APTS Handbook

Through the Aid for Part-time Study program, New York provides tuition assistance to eligible undergraduate students enrolled on a part-time basis in a program of study at a participating institution in New York State.

Each academic year, an annual appropriation is provided, and is allocated proportionately based on part-time enrollment data, to those institutions electing to participate in the program. Participation is not mandatory and only those degree-granting institutions filing a formal request to participate receive an allocation. Eligible institutions not participating during an academic year are in no way precluded from participating in subsequent years.

Unlike other grant and scholarship programs administered by HESC, the APTS program operates primarily as a campus-based program; recipients are selected and award amounts are determined by the participating institution.

Although student eligibility criteria are established in statute, the institution does have fairly broad discretion in the selection of students for awards from among eligible applicants.

Institution Information

1.1 Institution Eligibility

The Aid for Part Time Study (APTS) program is limited by NYS statute to educational institutions meeting all of the following eligibility criteria:

- Located in New York State;
- Approved by the State Education Department of New York to offer undergraduate degrees;
- Participates in the New York State's Tuition Assistance Program (TAP);
- Offer a program of part-time study; and
- Tuition for the part-time study program totals at least one hundred dollars a year.
- Schools set up on a semester basis must have terms that are 15 weeks in duration; Schools set up on a trimester/quarter basis must have terms that are 10 weeks in duration.

1.2 Institution Application to Participate

Eligible institutions wishing to participate in the APTS program must apply each year to the New York State Higher Education Services Corporation (HESC). Prior to the start of each academic year, HESC will forward the annual "Application to Participate Aid for Part-time Study Program HE8373" (Application) to eligible educational institutions. An email is sent to eligible schools, after the NYS budget has been enacted, advising them of the availability of the Application and the deadline to submit to HESC. The Application can be downloaded from HESC's website.

To access the Application electronically, select APTS Application to Participate.

Application Procedures

Institutions wishing to participate in the APTS program must designate an individual to serve as the institution's APTS official and coordinator for the program. The Application to Participate for Part-Time Study must be signed by the APTS official and by an alternate APTS official. Bursar contact information must also be provided.

By electing to participate in the APTS program, the Institution and APTS official are committed to adhering to the regulations and guidelines governing the program.

The Application to Participate for Part-Time Study must be completed and mailed to HESC no later than the deadline designated by HESC.

1.3 Institution Allocation of APTS Funds

The APTS program is funded by an annual State appropriation for each academic year and is allocated and distributed to participating institutions based on their part-time enrollment during the preceding fall term as reported to the New York State Education Department. The academic year begins on July 1 and ends June 30. For award purposes, summer is the first term of the academic year. HESC will notify participating institutions of the allocation of funds.

Institution Allocation of APTS Funds Formula:

$$\frac{\text{Institution's Undergraduate Part-Time Degree Program Enrollment}}{\text{Total Undergraduate Part-Time Degree Program Enrollment of All Participating Institutions}} \times \text{Appropriation} = \text{Institution Allocation}$$

nstitutions shall not exceed their annual Institution Allocation of APTS Funds for the academic year. The institution will be liable for APTS awards that exceed their Institution Allocation of APTS Funds. Any APTS funds not awarded or expended during the academic year revert back to the State and cannot be used by the institution to grant awards to part-time students in a subsequent academic year.

1.4 Reallocation

A reallocation of unexpended APTS funds within sectors is permitted.

CUNY and SUNY Reallocations

If an institution which is part of the State University of New York (SUNY) or the City University of New York (CUNY) does not expend the entire amount of its allocation, the Chancellor of SUNY or the Chancellor of CUNY, as the case may be, may reallocate and distribute the unexpended funds to other participating institutions within the SUNY or CUNY system respectively.

The Chancellor or the Chancellors' designee, shall submit written "notification of the reallocation," to the president of HESC within 30 days of the reallocation of APTS funds.

The notification of reallocation shall include the name of the institution, the unexpended amount of the institution's allocation of funds, the name of the institution(s) receiving the additional allocation of funds, date of distribution and the amount each institution received. No notification of a reallocation may be submitted to the president of HESC after May 31 of the academic year.

Independent Institutions Reallocations
The president of HESC may reallocate unexpended Institution(s) Allocation of APTS funds among Independent institutions.

All Independent institutions with unexpended APTS funds shall notify the president of HESC in writing of the unexpended amount by September 15 for the fall term, and by January 15 for the spring term of the academic year.

Independent institutions requesting additional allocation of APTS funds must notify the president of HESC, in writing, by September 15 for the fall term and by January 15 for the spring term.

The Institution's request for an additional allocation of APTS funds shall include the estimated number of students and award amounts from the institution original allocation of APTS funds.

The request for an additional allocation of APTS funds must also include the estimated number of additional eligible students and award amounts required for the term.

The reallocation of funds are subject to the same program requirements.

1.5 Institution Responsibilities

Record Keeping
Institutions are required to maintain the following records for a period of five years following the end of the academic year for which an APTS award is made:

- A copy of all Aid for Part Time Study (APTS) Applications submitted to the institution, whether an award was made or not, together with any supportive documents which may have been required to be submitted with the application.
- A record of the institution's evaluation of financial need for all eligible applicants.
- A fiscal record for each term for each student for whom an award was made which must include total tuition charges, all financial aid, the amount of the award under APTS and the amount of tuition waived or refunded.
- An academic record for each term for which a recipient received an award shall include a list of all courses registered for in that term, grades received and the cumulative average for the term.

Accountability

Institutions participating in the APTS program are subject to a review of their administration of the APTS program by HESC and an audit by the State Comptroller's Office. Institutions are required to make records, relating to their administration of the program, available to the appropriate state officials. In the event it is determined an APTS award was inappropriately paid as a result of error on the part of the institution, the institution will be required to refund the award to HESC.

Student Eligibility Requirements

To be eligible for an APTS award a student must:

- Be a United States citizen or eligible noncitizen.
- Be a legal resident of New York State.
- Have graduated from a high school in the United States, earned a high school equivalency diploma through Test Assessing Secondary Completion (TASC), formally known as GED, or passed a federally approved "Ability to Benefit" test as defined by the Commissioner of the State Education Department.
- Be enrolled as a part-time student.
- Be matriculated in an approved program of study in a participating New York State postsecondary institution.
- Be in good academic standing: Have achieved at least a cumulative "C" average after having received the equivalent of two full years of payment of state-sponsored student financial aid.
- Be charged at least $100 tuition per year.
- Not have exhausted Tuition Assistance Program (TAP) eligibility.
- Not be in default on a federal or State student loan or on any repayment of state awards.
- Meet income eligibility limitations.

2.1 Citizenship

All grant and scholarship programs that HESC administers require the student to meet certain requirements relating to U.S. citizenship. Students will be considered to have fulfilled the citizenship requirement if they meet citizenship requirements for federal programs.

If the institution has any information that would cast doubt on an award recipient's ability to meet the citizenship requirement, HESC's TAP Payments should be notified at tappayments@hesc.ny.gov.

2.2 New York State Residency Requirements

Eligibility for APTS awards is limited to students who meet New York State residency requirements.

Institutional Responsibility

In determining if a student meets New York State residency requirements, the APTS coordinator should be aware of on-campus information that might reflect on a student's residency.

Schools must review eligibility for state awards for any student whose New York State residency is questionable. In many cases, the review will be simple and the school will need only to document the decision. Cases that cannot be determined by college officials should be forwarded to the APTS Administrator at HESC. The school can print a Residency Questionnaire from HescWeb's Forms for Financial Aid Professionals and give to the student to complete. Schools should refrain from taking any selection or certification activity until the student's residency has been determined.

Schools should develop procedures to record the state in which the student attended and graduated from high school. Students who are not New York State high school graduates should not be selected for APTS until some review of their records, either by the school or HESC, is complete. It is expected that schools will review residency eligibility and make appropriate determinations before forwarding to HESC for review.

Legal Residence

In order to be eligible for an APTS award, a recipient must have been a legal resident of New York State for at least one year preceding the term for which aid is requested, or, if not a resident for one year preceding the term for which aid is requested, a recipient must be a legal resident at the time of application and have been a legal resident for the last two semesters of high school.

The legal residence of a recipient who is claimed by a parent, stepparent or adoptive parent as a dependent for income tax purposes shall be considered to be that of the person so claiming, unless the recipient can establish to the satisfaction of the president that a separate legal residence within New York State has been established. Residence in a college-owned housing facility shall not, in itself, establish a separate legal residence.

Legal residence within New York State must be maintained for the entire academic period for which an award is made.

Legal Residence Requirement for Members of the Armed Forces, their spouses and Dependents

HESC presumes the student meets the residency requirement, if the student was a legal resident of New York State when he/she entered into the service and has maintained that legal residence while in the service.

HESC presumes the student meets the residency requirement, if the student is the spouse or dependent of a member of the armed forces who is a legal resident of New York State but is stationed out of state, regardless of how long the member of military has been absent from New York State while on active duty.

The residency requirement is waived, effective with the 2005-06 academic year and thereafter, if the student is a member of the armed forces who is not a legal resident of New York State but who is stationed on full-time active duty in New York State. To qualify for the waiver, the student must submit official documentation confirming full-time active duty status and duty station

The residency requirement is waived, effective with the 2005-06 academic year and thereafter, if the student is the spouse or dependent of a member of the armed forces who is not a legal resident of New York State but who is stationed on full-time active duty in New York State. The student must submit official documentation confirming both the full-time active duty status and duty station of the member of the armed forces and the student's status as spouse or dependent of that person.

Duration of Residency

Nonresidents who begin full-time or part-time study in New York State during their first year of residing in New York State are not generally eligible for state sponsored student aid, even though they may have resided in New York State for 12 or more months.

Veterans or former National Service Volunteers who were legal residents of New York State upon entry into the service can meet the 12-month requirement if they re-establish legal residency within six months of release from active duty, regardless of how long they were absent from New York State and regardless of legal residencies established elsewhere.

Students who were residents of New York State before meeting citizenship requirements are considered to meet New York State residency requirements for any term of study beginning after they have met citizenship requirements if they have been residents of the state for at least 12 months.

Loss of Residency

New York State residency is lost when the student discontinues permanent legal residence in the state. The student is ineligible to receive any state sponsored financial aid award that requires New York State residency for any term of study beginning after residency is lost.

No award may be made for any term subsequent to the term in which a recipient discontinues permanent New York residence.

2.3 High School Graduation Requirement

To be eligible for any state-sponsored grant or scholarship award, students who first receive aid in:

a. academic year 1996-97 to academic year 2006-07 must have:

- a high school diploma, or
- the recognized equivalent of a high school diploma (e.g., GED), or
- a passing score as determined by the U.S. Secretary of Education on a federally approved ability-to-benefit test.

b. academic year 2006-07, must have:

- a U.S. high school diploma, or
- the recognized equivalent, or
- a passing score on a federally approved ability-to-benefit test independently administered and evaluated as provided by the NYS Commissioner of Education.

c. academic year 2007-08 and thereafter, must have:

- a U.S. high school diploma, or
- the recognized equivalent, or
- a passing score on a federally approved ability-to-benefit test identified by the NYS Board of Regents and independently administered and evaluated by the Commissioner of Education.

2.4 Income

Applicants must meet one of the following income limits:

- The student was claimed, or was eligible to be claimed, as a dependent on their parent's Federal or State tax return for the preceding calendar year (i.e. 2010 tax year for awards made during the 2011-12 academic year), and the NYS net taxable income plus any state, local or federal pension and any private pension and annuity* income of the parents, student and, if married, student's spouse did not exceed $50,550.
- The student was not eligible to be claimed as a dependent on their parents' Federal or State tax return for the preceding calendar year and the NYS net taxable income plus any state, local or federal pension and any private pension and annuity* income of the student and, if married, student's spouse did not exceed $34,250.
- The student was not eligible to be claimed as a tax dependent by their parents, but was eligible to claim tax dependents of their own, other than a spouse, the net taxable income plus any state, local or federal pension and any private pension and annuity* income of student, and if married, students spouse did not exceed $50,550.

*Private pension and annuity amounts are to be included in the calculation of income used for determining APTS award eligibility.

Note: Net Taxable Income refers to that portion of income on which tax is payable after relevant exemptions and deductions have been taken into consideration, as reported on the appropriate New York State Income Tax Return. Individuals are required to report income, including income earned from outside NYS, on their APTS application regardless of whether they filed Federal or State taxes, unless the income is not considered taxable by NYS law.

Exclusion of Income

The income of a parent or student's spouse may be excluded in the case of death, divorce or legal separation which occurred on or before December 31st of the tax year on which an award is based. The income may be excluded even if the student was claimed as a tax dependent by the parent or spouse.

For exclusion of income based on parents legal separation or divorce; the income of the non-custodial parent can be excluded, but any support payments made by non-custodial parent must be added to the net taxable income reported to determine if the student meets income eligibility requirements.

Prorating Income

The income of a parent or student's spouse for the tax year on which an award is based may be prorated in the case of death, divorce, separation, or permanent and total disability which occurs after December 31st of the base tax year.

Income must be reported for a parent or student's spouse where death, legal separation, divorce or permanent and total physical or mental disability occurred after the end of the tax year. The income is prorated using the following formula:

$$\text{Base Year NTI} \times \frac{\text{Number of Months Status Unchanged}}{18} = \text{Portion of Reported Income to be Used}$$

Base year NTI is the NYS net taxable income earned in the tax year preceding the academic year for which an award is requested.

Number of Month's Status Unchanged is the number of months from January preceding the start of the academic year up to and including the month in which the event occurred. It is a measure of time during which the base year net taxable income was available for the benefit of the applicant.

2.5 Loan Default

The student must not be in default of any student loan guaranteed by HESC.

Determination of Default Status

HESC will review loan repayment history of all award recipients and will identify those students in default on Federal or State-made student loans. The records of HESC are determinative with respect to default status. A student whose loan has been purchased by HESC is in default unless the student has cleared the default, or by paying the loan in full, or has loan repurchased by a lender.

Clearing Default Status

HESC will reprocess students denied an award because of loan default if the loan default is cleared by June 30. Students whose loan default is cleared afterJune 30 will not be eligible for an award for any term of the academic year when they were in loan default status.

Renewed Eligibility for Financial Aid (REFA)

Students in default on a loan may be eligible for state grant awards including an APTS award if the student has made six consecutive satisfactory voluntarily monthly loan repayments at the time the recipients list is processed by HESC and the student continues to make scheduled monthly repayments.

Other types of multiple payments by the student to make up for missed payments or lump sum payments, which equal six monthly payments, but do not result in the loan balance being repaid, do not result in renewed eligibility.

Students whose defaulted loans are in judgment or bankruptcy proceedings are not eligible for REFA.

Students are not required to fill out REFA applications. If the student submitted for an APTS award satisfies the requirements for REFA, HESC will approve and reprocess for an award. These students will be on an updated Roster of Recipients. Students who have not met the requirements will not be eligible for an award for that term.

2.6 Matriculated Status

The student must be matriculated in an approved undergraduate degree program or registered certificate program. Matriculated students must declare a major by the beginning of the junior year in a baccalaureate program and by the sophomore year in a two-year program.

2.7 Part-time Status

The student must be enrolled for at least 3, but less than 12 credits per semester; or at least 4, but less than 8 credits per trimester or the equivalent as defined by the Commissioner of Education of the State of New York.

- Term Course Load – The student's part-time course load may consist of both credit bearing and non-credit remedial courses. Section 145-2.1 of The Regulations of the Commissioner of Education permits a portion of a student's part-time course load to consist of non-credit remedial work on an hour-for-hour equivalent basis pursuant to the definition of semester hour in 8 NYCRR § 50.1(o) of The Regulations…. A student carrying a part-time course load, which includes non-credit remedial courses, shall carry at least 3 semester hours of credit-bearing work.

2.8 Good Academic Standing (GAS)

To receive APTS the student must be in good academic standing (GAS) as defined in Section 145-2.2 of the Regulations of the Commissioner of Education. GAS comprises two components: Pursuit of Program (POP) and Satisfactory Academic Progress (SAP). The State Education Department details GAS for part-time study in CEO memorandum #84-8, Guidelines On Aid For Part-time Study, (revised October, 1995).

Pursuit of Program

The Pursuit element of GAS expects the student to make an effort to complete the coursework undertaken pursuant to a State award. To satisfy POP, a student must earn a passing or failing grade in a percentage of the minimum course-load in each term an award is received. The percentage increases from 50% of the minimum part-time load in each term of the first year an award is received, to 75% of the minimum part-time load in each term of the second year, to 100% of the minimum part-time load in each term thereafter. The pursuit requirement remains a continuous measure of a student's achievement.

For example, in a semester-based school, in each of the first two semesters for which a part-time student receives APTS, the student must receive a grade (passing or failing) in at least one and one-half semester hours or 50% of the minimum part-time courseload. During the third and fourth semesters a part-time award is received, the student must complete at least two semester hours or 75 % of the minimum part-time courseload. Thereafter, the student must receive a passing or failing grade in at least three semester hours, or 100% of the minimum part-time courseload.

Satisfactory Academic Progress
Satisfactory Academic Progress is a measure of the student's achievement (credits earned).

To make satisfactory academic progress the student must earn/successfully complete a minimum number of semester hours of credit with a minimum grade point average in accordance with the school's standard of progress that has been approved by the Commissioner of Education. A change in legislation in 2006 created a uniform chart used to determine a student's satisfactory academic progress. These requirements must be met in each term an award is received. For APTS, students have two semesters to meet the Standard of Academic Progress requirements that full-time students must meet in one semester.

NOTE: Effective for the 2010-11 academic year and thereafter, New York State Education Law requires a non-remedial student, whose first award year is in 2010--11 and thereafter, must meet new standards of satisfactory academic progress (SAP). Non-remedial students whose first year is 2007-08 through 2009-10 must meet the SAP requirements enacted in 2006. Those meeting the definition of "remedial student" are not subject to the new SAP standards, but will use the requirements established in 2006. The law enacted in 2006 mandated minimum standards of satisfactory academic progress for students receiving their first State award in academic year 2006-07 year.

Select TAP Coach - Satisfactory Academic Progress to view the requirements.

Note: Awards received count against a student's total award eligibility for undergraduate tuition support (4 academic years, unless enrolled in an approved 5-year program); whether a student receives APTS or TAP or a combination during the student's undergraduate studies, all awards draw on the student's maximum eligibility under Education Law. As an example, a student enrolled in a four-year undergraduate program at a semester-based institution can receive up to sixteen semesters of part-time awards.

Loss of Good Academic Standing
If a student loses good academic standing for any term in which an award was paid, the student loses eligibility for an award for the subsequent term.

Reinstatement of Good Academic Standing
A student who loses good academic standing may have it restored using one of the following
four (4) ways:

- Make up past academic deficiencies without receiving of APTS or other State awards.
- Be readmitted to school after an absence of at least 6 months (comparable to one calendar year of full-time).
- Transfer to another school.
- Be granted a one-time undergraduate waiver of the good academic standing requirement.

Waiver of Good Academic Standing Requirement
Regulations of the Commissioner of Education permit an undergraduate student to receive a one-time waiver of good academic standing requirements if there are extenuating circumstances, which would justify the granting of such a waiver.

Schools are required to publish criteria under which this waiver will be granted and must adhere to these criteria when granting waivers. Schools are required to discuss the waiver with the student prior to granting one. It is important to bear in mind that the granting of a waiver is not automatic and must be done in accordance with the school's published criteria. The improper granting of waivers can result in audit disallowances against the school.

The single waiver may be used for either a full-time or a part-time award. Particular consideration should be given to whether granting the one-time waiver for a part-time award is the most effective use of the waiver provision. HESC maintains a record of all waivers granted and preprints a "W" on the Institutional Roster of Recipients List for students previously granted a waiver. These students may not be granted additional waivers. The Reconciliation Report generated after the processing of the certified roster will have a "W" printed in the waiver column.

2.9 APTS Award Amount

The maximum annual award payable to a student cannot exceed $2,000 or tuition, whichever is less. The maximum term award amount cannot exceed $1000 or tuition, whichever is less at schools on a semester calendar; or $666.66 or tuition, whichever is less at schools on a trimester/quarter calendar.

The amount of the student's award is determined by the participating school and will depend on such factors as student's need and the school's allocation of funds and total number of eligible part-time students. Schools must waive a portion of the tuition in the amount equal to the award for each recipient.

2.10 Duration of Award

APTS awards reduce a student's total award eligibility for the Tuition Assistance Program. Both TAP and APTS payment points count against a student's maximum eligibility for undergraduate State tuition support. Students who have exhausted their TAP eligibility cannot receive an APTS award.

2.11 Payment Points

Student may receive up to eight years (16 semesters), a maximum 48 payment points, for part-time undergraduate study. EOP, HEOP, CD or SEEK students may receive up to 10 years (20 semesters), a maximum 60 payment points, for part-time undergraduate study.

Students who receive an APTS award use one half of a full term of eligibility. The payment points will be charged as follows:

- Three (3) payment points for any term award made at a school operating on a semester calendar
- Two (2) payment points for any term award made at a school operating on a trimester/quarter calendar.

2.12 Duplication of Award

A duplicative benefit is an award that duplicates the purpose of another award. Duplicative benefits are those that duplicate the purpose of TAP, STAP, APTS, or Veterans Tuition Awards—i.e., tuition awards. (They have no effect on other State programs.) The total of TAP, STAP, APTS, and/or Veterans Tuition Awards and the duplicate benefit cannot exceed the student's tuition liability. When other benefits are duplicative, the TAP, STAP, APTS, and/or Veterans Tuition Awards are reduced accordingly.

A tuition award for APTS may not exceed the amount by which the tuition, exclusive of educational fees, payable by the student exceeds the total of all other state, federal, school or other educational aid. Student can not receive Part-time TAP or Accelerated TAP or APTS for the same term. However, an APTS recipient may also receive the Veterans Tuition Award, but the combination of both awards cannot exceed the student's tuition.

Application & Award Procedures

3.1 Student Application for Aid for Part-time Study (HE8073)
A student must file a completed Application for Aid for Part-time Study (HE8073) with the school for each academic year in which an award is sought. Although awards must be made on a term basis, it is not necessary for the students to file an application for each term unless the school requires a student to do so.

The Application for Aid for Part-time Study (HE8073) and the Instructions for Preparing an Application for Aid for Part-time Study (HE8083) are available electronically, to school officials, on HESC's website and may be placed on the school's website.

Select Forms for Financial Aid Professionals to view/print the Aid for Part-time Study Application and Instructions.

Students must send the completed applications to their school's Financial Aid office for review and selection.

APTS Application Deadline
Schools may establish deadlines for submission of the application by their students.

Record Retention
The institution must retain student application forms and supplemental documentation as listed in NYS Education Regulations section 2207.2(e) for five years following the end of the academic year. HESC may require copies of the applications be forwarded to HESC as part of a review or audit of student eligibility, or of the operation of the program at the school.

3.2 Selection of APTS award recipients

The selection of APTS award recipients is the responsibility of the school. In exercising this responsibility the school must:

- Determine the eligibility of applicants
- Develop a reasonable criteria for selecting recipients from among the eligible applicants

Determining the Eligibility of Applicants
An institutional review of APTS applications received is usually the primary method of determining student eligibility for an award.

A review of student's academic record is necessary to determine if the student is matriculated in an undergraduate degree program or accepted and enrolled in a registered certificate/diploma program, has registered for the required number of credits, and will be subject to a tuition charge of at least $100.00 per year. The continuation of eligibility for an APTS award requires the student be in good academic standing as defined by the NYS Commissioner of Education pursuant to article 13 of Education law.

Developing APTS Selection Criteria
State statute provides the school with broad discretion in developing criteria for the selection of APTS recipients from among the eligible students. It is recommended the school develop a written statement describing the criteria that will be employed in selecting recipients for an APTS award. The statute requires the school to give consideration to those eligible students who demonstrate the greatest financial need after all available grants have been applied to educational costs, and giving preference for APTS awards to students who would otherwise be unable to attempt or continue postsecondary education. If the school establishes another method of financial need evaluation, it must be applied equitably to all eligible students.

NOTE: All students determined to be eligible award recipients and who receive an award uses one half of a term of eligibility for state student financial aid purposes. This is an extremely important consideration that students should be aware of, especially if a relatively small award is to be made by the school or the student plans, in the future, to pursue a program of study on a full time basis.

3.3 APTS Award Notification & Tuition Waiver/ Tuition Reimbursement

Students selected for an APTS award must receive written notification of the award amount and receive a tuition waiver for the amount received. If the tuition was previously paid by the student; a tuition refund equal to the award amount must be made within 45 days of the submission of student's name to HESC.

Not all eligible students who apply for assistance will receive an APTS award. Although there is no requirement that the school formally notify students who have been denied an APTS award, it is suggested that notice be given to the students.

APTS Recipient Status
Once a student has been selected and notified to receive an APTS award and the student's name has been submitted to HESC; the student is considered to be an "APTS recipient" for that term. The student can only be held liable for tuition charges for the amount of the APTS award if there is a loss of recipient status as described below.

Loss of APTS Recipient Status
A student loses APTS Recipient status only in the following circumstances:

- It is determined the student has exhausted TAP eligibility.
- The student is found to be in default of any Federal or State-made student loan or on the repayment of any State awards.
- The school subsequently becomes aware of the student's failure to meet one or more of the eligibility criteria for the award.
- The student was originally selected for an award as a result of administrative error on the part of the school.

3.4 APTS Recipient selection and transmission deadlines

Schools must select, submit and transmit APTS Recipients and any replacements/deletions within 45 days of the end of the school's add / drop date for the term.

Aid for Part-time Study Recipient List and Replacement/Deletion Procedures

APTS Recipient List

The Recipient List is the list of eligible students selected for an APTS award for a term (semester, trimester/quarter) and submitted to HESC electronically by the school. Schools must use the APTS Recipient List to create, submit and transmit the APTS recipients and award amounts to HESC for processing.

4.1 Options available for creating & transmitting APTS Recipient List to HESC

HescWeb Transaction Processing and Webfile Transfer are HESC's Web solution to your online processing needs. Authorized users have secure access to data, transactions, and reports. HescWeb Transaction Processing and Webfile Transfer are available only to constituents who have been issued a valid User ID and password and are approved for secure processing with HESC. To obtain access, the authorizing APTS Coordinator must complete an electronic EFAN ID application and an APTS Certification Authorization form (available in HescWeb's Forms for Professionals). Both applications must be completed and submitted to HESC's Information Protection Office. Contact HESC's Help Desk for additional information at 518-473-0550.

Option 1 - Transaction Processing

Within HESC's web based management system for grants and scholarships, APTS coordinators can create, submit and transmit the Initial APTS Recipient List, certify awards, and review/print APTS reports.

Option 2 - Batch File Processing

The schools financial management system may create and transmit the file HE8075 – Aid for Part-time Study Recipient List to HESC for processing. The HE8075 file layout is available within HESC's secure web pages in Forms for Professionals.

4.2 APTS Recipient List Transmission Deadline

Statutory provisions governing the APTS program requires schools to select APTS recipients within 45 days of the end of the add/drop period, including any replacement/alternate recipients, and transmit the APTS Recipient List to HESC for each term.

An alternate recipient may be submitted as a replacement if an APTS recipient was submitted on the Recipient List and was determined to be ineligible for an award. The replacement must be submitted to HESC within 45 days of the end of add/drop period for the term.

The total number of students transmitted on the Recipient List(s) is the control number of student awards. The school may not exceed this control number when adding replacements.

The APTS Recipient List transmission deadline for each school term is obtained from information provided on the annual College Data Survey, completed by the TAP Certifying officer. Any APTS transmissions submitted after the deadline will receive an error message "The time period for submitting transactions for this term has passed".

4.3 Required APTS School Information

- TAP College Code - Schools with more than one TAP code will be informed which code should be used for the APTS program.
- Academic Year – a four-digit entry indicating academic year (i.e.: 2014-15 will be indicated as 2014).
- Term – the terms for which the award is being made are coded: 1-Summer, 2-Fall, 3-Winter, 4-Spring

4.4 Required APTS Recipient Information

- Student's name
- Social Security Number
- Date of Birth
- Award Amount – the amount of APTS funds the school has awarded the student for the term. Award cannot exceed $1,000.00 at a semester-based school ($666.66 trimester) or exceed the tuition amount.
- Net Taxable Income – the total taxable income, plus any support received from a separated or divorced parent, as reported on the student's application, plus any local Sate and federal pension income and any private pensions and annuities.
- -Dependent students and students with tax dependent(s) other than a spouse may not have a Net Taxable Income exceeding $50,550. A dependent student's parental income is included in the calculation.
- -Independent students may not have a net taxable income exceeding $34,250. An independent student's parental income is not included in the calculation.
- Independent/Dependent Status – refers to the student's dependency status.
- I – Independent student for who parental income is not being reported.
- D – Dependent student for whom income is being reported.
- C – Independent student with dependents other than a spouse.

** Note: If a person who is required to report income did not file an income tax return, the obligation to report that person's income remains. If the applicant, or **applicant's spouse, or the applicant's parents did not file a tax return, but were required to do so, use the total exemptions and the total income they would have been required to report had they filed a tax return.**

4.5 Transaction Processing

Step 1 - Create Initial APTS Recipients online

1. Connect to www.hesc.ny.gov
2. Click Partner Access / Financial Aid Professionals
3. Click SecureTransaction Processing
4. Enter USER ID and password logon
5. Click Grants & Scholarships
6. Under Student / Student Tasks, click "Create Initial APTS Recipient"
7. Enter required information * and click the Submit button
8. A "Create Successful" message will be displayed at the top of the page
9. After the record is submitted, click the Print button for a copy
10. To add additional recipients, click the Clear button and enter the required information
11. The first three fields will be prefilled after submission of the first recipient

The bottom of the page has a link to help text Working with APTS Transactions.

Step 2 -Transmit the Initial APTS Recipients List to HESC for processing

1. Under Student Tasks click on "Transmit Initial APTS Recipients"
2. Enter college code, academic year and term and click on the View button

The APTS Batch Transaction List displays:
Transaction records not transmitted to HESC; and
Transaction records transmitted but not processed through the APTS program

The "Batch Processing Indicator" field remains blank until you click the Submit button and Transmit the transaction records to HESC, and the indicator changes to "Y". HESC cannot retrieve the records until a school transmits them. Records will remain in a non-transmitted status and will not be processed.

The APTS Batch Transaction List transactions records no longer appear after processing through the APTS program. You can view the student information by accessing the View Student Record Web page.

4.6 How to View/Update APTS Transactions records

Under Student Tasks, View/Update APTS Transactions, you can change any unprocessed Initial APTS Recipients List transaction records, and you can submit Replacement /Deletion List transaction records.
On the View/Update APTS Transaction screen, enter the college code, academic year, term and for the List type select INTIAL APTS RECIPIENT LIST from the drop down box.
List Types are:
1 = INTIAL APTS RECIPIENT LIST
2 = REPLACEMENT /DELETION LIST
3 = ROSTER OF RECIPIENTS (Processed APTS Transaction records)

Enter the student's Social Security Number to narrow the search or use the sort function by Student SSN or Student Last Name and click the View button

A message indicating the total APTS transactions returned will be displayed.

The application will display the message "All transactions must be submitted within 45 days of the Term Add/Drop Date or July 30, whichever date is earlier." Displayed below this message is: “Term Add / Drop Date” and “Last Day to Submit Transactions”. The Term Add/Drop Date is based on information provided within the College data Web pages. The Last Day to Submit Transactions is calculated based on business logic edits.

To select a student, click on the Details link next to the student you wish to view or update. The Update APTS Initial Recipient Transaction details for the student will be displayed. On this web page you can update the student's name, date of birth, award amount, net taxable income and independent/dependent status. After changes are made, click on the Submit button. To remove this transaction record from the APTS Transactions list, click the Cancel button.

Note: Student SSN can not be changed on this web page; you must use the Change APTS Student SSN function under Student Task. A certification is required when changing the SSN.

4.7 Replacement/Deletion List

The Replacement/Deletion List is used to delete ineligible students and to replace those students with the equal number of eligible students who were not on the Initial Recipient list transmitted to HESC. In the event the institution wants to substitute another eligible student for an ineligible student who has a change in enrollment status, or exhausted TAP eligibility, or was otherwise ineligible, a Replacement/Deletion List is used and is completed in the same manner as the Initial Recipient List.

The total number of students selected for an award for the term cannot exceed the total number of students submitted on the Initial Recipient List(s). The individual award amounts of students being submitted on the Replacement/Deletion List may vary from the award amounts of the students they are replacing.

The total number of students selected for an award for the term cannot exceed the total number of students submitted on the Initial Recipient List(s). The individual award amounts of students being submitted on the Replacement/Deletion List may vary from the award amounts of the students they are replacing.

4.8 Deadline for Submission

The Replacement/Deletion List must be submitted within 45 days of the add/drop date. Any replacements or deletions submitted after the certified Roster of Recipients report is returned to HESC will not be accepted.

4.9 How to Add APTS Replacement Transaction Records

To add a replacement student select the View/Update APTS Transaction screen, enter the college code, academic year, term and for the List type select Replacement/Deletion List from the drop down box. Click on the View button. A message indicating the total transactions returned will be displayed.

To add a new student click on the Add button located in the middle of the page. The Add APTS Replacement Transaction page is displayed.
Enter all required information and click on the Submit button.

To delete a student, scroll down the **APTS Transactions** list and click on the **Details** link next to the student you wish to delete or amend. The **APTS Replacement/Deletion Transaction Details** for the requested student will be displayed. On this web page you may delete an entire transaction record for any student no longer eligible for the APTS award by clicking on the **Delete** button. In doing so, the student will not be considered an APTS recipient for the term and will not be included as part of the total number of students placed on the initial recipient list.

Roster of Recipients List and Certification Procedures

Once the Initial APTS Recipients List is transmitted to HESC for processing, each record is edited for errors, invalid social security numbers, loan default, previous record of a Waiver of Good Academic Standing, payment points, etc, to determine students' eligibility or ineligibility. HESC generates the online Roster of Recipients List of eligible students for schools to certify or decertify. Students flagged for a loan default will not appear on the Roster of Recipients, but will be listed on the HE8289 APTS List of Students Currently in Loan Default (see Chapter 2.5).

5.1 Roster of Recipients

The HE8076 Institutional Roster of Recipients standard report is located in Transaction Processing, Reports tab. It is a reflection of the transmission submitted by the school and is separated into three groups:

Group 1 - Roster of Award Recipients

- Eligible students.
- Eligible students submitted as a replacement. An "A" will be displayed, indicating the student was added to the Initial Recipient List.

Group 2 - Ineligible Students

- Ineligible students, who exhausted TAP eligibility, were previously certified for a TAP award for the same term, or whose income exceeds the maximum.
- Students deleted by the school.

Group 3 - Errors

- Students with errors, e.g. awards equal to zero, invalid alpha/numeric data, term award greater than $1000 per semester ($666.66 per trimester), total annual award exceeds $2000, and college code not approved.
- Replacement students with errors.

Students listed in Group 3 – Errors may be certified, provided the error is corrected and the student is otherwise eligible. Schools are responsible for reviewing the Roster of Recipients for accuracy.

A description of the field entries can be found on the layout HE9076 Aid for Part-Time Study (APTS) Roster of Recipients (Outgoing), available on HescWeb's Forms for Professionals, TAP EFAN School Layouts.

5.2 Revised Roster of Recipients

HE8076 Institutional Roster of Recipients may be updated and is cumulative throughout the term. It should be reviewed by the school prior to certifying each term.
Students clearing their loan default status before June 30 will appear on a revised HE8076 Institutional Roster of Recipients List.

A Replacement/Deletion List, submitted after the processing of the Initial Recipient List, also generates a new Roster of Recipients List. Schools are responsible for reviewing the new Institutional Roster of Recipients and verifying new information against the latest transactions sent to HESC.

5.3 Cumulative Passing Average

Schools are responsible for indicating, to HESC, students who have achieved a Cumulative Passing Average (CPA) for each term in which an award is received. A CPA is based on the school's minimum passing course grade for the semester. E.g. A school utilizing a grading system which assigns a 1.0 to a grade of D, and D is the minimum passing grade, cannot certify a student with a CPA if the student has a grade lower than a 1.0.

5.4 View/Update APTS Transactions/Roster of Recipients List

To view and/or certify the Roster of Recipients List, click on the View/Update APTS Transactions function and enter the College Code, Academic Year, Term, and select Roster of Recipients from the drop down box for the List Type. After entering the search criteria, click the View button. A message indicating the total transactions returned will be displayed.

Click on the Details link next to the student you wish to certify or decertify.

5.5 Certification/Decertification/Update APTS Roster of Recipients Transaction Details

The Update APTS Roster of Recipients Transaction Details for the requested student will be displayed after selecting the Details link. Review and update the information and enter the appropriate Certification Processing Code and click the Submit button. The student's Transaction Status will change to "Pending Cert" until HESC processes the certification.

Schools must certify or decertify eligible students by entering one of the following valid processing codes:

1 - CERTIFY WITH C.P.A. - to certify a student with a cumulative passing average for the term
2 - CERTIFY WITH C.P.A - 5TH YEAR - to certify a student enrolled in a five-year program with a cumulative passing average.
3 - CERTIFY WITH C.P.A-USING WAIVER - to certify a student with a cumulative passing average using a one-time waiver of good academic standing.
4 - CERTIFY NON C.P.A - to indicate a student failed to achieve a cumulative passing average for the term. Students certified with a "4" must receive the full amount of the award.
5 - DECERTIFY NOT IN GOOD ACADEMIC STANDING - to decertify a student not in good academic standing for the previous term
6 - DECERTIFY MISC. REASON - to decertify a student for other reasons (i.e. did not meet eligibility requirements, not a US citizen, not a NYS resident etc.)

5.6 Correcting APTS Student Social Security Numbers (SSN)

On the Change APTS Student SSN Web page the user has the capability to correct a student's SSN and submit the certification at the same time. This transaction can only be submitted after the student has appeared on the APTS Roster of Recipients. On the Change APTS Student SSN input page, the user must enter the College Code, Academic Year, Term and Student SSN you wish to view. After entering the search criteria, click the View button. The user will be presented with the Updated APTS Student Datapage where the Certification Processing Code and correct SSN can be entered. To change the Student SSN and to certify the student, enter the new SSN in the New Student SSN field, select a Certification Processing Code and then click the Submit button.

5.7 Deadline for Roster of Recipients Certification Transmission

The school is required to certify the Roster of Recipients within 45 days of the end of the term, indicating which students have achieved a cumulative passing average and which students have failed to achieve a cumulative passing average for the term.

5.8 Roster of Recipients List Processing

HESC will process the school's certified Roster of Recipients List and create a Payment Reconciliation Report. Schools will be reimbursed for full value of the term award amount to eligible students who have a cumulative passing average. Reimbursement for up to 10% of the value of all awards (CPA and Non-CPA) will also be provided for the term for students who failed to achieve a cumulative passing average.

Payment Reconciliation Report and Payments

6.1 Prepayment to Schools

HESC will provide each participating institution an APTS prepayment amount equal to 25% of the school's annual allocation of APTS or the full amount of the APTS Roster of Recipients List for the fall term, whichever is less. APTS prepayments are provided for the fall term only.

6.2 Payment Reconciliation Report (List Type 4)

HESC will create a standard report, APTSDOCS (HE8076) Payment Reconciliation Report (List Type 4), when certifications have been submitted and processed. The Payment Reconciliation Report is separated into six Groups. The school should review the Payment Reconciliation Report for accuracy and should contact the APTS Unit for instructions if a student is omitted.

Group 1- Recipients Awards Reimbursed
HESC provides full award reimbursement for students certified with a Cumulative Passing Average. Students achieving a Cumulative Passing Average will be certified with one of the following processing codes:

- 1-Certified with C.P.A.
- 2-Certified with C.P.A - 5TH Year
- 3-Certified with C.P.A-Using Waiver

Students with processing codes 1, 2, or 3 must receive the entire APTS award amount awarded to them.

Group 2 - Certified Non-CPA
HESC provides reimbursement up to 10% of the total value of awards made for the term, or the value of the awards for students in Group 2, whichever is less. Students not achieving a Cumulative Passing Average for the term will be certified on the Roster of Recipients with processing code:

- 4-Certified Non-CPA

Students with a processing code 4 must receive the entire APTS award amount awarded to them.

Group-3 Decertifications by Institution

HESC will not provide a reimbursement for students who have been decertified by the school. Decertified students are not entitled to an APTS award. Students who are not eligible for an award for "not being in good academic standing" or for "other reasons" will be decertified by their school with one of the following processing codes:

- 5-Decertified - Not In Good Academic Standing
- 6-Decertified by College - Miscellaneous Reasons

Group 4 Decertification by HESC

HESC will not provide a reimbursement for students who have been decertified by HESC. Decertified students are not entitled to an APTS award Examples: Students decertified by HESC for non-payment reasons:

- A change form for a prior year was sent in certifying a student resulting in exhausting TAP eligibility
- A student has prior use of a one-time waiver of good academic standing
- Institution exceeded maximum number of APTS students

Group 5 - Ineligible Students

HESC will not provide a reimbursement for students who have been deleted by the school. Deleted students are not entitled to an APTS award.

Example: Students deleted by the school on a Replacement/Deletion List.

Group 6 - Errors

HESC will not provide a reimbursement for:

- Students whose errors were not corrected by the school; or
- Students whose certifications have not been submitted by the school.

6.3 APTS Payment Calculation

Example: A Payment Reconciliation Report reflects a Group 1 value = $5,000 and Group 2 value = $1,000. The following calculations would result:

Group 1 Recipients Awards Reimbursed		$5,000
Group 2 Certified Non-CPA	+	$1,000
Total Award		$6,000
10% of Total Award	=	$600
Group 1 Recipients Awards Reimbursed		$5,000
Group 2 Certified Non-CPA or 10% of Total Award (whichever is less)	+	$600
Total Payment		$5,600

The Total Payment, less Prepayment, will be sent to the school after certifications have been processed for each term.

6.4 Post Certification Changes/Correcting Errors

Post Certification Change Form

To make certification changes or correct errors appearing on the Payment Reconciliation Report, you must submit an HE8132 APTS Post Certification Change Form available in HescWeb's Forms for Professionals.

When completing the Post Certification Change form, the institution must complete and submit the correct information for the following: college code, college name, term/year (use separate change forms for each term/year), processing code, student's SSN, student's name, student's date of birth, net taxable income and award amount. If indicating a student is enrolled in an approved five-year program, enter a "2" for the processing code and enter a "1" in the five-year program field on the form.

Deadline for Submission

Post certification changes intended to certify a student or to increase an award amount must be submitted within 30 days of the processing date of the Payment Reconciliation report.

Post Certification Changes, which result in previously certified students being decertified or previous award amounts being reduced, will be accepted at any time.

6.5 Refunds

When decertifying a previously certified student, or reducing the award amount, do not send a refund until you receive notification from HESC. HESC will recalculate and generate a revised Payment Reconciliation Report and will inform the school of the amount, if any, owed. The institution will be reimbursed for any supplemental payment resulting from the changes.

Batch File Processing

7.1 Electronic Financial Aid Network (EFAN)

Schools can create and transmit APTS transactions electronically via batch files for processing. APTS file layouts are available within HESC's secure Web pages under Forms for Financial Aid Professionals. Schools should contact apts.administration@hesc.ny.gov for file transfer inquiries and testing.

7.2 HE8075 - Aid for Part-Time Study (APTS) (Incoming file to HESC)

HE8075 is used to create and transmit three (3) Transaction Types:

Transaction Types (Field #6).

- 1 = **Recipient List Type** is used to submit names & award amounts for a term.

Processing Codes (Field #7)
0 = Constant

- 2 = **Replacement/Deletion List Type** to delete ineligible students, add replacements, change student data.

Processing Codes (Field #7)
1 = To Delete – ineligible students
2 = To Replace – to add replacement students
3 = To Change – student data

- **3 = Certification List Type is used to certify or decertify students**

Processing Codes (Field #7)
1 = Certify cumulative passing average (CPA) for the term
2 = Certify student enrolled in 5 year program with cumulative passing average for the term
3 = Certify student with CPA using waiver of good academic standing for term
4 = To indicate a student failed to achieve a cumulative passing average for term
5 = To Decertify a student not in good academic standing for the previous term
6 = To Decertify a student for other nonpayment reasons
7 = To Delete student with incorrect SSN (refer to Chapter 5.6)

7.3 HE9076 Aid for Part-Time Study Reconciliation / Payment Records (**Outgoing file**)

The HE9076 file is generated and transmitted to schools for two List Types (Field # 22)

- List Type 3 = **Institutional Roster Recipients**

Group Number (Field # 21)
1- Roster of Award Recipients – eligible students who must be certified by school
2- Ineligible Students- who exhausted TAP eligibility, income exceeds maximum
3- Errors – award equals zero or greater than $1000 per semester, invalid data, etc

- List Type 4 - **Payment Reconciliation Report**

Group Number (Field # 21)
1 - Recipient Awards Reimbursed
2 - Certified Non-CPA
3 - Decertified by Institution
4 - Decertified by HESC
5 - Ineligible Students
6 - Errors