

# **Annual Operating Report (AOR) and SDS Performance Report (SDSPR) Web Reporting System**

## **User Guide**

**Department of Health and Human Services  
Health Resources and Services Administration  
Bureau of Health Professions  
Division of Student Loans and Scholarships**



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## **PUBLIC REPORTING BURDEN STATEMENT**

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# 1 System Overview

The Annual Operating Report/SDS Performance Report (AOR/SDSPR) Web Reporting System (WRS) is provided by the Department of Health and Human Services (HHS), Health Resources and Services Administration (HRSA), Bureau of Health Professions (BHP), Division of Student Loans and Scholarships (DSL). The WRS is designed to support DSL's collection and analysis of financial data pertaining to its scholarship and loan programs for students in the health professions. The AOR is required to be completed for the Health Professions Student Loan (HPSL), Primary Care Loan (PCL), Nursing Student Loan (NSL), and Loans for Disadvantaged Students programs (LDS). (When HPSL is mentioned, it includes the PCL and LDS programs.) The SDSPR is required for the Scholarships for Disadvantaged Students (SDS) program.

The Internet-based AOR/SDSPR reporting system has been designed to take advantage of the ease of accessibility and efficiency of data transfer that the World Wide Web provides. The use of Web technologies enables DSL to improve its data collection, tracking, reporting, and communications functions. The WRS is located at <http://wrs.hrsa.gov> and may be accessed from any computer with a connection to the Internet.

The WRS and its supporting documentation are designed to be user-friendly. *Please take time to review the procedures in this document* — this step will ensure your success with the WRS.

## 1.1 General Guidelines

Access to the WRS is restricted to personnel who have been issued the proper authorization. All institutions required to access the WRS have been assigned a USER ID and PASSWORD that is necessary for authentication. You should have been e-mailed your institution's USER ID and PASSWORD. If you did not receive this information please contact the WRS technical support staff by emailing us at [wrssupport@hrsa.gov](mailto:wrssupport@hrsa.gov) or by phone at (240) 223-3066. Because the WRS is on the Internet, the only piece of software necessary to use it is an Internet browser. Accessing the WRS requires that:

You have Internet access at your workstation (a connection of at least 56 Kbps);

You have an Internet browser (e.g., Internet Explorer or Netscape) installed on your computer that is at least version 5.x or higher; and

You have the basic skills and knowledge to use an Internet browser.

The purpose of this User Guide is to assist you in entering or editing AOR/SDSPR data by means of the WRS. The CDM Group, Inc. (CDM) designed and developed this system which is now hosted at HRSA OIT as part of its contract responsibilities for HRSA. Appendix A of this User Guide contains contact information for CDM WRS technical staff. Any comments or suggestions are welcome and may be sent to [wrssupport@hrsa.gov](mailto:wrssupport@hrsa.gov).

## 1.2 How to Access the WRS

You may access the WRS at any time before submission to enter or edit AOR/SDSPR report information. After November 1, reports are available only for printing and reference (September 15 for PCL reports). To re-open a submitted report for edit, see Section 5.5 “Editing a Submitted Report”.

Below are the directions to access the WRS:

Connect your computer to the Internet (if not already connected).

Open your favorite browser and enter the following URL in the address field:

<http://wrs.hrsa.gov>.

Press the ENTER key so that your browser can search for the WRS Internet site.

Once the Internet site is found, the AOR/SDSPR WRS Home Page will appear (Figure 1).

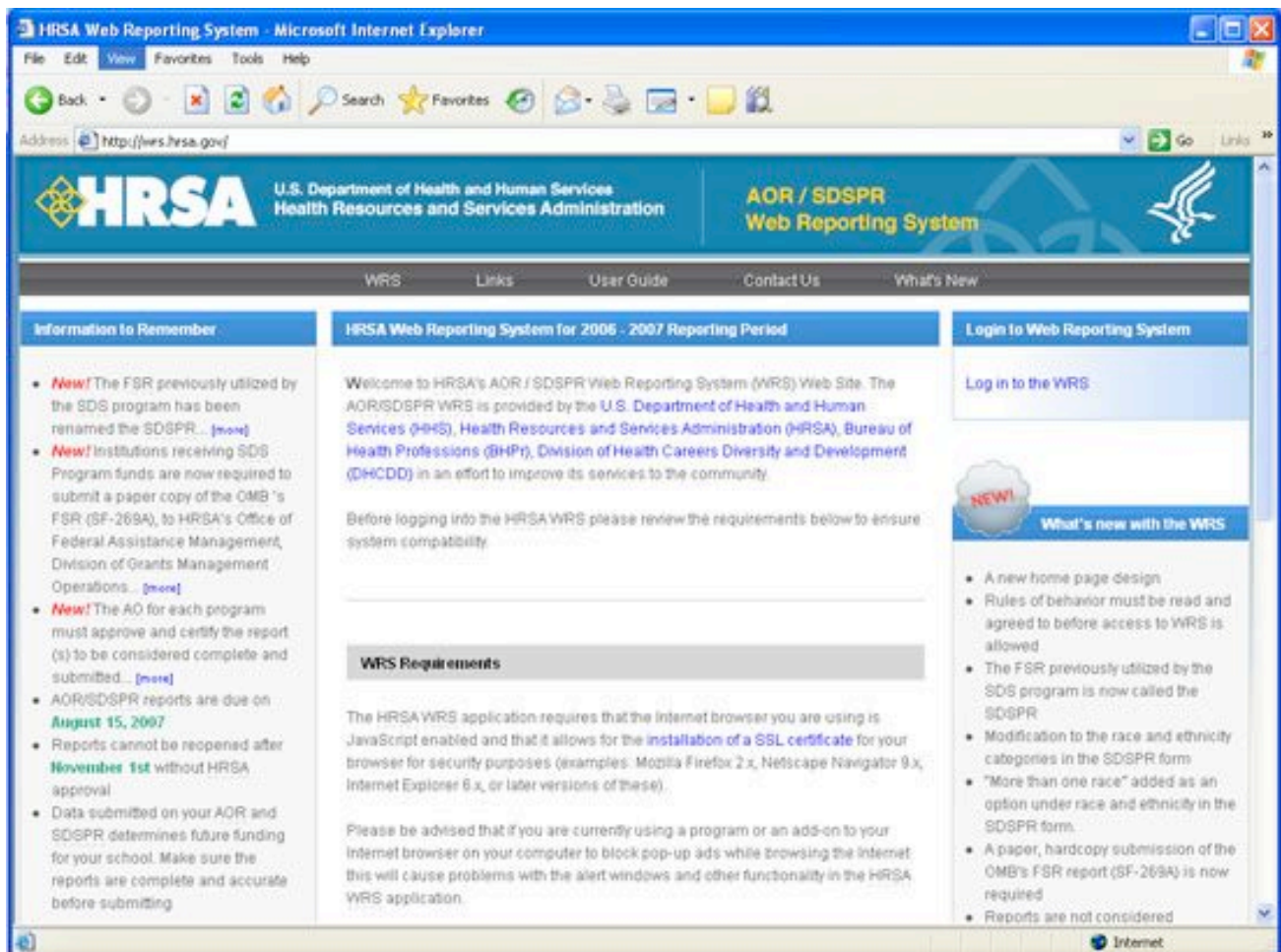


Figure 1: WRS Home Page

# 2 Getting Started

This section provides general information about the WRS AOR/SDSPR Internet site and instructions necessary to log in to the restricted area. The WRS Internet site requires that you log in by means of a USER ID and PASSWORD to enter or edit AOR/SDSPR reporting data. This system is designed to give you the proper security for your data and to ensure proper authentication for those authorized to enter or edit AOR/SDSPR report data. The USER ID and PASSWORD are sent to the official HRSA contact for your school's program.

## 2.1 WRS Home Page

The WRS home page is the entry point to the secured AOR/SDSPR Internet application. It also contains links to pages of information to help you perform the tasks necessary for completing the AOR/SDSPR reports as required.

The WRS links gives you access to the following:

- Contact Us** - information about how to contact technical support for this Internet site with phone numbers and email addresses.
- User Guide** - online instructions for using the WRS Internet application
- Links** - links to other Internet sites that contain information related to this and other HRSA programs.
- WRS** - link to the secured portion of the WRS Internet site once you have logged in to the system. The WRS provides access to the pages required to perform the necessary tasks for completing the AOR/SDSPR reports.
- What's New** - page with information on revisions and/or changes made to the Web Reporting System and to the AOR/SDSPR reports.

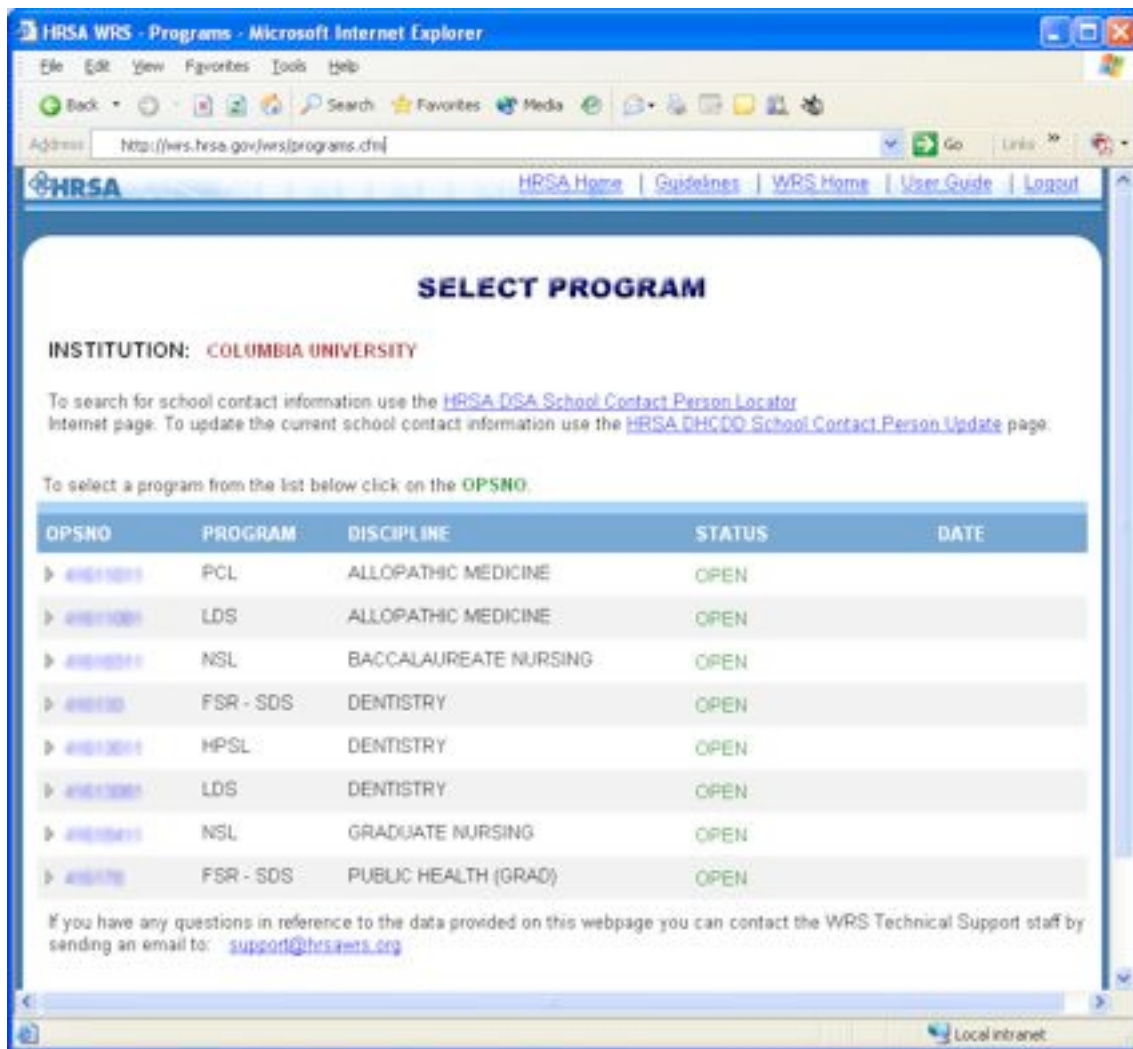
*ALL NAVIGATION WITHIN THE WRS MUST BE DONE BY USING THE LINKS ON THE TOOLBAR'S NAVIGATION MENU AT THE TOP OF EACH PAGE. USING THE NAVIGATION MENU INSTEAD OF THE BACK AND FORWARD BUTTONS OF YOUR BROWSER WILL ENABLE YOUR DATA TO BE SAVED AS YOU FILL OUT THE REPORT.*

***ALL NAVIGATION WITHIN THE WRS MUST BE DONE BY USING THE LINKS ON THE TOOLBAR'S NAVIGATION MENU AT THE TOP OF EACH PAGE. USING THE NAVIGATION MENU INSTEAD OF THE BACK AND FORWARD BUTTONS OF YOUR BROWSER WILL ENABLE YOUR DATA TO BE SAVED AS YOU FILL OUT THE REPORT.***

## 2.2 Logging In

To access the secured area of the WRS, enter your user id and password in the login form on the WRS home page. Each contact listed on the WRS system is sent an individual user id and password via email. The user id and password that is sent to each contact is meant to be only used by that contact and nobody else. In order to get a user id and password issue to a specific contact they first must be listed as a contact for that institution. The login form will appear when you select Login to the WRS (found on the right side of the WRS home page). After entering in your user id and password you will be presented with the **Select Program** page

The **Select Program** page lists the programs that your institution is required to complete and submit for HRSA. *If you are only required to report information for one (1) program, the **Select Program** page will not appear; instead the **Main Menu** will be displayed.* On the **Main Menu** you will only see menu options that pertain to your report.



**Figure 2: Select Program**

The **Select Program** page lists the programs and their submission **status** as well as the date for those

reports that have been submitted, re-opened, or re-submitted. After you submit a report you can always log back into the WRS to review or print the report. To have a program re-opened for editing refer to **Section 5.5** of this user guide.



## 2.3 Overview of AOR/SDSPR Process

The following procedures serve as a summary for completing the AOR/SDSPR reports.

1. Access the WRS Internet site (<http://wrs.hrsa.gov/>)
2. On the WRS home page enter your USERID and PASSWORD on the login form and click the **Enter** button to enter the restricted area.
3. If you are completing an AOR/SDSPR form for more than one program you will be presented with **Select Program** page. This option lets you select the program for which you wish to enter data
4. Select the program that you need to work on by clicking on the **OPSNO** number next to the report name. After selecting the program you will be presented with the **Main Menu**.

**NOTE:** *As of the 2002 reporting season the WRS supports a text version of the site, which can be chosen at the Main Menu on the top navigation. If your browser does not support frames you should use the text version of the site.*

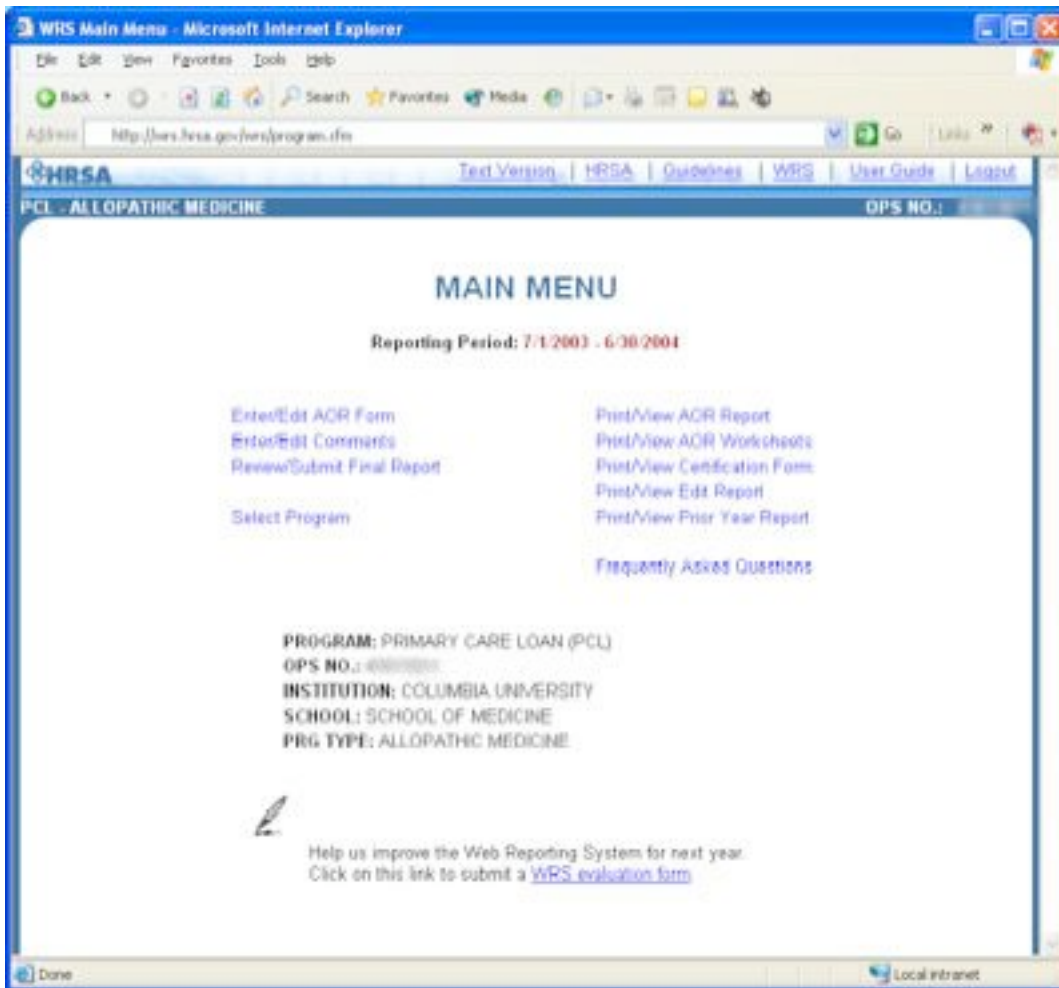


Figure 3: The WRS Main Menu

5. If you would like to enter data on a worksheet before entering it into the WRS, select the **Print/View AOR Worksheets** option on the **Main Menu**. The WRS will allow you to print the appropriate forms for your Institution.

You can print your entire report at any time by selecting **Print/View AOR Report**.

Please note that the **Print/View AOR Worksheet** and the **Print/View AOR Report** are two separate print functions. **Print/View AOR Worksheet** allows you to print a copy of your report with blank fields. This allows you to use the printout as a draft prior to actually entering the data online. The **Print/View AOR Report** function allows you to print your actual report. The printout will not contain any blank fields. **Print/View AOR Report** should be used to print your entire report for record keeping purposes, whereas **Print/View AOR Worksheet** should be used in preparing and drafting your data prior to entering them online.

6. Enter the current year AOR/SDSPR data by selecting the **Enter/Edit AOR Form** option from the **Main Menu**.
7. A **Save & Continue** button will appear on the last page of a particular report. If this button or the **Next** button—located at the top navigation bar on the last page—is selected, the WRS will automatically save your current report and display a list of other reports that need to be completed in conjunction with the report you just completed. The WRS will notify you of any incomplete report. Select the OPSNO of the program to complete the report. If all reports are completed you will be able to submit the report(s) by selecting **Submit Report(s)** at the bottom of the page. After clicking on this link you will be presented with a **Review** page that will let you know if your report is ready for submission or if there are problems that need to be resolved before you can submit your report.
8. At the bottom of the **Review** page you will see the notification whether your report is ready for submission or not. If it is ready you will see a button that when pressed will allow you to proceed with submission by taking you to the **Certification Form**. If your report is not ready, then you will see a button that when pressed takes you back to the Main Menu.
9. The final step of the process is completing the certification form on the **Authorizing Official Certification** page. When you complete the certification form you are indicating that your report's data is accurate and that the Authorizing Official has seen the report(s) and agrees with its submission.

Fill out all required information and Click on the **SUBMIT** button at the bottom of this page to finish the reporting process. Failure to submit the **Authorizing Official Certification** page will render your school's report as INCOMPLETE and your program will be placed in suspension status.

Schools that fail to submit a complete report by the due date are:

- ineligible to receive new FCC awards;
- not authorized to draw down funds from the Payment Management System (PMS); and
- not authorized to make loan disbursements from the loan fund.

The above restrictions apply until the Secretary determines that the school is in compliance with the reporting requirements.

More detailed information on the procedures summarized in this section is explained in the following sections of this User Guide.

# 3 Getting the Job Done

This section provides instructions for entering, processing, and submitting **AOR/SDSPR** data through the WRS. The following is a brief summary of the options offered on the **Main Menu**. Detailed instructions follow this summary.

- Section 3.1 **Select Program** — for those institutions with more than one reporting program; this describes how to access the correct reporting forms.
- Section 3.2 **Print/View AOR/SDSPR Report(s)** — details procedures for printing the AOR and SDSPPR forms for user information and files.
- Section 3.3 **Enter/Edit Data** — describes the function of accessing and entering data on the AOR/SDSPR form, and also gives basic data entry instructions that can be used on most WRS data entry pages.
- Section 3.4 **Edit/Error Messages** — describes the messages that are displayed as data is entered or when leaving a page.
- Section 3.5 **Enter/Edit Comments** — provides instructions for entering comments and narrative regarding AOR and SDSPPR data.
- Section 3.6 **Print/View Edit Report** — describes the edit report.
- Section 3.7 **Logging Out** — describes the importance of making sure that the user logs out of the WRS when leaving the computer, even if the AOR/SDSPR is not ready for submission.

Upon entering the **Main Menu** page and before going into the AOR/SDSPR report sections, make sure you have selected the correct program for which you wish to enter data. On the bottom half of the Main Menu page there is a program information section that describes the program that is currently selected.

**NOTE:** *If you leave your browser window unattended (without performing any actions or tasks) for more than an hour (60 minutes), the WRS will automatically log you out of the system. Your report will automatically be saved if you are on any of the worksheet pages when your session expires. After a session ends, you have to re-enter your **USER ID** and **PASSWORD** at the login page to resume browsing or performing any tasks on the AOR/SDSPR segment of the WRS.*

## WRS Navigation

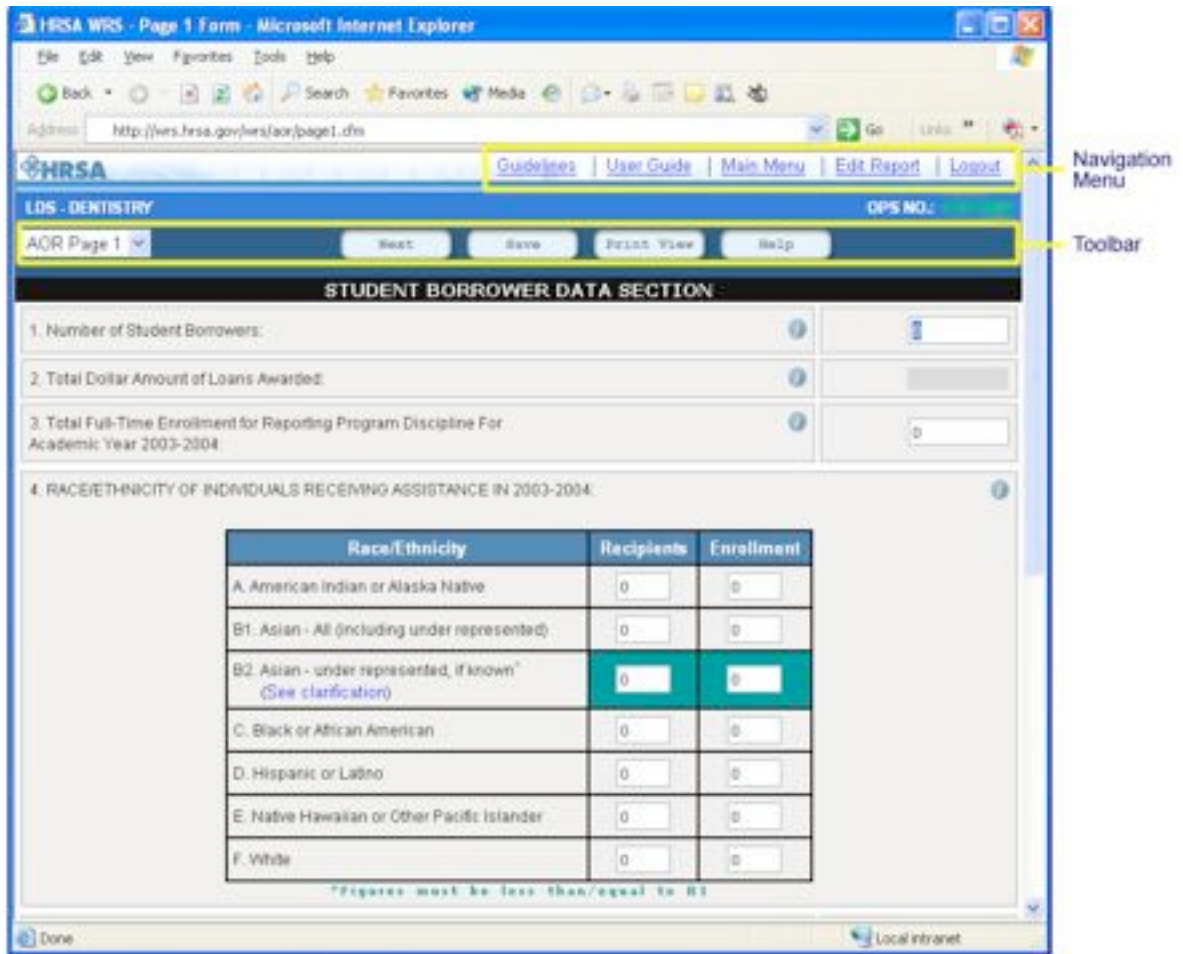
At the top of each AOR/SDSPR WRS web page there is a **navigation menu** and a **toolbar** that lets you browse the pages of the WRS. The **navigation menu** and the **toolbar** have the following links:

### Navigation Menu:

- Guidelines** — links to <http://bhpr.hrsa.gov/dsa/sfag/>. This site contains the student financial aid guidelines.
- User Guide** — pops up a window with online instructions for using the WRS Internet application (**an HTML version of this document**).
- Main Menu** — link that takes you back to the main menu.
- Edit Report** — displays the edit report. If the WRS finds erroneous or inconsistent data entered in the report it is displayed here. This report highlights data that will be accepted for submission by the system, but is likely to be evaluated for accuracy by HRSA staff.
- Logout** — log you out of the WRS.


### Toolbar:

- Print View** — displays the current AOR form in a separate window formatted for printing purposes.
- Previous Page** — takes you to the previous AOR form page.
- Next Page** — takes you to the next AOR form page or begins the submission process if you are on the last page.
- Save** — performs a save operation to store the data on the form to the WRS.
- Help** — pops up a help window with information related to the current page.



**Figure 4a: WRS Navigation (graphic version of site)**

The **AOR Page** pull-down menu (on the left side of the Toolbar) allows you to select any AOR page without having to click on the “Next” button to browse to it. Just select the page from the list and the program will immediately transfer you to that page. This option is only available in the graphic version of the website.

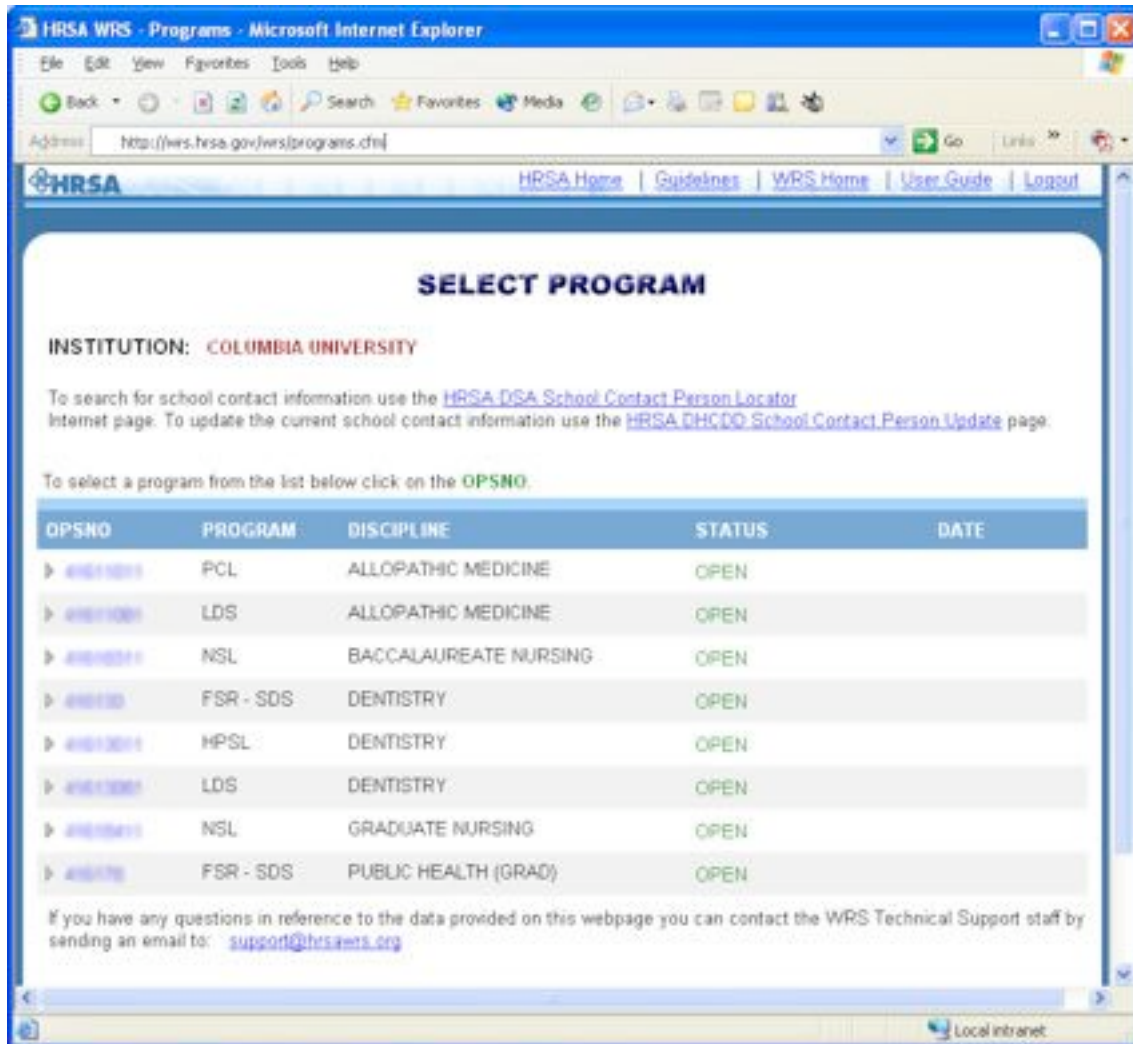
**NOTE:** *If you see the letter “ i “ inside a circle  next to a question on any of the forms you can click on it to access more information.*

### 3.1 Select Program

*This section is only relevant for institutions with submission of multiple programs.*

After logging into the WRS you will be presented with the **Select Program** page. This section provides instructions on how to select programs from this page.

1. Log into the WRS.
2. Select the program from the list that appears on the **Select Program** page by clicking on the OPSNO number next to the name of the program.



**Figure 5: Select Program**

The Main Menu page will appear with options for the program you selected. At the bottom of the Main Menu page you will see the information for the program you selected.

The **Select Program** page also has the submission “status” of each program and the last date of the status change (i.e. open, submitted, re-opened, re-submitted, approved).

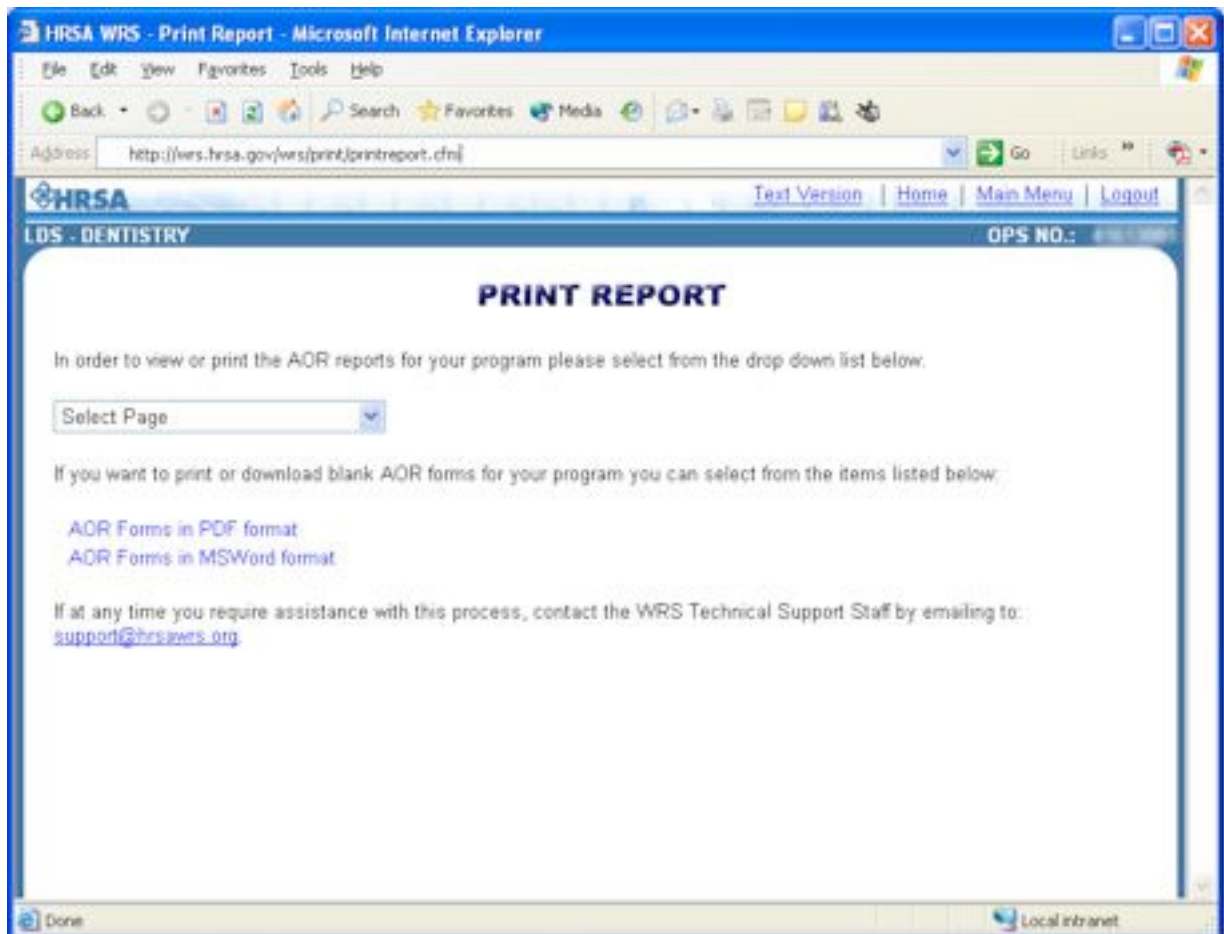


## 3.2 Print/View AOR/SDSPR Report(s)

This section provides instructions for printing or displaying the AOR/SDSPR Report(s). The AOR/SDSPR forms can be printed at any time during or after the data entry process. The printed forms can be reviewed for accuracy and can also serve as copies for your files. *Do not return these forms; they are for your use only.*

To Print/View the AOR/SDSPR Report(s) do the following:

1. Access the AOR/SDSPR WRS **Main Menu**.
2. If the report is an SDSPR then you will see an option on the Main Menu to **Print/View SDSPR Report**. Click on the link and the SDSPR worksheet will load in your browser window.
3. If the report is an AOR then you will see an option on the Main Menu to **Print/View AOR Report(s)**. Click on the link and the **Print Report** page will load.



**Figure 6: Print Report**

4. Click on the pull-down menu down-arrow and select the AOR page to bring up the print window for each individual report page or click on the **Print/View All Pages** option to print or view the complete report. The AOR page that you select for printing or viewing will be

displayed in a printer-friendly format.

5. Once the desired AOR form appears on the screen, you can initiate a print request by selecting the print link at the top of the page or as follows:

Pull down the **File** menu at the top of your browser window.

Choose the **Print** option on the pull-down list.

Once the **Print** window pops up, click the **OK** or **Print** button to print the chosen AOR page.

You can do the same for each page if you are printing each page separately. To go back to the Worksheets page just click on the “Back” link at the top of the page.

### 3.3 Enter/Edit Data

This section provides instructions for accessing the WRS AOR/SDSPR Forms. You may enter, change, and review data in the AOR/SDSPR forms through this option by following the instructions below:

1. Access the AOR/SDSPR WRS **Main Menu**.
2. If the program selected is an AOR click on the **Enter/Edit AOR Form** link on the Main Menu. **Page 1** of the AOR form will be displayed if the program has an “active” status, otherwise **Page 2** will be presented if the status of the program is “closing”. If the program selected is an SDSPR then click on the **Enter/Edit SDSPR Form**.

#### **To enter/edit data on any AOR/SDSPR WRS form:**

Use the mouse to position the cursor on the field where data will be entered or edited. Type data and press TAB to register the data; the cursor will advance to the next field.

**NOTE:** *Data type will be checked by the system to validate correct data entry in every field to guard against typing errors. You will be notified after leaving the field if you have made an error.*

**Do not type commas or \$ signs** as you type your numbers.

**Do not type decimal points or cents** in any figures. Your figures must be rounded to the nearest dollar — adding cents to your figure will cause errors in the data.

To enter a negative number, type a **dash** (minus sign) and the number, then press TAB.

To change any numeric data, use the mouse to position the cursor in the desired field, use the BACKSPACE or DELETE keys to erase the incorrect figures, type the new data into the field, and press TAB. The “ENTER” key cannot be used to go from field to field on a web form.

**The form fields that have a blue border are automatically calculated by the WRS. Values entered into these fields are not saved. The system recalculates the correct entry.**

To navigate to another page use the top navigation toolbar. Selecting **Previous** sends you to the

previous page of the report; selecting **Next** sends you to the next page of the report. If you are on the last page of a report and you select the **Next** button or the **Save & Continue** button on the bottom of the page the report will automatically be saved. The WRS will then notify you of any incomplete report that needs to be submitted jointly with the current report. You can complete any report by selecting the OPS\_NO of the program. If all reports that require joint submission are complete you will be given the option to **Submit Report(s)**.

### 3.4 Edit/Error Messages

1. Edit/error messages are displayed only *after data are entered*. The message appears in a dialog window that pops up on your screen.
2. Edit/error messages indicate erroneous or inconsistent data and may signal the need for correction. In most cases, the correction is desirable, but not required. One exception is the message **ENTRY MUST BE ZERO OR GREATER**. This means a negative value was entered in a field relating to the number of borrowers and correction *is required* before the user may continue.
3. If you need additional information on a particular page, click the **HELP** button on the **navigation toolbar**. If it becomes necessary to consult WRS technical support, refer to *Appendix A* for contact information.
4. If you find that an edit message alerts you to a problem(s) that cannot be corrected prior to the reporting deadline, complete the AOR/SDSPR and submit it by the due date. Please contact CBB or WRS Tech Support to resolve the problem immediately (See Appendix A).

**NOTE:** *Edit message 2.2, 2.3, and 2.11 and negative cumulative amounts (except other costs - page 2 line D.14) must be corrected before the report can be submitted.*

### 3.5 Enter/Edit Comments

This section instructs the user on how to enter/edit comments for the AOR or SDSPR report(s). The comments form may be used for noting problems regarding AOR/SDSPR figures. Please do not use this section for reporting technical problems. All technical problems should be sent to WRS Tech Support at [wrssupport@hrsa.gov](mailto:wrssupport@hrsa.gov). This section should be used to comment on why your institution entered particular figures or have particular edits in their report. Comments entered and saved will be submitted with your report.

The Enter/Edit Comment section can be accessed the following way for the AOR and SDSPR report:

#### **SDSPR:**

For the SDSPR report, the comment section can be accessed by opening the SDSPR report. The comment section can be found at the bottom of the SDSPR report. Use the comments field at the bottom of the SDSPR report to enter any SDSPR related comments.

#### **AOR:**

For the AOR report, the comment section can be accessed by opening the AOR report. The WRS will present the **Enter/Edit Comments** page after the user selects the **Next** or **Save & Continue** button on the last page of the AOR report.

The **Enter/Edit Comments** section can also be accessed for the SDSPR and AOR at anytime while the report is OPEN or RE-OPENED by following the steps below:

1. Access the WRS **Main Menu**.
2. Select the option **Enter/Edit Comments** by using the mouse to position the cursor over the option and click on the link. The **Comments** page will be displayed.
3. Type your comments in the text box provided. You may scroll down while entering text if you need more space for your comments. The comments field has unlimited storage, so you may enter as many comments as needed.

### 3.6 Print/View Edit Report

The **Edit Report** is accessible from the **Main Menu** and from the **navigation menu** at the top of each data entry page. An **Edit Report** will contain entries if the WRS finds erroneous or inconsistent data that has been entered. This report highlights data that will be accepted for submission by the system, but is likely to be evaluated for accuracy by HRSA staff. The messages in the **Edit Report** explain how to identify the fields in question.

### 3.7 Logging Out

The WRS is a restricted Internet site. You have to log in before you are allowed to enter the site and perform any of the tasks described in the previous sections. The WRS Internet site uses session tracking mechanisms to allow you to browse throughout the site without having to be authenticated every time you click on a link on the WRS web pages.

A session is a period of time during which you can browse the Internet site to process or perform any operations for the AOR/SDSPR report while being tracked by the WRS secured environment. You can end a working session by logging out of the WRS by clicking on the “**Logout**” link which is located at the top of each page on the **navigation menu**. The WRS will save the report data on the current form prior to logging you out of the system. You will know that you have safely exited the system when you are notified that you have been logged out successfully.

*If you leave your browser window unattended (without performing any actions or tasks) for more than an hour (60 minutes), the WRS will automatically log you out of the system. Your report will automatically be saved if you are on any of the worksheet pages when your session expires. After a session ends, you have to re-enter your USER ID and PASSWORD at the login page to continue browsing or performing any tasks on the AOR/SDSPR segment of the WRS.*

Please log out from the WRS whenever you need to stop using the system. You can always go back to it and continue your work at any time, provided that you have not made a final submission of the AOR/SDSPR report. Submission will prevent an unauthorized person from making any changes to

your AOR/SDSPR report data.

# 4 AOR/SDSPR Form Instructions

The WRS provides on-screen edit messages for items that may need further clarification. The Student Financial Aid Guidelines (SFAG) provide comprehensive information regarding the programs. The SFAG can be found at the following website: <http://bhpr.hrsa.gov/dsa/>.

If loans have ever been disbursed to students, they must be reported on your Borrower Accounts Worksheet; therefore, your report will not be considered complete if Page 6 of the report contains all zeros.

**All data must be in agreement with your institution's general ledger records.**

Entries in the "Current" column(s) should be the net totals of transactions for the current reporting period indicated on the report.

Entries in the "Cumulative" column(s) are system generated and should be the totals of transactions (account balances) *since the institution first began participating in the loan program through the current reporting period.*

Currently, schools can retain, as a safety margin, amounts equivalent to three years worth of loans made. In response to requests from schools and lower consolidation rates, the safety margin has been increased to three years.

## 4.1 AOR Revisions

- There are no AOR revisions for this current cycle.

## 4.2 Student Borrower Section AOR (Report Page 1)

***THE FOLLOWING INFORMATION APPLIES ONLY TO ACTIVE PROGRAMS.***

### ***ITEM 1 Number of Student Borrowers***

- This number should include all borrowers participating in this program to whom loan funds were awarded (authorized or committed but not necessarily disbursed) during the reporting period.

### ***ITEM 2 Total Dollar Amount of Loans Awarded***

- This number should include the total dollar amount of all loans awarded for this program (authorized or committed but not necessarily disbursed) during the reporting period.

### **ITEM 3 Total Full-Time Enrollment for the Discipline Reporting Program**

- For HPSL, PCL, and LDS schools – This number should include all **full-time** students only (using your school’s definition for full-time) enrolled in the discipline program for which you are reporting.
- For NSL schools – This number should include all **full-time and part-time** students (using your school’s definition for full and part-time) enrolled in the discipline program (associate, diploma, baccalaureate, graduate) for which you are reporting.

### **ITEM 4 Race/ethnicity of Individuals Receiving Assistance during this Reporting Period and Total Enrollment**

- Select the category of race/ethnicity using the following definitions that most closely reflect the individual's recognition in his/her community for the purpose of reporting on persons who are of mixed racial and/or ethnic origins. *If information is not available, it may be omitted from the table.*

#### **Race:**

- *American Indian or Alaska Native:* A person having origins in any of the original peoples of North America, and who maintains cultural identification through tribal affiliation or community recognition.
- *Asian:* A person having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent including for example Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.
- *Asian Underrepresented:* Any Asian (see above definition) **other than** Chinese, Filipino, Japanese, Korean, Asian Indian, or Thai.
- *Black or African American:* A person having origins in any of the Black racial groups of Africa.
- *Native Hawaiian or Other Pacific Islander:* A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.
- *More than One Race:* A person having origins from more than one race.
- *White:* A person having origins in any of the original peoples of Europe, North America, or the Middle East or North Africa.

#### **Ethnicity:**

- *Hispanic or Latino:* A person of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origins regardless of race.
- *Non-Hispanic/Non-Latino:* A person not having origins of Mexican, Puerto Rican, Cuban, Central or South American

**ITEM 5,6,7,8,9 & 10 refer to HPSL/PCL Allopathic and Osteopathic Medicine Only:**

**ITEMS 5 & 6 *Number of PCL student borrowers and total PCL dollar amount awarded***

- This amount should include total number of new PCL borrowers and the PCL funds authorized or committed but not necessarily disbursed during the reporting period.



### **ITEM 7 Defaults on Service Obligation**

- This number should represent the current number of PCL borrowers who defaulted on their service obligation and the original amount of principal loaned for this reporting period.

### **ITEMS 8 & 9 Total graduates and graduates in primary care residency and practice (allopathic and osteopathic medicine only)**

- Enter the *total number of graduates* from your school for the appropriate year, and of that total, the *total number of graduates in primary care* for the appropriate year.

### **ITEM 10 Percentage**

- These items are automatically calculated.

**NOTE:** *Schools that do not meet one of the criteria under Participation of Graduates in Primary Health Care Residencies and Practices (see Student Financial Aid Guidelines) are subject to certain penalties. These criteria are based on the percentages calculated here. If your school does not meet any of the three criteria for PCL program compliance, you will be billed for 30% of your current year income. "Income" is defined in section 723(d)(4) of the Public Health Service (PHS) Act to mean payments of principal and interest on any loan made from the fund, and any other earnings of the fund.*

## **4.3 Program Accounts Section (Report Pages 2 and 3)**

Values in cumulative fields are based on previous awards and reports. Please contact us (Appendix A) for assistance when discrepancies arise.

### **ITEM A Federal Funds Awarded**

- The amount should equal the amount shown on the Notice of Award for the current year, if applicable.

### **ITEM B Cash Balance - Start of Report Period**

- The amount should be the same as the ending cash balance on the prior AOR. If it is not, provide the reason in the Comments section.

### **ITEM C1 Federal Funds Received/Receivable**

This amount should be the cumulative net funds received that is equal to the total funds drawn each year from Payment Management System (PMS) minus any same year returns of funds to PMS.

- Note 1: *The return of any current year fund receipts (against the current year award) should be made through the Payment Management System (PMS).*
- Note 2: *Money should be drawn down from PMS in whole dollars only. This amount includes the funds drawn against the current year award minus any returns*

*and/or funds requested through PMS not received by June 30.*

### **ITEM C2 Institutional Contributions Deposited**

This amount should be the current amount of institutional contribution deposited. The cumulative amount must equal at least one-ninth of the cumulative FCC Funds received (Item C.1) plus any cumulative transfers from scholarships (item C.3) and less cumulative transfer to scholarships (Item D.2).

- If an institution has exceeded its one-ninth requirement in a prior period and wishes to withdraw some or all of the monies (providing the withdrawal does not result in a negative cash balance), report the withdrawal as a negative amount in the current year column. **DO NOT show the withdrawal of excess institutional contributions as a "Repayment to Institution."**

### **ITEM C.3 Transferred from Scholarship Fund**

- This number remains constant. A cumulative total in this field was from funds added from the Scholarship Fund which no longer exists. However, this number is included when calculating institutional contributions

### **ITEM C.4 Loan Principal Collected**

- This amount should be the current amount of loan principal collected from borrowers or purchased by the institution.

### **ITEM C.5 Interest Income Collected on Loans**

- This amount should be the current amount of interest on loan principal collected from borrowers or purchased by the institution.

### **ITEM C.6 Penalty Charges Collected on Loans**

- This amount should be the current amount of penalty charges collected from borrowers for late scheduled payment. The HPSL and NSL legislative amendments require that for NSL notes/disbursements signed on or after October 1, 1985, and for HPSL notes/disbursements signed on or after October 22, 1985, borrowers must be charged a late fee, not to exceed six percent on loans more than 60 days past due. See Policy Memorandum Number Ten (December 24, 1986) for additional information.

### **ITEM C.7 Investment Income**

- Policy Memorandum Number 6 (May 1984) states:  
“ When there is an unavoidable delay between the time a school receives HPSL and NSL Federal Capital Contributions or collections and the time new HPSL and NSL awards are disbursed, the school must place the funds on hand in an insured interest-bearing account, and must deposit all interest earned in the HPSL and NSL funds. A school that has not placed its investment income in the HPSL or NSL fund will be subject to an audit exception, and will be required to reimburse the HPSL or NSL fund out of institutional money for the amount of

investment income that the school should have deposited in the HPSL or NSL fund in the past. “All schools must assure that investment income is being properly handled in addition to the requirement of section 740 (b)(2)(e) of the HPSL statute and section 835 (h)(2)(e) of the NSL statute that any earnings of the fund be deposited in the fund, this money can be an importance source of additional funds for lending to students.”

- Report the current amount of earnings on program Funds deposited in any type of interest-bearing account.

#### **ITEMS C.8, C.9, & C.10 *Institutional Repayments of Bad Debts, Principal, interest, and Penalty Charges***

- This amount should be the current amount of the institution’s repayment of principal, interest, and penalty charges on bad debt write-offs requests that were denied
- *Note:* *Institutions have the ultimate responsibility for bad debt losses not approved for write-off by the DSLS BHPPr. There is nothing to prevent an institution from further pursuing the collection of a bad debt after it has been disapproved for write-off by DSLS; any amounts recovered would lessen the institution’s liability.*

#### **ITEMS D1 *Loaned to Students***

- Report the current amount of funds loaned to students.

#### **ITEMS D2 *Transferred to Scholarship Fund***

- This number remains constant. A cumulative total in this field was from funds transferred to the scholarship fund which no longer exists. However, this number is included when calculating institutional contributions.

#### **ITEMS D3, D4, & D5 *Repayments to Federal Government, Principal, Interest and Other Income***

- This amount should be the current amounts of this program’s principal, interest and other income repaid to the Federal Government
- An example of Repayments to Federal Government is excess cash returned to the Division of Financial Operations. **DO NOT include amounts returned to PMS because those amounts should be adjusted against Federal Funds Received within the appropriate award period.**
- Payment made last year for the PCL assessment should be reported on Page 2 – Program Accounts Section in Part D – Cash Disbursements Lines 3-5 – Repayments to Federal Government. In order to report your assessment in the three lines of the AOR (i.e., principal, interest, and penalty charges), apply the 30% assessment amount to the items defined as income (shown on your assessment notice) and report them in the appropriate sections.

- For purposes of reporting, the amounts determined for penalty charges and investment income may be combined and reported as “other income.” In addition, the school should repay itself the proportionate share of institutional matching funds (1/9) associated with the amount of funds returned for PCL. These amounts would be broken down the same way as Repayments to Federal Government, but reported on Lines 6-8 – Repayments to Institution, Principal, Interest, and Other Income.

Please refer to the Student Financial Aid Guidelines for further information. If you have any questions on your school's compliance, refer to Appendix A for contact information.

**NOTE:**      *Make check payable to Public Health Service and enclose a letter with the following information:*

- ✓ *Name of institution (including discipline)*
- ✓ *Type and purpose of program funds being remitted (e.g., Federal Capital Contribution – HPSL program, remittance of student loan collections)*
- ✓ *The institution OPS number (e.g., OPS No. 1234-81-11)*
- ✓ *The amount of principal, interest, and other income, if any*
- ✓ *Send your remittance and letter using the Mailing Address Guidelines in Appendix B of the User Guide.*

#### **ITEM D.6 *Repayments to Institution, Principal***

- This amount should be the current amount of principal collected on student loans repaid to the institution.
  - Note:      *An example of a repayment to Institution would be the institution’s proportionate share of excess cash in the Fund balance that has been repaid to the institution. DO NOT show withdrawal of Funds as a result of excess institutional contributions in this item. (See note on item C.2.)*

#### **ITEM D.7 *Repayments to Institution, Interest***

- This amount should be the current amount of interest collected on student loans repaid to the institution.

#### **ITEM D.8 *Repayments to Institution, Other Income***

This amount should be the current amount of other income collected from student loans repaid to the institution.

- Note:      *This item is in reference any amounts in Items C.6, C.7, and C.10 that were repaid in the institution’s 1/9 portion in conjunction with a repayment to the Federal Government.*

**ITEMS D9, D10, D11, and D12 *Collection Agent Costs, Principal and Interest Litigation Costs, Principal and Interest***

- This amount should be the current amount of allowable internal or external collection agent costs (prorated proportionately to the amount of principal and interest collected) charged to the Fund.
- This amount should be the current amount of litigation costs (prorated proportionately to the amount of principal and interest collected) charged to the Fund. These costs do NOT include expenses incurred in sending the final demand letters on attorneys' letterhead.
- The cost associated with collecting the full amount of principal and interest (Items C4 and C5) must be prorated and reported in Items D9 and D10. Litigation costs associated with the collection of a loan must be prorated in the same manner as collection costs and reported in Items D11 and D12. This method of reporting is required even if the collection agency and/or attorney remit only the net amount (collections less collection or litigation costs) to the institution. If the institution is able to get the borrower to pay the collection costs or the litigation costs, the costs are not charged to the fund.
- Note: *Refer to Policy Memorandum Number Nine (May 16, 1986) for an explanation of allowable collection costs. Collection costs may be charged to the HPSL/NSL Fund without requesting prior written permission from the Bureau of Health Professions, Division of Student Loans and Scholarships as long as your school is following sound due diligence procedures. If the Bureau finds that a school is charging collection costs to the Fund without having exercised due diligence, the school will be required to reimburse the Fund for those charges.*

*Report the current amount of allowable internal or external collection agent costs (prorated proportionately to the amount of principal and interest collected) charged to the Fund.*

*Report the current amount of litigation costs (prorated proportionately to the amount of principal and interest collected) charged to the Fund. These costs do NOT include expenses incurred in sending the final demand letters on attorneys' letterhead.*

**EXAMPLES OF PRORATING COLLECTION COSTS (Litigation Costs to Be Prorated in Same Manner)**

An institution directs a collection agency to collect \$1,000.00 principal and \$200.00 interest for a total of \$1,200.00 from a delinquent borrower. The collection agency collects all \$1,200.00 but deducts \$360.00, or 30% of the amount collected, before remitting the net amount of \$840.00 to the institution. The institution reports as follows:

Loan Principal Collected	\$1,000.00
Interest Income Collected	200.00
Collection Costs, Principal (30% x \$1,000)	300.00
Collection Costs, Interest (30% x \$200)	60.00

An institution directs a collection agency to collect \$1,500.00 principal and \$500.00 interest for a total of \$2,000.00 from a delinquent borrower. At the end of the report period, the collection

agency has collected \$1,600.00 (80% of \$2,000.00), which it remits to the institution with a bill for \$480.00 (30% of the \$1,600.00 collected). The institution pays the collection agency \$480.00 taken from the Fund and reports as follows:

Loan Principal Collected (80% of the \$1,500)	\$1,200.00
Interest Income Collected (80% of \$500)	400.00
Collection Costs, Principal (30% of \$1,200)	360.00
Collection Costs, Interest (30% of \$400)	120.00

#### **ITEM D13 *Credit Bureau Fees***

- This number should be the current amount of credit bureau agency fees charged to the Fund

#### **ITEM D14 *Other costs***

- This amount should be the amount of other costs charged to the fund (i.e., overpayments and underpayments of \$10.00 or less).

**NOTE:** DO NOT include administrative costs such as BILLING AGENCY COSTS, SALARIES, STAMPS, BANK CHARGES, and the like incurred by the institution in the management of the loan Fund. They are considered general administrative costs that the responsibility of the institution.

#### **ITEM E. *CASH BALANCE - End of Period Covered by This Report***

**NOTE:** *This amount should be equal to the current year beginning cash balance plus current year cash receipts minus current year cash disbursements. The cumulative cash receipts less the cumulative cash disbursements should also equal the ending cash balance. This amount should be equal to the actual cash on hand and in the institution's bank account (adjusted for Funds in transit on June 30).*

#### **ITEM F.1 & 2 *LOAN CANCELLATIONS TO BORROWERS – Professional Practice & Nursing Employment***

**NOTE:** *Applies to Nursing Set Aside Program Loans incurred prior to September 29, 1979; and for those borrowers whose health professions loans for the study of medicine, dentistry, osteopathy, or optometry were incurred prior to November 19, 1971. Loan cancellation to borrowers in professional practice and nursing employment is no longer permitted. The cumulative section and numbers remain as historical data of loan cancellations granted when they were permitted.*

#### **ITEM F.1.a. *Professional Practice – HP Practice-Shortage (10%)***

- These numbers are historical data.

#### **ITEM F.1.b *HP Practice – Rural Shortage (15%)***

- These numbers are historical data.

#### **ITEM F.2.a.b.c. *Nursing Employment***

- These numbers are historical data.

#### **ITEM F.3.a *DEATH***

- Under the appropriate column headings, these should be the current and cumulative number of borrowers amounts of principal and amount of interest that were approved for cancellation due to death. Do not duplicate these items in Item F.3.b.
- On HPSL Loans made on or after 10/22/85 (Applicable to HPSL FCC programs only): HPSL FCC Programs report only the information for loans made on or after October 22, 1985.

#### **ITEM F.3.b *DEATH***

- Under the appropriate column headings, these should be the current and cumulative number of borrowers, amounts of principal, and interest that were approved for cancellation due to death. Do not duplicate these amounts in Item F.3.a.
- On all loans except those reported in Item F.3.a. (Applicable to all programs): HPSL FCC Programs report only the information for loans made prior to October 22, 1985.

#### **ITEM F.4.a *Permanent and Total Disability***

- Under the appropriate column headings, these should be the current and cumulative number of borrowers, amounts of principal, and amount of interest that were approved for cancellation due to permanent and total disability. Do not duplicate these amounts in Item F.4.b.
- On HPSL Loans made on or after 10/22/85 (Applicable to HPSL FCC Programs only): HPSL FCC Programs report only the information for loans made on or after October 22, 1985.

#### **ITEM F.4.b *Permanent and Total Disability***

- Under the appropriate column headings, these should be the current and cumulative number of borrowers, amounts of principal, and amount of interest that were approved for cancellation due to permanent and total disability. Do not duplicate these amounts in Item F.4.a.
- On all loans except those reported in Item F.4.a. (Applicable to all programs). HPSL FCC Programs report only the information for loans made prior to October 22, 1985.

#### **ITEM H *Bad Debts Approved For Write-Off by DHHS***

- This should be the amounts approved for write-off minus any subsequent collections that are received from borrowers who were previously written off.

## **4.4 Calculation of Excess Cash Worksheet (Report Page 4)**

FOR ACTIVE PROGRAMS ONLY

**HOW THE FEDERAL GOVERNMENT DETERMINES EXCESS CASH**

**Note: Excess cash is automatically calculated for all programs except Allopathic and Osteopathic Medicine. Allopathic and Osteopathic schools should use the worksheet to figure out their Excess Cash.**

**Item A. General Ledger Cash Balance as of...**

Enter the General Ledger Cash Balance

**Item B. Actual Collections for...**

1. Principal – Same number entered on page 2, C4.
2. Interest – Same number entered on page 2, C5.
3. Investment Income and Penalty Charges – The sum of the same numbers entered on page 2, C6 & 7.
4. Institutional Repayments of Bad Debts (Principal, Interest & Penalty Charges) – The sum of the same numbers entered on page 2, C8,9 & 10

**Item C. Federal Funds Received/Receivable for...**

Enter the same number entered on page 2, C1.

**Item D. Institutional Contribution for ...**

Enter the same number entered on page 2, C2.

**Item E. Projected Collections for...**

1. Principal – Enter the estimated amount of principal that is expected to be collected in the next academic year.
2. Interest - Enter the estimated amount of interest that is expected to be collected in the next academic year.
3. Investment Income and Penalty Charges - Enter the estimated amount of investment income and penalty charges that is expected to be collected in the next academic year.

**Item F. Projected Funds Available as of ...**

Sum of Items A, B, C, D and E.

**Item G. Actual Expenditures for ...**

1. Loans to Students – Enter the same number entered on page 2, D1.
2. Costs (Collection, Litigation, Credit Bureau and Other) – Sum of the amounts entered on page 2, D9-14.
3. Repayments to the Federal Government and Institution (Principal, Interest, and Other Income) - Sum of the amounts entered on page 2, D3-8.

**Item H. Projected Expenditures for...**



1. Loans to Students – Enter the estimated amount in loans given to students in the next academic year.
2. Costs (Collections, Litigation and Credit Bureau) – Enter the estimated amount spent on collections, litigations and credit bureaus in the next academic year.

**Item I. Projected Expenditures as of...**

Sum of Items G and H.

**Item J. Projected Cash Balance as of ...**

Difference between the totals in Item F and I.

**Item K. Less Projected Expenditures for...**

This amount is three times the amount of Item I.

**Item L. Excess Cash**

The difference between Items J and K.

**Item M. General Ledger Ending Cash Balance as of ...**

Enter General Ledger Ending Cash Balance for the academic year.

- If worksheet Line L or M on Page 4 of the report is *equal to or less than zero*, your school does not have excess cash at this time.
- If worksheet Lines L and M on Page 4 of the report are greater than zero, the smaller amount will be selected as your excess cash and moved to Page 5, Line J.3. That is your excess cash amount.

**IF YOUR SCHOOL DID NOT DRAW DOWN FUNDS FROM PMS**

- The lesser of Lines L and M on Page 4 of the report is used to determine the Federal share of excess cash. Except for Allopathic and Osteopathic Medicine reports, the amount is automatically calculated and placed on Page 5, Line J.3. **Return this amount to the Division of Financial Operations.**

**IF YOUR SCHOOL DID DRAW DOWN FUNDS FROM PMS**

An amount equal to the amount drawn down should be returned to PMS. Except for Allopathic and Osteopathic Medicine reports, this amount is automatically entered in item J.2 on Page 5 of the report. Do not forget to adjust your PMS quarterly report to reflect this return of the Federal cash. The Federal portion of any remaining excess cash is automatically calculated (except for Allopathic and Osteopathic Medicine) and entered in item J.3 of page 5.

Excess cash for all active schools is calculated according to the formula below:

- A. Excess Cash (smaller of work sheet Line L or M) \_\_\_\_\_
- B. Federal Award for this reporting period \_\_\_\_\_
- C. Institutional Contribution for this reporting period \_\_\_\_\_
- D. Amount of excess prior to Federal Award  $A - (B + C)$  \_\_\_\_\_
- E. Federal Share of excess cash  $(D * .90)$  \_\_\_\_\_

## 4.5 Check List / Questions (Report Page 5)

### ITEM J.1 *Default Rate*

- The default rate is automatically calculated from data reported on page 6. It should be noted that if two AORs are required, then the HPSL AOR must be completed first. If an LDS AOR is then completed, the default rates from the two programs are combined and a mathematical calculation is applied to the sum totals. IF the default rate for a school exceeds 5%, then the school is liable to be suspended.

*Note: Programs with both HPSL and LDS reports will not see the combined default rate until data from both reports have been entered.*

### ITEM J.2 *Excess Cash Returned to PMS (Applicable to ACTIVE programs only)*

- This amount should be the Fund receipts against the current award that were unused and returned to the Payment Management System (PMS) during this reporting period. Amounts reported in this item should be remitted directly to the PMS.

### ITEM J.3 *Excess Cash Returned to DFO (Applicable to ACTIVE programs only)*

- This amount should be any amounts of excess cash as determined by the school using the Excess Cash Work Sheet (Report Page 5) of the AOR. Amounts reported in this item should be remitted directly to the Division of Financial Operations.

### ITEM J.4 *Cash Due to Federal Government (Applicable to Closing Programs only)*

- For FCC closing programs this amount should be the Government's proportionate share of the cash balance on hand as of June 30.

### ITEM K.1 *Total Interest Past Due*

- This amount should be the calculation for total amounts of interest past due and not yet collected and includes all past due interest, not just the amounts that changed status during this reporting period.

### ITEM K.2.a *Period Of Last Biennial Audit*

- Check the appropriate boxes and enter the dates of your last biennial audit period.

### ITEM K.2.b *Date Audit Submitted To Regional Audit Agency*

- Enter the date your audit was submitted to the Regional Audit Agency. See Policy Memorandum No. 11 for further information.

**WORK SHEET #2a - VERSION 1**  
**CALCULATION OF PRINCIPAL, INTEREST, AND OTHER INCOME**  
**DUE FEDERAL GOVERNMENT FROM COLLECTIONS**  
**(Initial Recovery)**

**FOR \* FCC \* CLOSING \* PROGRAMS \* ONLY**

For use by those institutions newly in closing status and repaying the Federal Government for the first few times.

**BASE DATA NEEDED**

A. *(Cumulative from the beginning of the program):*

1. Federal Funds Received.....	\$ _____
2. Institutional Contributions Deposited.....	\$ _____
3. Transfers from Scholarship Fund.....	\$ _____
4. Transfers to Scholarship Fund.....	\$ _____
5. Interest Income Collected on Loans.....	\$ _____
6. Penalty Charges Collected on Loans.....	\$ _____
7. Investment Income.....	\$ _____
8. Institutional Repayment of Bad Debts, Interest.....	\$ _____
9. Institutional Repayment of Bad Debts, Penalty Charges.....	\$ _____
10. Collection Costs, Interest.....	\$ _____
11. Litigation Costs, Interest.....	\$ _____
12. Credit Bureau Fees.....	\$ _____
13. Other Costs.....	\$ _____
14. Total Other Income Previously Repaid to the Fed. Govt. (if any)*.....	\$ _____
15. Total Interest Previously Repaid to the Fed. Govt. (if any)*.....	\$ _____

\* For example, if associated with return of excess cash while in active status.

B. *(Current period data)*

1. Cash Balance End of Period Covered By This Report .....	\$ _____
--	----------

Using the BASE DATA items above:

Step 1: Calculate the Federal Government's percentage contributed to the Fund:

$$\text{Federal percentage (F\%)} = (A.1 + A.3 - A.4) / (A.1 + A.2 + A.3 - A.4)$$

Step 2: Calculate the total amount due the Federal Government:

$$\text{Total Amount Due Federal Government} = F\% \times B.1$$

Step 3: Calculate the portion of the Total Amount Due Federal Government which is Other Income:

$$\text{Other Income} = [F\% \times (A.6 + A.7 + A.9)] - A.14$$

Step 4: Calculate the portion of the Total Amount Due Federal Government which should be interest:

$$\text{Interest} = [F\% \times (A.5 + A.8 - A.10 - A.11 - A.12 - A.13)] - A.15$$

Step 5: Calculate the portion of the Total Amount Due Federal Government which should be principal:

$$\text{Principal} = \text{Total Amount due Federal Government} - \text{Interest} - \text{Other Income}$$

Note: *The Federal Government will always recover its proportionate share of any interest, penalty charges, and investment income collected (less its proportionate share of expenses) before any repayments are applied to principal. Once the initial interest amounts have been recovered, Work Sheet #2b, Version 2 that follows may be used to determine principal, interest, and other income repayments for each current period.*

**WORK SHEET #2b - VERSION 2**

**CALCULATION OF PRINCIPAL, INTEREST, AND OTHER INCOME  
DUE FEDERAL GOVERNMENT FROM COLLECTIONS**

**FOR \* FCC \* CLOSING \* PROGRAMS \* ONLY**

For use by those institutions that have been in closing status for a period of time while and have repaid the initial bulk of interest to the Federal Government.

**BASE DATA NEEDED**

A. *(Cumulative from the beginning of the program):*

1. Federal Funds Received.....	\$	_____
2. Institutional Contributions Deposited.....	\$	_____
3. Transfers from Scholarship Fund.....	\$	_____
4. Transfers to Scholarship Fund.....	\$	_____

B. *(Current period data):*

1. Loan Principal Collected.....	\$	_____
2. Interest Income Collected on Loans.....	\$	_____
3. Penalty Charges Collected on Loans.....	\$	_____
4. Investment Income.....	\$	_____
5. Institutional Repayments of Bad Debts, Principal.....	\$	_____
6. Institutional Repayments of Bad Debts, Interest.....	\$	_____
7. Institutional Repayments of Bad Debts, Penalty Charges.....	\$	_____
8. Collection Costs, Principal.....	\$	_____
9. Collection Costs, Interest.....	\$	_____
10. Litigation Costs, Principal.....	\$	_____
11. Litigation Costs, Interest.....	\$	_____
12. Credit Bureau Fees.....	\$	_____
13. Other Costs.....	\$	_____
14. Cash Balance End of Period Covered by this Report.....	\$	_____

Using the BASE DATA items above:

Step 1: Calculate the Federal Government's percentage contributed to the Fund:

$$\text{Federal percentage (F\%)} = (A.1 + A.3 - A.4) / (A.1 + A.2 + A.3 - A.4)$$

Step 2: Calculate the total amount due the Federal Government: Total Amount Due

Step 3: Calculate the portion of the Total Amount Due Federal Government which is other income:

$$\text{Other Income} = F\% \times (\text{B.3} + \text{B.4} + \text{B.7})$$

Step 4: Calculate the portion of the Total Amount Due Federal Government which should be interest:

$$\text{Interest} = F\% \times (\text{B.2} + \text{B.6} - \text{B.9} - \text{B.11} - \text{B.12} - \text{B.13})$$

Step 5: Calculate the portion of the Total Amount Due Federal Government which should be principal:

$$\text{Principal} = F\% \times (\text{B.1} + \text{B.5} - \text{B.8} - \text{B.10})$$

*Note: The results of Step 3, Step 4 and Step 5, when added together, should equal the result of Step 2.*

## 4.6 Borrower Accounts Worksheet (Report Page 6)

In completing this section, you must use the status of all borrower accounts as of the end of this reporting period — not just the accounts that changed status during this reporting period.

The total number of borrowers reported on Page 6 should never be lower than the number on the prior year's report.

Borrowers who have renegotiated their repayment schedules are to be included in the "current" category provided they are making their renegotiated payments on time.

Any borrower whose repayment becomes more than 60 days past due must be placed on a monthly repayment schedule and assessed a penalty charge.

A borrower in default who has made sporadic payments must remain in the default category.

Even though the borrower has received more than one loan, the borrower must be counted only once in Column 1. If a borrower has more than one loan, the borrower must be categorized according to the longest overdue loan.

Regardless of which category the borrower is placed in, the school must show the dollar amounts for each loan according to the actual status of the loan. Within the same loan, if there are payments overdue in different time frames, report that loan according to the longest overdue payment.

Schools should report the TOTAL OUTSTANDING LOAN BALANCE (as defined below) in default when State law permits them to enforce the acceleration clause in a BHPr-approved promissory note and demand for the entire balance has been made. If some of the borrower's

promissory notes contain an acceleration clause, and some do not, determine the past due under each type of promissory note separately and report the sum of those amounts as determined from the individual notes.

TOTAL OUTSTANDING LOAN BALANCE equals the sum of the borrower's original amounts of all loans (Column 2) minus any amounts that have been repaid (Column 3) and minus any amounts that have been cancelled for employment/professional practice (Column 4).

**Columns: Number Description of Required Information**

1. Number of Borrowers Under this program - The number of borrowers who received loans.
2. PRINCIPAL LOANED – The dollar amount of loan principal disbursed.
3. PRINCIPAL REPAYED – The dollar amount of loan principal repaid.
4. PRINCIPAL CANCELLED FOR EMPLOYMENT/PROFESSIONAL PRACTICE – The dollar amount of loan principal cancelled for employment

*Note: Applies to Nursing Set Aside Program Loans incurred prior to September 29, 1979; and for those borrowers whose health professions loans for the study of medicine, dentistry, osteopathy, or optometry were incurred prior to November 19, 1971. **Loan cancellation to borrowers in professional practice and nursing employment is no longer permitted.** The cumulative numbers remain as historical data of loan cancellations granted when they were permitted.*

5. PRINCIPAL CANCELLED FOR DEATH/DISABILITY - The dollar amount of loan principal cancelled due to the death or permanent and total disability of the borrower.
6. PRINCIPAL DELINQUENT - The dollar amount of loan principal that is in default. Include only the amount of those payments that are in default.
7. PRINCIPAL UNCOLLECTIBLE NOT PAST DUE - The dollar amount of loan principal not past due which the school has determined to be uncollectible after exercising due diligence in the collection of loans. DO NOT duplicate any of these amounts in column 8.
8. PRINCIPAL OUTSTANDING BUT NOT DUE - The dollar amount of loan principal outstanding but not yet due according to the original or renegotiated repayment schedule. DO NOT duplicate any of these amounts in column 7.
9. PRINCIPAL WRITTEN OFF - The dollar amount of loan principal which has been written off pursuant to receiving written authorization, plus the dollar amount reflected in institutional write-off of loans under \$3000.00 with due



diligence, minus any subsequent collections received from a borrower whose loan was approved for write off.

10. CAPITALIZED INTEREST — Report capitalized interest for any borrower defaulting on the primary care loan service obligation. This figure represents the recalculation of the interest on the loan back to date of disbursement and should not be decreased by amounts paid against the interest capitalized. (This figure should also be included in columns 3 through 8 as appropriate.) Interest that is capitalized is considered loan principal; therefore, edit checks will verify that the sum of column 2 and 10 equal the sum of columns 3 through 9

Report the following information in the columns (described on previous page) as they apply:

**Rows: Description of Required Information**

- 1.A Report the information pertaining to borrowers who have fully retired their loans through cash repayments and/or through cancellation for eligible employment/professional practice.
- 1.B Report the information pertaining to loans that have been fully retired due to death of the borrower.
- 1.C Report the information pertaining to borrowers whose loans have been fully retired due to total disability.
- 1.D Report the information pertaining to borrowers who have fully retired their loans through discharge in bankruptcy and have not received write-off approval.
- 1.E Report the information pertaining to borrowers whose loans have been fully retired due to DHHS approved write-off.
- 1.F Report the information pertaining to borrowers whose loans have been fully retired in accordance with P.L. 100-607. A school should remove from its default category loans that become uncollectible before August 1, 1985 for HPSL schools, and loans that become uncollectible before January 1, 1983 for NSL schools. These loans are to be included in the fully retired category when a school calculates its default rate.
- 2.A Report the information pertaining to borrowers who are currently in student status working toward the degree for which they obtained their loans.
- 2.B Report the information pertaining to borrowers who are currently in the grace period due to termination or completion of the course of study for which they obtained their loans.
- 2.C Report the information pertaining to borrowers who are currently in eligible deferment periods as specified on applicable HPSL and NSL Promissory Notes.
- 2.D Report the information pertaining to borrowers who are currently engaged in employment which qualifies them for cancellation, who have filed a Request for Postponement of Installment Payment, and who are not past due on any payment.
- 2.E Report the information pertaining to borrowers who are making payments in accordance with their repayment schedules.
- 2.F Report the information pertaining to borrowers who have installments past due for up to 119 days.

**Rows**   **Description of Required Information**

- 3.A    Report the information pertaining to borrowers who are currently making payments under a wage-earner's agreement (Chapter 13 proceedings).
  
- 4.A    Report the information pertaining to borrowers who are in default in their repayments for 120 days or over.
  
- 5.A    Report the information pertaining to borrowers who are currently in Forbearance. See the Student Financial Aid Guidelines, October 1980, Section 116.2 (HPSL) or Section 216.2 (NSL) for more information.
  
- Total    Summarize the information on ALL ACCOUNTS of ALL BORROWERS who have ever received loan Funds through the HPSL or NSL programs.

## 4.7 SDSPR Form

SDSPRs must have data entered before they can be submitted. If no scholarship money was awarded, click on the checkbox to indicate zero disbursements.

### **ITEM 10.h. *Total Federal Funds Authorized for this Funding Period***

- This amount is automatically inputted based on Notice of Award.

### **ITEM 10.a. *Total Amount of 10.h Disbursed***

- Enter the total amount of money drawn down from PMS and disbursed to students for this funding period

### **ITEM 10.i. *Unused Balance of Federal Funds***

- Line 10.h. minus Line 10a. This amount is automatically calculated by the WRS.

### ***Zero Disbursement***

- Please check box if none of the amount indicated in Line 10.a. was disbursed.

### **ITEM 12.a .to 12.f. *Number of Students Receiving Awards***

Enter the number of students receiving awards during this reporting period by race and ethnicity using the definitions from Section 4.2, Item 4 of AOR Instructions above. Enter the total number of students receiving awards that includes all students who have received awards for this program during this reporting period. (Note: Each race must be categorized into Hispanic/Latino and Non-Hispanic/Non-Latino ethnicities.)

- All Hispanic/Latino are Underrepresented Minorities (URMs)
- Only American Indian or Alaska Native, Asian underrepresented, Black or African American, and Native Hawaiian or Other Pacific Islander, Non-Hispanic/Non-Latino will be considered URMs
- Count each student once

See *Table 1* below for an example

	<b>12A. NUMBER OF STUDENTS RECEIVING AWARDS FOR PROGRAM</b>	
<b>Race/Ethnicity</b>	<b>Hispanic/Latino</b>	<b>Non-Hispanic/Non-Latino</b>
<b>A. American Indian or Alaska Native</b>	URM	URM
<b>B. Asian – All (including under represented)</b>	URM	
<b>B. 1 Asian – under represented (see clarification)</b>	URM	URM
<b>C. Black or African American</b>	URM	URM
<b>D. Native Hawaiian or Other Pacific Islander</b>	URM	URM
<b>E. More than one race</b>	URM	
<b>F. White</b>	URM	
<b>12a. TOTALS</b>	URM	

	<b>13. NUMBER OF SDS RECIPIENTS THAT GRADUATED</b>	
<b>Race/Ethnicity</b>	<b>Hispanic/Latino</b>	<b>Non-Hispanic/Non-Latino</b>
<b>A. American Indian or Alaska Native</b>	URM	URM
<b>B. Asian – All (including under represented)</b>	URM	
<b>B. 1 Asian – under represented (see clarification)</b>	URM	URM
<b>C. Black or African American</b>	URM	URM
<b>D. Native Hawaiian or Other Pacific Islander</b>	URM	URM
<b>E. More than one race</b>	URM	
<b>F. White</b>	URM	
<b>12a. TOTALS</b>	URM	

Table 1

Definition for Hispanic/Latino and Non-Hispanic/Non-Latino:

Hispanic/Latino: A person of Mexican, Puerto Rico, Cuban, Central or South American or other Spanish culture or origin, regardless of race.

Non-Hispanic/Non-Latino: A person not having origins of Mexican, Puerto Rico, Cuban, Central or South American or other Spanish culture or origin, regardless of race.

### **ITEM 13 *Number of SDS Recipients that Graduated***

Of the number of students entered by race/ethnicity who have received awards, enter the number of students who have graduated during the reporting period for each race and ethnicity. Enter the total number of students receiving awards that graduated during this reporting period. (Note: Each race must be categorized into Hispanic/Latino and Non-Hispanic/Non-Latino ethnicities.)

## **4.8 Financial Status Report (FSR) Submission**

Institutions receiving Scholarship for Disadvantaged Students Program funds are now required to submit a paper copy of the Office of Management and Budget's "Financial Status Report (FSR)" (SF-269A), to HRSA'S Office of Federal Assistance Management, Division of Grants Management Operations. This report can be downloaded from the Office of Management and Budget's web site: [http://www.whitehouse.gov/omb/grants/grants\\_forms.html](http://www.whitehouse.gov/omb/grants/grants_forms.html)

Address for mailing the Financial Status Report (FSR) 269a:  
HRSA  
Division of Grants Management Operations  
5600 Fishers Lane  
Room 11A-16  
Rockville, MD 20857-0001

Questions regarding the FSR should be directed to the Grants Management Specialist noted on your Notice of Grant Award.

# 5 Submitting AOR/SDSPR Reports

This section provides instructions for submitting your AOR/SDSPR reports to HRSA.

The AOR/SDSPR report can be submitted in two ways. The first method, which is recommended, streamlines the submission process.

## 1<sup>ST</sup> Method:

- 1) To submit a report simply complete the report and select “**Save & Continue**” or the “**Next**” button while on the last page of the report. The report will automatically save and the WRS will display a list of reports that need to be completed in conjunction with the current report (if applicable). If all reports are completed select “**Submit Report(s).**”
- 2) See step 2 below and continue from there.

## 2<sup>nd</sup> Method:

- 1) When your report is complete and ready for submission, save the report. Return to the **Main Menu**. Select “**Review/Submit Final Report.**”
- 2) The **Edit Report** will be displayed. Review this information carefully to see if there are any unresolved issues with your report.
  - Reports cannot be submitted until the following errors have been corrected:
    - There are negative numbers in the cumulative fields on pages 2 or 3, with the exception of Other Costs (page 2, line d.14). The numbers must be corrected before submission.
    - Edit 2.2, 2.3, or 2.11 appears on the edit report. Submission can be completed once the necessary changes have been made to clear the edits from the report.
    - Edit 2.2: Current funds received exceed current funds awarded.  
2.3: Cumulative Institutional deposit is less than the required 1/9th contribution.  
2.11: Ending cash balance cannot be negative.
- 3) If you need to return to your report, click the “**Go Back**” button to return to the Main Menu. Otherwise, click “**Continue.**”
- 4) The **Review Final Report** page will be displayed.



**Figure 7: Review Final Report**

**NOTE: If there is text in red at the bottom of the page this indicates that the system found incomplete reports and they cannot be submitted.**

The **Review Final Report** page allows you the chance to select report pages for one final review.

You can print these reports for your records before submission. You may wish to review the printed report for errors at this stage and present the report to your institution's Authorizing Official. If the WRS detects incomplete reports you will be notified on this page and you will not be allowed to continue to submit the reports. If WRS detects that all reports are complete you will see a button at the bottom of the page that you can click on to continue with the submission process. After clicking on the button at the bottom of the page you will be presented with the "**Certification Form**". Before you are allowed to complete the submission of the report(s) you must complete the certification form by filling out all the required fields. Failure to certify may jeopardize the potential for future awards.

## 5.1 Receiving Authorization and Completing Submission

A line has been added to the Certification Page for schools to agree to the Assurances and Public Policy requirements. Please see Student Financial Aid Guidelines for more information. After reviewing your report and correcting any inaccuracies, you must have your institution's Authorizing Official certify that the report is accurate. The Certification Page requires the name, title, phone number, and email address of the staff member(s) completing the AOR/SDSPR report(s) and the Authorizing Official submitting the report(s). The Authorizing Official must confirm that he/she has reviewed this report(s) and certify its accuracy. The Certification Page may be printed for your files before submission. After receiving authorization, click on the **Submit** button at the bottom of the page. You will be transferred to a page confirming that your report(s) has been submitted. Failure to complete this page will result in your AOR being categorized as an incomplete submission.



## 5.2 Notice of Receipt and Verification

Upon receipt of a program's submission, the WRS will generate a notification to each person listed on the certification page in the form of an e-mail. In order for the WRS to consider a submission complete, the Authorizing Official must respond to the notification by using the AO Approval System to approve, disapprove, or disapprove and request the report to be reopened for editing. The Authorizing Official will receive a link to access the AO Approval System in the e-mail notification that is generated after a report has been submitted. The AO Approval System will allow the Authorizing Official to review the report and/or print out the report before approving it.

***Please Note:** The link to the AO Approval System is unique to each institution and is only meant for the Authorizing Official. Please keep the link safe and treat it as you would a user ID and password.*

The AO Approval System can only be used for reports that are pending approval. To review all other reports please use the Web Reporting System (WRS) at <http://wrs.hrsa.gov>. Reports can also be approved, disapproved, or reopened by the Authorizing Official by notifying WRS administrative staff at [wrssupport@hrsa.gov](mailto:wrssupport@hrsa.gov). The status of a submitted/resubmitted report can only be changed with the request of the Authorizing Official.

## 5.3 Approval E-mail

Once a submitted/resubmitted report has been approved by the Authorizing Official, the staff listed on the certification page of the report will receive an e-mail notification. The e-mail notifies those responsible for the AOR/SDSPR report about an update in the report status. No additional action is required in regard to this e-mail.

If a report is reopened by the Authorizing Official an e-mail is sent to those listed on the certification page. The person responsible for completing the report will need to log in to the WRS at <http://wrs.hrsa.gov> and make any corrections and resubmit the AOR/SDSPR report. The Authorizing Official will have to approve the submission by using the AO Approval System.

## 5.4 Reviewing a Submitted Report

If you log in to the WRS site after submitting your report(s), you will be allowed to print or review the report pages, but you will not be able to enter or edit the forms. If your institution has more than one report the **Select Program** page will show the status of the reports and only allow you to perform edits to reports that have not yet been submitted.

## 5.5 Editing a Submitted Report

To revise your institution's report, you must receive prior approval from your Authorizing Official. The Authorizing Official must contact the WRS administrative staff at [wrssupport@hrsa.gov](mailto:wrssupport@hrsa.gov) to authorize editing of the submitted report. A report can also be reopened by the Authorizing Official during the approval process by using the AO Approval System. After you have received the

authorization for performing revisions to your report(s), log back in to the WRS and proceed to enter or edit data as you did for the first submission.

# **APPENDIX A:**

CONTACT INFORMATION FOR WRS AND HRSA STAFF



# **APPENDIX B:**

## MAILING INFORMATION

# Mailing Information

## Mail Checks to:

### Type of Payment

### Make checks payable to

### Mail checks to

Excess cash and collections  
from closing schools

Public Health Service, HRSA  
  
Include the Program OPSID#  
on the check

Division of Financial  
Operations  
Collection Officer  
Room 16A-12, Parklawn  
Building  
5600 Fisher Lane  
Rockville, MD 20857

Overdrawn funds  
(unrequested funds)

DHHS  
  
include the PMS account  
number (PAN) on the check

Division of Payment  
Management  
P.O. Box 6021 Rockville, MD  
20852

Procedures for remitting funds to the Federal Government are provided in Section 4.4, Calculation of Excess Cash Worksheet of this WRS AOR/SDSPR User Guide.

## Mail Requests for Final Liability Statements to:

Division of Financial Operations  
Debt Management Branch  
Student Assistance Section  
Room 8B-45, Parklawn Building  
5600 Fishers Lane  
Rockville, MD 20857

## Mail Audit Reports to:

Federal Audit Clearinghouse  
Bureau of the Census  
1201 East 10th Street  
Jeffersonville, IN 47132

## Mail PMS Checks to:

Division of Payment Management  
P.O. Box 6021  
Rockville, MD 20857

**Office of Federal Assistance Management, Division of Grants Management Operations  
Address for mailing the Financial Status Report (FSR) 269a:**

HRSA  
Division of Grants Management Operations  
5600 Fishers Lane  
Room 11A-16  
Rockville, MD 20857-0001