FLORIDA ATLANTIC UNIVERSITY™

Office of Inspector General

Audit Report: **_Performance Based Funding Data Integrity_**
As of September 30, 2014

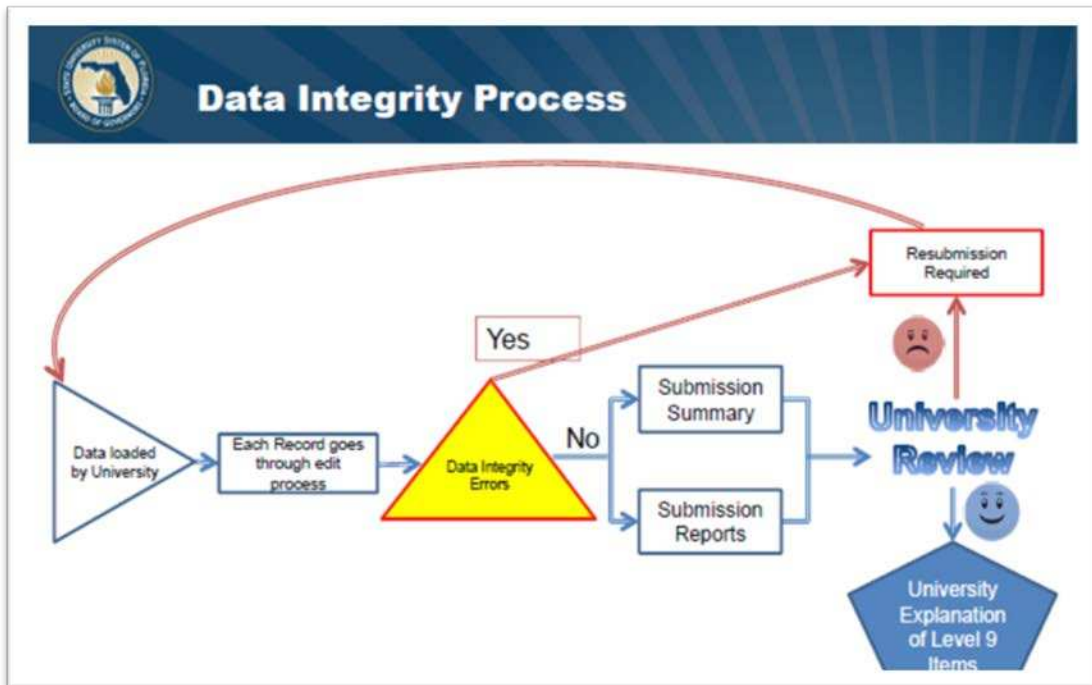**BOCA RATON • DANIA BEACH • DAVIE • FORT LAUDERDALE • JUPITER • PORT ST. LUCIE**

REPORT ON THE AUDIT OF

PERFORMANCE BASED FUNDING DATA INTEGRITY

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MEMORANDUM

TO: Dr. John Kelly
          President

FROM: Morley Barnett
          Inspector General

DATE: February 10, 2015

SUBJ: PERFORMANCE BASED FUNDING DATA INTEGRITY AUDIT

In accordance with the University's Internal Audit Plan for fiscal year 2014-15, and at the request of the Florida Board of Governors, we have conducted an audit of the processes and controls that Florida Atlantic University has in place related to data submissions in support of the BOG performance based funding metrics as of September 30, 2014. The report contained herein presents our scope and objectives and provides comments and conclusions resulting from procedures performed.

Please call me if you have any questions.

cc: University Provost
          Vice Presidents
          Auditee
          FAU Board of Trustees
          Inspector General, Florida Board of Governors
          Florida Auditor General

EXECUTIVE SUMMARY

In accordance with the University's Internal Audit Plan for fiscal year 2014-15, and at the request of the Florida Board of Governors (BOG), we have conducted an audit of the University's processes and controls which support data submitted to the BOG for its performance based funding metrics. This audit was part of a system-wide examination based on data submitted as of September 30, 2014.

The primary objectives of this audit were to:

- Evaluate controls and processes established by the Office of Institutional Effectiveness and Analysis and primary data custodians to ensure completeness, accuracy and timeliness of data submitted to the BOG; and,

- Provide a reasonable basis of support for the Performance Based Funding Data Integrity Certification statement which is required to be signed by the University president and Board of Trustees chair.

Audit procedures included, but were not limited to, the evaluation of internal controls as those controls relate to the accomplishment of the foregoing audit objectives, as well as compliance testing for a sample of data elements included in files submitted for various BOG performance based funding metrics.

Based on our observations and tests performed, we are of the opinion that the University's processes and internal controls for data compilation and reporting to the BOG are adequate. We consider the improvements identified in the Observation and Comments section of this report to be significant in helping to ensure the completeness and accuracy of data submitted for performance based metrics in future periods.

February 10, 2015

Dr. John Kelly
President
Florida Atlantic University
Boca Raton, Florida

Dear President Kelly:

SCOPE AND OBJECTIVE

At the request of the Florida Board of Governors, we have conducted an audit of the University's processes in place to ensure the completeness, accuracy, and timeliness of data submissions to the BOG. Data submitted to the BOG, upon which performance funding is based, and the methods and controls applied by management to ensure data integrity were subject to several key audit procedures. Specifically, detailed management narratives, as well as BOG publications related to data compilation were reviewed, and various samples of data reported to the BOG were verified to University source documents.

Our audit was conducted in accordance with current International Standards for the Professional Practice of Internal Auditing as published by the Institute of Internal Auditors.

BACKGROUND

The Florida Board of Governors has broad governance responsibilities affecting administrative and budgetary matters for Florida's 12 public universities. Beginning in fiscal year 2013-14, the BOG instituted a performance funding program based on 10 performance metrics used to evaluate the institutions on a range of issues including graduation rates, job placement, cost per degree and retention rates, among other outcomes. According to information published by the BOG in May 2014, the following are key components of the funding model:

- *Institutions will be evaluated on either Excellence or Improvement for each metric.*
- *Data is based on one-year data.*
- *The benchmarks for Excellence were based on the Board of Governors 2025 System Strategic Plan goals and analysis of relevant data trends, whereas the benchmarks for Improvement were determined after reviewing data trends for each metric.*
- *The Florida Legislature has approved $100 million in new funding for performance funding and a proportional amount to total $65 million would come from each university's recurring state base appropriation and another $35 million from other system initiatives.*

<u>OBSERVATIONS AND COMMENTS</u>

Given the voluminous quantity and complexity of some of the data provided to the BOG in support of the performance based metrics, we worked very closely with the University data administrator and primary data custodians. This was our first comprehensive audit focused on evaluating the integrity of FAU's data, and based on our interactions with management we noted that the Office of Institutional Effectiveness and Analysis has taken the initiative to analyze relevant controls and processes, improve internal communications, and address the overall quality of data impacting performance metrics.

During this audit, the University data administrator and other managers responsible for data compilation provided detailed narratives and other documentation describing processes meant to ensure the completeness and accuracy of data submitted to the BOG. Although responsible university personnel have had a history of internal and external coordination necessary for BOG data submissions, the formality of our audit, coupled with involvement of the University data administrator and various BOG data managers has resulted in positive developments which are expected to improve the overall integrity of the University's data for future reporting periods.

Specific suggestions for improving data integrity were reported by the University data administrator and can be broadly categorized as technical and non-technical enhancements in the data compilation process.

Enhancements in University data integrity

As previously noted, the University data administrator and others completed a critical review of internal procedures necessary to ensure integrity of data used for performance funding metrics. A primary consideration of management was to focus on possible ways to address any perceived data inaccuracies or programming deficiencies at the primary data custodian level. As a result of this analysis, the most significant issue noted was that coding errors found in the Hours-to-Degree (HTD) file would require resubmission of data to the BOG. These errors related to calculation adjustments needed for consistent treatment of some military courses, internships, and language courses, among others, for several past academic reporting periods. During November 2014, the BOG accepted the University's resubmissions of the Hours-to-Degree files for all six terms comprising the 2012-13 and 2013-14 reporting years. The HTD file is required for University performance metric 9, *Percent of Bachelor's Degrees Without Excess Hours*, and the University data administrator has calculated that the 2012-13 resubmitted data would have improved the metric score for FAU by two additional points.

<u>CONCLUSION</u>

Based on our audit, we have concluded that the controls and processes which Florida Atlantic University has in place to ensure the accuracy and completeness of data submitted to the Board of Governors in support of performance based funding are adequate. We believe our audit can be relied upon by the University Board of Trustees and president as a basis for certifying the representations made to the Board of Governors related to integrity of data required for its performance based funding model.

We wish to thank the staffs of the Office of Institutional Effectiveness and Analysis, Office of the Registrar, and other primary data custodians for their cooperation and assistance which contributed to the successful completion of this audit. We encourage continued cooperation and interaction amongst the various areas responsible for ensuring integrity in the university's data as required by internal constituents and external entities.

Morley Barnett, CPA, CPE
Inspector General

Audit performed by: Mike Hewett, CIA, CGAP, CBA, CFSA
Morley Barnett, CPA, CFE

Performance Based Funding Data Integrity Audit
9/30/2014

LIST OF REPORT APPENDICES

Board of Governors
Performance Based Funding Metric Definitions
(as reported in the 2012-13 System Accountability Report) *

Data File Submitted/ Date due/ Term	Table	Data Elements (from SUDS Dictionary)**	Original Data source -ADD COMMENTS AS NECESSARY	
		2002 - University Row Identifier	Code used by the university to identify a particular row in a file submssion. Created using a four character report identifier (ie: 'D14S' for Degrees Awarded Spring 2014) concatenated with a four character alpha-numeric record counter	fid_da01
		2001 - Reporting time Frame	Code indicating the time frame to which the data apply. Use current submission term date	fid_da02
		1045 - Reporting Institution	The university within the SUS reporting this information -- code as 'FAU'	fid_da03
SIFD		1029 - Person identification number	A nine digit number assigned to an individual for identification purposes. Use the student's social security number if available. If unavailable, use the FAU ZNumber.	fid_da04
		1107 - Fee classification kind	The classification of the type of registration fees (money charged by the university for instruction) and other payments made by the student to the university for educational purposes. The three classifications are: 1) All general instruction including IFAS (Institute of Food and Agriculture Science), Health Center, Medical Center and audits. 2) Student registered for no credit (graduating student, exams, etc.) 3) Student not registered, degree posted only. If the student has an existing record in the SIF submission file for the reporting term, this value is coded as 'G', otherwise the value is coded as 'P'.	fid_da05
(Degrees Awarded)	Degrees Awarded			
		1412 - Term degree granted	Code indicating the academic term in which a degree was granted to the student by the reporting institution. This date may or may not be equal to the value coded in Term Identifier (REPT_TIME_FRAME 02001). Use the Graduation Term listed for the degree in SHRDGMR	fid_da06
	(DEG)	1081 - Degree level granted	The degree, certificate, or diploma awarded the student this term. Use the degree_level value from SHRDGMR	fid_da07
		1082 - Degree program category	The classification associated with the degree program in which the degree was awarded. Use the CIP code of the SHRDGMR major code	fid_da08
		2015 - Major indicator	Sequence number. Count of major on degree. Code 1 for 1st program, 2 for 2nd program, etc.	fid_da09
		1425 - Teacher prep program DOE *code*	Florida Dept of Education (FDOE) classification of State Approved Teacher Preparation Program. Set this value to '999' in all records	fid_da10
Spring 2014		2041 - Demo time frame	Demographic Time Frame. Use current submission term date	fid_da11
6/25/2014		2019 - Demo data source	Source of demographic information for the current record. USE 'SIFD' for Degrees Awarded file	fid_da12
		2014 - Award source	Source of the award contained in the current record. USE 'SIFD' for the Degrees Awarded file	fid_da13
		1423 - Teacher prep program DOE *Level*	This element identifies the levels of the Teacher Preparation Programs as approved by the Department of Education, Bureau of Educator Recruitment and Professional Development(ERPD). Set this value to '.' in all records	fid_da14
		1436 - Teacher Educ Program Method	A code indicating the method used to complete this State Approved Teacher Preparation Prgm Set this value to '.' in all records	fid_da15
		1083 - Fraction of degree granted	Portion of degree awarded in given program. This value is coded as 1 divided by the count of degree majors listed in SHRDGMR for the term	fid_da16
		2039 - Doctoral classification	IPEDS Reclassification of Doctorate and First-Professional Degrees. If the degree level in SHRDGMR is 'D', then if the CIP code in SHRDGMR is '513818' - code this data element with a value of 'P'. If other CIP codes - code this element with a value of 'R'. If the degree level in SHRDGMR is not 'D' - code this element with a value of '.'.	fid_da17
		1007 - Budget entity code - SUS	A code to indicate the budget entity in which the resource is administered or generated. 1 E&G Appropriated Educational & General (E&G) 2 Auxiliary Non-Appropriated 3 C&G Non-Appropriated 4 Health Or Medical Center Medical School Appropriated Educational & General (E&G) If SHRDGMR major is 'XACF' or 'XTAX' this value is coded with a '2'. All others are coded with a '1'. When we begin awarding Medical School degrees, the value for those will be '4'.	fid_da18
		2003 - Univ field filler	University defined information. Created for Degrees Awarded file as follows: ZNumber || 'P' || pidm || '^' || degree sequence number in SHRDGMR || '^' || degree code in SHRDGMR ||'^' || college code in SHRDGMR || '^' || major code in SHRDGMR	fid_da19
		2050 - Administrative campus code	Main campus or branch campus administratively responsible for the student. Set this value to '0001' in all records (for Boca Raton campus)	fid_da20
EA	EA Extract Table	1045, 1629, 1297, 1303,1507,1506, 1509, 1301		
(Expenditure Analysis)	(Salary and benf from IRD file	1302, 1516, 1176, 1307 and 1043		
	and all E&G operating exp	-Refer to Data Dictionary for details-		
	from Operating Budget file)			

METRICS COMMON TO ALL UNIVERSITIES

	METRIC	DEFINITION
1	Percent of Bachelor's Graduates Employed Full-time in Florida or Continuing their Education in the U.S. One Year After Graduation	This metric is based on the percentage of a graduating class of bachelor's degree recipients who are employed full-time in Florida or continuing their education somewhere in the United States. Students who do not have valid social security numbers are excluded. Note: Board staff have been in discussions with the Department of Economic Opportunity staff about the possibility of adding non-Florida employment data (from Wage Record Interchange System (WRIS2) to this metric for future evaluation. *Sources: State University Database System (SUDS), Florida Education & Training Placement Information Program (FETPIP), National Student Clearinghouse.*
2	Median Wages of Bachelor's Graduates Employed Full-time in Florida One Year After Graduation	This metric is based on annualized Unemployment Insurance (UI) wage data from the fourth fiscal quarter after graduation for bachelor's recipients. UI wage data does not include individuals who are self-employed, employed out of state, employed by the military or federal government, those without a valid social security number, or making less than minimum wage. *Sources: State University Database System (SUDS), Florida Education & Training Placement Information Program (FETPIP), National Student Clearinghouse.*
3	Average Cost per Bachelor's Degree *Instructional costs to the university*	For each of the last four years of data, the annual total undergraduate instructional expenditures were divided by the total fundable student credit hours to create a cost per credit hour for each year. This cost per credit hour was then multiplied by 30 credit hours to derive an average annual cost. The average annual cost for each of the four years was summed to provide an average cost per degree for a baccalaureate degree that requires 120 credit hours. *Sources: State University Database System (SUDS), Expenditure Analysis: Report IV (2009-10 through 2012-13).*

Board of Governors
Performance Based Funding Metric Definitions
(as reported in the 2012-13 System Accountability Report) *

			Data File Submitted/ Date due/ Term	Table	Data Elements (from SUDS Dictionary)**	Original Data source -ADD COMMENTS AS NECESSARY	
			SIF	**Enrollments** (ENRL)			
4	Six Year FTIC Graduation Rate	This metric is based on the percentage of first-time-in-college (FTIC) students who started in the Fall (or summer continuing to Fall) term and had graduated from the same institution within six years. Students of degree programs longer than four years (eg, PharmD) are included in the cohorts. Students who are active duty military are not included in the data. *Source: State University Database System (SUDS).*			1107 - Fee classification kind	The classification of the type of registration fees (money charged by the university for instruction) and other payments made by the student to the university for educational purposes. The three classifications are: 1) All general instruction including IFAS (Institute of Food and Agriculture Science), Health Center, Medical Center and audits. 2) Student registered for no credit (graduating student, exams, etc.) 3) Student not registered, degree posted only. If the report submission is for the SIF or the SIFP, this value is coded as 'G' -- if the report submission is for the SIFD, this value is coded as 'P'.	fid_en06
5	Academic Progress Rate *2nd Year Retention with GPA Above 2.0*	This metric is based on the percentage of first-time-in-college (FTIC) students who started in the Fall (or summer continuing to Fall) term and were enrolled full-time in their first semester and were still enrolled in the same institution during the Fall term following their first year with had a grade point average (GPA) of at least 2.0 at the end of their first year (Fall, Spring, Summer). *Source: State University Database System (SUDS).*			1060 - Student Classification Level	The categorization of the student's progress at the beginning of the term toward a specific degree or certificate as it applies to allocation of resources within the State University System. These categories are: Advanced Graduate--a graduate student who has been formally admitted to a recognized Doctoral or Post-Masters's degree program. Beginning Graduate--a graduate student who has been formally admitted to a graduate degree program and is not an advanced graduate student. Upper Division--a student who has earned 60 or more credit hours or has an associate of arts degree and has completed requirements in English and Mathematics as prescribed by FAC 6A-10.030 or is working toward an additional baccalaureate degree. Lower Division--a student who has earned less than 60 credit hours, or a student who has not been admitted to the upper division. Unclassified--a student not admitted to a degree program. Using level code from SGBSTDN, run sctcvt5.wp_class_calc_db. This will return the classification code and the number of credit hours earned by the student. Then using the classification code, the program translates the classification into the BOG defined value for Student Classification Level.	fid_en28
					1413 - Student at Most Recent Admission Type	Type of student at the time of most recent admission or readmission to the institution. Type student coded here should reflect the student's most current admission status at the reporting institution. If the student has not been readmitted this type should NOT change. If the Student Entry Date is equal to the reporting term, code this data element with the value of the Student Entry Type. Otherwise, code the element with the value of the student type of the latest record in SGBSTDN where the type is not 'C' for a continuing student. If no such record exists in SGBSTDN, code the element with the value of the student type of the latest admitted SARADAP record.	fid_en20
					1067 - Last institution code	The Office of Postsecondary Education Identifier (OPEID) code for the student's most recent post-secondary educational training previous to this institution. Run KWS_BOR.calc_last_attd using student pidm and reporting term. This will return the OPEID code for the school with latest attendance date prior to the student's most recent admission to FAU.	fid_en16
					1068 - Type of student at date of entry	Type of student at time of first registration for credit courses at this institution. This element does not change after the first term the student is registered for credit courses. Find term and student type from very first record in SGBSTDN where the student type is NOT 'C' for continuing and the status is NOT 'IA' or 'IS' for inactive status. If the term is the same as the current reporting term, use this student type. If the term does not match the current reporting term, find the earliest term in SHRTCKN that is earlier than the current reporting term. Use this term to check SFBETRM to determine the registration status code. If no record exists, code the value as '*' to force an error for the Registrar's office to research. Otherwise, if there is a valid registration status for the term, use this term to re-check SGBSTDN for the student type.	fid_en18
					1420 - Date of most recent admission	The year and month of the student's most recent admission or readmission to the institution. This element should reflect the most recent admission date to the institution. It should be updated each time the student proceeds through the admission process. If the Student Entry Date is equal to the reporting term, code this data element with the value of the Student Entry Date. Otherwise, code the element with the value of the term of the latest record in SGBSTDN where the type is not 'C' for a continuing student. If no such record exists in SGBSTDN, code the element with the value of the term of the latest admitted SARADAP record.	fid_en21

Metrics 4 and 5 continued

Data File Submitted/ Date due/ Term	Table	Data Elements (from SUDS Dictionary)**	Original Data source -ADD COMMENTS AS NECESSARY	
Spring 2014		**1112** - Highest level held	The highest educational degree, certificate or diploma held by the individual. Using the student type at the most recent admission, run sctcvt5.pws_calc_high_deg_edlv. This will return the degree code and education level of the highest ranking degree held by the student prior to the most recent admission to FAU. Using the degree code and level, run KWS_BOR.p_calc_high_level. This will return the BOG defined value for the Highest Degree Held.	fid_en30
6/12/2014		**1411** - Institution granting highest degree	OPEID Code of the post-secondary institution where the student received his/her highest degree. Using the degree code found to determine the Highest Degree Held, run KWS_BOR.p_calc_high_inst. This will return the OPEID code for the school which granted that degree.	fid_en31
		1063 - Current term course load	The total number of credit hours for which a student is enrolled this term. This excludes courses being audited, all credits awarded during the term through "Credit by Examination" and/or CLEP. Students completing prior term incompletes should not be included on the the file unless they have registered and paid fees for the credits they are completing. Code this data element by finding the sum total of all credit hours in SFRSTCR for which the student is registered in the given term.	fid_en41
		1085 - Institutional hours for GPA	Total number of credit hours attempted in current degree level (Undergraduate, Graduate, First Professional) at reporting institution at the beginning of the reporting term to be used for calculation of the Grade Point Average. Excludes all non-institutional credit awarded (CLEP, etc.) Code this data element using the amount of GPA hours in SHRLGPA less the amount of hours in SHRTGPA for the term and level of the student. Only use 'I' (institutional) type hours.	fid_en43
		1086 - Total institutional grade points	Total institutional grade points generated in current degree level (Undergraduate, Graduate, First Professional) by student at this institution, based on a 4.0 system, prior to the reporting term. Does not include non-instructional credit awarded (CLEP, etc.) Code this data element using the amount of quality points in SHRLGPA less the amount of quality points in SHRTGPA for the term and level of the student. Only use 'I' (institutional) type quality points.	fid_en44
		1088 - Term credit hours for GPA	Total credit hours for the current term which are to be used for grade point average calculation based on a 4.0 system. This element does not include hours for pass/fail courses, non- instructional courses, or audits, etc. Code this data element using the amount of GPA hours in SHRTGPA for the term and level of the student. Only use 'I' (institutional) type GPA hours.	fid_en46
		1090 - Term grade points earned	Total grade points on a 4.0 system earned by the student in the term being reported. Code this data element using the amount of quality points in SHRTGPA for the term and level of the student. Only use 'I' (institutional) type quality points.	fid_en48
		1801 - University GPA	There are three University Grade Point Averages that are calculated from the Student Data Course File records and and included in reports: Cumulative GPA at Beginning of Term Term GPA Cumulative GPA at End of Term Generated field not submitted by university	
SIFD	**Degrees Awarded**	**2001** - Reporting Time Frame	Code indicating the time frame to which the data apply. Use current submission term date	fid_da02
Spring 2014	" "	**1107** - Fee classification - kind	The classification of the type of registration fees (money charged by the university for instruction) and other payments made by the student to the university for educational purposes. The three classifications are: 1) All general instruction including IFAS (Institute of Food and Agriculture Science), Health Center, Medical Center and audits. 2) Student registered for no credit (graduating student, exams, etc.) 3) Student not registered, degree posted only. If the student has an existing record in the SIF submission file for the reporting term, this value is coded as 'G', otherwise the value is coded as 'P'.	fid_da05
Spring 2014		**1433** - Fulltime/Part-time indicator	Indicator which establishes the full-time/part-time status of a student at an institution. Load programs on ENROLLMENTS table will NULL value for FTIC students (STU_RECENT_ADM_TYP = 'B','H','E'). Code this data element with a value of 'F' if the total hours attempted during the semester is 12 credit hours or greater. Otherwise, code the element with a value of 'P'.	fid_en40
Retention - BOG derived	**Retention Cohorts Chgs**	**1437** - Student right to know flag		
2012/13 (Sum, fall, sp)	(RETC) " "	**1442** - Cohort adjustment flag		
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Board of Governors
Performance Based Funding Metric Definitions
(as reported in the 2012-13 System Accountability Report) *

6	**Bachelor's Degrees Awarded within Programs of Strategic Emphasis** (includes STEM)	This metric is based on the number of baccalaureate degrees awarded within the programs designated by the Board of Governors as 'Programs of Strategic Emphasis'. A student who has multiple majors in the subset of targeted Classification of Instruction Program codes will be counted twice (i.e., double-majors are included). *Source: State University Database System (SUDS).*

Data File Submitted/ Date due/ Term	Table	Data Elements (from SUDS Dictionary)**	Original Data source -ADD COMMENTS AS NECESSARY	
SIFD	**Degrees Awarded**	**1082** - Degree Program Category	The classification associated with the degree program in which the degree was awarded. Use the CIP code of the SHRDGMR major code	fid_da08
		1083 - Degree Program Fraction of Degree Granted (a summed field)	Portion of degree awarded in given program.	fid_da16
6/25/2014			This value is coded as 1 divided by the count of degree majors listed in SHRDGMR for the term	
Spring 2014 (201401)		**1045** - Reporting Institution	The university within the SUS reporting this information -- code as 'FAU'	fid_da03
		1412 - Term Degree Granted	Code indicating the academic term in which a degree was granted to the student by the reporting institution. This date may or may not be equal to the value coded in Term Identifier (REPT_TIME_FRAME 02001). Use the Graduation Term listed for the degree in SHRDGMR	fid_da06
		1081 - Degree Level Granted	The degree, certificate, or diploma awarded the student this term. Use the degree_level value from SHRDGMR	fid_da07
		2015 - Major indicator	Sequence number. Count of major on degree. Code 1 for 1st program, 2 for 2nd program, etc.	fid_da09

7	**University Access Rate** Percent of Undergraduates with a Pell-grant	This metric is based the number of undergraduates, enrolled during the fall term, who received a Pell-grant during the fall term. Unclassified students, who are not eligible for Pell-grants, were excluded from this metric. *Source: State University Database System (SUDS).*

Data File Submitted/ Date due/ Term	Table	Data Elements (from SUDS Dictionary)**	Original Data source -ADD COMMENTS AS NECESSARY	
	Enrollments	**2041** - Demo Time Frame	Demographic Time Frame. Use current submission term date	fid_en02
SIF	**(ENRL)**	**1045** - Reporting University	The university within the SUS reporting this information -- code as 'FAU'	fid_en03
		1413 - Student at Most Recent Admission Type	Type of student at the time of most recent admission or readmission to the institution. Type student coded here should reflect the student's most current admission status at the reporting institution. If the student has not been readmitted this type should NOT change. If the Student Entry Date is equal to the reporting term, code this data element with the value of the Student Entry Type. Otherwise, code the element with the value of the student type of the latest record in SGBSTDN where the type is not 'C' for a continuing student. If no such record exists in SGBSTDN, code the element with the value of the student type of the latest admitted SARADAP record.	fid_en20
		1060 - Student Classification Level	The categorization of the student's progress at the beginning of the term toward a specific degree or certificate as it applies to allocation of resources within the State University System. These categories are: Advanced Graduate--a graduate student who has been formally admitted to a recognized Doctoral or Post-Masters's degree program. Beginning Graduate--a graduate student who has been formally admitted to a graduate degree program and is not an advanced graduate student. Upper Division--a student who has earned 60 or more credit hours or has an associate of arts degree and has completed requirements in English and Mathematics as prescribed by FAC 6A-10.030 or is working toward an additional baccalaureate degree. Lower Division--a student who has earned less than 60 credit hours, or a student who has not been admitted to the upper division. Unclassified--a student not admitted to a degree program. Using level code from SGBSTDN, run sctcvt5.wp_class_calc_db. This will return the classification code and the number of credit hours earned by the student. Then using the classification code, the program translates the classification into the BOG defined value for Student Classification Level. *	fid_en28
Jan 2013				
		1053 - Degree Level Sought	The level of degree that will be awarded pending successful completion of the student's current degree program. Using DEGC_CODE and EDLV_CODE from SGBSTDN, run KWS_BOR.p_calc_high_level. This will return the BOG defined value for Degree Level Sought as determined by educational level and degree type.	fid_en32
Fall 2012				
		1107 - Fee Classification Kind	The classification of the type of registration fees (money charged by the university for instruction) and other payments made by the student to the university for educational purposes. The three classifications are: 1) All general instruction including IFAS (Institute of Food and Agriculture Science), Health Center, Medical Center and audits. 2) Student registered for no credit (graduating student, exams, etc.) 3) Student not registered, degree posted only. If the report submission is for the SIF or the SIFP, this value is coded as 'G' -- if the report submission is for the SIFD, this value is coded as 'P'.	fid_en06
SIF (Fall 2012)	**Person Demo**	**1045** - Reporting Time Frame ('1045' should be Reporting Institution)	The university within the SUS reporting this information -- code as 'FAU'	fid_pd03
SFA (2012/13)	**Financial Aid Awards**	**2040** - Award Payment Term	this is not a file I work with - I cannot provide information about these data elements - INS	
(Student Financial Aid)	(FAWD)	**2037** - Term Amount	this is not a file I work with - I cannot provide information about these data elements - INS	
		1253 - Federal Aid Award Program Indentifier	this is not a file I work with - I cannot provide information about these data elements - INS	

8a	**Graduate Degrees Awarded within Programs of Strategic Emphasis** (includes STEM)	This metric is based on the number of graduate degrees awarded within the programs designated by the Board of Governors as 'Programs of Strategic Emphasis'. A student who has multiple majors in the subset of targeted Classification of Instruction Program codes will be counted twice (i.e., double-majors are included). *Source: State University Database System (SUDS).*

Data File Submitted/ Date due/ Term	Table	Data Elements (from SUDS Dictionary)**	Original Data source -ADD COMMENTS AS NECESSARY	
SIFD	**Degrees Awarded**	**1082** - Degree Program Category	The classification associated with the degree program in which the degree was awarded. Use the CIP code of the SHRDGMR major code	fid_da08
	(DEG)	**1083** - Degree Program Fraction of Degree Granted (a summed field)	Portion of degree awarded in given program. This value is coded as 1 divided by the count of degree majors listed in SHRDGMR for the term	fid_da16
6/25/2014				
Spring 2014 (201401)		**1045** - Reporting Institution	The university within the SUS reporting this information -- code as 'FAU'	fid_da03

Metric 8a continued

Data File Submitted/ Date due/ Term	Table	Data Elements (from SUDS Dictionary)**	Original Data source -ADD COMMENTS AS NECESSARY	
SIFD	**Degrees Awarded**			
		1412 - Term Degree Granted	Code indicating the academic term in which a degree was granted to the student by the reporting institution. This date may or may not be equal to the value coded in Term Identifier (REPT_TIME_FRAME 02001). Use the Graduation Term listed for the degree in SHRDGMR	fid_da06
		1081 - Degree Level Granted	The degree, certificate, or diploma awarded the student this term. Use the degree_level value from SHRDGMR	fid_da07
		2015 - Major indicator	Sequence number. Count of major on degree. Code 1 for 1st program, 2 for 2nd program, etc.	fid_da09

HTD	**Courses to Degree**	1484 - Course System Code		
			The data is retrieved from SOABGIY and the school characteristics where the course was taken. Native (N) If the institution code is '001481' Florida Public Community College (C). If the school is found in SOABGIY and the characteristics code is "C". Other SUS Institution (O) If the school is found in SOABGIY and the characteristics code is other than "C" If the school is found in SOABGIY and the characteristics code is other than "C" if the school is not found in SOABGIY	
		1485 - Course Grouping Code		
			This field is coded as follows:Academic course (A) If the CRS_INST_CD from DARS table job_queue_course field 'RTITLE' is equal to '00148100' (FAU FICE code) and the course number starts with '1', '2', '3' or '4'. If the CRS_INST_CD from DARS table job_queue_course field 'RTITLE' is equal to '00148100' (FAU FICE code) and the course number starts with '0' and the course prefix is equal to 'MUS'. Any other for which the crs_group value has not already been determined above.College Prep (Remedial) course (C) If the course number starts with '0', '7', '8', or '9' and the course prefix is in the list ('MAT', 'REA', 'RDG', 'WRT', 'DES', 'ENC', 'ESL', 'REM', 'BSC', 'EAP', 'ENG', 'ENS', 'ESY', 'MTH') or If the course attribute from Banner Table SHRTATT is equal to REM or REMT.Dual Enrollment Course (D)Dual enrollment as part of the crs_group became a requirement starting fall of 2012. In order to obtain this value the procedure was to complete the "courses_to_degree" file and then match the courses for each student for each term to the file of fee-waivers. If there was a match the value in the crs_group field was changed to a 'D'.This procedure would determine FAU courses for students who were dual-enrolled. Before creating the courses-to-degree file for the fall of 2013 t became necessary to report dual-enrolled transfer courses as well and the high school graduation date became the means for this purpose. If the transfer course was taken prior to the student's high school graduation, then the course was defined as a dual-enrolled course.For the fall of 2013 dual-enrolled FAU Courses were determined using the fee-waiver file and dual-enrolled transfer courses were determined using the high school graduation date. For the spring of 2014 the programming was change to determine all dual-enrolled courses (FAU and transfer) using the High school graduation date.Exam Credit (E)If the CRS_INST_CD from DARS table 'job_queue_course' field 'RTITLE' is equal to 'EXAMCR' or If the course number is equal to 997 or 998 and the course prefix is in the list ('RDG', 'WRT', 'ESY') or If the course number is equal to 999 or 9999 and the course prefix is equal to PEN. Life Experience (L) There is no programming for this category. Military Course (M) If the transfer course attribute from Banner Table SHRTATT is equal to DANT or DSST If the FAU course prefix is 'MSL' or 'AFR'.Graduate Roll Over course (R) If the CRS_INST_CD from DARS table job_queue_course field 'RTITLE' is equal to '00148100' (FAU FICE code) and the course number starts with '5' or '6'. If the course number starts with '7', '8', or '9' and the crs-group value has not been already determined above.Vocational Course (V) If the course number starts with '0', '7', or '8' and the course prefix is in the list ('NON', 'CAE', 'CJ', 'CSE', 'DEA', 'HCP') Non accredited/non acceptable (X) There is no programming for this category.	

INSTITUTION SPECIFIC METRICS
SELECTED BY THE BOARD OF GOVERNORS

	METRIC	DEFINITION
9a	**Percent of Bachelor's Degrees Without Excess Hours** Applies to: FAMU, FAU, FIU, FGCU, UCF, UNF, USF, UWF	This metric is based on the percentage of baccalaureate degrees awarded within 110% of the credit hours required for a degree based on the Board of Governors Academic Program Inventory. Note: It is important to note that the statutory provisions of the "Excess Hour Surcharge" (1009.286, FS) have been modified several times by the Florida Legislature, resulting in a phased-in approach that has created three different cohorts of students with different requirements. The performance funding metric data is based on the latest statutory requirements that mandates 110% of required hours as the threshold. In accordance with statute, this metric excludes the following types of student credits (ie, accelerated mechanisms, remedial coursework, non-native credit hours that are not used toward the degree, non-native credit hours from failed, incomplete, withdrawn, or repeated courses, credit hours from internship programs, credit hours up to 10 foreign language credit hours for transfer students in Florida, and credit hours earned in military science courses that are part of the Reserve Officers' Training Corps (ROTC) program). *Source: State University Database System (SUDS).*

Board of Governors
Performance Based Funding Metric Definitions
(as reported in the 2012-13 System Accountability Report) *

Metric 9a continued

Data File Submitted/ Date due/ Term	Table	Data Elements (from SUDS Dictionary)**	Original Data source -ADD COMMENTS AS NECESSARY	
HTD	**Courses to Degree**	**1489** - Credit Hour Usage Indicator	Starting with the fall of 2013 the programming code for this field is as follows: Foreign Language Used to Meet Language Requirement (L) Using the field 'RNAME' from DARS table 'job_queue_course' Check the course for FLEX and FLENT. If the course is only FLENT Hours Used Toward the Degree (D)Using the field 'RNAME' from DARS table 'job_queue_course'. If RNAME equal 'TOTALHRS' (Except for Foreign Language courses, every course with 'TOTALHRS' gets USAGE_IND = 'D' . Hours Not Used Toward the Degree (N) if the course number starts with '0', '7', '8', or '9' and the course prefix is in the list ('MAT', 'REA', 'RDG', 'WRT', 'DES', 'ENC', 'ESL', 'REM', 'BSC', 'EAP', 'ENG', 'ENS', 'ESY', 'MTH').(Except for Foreign Language courses, this criteria changes the 'D' to 'N'. If the course attribute from Banner Table SHRTATT is equal to REM or REMT. (Except for Foreign Language courses, this criteria changes the 'D' to 'N'.If the course number starts with '0', '7', or '8' and the course prefix is in the list ('NON', 'CAE', 'CJ', 'CSE', 'DEA', 'HCP'). (Except for Foreign Language courses, this criteria changes the 'D' to 'N'). If course grade 'RGRADE' from DARS table 'job_queue_course' is in the list ('CW', 'AU', 'ZR', 'F', 'I', 'NC', 'NG', 'W', 'WM', 'NR', 'U', 'N') change 'D' to 'N'. If CRS_RESULT is equal to 'F' change 'D' to 'N'.If CRS_GROUP is equal 'C' or 'V' change 'D' to 'N' After the procedure above has been completed calculate deficits by adding all the courses with USAGE_IND equal to 'D' and subtract from the total required hours for the degree. If courses are needed (credit hours less than degree required hours) then: Take courses using the field 'RNAME' from DARS table 'job_queue_course' where the value of this field is 'OTHER' and the course has a passing grade and the course is not Remedial, Vocational, or Repeated. (Remedial and Vocational as defined in CRS_GROUP. A course is considered Repeated when the third and fourth position of the grade field contain 'AV' or 'EX').The priority for adding courses is as follows: a) Native Courses b) Higher graded courses c) 1st recorded courses first d) Avoid GA courses. If too many courses (credit hours over 10% of degree required hours) then: If the course prefix is in the list ('SLS', 'REA', 'MAT') or the course prefix starts with 'PE' and the student's major is not Exercise Science (EXSC) After the file has been completed then use OVER_and_UNDER queries to find students who have too much or too little credit.Take away credit starting with the oldest courses by changing the USAGE_IND from 'D' to an 'N'. To ADD credit the course has to have a passing grade and cannot be remedial, vocational, or repeated.	
		1459 - Section Credit	The data is retrieved from DARS using the field rcredit in the table job_queue_course.	
		1488 - Credit Hour Testing Method	The data is retrieved from BANNER using the Equivalent Course Attributes in SHATATR or the shrtatt_attr_code from table SHRTATT as follows: Course Attribute 'ABTR', 'BREV', 'CAPE', 'DANT', 'DLGI', or 'OTHE' Testing Method code 'OT'. Course Attribute 'ACRT' or 'AICE' Testing Method code 'BL'. Course Attribute 'APEC' 'AP'. Course Attribute 'CGEX', 'CSEX', or 'CLEP' Testing Method code 'CL' Course Attribute 'DPEX' Testing Method code 'NM' Course Attribute 'FBAC', 'IBWK', 'IBAC', or 'ITLM' Testing Method code 'IB' Course Attribute Any other Testing Method code 'NN'	
		1104 - Course Section Type	The data is retrieved from BANNER using the Schedule Type in SHATCKN or the shrtckn_schd_code from table SHRTCKN and/or the 8th character of the COURSE field in DARS table job_queue_course as follows: Schedule Type 'LDS', 'LEC', 'LLB', or 'STU' Course Section Type 'C'. Schedule Type 'SUP' or 'INT' Course Section Type 'S'. Schedule Type 'LAB' Course Section Type 'L'. Schedule Type 'DIS' Course Section Type 'D'. Schedule Type 'PRF' or 'PRL' Course Section Type 'P' Schedule Type 'IND'Course Section Type 'Z'. Schedule Type 'RES' Course Section Type 'R' If Schedule Type does not exist and 8th Character of COURSE field in DARS table. Course Section Type 'L'. job_queue_course is 'C' or 'L' then Course Section Type is blank. If Schedule Type is Any other then Course Section Type 'C'.	
		*****		
7/22/2014				
Spring 2014 (201401)	**Hours to Degree**	**1477** - Catalog -Hours to Degree	This data is collected from DARS in the RNAME field when the Requirement Name is 'HOURS1%' or it has in it '%120%', '%123%', '%126%', '%128%', '%136%', '%159%'.	
	(HTD)			

SIFD	**Degrees Awarded**	**1081** - Degree Level Granted	The degree, certificate, or diploma awarded the student this term. Use the degree_level value from SHRDGMR	fid_da07
		1082 - Degree Program Category	The classification associated with the degree program in which the degree was awarded. Use the CIP code of the SHRDGMR major code	fid_da08
		1083 - Degree Program (Fraction of degree granted)	Portion of degree awarded in given program. This value is coded as 1 divided by the count of degree majors listed in SHRDGMR for the term	fid_da16
		1045 - Reporting Institution	The university within the SUS reporting this information -- code as 'FAU'	fid_da03

INSTITUTION SPECIFIC METRICS
SELECTED BY EACH UNIVERSITY'S BOARD OF TRUSTEES

10b	Bachelor's Degrees Awarded to Minorities	This metric is the number, or percentage, of baccalaureate degrees granted in an academic year to Non-Hispanic Black and Hispanic students. This metric does not include students classified as Non-Resident Alien or students with a missing race code.
	Applies to: FAU, FGCU, FIU	Source: State University Database System (SUDS)

Metric 10 b continued

Data File Submitted/ Date due/ Term	Table	Data Elements (from SUDS Dictionary)**	Original Data source -ADD COMMENTS AS NECESSARY	
SIFD	**Degrees Awarded**	**1412** - Term Degree Granted	Code indicating the academic term in which a degree was granted to the student by the reporting institution. This date may or may not be equal to the value coded in Term Identifier (REPT_TIME_FRAME 02001). Use the Graduation Term listed for the degree in SHRDGMR	fid_da06
	Person Demo	**1044** - Racial/Ethnic Group; **1491** - Hipanic or Latino	1044 - Categories used to describe groups to which individuals belong, identify with, or belong in the eyes of the community. The categories do not denote scientific definitions of anthropological origins. A person may be counted in only one group. The manner of collection of the racial/ethnic information is left to the discretion of the institution provided that the system which is established results in reasonably accurate data, which may be replicated by others when the same documented system is utilized. 1491 - A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin, regardless of race. Default all Race Code flags to a value of 'N' and default element 1044 to 'X'. If the ethnicity code in SPBPERS is '2', then code the value of element 1044 as 'H' and element 1491 as 'Y'. If the race code in GORPRAC is 'A', then code the value of element 1044 as 'A'. If the race code in GORPRAC is 'B', then code the value of element 1044 as 'B'. If the race code in GORPRAC is 'I', then code the value of element 1044 as 'I'. If the race code in GORPRAC is 'P', then code the value of element 1044 as 'P'. If the race code in GORPRAC is 'W', then code the value of element 1044 as 'W'.	fid_pd13 fid_pd14
		1492 - American Indian/Alaskan Native; **1493** - Asian	1492 - A person having origins in any of the original peoples of North and South America (including Central America), and who maintains tribal affiliation or community attachment. 1493 - A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian subcontinent including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam. Default all Race Code flags to a value of 'N'. If the race code in GORPRAC is 'I', then code the value of element 1492 as 'Y'. If the race code in GORPRAC is 'A', then code the value of element 1493 as 'Y'.	fid_pd15 fid_pd16
		1494 - Black or Afican American; **1496** - White	1494 - A person having origins in any of the black racial groups of Africa. 1496 - A person having origins in any of the original peoples of Europe, the Middle East, or North Africa. Default all Race Code flags to a value of 'N'. If the race code in GORPRAC is 'B', then code the value of element 1494 as 'Y'. If the race code in GORPRAC is 'W', then code the value of element 1496 as 'Y'.	fid_pd17 fid_pd19
		1495 - Native Hawaiian or Other Pacific Islander	A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands. Default all Race Code flags to a value of 'N'. If the race code in GORPRAC is 'P', then code the value of this element as 'Y'.	fid_pd18
		1497 - No Race Reported	An indication that neither race nor ethnicity is available and that the individual has not been reported as a non-resident alien. When NO_RACE_REPORTED_FLG equals 'Y' all other Race/Ethnicity flags must equal 'N'. If all other Race flags are coded with a value of 'N', the value of this data element is coded as 'Y'. However, if the Hispanic Ethnicity is reported, the value of this data element reverts back to 'N'.	fid_pd21

Metric 10 b continued

Data File Submitted/ Date due/ Term	Table	Data Elements (from SUDS Dictionary)**	Original Data source -ADD COMMENTS AS NECESSARY	
SIFD	Person Demo	**2043** - Non-resident Alien Flag		
			Non-resident Alien Flag. When NON_RES_ALIEN_FLG equals 'Y' all Race/Ethnicity flags must equal 'N'.	
			Different criteria are used to code the value of this data element.	
			If the residency code in BANNER (SGBSTDN for SIF, SIFP, SIFD; SARADAP for ADM, LAP) is 'F', 'E', 'R', or 'N', the value of this element is coded as 'N' because the student is a resident. Otherwise, if the citizenship code in SPBPERS is 'F', the value of this element is coded as 'Y' because the student is a foreign citizen.	
			However, if the citizenship code in SPBPERS is not a null value, the value of this element is coded as 'N' because the student has documentation of permanent residency or as a resident alien. But if the visa type in GORVISA is not 'PR" or 'RA', the value of this element is coded as 'Y' because the student does not have the necessary documentation.	fid_pd20
			Visa types of 'PR' and 'RA' will result in the value of this element being coded 'N' because the student has the documentation. However if the residency code is 'A', the value of this element reverts back to 'Y' for alien residency status.	
			If the residency code has any other value, the value of this element is default coded as 'N'.	
			IF this element has a value of 'Y', all other Race/Ethnicity flags are coded with a value of 'N' per FLBOG data dictionary requirements.	

PERFORMANCE BASED FUNDING DATA INTEGRITY AUDIT
9/30/2014

BOG NARRATIVES FOR DERIVATION OF FUNDING METRICS

Sample Methodology Document - Metric #9

Refer to Exhibit B - Page 2 of 2

BOG References to Other Metrics Methodology Documents:

http://www.flbog.edu/about/budget/performance_funding.php

Metric # 9

Performance Funding Metrics
Percent of Bachelor's Degrees Awarded
Without Excess Hours

OVERVIEW
OF METHODOLOGY
AND PROCEDURES

STATE UNIVERSITY SYSTEM *of* FLORIDA
Board of Governors

The State University System of Florida has been reporting the number of hours in excess of degree requirements for decades in its annual accountability reports. In 2009, the Florida Legislature established an "Excess Credit Hour Surcharge" to encourage students to complete their baccalaureate degrees as quickly as possible. This law created an additional fee for each credit hour that exceeds specific thresholds. It is important to note that the statutory provisions of the Excess Hour Surcharge have been modified several times by the Florida Legislature, resulting in a phased-in approach that has created three different cohorts of students with different requirements. The 2012-13 data described in this document is based on the latest statutory requirements that mandate a 110% threshold of the required hours.[1]

In 2011, the Board of Governors included the excess hours metric in its 2012-2025 System Strategic Plan. In 2014, the importance of the excess hours metric was further elevated by its inclusion in a new Performance-Based Funding Model. This document provides details on the methodology and procedures used by Board of Governors staff during the analysis of the 'Percentage of Bachelor's Degrees Awarded Without Excess Hours' as reported in the 2012-13 Accountability Reports and used in the 2014 Performance Based Funding model.

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[1] The Board's accountability metric is a retrospective summary for a given graduating class. The accountability metric does not attempt to report (and cannot be used to calculate) how many students have actually paid the surcharge at a given time. The Board of Governors will monitor actual surcharge payment data, but will continue to base the accountability metric on the latest statutory requirements because it provides a good perspective on what impact this new fee will have in the near future after the phase-in period is over. For more details see Section 1009.286, Florida Statutes at: http://www.flsenate.gov/laws/statutes/2012/1009.286.

1. Defining the Cohort: 2012-13 Baccalaureate Class

The State University System of Florida Board of Governors maintains a student unit record database titled the State University Database System (SUDS). This database contains over 400 data elements about students, faculty and programs at SUS institutions.

a. The source data for the excess hours accountability metric is the Courses to Degree (CTD) and Hours to Degree (HTD) tables that are submitted to SUDS by each university as part of their Hours To Degree (HTD) file[2].

b. The Hours to Degree File only includes single-major bachelor's degree recipients who were awarded a bachelor's for the first time during the academic year – in this case, graduates from the Summer 2012, Fall 2012, Spring 2013 terms. In 2012-13, there were 51,480 individuals reported in the HTD, which is less than the total number of bachelor's degrees awarded of 59,126. Note: New College of Florida (NCF) does not submit an HTD file.

c. The course information for the students reported includes all post-secondary course work and their course work taken in high school and accepted as post-secondary credit after high school.

2. Board Staff Query of HTD

The Board's Information Resource Management (IRM) staff query the database and provide the Board's Institutional Research (IR) unit with a student-level summary of the HTD data. The primary action of this query is to summarize the number of credit hours attempted for each individual in the HTD file into the groups described below. These groupings are critically important because the Legislature has exempted several types of credit hours from being included in the calculation of excess hours. The primary data used are not derived by Board staff, rather the data for these groups are provided by the universities in a few elements (see below).

Summary of SUDS Elements Used in Excess Hours Calculation

Submission	Table	Element Name	Element Number
HTD	Courses to Degree	Course System Code	01484
		Course Grouping Code	01485
		Credit Hour Usage Indicator	01489
		Section Credit	01459
		Credit Hour Testing Method	01488
		Course Section Type	01104
	Hours to Degree	Catalog - Hours to Degree	01477

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[2] For detailed information regarding the Hours to Degree file please see the master file documentation that is available at: http://www.flbog.edu/resources/_doc/ditr/susmaster/htd_print.pdf.

a. Statutory Inclusions

- <u>Native Credits</u>: The statute includes all credit hours attempted at the state university from which the student is seeking a baccalaureate degree, which is based on the sum of SECTION_CREDIT [#1459] when CRS_SYSTEM [#1484] = 'N--native'. Native credits includes all failed, dropped, repeated, and most withdrawals. In addition, Board of Governors staff have clarified that graduate-level credit that is attempted for completion of a baccalaureate degree is included in any calculation for excess hours. However, if graduate credit is attempted as part of a (3+2 or 4+1) dual bachelor's/master's degree, where the credit applies to both the undergraduate and graduate requirements, then it should be considered graduate degree coursework and therefore should be considered exempt from excess hours. The exempted credits are based on the sum of SECTION_CREDIT [#1459] when COURSE_GROUP [#1485] = 'R'.

- <u>Non-Native Credits Used Toward the Degree</u>: Based on all credit hours (sum of SECTION_CREDIT [#1459]) accepted for transfer by the degree-awarding institution (CRS_SYSTEM [#1484] <> 'N--native') and used toward the student's baccalaureate degree program (USAGE_INDICATOR [#1489] = 'D').

b. Statutory Exclusions

- Accelerated Mechanisms: Based on the sum of SECTION_CREDIT [#1459] when COUSE_GROUP [#1485] = 'D' or 'E'. This includes College Level Examination Program (CLEP), College Board Advanced Placement Program (AP), Advanced International Certificate of Education (AICE), International Baccalaureate (IB) examinations, and High School Dual (or Early Admit) Enrollment. Note: High school Dual/Early-Admit credits that are earned at another institution and accepted as transfer credit are also exempt from the excess hours calculation.

- Internship Courses: Based on the sum of SECTION_CREDIT [#1459] when COURSE_SECTION_TYPE [#1104] = 'I'. This should include externships, practicums and supervised teaching activities within teacher education.

- Certification: The data collected by the Board of Governors does not identify credit hours that are classified as 'for certification'; therefore, no certification credits are being excluded from the BOG accountability metric for excess hours.

- Withdrawal Due to Personal Hardship: This data has not historically been identified in the HTD. After summer 2014 Data Workshop discussions, a new element was added to the State University Database System (SUDS) Hours to Degree file to identify these credit hours.

- Active Duty Military: This data has not historically been identified in the HTD. After summer 2014 Data Workshop discussions, a new element was added to the State University Database System (SUDS) Hours to Degree file to identify these credit hours. These hours will only include credit hours taken while on active duty.

- Dual Major: Dual majors are not included in the HTD data. Surcharge Note: Because of the variation in how the curricula for dual majors can be constructed, the credits applicable to this exemption need to be determined by each university.

- Remedial/English as a Second Language: Based on the sum of SECTION_CREDIT [#1459] when COUSE_GROUP [#1485] = 'C'. In addition, Board of Governors staff decided that up to 10 credit hours of foreign language that are used to meet FTIC admission requirements (per Regulation 6.002(1)(h)) should also be exempt from excess hours. This data is based on the sum of SECTION_CREDIT [#1459] when USAGE_INDICATOR [#1489] = 'L—Foreign Language'.

- Military Sciences: Based on the sum of SECTION_CREDIT [#1459] when COURSE_GROUP [#1485] = 'M'. This identifies courses that are part of the Reserve Officers' Training Corps (ROTC) program.

- Additional Note: In response to questions regarding whether Teacher Education credit hours should be excluded, Board of Governors staff recommend that universities evaluate their Teacher Education programs to determine whether the number of credit hours required for the program needs to be adjusted. If so, then the university needs to apply for the change in catalog hours with BOG staff.

3. Board Staff Analysis of HTD Query

The Board's Institutional Research (IR) unit analyzes the dataset provided by IRM.

a. Quality Assessment

- Calculating Total Credit Hours: The first action that IR staff perform is a quality assessment step to see if all bachelor's recipients have earned at least 120 total credit hours – per Board regulation 6.017(b). This step sums the total native hours and the non-native hours used toward the degree. If students had less than 120 total credit hours used toward the degree, they were excluded from the excess hours calculation. In 2012-13, 367 students were excluded from the excess hours calculation.

  Number of 2012-13 HTD Individuals with Total Hours Used Toward the Degree Less Than 120

FAMU	FAU	FGCU	FIU	FSU	UCF	UF	UNF	USF	UWF	TOTAL
3	4	2	38	73	153	3	31	5	55	367

  - The total credit hours used toward the degree varied considerably for these students –one-third had zero total credit hours, and yet half had earned 116 credit hours.

  - At the summer 2014 Data Workshop, Board staff announced a change to an automatic edit check on the Hours Used to Degree [#1478] element that would produce an error if the hours used toward the degree is less than 99% of the required hours. Also, Board staff will allow a new value in the 2013-14 HTD release to track departmental waivers for credits that have not historically been included in HTD reports.

- Catalog Hours: Catalog Hours [#1477] refer to the number of hours required to complete the degree. Catalog hours serve as a type of contract that universities and students agree to when students are formally admitted into an academic program. This data is provided by universities in the HTD table along with a Catalog Term [#1476] which identifies the term that the catalog hours apply to.

  - In accordance with the requirements of Board of Governors regulation 8.011(4)(d), the Board office maintains the official State University System Academic Degree Program Inventory that identifies all the approved degree programs for each university within the System[3]. The programs are listed based on the Classification of Instructional Programs (CIP) taxonomy that the US Dept. of Education maintains. Universities may have multiple "majors" at the same degree level under one CIP code in accordance with definitions specified in regulation 8.011 and they may have degree programs at different levels within the same CIP. Baccalaureate program majors cannot exceed the approved degree program length as reported in the Program Inventory.

  - In accordance with the requirements of Section 1007.25(8), F.S., and Board regulation 8.014, the Board of Governors may approve a request by a university board of trustees for a bachelor's degree program to exceed 120 credit hours to degree. Baccalaureate programs that have been granted this exception are identified in the Board's Academic Program Inventory along with the required catalog hours. The Board's Inventory only provides the catalog hours for the program/track that requires the most credit hours within any six-digit CIP code. Based on 2012-13 HTD, 14% of baccalaureate degrees were granted from a program requiring more than 120 credit hours.

  - Because of the importance of catalog hours (to students and for the excess hours calculation), there is an automatic edit check on the catalog hours reported by the university on the Hours to Degree table that triggers a critical error (level 9) for a program that exceeds the catalog hours approved by Board of Governors. Such an error may cause the entire HTD submission to be rejected.

  - A general note on changes to Catalog Hours: Over time, program curricula changes may cause the university to change the catalog hours associated with a given academic program. Any changes that increase the number of catalog hours must be reviewed and approved by the Board of Governors – and will be reflected on the Board's official Academic Program Inventory.

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[3] The Board's Academic Program Inventory is available at: https://prod.flbog.net:4445/pls/apex/f?p=136:13.

b. Calculating Excess Hours

- The calculation of the excess hours metric is executed at the student-level, and combines the different groups of data provided by IRM in a way that mirrors statute as closely as possible.

  o The formula starts with a sum of the total hours (native plus non-native used toward the degree), and then subtracts 110% of the catalog hours and then the statutory exclusions. The exact formula used for 2012-13 HTD data is shown below.

    = [NATIVE HOURS + NON-NATIVE HOURS USED TO DEGREE] – (CATALOG HOURS*1.10) - DUAL ENROLLMENT HRS - ACCELERATED CREDIT HRS - EXAM CREDIT HRS - INTERNSHIP HRS - REMEDIAL HRS - LANGUAGE HRS - LIFE EXPERIENCE CREDIT HRS - MILITARY COURSE CREDIT HRS - GRADUATE ROLLOVER HRS - VOCATIONAL HRS

- This formula provides a numerical value for each baccalaureate recipient that is either negative, zero or positive. If negative or zero, the student did not earn any excess hours. If positive, the student earned excess hours. This was used to create a simple "Yes, No" flag. This data was then pivoted (in excel) to show the number of individuals by university with an EXCESS FLAG of "Yes" or "No".

- The final step removed all the individuals who had been flagged as having earned less than 120 credit hours.

4. Using Outcomes

The Performance-Based Funding Model

Board staff provided the results of the 2012-13 Excess Hours data analysis (as well as the student-level data that it was based upon) to each university data administrator for their review prior to the data being approved by each university Board of Trustees and the Board of Governors as part of the 2012-13 Accountability Report process. All of the Hours to Degree data were essentially boiled down into four numbers for each university. The percentage of a bachelor's degrees awarded without excess hours was reported by student type (FTIC, AA Transfer, and Other Transfer) and the overall total including all student types. The overall total was used in the 2014 Performance-Based Funding model.

- Note: Improvements were made to the data collection process beginning with 2012-13 data. Specifically, new values were added to the COURSE_GROUPING [# 1485] element that allowed universities to identify which credits should be classified as 'dual enrolled' and 'internships'. This change impacted each university differently, so Board staff decided that the 2012-13 excess hours data could not be fairly compared to historical data. Therefore, there were no 'improvement points'[4] available for excess hours in the 2014 Performance-Based Funding model.

2012-13 Bachelor's Degrees Awarded Without Excess Hours

	FAMU	FAU	FGCU*	FIU	FSU	NCF	UCF	UF	UNF	USF SYSTEM	USF TAMPA	USF ST. PETE	USF SAR-MA	UWF	SUS
FTIC	25%	44%	66%	39%	76%	8%	54%	73%	65%	52%	51%	58%	n/a	49%	59%
AA Transfers	56%	76%	85%	86%	76%	25%	65%	88%	78%	65%	63%	65%	71%	75%	72%
Other Transfers	35%	66%	78%	80%	82%	39%	57%	82%	69%	50%	46%	52%	67%	72%	65%
TOTAL	31%	63%	74%	70%	76%	12%	60%	77%	71%	56%	53%	59%	70%	65%	65%

SOURCE: 2012-13 System Accountability Report. Note*: FGCU resubmitted their HTD data after their initial accountability report was approved to fix an error with how dual enrolled credits were reported. Their revised data was then taken back to their Board and approved as an erratum to their 2012-13 Accountability Report, and then brought forward and approved by the Board of Governors. The total row in the above data was used in the 2014 Performance Based Funding model.

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[4] For more information about the Performance-Based Funding model, see the Board's website at:
http://www.flbog.edu/about/budget/performance_funding.php.

University Certification Review

Executive Summary

11/01/2014

Processes and Procedures

The Office of Institutional Effectiveness and Analysis (IEA) at Florida Atlantic University (FAU) follows the Board of Governor's (BOG) processes and procedures for data submission. Programmers and other administrative staff across campus upload the data files into the application portal and run edits using the BOG software. A designated employee in IEA completes the final submission after correction or explanation of the error warnings.

The assistant vice provost in IEA and chief information officer initiated a review process during summer-fall 2014 to evaluate all of the data files that impact the metrics for accuracy. This process is called, "certification review." Appendix A outlines the certification review process and required report that was compiled by the programmers and administrators in each area. Due to the heavy workload during the fall, the certification review report was not always available for the meeting, and administrative staff provided it afterwards. (See the attached reports in the appendix.) In addition to the meetings, email exchanges and phone conversations took place to clarify data integrity issues and corrections that would be made to the data files.

Certification Review Meeting Schedule

August 6th, DARS and Hours to Degree Submission
Dave Morgan, Carlo Mazoleny, Jeff Hoyt

August 8th, 2014, Courses to Degree, Hours to Degree
Wendy Kutchner, Dave Morgan, Carlo Mazoleny, Jason Ball, Jeff Hoyt

August 12th, 2014, Follow-up Meeting, Hours to Degree
October 3rd 2014, Courses to Degree Resubmission-Clarifications
Wendy Kutchner, Dave Morgan, Carlo Mazoleny, Jeff Hendricks, Richard Thompson, Jason Ball, Jeff Hoyt

September 3rd 2014, Admissions Exceptions, Applicants Admits
Barbara Pletcher, Etina Qirjo, Stuart Rakowsky, Jason Ball, Jeff Hoyt

September 16th 2014 Student Data (Enrollments)
Wendy Kutchner, Jeffery Hendricks, Ira Silverstone, Etina Qirjo, Barbara Pletcher, Jason Ball, Jeff Hoyt

September 23rd 2014 Student Data (Degrees Awarded)
Wendy Kutchner, Jeffery Hendricks, Ira Silverstone, Etina Qirjo, Barbara Pletcher, Jason Ball, Jeff Hoyt

September 24th 2014 Admissions Exceptions, Applicants Admits (Review of programming code)
Wendy Kutchner, Jeffery Hendricks, Ira Silverstone, Etina Qirjo, Barbara Pletcher, Jason Ball, Jeff Hoyt

October 3rd 2014   Expenditure Analysis
Dorothy Russell, Jie Shi, Mary Waggoner, Bonnie Li, Jason Ball, Norma Hay, Richard Lee, Jeff Hoyt

October 31st 2014   Review of Programming for Race/Ethnicity
Ira Silverstone, Jeff Hendricks, Richard Lee, Jeff Hoyt

In preparation for each meeting and afterwards, the assistant vice provost created a series of SQL statements to evaluate the accuracy of data fields used in the metrics against the source data in Banner. Any errors were saved in EXCEL documents along with the SQL code. The assistant vice provost shared these documents with the staff in each area on file locker and reviewed any concerns with the programmers and administrative staff during the certification review meetings to verify whether or not there were any errors and if so how to address it. The programmers and associate university registrar (Jeff Hendricks) queried Banner live during the meetings, displayed on a visual screen, to evaluate the data for accuracy.

Data Integrity Issues

All the data fields in each file listed above were checked for accuracy, not just those impacting the performance funding metrics. After review of the data files, it is believed that there is no material impact on the metrics, except for the courses-to-degree file, which will be resubmitted.

Enrollments File

Whether or not a student is in an FTIC or new transfer student cohort is based on data fields in the enrollments data file. The board provides a Retention Cohort data file to the university, which identifies FTIC and new transfer students. IEA has noticed for several years, that our queries identifying new students do match the results from the BOG. The reason is that the BOG is excluding students from the cohorts because of errors in our data files submitted to them. However, the amount of error for the FTIC cohorts is small and would not even impact retention or graduation rates by 1% if they all had dropped out.

One error affected the stu_entry_typ and date, and stu_recent_adm_typ and date fields in the enrollments data file. When the programming code populated the values in these fields, it did not check to see if the dates corresponded with a semester or term the student was enrolled in courses, as of the census date. This caused data integrity problems in identifying the new student cohorts. For example, if an FTIC or new transfer student submitted an application and was admitted for the summer term, but did not enroll in courses, their entry date was set as the summer term. When they subsequently enrolled in classes during the fall term, their recent admit date was still the summer term. It appears that the BOG programming code checks whether the student is enrolled in courses during the recent admit term reported (courses taken data file), and when they did not take any courses during that term, they are incorrectly excluded from the FTIC or new transfer student cohorts. A file was sent on August 4th, 2014 to have the BOG explain why the students were excluded (when the reason was unknown to IEA).

Another error in the files involved cases where the courses for a small number of students were not populated in the courses taken file. So in these cases, the BOG program excludes them from the cohorts because no courses were reported. This was corrected in May of 2014 when their courses were added to the courses taken file and resubmitted.

IEA will send in a request to modify FAU cohorts and add back in these new students that are not being included by the BOG. However, as stated previously, it only impacts a small number of FTIC students (40 since fall 2007), which should be in the cohorts used for the metrics; even if all of these students dropped out, it would not change the retention or graduates rates by even 1%. There are a substantial number of students incorrectly excluded from the new transfer student cohorts (375), but these cohorts are not part of the performance funding metrics. As a part of the analysis of transfer student data, it was found that second baccalaureates were the main reason why there were initially over 2,700 cases where the board did not count new transfers. However, the board is separating out second baccalaureates and coding them with an "S", which left 375 new transfers the board does not count since 2007.

In addition, students are sometimes coded as a "U" transfer from a non-Florida state college, when they should be a "J," transfer from a Florida State College. It was determined that this was data entry error, and code is being developed so the registrar can check this field for accuracy. A meeting was held on November 10, 2014 to address this and other errors and more follow-up is needed.

IEA also determined that there was data entry error in SGBSTDN in Banner (FAU's information system) where students were being placed in a new student cohort more than once. The Registrar's Office in collaboration with the Office of Information Technology (OIT) are working together to eliminate this data error in Banner, but it remains in the historical census files. The BOG is already doing error checking so that students are only counted in the first cohort or only one time.

The method being used to calculate race/ethnicity was also reviewed in the enrollment data file, and it follows federal guidelines by excluding certain international students. International students who are permanent residents or resident aliens (residency codes of "R", "E") are included in the race/ethnicity categories (Hispanic, Black, White, Asian, Pacific Islander, American Indian); other international students are coded as international. Documentation reviewed by admissions and the registrar is used to determine if a student has state residency ("F", "R", "E", "N") or if they are an "A", alien or receive residency due to special considerations "T". The staff in these areas also determine if students have citizenship status. When identifying international students, the programming codes students with state residency ("F", "R", "E", "N") as "N" or no for international student status. For remaining null values, international student status is set to a "Y" or yes if their citizenship status is "F" for foreign; otherwise it is an "N".

However, there is a small amount of error in the code or data entry error. For fall 2014, there were 3 students with a citizenship status of an 'F' when they were permanent residents and not identified in the "R" and "E" codes. There were 131 cases where the citizenship status of "F" was not consistent with the residency code, but the residency code is likely to be accurate because staff doing the data entry neglected to change the citizenship status. The registrar will work on correcting this data, but given how status as an international student is calculated, it will likely be a correction in the citizenship code, but impact few cases in terms of the student's international status.

Other fields that affect the academic progress rate were checked for accuracy: GPA_TERM_CRED_HRS, GPA_TERM_HRS, GPA_TERM_GRD_PTS. They were mapped against the Banner Table, SHRTGPA that captures earned hours, GPA hours and term GPA. It was found that this data matched the corresponding fields in the enrollments file and that GPA was being reported correctly. The BOG made an error in their calculation of the academic progress rate; now that it is corrected, it reduces FAU's academic progress rates by approximately 2%.

Every data field in the file was checked in terms of its frequencies over time to identify any large changes in the values. Error warnings were also checked. In 2008, the LAST_INST_CD was completely incorrect, but appears accurate for more recent terms. A few cases were found where inst_class_lvl_stu was incorrect, and where students were recorded as second bachelors in SGRSATT when SARAATT (Banner tables) did not have them coded as second bachelors, which caused a small amount of error for inst_class_lvl_stu that was based on SARAATT. The second bachelors discrepancies have been corrected now in the programming code.

Other Files

Other data files submitted to the BOG had minor errors. The degrees awarded file was reviewed, and the data fields appeared to be accurate. There were only 2 instances where the DEGC_CODE needed modification in the degrees awarded file. The STU_TYP field in the applicant admits file had a few data entry errors when the student submitted more than one application in a term. Although the values for EXCEPTION_CAT varied widely over time in the admissions exceptions file, it was determined that major changes in recruitment practices created the fluctuations.

The expenditure analysis extract is built upon two other data files: (1) operational budget, and (2) Instruction and Research (IRD). The IRD file is generated via FAIR, a database provided by Aptitude. FAIR gets payroll and course data directly from Banner via an ETL process. The responsibility for the accuracy of the data in Banner lies with Human Resources for payroll and the Registrar's Office for courses. The ETL process for FAIR 2.0 was tested to determine that the data was transferred correctly in the testing phase for the FAIR implementation process. Similarly, the ETL process for FAIR 3.0 is being tested in FAIR 3.0 Development to determine the accuracy of the data before the implementation in FAIR 3.0 Production. Personnel within the colleges are responsible for entering the data regarding the activities of their faculty and graduate assistants.

By querying the underlying tables, IEA can determine which records have the assigned and actual FTE balanced for each faculty and graduate assistants, and can ask the colleges to complete the activity reporting for those records. Any graduate assistants without instructional or research duties have their records removed from FAIR. FAIR has built-in error checking via its wizard where Course Schedule Reconciliation, Employment Reconciliation, Workload FTE Reconciliation, and Activity Validation are used to ensure that courses taught and duties assigned are equal to actual workload and that both are equal to payroll FTE. Once the IRD text files are generated in FAIR, the files are submitted in SUDS Beta. Using the BOG software generates edit summaries as well as reports, such as the Supplemental Diagnostics for Contact Hours, Workload, and Fundable Hours, which are used to correct errors in the records indicated.

Responsibility for the accuracy of the operational budget is with the FAU Budget Office. Due to the accounting and finance background required, the Budget Office has submitted its own report that describes how they ensure integrity of the data in the operational budget and expenditure analysis

extract. IEA used SQL code to check the accuracy of fundable credit hours, and no problems were identified.

Courses to Degree

On October 21, 2014, the assistant vice provost for IEA submitted a request to the BOG to resubmit the courses-to-degree file due to errors in the file. On October 15, the assistant vice provost previously discussed the data errors found in the courses-to-degree file to confirm that they needed to be corrected. It was agreed that board staff could handle resubmission of files for 201305, 201308, and 201401. The OIT programmer changed the programming code after several meetings with staff in the registrar's office and assistant vice provost for IEA. It is uncertain the extent to which the changes will impact the metric on the number of degrees awarded without excess hours, but FAU should improve its score as a result. The total hours earned toward a degree is reduced by subtracting credits for specific types of courses. The following is a description of the changes to the file.

Military courses were not always identified as "M" on the CRS_GROUP field, mostly those offered at FAU. The program was change to mark courses as military with the CRS_PREFIX of "MSL" and "AFR" as "M." All transfer courses under the FICE—US0057, or that had DANT, DSST, MILI attributes were coded as well.

High school dual enrollment and courses taken by early admits before they graduated from high school needed to be identified in the CRS_GROUP field. For fall and summer of 2013, dual enrollment for transfer and FAU native students were not always tagged as a "D" but sometimes as an "A". This was corrected by tagging all courses taken prior to high school graduation and with a fee waiver for high school dual courses as a "D".

Internship courses were not identified properly. All courses with the schedule code—INT, with titles containing 'Student Teaching' and 'internship' were coded as internship courses under CRS_SECTN_TYP as an "I".

Language courses that applied towards admissions requirements needed to be completely identified. In prior files only some of these courses were identified (FLENT only). If they were FLENT, they were coded as an "L" in the USAGE_IND field. If no courses were associated with FLENT, and the students were not flagged as satisfying FLENT in SHANCRS, then the first two FLEX courses were coded as "L".

The most recent programming code was tagging remedial courses (from transfer institutions) as a "V" or vocational, which are subtracted from total hours to degree, so they had to be recoded as "C" (SHRTATT_ATTR_CODE = "REM" and "REMT"); however, remedial courses are not counted in the total hours either so this change had no impact on the metric.

Test credit was not always identified accurately. Applying the most recent programming code to the 201308 and 201305 data files identified all the test credit properly as an "E".

The board added in additional fields to the data file. As a result, courses taken while on active duty (rcrapp1_active_duty = 1) and medical withdrawal from courses were included in the computer program.

Appendix A: Certification Review Process

Certification Review

Step One: The primary and secondary persons responsible for the SUDS data file submission and programmers will write a draft Certification Review document that contains the following information. They will provide an electronic copy 5 working days prior to the certification review meeting.

A. A Process Flow Chart that describes the entire process for generating each data file: batch audits, review and corrections made, reports generated and responsible parties.

B. 1-2 page summary of the process and SQL code to create the data submission. Copies of all SQL code (including packages, functions and procedures) should be included in the appendix. Each major section, package, function and procedure should be reviewed for accuracy and comments entered for each major section.

C. 1 page summary of errors that have been corrected in the data system and census files, resubmission or plans for resubmission of past files and the SQL code that is run prior to the data submission to ensure the accuracy of data. This code will include data cleanup that goes beyond what is required for submission (Level 5, 8 and 9 errors). This error checking will be required for all data submissions, and programmers will be expected to identify data integrity problems, write SQL code to identify it and have a process for correcting it in Banner. They will notify the data administrator about the errors so that files may be resubmitted to the board or corrected in the census data tables. Any errors reported to them by the data administrator or IEA staff should also be corrected.

D. Appendix A: Pre-Submission SQL Code for data integrity and clean-up

E. Appendix B: Data Submission SQL Code

As a part of writing the review document, the primary and secondary persons will meet with administrative staff in functional areas and data stewards as needed or communicate with them to verify the accuracy of code or ask questions to ascertain if there have been any changes in procedures, processes, or codes in the system that should be considered when reviewing the SQL code.

Step Two: The primary and secondary persons will attend a review session with the data administrator, chief information officer, IEA staff member responsible for data submissions, and knowledgeable administrative staff with particular expertise in functional areas as needed (i.e., admissions, financial aid, budget, registrar, provost's office) discuss data integrity checks that have been implemented, changes in the code

and any further concerns. The goal is to have the report ready for review; however, a follow-up meeting may be scheduled if necessary.

Step Three: Copies of the report will be submitted electronically to the data administrator and chief information officer for their review. It will be sent back for revisions as needed. An executive summary will be sent to the president's office and all documents will be made available upon request.

ADMISSIONS

Executive Summary

The Admissions Office is responsible for the BOG file submissions each semester. A calendar with due dates is provided to Admissions by IEA for each file. The deadlines are subject to change due to SUDS software upgrades or SIF acceptance file by BOG. Admissions notifies IEA as soon as the files are ready for submissions to BOG. The **Admissions File (ADM)** is submitted at the beginning of the semester being reported, while the **Limited Access Programs File (LAP)** and the **College Prep Completions File (CPC)** are each submitted after the completion of the semester being reported. The **ADM** and **LAP** are created using the main BOG Student Reporting process. At this time, the **CPC** is created manually by the OIT department.

There are six potentially required submission files associated with the Admissions Office BOG reports. The BOG Student Reporting process will create up to five of the six files depending on which files are required for each submission file set. The remaining file is generated manually by the OIT department when it is required.

The five program generated files are:

PERSON_DEMO	(file layout – Appendix I)
APPLICANTS_ADMITS	(file layout – Appendix II)
ADMISSION_EXCEPTIONS	(file layout – Appendix III)
TESTS_REQS	(file layout – Appendix IV)
PERSON_ID_CHGS	(file layout – Appendix VI)

The COLLEGE_PREP file (file layout – Appendix V) is prepared manually if there are records to report. In recent semesters, there have not been any students meeting the criteria for College Prep so these submissions have been empty files.

Admissions File (ADM)

The Admission file consists of demographic data of individuals applying for admission to the State University System, as well as information concerning the applicants' academic and scholastic history.

The purpose of this file is threefold: 1.) provides an accurate record of the applications for admission to the university; 2.) serves as the official report of the actions concerning those applications; and 3.) serves as the historical record for planning purposes. There are six files associated with this submission file set.

Files required for submission

PERSON_DEMO	APPLICANTS_ADMITS	ADMISSION_EXCEPTIONS	TEST_REQS

Files submitted on an as needed basis depending on the data for the semester

COLLEGE_PREP	PERSON_ID_CHGS

College Prep Completions File (CPC)

This collection of data consists of information regarding the Mathematics, Reading and Writing remediation required for First-Time-In-College students who score below the established entry-level test scores. This file also includes information concerning the high school attended, the test which determined remediation (currently applies to Foreign Language only), and the particular method used in order for the student to complete the required course work or test, etc.

The purpose of this file is to provide a record of the students requiring remediation before continuing college; to serve as the historical record for future planning; and to inform high schools of the readiness of their graduates. There are three files associated with this submission file set.

File required for submission
COLLEGE_PREP

Files submitted on an as needed basis depending on the data for the semester
PERSON_DEMO   PERSON_ID_CHGS

Limited Access Program File (LAP)
This collection of data consists of information pertaining to all students who applied to limited access programs in the SUS. Students are reported by applicant type, admission action, minimum standards indicator (whether or not minimum standards were met), and other demographic information.

The purpose of this file is to provide a record of selected attributes of the total number of students applying to limited access programs, and serves as a historical record for future planning. There are four files associated with this submission file set.

       Files required for submission
       APPLICANTS_ADMITS   TEST_REQS

       Files submitted on an as needed basis depending on the data for the semester
       PERSON_DEMO   PERSON_ID_CHGS

A calendar with due dates is provided from IEA for each file. The procedure to create the admissions files changed in 2012 when the Office of Undergraduate Admissions was given access to run the AppWorx jobs to extract the data from Banner at any time following steps below:

- In AppWorx we choose REQUESTS
- Choose BOARD_OF_GOVERNORS application
- Choose BOG_I_SUDS_STUDENT_REPORTING_C to run chain
  - There are three parameters required to run this job
    - TERM: indicates academic term being reported: ie: 201408
    - REQUESTED REPORT: indicates title of BOG report : LAP/ADM/CPC
    - REBUILD INDICATOR:
      - enter Y to refresh and rebuild tables and create files
      - enter N to create files without rebuild of tables
  - Click SUBMIT button to begin the processing of the job
- Program sends an email upon completion.
- When email is received, the files are available on the fausftp.fau.edu server and log onto fausftp.fau.edu server to access files.
- Move files from fausftp.fau.edu server directory/folder to a local area for uploading to the SUDS edit process and delete the files from the fausftp.fau.edu server.
- When all edits have been addressed and updates have been completed, the files are moved to the BOGSubmissions network drive and placed in the bogadm folder for IEA review.

The extracted files get uploaded to the SUDS site and submission edits are run to produce the generated reports. We use the Edit Summary option to review all the errors associated with the data. If there are any errors, the office of Undergraduate Admissions fixes the record in Banner and repeats the prior steps until all errors have been addressed. The process could involve rebuilding the data files multiple times. There could be special edits for those that are correct in Banner but require manual edits to the SQL code by OIT.

The final step is to submit the FAU SUDS Data File Submission Form to IEA with any additional comments about the submitted file.

Procedure

The process for creating the ADM and LAP submission file sets was originally coded to create both VSAM and flat files on the mainframe in COBOL and DB2. Since that time, the entire process has been converted to PL/SQL and has been upgraded and adapted to the changes in the FLBOG data gathering. The VSAM files were replaced with different tables required for specific aspects of the data.

For the **ADM**, the reporting population for each semester is based entirely on applications received for admission during that semester. Receipt of applications is determined by querying the SARADAP table on the BANNER system. This table contains records of applications received from students requesting consideration for admission to the university for any given semester. The process selects all applications received for the reporting term who are not returning former students with a student type indicating they are continuing their registration.
See query:

CODE ON FILE

The record is used to obtain the student pidm for further use in reporting the required information in each of the various tables generated by the program.

Once the student pidm has been determined to be part of the reporting population, the program runs through a series of procedures to populate the tables potentially required for the submission file set.

1. Person_Demo Table (see Appendix I)

    Using the student pidm and the reporting term, the program runs through a series of cursors to obtain the demographic information from the BANNER tables.

    The tables used for this portion of the program are as follows (see Appendix A for table data):

    GOBINTL   GORPRAC   GORVISA   SGBSTDN   SPBPERS
    SPRIDEN

2. Applicants_Admits Table (see Appendix II)

Using the student pidm and the reporting term, the program runs through a series of cursors to obtain the application and supplemental information from the BANNER tables.

The tables used for this portion of the program are as follows (see Appendix A for table data):

SABSUPL	SARAATT	SARADAP	SARAPPD	SARCHKL
SFRSTCR	SGBSTDN	SGRCLSR	SHRDGMR	SHRLGPA
SHRTRCR	SOBSBGI	SORDEGR	SORHSCH	SORXREF
SPRADDR	STVCNTY	STVDEGC	STVDLEV	STVMAJR
STVRSTS	STVSBGI	STVSTAT	SWRCMNT	SWRHTRN

There are two fields in the APPLICANTS_ADMITS table that affect the metrics set by the FLBOG. They are highlighted in blue on the table layout and they are defined in the next section of this document. A recent update to the processing code includes updating the Student Type for second baccalaureate applications to a value of 'S' to distinguish them from other undergraduate applications.

3. Tests_Reqs Table (see Appendix IV)

Using the student pidm and the reporting term, the program runs through a series of cursors to obtain the test score and requirements information from the BANNER tables.

The tables used for this portion of the program are as follows (see Appendix A for table data):

SARCHKL   SORTEST

4. Admission_Exceptions Table (see Appendix III)

If it is determined that the student was admitted as an exception to policy this process is initiated. Using the student pidm and the reporting term, the program queries the SABSUPL table to obtain the exception to policy information from the BANNER tables.

The program includes processing for the College of Medicine. If the reporting term is in the Fall, the procedure derives the proper term designation for the first year medical school term and uses this as the reporting term needed to build the tables. The program then runs an additional procedure to obtain all of the student pidms which should be reported as part of the population selection for the current reporting term.

If there are any applications for students who meet the criteria to be reported as requiring remediation, the Admissions Office will provide a list of these students and OIT will manually create a COLLEGE_PREP file to report these items. For the past two academic years, there have been no students whose admission was based on requiring remediation and an empty file was created to submit to the FLBOG.

After all of the tables have been populated, the program loops through and creates the submission files to be uploaded to the State University Database System (SUDS) for their final check. Using the SUDS edit procedure the files are checked thoroughly and errors are reported. The Admissions Office fixes the files and repeats this step until the files are error free. Finally, the files are provided to IEA for submission to the FLBOG.

During the review of the files, if there are any students who were reported at an earlier time under a different identification number, IEA will provide a list of these students with the earlier reported identification number and a record will be created in the PERSON_ID_CHGS table.

5. Person_ID_Chgs Table (see Appendix XV)

Using the student pidm, the program obtains the PERSON_DEMO record currently in the table and uses the data in this record to populate the fields in the PERSON_ID_CHGS record. The prior identification number is used to populate the PERSON_ID_PRV field in this record. The current identification number is used to populate the PERSON_ID_NEW field in the record.

For the **CPC**, the reporting population for each semester is based on any open records of students who were previously reported to the FLBOG as requiring remediation in either mathematics, reading, or writing as a condition of their admission to the university and who have satisfied the requirement by successfully completing remedial coursework. Completion is determined by querying the SHRTCKN and SHRTCKG tables for completed FAU coursework and the SHRTRIT and SHRTRCR tables for completed transfer coursework.
See queries:

CODE ON FILE

These records are used to create the records for the COLLEGE_PREP file in the CPC submission file set. The COLLEGE_PREP file is uploaded to the State University Database System (SUDS) for editing. Using the SUDS edit procedure the file is checked and errors are reported. The edit will also determine if records are needed in the PERSON_DEMO file. If so the file is manually created and uploaded to SUDS to complete the editing process. The Admissions Office fixes any errors in the files and repeats this step until the files are error free. Finally, the files are provided to IEA for submission to the FLBOG.

For the **LAP**, the reporting population for each semester is based on applications received for admission to the FLBOG defines Limited Access Programs (Honors, Nursing, and Architecture) during that semester. Receipt of applications is determined by querying the SARADAP table on the BANNER system. The process selects all applications received for the reporting term so requested programs of study are in the three Limited Access Programs.
See query:

CODE ON FILE

The record is used to obtain the student pidm for further use in reporting the required information in each of the various tables generated by the program.

Once the student pidm has been determined to be part of the reporting population, the program runs through a series of procedures to populate the tables potentially required for the submission file set.

1. Person_Demo Table (see Appendix I)

   Using the student pidm and the reporting term, the program runs through a series of cursors to obtain the demographic information from the BANNER tables.

   The tables used for this portion of the program are as follows (see Appendix A for table data):

GOBINTL	GORPRAC	GORVISA	SGBSTDN	SPBPERS
SPRIDEN				

2. Applicants_Admits Table (see Appendix II)

   Using the student pidm and the reporting term, the program runs through a series of cursors to obtain the application and supplemental information from the BANNER tables.

   The tables used for this portion of the program are as follows (see Appendix A for table data):

SABSUPL	SARAATT	SARADAP	SARAPPD	SARCHKL
SFRSTCR	SGBSTDN	SGRCLSR	SHRDGMR	SHRLGPA
SHRTRCR	SOBSBGI	SORDEGR	SORHSCH	SORXREF
SPRADDR	STVCNTY	STVDEGC	STVDLEV	STVMAJR
STVRSTS	STVSBGI	STVSTAT	SWRCMNT	SWRHTRN

3. Tests_Reqs Table (see Appendix IV)

   Using the student pidm and the reporting term, the program runs through a series of cursors to obtain the test score and requirements information from the BANNER tables.

   The tables used for this portion of the program are as follows (see Appendix A for table data):

SARCHKL	SORTEST

After all of the tables have been populated, the program loops through and creates the submission files to be uploaded to the State University Database System (SUDS) for their final check. Using the SUDS edit procedure the files are checked thoroughly and errors are reported. The Admissions Office fixes the files and repeats this step until the files are error free. Finally, the files are provided to IEA for submission to the FLBOG.

During the review of the files, if there are any students who were reported at an earlier time under a different identification number, IEA will provide a list of these students with the earlier reported identification number and a record will be created in the PERSON_ID_CHGS table.

1. Person_ID_Chgs Table (see Appendix XV)

    Using the student pidm, the program obtains the PERSON_DEMO record currently in the table and uses the data in this record to populate the fields in the PERSON_ID_CHGS record. The prior identification number is used to populate the PERSON_ID_PRV field in this record. The current identification number is used to populate the PERSON_ID_NEW field in the record.

Metric Field Definitions

STU_ TYP	V2(1)	Element #01117 (ADM) **Type of Student at Time of Application** Element #01142 (LAP) **Limited Access Category**	. MISSING - B Beginner - FTIC First-Time-In-College D Dentistry E Early Admit, Prior to High School Graduation G Graduate H Dually Enrolled - High School student J Transfer From Florida College System K Doctorate of Nursing Practice L Law M Medicine N Unclassified Student Not formally admitted P Post Baccalaureate, Non-Degree Seeking R Pharmacy First Professional (Pharm.D.) S Post Baccalaureate, Degree Seeking T Doctorate of Physical Therapy U Other Undergraduate Transfer V Veterinary Medicine X External Degree . MISSING - 1 FTIC (Native) Applicant (LAP submission only) 2 AA Transfer Applicant (LAP submission only) 3 All Other Applicant Types (LAP submission only)

FLBOG Description:

(ADM) Type of student at the time of most recent admission or readmission to the institution. Type student coded here should reflect the student's most current admission status at the reporting institution. If the student has not been readmitted this type should NOT change.

(LAP)   A grouping that divides the applicants into categories based on student type for the limited access reporting.

FAU Code Description:

(ADM) Use the student type from the record of the latest decision application in the SARADAP table in BANNER. For Medical School, always code this element with a value of 'M'. If the application is for a second baccalaureate program, code this element with a value of 'S'.

(LAP)   Use the student type from the record of the latest decision application in the SARADAP table in BANNER. If the student type is either 'B', 'E', or 'H', code this element with a value of '1'.
If the student type is either 'S', or 'U', code this element with a value of '3'.
If the student type is 'J', use the student pidm to query the SORDEGR table. If the student has an AA
 degree, code this element with a value of '2' otherwise leave the element value null.
If the application is for a second baccalaureate program, code this element with a value of '3'.

STU_CLASS_LEVEL	V2(1)	Element #01060 Student Classification Level	. MISSING - A Advanced Graduate B Beginning Graduate L Lower Division Undergraduate N Unclassified (not formally admitted) U Upper Division Undergraduate

FLBOG Description:

The categorization of the student's progress at the beginning of the term toward a specific degree or certificate as it applies to allocation of resources within the State University System. These categories are:

Advanced Graduate--a graduate student who has been formally admitted to a recognized Doctoral or Post-Master's degree program.

Beginning Graduate--a graduate student who has been formally admitted to a graduate degree program and is not an   advance graduate student.

Upper Division--a student who has earned 60 or more credit hours or has an associate of arts degree and has completed   requirements in English and Mathematics as prescribed by FAC 6A-10.030 or is working toward an additional baccalaureate degree.

Lower Division--a student who has earned less than 60 credit hours or a student who has not been admitted to the upper division.

Unclassified--a student not admitted to a degree program.

FAU Code Description:

(ADM) Using level code from SARADAP, run sctcvt5.wp_class_calc_db (see Appendix B). This will return the classification code and the number of credit hours earned by the student. Then using the classification code, the program translates the classification into the BOG defined value for Student Classification Level.

For a new Medical School applicant, always code this element with a value of 'B' for beginning graduate.

(LAP)   This field is not required for the LAP and should be left null.

Process Flowchart

Admissions Data Audit

- Daily Audit Reports Run Automatically
- Data Entry, IT and Evaluators Teams Reviews Audit Reports
- All BANNER Data Inconsistency is corrected

Admissions Data Audit

Run AppWorx Job

Data Extract (automatically saved to Network Drive)

Undergraduate Admissions SUDS Files
Process Flowchart

State Defines Due Date for FAU

State Mandate: BOG Files Due (ADM, LAP, CPC) each semester

IEA Send Deadline to Admissions

Analysis and Coordination across multiple departments to isolate issue (COM, Grad Col, Registrar)

Researched and Corrected in BANNER

Admissions Uploads AppWorx Extract files to BOG

ADM Finds Error? — Yes / No

IEA Reviews File

Corrections Needed? — No

Explanation Needed? — Yes

UG Admissions IT Writes Explanation or Corrects in BANNER

IEA Confirms Validity? — Yes

Submission Complete

AppWorx Job

Run SQL Code

```
AppWorx Job
BOG_I_SUDS_STUDENT_REPORTING_C
        Runs module
        BOG_I_SUDS_STUDENT_REPORTING_M
                Parameters determine which report to run
                        Report Type
                        Report Term
                        Rebuild Indicator
                Program (PL/SQL Package)
                        KWS_BOGSUDS_STUDENT_RPTS
                        p_driver_module
                        ADM        p_adm_module
                                   Admissions Population selection cursor
                                   p_build_person_demo_table
                                   p_build_apps_admits_table
                                   p_build_tests_reqs_table
                                   if an exception exists
                                           p_build_admexc_table
                                   otherwise
                                           p_set_admexc_defaults
                                   p_insert_adm_data_tables
                                   p_insert_person_demo_table
                                   p_insert_apps_admits_table
                                   p_insert_apps_admits_table
                                   p_insert_admexc_table
                                   p_insert_person_id_chgs_table
                        if the report is for the Fall semester
                        p_adm_med_module (for medical school applicants)
                                   Admissions Population selection cursor
                                   p_build_person_demo_table
                                   p_build_apps_admits_table
                                   p_build_tests_reqs_table
                                   p_insert_adm_data_tables
                                   p_insert_person_demo_table
                                   p_insert_apps_admits_table
                                   p_insert_apps_admits_table
                                   p_insert_admexc_table
                                   p_insert_person_id_chgs_table
```

Project Management Office (PMO)
09.03.14 – Rev 1.1

<u>Appendices</u>

CODE ON FILE

Expenditure Analysis

The major objective of the Expenditure Analysis is to provide consistent data about the use of position/person-year and expenditure resources throughout the State University System. The analysis is prepared by University, Budget Entity, and Cost Activity. Instruction and Research is further classified by CIP (Classification of Instructional Programs) utilizing the discipline taxonomy. Universities further classify account groups by utilizing College Subcomponent; however, the only required use is for identification of Broward County and the colleges within the UF Health Center, USF Medical Center, and FSU Medical School.

The input sources of Expenditure Analysis data as described below:

INSTRUCTION AND RESEARCH DATA FILE (IRD)
Institutional Effectiveness & Analysis (IEA) prepares the IRD file

OPERATING BUDGET DATA FILE
Extract file, "OBECTRACT - OB EA Extract", from SUDS production after the annual Operating Budget submission has been 'Accepted'

ACCOUNT CROSS OVER TABLE
The locally-determined method Account crosswalk file (excel) taken from the old University of West Florida main frame system updates the file. This file assigns the CIPS and college subcomponents to the output of the operating budget data extraction.

Programs and Appworx process flows to create the output file:

PL/SQL codes (refer to **Expenditure Analysis_SQL_code.docx)**:

faumgr. pwb_ea_update_budget.sql
updates SUDS OB EA Extract file with the Account Crossover File and creates the EA update budget file.

faumgr. pwb_ea_update_budget_broward.sql
updates SUDS OB EA Extract file with the Account Crossover File and creates the EA update budget Broward file.

Appworx chains:

BOG_I_EA_SUDS_EXTRACT_C
creates the SUDS Expenditure Analysis Extract data into bogmgr.expenditure_analysis_extract table to be used during the annual SUDS/BOG Expenditure Analysis process. The input data file must have pipe separated value format.

BOG_I_EA_ACCT_XOVR_C

-creates the Account Crossover File staging table to be used
during the annual SUDS/BOG Expenditure Analysis process.
-creates two error reports: Index Total Percent Not Equal 1.00000
and Number of Index Segments Not Equal Segment Counter

BOG_I_EA_UPDATE_BUDGET_C
-creates the SUDS Expenditure Analysis update budget file
for the annual SUDS/BOG Expenditure Analysis process:
- EA extract update budget file
- EA extract update budget Broward file
-concatenates the EA extract update budget files
-SFTP's the concatenated EA extract update file to andisec budget folder

Generate the Expenditure Analysis data:

Extract Operating Budget Data File (refer to **SUDS OB EA Extract File.docx**):
After Operating Budget has been 'Accepted', login to Board of Governors
application Portal, download "OBECTRACT - OB EA Extract" from SUDS
production in pipes delimited file and save as ea_suds_extract.txt , budget
folder.

Update Cross Over Table:
Updated Cross Over table is saved as ea_acct_xovr.csv , budget folder.

Login to Appworx (refer to **Appworx User Instructions SUDS.docx**)
and follow the steps to generate the Expenditure Analysis data

Budget Office and OIT-AS are informed through email upon completion of each
Appworx job:
-completion status of the job and file
-log file
-error report(s)

Error reports created from Appworx process:
ea_index_tot_perc_jobid.txt
total percent not equal 1.00000 for the index

ea_acct_xovr_error_jobid.txt
number of index segments not equal segment counter

Expenditure Analysis update data file created and saved on, budget folder:
ea_extract_update.txt

Upload the EA Extract Update file to SUDS (refer to **Expenditure Analysis_SUDS_upload.docx**)

Edit the EA Extract Update file and generate EA reports from SUDS

Data File Layouts:

Account Cross Over table:

    file name: ea_acct_xovr.csv

    file layout:

        XVR_INDEX
        XVR_INDEX_TITLE
        XVR_BE_CD8
        XVR_PCS
        XVR_SEG_PROG_CATEGORY
        XVR_COLLEGE_SUB_COMP
        XVR_PERCENT_ACTIVITY
        XVR_NUMBER_OF_SEGMENTS
        XVR_SEGMENT_COUNTER

Expenditure Analysis Extract:

    file name: ea_suds_extract.txt
           ea_extract_update.txt

    file layout:

        EA_DATA_SOURCE
        REPT_INST
        YR_FISCAL
        BE_CD8
        COST_ACT
        COLLEGE
        DEPT_ID_ACT
        UNIV_BUD_ID_ACT
        INSTR_RESRCH_ACT
        APPROP_CAT
        OBJECT_CD
        INSTR_FND_SCH
        PERYRS
        EXPENDITURES
        CIP_EXPENDITURE

1. Once the Operating Budget Submission is accepted, from SUDS Operating Budget Report, download the SUDS the OB EA Extract (BOG dynamic SQL Report) data.

2. Update the EA Extract data

3. From SUDS Expenditure Analysis menu, upload updated EA Extract data into the expenditure_analysis_extract table and run the edit.

4. Once SUDS reports have been generated, from SUDS Dynamic SQL Reports:

Verify that $ on EA Extract data match Operating Budget data with report EARPTF: Comparison Report F: Tot Exp by Cost Act by Total PerYrs (sort: BE,Cost Act)

Verify that all $ have CIP codes with report EARPTE:
Comparison Report E: Sal/Ben/OPS by Support Staff PerYrs (sort: BE, CIP, Cat)

Report EARPTD can be used to identify Banner Index# missing CIP codes
Comparison Report D: Sal/Ben/OPS by Support Staff PerYrs (sort: BE, CIP, Dept, Cat, IR Act)

5. Once IRD has been finalized:
Identify CIP areas with negative comparison totals
omparison Report G: Acad PerYrs by IR Act (sort: BE, Cost Act, IR Act)

<u>Funded vs Unfunded</u>

From BOG Information Brief 2006

Issue 1: Headcount versus Full-Time-Enrollment: What's the Difference? (April 5, 2005), Page 5

Funded versus Unfunded

State-Fundable FTE means that the Legislature provides funds for these FTE

*A course may not be funded for a **myriad of reasons**. If all of the direct costs are covered by a student, non-SUS agency, or other source, the state will not provide funding. Another reason for not funding credit hours is if the credit hours are not part of the university mission. Remedial courses that are below college level are the purview of community colleges. University missions preclude them, with the exception of FAMU, from offering remediation. SUS or state employee enrollments with fee waivers are also unfunded, since they can only get fee waivers to take a class on a space-available basis. Another category of unfunded student is a non-resident "profile assessment" student—a student who fails to meet one or more of the system's normal minimum entry requirements*

<u>OVERVIEW</u>

The fundable hours are calculated for each section using the credit hours and the section funding flag. On Student Data reported to BOG the Student Section Funding Flag (BOG Data Element 01103) indicates the reason a Student's course hours are un-fundable:

- **Funded(value=0)**
- **Un-funded (value not = 0), if Un-Funded, the non-zero value indicates reason**
- **Value is recorded at the student level because the flag can reflect either (1) the funding of a specific course section (schedule related) or (2) funding relating to the student. An example of (1) is Military Science-courses are non-fundable-all enrolled in this section would have the same section funding flag (value=2) and fundable credit hours zero; another example would be a course coded as Funded from Non-University Sources; An example of (2) is student enrolled for audit: section funding flag will be 6, fundable credit hours zero; another example is the Repeat Surcharge**

Student Section Funding Flag (BOG Data Element 01103) :

Value   Descriptions

1   Remedial (below college level)

2   Military

3   Not Applicable Toward Any Degree (To include fees waived through reciprocal student exchange programs)

4   Funded From Non-University Sources (Where substantially all the direct costs are paid by the sponsoring agency (Non-SUS) and where no direct operational costs are provided by the university)

5   Fee Deferment Default or Cancelled Non-Payment

6   Student Enrolled for Audit

7   Over 5 Hours Supervised Teaching/Research(Exceeds 5 hour maximum in supervised teaching or supervised research)

8   Non-Candidate Doctoral Research(Students enrolled in Doctoral research not admitted to Doctoral candidacy)

9   Credit By Exam

A,C-I,K Funded Through another SUS University

J   Non-Fundable, Repeat Surcharge Applied

         This code shall be used to identify courses for which the student pays a repeat surcharge.

         These courses shall not be included in calculations of full-time equivalent enrollments for state funding.

         This code should only be used if the student actually pays the repeat surcharge and is not exempted from paying it. (1) An undergraduate course that has been taken more than twice by this student, or (2) a college-preparatory class that this student has enrolled in more than two times.

L   Non-Fundable, Student Funded (Students pay all the cost of instruction, e.g. Executive MBA, Distance Learning)

M   Medical/Professional Non-Fundable

N   Non-Resident Profile Assessment

P   SUS or State Employee Fee Waiver Courses of employees using a state employee fee waiver

PL/SQL code:

The following Banner PL/SQL codes are used to create the Expenditure Analysis data file:

faumgr.pwb_ea_update_budget.sql

this program applies percent activity from Account Cross Over table to the person year and expenditures of the SUDS EA Extract file to generate the data file.

A. adjust the person years and expenditures to the Boca percentage of the following indexes that have split percentage between Boca and Broward for 2012/2013:

Index	Boca	Broward
B56000	94%	6%
B54200	96%	4%
B41000	93%	7%
B43000	94%	6%

B. get number of segments of the index from the Account Cross Over table when college sub-component does not equal to '08' Broward

C. display index if number of segments does not equal to segment count in the Account Cross Over table

D. for each segments of each index in the SUDS OB EA Extract file:

get percent of activity, program category, college sub-component for the index from the Account Cross Over table

calculate person years and expenditures by applying the percentage of activity of the program category

replace program category code to '040000' from '120000' for indexes G75001 and S24000

write out detail record of the program category

faumgr.pwb_ea_update_budget_broward.sql

this program applies percent activity from Account Cross Over table to the person year and expenditures of the SUDS EA Extract file to generate the data file for selected indexes.

A. adjust the person years and expenditures to the Broward percentage of the following indexes that have split percentage between Boca and Broward for 2012/2013:

Index	Boca	Broward
B56000	94%	6%
B54200	96%	4%
B41000	93%	7%
B43000	94%	6%

B. get number of segments of the index from the Account Cross Over table when college sub-component equals to '08' Broward

C. display index if number of segments does not equal to segment count in the Account Cross Over table

D. for each segments of each index in the SUDS OB EA Extract file:

get percent of activity, program category, college sub-component for the index from the Account Cross Over table

calculate person years and expenditures by applying the percentage of activity of the program category

write out detail record of the program category

The following Banner PL/SQL code is used to create error reports on Account Cross Over table:

faumgr.pwb_acct_xovr_report.sql

this program reads the account crossover table:

A. list the index when the number of segments is not the same as the segment counter of the index

B. list the index when the index total percentage is not equal 1.00000

SUDS OB EA Extract:

bogmgr.expenditure_analysis_extract

Account Cross Over table:

bogmgr.nwrobea_acct_xovr

HOURS-TO-DEGREE

Executive summary

The **Hours to Degree** reporting comprises of six files: PERSON_DEMO, ENROLLMENTS, DEGREES_AWARDED, HOURS_TO_DEGREE, COURSES_TO_DEGREE and PERSON_ID_CHGS. Currently Florida Atlantic University is required to submit only the HOURS_TO_DEGREE and COURSES_TO_DEGREE files every semester. The other files are only submitted as needed.

The information on Hours to degree files are for students who were awarded their first baccalaureate degree with one major during a particular term (i.e. summer, fall, or spring). The COURSES_TO_DEGREE file contains information that includes all post-secondary course work taken at FAU or at another post-secondary institution and any course work taken while in high school which was accepted as post-secondary credit.

The HOURS_TO_DEGREE file contains information about the student and the degree that was awarded. The information reported includes the student's identification, the term the degree was awarded, the Degree Program, the date of high school graduation date, the catalog term used for determining degree requirements, the hours required for the degree, the number of times the student changed programs and the term following the term where the student earned his/her sixtieth credit hour toward the degree.

The information on the Hours to Degree files is compared to the information in the Student Data Course File (SDCF), the Student Instruction File (SIF), and the Student Instruction File Degrees Awarded (SIFD) among others. The data is matched for students with a first baccalaureate degree with one major for each term.

As stated in the State University System of Florida by the Board of Governors documentation, the information from these files will be used "to assist in accountability reporting, performance based program budgeting and assessment of acceleration mechanisms as well as to answer questions about the graduates concerning cost (in conjunction with Expenditure Analysis), retention, time to completion for each degree program (CIP) and to assess the usefulness of acceleration mechanisms, such as International Baccalaureate, Departmental Exams, and Advanced Placement credit, in attaining a degree with fewer classroom hours".

Procedure

At Florida Atlantic University the procedure to create the HOURS_TO_DEGREE and COURSES_TO_DEGREE files has changed many times due to technological upgrades as well as changes in report requirements. However, the source for this information has always been the Degree Audit. Prior to the academic year 2010-11 the Degree Audit came from a software system called Student Academic Support System (SASS) which was standard for all public four year universities in Florida and is still being used by the University of Florida and the University of West Florida among others. Starting with year 2010-11 (i.e. summer 2010, fall 2010 and spring 2011) Florida Atlantic University started using a new degree audit called Degree Audit Reporting System (DARS) as the base for reporting the HOURS_TO_DEGREE files.

In order to have the information for the HOURS_TO_DEGREE files; a degree audit for each student who graduated in a particular term must exist. For this purpose the first task is to run a batch of degree audits for all students who graduated in that term. The Registrar's Office runs a batch audit for all prospect graduating students before the degrees are awarded with the objective of degree certification, but an updated audit must be performed prior to the creation of the HOURS_TO_DEGREE files.

Preceding to fall of 2013, the Registrar's Office was obtaining the academic history from DARS and putting it directly into the HOURS_TO_DEGRE files using SQL and Crystal reports. The State University Database System Edit software considered reasonable for a student to graduate with 95% through 115% of the credit hours needed for their program. Therefore, some students were being reported with less credit hours than those required by their degree. A revision to the COURSES_TO_DEGREE file for fall of 2013 was made and as a result a software package to extract the information and store it for future reference was implemented. FAU created this software package at first for the sole purpose of updating the usage indicator field making sure that the students who graduated were reported with the minimum catalog hours required. In the spring of 2014 the software package was updated to include all of the 27 fields needed for the COURSES_TO_DEGREE file.

To create the HOURS_TO_DEGREE file the Registrar's Office runs SQL queries along with Crystal reports and extracts the information from BANNER with the exception of the credit hours required for the degree field, which is extracted from the table created by the software package mentioned above.

The third step is to validate the data to make sure that no student is being reported with too much or too little credit. The Registrar's office runs SQL queries for this purpose and adjusts the results table accordingly.

The files are uploaded to the State University Database System (SUDS) for their final check. Using SUDS edit procedure the files are checked thoroughly and errors are reported. The Registrar's Office fixes the files and repeats this step until the files are error free. Finally, the files are handed to the Office of Institutional Effectiveness and Analysis (IEA) for their submission to the Board of Governors.

The HOURS_TO_DEGREE files have been re-submitted at different times for different reasons. For the academic years 2010-11 and 2011-12 the calculation of how many times students changed their program was modified to start counting only after the students had earned 60 credits hours. These files were re-submitted on March 7, 2013. For the fall of 2012 and the spring of 2013 an adjustment to the dual enrollment field was made to include courses taken prior to their high school graduation date at other postsecondary institutions besides FAU. These files were re-submitted on December 4, 2013. The

fall of 2013 COURSES_TO_DEGREE file was re-submitted on February 28, 2014 to make sure that every student was reported with at least the minimum credit hours required for their degree.

Among all the fields in the HOURS_TO_DEGREE there a few that are worth mentioning, the CRS_GROUP field, which is a code to group courses by application and/or method of instruction. Its intent is for Student Flow, Articulation Agreement with Community College and Enrollment Planning. The coding instructions are for Institutions with programs with an automatic rollover into a related graduate program who want to take the time to determine that a student earning a baccalaureate degree took graduate-level courses prior to earning the degree and subsequently enrolled as a graduate student, may code these courses as roll over and the hours will not be counted as hours attempted-native (01479) for this degree if they were not used toward the degree. Following are the list of possible values for this field and how they are coded at FAU:

Academic course (A)

- If the course was taken at FAU and the course level is between 1000 and 4000
- If the course was taken at FAU and the course level is less than 1000 and the course prefix is 'MUS'.
- It is also the default value if the course cannot be classified any other way.

College Prep (Remedial) course (C)

- If the course level is less than 1000 or greater than or equal to 7000 and the course prefix is in the list ('MAT', 'REA', 'RDG', 'WRT', 'DES', 'ENC', 'ESL', 'REM', 'BSC', 'EAP', 'ENG', 'ENS', 'ESY', 'MTH')
- If the course has been tagged in banner as remedial

Dual Enrollment Course (D)

- Dual enrollment as part of the crs_group became a requirement starting fall of 2012. In order to obtain this value the procedure was to complete the "COURSES_TO_DEGREE" file and then match the courses for each student for each term to the file of fee-waivers. If there was a match the value in the crs_group field was changed to a 'D'.
- This procedure would determine FAU courses for students who were dual-enrolled. Before creating the courses-to-degree file for the fall of 2013 it became necessary to report dual-enrolled transfer courses as well and the high school graduation date became the means for this purpose. If the transfer course was taken prior to the student's high school graduation, then the course was defined as a dual-enrolled course.
- For the fall of 2013 dual-enrolled FAU Courses were determined using the fee-waiver file and dual-enrolled transfer courses were determined using the high school graduation date. For the spring of 2014 the programming was change to determine **all** dual-enrolled courses (FAU and transfer) using the High school graduation date.

Exam Credit (E)

- If the institution ID is 'EXAMCR' or
- If the course number is equal to 997 or 998 and the course prefix is in the list ('RDG, 'WRT', 'ESY') or
- If the course number is equal to 999 or 9999 and the course prefix is equal to PEN

Life Experience (L)

- There is no programming for this category.

Military Course (M)

- If the course attribute from Banner is equal to DANT, DSST or MILI.
- Starting with the summer of 2013 in a resubmission to be completed prior to the end of 2014 FAU military courses will be determined using course prefix equal to "MSL" and "AFR".

Vocational Course (V)

- If the course level is between 6000 and 8000 and the course prefix is in the list ('NON', 'CAE', 'CJ', 'CSE', 'DEA', 'HCP')

Graduate Roll Over course (R)

- If it is an FAU course and the course level is 5000 or 6000.
- If the course level is greater than 7000 and the crs-group value has not been already determined above.

Non accredited/non acceptable (X)

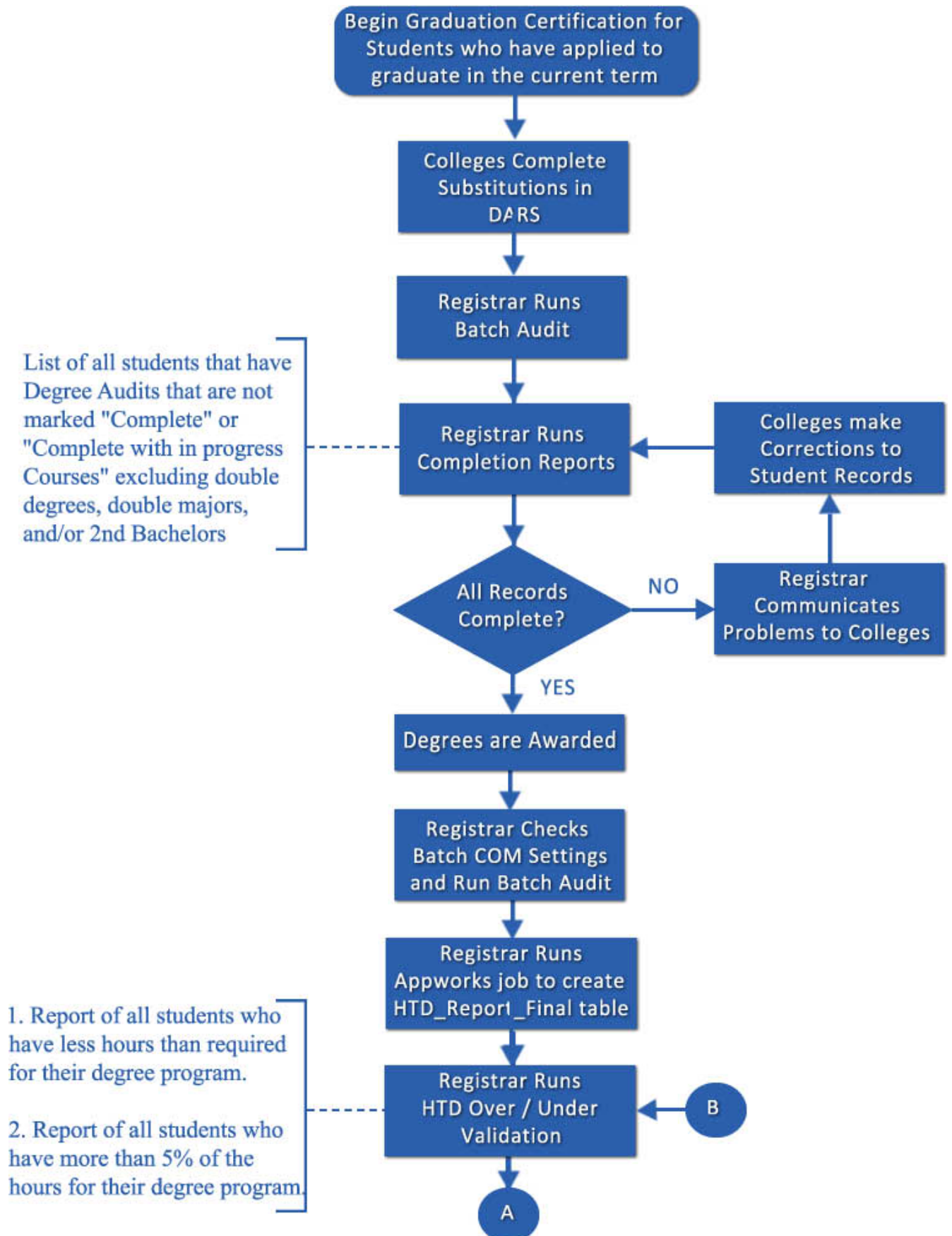- There is no programming for this category.

Another field worth mentioning is the USAGE_IND, which is a code to indicate that the credit for the course was used towards the degree or to determine if the credit is a foreign language requirement. Its intent is for Student Flow, Articulation Agreement with Community College and Enrollment Planning.
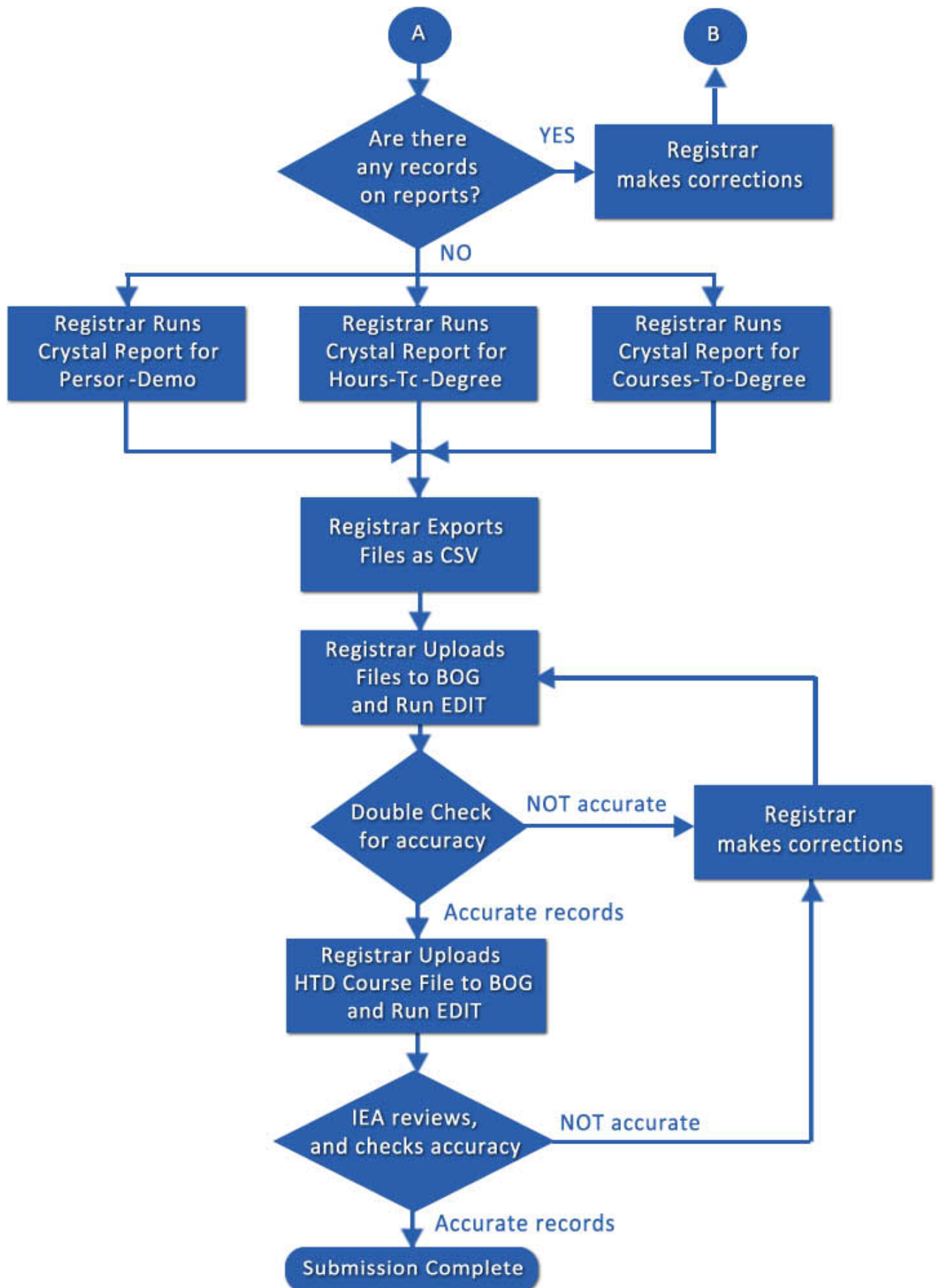
The coding instructions for the institution are to use a 'D' if the course was used Towards the Degree. Courses used towards the degree cannot be repeated courses or courses with a grade in the following list: ('I - Incomplete', 'F - Failed' or 'W - Withdrawn'). College Prep and Vocational course are also excluded.

An 'L' is to be used if the course credit is used to satisfy a foreign language requirement.

An 'N' is to be used if the course was not used towards the degree and it was not used to satisfy a foreign language requirement.

The coding for this field has been modified several times to make it more accurate since this field is key not only to determine the number of credit hours used to complete a degree, but it also concludes the number of credit hours not used towards the degree.

Begin Graduation Certification for Students who have applied to graduate in the current term

Colleges Complete Substitutions in DARS

Registrar Runs Batch Audit

List of all students that have Degree Audits that are not marked "Complete" or "Complete with in progress Courses" excluding double degrees, double majors, and/or 2nd Bachelors

Registrar Runs Completion Reports

Colleges make Corrections to Student Records

All Records Complete?

NO

Registrar Communicates Problems to Colleges

YES

Degrees are Awarded

Registrar Checks Batch COM Settings and Run Batch Audit

Registrar Runs Appworks job to create HTD_Report_Final table

1. Report of all students who have less hours than required for their degree program.

2. Report of all students who have more than 5% of the hours for their degree program.

Registrar Runs HTD Over / Under Validation

B

A

A

B

Are there any records on reports?

YES → Registrar makes corrections → B

NO

Registrar Runs Crystal Report for Person-Demo

Registrar Runs Crystal Report for Hours-To-Degree

Registrar Runs Crystal Report for Courses-To-Degree

Registrar Exports Files as CSV

Registrar Uploads Files to BOG and Run EDIT

Double Check for accuracy

NOT accurate → Registrar makes corrections

Accurate records

Registrar Uploads HTD Course File to BOG and Run EDIT

IEA reviews, and checks accuracy

NOT accurate → Registrar makes corrections

Accurate records

Submission Complete

Appendix A

(Data Verification and Clean Up)

CODE ON FILE

Appendix B

(File Creation)

CODE ON FILE

SIF (ENROLLMENTS, DEGREES AWARDED, PERSON_DEMO)

Executive Summary

The **Student Instruction Files** are created at different times during the semester and for different reasons. They are treated as different submissions although they are generated by the same program using predominantly the same set of processing steps. Each time the process is run to create one of these submission file sets, ten of the sixteen potentially required files are generated by the main program. All of these files will be created whether the specific submission requires them or not. The remaining six files are generated by the Institutional Effectiveness and Analysis (IEA) department if the specific submission file set requires them.

The ten program generated files are:

PERSON_DEMO	(file layout – Appendix I)
ENROLLMENTS	(file layout – Appendix II)
ADMISSION_EXCEPTIONS	(file layout – Appendix III)
COURSES_TAKEN	(file layout – Appendix IV)
TEST_CREDITS	(file layout – Appendix V)
FEE_WAIVERS	(file layout – Appendix VIII)
INSTRUCTIONAL_ACTIVITY	(file layout – Appendix IX)
COURSE_MEETINGS	(file layout – Appendix X)
PERSON_ID_CHGS	(file layout – Appendix XV)
DEGREES_AWARDED	(file layout – Appendix XVI)

The remaining six files provided by IEA are:

FELLOWSHIPS	(file layout – Appendix VI)
STIPENDS	(file layout – Appendix VII)
CAMPUS	(file layout – Appendix XI)
SITES	(file layout – Appendix XII)
BUILDINGS	(file layout – Appendix XIII)
ROOMS	(file layout – Appendix XIV)

The **SIFI**, also referred to as the Initial Enrollment File, is run for each semester at the conclusion of the Add/Drop period of Registration. This file was once submitted to the Florida Board of Governors (FLBOG) but now is only required by the IEA department for reporting enrollment data to the FAU Administration.

The **SIFP**, also referred to as the Preliminary Student Instruction File, is run for each semester beginning after the 28th calendar day of the semester, once Fiscal Cancellation of students has been completed. There are eight files associated with this submission file set.

Files required for submission

PERSON_DEMO	ENROLLMENTS	COURSES_TAKEN

Files submitted on an as needed basis depending on the data for the semester

ADMISSION_EXCEPTIONS	TEST_CREDITS	FELLOWSHIPS
STIPENDS	FEE_WAIVERS	PERSON_ID_CHGS

The **SIF**, also referred to as the Final Student Instruction File, is run for each semester beginning after the posting of grades at the conclusion of the semester. There are fifteen files associated with this submission file set.

Files required for submission

PERSON_DEMO	ENROLLMENTS	ADMISSION_EXCEPTIONS
COURSES_TAKEN	TEST_CREDITS	FELLOWSHIPS
STIPENDS	FEE_WAIVERS	INSTRUCTIONAL_ACTIVITY
COURSE_MEETINGS		

Files submitted on an as needed basis depending on the data for the semester

CAMPUS	SITES	BUILDINGS
ROOMS	PERSON_ID_CHGS	

The **SIFD**, also referred to as the Degrees Awarded File, is run for each semester beginning after the submission and acceptance of the **SIF**. At one time, degrees were submitted at the same time as the general student and course data. Then, there would be a submission of a LATE Degrees File. There are four files associated with this submission file set.

File required for submission
DEGREES_AWARDED

Files submitted on an as needed basis depending on the data for the semester

PERSON_DEMO	ENROLLMENTS	PERSON_ID_CHGS

The SIF (SIFI, SIFP) submission file set is made up of elements from two earlier submission files known as the Student Data Course File (SDCF) and the Instructional Activity File (IAF). The SIFD submission file set is predominantly made up of the enrollment and degree elements from the SDCF.

The SDCF elements involve the demographic data of the student, information regarding the student's academic and scholastic history, information regarding the current reporting term course work, any applicable degrees awarded to the student, and financial information regarding stipends, fellowships, and fee waivers. The purpose of this file data is to provide an accurate record of student workloads to serve as an official report of student enrollment, and to provide historical data for planning purposes in future semesters.

The IAF elements involve coursework information to the course section level. This includes class size, space utilization, and actual contact hours for scheduled instruction. The data is used to assess funding technique alternatives regarding student levels and coursework levels.

Procedure

The process for creating the SIF-related submission file sets was originally coded to create both VSAM and flat files on the mainframe in COBOL and DB2. Since that time, the entire process has been converted to PL/SQL and has been upgraded and adapted to the changes in the FLBOG data gathering. The individual flat files have been replaced with different tables required for specific aspects of the data.

For the SIF (SIFP, SIFI), the reporting population for each semester is based entirely on enrollment in coursework for that semester. Enrollment is determined by querying the SFRSTCR table on the BANNER system. This table contains records of coursework for which the students are registered within any given semester. The process selects all registered courses for the reporting term within a specific set of registration status values.
See query:

<div align="center">CODE ON FILE</div>

The status for each course registration record is checked against the STVRSTS status validation table.
If the status is among the following:

AU	Audit
CF	Cancel non-pay after 28th Day
D3	Schedule Changed By Dean
D4	Student Ineligible 2b revised
DH	Dropped After W Deadline
DM	Withdraw Except Circumstance
DR	Drop Retained
DS	Dropped with W grade
DT	Drop Retained Web Repeat Surcharge
DU	Drop with W on Web Repeat Surcharge
DZ	Drop with F on Web Repeat Surcharge
FP	Fee Petition Drop Retained
FW	Fee Petition Drop with W grade
RC	Reinstate Course
RE	**Registered**
RS	Reinstated Stu
RT	Repeat Course Surcharge Limit Reached
RW	**Web Registered**
WD	Drop Via Web with W grade
WL	Wait Listed
WR	No W grade Fee Liable Drop Web

The record is used to obtain the student pidm for further use in reporting the required information in each of the various tables generated by the program.

Once the student pidm has been determined to be part of the reporting population, the program runs through a series of procedures to populate the tables potentially required for the submission file set.

6. PERSON_DEMO Table (see Appendix I)

   Using the student pidm and the reporting term, the program runs through a series of cursors to obtain the demographic information from the BANNER tables.

   The tables used for this portion of the program are as follows (see Appendix A for table data):

   GOBINTL   GORPRAC   GORVISA   SGBSTDN   SPBPERS   SPRIDEN

   There are nine fields in the PERSON_DEMO table that affect the metrics set by the FLBOG because they are used to determine minority student counts. They are highlighted in blue on the table layout and they are defined in the next section of this document.

7. ENROLLMENTS Table (see Appendix II)

   Using the student pidm and the reporting term, the program runs through a series of cursors to obtain the enrollment information from the BANNER tables.

   The tables used for this portion of the program are as follows (see Appendix A for table data):

SABSUPL	SARAATT	SARADAP	SARAPPD	SFBETRM	SFRSTCR
SGBSTDN	SGRSATT	SGRVETN	SHRLGPA	SHRNCRS	SHRQPNM
SHRTCKN	SHRTGPA	SORLCUR	SORXREF	SPRADDR	STVCNTY
STVDEGC	STVDLEV	STVMAJR	STVRSTS	STVSTAT	SWRDGHR

   There are eight fields in the ENROLLMENTS table that affect the metrics set by the FLBOG. They are highlighted in blue on the table layout and they are defined in the next section of this document.

8. ADMISSION_EXCEPTIONS Table (see Appendix III)

   If it is determined that the student was admitted as an exception to policy this process is initiated. Using the student pidm and the reporting term, the program queries the SABSUPL table to obtain the exception to policy information from the BANNER tables.

9. Courses_Taken Table (see Appendix IV)

   Using the student pidm and the reporting term, the program runs through a series of cursors to obtain the coursework information from the BANNER tables.

   The tables used for this portion of the program are as follows (see Appendix A for table data):

SFRSTCA	SFRSTCR	SHRTCKG	SHRTCKN	SSBOVRR	SSBSECT
SSRATTR	SSRCRSE	SSRMEET	STVRSTS	SWBBADN	

10. Test_Credits Table (see Appendix V)

    Using the student pidm and the reporting term, the program loops through a cursor to obtain the data regarding credit received by exam from the BANNER tables. The cursor also uses the type of exam as a parameter.

    The tables used for this portion of the program are as follows (see Appendix A for table data):

SHRGRDE	SHRTATT	SHRTRCE	SHRTRIT

11. Fee_Waivers Table (see Appendix VIII)

    Using the student pidm and the reporting term, the program runs through a series of cursors to obtain the financial data for any fee waiver records from the BANNER tables.

    The tables used for this portion of the program are as follows (see Appendix A for table data):

SFRRGFE	SORXREF	TBRACCD

At this point in the processing, the main program calls an additional procedure which runs only if the submission report being created is the SIF. The purpose of the procedure is to determine if there are any students who were reported in the SIFP submission at the beginning of the semester but were not found to be enrolled in coursework by the end of the semester.

This additional processing accounts for students who may have withdrawn from all of their courses during the semester or whose enrollment might have been cancelled for non-payment of tuition and fees. It also compares Znumbers of the students reported in the current SIF version of the PERSON_DEMO table with those reported in the earlier SIFP version of the PERSON_DEMO table to determine if the student has had a change to their personal identification number. This can occur if the student reported either a new or corrected Social Security number since the preliminary file submission

If the process determines that there are records in the SIFP but are missing from the SIF, the program will locate the PERSON_DEMO and ENROLLMENT records for that student pidm from the SIFP submission file set and add those records to the current SIF tables in order to include them in the SIF submission file set. The program will also update the value of the TERMINATION_CD field in the ENROLLMENTS file to reflect whether the student withdrew from coursework or was fiscally cancelled resulting in having no registered coursework for the semester.

If the procedure determines that a student has been included in the SIF submission file set but has been reported under a different identification number, a record is created in the PERSON_ID_CHGS table.

12. Person_ID_Chgs Table (see Appendix XV)

Using the student pidm, the program obtains the PERSON_DEMO record currently in the table and uses the data in this record to populate the fields in the PERSON_ID_CHGS record. The prior identification number from the SIFP submission file is used to populate the PERSON_ID_PRV field in this record. The current identification number is used to populate the PERSON_ID_NEW field in the record.

After all of the student pidms meeting the population selection criteria have been processed for the student information tables, the program queries the COURSES_TAKEN table to build the coursework information tables.

13. Instructional_Activity Table (see Appendix IX)

Using the Course Reference Number (CRN) for each distinct course and the reporting term, the program runs through a series of cursors to obtain specific course section information about headcounts and contact hours from the BANNER tables.

The tables used for this portion of the program are as follows (see Appendix A for table data):

SCBCRSE   SSBSECT   SSRATTR   SSRFEES

14. Course_Meetings Table (see Appendix X)

Using the CRN for each distinct course and the reporting term, the program runs through a series of cursors to obtain course meeting information from the BANNER tables.

The tables used for this portion of the program are as follows (see Appendix A for table data):

SLBBLDG   SORXREF   SSBSECT   SSRMEET

After all of the tables have been populated, the program loops through and creates the submission files to be uploaded to the State University Database System (SUDS) for their final check. Using the SUDS edit procedure the files are checked thoroughly and errors are reported. The Registrar's Office fixes the files and repeats this step until the files are error free. Finally, the files are provided to IEA for submission to the FLBOG.

For the SIFD, the reporting population for each semester is based entirely on the receipt of an awarded degree for that semester. Awarded degrees are found by querying the SHRDGMR table on the BANNER system. This table contains records of all degrees that students are seeking or have been awarded for within any given semester. The process selects all awarded degrees for the reporting term that are not coded with a DEGC_CODE value of CRT (certificate).
See query:

CODE ON FILE

For each awarded degree determined to be part of the reporting population, the program creates the records in whichever tables are deemed necessary based on when the student last enrolled in courses. In all cases, a DEGREES_AWARDED record will be created.

1. DEGREES_AWARDED Table (see Appendix XVI)

    Using the student pidm and the reporting term, the program runs through a series of cursors to obtain the awarded degree information from the BANNER tables.

    The tables used for this portion of the program are as follows (see Appendix A for table data):

    SHRDGMR   STVDEGC   STVMAJR   SWBDGRP

    There are three fields in the DEGREES_AWARDED table that affect the metrics set by the FLBOG because they are used to determine strategic emphasis counts. They are highlighted in blue on the table layout and they are defined in the next section of this document.

The PERSON_DEMO file data is only required by the FLBOG when the degree is awarded in a semester when the student was not enrolled in coursework. However, IEA has requested that a PERSON_DEMO record be created for all student pidms reported in a given semester. Therefore the program will always create a PERSON_DEMO record as well.

2. PERSON_DEMO Table (see Appendix I)

    Using the student pidm and the reporting term, the program runs through a series of cursors to obtain the demographic information from the BANNER tables.

    The tables used for this portion of the program are as follows (see Appendix A for table data):

    GOBINTL   GORPRAC   GORVISA   SGBSTDN   SPBPERS   SPRIDEN

    There are nine fields in the PERSON_DEMO table that affect the metrics set by the FLBOG because they are used to determine minority student counts. They are highlighted in blue on the table layout and they are defined in the next section of this document.

The program queries the ENROLLMENTS table to determine whether or not the student pidm was included in the SIF submission for the reporting semester. If the student pidm is found in the SIF submission ENROLLMENTS file, then it is not required for the SIFD submission. However, if the student pidm is not found in the SIF submission, then the student was not enrolled in coursework for the term that the degree was awarded. Therefore, it is necessary to create a record in the ENROLLMENTS table for the SIFD submission.

3. ENROLLMENTS Table (see Appendix II)

    Using the student pidm and the reporting term, the program runs through a series of cursors to obtain the enrollment information from the BANNER tables.

    The tables used for this portion of the program are as follows (see Appendix A for table data):

SABSUPL	SARAATT	SARADAP	SARAPPD	SFBETRM	SFRSTCR
SGBSTDN	SGRSATT	SGRVETN	SHRLGPA	SHRNCRS	SHRQPNM
SHRTCKN	SHRTGPA	SORLCUR	SORXREF	SPRADDR	STVCNTY
STVDEGC	STVDLEV	STVMAJR	STVRSTS	STVSTAT	SWRDGHR

    There are eight fields in the ENROLLMENTS table that affect the metrics set by the FLBOG. They are highlighted in blue on the table layout and they are defined in the next section of this document.

After all of the tables have been populated, the program loops through and creates the submission files to be uploaded to the State University Database System (SUDS) for their final check. Using the SUDS edit procedure the files are checked thoroughly and errors are reported. The Registrar's Office fixes the files and repeats this step until the files are error free. Finally, the files are provided to IEA for submission to the FLBOG.

The program includes processing for the College of Medicine. The procedure derives the proper term designations for the four medical school terms and uses these as the reporting terms needed to build the tables.

For the SIF (SIFP, SIFI) submission file sets, there are four additional procedures, each corresponding to a medical school term (first year - CCYY30, second year - CCYY40, third year – CCYY50, fourth year – CCYY60). The process loops through these four procedures to obtain all of the student pidms which should be reported as part of the population selection for the current reporting term.

For the SIFD, only the term corresponding to the fourth year of medical school is used to produce the submission records.

The medical school records for each table are included in the creation of the submission files prior to uploading them to the SUDS site for editing.

Metric Field Definitions

RACE_ETHNICITY	V2(1)	Element #01044 Racial/Ethnic Group	. MISSING A Asian Or Pacific Islander B Black (Not of Hispanic Origin) H Hispanic I American Indian/Alaskan Native O Non-Resident Alien W White (Not of Hispanic Origin)

FLBOG Description:

Categories used to describe groups to which individuals belong, identify with, or belong in the eyes of the community. The categories do not denote scientific definitions of anthropological origins. A person may be counted in only one group. The manner of collection of the racial/ethnic information is left to the discretion of the institution provided that the system which is established results in reasonably accurate data, which may be replicated by others when the same documented system is utilized.

FAU Code Description:

Default all other Race Code flags to a value of 'N' and default this element to 'X'.

If the ethnicity code in SPBPERS is '2', then code the value of this element as 'H'.
If the race code in GORPRAC is 'A', then code the value of this element as 'A'.
If the race code in GORPRAC is 'B', then code the value of this element as 'B'.
If the race code in GORPRAC is 'I', then code the value of this element as 'I'.
If the race code in GORPRAC is 'P', then code the value of this element as 'P'.
If the race code in GORPRAC is 'W', then code the value of this element as 'W'.

HISPANIC_FLG	V2(1)	Element #01491 Ethnicity (Hispanic or Latino)	. MISSING N No Y Yes

FLBOG Description:

A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin, regardless of race.

FAU Code Description:

Default all Race Code flags to a value of 'N'. If the ethnicity code in SPBPERS is '2', then code the value of this element as 'Y'.

AM_IND_ALASKAN_FLG	V2(1)	**Element #01492** **American Indian or Alaskan** **Native Flag**	. MISSING N No Y Yes

FLBOG Description:

A person having origins in any of the original peoples of North and South America (including Central America), and who maintains tribal affiliation or community attachment.

FAU Code Description:

Default all Race Code flags to a value of 'N'. If the race code in GORPRAC is 'I', then code the value of this element as 'Y'.

ASIAN_FLG	V2(1)	**Element #01493** **Asian Flag**	. MISSING N No Y Yes

FLBOG Description:

A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian subcontinent including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.

FAU Code Description:

Default all Race Code flags to a value of 'N'. If the race code in GORPRAC is 'A', then code the value of this element as 'Y'.

BLACK_AFRICAN_AM_FLG	V2(1)	**Element #01494** **Black or African American Flag**	. MISSING N No Y Yes

FLBOG Description:

A person having origins in any of the black racial groups of Africa.

FAU Code Description:

Default all Race Code flags to a value of 'N'. If the race code in GORPRAC is 'B', then code the value of this element as 'Y'.

NAT_HAWAII_PAC_IS_FLG	V2(1)	**Element #01495** **Native Hawaiian/Othr Pacific Islander Flag**	. MISSING N No Y Yes

FLBOG Description:

> A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.

FAU Code Description:

> Default all Race Code flags to a value of 'N'. If the race code in GORPRAC is 'P', then code the value of this element as 'Y'.

WHITE_FLG	**V2(1)**	**Element #01496** **White Flag**	. MISSING N No Y Yes

FLBOG Description:

> A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.

FAU Code Description:

> Default all Race Code flags to a value of 'N'. If the race code in GORPRAC is 'W', then code the value of this element as 'Y'.

NON_RES_ALIEN_FLG	**V2(1)**	**Element #02043** **Non-resident Alien Flag**	. MISSING N No Y Yes

FLBOG Description:

> An indication that neither race nor ethnicity is available and that the individual has not been reported as a non-resident alien. When NO_RACE_REPORTED_FLG equals 'Y' all other Race/Ethnicity flags must equal 'N'.

FAU Code Description:

> If all other Race flags are coded with a value of 'N', the value of this data element is coded as 'Y'. However, if the Hispanic Ethnicity is reported, the value of this data element reverts back to 'N'.

NO_RACE_REPORT_FLG	V2(1)	Element #01497 No Race Reported Flag	. MISSING N No Y Yes

FLBOG Description:
>Non-resident Alien Flag. When NON_RES_ALIEN_FLG equals 'Y' all Race/Ethnicity flags must equal 'N'.

FAU Code Description:
>Different criteria are used to code the value of this data element.

>If the residency code in BANNER (SGBSTDN for SIF, SIFP, SIFD; SARADAP for ADM, LAP) is 'F', 'E', 'R', or 'N', the value of this element is coded as 'N' because the student is a resident. Otherwise, if the citizenship code in SPBPERS is 'F', the value of this element is coded as 'Y' because the student is a foreign citizen.

>However, if the citizenship code in SPBPERS is not a null value, the value of this element is coded as 'N' because the student has documentation of permanent residency or as a resident alien. But if the visa type in GORVISA is not 'PR" or 'RA', the value of this element is coded as 'Y' because the student does not have the necessary documentation.

>Visa types of 'PR' and 'RA' will result in the value of this element being coded 'N' because the student has the documentation. However if the residency code is 'A', the value of this element reverts back to 'Y' for alien residency status.

>If the residency code has any other value, the value of this element is default coded as 'N'.

>IF this element has a value of 'Y', all other Race/Ethnicity flags are coded with a value of 'N' per FLBOG data dictionary requirements.

GPA_TERM_CRED_HRS	N(3,1)	Element #01088 Term Credit Hours for GPA	00.0 to 99.9

FLBOG Description:
>Total credit hours for the current term which are to be used for grade point average calculation based on a 4.0 system. This element does not include hours for pass/fail courses, non-instructional courses, or audits, etc.

FAU Code Description:
>Code this data element using the amount of GPA hours in SHRTGPA for the term and level of the student. Only use 'I' (institutional) type GPA hours.

GPA_INST_HRS	N(4,1)	**Element #01085** **Institutional Hours for GPA**	**000.0 to 999.9**

FLBOG Description:

      Total number of credit hours attempted in current degree level (Undergraduate, Graduate, First Professional) at reporting institution at the beginning of the reporting term to be used for calculation of the Grade Point Average. Excludes all non-institutional credit awarded (CLEP, etc.).

FAU Code Description:

      Code this data element using the amount of GPA hours in SHRLGPA less the amount of hours in SHRTGPA for the term and level of the student. Only use 'I' (institutional) type hours.

STU_ENTRY_TYP	V2(1)	**Element #01068** **Type of Student at Date of Entry**	. **MISSING -** **B Beginner - FTIC First-Time-In-College** **D Dentistry** **E Early Admit, Prior to High School Graduation** **G Graduate** **H Dually Enrolled - High School student** **J Transfer From Florida College System** **K Doctorate of Nursing Practice** **L Law** **M Medicine** **N Unclassified Student Not formally admitted** **P Post Baccalaureate, Non-Degree Seeking** **R Pharmacy First Professional (Pharm.D.)** **S Post Baccalaureate, Degree Seeking** **T Doctorate of Physical Therapy** **U Other Undergraduate Transfer** **V Veterinary Medicine** **X External Degree**

FLBOG Description:

      Type of student at time of first registration for credit courses at this institution. This element does not change after the first term the student is registered for credit courses.

FAU Code Description:

      Find term and student type from very first record in SGBSTDN where the student type is NOT 'C' for continuing and the status is NOT 'IA' or 'IS' for inactive status. If the term is the same as the current reporting term, use this student type.

      If the term does not match the current reporting term, find the earliest term in SHRTCKN that is earlier than the current reporting term. Use this term to check SFBETRM to determine the registration status code. If no record exists, code the value as '*' to force an error for the

Registrar's office to research. Otherwise, if there is a valid registration status for the term, use this term to re-check SGBSTDN for the student type.

STU_ENTRY_DT	V2(6)	**Element #01064** **Student Date of Entry**	DATE

FLBOG Description:

> The year and month the student first registered in a college credit course in this institution. This element does not change after the first term the student is registered for credit courses.

FAU Code Description:

> Find term and student type from very first record in SGBSTDN where the student type is NOT 'C' for continuing and the status is NOT 'IA' or 'IS' for inactive status. If the term is the same as the current reporting term, use this student term.

> If the term does not match the current reporting term, find the earliest term in SHRTCKN that is earlier than the current reporting term. Use this term to check SFBETRM to determine the registration status code. If no record exists, code the value as '*' to force an error for the Registrar's office to research. Otherwise, if there is a valid registration status for the term, use this term as the value for the data element.

STU_RECENT_ADM_DT	V2(6)	**Element #01420** **Date of Most Recent Admission**	DATE

FLBOG Description:

> The year and month of the student's most recent admission or readmission to the institution. This element should reflect the most recent admission date to the institution. It should be updated each time the student proceeds through the admission process.

FAU Code Description:

> If the Student Entry Date is equal to the reporting term, code this data element with the value of the Student Entry Type. Otherwise, code the element with the value of the student type of the latest record in SGBSTDN where the type is not 'C' for a continuing student.

> If no such record exists in SGBSTDN, code the element with the value of the student type of the latest admitted SARADAP record.

STU_RECENT_ADM_TYP	V2(1)	Element #01413 Type of Student at Most Recent Admission	. MISSING - B Beginner - FTIC First-Time-In-College D Dentistry E Early Admit, Prior to High School Graduation G Graduate H Dually Enrolled - High School student J Transfer From Florida College System K Doctorate of Nursing Practice L Law M Medicine N Unclassified Student Not formally admitted P Post Baccalaureate, Non-Degree Seeking R Pharmacy First Professional (Pharm.D.) S Post Baccalaureate, Degree Seeking T Doctorate of Physical Therapy U Other Undergraduate Transfer V Veterinary Medicine X External Degree

FLBOG Description:

Type of student at the time of most recent admission or readmission to the institution. Type student coded here should reflect the student's most current admission status at the reporting institution. If the student has not been readmitted this type should NOT change.

FAU Code Description:

If the Student Entry Date is equal to the reporting term, code this data element with the value of the Student Entry Type. Otherwise, code the element with the value of the student type of the latest record in SGBSTDN where the type is not 'C' for a continuing student.

If no such record exists in SGBSTDN, code the element with the value of the student type of the latest admitted SARADAP record.

STU_CLASS_LEVEL	V2(1)	Element #01060 Student Classification Level	. MISSING - A Advanced Graduate B Beginning Graduate L Lower Division Undergraduate N Unclassified (not formally admitted) U Upper Division Undergraduate

FLBOG Description:

The categorization of the student's progress at the beginning of the term toward a specific degree or certificate as it applies to allocation of resources within the State University System. These categories are:

Advanced Graduate--a graduate student who has been formally admitted to a recognized Doctoral or Post-Masters degree program.

Beginning Graduate--a graduate student who has been formally admitted to a graduate degree program and is not an advance graduate student.

Upper Division--a student who has earned 60 or more credit hours or has an associate of arts degree and has completed requirements

in English and Mathematics as prescribed by FAC 6A-10.030 or is working toward an additional baccalaureate degree.

Lower Division--a student who has earned less than 60 credit hours or a student who has not been admitted to the upper division.

Unclassified--a student not admitted to a degree program.

FAU Code Description:

Using level code from SGBSTDN, run sctcvt5.wp_class_calc_db (see Appendix B). This will return the classification code and the number of credit hours earned by the student. Then using the classification code, the program translates the classification into the BOG defined value for Student Classification Level.

INST_CLASS_LVL_STU	V2(1)	Element #01267 Institutional Classification Level of Student	. MISSING - 0 Correspondence Course Students (UF Only) 1 Freshman 2 Sophomore 3 Junior 4 Senior 5 Graduate 6 Unclassified 7 First Professional

FLBOG Description:

The categorization of the student's progress, as defined by the institution, at the beginning of the term toward a specific degree program, as anticipated after all transcript evaluation and transfer hours are posted. These categories are:

Freshman, Sophomore, Junior, Senior, Graduate, Unclassified, First Professional, and Correspondence Course Students.

FAU Code Description:

Using level code from SGBSTDN, run sctcvt5.wp_class_calc_db. This will return the classification code and the number of credit hours earned by the student. Then using the classification code, the program translates the institutional classification into the BOG defined values above.

DEGC_CODE	V2(1)	Degree Code	. MISSING - A Associate in Arts (AA) B Baccalaureate C Associate in Science (AS) D Doctorate (was = D Other Doc prior to 1994-95) E Advanced Masters F Dentistry, DDS or DMD G GED H High School Diploma (was = I and H prior to 1994-95) J Associate Degree (used when AA/AS is not known) K Certificate L Law, LLB or JD M Masters N No Degree O Other P First Professional (other than F, L, V, W or X) R Engineer (was = G prior to 1994-95) S Specialist U College-Ready High School Diploma V Veterinary Medicine, DVM W Pharmacy (PharmD) X Medicine, MD Z Not Reported (was = Z and X prior to 1994-95)

Description:
> The degree, certificate, or diploma awarded the student this term.

FAU Code Description:
> Use the degc_code value from SHRDGMR.

MAJR_CODE	V2(4)	Major Code	

Description:
> The area of study the degree is awarded in.

FAU Code Description:
> Use the majr_code_1 value from SHRDGMR.

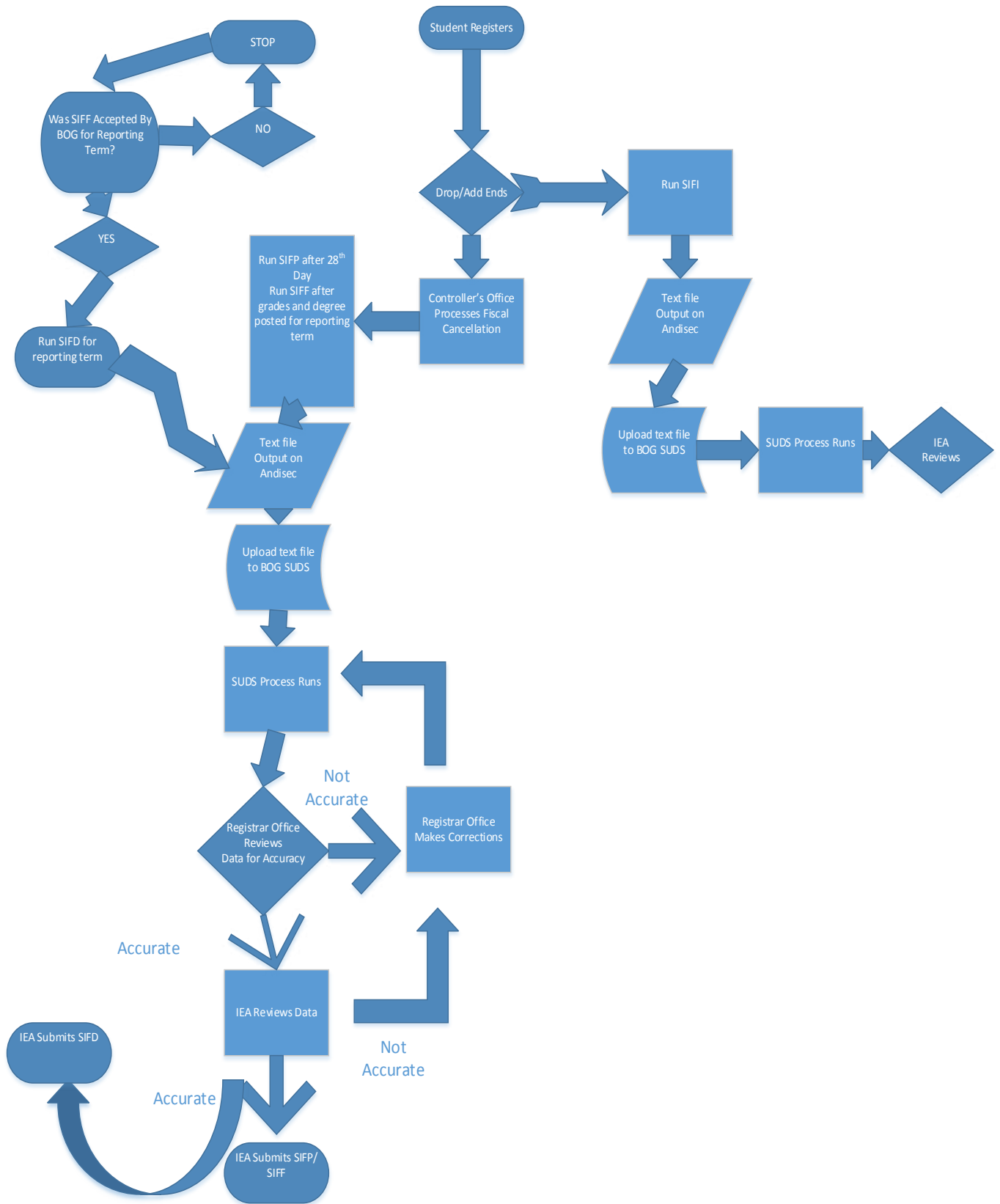| CIP_CODE	V2(6)	CIP Code	

Description:
> The classification associated with the degree program in which the degree was awarded.

FAU Code Description:
> Use major code from SHRDGMR, query STVMAJR to find CIP code associated with the major.

Process Flowchart

STOP

Was SIFF Accepted By BOG for Reporting Term?

NO

YES

Student Registers

Drop/Add Ends

Run SIFI

Run SIFP after 28ᵗʰ Day
Run SIFF after grades and degree posted for reporting term

Controller's Office Processes Fiscal Cancellation

Text file Output on Andisec

Run SIFD for reporting term

Text file Output on Andisec

Upload text file to BOG SUDS

SUDS Process Runs

IEA Reviews

Upload text file to BOG SUDS

SUDS Process Runs

Not Accurate

Registrar Office Reviews Data for Accuracy

Registrar Office Makes Corrections

Accurate

IEA Reviews Data

Not Accurate

IEA Submits SIFD

Accurate

IEA Submits SIFP/ SIFF

Appendices

CODE ON FILE

<u>Appendices</u>

CODE ON FILE

Performance Based Funding

Data Integrity Certification

STATE UNIVERSITY SYSTEM *of* **FLORIDA**
Board of Governors

Name of University: _____

Period Ending: _____

INSTRUCTIONS: Please respond "Yes," "No" or "N/A" in the blocks below for each representation. Explain any "No" or "N/A" responses to ensure clarity of the representation and include copies of supporting documentation as attachment(s).

Performance Based Funding Data Integrity Certification Representations				
Representations	**Yes**	**No**	**N/A**	**Comment / Reference**
1. I am responsible for establishing and maintaining, and have established and maintained, effective internal controls and monitoring over my university's collection and reporting of data submitted to the Board of Governors Office which will be used by the Board of Governors in Performance Based Funding decision-making.	☐	☐	☐	
2. These internal controls and monitoring activities include, but are not limited to, reliable processes, controls, and procedures designed to ensure that data required in reports filed with my Board of Trustees and the Board of Governors are recorded, processed, summarized and reported in a manner which ensures its accuracy and completeness.	☐	☐	☐	
3. In accordance with Board of Governors Regulation 1.001(3), my Board of Trustees has required that I maintain an effective information system to provide accurate, timely, and cost-effective information about the university, and shall require that all data and reporting requirements of the Board of Governors are met.	☐	☐	☐	
4. In accordance with Board of Governors Regulation 3.007, my university shall provide accurate data to the Board of Governors	☐	☐	☐	

Performance Based Funding
Data Integrity Certification

Performance Based Funding Data Integrity Certification Representations				
Representations	Yes	No	N/A	Comment / Reference
Office.				
5. In accordance with Board of Governors Regulation 3.007, I have appointed a Data Administrator to certify and manage the submission of data to the Board of Governors Office.	☐	☐	☐	
6. In accordance with Board of Governors Regulation 3.007, I have tasked my Data Administrator to ensure the data file (prior to submission) is consistent with the criteria established by the Board of Governors Data Committee. The due diligence includes performing tests on the file using applications/processes provided by the Board of Governors Information Resource Management (IRM) office.	☐	☐	☐	
7. When critical errors have been identified, through the processes identified in item #6, a written explanation of the critical errors was included with the file submission.	☐	☐	☐	
8. In accordance with Board of Governors Regulation 3.007, my Data Administrator has submitted data files to the Board of Governors Office in accordance with the specified schedule.	☐	☐	☐	
9. In accordance with Board of Governors Regulation 3.007, for each data file submission, my Data Administrator provided a certification indicating, **"I certify that this file/data represents the position of this University for the term being reported."**	☐	☐	☐	
10. I am responsible for taking timely and appropriate preventive / corrective actions for deficiencies noted through reviews, audits, and investigations.	☐	☐	☐	
11. I recognize that the Board's Performance Based Funding initiative will drive university policy on a wide range of university operations – from admissions through graduation. I certify that university policy changes and decisions impacting this initiative	☐	☐	☐	

Performance Based Funding
Data Integrity Certification

Performance Based Funding Data Integrity Certification Representations				
Representations	Yes	No	N/A	Comment / Reference
have been made to bring the university's operations and practices in line with State University System Strategic Plan goals and have not been made for the purposes of artificially inflating performance metrics.				

I certify that all information provided as part of the Board of Governors Performance Based Funding Data Integrity Certification is true and correct to the best of my knowledge; and I understand that any unsubstantiated, false, misleading or withheld information relating to these statements render this certification void. My signature below acknowledges that I have read and understand these statements. I certify that this information will be reported to the board of trustees and the Board of Governors.

Certification:_____ Date_____

       President

I certify that this Board of Governors Performance Based Funding Data Integrity Certification has been approved by the university board of trustees and is true and correct to the best of my knowledge.

Certification: _____ Date_____

       Board of Trustees Chair