours’ on SFAREGS as examined for each course at certification time. If the subject and course number are found in the students academic history with a grade code that is not permitted to be repeated (as defined on SHAYGRD), then the ‘Liable Hours’ are not considered in the non-repeated course load. If the non-repeated course load falls below the standard full-time credit load, then the student is given this certification code. The Certifying Officer needs to check each of these to see if the repeat is required for the curriculum. The SCADETL form is also checked for course equivalent when the repeat courses are checked in academic history.
Certification Code | Banner Form | Banner Field
--- | --- | ---
9 - Major Undeclared in Present Term | SGASTDN | Major 1

The ‘Major 1’ on SGASTDN field is evaluated against the input parameter ‘Undeclared Major Code’. If the ‘Major 1’ field is equal to the ‘Undeclared Major Code’ the student is given this certification code.

P - Not Liable Full/Half-Time | SFAREGS | Liable Hours Credit Hours

The ‘Liable Hours’ on SFAREGS are examined for the term being certified. If the ‘Liable Hours’ fall below the standard full-time credit requirements and the ‘Credit Hours’ meet the standard full-time credit requirements, the student is given this certification code.

P - Beneficial Placement exists in Future Term | SOAYTRC | Beneficial Placement

If a future term exists with a Beneficial Placement Level in the Certification History form, SOAYTRC, then this Pending certification code is assigned.

8 - Unsatisfactory Program Pursuit | SHAYGRD | Count in Pursuit Prior Term

The grades received for each course in the ‘Prior Term’ are evaluated against the grade code in SHAYGRD to see if they should ‘Count in Pursuit.’ The ‘Prior Term’ is entered as a parameter into the Certification process. If the grade should ‘Count in Pursuit’ then the credits are added to pursued hours. Courses that are excluded from earned hours due to repeats and are marked as such with an ‘E’ in the repeat indicator field will not be considered in pursued hours. The total pursued hours is then evaluated against the level of pursuit required for certification. The process does not check to see that TAP has been received or not for that prior term, so when evaluating pursuit the Certifying Officer must check to see if TAP was received for the prior term.

4 - School Code Change Needed | SORYULE | Rule Type ‘TAP Code Group’

If you have established TAP Code Group Assignments and the student meets the rules of another TAP Code for your school, not the one for which TAP was applied, the student will receive this certification code. In addition, if the student does not meet any of the established TAP Code Rules they will be decertified with a ‘7-Not in an Approved Program.’
<table>
<thead>
<tr>
<th>Certification Code</th>
<th>Banner Form</th>
<th>Banner Field</th>
</tr>
</thead>
<tbody>
<tr>
<td>8 - Not Meeting Satisfactory Academic Progress</td>
<td>SHATERM</td>
<td>Earned Hours</td>
</tr>
<tr>
<td></td>
<td></td>
<td>GPA Hours</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>The cumulative ‘Earned Hours’ and ‘GPA Hours’ field is</td>
<td></td>
<td></td>
</tr>
<tr>
<td>evaluated against the Satisfactory Academic Progress</td>
<td></td>
<td></td>
</tr>
<tr>
<td>chart (SOAYSAP) for the payment number that the student</td>
<td></td>
<td></td>
</tr>
<tr>
<td>will be receiving. If the payment number is greater</td>
<td></td>
<td></td>
</tr>
<tr>
<td>than or equal to 5 and the Earned Hours are not met on</td>
<td></td>
<td></td>
</tr>
<tr>
<td>the chart, the student is given this certification code</td>
<td></td>
<td></td>
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<tr>
<td>even if the coverage is also not achieved.</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8 - Not Meeting C Average Requirement</td>
<td>SHATERM</td>
<td>GPA Hours</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>The cumulative ‘GPA Hours’ field is evaluated against</td>
<td></td>
<td></td>
</tr>
<tr>
<td>the Satisfactory Academic Progress chart SOAYSAP</td>
<td></td>
<td></td>
</tr>
<tr>
<td>if the payment number is greater than or equal to 5 and</td>
<td></td>
<td></td>
</tr>
<tr>
<td>only the GPA is not met on the chart, the student is</td>
<td></td>
<td></td>
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<tr>
<td>given this certification code.</td>
<td></td>
<td></td>
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<td></td>
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</tr>
<tr>
<td>8 - Not Meeting SAP &amp; POP</td>
<td></td>
<td></td>
</tr>
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<td></td>
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</tr>
<tr>
<td>If the student is not meeting Satisfactory Academic</td>
<td></td>
<td></td>
</tr>
<tr>
<td>progress and Pursuit of Program as defined above, the</td>
<td></td>
<td></td>
</tr>
<tr>
<td>student is given this certification code.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8 - Not Meeting C average &amp; POP</td>
<td></td>
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<tr>
<td></td>
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</tr>
<tr>
<td>If the student is not meeting C Average Requirement and</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Pursuit of Program as defined above, the student is</td>
<td></td>
<td></td>
</tr>
<tr>
<td>given this certification code.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8 - Check Summer Pursuit</td>
<td>SHAYGRD</td>
<td>Count in Pursuit</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Summer Term</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Only students with billed hours that are greater than</td>
<td></td>
<td></td>
</tr>
<tr>
<td>or equal to 6 credits for the summer term are checked.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>The grades received for each course in the ‘Summer</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Term’ are evaluated against the grade code in SHAYGRD</td>
<td></td>
<td></td>
</tr>
<tr>
<td>to see if they should ‘Count in Pursuit.’ If the grade</td>
<td></td>
<td></td>
</tr>
<tr>
<td>should ‘Count in Pursuit’ then the credits are added to</td>
<td></td>
<td></td>
</tr>
<tr>
<td>pursued hours. Courses that are excluded from earned</td>
<td></td>
<td></td>
</tr>
<tr>
<td>hours due to repeats and are marked as such with an ‘E’</td>
<td></td>
<td></td>
</tr>
<tr>
<td>in the repeat indicator field will not be considered</td>
<td></td>
<td></td>
</tr>
<tr>
<td>in pursued hours. The total pursued hours is then</td>
<td></td>
<td></td>
</tr>
<tr>
<td>evaluated against the level of pursuit required for</td>
<td></td>
<td></td>
</tr>
<tr>
<td>certification. The process does not check to see that</td>
<td></td>
<td></td>
</tr>
<tr>
<td>TAP has been received or not for that summer term, so</td>
<td></td>
<td></td>
</tr>
<tr>
<td>when evaluating pursuit the Certifying Officer must</td>
<td></td>
<td></td>
</tr>
<tr>
<td>check to see if TAP was received for the summer term.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### Certification Code  |  Banner Form  |  Banner Field
--- | --- | ---
2 - TAP - No Scholarship  |  |  
Student did not maintain a C-Average regardless of payments received, but is eligible for TAP based on the SAP chart. This applies to Volunteer Recruitment Service Scholarship (VRSS).

7 – Accelerated Study requires 24 credits prior 2 terms  |  SHATERM  |  Earned Hours
If the term certified is a Summer term, then the certification process checks to see if the student earned 24 credit hours in the prior (Spring) and prior (Fall) terms. The earned hours being examined must have a GPA Type of Institutional. If your Institution utilizes ‘Continuous Enrollment’, Accelerated Study Requirements work differently, and the term of Acceleration varies on a student by student basis.

9 - Not Full-time Prior or Future Term  |  SFAREGS  |  Liable Hours Time Status Code
If the term certified is Summer, then the certification process checks to see if the student was registered full-time in the prior (Spring) or future (Fall) term. If not using Time Status Rules and the student was not ‘Liable’ full-time for the prior or future term, the student is given this certification code. If using Time Status Rules and the student’s ‘Time Status Code’ was not full-time for the prior or future term, the student is given this certification code.

3 - Withdrawn with Tuition Liability*  |  SFAREGS  |  Credit Hours Registration Status
The ‘Withdrawn Status’ on SFAREGS is evaluated against the Enrollment Status Code Validation form STVESTS. If the withdrawn indicator is checked on STVESTS for the value of the ‘Enrollment Status Code’ and the ‘Credit Hours’ on SFAREGS are equal to ‘0’ (Zero), the student is given this certification code.

* If it is noted that ‘GAS Bypass Transfer Assumed’, then the Good Academic Standing criteria (both satisfactory Academic Progress and Pursuit of Program) have been bypassed. The process could not find any academic history within Banner for this student, therefore a transfer status is assumed. The Certifying Officer should examine the record to make certain that the student is indeed accepted as a transfer.

1 - Certified*  

*If it is noted that ‘GAS Bypass Transfer Assumed’, then the Good Academic Standing criteria (both Satisfactory Academic Progress and Pursuit of Program) have been bypassed. The process could not find any academic history within Banner for this student, therefore a transfer status is assumed. The Certifying Officer should examine the record to make certain that the student is indeed accepted as a transfer.
**IMPORTANT NOTES**

PRIOR GRADUATE DEGREE RESTRICTION:

The Certification process DOES NOT perform any checks for the Prior Graduate Degree Restriction. Students may receive a TAP award to pursue only one graduate degree of the same type. The Certifying Officer is responsible for this check.

POINT SUMMARIES:

In reviewing point summaries to determine good academic standing, the process always uses the highest point total regardless to which program code it applies. Since Aid for Part-Time study points are not accumulated under the scholarship program code points, they are added to the scholarship total. The process DOES NOT handle the following: (From HESC Programs, Policies and Procedures Manual, Guide to Grant and Scholarship Programs page 5-5). “In a relatively small number of instances, the school may have to add points accumulated under two or more award program codes to determine the number of payments a student has received. Primarily, this situation could occur if a student received TAP only for a particular term and received payment of a scholarship only for another term.”

FULL-TIME STATUS:

In addition, the student’s minimum course load must be creditable toward the degree in which the student is enrolled. The SICAS Certification process DOES NOT check this requirement. You may run a population selection of certified students through your degree audit process (CAPP or DARS) to make certain this requirement is fulfilled prior to creating the certification flat file. Sample Population Selection Criteria:

```
Select:       SOBYTRO_PIDM
From:        SOBYTRO
Where:       SOBYTRO_BAN_TERM = '199902' AND
             SOBYTRO_ROSTER_NUMBER = 25 AND
             SOBYTRO_CERT_CODE <= '3'
```

HIGH SCHOOL GRADUATION REQUIREMENT:

To be eligible for any state-sponsored grant or scholarship award, students who were first-time recipients of any state grant or scholarship in the 1996-97 academic year or thereafter must have graduated from high school, certificate, or have received a passing score, as determined by the United States Secretary of Education, on a federally approved exam that demonstrates that the student can benefit from the education being offered. The SICAS process DOES NOT check this requirement at this time.
DEFERRED MAJOR DECLARATION:

The State Education Department’s 1984 memorandum entitled *Guidelines on Matriculation and Approved Program for Purposes of State Students Aid* explained that a student could defer declaring a major until the beginning of the sophomore year in two-year degree programs or the beginning of the junior year in four-year programs. To satisfy this requirement, students must declare a major within 30 days of the end of the institution’s established add/drop period of the first semester of the sophomore or junior year, as appropriate. In order to assure compliance with this requirement, it is suggested that institutions advise students of the need to declare a major as soon as possible, preferably no later than the end of freshman year in two-year programs or sophomore year in four-year programs.

Since the SCT Banner product does not have an audit trail with respect to date of the declared major - this 30 day requirement must be enforced at the campus level.
## Detailed Descriptions of the Parameters used by the State Award Certification Processes

### SOPYTCC - SICAS State Award File Conversion Process

<table>
<thead>
<tr>
<th>Name</th>
<th>Required?</th>
<th>Description</th>
<th>Values</th>
</tr>
</thead>
<tbody>
<tr>
<td>Run Sequence Number</td>
<td>No</td>
<td>Sequence Number obtained through job submission.</td>
<td>123456 (Command line only)</td>
</tr>
<tr>
<td>Output Directory Name</td>
<td>No</td>
<td>Directory location for output file. Default is your SYS$LOGIN directory.</td>
<td>SYS$LOGIN - default</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>(Command line only)</td>
</tr>
<tr>
<td>Input TAP Data File</td>
<td>Yes</td>
<td>Enter the file name, which may include the entire path, of TAP Roster file, Ex: HE8069.DAT type (HE8069), for multiple terms to be broken into multiple files containing data for one term per file.</td>
<td></td>
</tr>
<tr>
<td>Lines Per Page</td>
<td>Yes</td>
<td>Enter the number of Lines Per Page. The minimum number is 10. and the maximum number is 99.</td>
<td>Ex: 55</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Default: 60</td>
</tr>
<tr>
<td>Execute</td>
<td>Yes</td>
<td>Run the process by entering (Y)es or exit by entering (N)o. If you have made an error entering a parameter, enter (N)o and restart.</td>
<td>[Y]es Run the report</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>[N]o Exit the run of report</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Default: Yes</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>(Command line only)</td>
</tr>
</tbody>
</table>
### Detailed Descriptions of the Parameters used by the State Award Certification Processes

#### SORYROS - SICAS State Award Matching Process

<table>
<thead>
<tr>
<th>Name</th>
<th>Required?</th>
<th>Description</th>
<th>Values</th>
</tr>
</thead>
<tbody>
<tr>
<td>Run Sequence Number</td>
<td>No</td>
<td>Sequence Number obtained through job submission.</td>
<td>123456 (Command line only)</td>
</tr>
<tr>
<td>Output Directory Name</td>
<td>No</td>
<td>Directory location for output file. Default is your SYS$LOGIN directory.</td>
<td>SYS$LOGIN - default (Command line only)</td>
</tr>
<tr>
<td>Input TAP Data File</td>
<td>Yes</td>
<td>Enter the file name, which may include the entire path, of TAP Roster file, type (HE8069), to be processed. File should be term specific broken down from the SOPYTCC process.</td>
<td>Ex: SOPYTCC_200000_18.OUT</td>
</tr>
<tr>
<td>Lines Per Page</td>
<td>Yes</td>
<td>Enter the number of Lines Per Page. The minimum number is 10. and the maximum number is 99.</td>
<td>Ex: 55 Default: 60</td>
</tr>
<tr>
<td>Execute</td>
<td>Yes</td>
<td>Run the process by entering (Y)es or exit by entering (N)o. If you have made an error entering a parameter, enter (N)o and restart.</td>
<td>[Y]es Run the report Default: Yes (Command line only)</td>
</tr>
<tr>
<td></td>
<td></td>
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<td></td>
</tr>
</tbody>
</table>
## Detailed Descriptions of the Parameters used by the State Award Certification Processes

### SORYTCE - SICAS State Award Certification Process

<table>
<thead>
<tr>
<th>Name</th>
<th>Required?</th>
<th>Description</th>
<th>Values</th>
</tr>
</thead>
<tbody>
<tr>
<td>Run Sequence Number</td>
<td>No</td>
<td>Sequence Number obtained through job submission.</td>
<td>123456 (Command line only)</td>
</tr>
<tr>
<td>Output Directory Name</td>
<td>No</td>
<td>Directory location for output file. Default is your SYS$LOGIN directory.</td>
<td>SYS$LOGIN - default (Command line only)</td>
</tr>
<tr>
<td>Run Type</td>
<td>Yes</td>
<td>You can run the process in Audit or Update mode. When run in Audit mode no tables are updated and it can be run repeatedly. When run in Update mode it is final and cannot be run again. You should always run your process in Audit mode until you are ready to run it in Update Mode.</td>
<td>[A]udit or [U]pdate Default: Audit</td>
</tr>
<tr>
<td>Roster Number</td>
<td>Yes</td>
<td>Enter the Roster Number you wish to Process.</td>
<td>Ex: 123</td>
</tr>
<tr>
<td>Roster Term</td>
<td>Yes</td>
<td>Enter the term code for the Roster being processed.</td>
<td>BANNER format (200009)</td>
</tr>
<tr>
<td>Prior Term</td>
<td>Yes</td>
<td>Enter the Prior Term code. The Prior Term code is used in determining satisfactory Program Pursuit.</td>
<td>BANNER format (200002)</td>
</tr>
<tr>
<td>Summer Certification</td>
<td>Yes</td>
<td>Is the Roster term being processed for a Summer Term.</td>
<td>[Y]es or [N]o Default: No</td>
</tr>
<tr>
<td>Eligible Visa Type(s)</td>
<td>Yes</td>
<td>Enter the Eligible VISA Type Code(s) that are eligible to receive State Aid. Enter blank from command line to get to the next parameter.</td>
<td>Ex: 78 (Multiple Values)</td>
</tr>
<tr>
<td>Undeclared Major</td>
<td>Yes</td>
<td>Enter the Major Code for undeclared.</td>
<td>Ex: 0000 Default: 0000</td>
</tr>
<tr>
<td>Undergraduate College Fee</td>
<td>No</td>
<td>SUNY schools must enter a valid Undergraduate College Fee Detail Code. Used in determining Tuition Amount plus College Fee.</td>
<td>Ex: CF32</td>
</tr>
</tbody>
</table>
Detailed Descriptions of the Parameters used by the State Award Certification Processes
SORYTCE - SICAS State Award Certification Process

<table>
<thead>
<tr>
<th>Name</th>
<th>Required?</th>
<th>Description</th>
<th>Values</th>
</tr>
</thead>
<tbody>
<tr>
<td>Graduate College Fee</td>
<td>No</td>
<td>SUNY schools must enter a valid Graduate College Fee Detail Code. Used in determining Tuition Amount plus College Fee.</td>
<td>Ex: CF32</td>
</tr>
<tr>
<td>Pending Certifications</td>
<td>Yes</td>
<td>Is the Roster being processed for Pending students only. If [N]o all students will be processed.</td>
<td>[Y]es or [N]o Default: No</td>
</tr>
<tr>
<td>Summer Pursuit</td>
<td>Yes</td>
<td>The Summer Pursuit check is only used if the roster term being processed is a ‘Fall’ term and ‘Y’ is entered for this parameter. The process will check summer registration and if registered at least half-time the Pursuit percent must be met in the summer term.</td>
<td>[Y]es or [N]o Default: Yes</td>
</tr>
<tr>
<td>Use Time Status</td>
<td>Yes</td>
<td>The Time Status field on SFAREGS may be used to determine Full-time and/or half-time status if desired for [U]ndergraduate,[G]raduate or [B]oth Undergraduate and [G]raduate. If [N]one, process uses 12 credit hours for full-time and 6 credit hours for half-time.* *(Graduate Assistantships will be considered full-time at 9 credit hours).</td>
<td>[N]one [U]ndergraduate Only [G]raduate Only [B]oth Undergraduate and Graduate Default: None</td>
</tr>
<tr>
<td>Lines Per Page</td>
<td>Yes</td>
<td>Enter the number of Lines Per Page. The minimum number is 10. and the maximum number is 99.</td>
<td>Ex: 55 Default: 60</td>
</tr>
<tr>
<td>Execute</td>
<td>Yes</td>
<td>Run the process by entering (Y)es or exit by entering (N)o. If you have made an error entering a parameter, enter (N)o and restart.</td>
<td>[Y]es Run the report [N]o Exit the run of report Default: Yes (Command line only)</td>
</tr>
</tbody>
</table>
### Detailed Descriptions of the Parameters used by the State Award Certification Processes

**SORYTCF - SICAS State Award Flat File Process**

<table>
<thead>
<tr>
<th>Name</th>
<th>Required?</th>
<th>Description</th>
<th>Values</th>
</tr>
</thead>
<tbody>
<tr>
<td>Run Sequence Number</td>
<td>No</td>
<td>Sequence Number obtained through job submission.</td>
<td>123456 (Command line only)</td>
</tr>
<tr>
<td>Output Directory Name</td>
<td>No</td>
<td>Directory location for output file. Default is your SYSSLOGIN directory.</td>
<td>SYS$LOGIN - default (Command line only)</td>
</tr>
<tr>
<td>Run Type</td>
<td>Yes</td>
<td>You can run the process in Audit or Update mode. When run in Audit mode no</td>
<td>[A]udit or [U]pdate Default: Audit</td>
</tr>
<tr>
<td></td>
<td></td>
<td>tables are updated and it can be run repeatedly. When run in Update mode it</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>is final and cannot be run again. You should always run your process in</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Audit mode until you are ready to run it in Update Mode.</td>
<td></td>
</tr>
<tr>
<td>Roster Type</td>
<td>Yes</td>
<td>Enter the Roster Type ‘I’ for Initial(HE8001), ‘P’ for Post(HE8820), ‘C’</td>
<td>[I]nal, [P]ost, [C]redit,[S]ummary</td>
</tr>
<tr>
<td></td>
<td></td>
<td>for Credit(HE8503) or ‘S’ for Summary(HE8504).</td>
<td>Default: Initial</td>
</tr>
<tr>
<td>Roster Number</td>
<td>No</td>
<td>Enter the Roster Number you wish to process. Not needed when creating a</td>
<td>Ex: 123</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Credit or Summary Report.</td>
<td></td>
</tr>
<tr>
<td>Roster Term</td>
<td>Yes</td>
<td>Enter the term code for the Roster being processed.</td>
<td>BANNER format (200009)</td>
</tr>
<tr>
<td>Lines Per Page</td>
<td>Yes</td>
<td>Enter the number of Lines Per Page. The minimum number is 10. and the</td>
<td>Ex: 55 Default: 60</td>
</tr>
<tr>
<td></td>
<td></td>
<td>maximum number is 99.</td>
<td></td>
</tr>
<tr>
<td>Execute</td>
<td>Yes</td>
<td>Run the process by entering (Y)es or exit by entering (N)o. If you have</td>
<td>[Y]es Run the report [N)o Exit the run of report</td>
</tr>
<tr>
<td></td>
<td></td>
<td>made an error entering a parameter, enter (N)o and restart.</td>
<td>Default: Yes (Command line only)</td>
</tr>
</tbody>
</table>
Appendix A - Certification Codes

P - Visiting Student
P - In a Five Year Program
P - Not Billed Full-time
P - Not Billed Half-time
P - Unresolved Academic History
P - Possible Prior Semester GPA Recalc Present
P - Time Status Missing
P - Beneficial Placement exists in Future Term
P - Full-time Status Program Requirements
P - Half-time Status Program Requirements
P - Citizenship Status
P - Residency Status
1 - Certified
2 - Certified for TAP, but NOT for Scholarship
3 - Withdrawn with Tuition Liability
4 - Not Registered
4 - Withdrawn without Tuition Liability
4 - School Code Change Needed
4 – Student Declined Award
5 - Not Registered Full-time
5 - Not Registered Half-time
5 - Non Remedial Load Insufficient
5 - Repeated Course(s) Present
5 - Not Full-time Program Requirements
5 - Not Half-time Program Requirements
6 - Not Matriculated
7 - Accelerated Study requires 24 credits prior 2 terms
8 - Unsatisfactory Academic Progress
8 - Unsatisfactory Program Pursuit
8 - Not Meeting C Average Requirement
8 - Not Meeting C Average and POP
8 - Not Meeting SAP and POP
8 - Check Summer Pursuit
9 - Not a NYS Resident
9 - Not a U.S. Citizen
9 - Not a U.S. Citizen (VISA Expired)
9 - Tuition Liability Less than 200
9 - Not Full-time Prior or Future Term
9 - Student Declined Award
9 - Not in an Approved Program
9 - Major Not Declared Present Term