



Financial Aid: Policy and Procedures Manual

2016-2017

Last updated by Misty Brindle on
5/27/2016

Table of Contents

| | |
|---|----|
| Sanford School of Public Policy Financial Aid Office | 4 |
| SSPP Financial Aid Mission Statement..... | 4 |
| SECTION 1: MANUAL INTRODUCTION..... | 5 |
| Financial Aid Policies and Procedures | 5 |
| Federal Financial Aid Updates..... | 5 |
| SECTION 2: ADMINISTRATIVE ORGANIZATION OF THE FINANCIAL AID OFFICE | 6 |
| Division of Responsibility between Financial Aid and Fiscal Offices | 6 |
| Financial Aid Office Operations..... | 6 |
| Records Management..... | 6 |
| 2017 Financial Aid Calendar..... | 7 |
| SECTION 3: FINANCIAL AID PROGRAMS | 7 |
| Federal Resources | 8 |
| Institutional Resources | 8 |
| Federal Resource Requirements | 8 |
| Institutional Resource Requirements..... | 8 |
| SECTION 4: STUDENT LOAN POLICIES AND PROCEDURES..... | 9 |
| SECTION 5: STUDENT CONSUMER INFORMATION..... | 9 |
| Rights and Responsibilities of Students on Aid | 9 |
| SECTION 6: APPLICATIONS AND FORMS..... | 10 |
| Application Process | 10 |
| Application Review Procedure | 11 |
| SSPP Forms..... | 11 |
| Deadlines | 12 |
| Document Assignment, Collection, and Tracking..... | 12 |
| Pre-Award Appeals | 12 |
| SECTION 7: FILE REVIEW | 13 |
| Verification..... | 13 |
| Verification Exclusions | 13 |
| Data Elements to be Verified and Required Documentation | 13 |
| Database Matches, Reject Codes, & C-Codes Clearance | 14 |
| Review of Subsequent ISIR Transactions | 16 |
| SECTION 8: STUDENT BUDGETS | 16 |

| | |
|---|----|
| Budget Components | 16 |
| Budget Amounts..... | 17 |
| Special Budget Considerations..... | 17 |
| Budget Waivers | 18 |
| SECTION 9: AWARDING AND PACKAGING FINANCIAL AID | 18 |
| Packaging Philosophies..... | 18 |
| Package Construction | 18 |
| Packaging Other Educational Resources..... | 19 |
| Summer Awards | 19 |
| Award Package Notification | 19 |
| Packaging Appeals..... | 20 |
| Award Package Revisions..... | 20 |
| Overawards & Overpayments..... | 20 |
| SECTION 10: PROFESSIONAL JUDGMENT | 21 |
| SECTION 11: DISBURSEMENTS | 21 |
| SECTION 12: SATISFACTORY ACADEMIC PROGRESS | 21 |
| SECTION 13: RETURN OF TITLE IV FUNDS..... | 23 |
| Process Overview & Applicability..... | 23 |
| Withdrawal Date | 24 |
| Formula Calculation..... | 25 |
| Post-Withdrawal Disbursements..... | 25 |
| Returning Unearned Funds..... | 26 |
| SECTION 14: INSTITUTIONAL REFUNDS..... | 26 |
| SECTION 15: TITLE IV FRAUD..... | 27 |
| Student Fraud..... | 27 |
| Institutional and Third-Party Fraud | 27 |
| SECTION 16: AUDITS..... | 27 |
| Appendix:..... | 28 |

Sanford School of Public Policy Financial Aid Office

Master of Public Policy & International Development of Policy

Misty Brindle
Director of Financial Aid
Master of Public Policy Program, Sanford School of Public Policy
Rubenstein Hall, Rm 170
201 Science Drive
Box 90243
Durham, NC 27708-0243
(919) 613-9204
(919) 684-3702
misty.brindle@duke.edu
<http://graduate.sanford.duke.edu/mpp/admissions>
Office hours: Monday-Friday, 8AM-4PM

*Financial Aid for Sanford's PhD in Public Policy is handled by the Duke Graduate School. Please refer to their manual. http://gradschool.duke.edu/financial_support/contact.php

SSPP Financial Aid Mission Statement

The Sanford School's Master of Public Policy Financial Aid Office strives to provide its students with excellent individualized customer service. We provide our domestic students with financial assistance in the form of scholarships, assistantships, federal loans and/or private loans. International students, who are not fully funded by sponsors, will receive a program scholarship. They may also seek private loans if they have a U.S. cosigner or through options in their home countries.

SECTION 1: MANUAL INTRODUCTION

Financial Aid Policies and Procedures

The Sanford School Director of Financial Aid is responsible for developing policies and procedures related to financial aid for the school. These policies and procedures—as relates to the Master of Public Policy (MPP) program—are made in conjunction with that program’s Director of Graduate Studies, Assistant Dean of Academic Programs and Student Affairs, the Director of Admissions and Scholarships as well as the Director of Student Services and Program Development. All decisions regarding polices must be approved the DGS and the Assistant Dean.

The Sanford Director of Financial Aid works with the MPP Director of Admissions and Scholarships in administrating policies related to merit scholarships and assistantships awarded in the MPP Letter of Admission. Merit scholarship inquiries should be made to the Director of Admissions and Scholarships. Questions regarding assistantships can be made to either the Director of Financial Aid or to the Director of Student Services and Program Development, who works with faculty and students to create and place students in assistantships.

Commented [s1]: MIDP?

Updated policies and procedures for all programs are communicated through the Financial Aid sections of that programs website. New policies or changes will also be communicated through emails made directly to students, faculty, and/or staff.

Federal Financial Aid Updates

The SSPP Director of Financial Aid keeps abreast of federal regulations through a variety of resources. This includes the Federal Student Financial Aid Handbook, Dear Colleague Letters, NASFAA newsletters, the IFAP website, webinars, and monthly Graduate and Professional meetings led by the Assistant Vice Provost and Director, Financial Aid.

The following operating policies are designed to assure that the Financial Aid Office is effective in carrying out its responsibilities:

1. All students seeking federal student loans must submit the FAFSA to Duke annually (School Code 002920).
2. All students seeking federal student loans must submit a Financial Aid Application to the SSPP Financial Aid Office annually.
3. All financial assistance available to SSPP students shall be administered through the MPP and MIDP Financial Aid Offices.
4. The selection of students to receive certain designated scholarships shall be submitted by the responsible staff member to the Financial Aid Office for processing. Outside student resources received by other offices (such as the Bursar’s Office) must be reported to the Financial Aid Office via email or through the Financial Aid Application Form.
5. The Financial Aid Office shall maintain adequate records to ensure proper administration of aid funds. This includes ensuring that aid given is not in excess of need and/or the cost of attendance and that aggregate awards do not exceed total expenditures of funds under each program.
6. Selection of students to receive financial aid will be made without regard to age, sex, race, color, religion, sexual orientation, national origin, disability or marital status.
7. Priority processing of returning student aid is given to students whose Financial Aid Application and FAFSA are complete by May 1st.

SECTION 2: ADMINISTRATIVE ORGANIZATION OF THE FINANCIAL AID OFFICE

Division of Responsibility between Financial Aid and Fiscal Offices

There exists a clear and separate division of responsibility for the administration of financial aid programs which are divided between the FAO, Student Loan Office and the Bursar/Cashier's Office. In order to maintain this division, each office is accountable for the following responsibilities.

The SSPP Financial Aid Office is responsible for the following:

- Collect supporting documentation for the determination of aid eligibility
- Determine student eligibility for financial assistance
- Award federal aid in compliance with laws, regulations, and policies
- Notify students of aid eligibility (loans and scholarships/grants)
- Assist students with creating personal student budgets, administration of Sanford Scholarships, federal checklist completion, FAFSA verification
- Assist students with sponsored/external scholarship payments, private loan certification, bursar disbursements
- Compile and complete financial aid institutional, state and federal reports
- Prepare a master list of scholarships awarded for the current year and update as appropriate
- Fund Management (Scholarships and Endowments)

The Duke Bursar's office is responsible for the following:

- Maintain and disburse accurate bills
- Collect payments for student accounts
- Disburse funds to students
- Report outside scholarships received to the FAO

The Duke Student Loan Office is responsible for the following:

- Process school loan certification
- Process Electronic Funds Transfers to the student accounts
- Administer the Direct Loan Program

Financial Aid Office Operations

The MPP Financial Aid Office is open and available to service students from 8:00am-4:00 pm Monday through Friday or via email at any time. General financial aid forms are available within the Financial Aid section of the Master of Public Policy website: <http://graduate.sanford.duke.edu/mpp/scholarships-and-financial-aid>. Emails are responded to within 24 hours. Every attempt is made to return calls the same business day, and no later than the next business day.

Students are not required to make appointments to meet with Financial Aid Staff. However, students wishing to make an appointment can contact the Financial Aid Office directly by phone: 919.613.9204 or email: misty.brindle@duke.edu. The job descriptions and contact information for each position in the program can be found on the MPP website and on the Sanford School Personnel Directory.

Commented [s2]: MIDP

The personnel policies of staff members are outlined in the Duke University Staff Handbook, which is distributed to employees. Performance evaluations are conducted on an annual basis. The PEP evaluation form provided by Department of Human Resources is used for FAO employees. Forms must be completed by immediate supervisors.

Records Management

All records and conversations between an aid applicant, his/her family and the staff of the FAO are confidential and entitled to the protection ordinarily given a counseling relationship. The SSPP assures the confidentiality of student educational records in accordance with institutional, state, and federal

laws including the Family Educational Rights and Privacy Act (FERPA) of 1974. For more information regarding FERPA, including what is and is not considered directory information, please visit: <http://www.registrar.duke.edu/registrar/studentpages/student/ferpa.html>.

The FAO maintains a master record for each student receiving financial assistance. All financial aid folders are retained for three years after submission of the FISAP report in the Financial Aid Office. Any records involved in any claim or expenditure which has been questioned by federal audit are retained until the question is resolved. The FAO keeps inactive records of graduated students for three years. After this time period Financial Aid Office records are shredded.

2017 Financial Aid Calendar

JANUARY

- 1 - New FAFSA available at www.fafsa.ed.gov
- 2 - Spring term financial aid disbursement
- 11- Spring classes begin
- 25- Last day of Spring Drop/Add

FEBRUARY

Tuition finalized for 2017-2018

Returning student scholarships adjusted

MARCH

- 2017-18 SSPP cost of attendance budget finalized, posted online
- 2017-18 SSPP budgets and set up sent to SISS office to be added to PeopleSoft
- 10 – Spring Break begins at 7pm
- 20 – Spring classes resume

APRIL

- 5 – MPP Open House for admitted students, financial aid questions answered for incoming students
- 19 – Graduate classes end
- 15 – Admission Deadline

MAY

- 1 – FAFSA Deadline for all students
- 6 – Final Exams end
- 12 - Commencement begins

AUGUST

- 22 – New student orientation week/Fall financial aid disbursement
- 28 – Fall classes begin

SEPTEMBER

- 8 - Last day of Fall Drop/Add

OCTOBER

- 6 – Fall break begins at 7pm
- 11 – Fall classes resume

NOVEMBER

- 21 – Thanksgiving break

DECEMBER

- 13- Final exams end

SECTION 3: FINANCIAL AID PROGRAMS

Financial aid programs which are available to students attending the Sanford School of Public Policy are listed on the Financial Aid sections of the MPP and MIDP websites. The SSPP Financial Aid Office awards federal and institutional resources listed below based on the eligibility criteria outlined.

Commented [s3]: When will tuitions be finalized? Do we know the amounts?

Federal Resources

Federal Unsubsidized Stafford Loan
Federal Workstudy
Federal Grad PLUS Loan
VA GI Bill/Yellow Ribbon Program

Institutional Resources

MPP/MIDP Program Scholarships
MPP/MIDP Student Assistantships
MPP University Scholar; Endowment Awards; Stubbing Student Awards
Yellow Ribbon Match Award

Federal Resource Requirements

To be eligible to receive Federal assistance, a student must:

1. Be enrolled at least half-time (6 credit hours Fall, 6 credit hours Spring)
2. Be a U.S. citizen, U.S. national, or U.S. permanent resident or reside in the United States for other than a temporary purpose (supportive documentation may be required to verify residency or citizenship status).
3. Maintain satisfactory academic progress (3.0 GPA) in their course of study.
4. Not be in default of any loan or owe a repayment on a Federal Pell Grant, FSEOG, or State Grant.
5. Demonstrate financial need.

Federal aid is awarded in accordance with the Department of Education guidelines. Federal loans are awarded after any grants or scholarships (including outside scholarships which must be reported on the Financial Aid Application), and are applied toward any unmet cost of attendance.

Unsubsidized Stafford (\$20,500) is awarded to those who submitted their Financial Aid Form by May 31. Amount is determined by total students who qualify.

Institutional Resource Requirements

All institutional scholarships are awarded prior to the student's first semester and carried throughout the student's SSPP career. These scholarships must be applied toward tuition.

MPP Awards:

The University Scholars program is a highly selective scholarship. All applicants to the MPP Program are considered based on their Admissions application. The top applicant from the MPP Program is selected for nomination. The Director of Graduate Studies, the Assistant Dean of Academic Programs and Student Affairs and the Director of Admissions and Scholarships will approve the recipient who will represent the Sanford School of Public Policy.

Endowment funds are assigned to MPP students based on data applicants included on their Sanford Admission Application. Students are matched to endowment awards based on their interests and areas of previous study. Students are selected for awarding from endowments by the Director of Admissions and Scholarships and the Director of Financial Aid. The awards are approved by The Director of Graduate Studies, the Assistant Dean of Academic Programs and Student Affairs.

Stubbing Awards are issued to MPP students who perform academically and who participate in and improve the Sanford community through their participation. They are chosen by a committee of faculty and staff members.

The Master of Public Policy does not issue any scholarship awards based on need. All scholarships are merit-based.

Commented [s4]: MIDP Specific Awards?

Commented [s5]: Is the same true for MIDP? If not, what is their criteria & process for awarding?

The Sanford School offers 20 spaces to veterans who qualify for the VA's Yellow Ribbon Program. This program requires a match of funds from the participating institution. The Sanford School has pledged to match VA awards up to \$14,000 per year per space. For more information on veteran's programs please see the Duke VA information website: <http://registrar.duke.edu/special-registrations/veterans>.

SECTION 4: STUDENT LOAN POLICIES AND PROCEDURES

Student loan policies and procedures are created and maintained by Duke's Student Loan office. For more information, please visit their website: <http://finaid.duke.edu/loans>.

SECTION 5: STUDENT CONSUMER INFORMATION

The staff in the Financial Aid Office recognizes that in order to understand the complications of Financial Aid, accurate and timely dissemination of information to consumers is vital. Several policies have been implemented to ensure appropriate dissemination is achieved. The consumer information policies are developed and maintained by the main Duke campus. For more information, please contact the Undergraduate Financial Aid office: <http://finaid.duke.edu>.

Rights and Responsibilities of Students on Aid

As a recipient of financial aid, there are certain rights and responsibilities of which students should be aware. These rights and responsibilities of students on financial aid are listed in the following documents:

1. The SSPP Bulletin; Program Student Handbook
2. The Financial Aid Award Notification
3. The Master Promissory Note

Students have the right to know the:

1. Financial aid programs available at the SSPP
2. Application process which must be followed to be considered for aid
3. Criteria used to select recipients and calculate need
4. SSPP refund and repayment policy
5. FAO policies surrounding satisfactory academic progress
6. Special facilities and services available for the handicapped

Students are responsible for:

1. Completing all forms accurately and by published deadlines
2. Submitting information requested by FAO staff in a timely manner
3. Keeping the FAO informed of any changes in address, name, marital status, financial situation, or any change in student status
4. Reporting to the FAO any additional assistance from non-University sources such as scholarships, loans, fellowships, and educational benefits
5. Notifying the FAO of a change in enrollment status (adding a dual degree program)
6. Maintaining satisfactory academic progress (3.0)
7. Re-applying for aid each year

A description of the fees for attendance is published for each program on the SSPP website. An estimated budget for the total cost of attendance is also published on the SSPP website. A link to this webpage is in the Financial Aid award letter issued to students with their offer of admission.

Refunds

In the event of death, refund of full tuition and fees for the term will be granted. In all other cases of withdrawal from the university, students may have tuition refunded according to the following schedule:

- withdrawal before classes begin: full refund, including fees*
- withdrawal during the first or second week of classes: 80% refund
- withdrawal during the third, fourth, or fifth week of classes: 60% refund
- withdrawal during the sixth week of classes: 20% refund
- withdrawal after the sixth week: no refund

*Fees will not be refunded after the start of the term.

Commented [s6]: Same for MIDP?

If a student has to drop a course a special fee course (music, golf, etc.) or drops a paid audit during the first two weeks of the drop/add period, a full refund may be granted with the approval of the dean. The student health fee will not be refunded. Student loans must also be returned according to a government required formula (See SECTION 13: Return of Title IV funds for information on returning loan funds). Once a withdrawal or leave of absence form is sent to the aid officer, they will notify you about the amount of funds you will need to return. Sanford fellowships are not prorated and are returned to Sanford in full.

Commented [s7]: Should they be prorated too? Other schools prorate...

A description of the academic programs offered at the SSPP is listed in our Bulletin and is posted on the SSPP website. Additional information may be obtained from individual departments (MPP, MIDP). Only information published, provided, or referred by Financial Aid Office staff is valid. Any additional information should be verified with staff from the Financial Aid Office.

Student retention and completion data is gathered by the Registrar's Office.

The Student Disability Access Office provides information and assistance to students with disabilities who are in need of special accommodations. That office should be contacted for additional information.

Information concerning accreditation is listed in the SSPP Bulletin. Additional information may be obtained from the Office of the Dean.

SECTION 6: APPLICATIONS AND FORMS

Application Process

As federal loans are the main resource offered to domestic and permanent resident SSPP students, the FAFSA is the primary application requirement for financial aid and the federal EFC is the basis for determining financial need. Students should submit their FAFSA to Duke's code 002920.

Students are encouraged to file 2015 federal tax returns at least two weeks prior to completing the FAFSA so that IRS information may be imported into the FAFSA via IRS data retrieval.

A SSPP Financial Aid Application is also required annually for all students. This form assists us in collecting additional information regarding the student, including outside resources received and any special circumstances. You will also need to fill out this form if you plan to use private loans. Form links and deadlines are posted on the Financial Aid section of the MPP section of the SSPP website. In addition, deadlines are communicated to new cohort students by email and through the Student Handbook received during Orientation Week.

Returning students receive the form via email along with their second year Scholarship Award Letter. Typically, they are sent out in late March. The email includes a returning student financial aid timeline with a link to the Sanford website where they can find the COA and other financial aid information.

The FAFSA and application survey appear on the student's ACES account as a To Do item until it has been completed.

Additional documents may be requested to complete processing of the aid request. Notifications of these additional required documents are sent to students by email. Below is a list of documents which may be required.

1. Federal Tax Transcript – students selected for federal verification and not able to use the IRS data retrieval must request an official federal tax transcript from the IRS.
2. Verification Worksheet – a document which collects updated information submitted on the FAFSA. Students who are selected for verification must submit a federal verification worksheet by the **last day of classes** of the final semester of enrollment in the academic year. Dependent students must obtain a parent's signature. Independent students must obtain a spouse's signature, if applicable. An Aid Administrator may request a Verification Worksheet to resolve conflicting documentation.
3. Citizenship/Residency Verification - a document which collects proof that the student has citizenship status eligible for financial aid purposes. For eligible noncitizens, Document Verification Request Form G-845 will be required, along with copies of the student's Department of Homeland Security documentation.
4. Income Certification Statement – a document which verifies that a student did not file a tax return.
5. Certification of Separation – a document which verifies that a married student is separated and living separately from his/her spouse.
6. Employment Verification - a letter which verifies a student, spouse, or parent's change in employment status. This letter must be written by the current or former employer, whichever is appropriate.

Application Review Procedure

Financial Aid Applications are reviewed by the Director of Financial Aid who updates the student's checklist in PeopleSoft to reflect receipt of the application and notes any outside awards or special circumstances.

The Director of Financial Aid runs a query in AY for students within a specified program and admit term who have been accepted. These are matched with FAFSAs through the Duke PeopleSoft system and awards are posted for students who have both items in their file.

The Director of Financial Aid runs a query for students who are selected for verification. If students are missing information or if additional information is needed due to Federal Verification selection, the student is emailed notifying him/her of the missing documents, links to forms (if applicable), and where/how to send the information. If the student has made an error on the FAFSA, the student is instructed to go to <http://www.fafsa.ed.gov> and correct this information.

If student has submitted FAFSA and we did not receive it in our system, the FAFSA record (ISIR) is requested through the Department of Education via FAA Access.

SSPP Forms

As previously mentioned, the SSPP Financial Aid Application is required for newly admitted students as part of the need-based review process. This form assists with determining additional outside resources and benefits a student may receive as well as the types of federal aid the student is interested in.

This form is issued and collected annually. Updates are collected via email as needed. A hardcopy of the form is filed in the Financial Aid Office along with all other financial aid documentation collected by the Director of Financial Aid.

The SSPP Financial Aid Application form is available on our website at: <http://graduate.sanford.duke.edu/mpp>, is emailed to students annually, and can be found in your student handbook.

Deadlines

All students are asked to complete their FAFSA by no later than May 1 to speed financial aid processing. Deadlines are posted on the Financial Aid Calendar above.

The 2016-17 FAFSA is available until June 30, 2017. However, FAFSA information and any additional documents required for federal verification or to resolve FAFSA comment codes must be received to the school by the **last day of classes** in your final semester (or by June 1st for Summer 2016) in order to process the loan. The loan will not disburse until all documentation is received.

Document Assignment, Collection, and Tracking

Financial aid documentation is kept in hard copy files securely stored in the Financial Aid office. FAFSAs are stored electronically in PeopleSoft. PeopleSoft checklists are utilized to track receipt of financial aid application materials. Students are notified of required documents via email.

A small percentage of students are selected for federal verification and/or require additional information, and the Director of Financial Aid will email the student to inform him/her of the reason for the request and any required forms or next steps needed by the student. A PeopleSoft checklist and communication is generated through an automated PeopleSoft process when a student is selected for federal verification or when a C flag appears on the FAFSA (such as to confirm citizenship, selective service registration, etc.).

Once additional information is received, the Director of Financial Aid finalizes the award(s) and includes the information in the student's folder. If the information is incomplete, the student is notified by the Director of Financial Aid via phone or email. Once federal verification is completed, the flag indicating verification status is flipped accordingly in PeopleSoft. The Director of Financial Aid runs queries periodically for any students with Verification status at Required or Pending. The Officer reviews the information and follows-up with the students. When all required documents are received, the student is considered complete and ready to be packaged. The Director of Financial Aid gathers all documentation and creates a student folder for new students and updates previous year files for returning students.

Pre-Award Appeals

Because we have limited scholarship funds available at the school, appeals of the scholarship award decisions are not applicable. If you feel you would not be able to join our program due to financial constraints you may send a letter explaining the situation to the Director of Graduate Studies, the Director of Admissions and Scholarships, and the Assistant Dean of Academic Programs and Student Affairs for consideration. Triggers for appeals typically involve involuntary loss of employment by the student or spouse, high medical expenses, or child or elder care. Students are instructed to provide documentation of the change in income or out-of-pocket expenses for a particular time period (typically a calendar year for income and academic year for expenses). Students would be notified of appeal decision by email or appointment. Any change to a financial aid award would be available for view on ACES as well.

SECTION 7: FILE REVIEW

Verification

Verification is the process of confirming the accuracy of student reported data on financial aid applications. Only a portion of the student population is selected for verification. Students are notified that they are selected for verification on the FAFSA Student Aid Report (SAR). In addition, the student is notified via email that he/she has been selected for verification.

The SSPP Financial Aid Office verifies only those applicants identified by the Department of Education (DOE) or if there is a discrepancy or a condition which is unusual and warrants investigation. SSPP systematically verifies only those data elements required by the federal government. However, the Director of Financial Aid may request additional information if further investigation is needed to resolve a discrepancy.

The SSPP Financial Aid Office is required to resolve any discrepancies discovered in a student's file, regardless of whether the student is selected for verification. The Director of Financial Aid will request additional information from the student to resolve the discrepancy.

For students selected for verification, an automated process assigns a PeopleSoft checklist and email communication to the student. The Director of Financial Aid sends an email to the student as well as a reminder of the specific items needed and to let the student know the information may be mailed, faxed, or scanned and sent electronically. **All verification requirements must be satisfied by the last day of classes of the final semester of enrollment for the academic year.**

Verification Exclusions

In the circumstances below, student verification is not required. The Director of Financial Aid documents the specific reason within PeopleSoft if any of the following applies:

1. An applicant who died during the award year
2. A student who does not receive Title IV funds
3. A student who is eligible to receive only unsubsidized loans
4. Student was selected for verification after ceasing to be enrolled at the school and after all Title IV aid has disbursed.

Data Elements to be Verified and Required Documentation

Adjusted Gross Income and Taxed Paid

The adjusted gross income, federal taxes paid, and most untaxed income is verified through IRS Data Retrieval, which imports tax information from the IRS directly to the FAFSA. This may be completed during the initial FAFSA filing or as a FAFSA correction. If a student cannot or will not use IRS Data Retrieval, s/he must provide an IRS tax transcript for the student and/or spouses, if applicable. If a student did not file a tax return, s/he must submit all W-2s as well as a signed verification worksheet listing any income for which a W-2 was not received.

Household Size

Household size is verified by comparing the Verification Worksheet to federal data. Discrepancies must be corrected before further processing. Household size does not need to be verified if family size is:

- For independent, single students
- For independent, married students

Number in Postsecondary Institutions

Number of family members enrolled at least half-time in postsecondary institutions is verified by comparing the Verification Worksheet to federal data. Discrepancies must be corrected before further processing. If the student is the only family member enrolled at least half-time in postsecondary institutions, number in college does not need to be verified.

Food Stamps

If a student or spouse (if applicable) indicated receipt of food stamps, the student must provide this information as part of the signed Verification worksheet. The Director of Financial Aid may also request documentation from the benefits agency or other documentation to resolve any conflicting information or address any concerns regarding the accuracy of student submitted information.

Child Support

If a student or spouse (if applicable) indicated receipt of child support, the student must provide this information as part of the signed Verification worksheet. This includes the amount paid, name of child(ren) supported, source of support, and to whom it was paid. The Director of Financial Aid may also request documentation such as a copy of a separation agreement or divorce decree or copies of checks or money order receipts to resolve any conflicting information or address any concerns regarding the accuracy of student submitted information.

Notification to Students

Students are notified of the results of verification by email, either through a financial aid award notification or revision communication generated through PeopleSoft or as a personal email sent from the Director of Financial Aid.

Update and Correction Procedures

There are three situations whereby a Director of Financial Aid may update student information. When students notify the aid office of an allowable update, the Officer may recalculate the student's Expected Family Contribution and the new figure may be used to award financial aid. Updates may occur for: Dependency status (Dependency status may not be changed for previously certified Stafford Loans, and may not be changed due to marital status)

Family size

Number of family members enrolled in a postsecondary institution. If corrections are needed after verification is completed, the student will be required to update the incorrect FAFSA information. This will result in an additional FAFSA being received. Once received, verification will be completed on the updated FAFSA information.

Database Matches, Reject Codes, & C-Codes Clearance

For database match and c-codes on the FAFSA, an automated process assigns PeopleSoft checklists for any missing documentation and sends an email to the student notifying them of this requirement. The Director of Financial Aid would also follow up with an email to the student, providing additional explanation. Financial aid awards are not final until the appropriate documentation is received and verified. Common FAFSA messages and required documentation to clear the message and proceed with a final financial aid award are listed below.

Social Security Administration (SSA)

The student is required to submit a copy of the social security card, confirming the name and SSN, or to correct the FAFSA if errors were made during the initial FAFSA filing.

Department of Homeland Security (DHS)

If the Department of Homeland Security could not verify the student's citizenship, the student must submit additional information. US citizens or permanent residents must submit a copy of a US passport, birth certificate, or naturalization certificate confirming citizenship status. The checklist item is completed by the Officer and a copy of the documentation is stored in the student file. Eligible non-citizens whose A-number did not pass secondary confirmation by Homeland Security must bring unexpired immigration status verification documentation in person to the Financial Aid Office. The Director of Financial Aid completes form G-845 and makes a copy of the front and back of student documentation. This information is sent to the Department of Homeland Security for review. No financial aid is awarded until we have received confirmation from the Department of Homeland Security regarding student's eligibility for federal financial aid or until **15 business days** after the date the documentation was sent, whichever occurs first.

Selective Service System

Males aged 18-25 are required to complete selective service registration. The Director of Financial Aid will verify registration status at <http://www.sss.gov>. If the registration is not complete, the student is instructed to go to the website to complete registration. If the student is female, the FAFSA information is corrected and the checklist for additional documentation is waived.

Male students are exempt from selective service registration if any of the following are true:

- Current active duty military
- Not yet 18 as of the date the FAFSA is completed
- Born before 1960
- Noncitizens who first entered the US after age 26 or who entered the US as lawful non-immigrants on a valid visa and remained in the US on that visa until after they turned 26

If the Director of Financial Aid has adequate information to determine that the student is not required to register, the Financial Aid Office would note this in PeopleSoft and/or in the student file and proceed accordingly. Otherwise, the student will be asked to register or provide appropriate documentation regarding the selective service registration exemption. If a student has not registered and cannot provide documentation of an exemption, he must contact the Selective Service to get a status information letter addressing his failure to register. This letter will be used to determine if the student is exempt from registration or if he knowingly and willfully failed to register. If the student knowingly and willfully failed to register, he is not eligible for federal student aid.

National Student Loan Data System (NSLDS)

If the student's FAFSA indicates that s/he is at or near the federal aggregate loan limit or may be in default or owes an overpayment, the Director of Financial Aid pulls the student's NSLDS record and retains this in the student's file. If the student is at or near a federal aggregate limit, the financial award is completed accordingly, to either omit any funding from the pertinent federal program or with a reduction from the standard award amount. If the student is in default or owes an overpayment, the Officer contacts the student to request additional information before completing the financial aid award. Questions regarding the student's eligibility for federal loans are reviewed by the Student Loan office.

Drug Conviction

If a student has a federal or state drug conviction during a period of enrollment for which the student was receiving federal aid, the student is disqualified from federal financial aid funding. Students self-report this information on the FAFSA. However, in situations of conflicting information, the School is required to confirm this information.

The student regains eligibility based on the timeline in the chart below (Please note - if the student is convicted for both possession and sale, the longer period applies):

Possession of illegal drugs Sale of illegal drugs

1st offense—1 year from date of conviction 2 years from date of conviction

2nd offense—2 years from date of conviction indefinite period

3+ offenses—Indefinite period

Students regain eligibility one day after the period of ineligibility ends or after successfully completing a qualified drug rehabilitation program or passing two unannounced drug tests given by such a program. It is the student's responsibility to provide this documentation. Qualified drug rehabilitation programs must include at least two unannounced drug tests and satisfy at least one of the following:

- Be qualified to receive funds directly or indirectly from a federal, state, or local government program.
- Be qualified to receive payment directly or indirectly from a federally-or state-licensed insurance company.
- Be administered or recognized by a federal, state, or local government agency or court.
- Be administered or recognized by a federally- or state-licensed hospital, health clinic, or medical doctor.

Students identified as ineligible due to a drug conviction (either through the FAFSA information or through confirmation of conflicting information) will be notified in writing of the loss of eligibility, as well as additional information regarding when and how to regain eligibility.

Review of Subsequent ISIR Transactions

Queries are utilized to identify students with additional federal subsidized Stafford eligibility due to subsequent ISIR transactions. Audit queries are used to identify students who are in a federal overaward situation.

SECTION 8: STUDENT BUDGETS

Student budgets are an important component in the financial aid process. Standard student budgets reflecting the SSPP average student population cost of attendance at a modest, but adequate standard of living are used to award financial aid. Special budget considerations are approved through the Professional Judgment process by the Director of Financial Aid on a case-by-case basis.

Budget Components

The Director of Financial Aid collects information on an annual basis to prepare standard budgets by academic program and cohort/admit term. The budget components are as follows:

Tuition and Fees

Tuition rates are approved by the Board of Trustees on an annual basis in late February. SSPP-specific fees are approved with tuition in February. All other University fees are approved by June. Tuition and fees information is available on the SSPP Financial Aid website under the Cost of Attendance link. Loan fees are reviewed on an annual basis using the most recent data available.

Books and Supplies

A survey of Sanford students is conducted each spring term on the costs of books and supplies.

Room and Board

Room and board is based on a survey of average utilities and rent for two-bedroom apartments in the Duke University area. This amount is used for all Duke University graduate and professional student budgets.

Transportation

Transportation costs are based on a student living locally and commuting to class five days a week. This amount is used for all Duke University graduate and professional student budgets. For the MPP Hertie study abroad program: Participants may include additional airfare expenses. Receipts are required.

Miscellaneous Expenses

Miscellaneous expenses include costs for clothing, toiletries, recreational, and other personal expenses. This amount is used for all Duke University graduate and professional student budgets.

Health Insurance

All students are required to have health insurance. Students are given the option to purchase insurance through Duke University. These rates are set annually by Duke Student Health and varies based on the age of the student and applicable spouse or dependent coverage.

Budget Amounts

The Sanford School of Public Policy tuition and fees for 2016-2017:

Flat-rate tuition: MPP/MIDP Tuition (and MIDP registration fee): \$21,586 per term

MPP Student Activity Fee \$50/semester

Commented [M8]: Same for MIDP?

2016-17 Duke Fees

Student Health Fee: \$386/semester

Graduate Student Activity Fee (GPSC): \$18/semester

Graduate Recreation Facilities Fee: \$137/semester

Transcript Fee (one-time fee, first year): \$40

All student budgets include a standard allowance for housing, food, transportation, books, loan fees and miscellaneous expenses, as detailed below:

2016-17:

Rent/Housing: \$4032/semester

Food allowance: \$2322/semester

Books/supplies: \$650/semester

Transportation: \$873/semester

Miscellaneous: \$1,710/semester

Health insurance is included as a standard budget item for both programs is based on the average age of students in the program (24-34).

Special Budget Considerations

Upon request, the Director of Financial Aid may review, and if appropriate, adjust a student's budget.

Students must submit supporting documentation.

Examples of changes to standard budgets include, but are not limited to:

1. Child care - the cost of day care with dependent children may be added to a standard budget with appropriate dollar specific documentation. Maximum allowance is \$5000 per child per year. Allowance is for costs incurred by the student during the months of enrollment in the aid year ONLY.
2. Large out-of-pocket medical expenses – medical expenses incurred by the student during the months of enrollment that exceed the normal allowance provided by the Department of Education (generally about 2% of income) may be added to the student budget with appropriate dollar-specific documentation.
3. Additional educational expenses – educational expenses required for the degree and that are not included in our budget or exceed our allocation may be considered with dollar-specific documentation. This may include one-time purchase of a computer, books and supplies that

exceed the allowance, participation in the Hertie program or for dual degree students, participation in other study abroad programs where credits count towards the degree being sought.

We cannot consider budget adjustments for living expenses to increase federal loan eligibility. However, you can submit dollar-specific documentation of additional living expenses in order to borrow from a private student loan.

Budget Waivers

If a student receives a resource toward a budget item, the amount must either be included in the financial aid award as an outside resource (such as tuition benefits or stipends) or the budget item must be removed (such as a student living in military housing rent-free). Students are required to report these resources to their aid officer.

SECTION 9: AWARDING AND PACKAGING FINANCIAL AID

Packaging Philosophies

The MPP program offers admitted students (without full tuition/fee paying sponsors) a program scholarship. This scholarship is merit-based (made without regard to financial need) and no financial documentation is needed to be considered for a program scholarship.

U.S. Citizens and permanent residents are offered financial aid (scholarships, assistantships and loans) to cover the full cost of the program upon request (via the Financial Aid Application), this includes a Grad PLUS loan offered for graduate students enrolled at least half-time to meet any gap between institutional/federal resources and total cost of attendance. The student may seek an outside private loan, which the Director of Financial Aid will certify and post in ACES. International students without the full support of a sponsor will be awarded a scholarship but will be required to find outside resources to cover the remainder of tuition and fees on their own.

The Financial Aid office works in conjunction with the Business Office, the Admissions Office, the Student Services Offices, and their Program Directors to develop policies and procedures related to institutional scholarship awarding. The Dean of the Sanford School, the Associate Dean of Finance and Administration, the Director of Graduate Studies, the Director of Admissions and Scholarships, and the Associate Dean of Academic Programs and Student Affairs have oversight of all financial aid policies and procedures to ensure they are aligned with the school's mission.

Packaging guidelines and philosophies are evaluated by the Director of Financial Aid on an annual basis. Merit-based scholarship awarding procedures are reviewed at least annually, and often prior to the beginning of each application cycle, by the Director of Admissions and Scholarships.

Package Construction

Student files are reviewed upon receipt of a FAFSA and the SSPP financial aid application. Standard budgets are built for the MPP/MIDP programs. Dual degree students will have their budgets updated for blended tuition rates and fees as needed and these edited budgets will be used to determine eligibility. Students selected for verification are contacted regarding supplemental information needed before a financial aid award may be finalized.

The SSPP financial aid packaging policy is to offer assistance up to the total cost of attendance, so there is not any gap. Cost of attendance is defined as tuition and fees plus a standard allocation for books and living expenses.

Outside resources are considered first, then institutional scholarships/grants, guaranteed workstudy or assistantships, followed by federal loans (Unsubsidized Stafford then Grad/PLUS). If scholarship, grants, assistantships and federal loans do not cover the total cost of attendance or if the student is not eligible for federal aid, the remaining gap may be covered by a private loan. The student is responsible for seeking any outside loan opportunities.

The Director of Financial Aid pulls the student folder and verifies receipt of the Financial Aid Application and any other documentation that the student may have submitted. If the student is selected for verification or if additional information is needed, the Officer emails the student. If the file is complete, the officer reviews the FAFSA and application.

FAFSA information is used to verify eligibility for federal aid, and federal loan annual fiscal limits are monitored automatically. Outside scholarships or tuition benefits are manually awarded, as are Sanford's merit-based scholarships, guaranteed workstudy/assistantship positions.

The PPS packaging plan is then selected for automated awarding of loan funds. The packaging plans used by the SSPP financial aid office is listed below. The packaging plan awards the Unsubsidized Stafford, then Grad/Plus loans.

We have an automated process that runs weekly in PeopleSoft to assign and send an initial financial aid award notification email to students. For matriculated students, the award information is also available for view on ACES beginning in early June (see deadlines listed above).

Packaging Other Educational Resources

Outside scholarships and grants are considered as a resource against federal need and cost of attendance. Students are asked to report other resources through the SSPP Financial Aid Application Chapter 31 & 33/VA benefits are applied toward the cost of attendance, but are not considered against federal need. External award and overaward queries help us monitor and ensure compliance against overawards and overpayments.

Summer Awards

The MPP program does not offer Summer term credits, therefore no funding is available for outside summer coursework or to aid with living expenses while completing the required summer internship. Students are encouraged to seek assistance from the Career Services Office if funding is needed for support to complete the required internship.

Award Package Notification

All students receive an automated email created by PeopleSoft generated through the CommGen process when an award or change is made to the student's financial aid package. Students also receive a second email reminder from the Director of Financial Aid when self-service is turned on and they have access to their award panels.

Each student receives an award letter annually that includes: a link to their program cost of attendance, breakdown of individual scholarships and assistantships awarded by SSPP, and financial aid office contact information (phone number, email address, website). Information is included regarding the process for receiving loans, namely that they must be accepted through ACES and the required paperwork for approval and disbursement.

All active, matriculated students can view their full financial aid panel on ACES. This lists the aid by individual source, specific cost of attendance, and award amount broken down by term. This includes

any issued loans—federal and/or private. Award messages are included, describing federal sources and links to federal loan requirements.

Packaging Appeals

Students may submit documentation for appeals based on change to financial income, such as involuntary loss of employment by the student or spouse or based on additional cost of attendance, such as child care or computer expenses. Appeals are reviewed by the Director of Financial Aid.

Appeals to cost of attendance would only increase maximum Grad/PLUS or private loan eligibility. Appeals to income or other FAFSA data elements may not change aid eligibility. In fact, at the Graduate Level it is HIGHLY UNLIKELY that any change in the EFC will change a student's loan eligibility or packaging. The outcome of the appeal and additional aid eligibility (if applicable) is communicated to the student by email and through an adjustment to the financial aid award, if applicable. A revision email would be sent to the student with instructions to view the information on ACES. The appeal process is as follows:

1. Request for appeal is communicated to the Director of Financial Aid.
2. Additional information and documentation required is communicated to the student.
3. Completed appeal is reviewed by the Director of Financial Aid.
4. Any applicable changes to FAFSA, cost of attendance, and/or financial aid award are made by the Officer.

Student is emailed regarding the result of the appeal. Professional Judgment is documented in PeopleSoft.

Award Package Revisions

The Director of Financial Aid updates student budgets and revises financial aid awards as needed. The Director of Financial Aid runs overaward queries periodically to determine overawards and overpayments. The awards are then reviewed and any necessary adjustments are made. If loan reductions are needed they will be made in the following order: private, Grad/PLUS, Unsubsidized Stafford.

Queries are run at least weekly from the start of the semester until the week after drop/add. Queries are also run at the end of the fiscal year as a final clean up. Revisions are made as quickly as possible after the query is run (typically the same day). The student is emailed notification of the change and referred to ACES for specific award details.

Overawards & Overpayments

The Financial Aid office runs queries on a monthly basis to check for students who are currently overawarded. Overawards are rare and can be due to a change in the student's program, due to new external funding/scholarships or to receipt of a subsequent FAFSA.

An adjustment is made to the student's financial aid award, reducing private loans first, then Grad/PLUS, then Unsubsidized Stafford loan. If possible, the overaward is resolved by reducing future loan disbursements. If the additional resources must be applied toward tuition only, other funds that are specific to tuition may need to be reduced first—this includes the Sanford scholarship and any guaranteed assistantship. Before returning funds already disbursed and creating a balance on the student account, we will review the budget to determine if there are additional expenses that warrant an increase to the Cost of Attendance. If loan disbursements have already been made and funds must be returned, the Student Loan office is notified of the funds that need to be returned. The student is emailed regarding the change to the award and the reason.

SECTION 10: PROFESSIONAL JUDGMENT

Students may submit documentation for professional judgment based on change to financial income, such as involuntary loss of employment by the student or a spouse or based on additional cost of attendance, such as child care, study abroad or computer expenses. Professional judgments are reviewed by the Director of Financial Aid. Professional judgment requests to budget items would increase maximum Grad/PLUS or private loan eligibility. Professional judgment requests may result in no change in aid eligibility. Professional judgment decisions are noted in PeopleSoft and emailed to the student. Documentation for PJ decisions are placed in the student's financial aid student file. A revision email would be sent to the student if applicable, directing the student to view the information on ACES.

The professional judgment process is as follows:

1. Request for professional judgment is communicated to the Financial Aid office.
2. Professional judgment form is emailed to the student requesting additional information and documentation required.
3. Professional judgment request is reviewed by student's Director of Financial Aid.
4. Any applicable changes to FAFSA, cost of attendance, and/or financial aid award are made by the Officer.

The student is emailed regarding the result of the appeal. Professional Judgment is documented in PeopleSoft.

SECTION 11: DISBURSEMENTS

Financial aid disburses to the student's account no sooner than 10 days prior to the start of classes. Awards made during the semester disburse overnight through an automated process through PeopleSoft. For information regarding loan disbursement policies and procedures, please refer to the [Student Loan Office](#).

SECTION 12: SATISFACTORY ACADEMIC PROGRESS

New Federal regulations that went into effect July 1, 2011, require that Sanford Financial Aid Office establish and implement a policy to measure whether students applying for and/or receiving financial aid are making satisfactory academic progress (SAP) towards a degree. This regulation applies to all students applying for aid, whether or not financial aid has been previously received. Satisfactory Academic Progress (SAP) is the successful completion of degree requirements according to established increments that lead to awarding the degree within published time limits. There are three measurements that are used to determine eligibility: Credit Hour Requirement, Grade Point Average and Maximum Time Frame. Not meeting these requirements may result in loss of all financial aid.

Monitoring of Academic Progress

Students' progress will be reviewed after grades are finalized at the end of each semester (fall, spring, summer). A determination of eligibility to receive financial aid for subsequent enrollment periods will be made at this time. Although Sanford will send a notification to the student, the student is fully responsible for monitoring their own academic progress as it relates to financial aid eligibility. The student should review their grades on an on-going basis and compare it to the standards set forth in this SAP policy to determine if they are meeting (or failing to meet) the established criteria. The SAP policy for Title IV aid recipients is aligned with the School's academic policy, and more information regarding academic policy may be found in each program's handbook.

Evaluations will be completed in a timely manner; however, the next term may be in progress at the time we are able to notify students of their ineligibility. Should the student be concerned that they may

not have met the requirements, they may contact the Sanford Financial Aid Office. Students will be notified via their Duke e-mail account if they have failed the measurement. Students may appeal the decision. The appeal form and directions are located on our website. There are three parts to the measurement and they are detailed by program below.

Graduate Students:

1. *Qualitative:* Students must maintain a minimum GPA of 2.7 on a 4.0 scale.
2. *Quantitative:* Students must complete at least 67% of the credits attempted. Failing, withdrawals or incomplete grades will not be counted as successful completion. Only an incomplete that has been changed to a passing grade can be added to the number of hours completed for the semester of the original registration. It is the student's responsibility to notify the Financial Aid Office once an incomplete grade has been changed to a valid grade. Transfer credits and repeated coursework will be included in the number of credits attempted and the number of credits completed.
3. *Maximum Timeframe:* Master's Students must complete the required course work within 3 years from matriculation. Students who exceed the maximum length of time to graduate will not receive a warning semester and be automatically ineligible for financial aid.

SAP Warning

Students who fail to meet the Qualitative or Quantitative guidelines at the end of the semester/payment period of review are automatically placed on financial aid warning status for one semester and notified of this status. The student continues to receive federal financial aid for this semester. If at the end of the semester/payment period, the student is now meeting all Satisfactory Academic Progress standards, the warning status is removed and the student is now in good standing.

SAP Probation and Appeal

Process Students who are on a Warning status and do not meet all of the Satisfactory Academic Progress standards at the end of the next semester/payment period of review lose federal financial aid eligibility until they are making progress in all categories (see Regaining Financial Aid Eligibility section below). Students who lose eligibility for financial aid may appeal the decision by following the procedures outlined below.

Those wishing to submit an SAP appeal must indicate mitigating circumstances that occurred during the course of the semester in question, that could not have been anticipated prior to that period, and that adversely affected their ability to successfully complete their required coursework. To appeal, a student must submit a letter of appeal to the Financial Aid Office. The appeal letter should include the following:

- Mitigating circumstances that prevented the student from meeting the requirements of academic progress (i.e. death in the family, student illness or injury, other personal circumstances). Mitigating circumstances do not include: withdrawing from classes to avoid failing grades, pursuing a second major or degree, etc.
- Documentation that supports the student's basis for the appeal
- Steps the student has taken/will take to ensure future academic success. This plan should outline the student's academic goals for each period (e.g. number of credit hours and/or cumulative GPA) that will enable the student to meet the requirements of academic progress at a specified future point in time.

- Anticipated graduation date

In most cases, the SAP Appeals Committee will render a decision within two weeks of receipt of a fully completed appeal. All decisions of the SAP Appeals Committee are final. Notification of the decision will be sent via the student's Duke e-mail account.

If the SAP appeal is approved, financial aid will be awarded for the next semester on a probation period. An approved Academic Plan may be required as a condition of the appeal. An Academic Plan must be formulated with your advisor. Term and Academic Plans and/or other conditions of appeal approval will be included in the notification letter.

Students who fail to meet the requirements for Satisfactory Academic Progress for their probationary semester or do not complete the requirements of their academic plan (if applicable) will again be ineligible for financial aid and subject to the appeal process. Any subsequent appeal must include information regarding new extenuating circumstances or what has changed since the last appeal.

Students who meet the requirements for academic progress for their probationary semester will resume good standing and again be evaluated at the conclusion of the following semester/payment period. If the SAP appeal is denied, financial aid will be cancelled. If you have been denied aid, please review the section Regaining Financial Aid Eligibility below.

Regaining Financial Aid Eligibility

Students denied financial aid after completing the appeal process or failing to meet their Academic Plan can regain full eligibility for financial aid by:

- Raising their GPA to the qualitative standard outlined above by degree
- Successfully completing coursework that will meet or exceed the minimum required for quantitative standard outlined above by degree
- Students who have reached their maximum time frame are not able to regain eligibility except in the case of a successful appeal of the maximum time frame requirement.

Students who are ineligible to receive financial aid may use one or more of the following payment options while attempting to regain eligibility: student's own resources, Duke Tuition Management Payment Plan, and/or Alternative/Private Educational Loans. Students who have taken the necessary measures to regain eligibility for financial aid must contact the Financial Aid office immediately upon doing so and apply for Reinstatement of Eligibility. The student's academic performance will then be reviewed, and if all required SAP criteria is met, full financial aid eligibility will be reinstated, effective the following semester.

Commented [M9]: For MIDP?

SECTION 13: RETURN OF TITLE IV FUNDS

Return of Title IV Funds calculations are approved by and policy is maintained by Undergraduate Financial Aid Office. *Changes to federal law may affect this policy.*

Process Overview & Applicability

Steps in Federally Mandated Process

1. Determine the withdrawal date. If the student officially withdraws, the withdrawal date is the date SSPP determines the student either began the withdrawal process, or the date the student provided official notification to SSPP, in writing or verbally, of his or her intent to withdraw. If the student does not provide official notification of his or her intent to withdraw, the

withdrawal date will be determined as the date SSPP became aware the student was not attending class. If a student does not return from an approved leave of absence, the withdrawal date is the date SSPP determines the student began the leave of absence. If a student takes a leave of absence that does not meet the requirements of an official leave of absence, the withdrawal date is the date the student began the leave of absence.

2. Calculate the percentage of enrollment period completed. The percentage of enrollment period completed is determined by dividing the total number of calendar days in the enrollment period into the number of calendar days completed in that period as of the withdrawal date. The total number of calendar days in a payment period includes all days (including weekends) within the period. Scheduled breaks of at least five consecutive days are excluded from the total number of calendar days in the enrollment period and the number of calendar days completed in that period.
3. Calculate the amount of Title IV aid earned. If the withdrawal date is equal to or greater than 60 percent of the enrollment period (semester), the student has earned 100 percent of the Title IV funding disbursed for that semester. If the withdrawal date is less than 60 percent of the semester, the amount of Title IV funding the student has earned is calculated by using the federally mandated calculation to determine the percentage of Title IV funds that have been earned by the student for that semester. This percentage is then applied to the total amount of Title IV funding that was disbursable for the semester as of the withdrawal date.
4. Determine the amount of Title IV aid unearned. The amount of Title IV funding the student has not earned is calculated by subtracting the amount of Title IV funding the student earned from the total Title IV funding disbursed/or was disbursable.
5. Allocate unearned aid. SSPP is required to return the lesser of the total amount of Title IV funds the student has not earned or an amount equal to the charges if the total amount to be returned exceeds the charges incurred by the student. Charges include tuition and fees, and can include other education-related expenses assessed by SSPP.
6. Unearned Title IV funds must be returned within 45 days of the student's withdrawal. SSPP will return the student's unearned Title IV funding on his or her behalf and consider the returned funds as the student's debt to SSPP. Students must make arrangements with the Bursar's office for repayment of the debt. Consequences of non-payment include blocks on re-enrollment, transcript and diploma holds, and student account placement with Collections. Title IV loan amounts to be returned by SSPP will be credited to the appropriate programs in the following order: Unsubsidized Federal Stafford loans, Federal Grad PLUS loans received on behalf of the student. If amounts to be returned remain after repayment of all outstanding loan amounts, the remaining excess must be credited to any amount awarded for the semester for which a return of funds is required. Federal Work Study is excluded from this policy.
7. Communication of return of funds. Students for which a portion of Title IV aid must be returned will receive a communication from the Financial Aid Office sent to their Duke email address indicating an adjustment has been made and funds have been returned on the student's behalf. This communication further instructs any resulting balances on the student account must be paid by the student and arrangements for payment must be made directly with Duke's Bursar.

Withdrawal Date

Policies

The withdrawal date is determined by the student's program director and is the date the student began the withdrawal process, or the date the student provided official notification to their director, in writing of his or her intent to withdraw. If the student does not provide official notification of his or her intent to withdraw, the withdrawal date will be determined as the date the program director became aware the student was not attending class. If a student does not return from an approved leave of absence, the withdrawal date is the date the program director determines the student began the leave of absence. If

Commented [M10]: Helene.. is this all correct for the MPP Program? Our written policy is too vague to use.

a student takes a leave of absence that does not meet the requirements of an official leave of absence, the withdrawal date is the date the student began the leave of absence. Students wishing to return from a leave of absence must receive approval from their program director.

Procedures

Program directors provide withdrawal dates to the Registrar and an official attrition notice is originated and emailed to appropriate departments.

Formula Calculation

Policies

Upon receipt of an attrition notice from the Registrar, the Financial Aid Office performs a return of Title IV funds calculation using the web based application provided by CPS Online:

<https://faaaccess.ed.gov/FOTWebApp/faa/faa.jsp>.

The school calendar is determined by:

1. Calculating the days in the particular term/semester, from the first day of classes to the last day of finals.
2. Weekend days are included in the total number of days.
3. Breaks of five or more days are excluded.
4. When counting the number of days attended, the date of withdrawal is counted as a day attended.

Institutional costs are used to determine the amount of refund due from the school versus the student but do not change the amount of aid earned by the student. These costs refer to the original amounts charged to the student for educational expenses for the term of withdrawal and not pro-rated amounts used by the University based on the date of withdrawal. Required fees are included. Health insurance charged through the University can be included, but parking permits, parking tickets, flex account deposits, and similar non-academic expenses are not included. Aid disbursed or aid that could have been disbursed is determined by:

1. Counting the aid accepted for the term/semester in question only.
2. Aid that could have been disbursed refers to aid accepted by the student and for which all paperwork/application materials and federal verification have been completed by the student.
3. If loan fees are taken out, the net amount disbursed or that could have been disbursed is used.

Procedures

The attrition notice is received by the Director of Financial Aid. The Officer performs the Return to Title IV calculation on the web. The Officer saves a copy of the attrition notice to "Comments" in PeopleSoft. The calculation is then sent to the Undergraduate Financial Aid Office for review. Once the calculation has been approved, the Officer adjusts the student's aid according to the calculation and notifies the Student Loan Office to return any loan funding within 45 days of the date of student withdrawal. An email is also sent to Duke's Bursar to notify them of the adjustments made to student aid. Once the calculation has been completed, a pdf copy of the calculation and attrition notice are placed in the student's financial aid file.

Post-Withdrawal Disbursements

Policies

If an amount of Title IV aid a student has earned is greater than the amount of Title IV aid that has been disbursed, the difference is treated as a post-withdrawal disbursement to the student. Any post-withdrawal disbursement must be made within 180 days of the date the institution determines that the student withdrew. Aid for which all requirements (paperwork/application materials and federal verification) have been satisfied is disbursed to the student account 10 days prior to the start of classes.

Refunds of applicable aid are provided to the student immediately after the drop/add date for each semester.

Procedures

If a student has *undisbursed aid for which all requirements have been satisfied*, a Return to Title IV calculation must be performed to ensure that funds for which a student was eligible and had earned at the time of withdrawal but had not been disbursed are offered as a post-withdrawal disbursement. The institution must disburse any amount of a postwithdrawal disbursement of grant funds that is not credited to the student's account as soon as possible but no later than 180 days after the date it is determined the student withdrew. A post-withdrawal disbursement of Title IV funds does not require permission from the student. Written notification will be sent to the student within thirty (30) days of the date it is determined that the student withdrew and confirmation received before making any post-withdrawal disbursement of loan funds. The notification will include:

1. A request for confirmation.
2. A confirmation deadline of fourteen (14) days or more.
3. The type and amount of the loan funds it wishes to credit to the student's account or disburse directly.
4. An option to accept or decline the post-withdrawal disbursement.
5. A notice of obligation to repay loan funds.
6. A notice the student may not receive, as a direct disbursement, loan funds that the institution wishes to credit to the student's account unless the institution agrees to do so.
7. A post-withdrawal disbursement must be made from available grant funds before available loan funds.

Returning Unearned Funds

Policies

The amount of Title IV funds the student has not earned is calculated by subtracting the amount of Title IV funds the student earned from the total Title IV funding disbursed/or was disbursable. Unearned Title IV funds must be returned to the applicable Title IV program within 45 days of the date of the students' withdrawal. If the amount earned is greater than the amount that has been disbursed, the difference is treated as a post-withdrawal disbursement to the student. Unearned funds are returned to the Title IV programs within 45 days of the student's withdrawal by SSPP's Financial Aid Office and the Student Loan Office on behalf of the student and consider the returned funds as the student's debt to Duke.

Procedures

Students are notified via their Duke e-mail account that, as a result of withdrawal and pursuant to the Return to Title IV calculation, adjustments have been made to their aid package which may create a balance on the student account. Students must make arrangements with the Bursar's office for repayment of the debt if returned funds create an account balance. Unearned Title IV funds are returned to the Title IV programs in the following order:

1. Unsubsidized Federal Stafford Loans
2. Federal Grad PLUS/Parent PLUS loans

SECTION 14: INSTITUTIONAL REFUNDS

Institutional refund policies are outlined in the SSPP School Bulletin. Tuition adjustments are made based on the following unless otherwise specified on the withdrawal notice. Date of withdrawal
Percentage of tuition charged:

- Before classes 0%
- 1st-2nd week 20%
- 3rd-5th week 40%

- 6th week 80%
- After 6th week 100%

SECTION 15: TITLE IV FRAUD

Student Fraud

In reviewing reports, appeals, or in other secondary review of files (see SECTION 7: FILE REVIEW for more Information), discrepancies may arise. Discrepancies in student application materials (i.e. income, citizenship, name, SSN, signatures) must be investigated and resolved. To do so, the Financial Aid Office will contact the student to request additional information and documentation. If, in the Financial Aid Officer's judgment, there has been intentional misrepresentation, false statements, or alteration of documents which have resulted or could result in the awarding or disbursement of funds for which the student is not eligible, the case shall be referred to the Assistant Dean of Academic Programs and Student Affairs, the Director of Graduate Studies and the program director, for possible disciplinary action.

The Assistant Dean, the DGS and the program director will review the student's aid file with the Director of Financial Aid and if the decision is made by the committee to pursue the possibility of denying or canceling financial aid, the Officer will contact the student to set up an appointment. If the student does not make an appointment, the Director may:

1. Not process a financial aid application until the situation is resolved satisfactorily
2. Not award financial aid
3. Cancel financial aid
4. Determine that financial aid will not be processed for future years.

Students who willfully submit fraudulent information will be investigated to the furthest extent possible. All cases of fraud and abuse will be reported to the proper authorities. After investigating the situation, if the Officer believes there is a fraudulent situation, he/she will refer all information to the Department of Education's (ED's) Office of Inspector General (OIG). The student may also be referred to the SSPP judicial process.

Institutional and Third-Party Fraud

Duke University's compliance policy, including how reports of suspected fraud are handled, may be found through Human Resources:

<http://www.hr.duke.edu/policies/expectations/compliance/index.php>. Under the American Recovery and Reinvestment Act of 2009 (ARRA), nonfederal employees who report waste, fraud or abuse connected to the use of ARRA funds may not be discharged, demoted or otherwise discriminated against because of his or her disclosure.

SECTION 16: AUDITS

All audit policies and procedures are maintained by the [Undergraduate Financial Aid Office](#).

Appendix:

DUKE UNIVERSITY SCHOOL OF PUBLIC POLICY
SCHOLARSHIPS AWARD MANUAL
CURRENT SYSTEM/FUNCTIONALITY

The School of Public Policy Business Office provides financial management and oversight of the SSPP scholarship awards. This includes final determination of scholarship awards, reporting on all scholarship awards (both internal and external), and fund management. The Development Office of the SSPP has oversight over the use of endowment funding and is responsible for notifying the students of their award and the person(s) who should be thanked for the award.

The Business Office Financial Analyst & the Director of Advancement Services work closely with the SSPP Financial Aid Office in awarding scholarships and endowments to the students. The Financial Aid Office is responsible for keeping the students informed of new scholarship opportunities (both internal/institutional and external).

Due to sensitive information included in Endowment files, they are kept secure by the Development and Business Offices.

Determination and initiation of scholarships/awards

Types of awards, and requirements, based upon degree status.

PhD

Not included in current Duke SSPP scholarship management system as awards/payments are made by Graduate School. Close coordination with PhD Program Office and Business office, as needed.

The only requirement of students for SSPP Program scholarships are that the student must be degree-seeking and the student cannot be receiving full-funding from an outside source. Dual Degree Scholarships are awarded only in the students first full year of study with their Sanford Program. Any outside scholarships are applied to a student's aid packaging FIRST. Sanford scholarships may be used ONLY for tuition and fees. If the student receives an external award, that when added to their Sanford scholarship, totals more than the total cost of tuition and fees, the Sanford Scholarship will be reduced to meet but not exceed that amount.

Workstudy Positions/Assistantships:

Each spring the Duke Financial Aid Office provides the Sanford School with a notice containing the amount of federal work study funds that will be allocated to the Sanford School for the upcoming year. This amount is always insufficient to cover all assistantship positions guaranteed in its annual award/admission notices. The gap is filled by MPP/MIDP program funds. Workstudy positions are assigned to students packaging to determine eligibility for the federal funds. Eligible students are then randomly selected to receive funding from either federal funds or program funds. All students ineligible for federal funding, who are guaranteed positions, will receive positions funded by program funds.

Guaranteed Assistantships are assigned in the student's annual award/admission letter. All students are eligible to apply for any additional vacancies through their program director. The program director assigns assistantships to qualified individuals based on the student's submitted assistantship application, their availability, and program need. Generally, a student will receive \$4000 for completion of this assistantship. Assistantships are assigned by term in the financial aid panel BUT they are paid through the payroll system in four monthly payments in the term served.

Authorization and Initial Processing of Awards

Each spring the Sanford Business Office approves an estimated MPP program scholarship budget and admissions model. The model and budget are created by the Director of Admissions and Scholarships, with approval of the Director of Graduate Studies and the Business Office. The MPP Financial Aid Office is responsible for making sure the scholarship received matches the program/partnerships selected on the application and that the scholarship is allowable after considering all external funding. Award Letters are issued from the Admissions Office and all are approved by the Director of Admissions and Scholarships and the Director of Graduate Studies. The scholarships are posted in ACES by the Director of Financial Aid after the student matriculates into the program.

Notification of Scholarship Award to Student

- Award letter – Generated in PeopleSoft, as an online document. An email notification is sent out by Commgen to let the applicants know when the Award letter has been posted in ACES. The

MPP Assistantships/Special Awards Authorization and Award Processing

Assistantships:

- All 2 Year MPPs who are US Citizens or Permanent Residents will receive a guaranteed assistantship worth \$4000 in their admission award letter. The FAO verifies whether or not the student is eligible for federal work study funds.
- The MPP Director of Student Services and Program Development notifies students via email to complete applications for these assistantships. Her email includes blank application along with instructions on how to complete it.
- Upon receipt of applications the Director of Student Services places students in positions based on their ranking of selections, their qualifications, their availability, and program need.
- The Director of Student Services prepares an Excel worksheet listing the students, their pay amount, and the accounts to be debited (workstudy, program funds).
- Any vacancies remaining may be applied for by any MPP students (including dual degree and international students).
- Prepare award packet. The process/steps are exactly the same as the need based awards with following exceptions:
- The assistantship will be renewed for the second year based on student's academic performance in year one of the program.

Special Scholarships/Awards (Ex. Stubbing Awards)

- The Sanford Business Office provides the MPP Aid Office with a budget for all special scholarship awards. The Director of Student Services and the DGS discuss the academic performance of students as well as their participation level in the program. Students excelling in both areas may be selected for special scholarships to be used towards tuition and fees in year two of their program. MPP FAO reviews the financial record of the students recommended for the award and ensures that the students qualify and that the maximum funding level is not exceeded.
- An notification email is sent to the students by the Director of Graduate Studies congratulating them on their selection.
- The FOA posts the award on the financial aid panel in ACES and sends the student an email at completion and notifies the student of any changes that occurred to their packaging as a result.

Annual Awards Processing

Awards processing is usually accomplished annually and is updated on an as-needed basis. All awards (scholarships, assistantships, external awards, and loans) are posted on the student's ACES account in early June. Initial processing is completed near the end of May/beginning of June so that all awards may be included in the University Bursar's requirements to include projected awards in their first bill/invoice to the student. Additional processing is completed as additional documentation or late documentation is collected from students and/or their sponsors.

Scholarship awards are issued as an annual total in the award letter and the split of these awards is posted initially as a 50%/50% split by the FAO. This split may be altered any time during academic year as requested by the student. Typically, this is done to cover the more expensive (due to health insurance) fall term and to provide a more even split of funding between the fall/spring terms.

The Sanford Business Office is responsible for monitoring/reconciling spending from scholarship accounts. A report with the student's name, annual award amount, and tuition charged is sent to the BO by the FAO each year and is updated as items change as needed. In order to prevent overawarding from funds the Director of Financial Aid updates the fiscal limit on all financial aid item types based on the budget presented by the Business Office.

Reporting

Various reports, using awarding worksheets, are created by the MPP Director of Financial Aid, for both internal Sanford Business Office purposes and external purposes. External uses include reports to the Sanford Development/External Affairs office for "thank you" notes from students to funding sources, Duke Development and/or Endowment Fund Offices for reports to funding sources, Federal or State Reports (NCHEDS), and reports made directly to external funding sources (e.g. Rangel, Pickering programs).

Examples of Internal Business Office Reports:

1. Annual Tuition Revenue Report. By student, dual program. Includes name, semester, expected tuition amount charged. Used for annual projections, reconciliation.
2. Annual Scholarship/Assistantship Awards. By student, dual program, annual award amount/assistantship amount (if applicable). Used for annual projections, reconciliation.
3. Annual Recap for Designated Funds. Same as above but isolates awards according to funding source; e.g. Abrams, Reader's Digest, etc. Used for reporting to sponsor/funding source and/or securing data for additional grants/funding.
4. Individual Student Reports: by student, for academic year or other designated/selected period of time.

Used for reporting to sponsors/funding sources.

1. Recap Summary. Query/report for either semester or academic year that provides data such as name, ID, gender/race, degree and program, award amounts, fund code name/description, specialization, interests, previous degrees. Used to update/build a data base tracking awards for prior semesters and academic years for reporting and analysis functions. For example, number and amount of awards by student, semester, academic major, gender, race, funding sources, by semester or by academic year.

Examples of External Reports:

1. Sanford Development Office. Annual report created on/around June/July of each year that provides student's name, email address, award amount, funding source, specialization, interests, previous degrees. Development Office uses data to notify students and request they write "thank you" notes to sponsors/funding sources.
2. Federal or State Financial Aid Reports (NCHEDS). All full-time students, special partnerships, loans, private loans, annual award amounts, assistantship amounts (if applicable).

Miscellaneous – one time/ad hoc reports. For University Provost, Financial Services, external accrediting/professional associations. Recaps of awards, current/prior years, projected awards for upcoming years. Possible comparisons with peer institutions.